LOS ANGELES – ATRT2 Implementation Update
Wednesday, October 15, 2014 – 14:00 to 15:15
ICANN – Los Angeles, USA

UNIDENTIFIED MALE: This is the ATRT 2 Implementation Update in Constellation room on Wednesday, October 15, 2014. This session will run from 14:00 to 15:15 local time.

THERESA SWINEHART: The meeting is definitely not done. We just thought we'd give it a few minutes for everybody to find the room. I ended up on the east side, so there's that.

Larisa asked me to give just a few opening remarks for this session itself. We appreciate that there's a lot of back-to-back meetings and things running in parallel, of course. So I think the importance is that we're having this session, and hopefully a good discussion as people come in. Also just that we have the information out there, so as community members are interested in additional information about what's happening with ATRT and what's happening with the implementation, there's something to point to and also further information.

I just wanted to take two steps back. The Affirmation of Commitments is actually a very unique document in the context of ICANN's relationship with the U.S., what had traditionally been couched in MoUs and different kinds of relationships. Specifically because it has multi-stakeholder review mechanisms as part of its revolution.

This is the only organization, that I'm aware at least, that has multi-stakeholder review mechanisms encapsulated in how it is operating. And this is in addition to obviously the bylaw reviews that are required in our sequential overtime – specifically, with regards to the ATRT process around accountability and transparency.

We're having a conversation now in this session about the implementation of the output of the last round of the ATRT and their recommendations. I think as we're looking at this, we also look at it in the context of a result of a very unique multi-stakeholder review mechanism that is part of ICANN's broader governance structure working with the community to address key issues.

I realize that some of the topics that are coming up in the ATRT 2 recommendations moving forward relate to accountability and are also topics that community members have raised in the context of the accountability track that is being looked at in the context of ICANN's changing relationship with the U.S.

And I think this is quite valuable to keep in mind, because it demonstrates that there's already review mechanisms in place that are looking at some core issues and some core topics have come up in those discussions to be implemented that are topics that would have come up regardless of whether there was a transition or not. So I think that's another demonstration of a living organization and the value of this process overall.

So, with that, I'm actually going to turn it over to Larisa to walk through the background and methodology of what we're doing now to demonstrate visibility into the implementation of this. But again, keep

in mind that this is really the result of a unique multi-stakeholder self-review mechanism out of the Affirmation of Commitments itself.

So, with that, I'm going to have to apologize. I do need to go back to another meeting, but I'll leave you with this. So, thank you.

LARISA GURNICK: Thank you, Theresa. Good afternoon and welcome to the ATRT 2 Implementation update. My name is Larisa Gurnick and I'm part of ICANN staff. I'd like to also introduce a couple of the people sitting up here at this very lonely table with me. I've got Joyce Thomas who is part of project management team and you'll understand her role more in a few minutes. I also have Alice Jansen who is part of our team; and Rob Hoggarth, Senior Director of Policy and Community Enagement. Thank you for joining me.

Today's session will provide some background on the second Accountability and Transparency Review and Recommendations and walk you through the methodology that is guiding the implementation work that's currently underway. We will cover the rules and responsibilities of the team dedicated to the implementation work and introduce the various communication means available to track work that's underway. Next slide, please. And one more. Thank you.

For those of you that may not be familiar the Affirmation of Commitments stipulates that a review of ICANN's accountability and transparency be conducted on a three-year cycle. To date, we've had two such reviews. The purpose of the review is to not only ensure that

ICANN is transparent and accountable, but that the organization is continuously improving in this critical area. Next slide, please.

The Accountability and Transparency reviews are performed by a group of volunteers. And in the case of the ATRT 2, the work was conducted by a team of 16 people. The selection process is also stipulated in the Affirmation of Commitments and includes representatives from supporting organizations and advisory committees; chair of the ICANN Board, Steve Crocker; chair of the Governmental Advisory Committee, Heather Dryden; and assistant secretary for the communications and information of the Department of Commerce, Larry Strickling. ATRT 2 was chaired by Brian Cute. Next slide, please.

