



CCWG – Accountability

Workstream 2 – Activity Dashboard*

March 2017

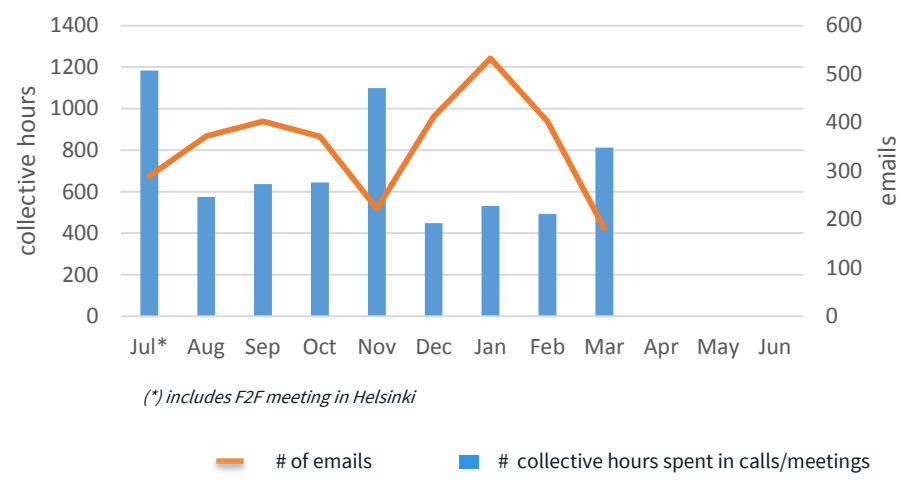
() Produced on behalf of the CCWG, and approved by the CCWG co-chairs. All status updates found in this report are provided by subgroups rapporteurs. Statistics are based on data available from the WS2 wiki.*

WS2 overall report

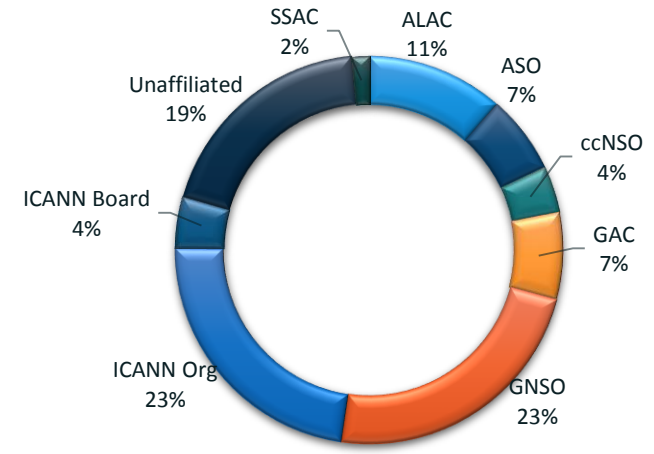
WS2 Monthly Activity Update

Reporting Period:
MARCH 17

Monthly Activity (plenaries & subgroups):



Monthly Participation by Affiliation:



Overall Timeline*:





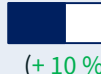



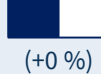



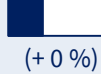

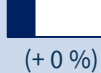

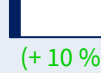

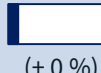

Based on data available from the WS2 wiki – this is a high level summary of the work underway. (*) work plans may vary by subgroups.

