ATRT3 Final Recommendations Board Action 30 November 2020

ATRT3 Recommendation	ATRT3 Priority Designation	Dependencies	Considerations	Anticipated Resources/Costs	Possible Board Action
Recommendations the Board Approves Subject to Prioritization, Costing and Implementation Considerations					
ATRT3 Final Report Section 3.4: Recommendations, Suggestions and Observations Related to Public Input **Recommendation 1.1**: To maximize the input from each Public Comment proceeding, ICANN org shall update the requirements per the following: - Each Public Comment proceeding shall clearly identify who the intended audience is (general community, technical community, legal experts, etc.). - Each Public Comment proceeding shall provide a clear list of precise key questions in plain language that the public consultation is seeking answers to from its intended audience. - Where appropriate and feasible, translations of the summary and key questions shall be included in the Public Comment proceeding and responses to Public Comment proceedings in any of the official ICANN languages shall always be accepted. - Results of these questions shall be included in the staff report on the Public Comment proceeding.	Low	ICANN organization plans to launch certain features of its Information Transparency Initiative (ITI) by the start of Fiscal Year (FY) 2022, i.e. by July 1 2021. ICANN org's Public Comment and ITI teams will provide training to all appropriate ICANN org functions to ensure readiness for the launch of the new Public Comment feature and to stress the importance of all guidelines on public comments.	ITI includes a number of improvements to Public Comment proceedings which ICANN org believes will substantially address the ATRT3's concerns and specific recommendations. In addition, ICANN org already accepts comments submitted in other languages. ICANN org also provides translations of what is published for Public Comments, where requested by the org function that is requesting the Public Comment proceeding, in accordance with ICANN org's translation policy. The ITI team held community consultations in 2019 and early 2020 on the new Public Comment features to solicit community feedback. Following the Public Comment and ITI teams worked to	Costs for supporting the implementation of Recommendations 1.1 and 1.2 are already assumed in standard Public Comment support from the ICANN org Policy Development Support function, and in alignment with planned improvements as part of ITI. Any additional work to implement any remaining improvements outlined in Recommendations 1.1 and 1.2 will be assessed by the Public Comment and ITI Teams before deciding on a path forward and resourcing thereof.	**Approve subject to prioritization** - The Board approves Recommendations1.1 and 1.2, subject to the timing of the Information Transparency Initiative (ITI) launch. The Board notes that substantial parts of the recommendation are either already being implemented or will be addressed when the new Public Comment feature launches under ITI. The Board notes that there may be a need to track implementation of Recommendations 1.1 and 1.2 separately due to the distinct work efforts and implementation steps required.

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Recommendation 1.2: With regards to other types of public input ICANN org shall: - Develop and publish guidelines to assist in determining when a Public Comment process is required vs. alternate mechanisms for gathering input. - Develop and publish guidelines for how alternative mechanisms for gathering input should operate, including producing final reports. - Develop a system similar to and integrated with the Public Comment tracking system for all uses alternate mechanisms to gather input. - Publish the complete "Public Comment Guidelines for the ICANN Organization." - Resolve the issue of blog posts collecting feedback information when the "Public Comment Guidelines for the ICANN Organization" state that they "will not be used as mechanisms for collecting feedback."			incorporate the community feedback into improvements of the new features. ICANN org's Public Comment team also met with the ATRT3 team in late 2019 to provide an overview of the new Public Comment features. The new Public Comment features to be launched with ITI will enable improved tracking of those initiatives for which alternative feedback mechanisms were used.		

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ATRT3 Final Report Section 7.4: Recommendations, Suggestions, and Observations Related to the Assessment of the Implementation of ATRT2 Recommendations **Recommendation 2:** ICANN org shall review the implementation of ATRT2 Recommendations in light of ATRT3's assessment and complete their implementation subject to prioritization (see recommendation on the creation of a prioritization process).	Low	Further work and coordination are necessary between ICANN org and the ATRT3 Implementation Shepherds to understand more clearly what can be done to consider the ATRT2 recommendations fully implemented. The Board also notes that ATRT3's suggestions in its annexed assessment report are to be considered by ICANN org as guidance in its review of the implementation of the ATRT2 recommendations and the suggestions in the annex are not presented as consensus recommendations of the ATRT3.		An understanding of the full scope of the implementation steps is needed, in order to estimate anticipated resources/costs.	**Approve subject to prioritization -** The Board approves Recommendation 2. Under the Bylaws, ATRT3 is empowered to determine the extent to which ICANN org has completed implementation of the ATRT2 recommendations and has done so as part of this report. To the extent this recommendation is intended to establish a collaborative mechanism to progress implementation of ATRT3 recommendations with input from the ATRT3 Implementation Shepherds, the Board accepts this recommendation. The Board notes, however, that as a formal matter the Bylaws (Section 4.6(b)(iii)) reserve to ATRT4 (or other future ATRTs) the role of final assessment of the completion of

