

Accountability and Transparency - Review Team 2010

Evaluation Criteria, Performance Measurements and KPI's

DRAFT

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Framework of Review

Objectives

The RT will identify, analyse and recommend performance indicators (i.e "metrics") for each of the elements addressed in paragraph 9.1 of the AoC. The RT will review and may draw from existing performance indicators already in use by ICANN for the elements of paragraph 9.1. The RT is not bound to recommend the performance indicators already in use and may, without limitation, identify and analyse a broad set of performance indicators from wide variety of settings.

The objective is to improve existing performance indicators and to recommend the adoption of performance indicators (where they do not exist) that will provide clear measurement of progress by ICANN in the respective areas. The RT shall also recognize that each of the five elements under paragraph 9.1 of the AoC are different in nature and content. Therefore, a single set of performance indicators for all five elements is unlikely to produce meaningful, measurable results and performance indicators should be tailored to the specific areas of review.

Areas of Review in Affirmation of Commitments (From the AoC Paragraph 9.1)

Ensuring accountability, transparency and the interests of global Internet users:

ICANN commits to maintain and improve robust mechanisms for public input, accountability, and transparency so as to ensure that the outcomes of its decision-making will reflect the public interest and be accountable to all stakeholders by:

- (a) continually assessing and improving ICANN Board of Directors (Board) governance which shall include an ongoing evaluation of Board performance, the Board selection process, the extent to which Board composition meets ICANN's present and future needs, and the consideration of an appeal mechanism for Board decisions;
- (b) assessing the role and effectiveness of the GAC and its interaction with the Board and making recommendations for improvement to ensure effective consideration by ICANN of GAC input on the public policy aspects of the technical coordination of the DNS;
- (c) continually assessing and improving the processes by which ICANN receives public input (including adequate explanation of decisions taken and the rationale thereof);
- (d) continually assessing the extent to which ICANN's decisions are embraced, supported and accepted by the public and the Internet community;

and

(e) assessing the policy development process to facilitate enhanced cross community deliberations, and effective and timely policy development. ICANN will organize a review of its execution of the above commitments no less frequently than every three years, with the first such review concluding no later than December 31, 2010.

Other Areas of Review

While paragraph 9.1 provides a specific roadmap concerning areas of review for the RT, the RT must determine whether there are other areas for review that fall within the purview of its work. The entirety of the AoC lends context and meaning to paragraph 9.1. The RT takes particular note of paragraphs 7 and 8 of the AoC and should determine the relevance and potential incorporation of these paragraphs (or portions thereof) explicitly into its work. Paragraphs 7 and 8 state:

“7. ICANN commits to adhere to transparent and accountable budgeting processes, fact-based policy development, cross-community deliberations, and responsive consultation procedures that provide detailed explanations of the basis for decisions, including how comments have influenced the development of policy consideration, and to publish each year an annual report that sets out ICANN’s progress against ICANN’s bylaws, responsibilities, and to publish each year an annual report that sets out ICANN’s progress against ICANN’s bylaws, responsibilities, and strategic and operating plans. In addition, ICANN commits to provide a thorough and reasoned explanation of decisions taken, the rationale thereof and the sources of data and information on which ICANN relied.

8. ICANN affirms its commitments to: (a) maintain the capacity and ability to coordinate the Internet DNS at the overall level and to work for the maintenance of a single, interoperable Internet; (b) remain a not for profit corporation, headquartered in the United States of America with offices around the world to meet the needs of a global community; and (c) to operate as a multi-stakeholder, private sector led organization with input from the public, for whose benefit shall in all events act. ICANN is a private organization and nothing in this Affirmation should be construed as control by any one entity.”

In addition to the contents of the AoC, the RT takes note of the following points from the ICANN Staff paper:

- ICANN commits to provide a thorough and reasoned explanation of decisions taken, the rationale thereof and the sources of data and information on which ICANN relied.
- To ensure that its decisions are in the public interest, and not just the interests of a particular set of stakeholders, ICANN commits to perform and publish analyses of the positive and negative effects of its decisions on the public, including any financial impact on the public, and the positive or negative impact (if any) on the systemic security, stability and resiliency of the DNS.

Data Collection

Data collection can be divided into 3 time periods: first, data concerning ICANN’s accountability and transparency from October 1, 2009 through the present. This data will have direct relevance to ICANN’s performance in achieving accountability and transparency consistent with the requirements of the AoC. Second, historical data collection which would cover the period of October 1, 2006 to September 30, 2009. This period covers the duration of the final Joint Project Agreement (JPA) extension prior to the execution of the AoC and, importantly, includes specific undertakings by ICANN with respect to improving accountability and transparency (notably, ICANN Accountability and Transparency Frameworks and

Principles, January 2008; JPA mid-term review, February 2008; and the President's Strategic Committee (PSC) Improving Institutional Confidence, 2008. Third, the period prior to October 1, 2006, to the extent that there are relevant documents that pertain directly to A&T that were created or initiated during that period. The RT anticipates putting the greatest emphasis on the periods covering the last revised JPA and the AoC.