Updated on
10 Apr 17

Subgroups Progress Update

Progress:  41%

Reporting Period:
MARCH 17


Topic	Meetings this month	Progress	Status	Updates	Focus / Concerns / Risks
Transparency	0	 70% (+ 0 %)		<ul style="list-style-type: none"> Recommendations to improve ICANN's Transparency have been posted for Public Comment. 	<ul style="list-style-type: none"> Public Comment Period: 21 Feb – 10 Apr 17.
Guidelines for Good Faith...	0	 70% (+ 10 %)		<ul style="list-style-type: none"> Recommendations have been posted for Public Comment. 	<ul style="list-style-type: none"> Public Comment Period: 7 Mar – 24 Apr 17
SO/AC Accountability	2	 60% (+ 10 %)		<ul style="list-style-type: none"> Work on all three tracks completed. Preparation and tabling of WT report to CCWG Plenary for 2nd Reading. 	<ul style="list-style-type: none"> Discussion, Review and any update to text of the Final Report offer Plenary 2nd reading and preparation of draft for Public Comment
Human Rights	2	 40% (+0 %)		<ul style="list-style-type: none"> Finalized Framework of Interpretation (Fol). Achieved Subgroup consensus on Fol. Working on Considerations from Annex 12 of the CCWG Final Report. 	
Staff Accountability	2	 30% (+ 0 %)		<ul style="list-style-type: none"> CCWG-Plenary approved changes to subgroup work approach. Subgroup working on producing a list of systemic issues found with staff accountability. 	<ul style="list-style-type: none"> On-going discussion with ICANN Org in order to include a number of senior staff members in the workgroup. Revised work schedule
Diversity	3	 30% (+ 0 %)		<ul style="list-style-type: none"> Questionnaire has been approved by Plenary. Drafting team assembled, to produce 2nd version of initial report. 	<ul style="list-style-type: none"> Discuss timeline / ability to deliver by June?
Ombuds Office	4	 25% (+ 0 %)		<ul style="list-style-type: none"> Cameron Ralph LLC selected and contracted as reviewer. Participated in ICANN58 for Interviews. Survey to be finalized. 	<ul style="list-style-type: none"> Coordination with other sub-groups (Transp., Staff Account., H.Rights, Div., SO/AC Account.) A new timeline needs to be setup.
Review of the CEP	0	 25% (+ 10 %)		<ul style="list-style-type: none"> Received list of all CEP Requests (open or closed) since ICANN began tracking CEP matters in August 2014 Some interviews were conducted during ICANN 59 meetings. 	<ul style="list-style-type: none"> Proposed principles to be drafted as a result of the interviews conducted in Copenhagen.
Jurisdiction	3	 15% (+ 0 %)		<ul style="list-style-type: none"> Worked on "The influence of ICANN's existing jurisdictions relating to resolution of disputes. Participant-proposed responses added to "Hypothetical #1" and "strawman" responses. 	<ul style="list-style-type: none"> Questionnaire response period: 9 Feb – 17 Apr 17. A set of questions seeking information from ICANN Legal has been sent to the Co-Chairs. Need to revise timeline and target.

Based on data available from the WS2 wiki –

this is a high level summary of the work underway

 Not started

 On-track

 Behind schedule, but recovery still possible

 Target will be missed

 Completed



Plenary Reviews and Public Comment Periods Schedule

	CCWG Plenary 1 st reading	CCWG Plenary 2 nd reading	Public Comments
Jurisdiction (Questionnaire)	✓ 12/14/16	✓ 01/11/17	02/09/17 – 04/17/17
Transparency	✓ 01/11/17	✓ (02/08/17)	02/21/17 – 04/10/17
Good Faith Conduct	✓ (02/08/17)	✓ (02/22/17)	03/07/17 – 04/24/17
SO/AC Accountability	✓ 03/10/17	✓ 03/29/17	TBD
Diversity (Questionnaire)	✓ 03/10/17	✓ 03/29/17	TBD
Staff Accountability	Mid-May (tbc)	TBD	TBD
Human Rights	04/12/17	04/26/17 (tbc)	TBD
Ombudsman	TBD	TBD	TBD
Review of the CEP	TBD	TBD	TBD
Jurisdiction	TBD	TBD	TBD

TBD: to be determined

tbc: to be confirmed

WS2 Budget Update

Reporting Period: January 2017 YTD – Eight months
(July 1, 2016 – February 28, 2016)