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					recommendations from prior ATRTs, including those that the ATRT3 assessed. The Board directs ICANN org to undertake a thorough analysis of the ATRT3's suggestions pertaining to the implementation of ATRT2 recommendations, and to engage with the ATRT3 Implementation Shepherds regarding those suggestions to identify resource-effective means, where appropriate, to complete the implementation of the ATRT2 recommendations discussed in the ATRT3 assessment.
ATRT3 Final Report Section 8.4: Recommendations, Suggestions and Observations Related to the Assessment of Periodic and Organizational Reviews **Recommendation 3.1:** RDS Reviews - Given the final results of the EPDP	High	**Broad community support -** It is important to recognize that implementing the ATRT3 recommendation on reviews will require Bylaws amendments	**Unaddressed problems with reviews -** If previously identified problems with reviews remain unaddressed, it is likely that the same problems will remain for future reviews. The	Cost of one additional CCT Review: $2,200,000 (based on prior review actual cost).	**Approve subject to prioritization -** The Board approves Recommendations 3.1, 3.2, 3.3, and 3.4, subject to community agreement to the Bylaws change. When

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process will certainly have an impact on any future RDS Reviews (and could even remove the need for any further Specific Reviews on this topic) and considering that ATRT3's final report will be published prior to the EPDP delivering its final report, ATRT3 recommends suspending any further RDS Reviews until the next ATRT Review can consider the future of RDS Reviews in light of the final EPDP report recommendations, the results of the Board's consideration of these, as well as any other developments which affect Directory Services. **Recommendation 3.2:** CCT Reviews - There should be one additional and clearly scoped CCT Review. - It shall start within the two years after the first introduction of the (possible) next round of new gTLDs to the root. - It should be limited to a duration of one year. - Additionally, a framework of data collection must be in place prior to the next round of gTLDs and the availability of all data sets should be confirmed prior to the selection of the review members and must be provided within 30 days of the review being launched.		which, in turn, require broad community support. Therefore, timely implementation of parts of the recommendation may be impeded if broad community support for the Bylaws change is not forthcoming. In addition, the timelines prescribed for initiating the first Holistic Review within 12 months of Board action, for example, do not fully consider the time needed to enact Bylaws amendments and plan for the review. See Recommendation 3.5 for details on the new Holistic Review. **Objective evaluation criteria -** Objective evaluation criteria should be developed in order for future ATRTs to evaluate the effectiveness of any review and to determine if such a	ICANN org and Board have gathered input over the last several years as the community has been confronting the need to re-imagine reviews. The Board notes that, while ATRT3 Recommendation 3 addresses numerous community concerns with regard to timing of reviews, some of the other concerns previously noted, including those that impact review timing (such as enhanced processes for developing, considering, and implementing recommendations) are not addressed in Recommendation 3. The Board is committed to continuing to work with the community and ICANN org to consider whether and how to resolve issues that were not addressed through the ATRT3 recommendations.		deemed appropriate through the prioritization process, the Board directs ICANN org to begin the process to make the appropriate Bylaw amendments, but if the Empowered Community rejects the Bylaws changes, further ICANN community discussion would be required before implementation. Further, the Board notes that there may be a need to track implementation of Recommendations 3.1, 3.2, 3.3, and 3.4 separately due to the distinct work efforts and implementation steps required.