The ATRT 2 team spent most of 2013 conducting their work, which culminated in a publication of their final report on December 31, 2013. The report offered 12 recommendations consisting of 51 components. In accordance with the requirements of the Affirmation of Commitments, the ICANN Board took action on the ATRT 2 report within six months of its publication, and on the 26th of June of 2014 adopted all 12 recommendations.

The implementation kicked off immediately after the London meeting and we're here today to provide the very good update. Next slide, please.

The 12 recommendations address the following areas: Board performance, policy implementation, executive functions, decision-making transparency, GAC operations, multi-lingual topics, cross-community deliberations, AoC review effectiveness, and financial accountability and transparency. Next slide, please. One more. Great.

ICANN is following implementation methodology that is rooted in principles of the project management institute. It's a disciplined approach that offers several benefits: clear scope definition, company-wide planning and allocation of resources, monitoring against timelines and consistent reporting which includes measurements. The ATRT 2 implementation work is piloting this approach with the idea that all AoC reviews will follow the same methodology. Next slide, please.

So here you have a chart that articulates the main aspects of the project management approach and the benefits. Effective project management in itself brings greater transparency and accountability into the implementation work.

As you saw from previous slides, 12 recommendations break down into 51 components, each of which has varying degrees of complexity, dependencies and organization-wide implications.

We now have a consistent and predictable way to plan, implement and operationalize the improvements recommended by ATRT 2. Next slide, please.

Because the AoC mandates a cycle of reviews, effective project management of a given implementation has continuous importance, as you can see in this graph. The lifecycle of a recommendation, the improvements and vision by ATRT 2 will be executed, and eventually will become part of the ICANN operations and they will also serve as the starting point for the next cycle of reviews.

In practical terms, what this means is that ATRT 3 will begin their work by looking into the recommendations of the prior review team and see

how those recommendations were implemented. They will also see how effective the implementation was and whether the changes are making the intended impact.

ICANN's implementation approach addresses several observations and recommendations contained in the AoC review effectiveness area, one of the recommendations that was made by ATRT 2. They're consisting of ongoing reporting, clear objectives, and measures to help determine effectiveness. Next slide, please. One more.

The 12 recommendations have resulted in the creation of 12 projects, which are further divided into relevant components and actions. The work is dispersed across ICANN and involve stakeholders, ICANN Board and staff.

The entirety of this effort is what we refer to as ATRT 2 Implementation Program. In a minute, you will see how this is managed and coordination. Next slide, please.

For each recommendation, there is a project sponsor and the role of this individual is to allocate resources and budget needed for the work to take place. Project owner is the individual responsible for planning and implementing the improvements, securing and managing resources and tracking performance.

This is the individual that will define key success factors, which are the outcomes that will help us understand what the end goal is and key performance indicators which are the measures that will be used throughout the implementation to monitor progress.

Our program manager, Joyce, to my right – to your left – works with each of the implementation teams, guiding them through this process, monitoring the progress, identifying potential risks, ensuring that the teams develop some plans to mitigate these risks, and to help to identify and resolve issues on a timely basis.

The program manager provides ongoing and consistent reporting to ensure that everyone knows what's going on and has a glimpse into how the work is progressing.

Because of the singular view of the entire implementation program, the program manager has the overall perspective to ensure alignment across ICANN.

Overseeing the implementation is a team of ICANN executives – the Advisory Committee – which consists of Susanna Bennett, chief operating officer; John Jeffrey, general council; Theresa Swinehart, senior advisor to the president on strategy; and Sally Costerton, senior advisor to the president and head of the Global Stakeholder Engagement. Next slide, please. One more.

Several reporting mechanisms have been put in place to keep everyone apprised of the implementation work. First we have the implementation program wiki that was launched shortly before the LA meeting and you'll see an image of that shortly. This is a community wiki that is accessible to all. At the end of the presentation, we'll also have a slide that lists all the links, and these links will also be available on the session page for this session.

Additionally, there's a section on the website dedicated to the AoC reviews, and specifically to ATRT 2. Plans are underway to revamp those pages to make them more user-friendly and help you find the information easier.

At each ICANN meeting, we will provide updates similar to this one. To reach people that are unable to participate in the update sessions during ICANN meetings and to provide interim updates as appropriate, we will hold periodic webinars which will be announced on the ICANN website and the community wiki. We will also use social media to get the word out. Next slide, please.