Amounts in USD Thousands (000s)	February 2017 YTD - Eight months July 1, 2016 - February 28, 2017							YTD Committed Expense	Subtotal YTD Actual plus Committed	% Spend To-Date	2017 Budget Remaining
	Staff	Travel & Meetings	Telecom & Language Support	Legal Services	US Gov't Affairs (Lobbying)	Other Professional Services	Total				
Cross Community Working Group Support											
IRP Phase 2	\$ -	\$ -	\$ -	\$ 155	\$ -	\$ -	\$ 155	\$ -	\$ 155	30%	\$ 364
Accountability WS2	-	42	-	-	-	-	42	-	42	2%	1,858
Total Costs - Cross Community Working Group Support	-	42	-	155	-	-	197	-	197	8%	2,221
ICANN Support											
IRP Phase 2	-	-	-	26	-	-	26		26	6%	374
Accountability WS2	448	23	12	2	-	188	672		672	57%	509
Transition Implementation	576	22	9	1,598	-	692	2,896		2,896	79%	750
General Project Activities	571	8	-	-	255	51	885		885	76%	280
Total Costs - ICANN Support	1,595	52	21	1,626	255	931	4,479	-	4,479	70%	1,912
Total IANA Transition Project											
IRP Phase 2	-	-	-	181	-	-	181		181	20%	738
Accountability WS2	448	65	12	2	-	188	715		715	23%	2,367
Transition Implementation	576	22	9	1,598	-	692	2,896		2,896	79%	750
General Project Activities	571	8	-	-	255	51	885		885	76%	280
Total Costs - IANA Transition Project	\$ 1,595	\$ 94	\$ 21	\$ 1,781	\$ 255	\$ 931	\$ 4,676	\$ -	\$ 4,676	53%	\$ 4,134

Total Budget by Cost Category	\$ 2,708	\$ 552	\$ 830	\$ 3,330	\$ 250	\$ 1,140	\$ 8,810
% Spend To-Date vs. Budget by Cost Category	59%	17%	2%	53%	102%	82%	53%

F2F Meeting (ICANN57):

- # of airfares funded: 8
- # of hotel nights: 62
- # per diems: 61
- # of participants: 102
 - on-site: 61
 - remote: 41

Notes:

- Total spend after 8 months represents 53% of annual budget as compared to a year-to-date budget of 67%.
- Community Support represents 8% of the budget due to delays in WS2 activities. Spend year to date represents legal analyses supporting the IRP work and community travel expenses for the CCWG meeting at ICANN 57.
- ICANN Support represented 70% of the annual spend after 8 months, with a majority of the spend related to the Transition implementation work for the NTIA contract expiration.

Subgroups Reports

Updates:

- Recommendations to improve ICANN's Transparency have been posted for [Public Comment](#).

Upcoming Activities:

- [Public Comment](#) Period: 21 Feb – 10 Apr 17

Open Items:

Rapporteurs: Chris Wilson, Michael Karanicolas

of signed-up Active Participants: 34

of signed-up Observers: 28

Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

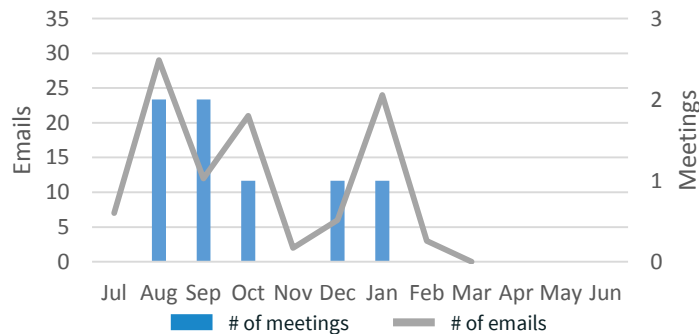
Description / Scope:

Our research focuses on the following three areas:

- Enhancements to ICANN's existing Documentary Information Disclosure Policy (DIDP).
- Proactive Disclosure Policies (including interactions with governments and Board deliberations).
- Improvements to the existing whistleblower policy.

Activity:

Total # of meetings:	7
Total # of emails:	104
Collective hours on calls:	130



Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	✓
Produce draft for CCWG	Feb	✓
Produce draft for PC	March	✓
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

Guidelines for Good Faith Conduct

Reporting Period:
MARCH 17

Progress:  70%

Status: On-track

Updates:

- Recommendations have been posted for [Public Comment](#).

Upcoming Activities:

- [Public Comment](#) period: 07 Mar – 24 Apr.