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Recommendation 3.3: SSR Reviews - Given SSR2 will not be finalized prior to ATRT3 completing its work, ATRT3 recommends that SSR Reviews shall be suspended until the next ATRT Review (or any type of review that include current ATRT duties) which shall decide if these should be terminated, amended, or kept as is. - This review could be re-activated at any time by the ICANN Board should there be a need for this. **Recommendation 3.4:** ATRT Reviews ATRT Reviews should continue essentially as they are currently constituted but with the following enhancements: - Shall start no later than two years after the approval by the Board of the first recommendation of the Holistic Review. - Shall maintain responsibility to recommend to the Board the termination or amendment of other periodic reviews and the creation of additional periodic reviews (including reassessing reviews terminated by previous ATRTs). - All pre-identified documentation that is required for the review, such as the previous ATRT's		review should continue.	**Review scheduling -** Under the ATRT3 recommendation, the scheduling of reviews is driven by other reviews. For example, ATRT3 recommends that future RDS and SSR reviews be suspended until the next ATRT review (currently scheduled for 2024). However, under this ATRT3 recommendation, the launch of the ATRT4 review would be contingent upon the completion of the Holistic Review. The recommended start for the first Holistic Review (within 12 months of Board action) may not be feasible.		

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implementation report, shall be available at the first meeting of the review team. - Terms of reference shall be established at the first meeting. - Note: The Operating Standards for Specific Reviews shall be amended to allow review teams to obtain professional services, which is not covered by subject matter experts, should they require such services.					
ATRT3 Final Report Section 8.4: Recommendations, Suggestions and Observations Related to the Assessment of Periodic and Organizational Reviews **Recommendation 3.5:** A new Holistic Review of ICANN shall be set up: Timing considerations: - The first one shall start no later than one year after approval by the Board of the first recommendation by ATRT3. - The next Holistic Review shall start no later than every two-and-a-half years after approval by the Board of the first recommendation of the latest ATRT Review (e.g. the second Holistic Review would begin two-	High	**The Board needs additional information** in order to make an informed decision based on full understanding of what a Holistic Review would entail, including the resources needed to support it. **Broad community support -** It is important to recognize that implementing Recommendation 3.5 formally as a Specific Review will require a Bylaws amendment which, in turn, will require broad community support.	**Unaddressed problems with reviews** - If previously identified problems with reviews remain unaddressed, it is likely that the same problems will remain for future reviews. The ICANN org and Board have gathered input over the last several years as the community has been confronting the need to re-imagine reviews. The Board notes that, while ATRT3 Recommendation 3 addresses numerous community concerns with regard to timing of reviews, some of the other concerns	The Board requires a better understanding of the implementation process, resource requirements, and timing assumptions.	**Approve subject to prioritization -**The Board approves Recommendation 3.5 with the caveat that more information is required to better understand how to operationalize the Holistic Review to ensure it yields the outcomes intended by the ATRT3. A Holistic Review should also be looked at in light of other dependencies, including those relating to other Specific and Organizational Reviews and related workstreams.

ATRT3 Recommendation	ATRT3 Priority Designation	Dependencies	Considerations	Anticipated Resources/Costs	Possible Board Action
and-a-half years after the Board approved the first recommendation from ATRT4). This cadence would ensure a minimum of two continuous improvement assessments for each SO/AC/NC[1] prior to holding the next Holistic Review. - The launching of any other review activities should be suspended while a Holistic Review is active. - Should operate based on Operating Standards for Specific Reviews and should be time-limited to a maximum of 18 months. Objectives: - Review continuous improvement efforts of SO/AC/NC based on good practices. - Review the effectiveness of the various inter-SO/AC/NC collaboration mechanisms. - Review the accountability of SO/ACs or constituent parts to their members/constituencies		Therefore, the Board notes that full implementation of the Holistic Review as an ICANN Specific Review is dependent upon continued community support for such Bylaws amendments. The Holistic Review, however, can be run in the first instance as a pilot. Taking a pilot approach to the Holistic Review will remove the initial dependency on amending the Bylaws before the review can proceed. This will also allow for better scoping of the Holistic Review as a Specific Review within the Bylaws. Though no Bylaws change is required to initiate the Holistic Review pilot, there will still be a large dependency on widespread ICANN	previously noted, including those that impact review timing (such as enhanced processes for developing, considering, and implementing recommendations) are not addressed in Recommendation 3. The Board is committed to continuing to work with the community and ICANN org to consider whether and how to resolve issues that were not addressed through the ATRT3 recommendations. **Bandwidth and workplan alignment** - The ATRT3 review recommendation entails simultaneous implementation of both the first Holistic Review and the Continuous Improvement Program. It will be critical to ensure adequate community bandwidth and alignment with community work		Subject to prioritization and available resources, the Board directs ICANN org to initiate the first Holistic Review as a pilot, and operated pursuant to community-agreed Terms of Reference and relevant elements of the Operating Standards for Specific Reviews. The Board notes that the ATRT3's recommended timeline of 12 months from Board approval does not appear feasible, but notes that this effort could be placed as a high priority in the prioritization work to allow it to proceed on a quicker time frame. Information gaps to be addressed as part of the pilot include, for example: -Guidance as to how Holistic Review teams should determine and