So here you can see the wiki. When you visit this space, you will come to a homepage that provides context and background information as well as the latest updated summaries for all recommendations collated into a single document. If you're interested in any particular recommendation, you can view those by going to the individual recommendation page on which you will be able to find the actual text of the recommendation as it was constructed by the ATRT 2 team, and then you will be able to find the executive summaries reflecting the latest update, and this is where we will continue to archive the updates.

So right now all you see is the current update, which is the first one, but this will expand pretty quickly with new updates provided on a trimester basis. Next slide, please.

So we invite you take a closer look at the executive summaries provided in this area of the wiki for each recommendation. They contain implementation information and details that will help you understand

the progress to date and plans being put in place for further implementation actions.

As a whole, all projects have been initiated and most are in the planning phase currently. This means that the teams are developing action items for casting timelines, defining resources and identifying dependencies or alignment needs across the organization.

As Theresa indicated in her opening comments, a good example of this alignment is work that is expected to connect with the work of the ICANN accountability track, and you will see this noted in several places on the executive summaries that are posted on the wiki.

Several projects are already executing initial implementation steps, and to give you an illustration of one such project, I'm pleased to introduce Rob.

ROB HOGGARTH: Thank you, Larisa. Welcome, everybody. Good afternoon. I was asked to participate in this session to provide you a case study, if you will – an example of some of the implementation work.

It's I think very useful – and for me, when I hear what Larisa is talking about is to sort of step back and say, "What's the bottom line here?"

The bottom line is that we, as staff, who have responsibility for implementing some of these recommendations have the discipline, the accountability, and the support really to be able to not only do the work but to provide all of you with updates to give you a sense as to where certain recommendations stands.

Joyce has been a tremendous resource given her project management expertise to work with the various teams. As Larisa said, there's an overall executive summary – an example here depicted on the slides – that talks a little bit about what the expectations for the project are, where they stand in the rest.

The real key element of this, if I can say this candidly, is it's put a discipline and force on us as staff to really think through, plan, be able to describe in a very coherent, short, pithy way sort of what we intend to do. How are we going to implement the recommendations?

So the recommendation that my team is responsible for is Recommendation 7. It was a recommendation from the ATRT 2 that talked about improvements to the public comments space. And actually, Recommendation 7 was broken up into two pieces. One, if you will, a short-term approach at looking at changes to the public comments and improvements, and another that looked at a very specific change that should be made in terms of how those conducted.

What we've done as a staff is then sit down in collaboration with the Board, continued conversations with some members of the community to talk about what we can do in the short term, what we can do in the mid term, what we can do in the longer term based on the resources that are available to us as a team, that are available to us as a staff comprehensively.

I can already report that not just specifically from a Rec 7 perspective, but generally what it's helped us to do is to work with other teams within ICANN, other staff to identify what priorities might be to help reorder resources, if you will.

An example that we had is the Ash, our new CIO/CTO is really focused on helping us develop the capability to put in place various changes in the website, various changes in some of the software and hardware that we're working with and we would not have been able to raise that level of priority if we didn't have, frankly, the project management system that Joyce has put in place to allow us to define priorities, be very clear about the expectations and then work with Ash and his teams to be able to order and prioritize the resources to help us begin our work.

So I think overall it's a very helpful and effective approach. It's something that I think reflects an evolution on the part of ICANN in that it provides a higher level of discipline and accountability, and as we look toward ATRT 3 if I can already begin to look into the future, will give that next group a real opportunity to see everything that was done from the recommendations through the planning, the implementation, assessments and provide that new review team with the information they need to be very efficient and effective as they conduct the next round of reviews.

After we're done with this session, I'm very happy to chat with anyone about specific aspects of public comment improvements, but I understand this is a much higher level discussion.

Thanks, Larisa. That's all I have to say.

LARISA GURNICK: Thank you, Rob. Next slide, please.

So here you see the various links. This information is also available on the wiki. It will be posted on the session page and you can access any of

these materials that might be useful: the final report of the ATRT 2, the Board resolution that we mentioned, the ATRT 2 wiki which is the space that was used by the ATRT 2 team while they were conducting their review, and finally the ATRT 2 Implementation Program wiki which is the space that we showed you where you can find the latest information.