For both time periods, data concerning ICANN's relative success in such undertakings and performance indicators utilized to determine progress will be of direct interest.

Identification of Performance Indicators

The RT should identify and analyze definitions of performance indicators and determine methods for selecting applicable performance indicators. The RT should identify and analyze a variety of performance indicators for consideration in its recommendations. For example, one set of known indicators is:

(SMART Metrics) - Elements of Performance indicators**

- Specific
- Measurable
- Achievable
- Relevant
- Time-Bound

Key Points to Consider

Certain historical, current and future measurements (both quantitative and qualitative) need to be established. Identification of the respective components of ICANN processes (be they PDP, Board or others) must be identified in order to recommend appropriate performance indicators. Questions include, but are not limited to:

- What performance indicators have been implemented to date?
- How have they been tested or validated?
- What have the indicators shown?
- Do performance indicators vary?
- Can performance indicators be flexible for future evolution of tasks?

Discussion

- Discussion items and alternatives for group think / review need to be explored include:-
 - How we list/record expectations of Team, of ICANN community, of Board, of stakeholders.
 - Will each representative of ICANN Community in AT-RT establish their own mechanisms / tools for outreach and input?
 - What mechanisms for data collection an input will the AR-RT use:
 - Public Forum(s)
 - At ICANN Meeting(s)
 - Other fora
 - list
 - Survey
 - Office hours?
 - With or without interview opportunities
 - this could include collection of metrics as in any survey
- How might we to "break up" historical data sets of information (this could be a useful tool to measure recent changes in A&T undertaken by ICANN as it moved from the JPA through mid term review, and into the AoC periods); perhaps a Matrix where hyper-links can take the report reader to the historical and/or current metrics and efforts to improve archives.

Time period* see points in time expanded in Data Collection section above.	Community input/observations & comments	Actions by ICANN / structure responsible
Pre 2006		
2006 => 2007		
2007=> 2008		
2008 => 2009 Up to but not including AoC		
2009 => 2010 AT-Review #1		
Dec 2010 =>		

- What time line project milestone dates / schedules do we need to set?

Evaluation(s): Evaluation methodologies to be determined by the RT.

Evaluation methodologies must be identified and analyzed by the RT. The RT recognizes that the performance indicators that are adopted will influence the evaluation methodologies ultimately recommended by the RT.

Recommendations

Paragraph 9.1 of the AoC requires:

- Resulting recommendations of the reviews will be provided to the Board and posted for public comment.
- The Board will take action within six months of receipt of the recommendations.
- Each review shall consider the extent to which the assessments and actions undertaken by ICANN have been successful in ensuring that ICANN is acting transparently, is accountable for its decision-making, and acts in the public interest.

Next Steps

- The RT should establish a schedule for future assessments to ascertain to what extent the ICANN Board and staff have implemented the recommendations arising out of the other commitment reviews.

** SMART Metrics - Evaluation system background information and some useful references.

http://en.wikipedia.org/wiki/SMART_criteria

Some other links to use references and background materials / resources:-

1. http://berkeley.edu/news/berkeleyan/2006/02/15_performance.shtml
2. <http://www.stlawu.edu/resources/performance/managementquickguide.pdf>
3. <http://cuberules.com/2009/09/21/smart-goals-and-writing-your-performance-review/>
4. <http://www.cuberules.com/newsletter/killer-smart-goals-for-the-cubicle-warrior/>
5. <http://www.career-intelligence.com/management/SmartGoals.asp>
6. <http://www.projectsmart.co.uk/smart-goals.html>
7. <http://www.rapidbi.com/created/WriteSMARTobjectives.html>
8. <http://www.siop.org/tip/backissues/tipapr02/03rubin.aspx>
9. http://www.lehigh.edu/~inhro/documents/SMART_GoalsHandout.pdf
10. http://www.bloomington.k12.mn.us/departments/staff_development/documents/SmartGoals_000.pdf
11. <http://resources.bnet.com/topic/smart+goals.html>
12. http://personaldevelopment.suite101.com/article.cfm/smart_goal_setting
13. <http://humanresources.about.com/cs/performance/a/goalsetting.htm>
14. <http://ravenyoung.spaces.live.com/blog/cns!17376F4C11A91E0E!990.entry>
15. <http://www.brighthub.com/office/project-management/articles/26374.aspx>