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[1] SO/AC/NC is an abbreviation used by the ATRT3 to refer to Supporting Organizations, Advisory Committees and the Nominating Committee (NomCom).

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(this will include an in-depth analysis of the survey results). - Review SO/AC/NC as a whole to determine if they continue to have a purpose within the ICANN structure as they are currently constituted, or if any changes in structures and operations are desirable to improve the overall effectiveness of ICANN as well as ensure optimal representation of community views (but taking into consideration any impacts on the Board or the Empowered Community).		community participation in the piloting of the first Holistic Review. **There are dependencies between a Holistic Review and other aspects of Specific and Organizational Reviews,** including other components of the ATRT3 recommendations. There are also other ongoing workstreams that could be dependencies (e.g., implementation of recommendations from completed Organizational Reviews, Work Stream 2 of the Cross Community Working Group on Enhancing ICANN Accountability, and some of the efforts tracked through the work on the Evolution of ICANN's Multistakeholder Model). The Board notes that	plans to carry these two review processes out simultaneously. **Standardized measures for continuous improvement -** Measuring continuous improvement (e.g., positive change over time) first requires a standardized way of conducting those measurements to enable year over year comparison. Without a standardized methodology and set of criteria for assessing continuous improvement within and across ICANN structures, ICANN runs the risk of using a different measuring stick every time. In addition, a collectively agreed standardized methodology and criteria offer an objective perspective on assessing 'improvement' or 'success'.		prioritize its work areas in order to ensure effective review outcomes within the recommended 18-month timeframe. -Proposed methodology for gathering and analyzing data to inform fact-based findings and recommendations. -Articulation of necessary skill sets for Holistic Review team members required to achieve review objectives, which will later be included in the Operating Standards for Specific Reviews. -Estimate of resources and budget required to complete the review effectively. -Suggestions as to how various ICANN structures would be held accountable for implementing the recommendations coming from the Holistic

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		Recommendation 3.5 is closely intertwined with the Board's work on streamlining of Reviews. **Objective evaluation criteria -** Objective evaluation criteria should be developed in order for future ATRTs to evaluate the effectiveness of any review and to determine if such a review should continue. **The Board needs additional information** in order to make an informed decision based on full understanding of what a Holistic Review would entail, including the resources needed to support it.	**Review scheduling -** Under the ATRT3 recommendation, the scheduling of reviews is driven by other reviews. For example, ATRT3 recommends that future RDS and SSR reviews be suspended until the next ATRT review (currently scheduled for 2024). However, under this ATRT3 recommendation, the launch of the ATRT4 review would be contingent upon the completion of the Holistic Review. The recommended start for the first Holistic Review (within 12 months of Board action) may not be feasible.		Review, if directed to entities other than the ICANN Board or org. -Determination of how future Holistic Review teams would measure the success of implementation and the success of a future Continuous Improvement Program. A Bylaws amendment to add this Review should complete after the first Holistic Review has concluded and the effectiveness of the Holistic Review pilot is assessed with the community.
ATRT3 Final Report Section 8.4: Recommendations, Suggestions and Observations Related to the Assessment of Periodic and Organizational Reviews	High	**Broad community support -** Fully implementing Recommendation 3.6 will require Bylaws amendments which, in	**Unaddressed problems with reviews -** If previously identified problems with reviews remain unaddressed, it is likely that the same	Estimated cost of planning for and implementing Continuous Improvement Programs for all SO/AC/NCs (could	**Approve subject to prioritization -** The Board approves Recommendation 3.6 with the caveat that more information is