So at this point, that concludes our presentation and I would be happy to take comments or questions.

ROB HOGGARTH: Larisa, I have a question that someone might be interested in asking.

LARISA GURNICK: Yes, Rob.

ROB HOGGARTH: We're doing this session. We've got a wiki. Is it going to be something relatively simple like that where members of the community just go to the wiki and check it? Do you anticipate future reports or dialogue? How do you see people being able to note progress going forward? Is this *the* resource or are there other elements?

LARISA GURNICK: So we anticipate to do a number of things. The wiki is a place where the information will be continuously updated and available. We will also provide more formal updates and progress reports each trimester at the ICANN meetings and in between as appropriate through webinars and

various other conversations. Certainly throughout the process any of us on the implementation team would be happy to answer questions and engage in dialogue about how the implementation work is progressing.

ROB HOGGARTH: Just a final statement from me from the perspective of Recommendation 7. We intend to keep a close eye on any comments or feedback that we get on the wiki. Clearly, for us, from a support perspective and an implementation perspective, we're going to continue to work with various members of the community just going forward. We don't see this tool as the only one for the interaction, but as really a way to make sure that we track our progress and report regularly, but we'll be using other mechanisms for community dialogue and participation.

LARISA GURNICK: Thanks, Rob. And just to expand on that, too, some of the implementation projects may call for actions that would require more community dialogue, including formal public comment processes. Of course all of those would take place as part of the implementation work where they would be appropriate.

Joyce, do you want to add anything to the project management?

JOYCE THOMAS: No, not really.

LARISA GURNICK:	Okay. Are there any other comments or questions?

DAVID MAHER:	I'm David Maher, publicinterestregistry.org. I have a question about the independent review panel. I understand that one of the recommendations of ATRT 2 was an establishment of a permanent panel or a permanent group from whom panelists would be chosen. Do you have any information on that?

LARISA GURNICK:	Sam, would you like to update us on that recommendation?

SAMANTHA EISNER:	This is Sam Eisner from ICANN legal, if I can just ask a clarification. Are you referring to the standing body of the independent review panel? Okay, thanks.

So that actually was not a direct recommendation. That stems from ATRT 1. That's not a direct recommendation out of that work. The ATRT 1 Recommendations 23 and 25 recommended that ICANN put together a review of its accountability mechanisms, and out of that review we had an accountability structures expert panel and they recommended that there be a standing panel put together.

That has not yet been put together. We've been trying to operationalize it. There's been some issues with it, and also we're not – given now all the accountability discussion and the potential for some of these accountability mechanisms to change, we're not looking to develop a lot

of new structure, given that there could be a lot of change to what was already developed.

The bylaws themselves, it was an area that was noted when the Board considered the ATRT 1 recommendation implementation hat this was an issue that we had flagged early on as a potential, with potential problems for implementation. We do have some language in the bylaws that allows us to proceed with the independent review process without that panel in place.

So we are kind of dual tracking it, but we do need to honor what's going to come out of the new accountability reviews as well as ATRT 2 within Recommendation 9 included a request that there be a community review of the accountability processes, including the independent review.

I'm sure we'll be talking a lot about the challenges that we faced in trying to put together that standing panel within that community discussion.

LARISA GURNICK: Marilyn?

MARILYN CADE: Thank you. Marilyn Cade. I think my comment was very much along the same lines, Sam, in that it was just a comment about the importance of aligning that work that may have been previously called for with now the new cross-community working group focus on accountability. I was

just going to ask if that had already been taken into account. So thank you for both confirming and clarifying.

SAMANTHA EISNER: Marilyn, just to confirm, Larisa also pointed out within the executive summaries, one of the things that all staff were working on the ATRT 2 implementation have tried to identify where we think that some of these issues might directly tie into work we would anticipate that the cross-community working group would take up, particularly given the whole list of issues that have been identified previously within public comments on the process.

So we think we need to all be aware of all the inter-dependencies and the staff working on these projects will be watching all [inaudible] closely.

LARISA GURNICK: Any other comments or questions. Matt, anything on the remote? Well, thank you all very much for your interest in this topic and please continue to visit the wiki and look for updates which we'll be providing on a regular basis. Thank you very much.

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