Open Items:

Rapporteurs: Lori Schulman

of signed-up Active Participants: 12

of signed-up Observers: 18

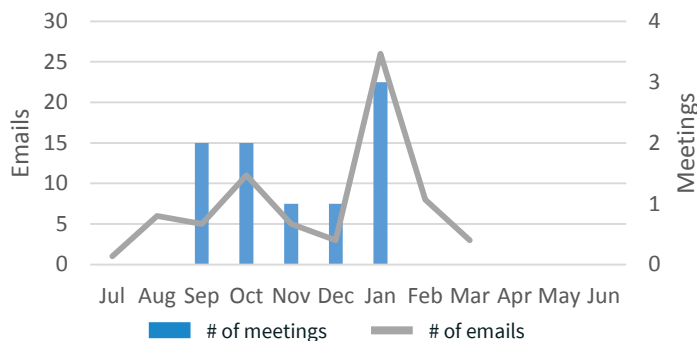
Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

Description / Scope: Decisional Participants of the Empowered Community (EC) have the right to appoint and remove individual Directors. In the event that a Decisional Participant endeavors to remove an individual board member, his actions are indemnified provided the Decisional Participant has acted in “good faith”. The purpose of this sub-team is to draft guidelines for conduct that would be considered good faith actions on the part of the Decisional Participants in order for the indemnification to apply.

Activity:

Total # of meetings:	9
Total # of emails:	68
Collective hours on calls:	102



Work Plan:

Start work	Aug	✓
Document questions to answer	Mid-Sep	✓
Document work to do	Sep	✓
Produce draft for subgroup	Oct	✓
Produce draft for CCWG	Feb	✓
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	June	



Based on data available from the WS2 wiki – this is a high level summary of the work underway.

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on
10 Apr 17

Updates:

- Work on all three tracks completed.
- Preparation and tabling of WT report to CCWG Plenary for 2nd Reading.

- Links to report:
 - [Google Doc](#)
 - Pdf

Upcoming Activities:

- Discussion, Review and any update to text of the Final Report offer Plenary 2nd reading and preparation of draft for Public Comment.

Open Items:

Rapporteurs: Cheryl Langdon-Orr, Farzaneh Badii, Steve DelBianco

of signed-up Active Participants: 41

of signed-up Observers: 39

Useful links:

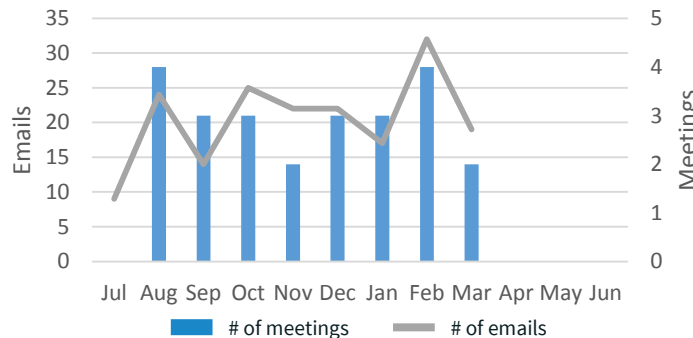
- [Wiki](#) [Mailing List archive](#)
- [Meetings schedule](#)

Description / Scope: Survey, Analyze, Assess and Recommend any Improvements to ICANN’s SO and AC Accountability.

- Track 1: Review and develop recommendations to improve SO/AC processes for accountability, transparency, & participation that are helpful to prevent capture.
- Track 2: Evaluate the proposed “Mutual Accountability Roundtable” to assess its viability and, if viable, undertake the necessary actions to implement it.
- Track 3: Assess whether the IRP would also be applicable to SO & AC activities.

Activity:

Total # of meetings:	24
Total # of emails:	184
Collective hours on calls:	438



Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	✓
Produce draft for CCWG	Feb	✓
Produce draft for PC	March	✓
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

Human Rights

Reporting Period:
MARCH 17

Progress:  40%

Status: on-track

Updates:

- Finalized Framework of Interpretation (Fol).
- Achieved Subgroup consensus on Fol.
- Working on Considerations from Annex 12 of the CCWG Final Report.

Upcoming Activities:

- Finalizing Considerations.
- Submitting Fol and Considerations to the CCWG plenary.