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Recommendation 3.6: Organizational Reviews: [Board and ICANN org][2] shall evolve the content of Organizational Reviews into continuous improvement programs in each SO/AC/NC: Continuous Improvement Program: - ICANN org shall work with each SO/AC/NC to establish a continuous improvement program. Such a continuous improvement program shall have a common base between all SOs, ACs, and the NC but will also allow for customization so as to best meet the needs of each individual SO/AC/NC. All SO/AC/NC shall have implemented a continuous improvement program within 18 months of this recommendation being approved by the Board. These continuous improvement programs will include: Annual satisfaction survey of members/participants: - Each SO/AC/NC shall perform a comprehensive annual satisfaction survey, or equivalent		turn, require broad community support. However, initial implementation of this recommendation can occur prior to a Bylaws change, through the development of a pilot Continuous Improvement Program. There will still be a large dependency on widespread ICANN community participation in piloting this Continuous Improvement Program, and the timing for such a pilot could be impacted based on prioritization work. The relevant Bylaws amendments should complete after the Continuous Improvement Program pilot has concluded	problems will remain for future reviews. The ICANN org and Board have gathered input over the last several years as the community has been confronting the need to re-imagine reviews. The Board notes that, while ATRT3 Recommendation 3 addresses numerous community concerns with regard to timing of reviews, some of the other concerns previously noted, including those that impact review timing (such as enhanced processes for developing, considering, and implementing recommendations) are not addressed in Recommendation 3. The Board is committed to continuing to work with the community and ICANN org to consider whether and how to resolve issues that were	include developing periodic surveys, advising on methodology, and changes over time) in terms of possible external consultants (plus ICANN org time TBD): $150,000-200,000 (one time cost). Estimated cost of supporting Continuous Improvement Programs' annual review: $35,000-50,000 per year per structure (provided they elect to hire independent examiners).	required to better understand how to operationalize the Continuous Improvement Program to ensure it yields the outcomes intended by the ATRT3 before a Bylaws amendment is completed. When deemed appropriate through the prioritization process, the Board directs ICANN org to initiate the development of a project plan to implement a pilot Continuous Improvement Program in alignment with ATRT3 intent, and in parallel with the views of ICANN structures based on their unique needs and interests, and taking into account any ongoing improvement processes by the ICANN structures. In order to

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[2] ATRT3 Implementation Shepherds confirmed the ATRT3 Final Report contains a typo and that this recommendation is directed to the ICANN Board and org, not ATRT3 as stated in the Final Report https://mm.icann.org/pipermail/atrt3-implementation-shepherds/2020-November/000041.html.

ATRT3 Recommendation	ATRT3 Priority Designation	Dependencies	Considerations	Anticipated Resources/Costs	Possible Board Action
mechanism, of its members and participants The focus of the survey should be on member and constituent's satisfaction (and issue identification) vs their respective SO/AC/NC but can also include satisfaction with ICANN org services such as staff support, travel services, translation services, etc. - For SOs and ACs that are composed of sub-structures, this should apply to their individual sub-structures and the results of all sub-structures shall be aggregated to generate a result for the given SO or AC. - The results of these would be public and used to support the continuous improvement program as well as input for the Holistic Review. If the survey results note a significant issue this shall be the trigger to initiate appropriate measures to deal with any such issues. Regular assessment of continuous improvement programs: - At least every three years each SO/AC/NC will undertake a formal process to evaluate and report on its continuous improvement activities which will be published for Public Comment.		and the effectiveness is assessed with the community. Therefore, the Board notes that the full implementation of Recommendation 3.6 is dependent upon continued community support for such Bylaws amendments. **GNSO3 Review:** The Board notes that the current schedule for Organizational Reviews has the next GNSO review scheduled to start in June 2021. The ATRT3 suggested in its transmission letter to the Board that it might be appropriate to suspend additional reviews from starting under the current Bylaws framework, so as to allow the ATRT3 recommended improvements to take place first. The Board concurs that there is value in exploring this possibility and has initiated discussions	not addressed through the ATRT3 recommendations. **Bandwidth and workplan alignment** - The ATRT3 review recommendation entails simultaneous implementation of both the first Holistic Review, and the Continuous Improvement Program. It will be critical to ensure adequate community bandwidth and alignment with community work plans to carry these two review processes out simultaneously. **Standardized measures for continuous improvement** - Measuring continuous improvement (e.g., positive change over time) first requires a standardized way of conducting those measurements to enable year over year comparison. Without a standardized		understand what an appropriate continuous improvement model would look like, and how it would ensure the desired outcomes can be achieved, this project plan shall be informed by best practices and will be presented to the community for their consideration. The timing of when a Bylaws amendment process would be completed is dependent upon the pilot and assessment thereof.

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This would allow the Holistic Review to consider a minimum of two assessment reports and related public comments for each SO/AC/NC. - Details of the assessments will be defined during the elaboration of the continuous improvement program with each SO/AC/NC. If the SO/AC/NC desires and the budget permits, the assessment can be conducted by an independent contractor or by having an intensive one to five-day workshop. - The Board should publish at least every three years a summary of its continuous improvements over that period. These reports would be used as input for the Holistic Review. Funding of the continuous improvement for SO/AC/NC. - This continuous improvement program is not meant to be a cost reduction activity vs current overall costs of Organizational Reviews over a 5-year period. ICANN shall ensure that, as a minimum, the same overall budget is available for the continuous improvement efforts of the SO/AC/NCs.		with the GNSO to understand its views about the timing of the next GNSO review. The results of those discussions will be publicly available. The Board might need to consider timely engagement with other entities if their scheduled Organizational Reviews arise prior to the Bylaws being amended.	methodology and set of criteria for assessing continuous improvement within and across ICANN structures, ICANN runs the risk of using a different measuring stick every time. In addition, a collectively agreed standardized methodology and criteria offer an objective perspective on assessing 'improvement' or 'success.' **Review scheduling -** Under the ATRT3 recommendation, the scheduling of reviews is driven by other reviews. For example, ATRT3 recommends that future RDS and SSR reviews be suspended until the next ATRT review (currently scheduled for 2024). However, under this ATRT3 recommendation, the launch of the ATRT4 review would be contingent upon the completion of the Holistic Review. The		

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- Regardless of the processes selected by the specific SO/AC/NC, this shall fit in the financial constraints available for such activities.			recommended start for the first Holistic Review (within 12 months of Board action) may not be feasible. **Additional considerations:** In order to understand what an appropriate continuous improvement model would look like, and how it would ensure the desired outcomes can be achieved, the Board believes that an implementation project plan shall be informed by best practices, presented to the community for their consideration. As part of the ongoing efforts to streamline reviews, prior to the start of the ATRT3 work, the Board had initiated work on and the community provided input to a proposed Process for Streamlining Organizational Reviews. The Board paused these efforts during the ATRT3's deliberations to		

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			avoid duplication or conflicting work. The Board notes that elements of community input on the proposed Process for Streamlining Organizational Reviews could be complementary to the Continuous Improvement Program.		
ATRT3 Final Report Section 9.4: Recommendations, Suggestions, and Observations Related to the Accountability and Transparency of Strategic and Operational Plans, including Accountability Indicators **Recommendation 4.1:** ICANN org in strategic plans and operational plans shall provide a clear and concise rationale in plain language explaining how each goal, outcome, and operating initiative is critical to achieving the results of the one it is supporting (e.g., For each strategic goal there must be a rationale as to how it is critical for its strategic objective). **Recommendation 4.2:** ICANN org in its strategic plans and operational plans shall have a clearly articulated, in plain language, specific criteria defining success which shall be S.M.A.R.T (unless appropriately justified) for all goals (strategic or not), outcomes	Medium		ICANN org reports progress against its goals and objectives in the quarterly ICANN Org Report, to the ICANN Board, and ICANN's Annual Report. In implementation of this recommendation ICANN org should leverage these existing documents as appropriate to produce the reporting required by Recommendation 4 components. The Operating and Financial Plan for Fiscal Years 2021–2025 defines and demonstrates how ICANN org will implement the Strategic Plan for Fiscal Years	The work associated with the implementation of Recommendations 4.1 and 4.2 was already anticipated for inclusion in the workplan associated with the Operating Initiative "Planning at ICANN" as specified in ICANN's 5-year FY21-25 Operating Plan. The work associated with Recommendations 4.3, 4.4 and 4.5 is incremental and additional to the work currently planned and needs to be evaluated. This would either require additional resources or would be carried out instead of the work currently planned, which	**Approve subject to prioritization-** The Board approves the Recommendations 4.1, 4.2, 4.3, 4.4, and 4.5 subject to prioritization, noting however that the timing requirement stipulated in Recommendation 4.3 (that a supplementary document be produced within six months of approving this recommendation) is not feasible within the specified timeline. Some of the recommendations are already addressed at least in part by existing communication processes and reports, and existing or ongoing