Open Items:

Rapporteurs: Niels ten Oever

of signed-up Active Participants: 69

of signed-up Observers: 54

Useful links:

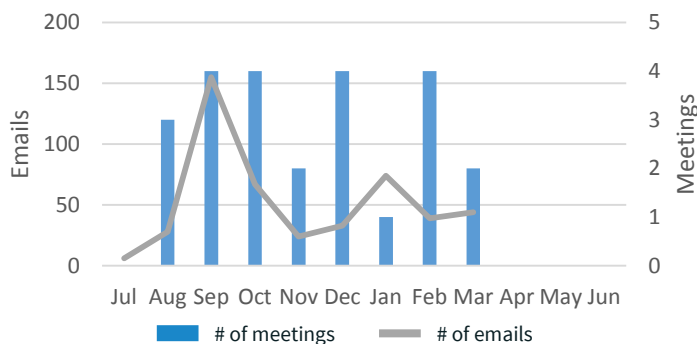
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

Description / Scope:

Develop a framework of interpretation for human rights bylaw, ("FOI-HR"), which was adopted in Work Stream 1. (Bylaws Section 1.2(b)(viii))

Activity:

Total # of meetings:	24
Total # of emails:	470
Collective hours on calls:	668



Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Mar	✓
Produce draft for CCWG	Apr	
Produce draft for PC	May	
Public Comment	May/June	
Revise draft	June	
CCWG approval	June	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on
10 Apr 17

Staff Accountability

Reporting Period:
MARCH 17

Progress:  30%

Status: on-track

Updates:

- CCWG-Plenary approved changes to subgroup work approach.
- Subgroup working on producing a list of systemic issues found with staff accountability.
- On-going discussion with ICANN Org in order to include a number of senior staff members in the workgroup.
- Revised work schedule.

Upcoming Activities:

- Finalize [Issues Analysis table](#).

Open Items:

Rapporteurs: Avri Doria, Jordan Carter

of signed-up Active Participants: 24

of signed-up Observers: 18

Useful links:

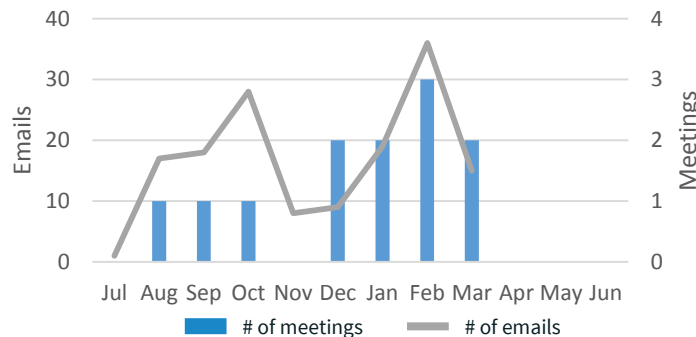
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

Description / Scope: (Annex 12 from CCWG report & ATRT 9.3, 9.4)

- Describe the role of ICANN staff vis-à-vis the ICANN Board and the ICANN community.
- Consider a Code of Conduct, transparency criteria, training, and KPIs to be followed by staff in relation to their interactions with all stakeholders .
- Establish regular independent (internal and community) surveys and audits to track progress and identify areas that need improvement, and establish appropriate processes to escalate issues.

Activity:

Total # of meetings:	12
Total # of emails:	151
Collective hours on calls:	140



Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Apr	
Produce draft for CCWG	May	
Produce draft for PC	May	
Public Comment	June	
Revise draft	July	
CCWG approval	July	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on
10 Apr 17

Updates:

- Questionnaire to be sent to SO/AC for their input on diversity has been approved by Plenary.
- A drafting team has been assembled, to produce a second version of the initial report.
- A request for live interpretation services (English/French/Spanish) during subgroup calls has been submitted to ICANN.

Upcoming Activities:

- Finalize a second version of the initial report:
 - resolving pending questions,
 - focusing on the recommendations section.
- Discuss timeline / ability to deliver by June?

Open Items:

Rapporteurs: Fiona Asonga, Rafik Dammak

of signed-up Active Participants: 47

of signed-up Observers: 42

Useful links:

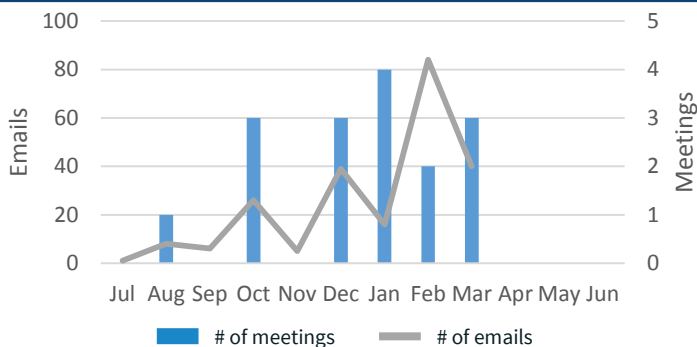
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

Description / Scope:

With reference to recent discussion the group is looking at diversity mechanisms that enhance accountability within ICANN (Leadership, staff and community).