ATRT3 Recommendation	ATRT3 Priority Designation	Dependencies	Considerations	Anticipated Resources/Costs	Possible Board Action
(targeted or not), operating initiatives, etc. **Recommendation 4.3:** For the FY2021-2025 Strategic Plan and FY2021 Operating Plan, ICANN org shall, within six months of approving this recommendation, produce a supplementary document using the criteria defining success in reporting on the progress of any relevant goal, outcome, operating initiative, etc. to create a listing of required rationales and specific criteria defining success (as defined by ATRT3 in this recommendation) for each goal (strategic or not), outcome (targeted or not), operating initiatives, etc. that are found in both of these documents and post it for public consultation prior to finalization. Once finalized ICANN org will append these to the FY2021-2025 Strategic Plan and FY2021 Operating Plan and use the criteria defining success in all reporting on the progress of any relevant goal, outcome, operating initiative, etc. **Recommendation 4.4:** ICANN org shall publish an annual status report on all Strategic Plan and Operating Plan goals, outcomes and operating initiatives. This should clearly assess each of the elements presented in the Strategic and Operating Plans (goals, outcomes etc.) clearly indicating what progress was			2021–2025 (Strategic Plan) that was adopted by the ICANN Board in June 2019. The Strategic Plan enables ICANN to continue to fulfill its mission and meet new and continuously evolving challenges and opportunities. Every strategic objective has a set of strategic goals, that identifies the intended results. For each strategic goal, a related set of targeted outcomes provides more detail on how the goal will be reached, and defines what success looks like. As part of the roadmap, ICANN org will be providing more details, to define stepwise, annual success towards the related strategic targeted outcome. Within ICANN's 5-year FY21-25 Operating Plan and the FY21 Operating	would delay the planned efforts.	processes that apply to the topics covered in the recommendations. While ICANN org confirms that the implementation of all portions of these recommendations is feasible, the Board notes its concern with the amount of resources that might be required to perform additional look-back reporting over already-completed review cycles, and notes the importance of resource considerations as part of the prioritization process. The Board directs ICANN org, as part of the implementation planning and prioritization work, to be clear on the resources required for the 'look-back' portions of this recommendation to allow for consideration in the prioritization process.

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made vs the target in concise and plain language. Prior to being finalized the report will be submitted for Public Comment. **Recommendation 4.5:** ICANN org shall publish an overarching report at the conclusion of a strategic plan starting with the 2016-2020 Strategic Plan. This should clearly assess each of the elements presented in the strategic plan its text (objectives, goals, outcomes) clearly indicate if it was attained or not and justify that assessment in concise and plain language. The report shall conclude with a section distilling the results of the assessments and how this could be applied to following strategic plans or their revisions. Prior to being finalized the report will be submitted for Public Comment.			Plan, each operating initiative and functional activity is linked to the strategic goals and supported by the targeted outcomes. Org would need to work with global communications to ensure additional engagement, and communication is needed to address these comments going forward for FY23 planning process as the FY22 Planning cycle is under development, and is scheduled to be published for public comment in December 2020. Risk for implementation is due to resources required, and the time needed to provide additional language and community engagement efforts. For example, the Recommendation 4.3 requirement that a supplementary document be produced		The Board notes that there may be a need to track implementation of Recommendations 4.1, 4.2, 4.3, 4.4 and 4.5 separately due to the distinct work efforts and implementation steps.