Activity:

Total # of meetings:	16
Total # of emails:	225
Collective hours on calls:	311



Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	
Produce draft for CCWG	Feb	
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

Updates:

- Review of the IOO:
 - Cameron Ralph LLC
 - Selected and contracted as reviewer
 - Participated ICANN58 for Interviews
 - Survey to be finalized
- Draft document regarding “Complaints” Office’s issues was discussed by IOO Subgroup and by the Plenary.

Upcoming Activities:

- Following the external review of the IOO.

Open Items:

- Coordination with other sub-groups:
 - Transparency
 - Staff Accountability
 - Human Rights
 - Diversity
 - Accountability SO/AC
- A new timeline needs to be setup (following track 1 or longer).

Rapporteurs: Sebastien Bachollet

of signed-up Active Participants: 23

of signed-up Observers: 22

Useful links:

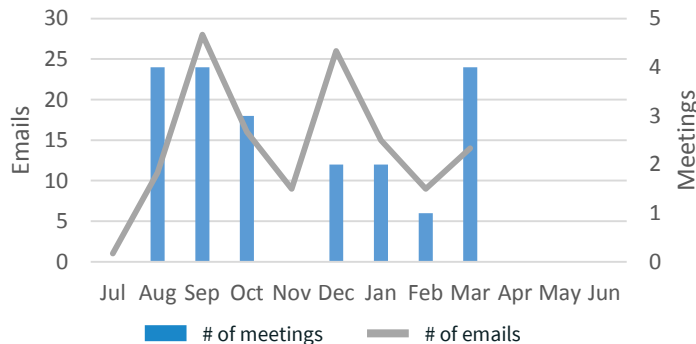
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

Description / Scope:

Evaluate the current Ombudsman charter and operations against industry best practices and recommend any changes necessary to ensure that the ICANN Ombuds Office (IOO) has the tools, independence, and authority needed to be an effective voice for ICANN stakeholders.

Activity:

Total # of meetings:	20
Total # of emails:	129
Collective hours on calls:	272



Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	
Produce draft for CCWG	Feb	
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

Review of the CEP

Reporting Period:
MARCH 17

Progress:  25%

Status: Behind

Updates:

- ICANN Legal provided a list of all CEP Requests (open or closed) since ICANN began tracking CEP matters in August 2014, and a redlined version showing the changes to the IRP Section of ICANN Bylaws.
- Some interviews were conducted during ICANN 59 meetings.

Upcoming Activities:

- Proposed principles to be drafted as a result of the interviews conducted in Copenhagen.

Open Items:

-

Rapporteurs: Edward Morris

of signed-up Active Participants: 18

of signed-up Observers: 12

Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

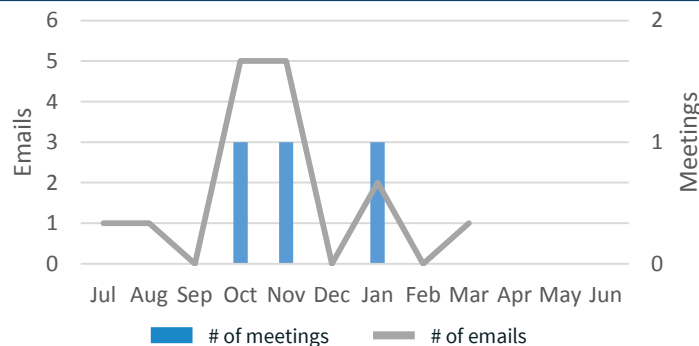
Description / Scope:

The CEP is a voluntary process available prior to the filing of a request for Independent Review.

This subgroup is charged with reviewing Bylaws provisions relating to the CEP and with constructing the CEP Rules, per ICANN Bylaws §4.3(e)(i).