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			within six months of approving this recommendation is not feasible, especially considering that the implementation would be subject to prioritization.		
ATRT3 Final Report Section 10.4: Recommendations, Suggestions, and Observations Related to the Prioritization and Rationalization of Activities, Policies, and Recommendations **Recommendation 5:** ATRT3 recommends the following guidance for ICANN org in the creation of a community-led entity tasked with operating a prioritization process for recommendations made by review teams, cross-community groups, or any other community related budgetary elements the Board or ICANN org feels appropriate: ATRT3 recommends that all SO/ACs should have the option of participating in this annual process. Those SO/ACs wishing to participate in the prioritization process shall have one member per SO/AC. Additionally, the Board and the org shall also each have a member. The Board shall also take into account the	High	The Board notes the community, Board, and org's ongoing efforts to prioritize ICANN's work as part of the planning process. Implementation of R5 will be incorporated as part of prioritization of all of ICANN's work, using a framework for prioritization is developed. The work on prioritization will include the work plans for the Planning at ICANN Operating Initiative as included in ICANN's FY21-25 Operating Plan.	The Board provided the following input via the [Public Comment proceeding](#) on the draft recommendation: "The Board notes a concern that the ATRT3's 'guidance for the creation of a community-led entity tasked with developing a prioritization process,' and the development of a standing group to perform prioritization work does not recognize existing mechanisms that could be leveraged, and is not the right approach to solving the imminent problem of prioritization and resourcing over 300 community-issued recommendations." The Board further stated, "Instead of creating new	Estimated cost of planning for and implementing a community led prioritization process and running a pilot of such a process could include possible external consultants (plus ICANN org time TBD): $75,000-150,000 (one-time cost).	**Approve-** The Board approves this recommendation and directs ICANN org to proceed to implementation. The Board acknowledges that the implementation of this recommendation is dependent upon the need to prioritize all of ICANN's work through the annual planning cycle, and the need for the development of a framework in collaboration with the community and ICANN org. The Board directs ICANN org to develop a framework of prioritization taking into account community groupings,

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following high-level guidance for the prioritization process: - Shall operate by consensus of the individual SO/ACs, Board, and org members that are participating in the prioritization process. - Is meant to have a continuous dialogue with ICANN org during the preparation of the budget. - Shall consider WS2 recommendations which are required to complete the IANA transition and are subject to prioritization but must not be retired unless this is decided by the Board. - Must be conducted in an open, accountable, and transparent fashion and decisions justified and documented. - Shall integrate into the standard Operating and Financial Plan processes. - Can prioritize multiyear implementations, but these will be subject to annual reevaluation to ensure they still meet their implementation objectives and the needs of the community. - Shall consider the following elements when prioritizing recommendations: - Relevance to ICANN's mission, commitments,			community structures, the Board encourages the ATRT3 to refine its recommendation to build on existing community groupings, mechanisms and processes, so as to leverage expertise, build on what has been tested and ease any additional burdens in the challenges around the prioritization and resourcing work." The design of a community-led prioritization process will need to take into account, and/or be complementary to the efforts to prioritize the ongoing work of all of ICANNs as part of the Planning at ICANN operating initiative as included in the FY21-25 Operating Plan. The prioritization of work being planned under this operating initiative will cover all of ICANN's work including Board-approved recommendations from		mechanisms, and processes. The Board expects this prioritization process to utilize standard practices for consideration of inputs, such as the use of ICANN Public Comment proceedings. The Board also confirms that all prioritization efforts must be aligned and supported within the budget approved by the ICANN Board through the appropriate Bylaws processes (and therefore encourages the use of existing processes to the greatest extent possible) as the community prioritization effort cannot replace the Board or ICANN org officers' fiduciary responsibility in confirming that ICANN's work is properly managed across resource and budgetary limitations. The Board directs

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core values, and strategic objectives. - Value and impact of implementation. - Cost of implementation and budget availability. - Complexity and time to implement. - Prerequisites and dependencies with other recommendations. - Relevant information from Implementation Shepherds (or equivalents).			Specific and Organizational Review teams and cross-community working groups. The work to achieve this operating initiative will entail ICANN org drafting a prioritization framework and presenting that framework to the community and the Board for input and refinements. Following that input and refinement stage, ICANN org intends for the framework to be utilized in a pilot. This pilot will allow the community, and Board, and org to test the prioritization framework, and the process by which it is used in order to identify any necessary adjustments before applying it in a more systematic, sustainable way. The ATRT3 provided guidance that a prioritization process		ICANN org to facilitate efforts to develop a framework toward achieving an agreed-upon definition of what it would mean for the prioritization process to "operate by consensus of the individual SO/ACs, Board, and org members that are participating in the prioritization process."

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			should "operate by consensus of the individual SO/ACs, Board, and org members that are participating in the prioritization process." As there is not currently a definition of what consensus would look like in this format, part of the implementation of this recommendation requires definitional work proceed in order to achieve agreement from all involved parties.		