Activity:

Total # of meetings:	3
Total # of emails:	15
Collective hours on calls:	29



Work Plan:

Task	Timeline	Status
Start work	Oct	✓
Document questions to answer	Oct	
Document work to do	Oct	
Produce draft for subgroup	Nov-Jan	
Produce draft for CCWG	Feb	
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

Updates:

- Questionnaire to collect factual inputs from stakeholders was released on February 9.
 - Questionnaire was translated into ICANN languages.
 - End of response period is April 17.
- ICANN's current and past litigations are being reviewed and summarized by a small group, using a standard summary tool.
- Worked on "The influence of ICANN's existing jurisdictions relating to resolution of disputes (i.e., "Governing Law" and "Venue") on the actual operation of policies and accountability mechanisms."
- Participant-proposed responses added to "Hypothetical #1" and "strawman" responses; all discussed by Subgroup.
- A set of questions seeking information from ICANN Legal has been sent to the Co-Chairs.

Upcoming Activities:

- Continue review and summaries of ICANN litigations.
- Work on "Influence of ICANN's existing jurisdictions" suspended pending ICANN Legal response.
- Discussion of Hypothetical #1 suspended pending responses to Questionnaire.
- Approval of ICANN Legal questions by the CCWG Legal Committee; send questions to ICANN Legal
- Review and analyze responses to Questionnaire on a rolling basis.

Open Items:

- Continue to identify advice needed from ICANN legal, outside counsel or other experts.
- Need to better define questions to answer and work to be done.
- Need to clarify "mandate" of the Subgroup, including "gap analysis" to be "confirmed" per Annex 12.
- Need to clarify deliverable(s).
- Need to revise timeline and target.

Rapporteurs: Greg Shatan, Vinay Kesari

of signed-up Active Participants: 66

of signed-up Observers: 44

Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

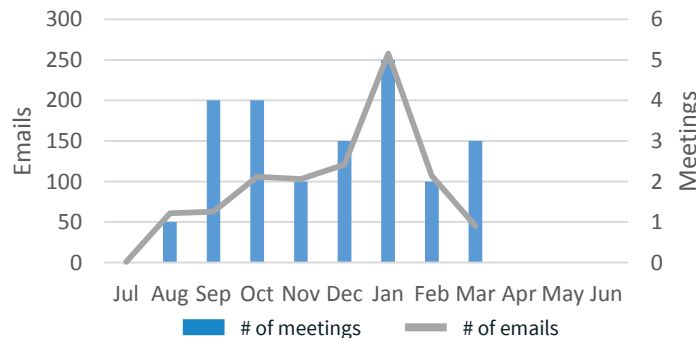
Description / Scope: (Based on Annex 12)

Main issues relate to influence of ICANN's existing jurisdiction on the actual operation of policies and accountability mechanisms, primarily disputes involving ICANN, i.e., "choice of law" and "venue", but not necessarily the place of ICANN incorporation. This focus should include:

- Confirming and assessing the gap analysis, clarifying all concerns regarding the multi-layer jurisdiction issue.
- Identifying potential alternatives and benchmarking their ability to match all CCWG-Accountability requirements using the current framework.

Activity:

Total # of meetings:	24
Total # of emails:	865
Collective hours on calls:	647

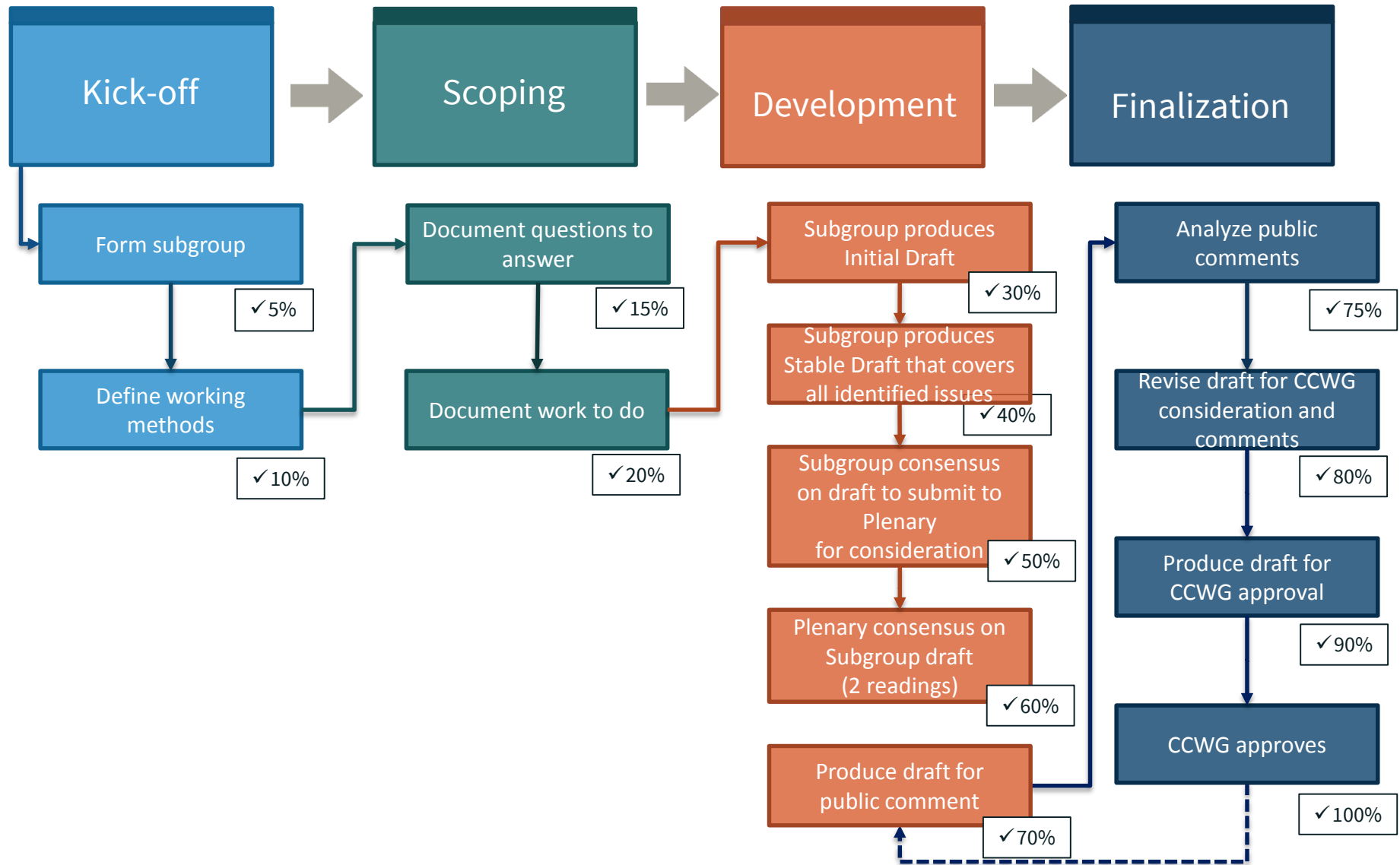


Work Plan:

Task	Month	Status
Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	
Produce draft for subgroup	Nov-Jan	
Produce draft for CCWG	Feb	
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

Appendix

Measurement of Progress



Steps & milestones to finalize recommendations

Document questions to answer	15%	10/15/2016
Document work to do	20%	10/31/2016
Subgroup produces Initial draft	30%	1/31/2017
Subgroup produces stable draft that	40%	2/14/2017
Subgroup consensus on draft to submit to plenary for consideration	50%	2/28/2017
Plenary consensus on subgroup draft (1st reading)		3/10/2017
ICANN 58		3/11 - 3/16/2017
Plenary consensus on subgroup draft (2nd reading)	60%	3/24/2017
Staff produces draft for public comment	70%	4/7/2017
Public Comment Period		04/14 - 05/26/17
Analyze public comments	75%	6/2/2017
Revise draft for CCWG consideration and	80%	6/5/2017
CCWG review (1st reading)	90%	6/6/2017
CCWG review (2nd reading)	95%	6/9/2017
Staff produces final draft		6/10 - 6/24/17
CCWG agrees on final output and presents recommendations to community	100%	6/25/2017
ICANN 59		6/26 - 6/29/17

Reporting Schedule

- Report updated monthly.
- 25th of the month (M): subgroups rapporteurs provide their monthly update.
- 25th + 5 business days: PCST provides draft financial statement of activity to CCWG co-chairs for previous period (M-1).
- End of month: staff updates report with all statistical data of the month (M)
- 25th + 10 business days: dashboard including activity of month (M), and financial information of month (M-1) is published at the beginning of the next month (M+1).