Strategic Goal 5.2 and Measuring Progress

Charla Shambley | ICANN57 | 4 November 2016
The Strategic Plan and Goal 5.2

What can KPIs Deliver?

Where we Started - Version 1.0

A New Approach – Version 2.0:
  • Ethics
  • Transparency
  • Accountability

Dashboard Version 3.0

Let’s Discuss …
Development of Strategic Plan 2016-2020

- October 2014 – Board adopted 5-Year Strategic Plan (FY16-20)
- Strategic plan linked to Operating Plan and Budget
- Strategic planning for FY21-25 to start in FY19 – based on Planning calendar in 5-Year Operating Plan
- Achievement and progress reporting
  - Quarterly Stakeholder Calls
  - Annual Operating Plan Updates
ICANN KPI Dashboard

As of September 2016

In line with ICANN’s values of accountability, transparency and operational excellence, this Key Performance Indicator (KPI) Dashboard will be a living management tool to track progress on ICANN’s five strategic objectives and the related 16 goals.

Accordingly, the KPI Dashboard follows the same structure as the Strategic Plan, Five-Year Operating Plan, and Annual Operating Plan and Budget.

The KPI Dashboard will add value to the organization by:
- Providing clarity on how the strategies will be achieved
- Focusing on what is essential and requires attention
- Enabling improvements via monitoring progress towards targets

The shepherd is the executive who is primarily responsible and accountable for the performance relevant to that work at ICANN. Virtually every objective and goal in ICANN’s Strategic Plan and in the Project Portfolio Management is cross-functional and involves multiple departments within the organization.

If you would like additional information on the KPIs and other metric details, please see Achievement & Progress Reporting.

We appreciate the constructive feedback from the community in advancing the dashboard to Version 2. Improvements will continue, and your feedback are always welcomed.

How to Use: Click on one of ICANN’s five Strategic Objectives below to drill down to the Goal level of a particular Objective to view the up-to-date KPI Dashboards.

Objectives & Overall Status

- **1 Evolve and further globalize ICANN**
  - 89

- **2 Support a healthy, stable and resilient unique identifier ecosystem**
  - 83

- **3 Advance organizational, technological and operational excellence**
  - 91

- **4 Promote ICANN’s role and multistakeholder approach**
  - 87

- **5 Develop and implement a global public interest framework bounded by ICANN’s mission**
  - **5.1 Act as a Steward of the Public Interest**
    - 50
  
  - **5.2 Promote ethics, transparency and accountability across the ICANN community**
    - 88
  
  - **5.3 Empower current and new stakeholders to fully participate in ICANN activities**
    - 93
Building Blocks for Goal 5.2

- ETHICS
- TRANSPARENCY
- ACCOUNTABILITY
What Can KPI’s Deliver?

1. TRUST
2. EFFICIENCY & EFFECTIVENESS
3. LEGITIMACY
Where we Started – Version 1.0

5.2 Promote ethics, transparency and accountability across the ICANN community

Theresa Swinehart, Sr. Vice President, Multistakeholder Strategy and Strategic Initiatives

Question: How many people here have consulted 5.2 KPI’s in the last 12 months?
A New Approach: Version 2.0

1) KPI’s should reach across ICANN departments to measure the Ethics, Transparency and Accountability of the organization as a whole

2) KPI’s should support Strategic Objectives and Continuous Improvement & clearly illustrate progress

3) KPI’s should represent the Multistakeholder Model
## A New Approach: Promoting Ethics

<table>
<thead>
<tr>
<th>Components used to promote ethics</th>
<th>Measure</th>
<th>Target</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Mandatory Training</td>
<td>% of training complete</td>
<td>100% participation</td>
<td>50%</td>
<td>100</td>
</tr>
<tr>
<td>2 Conflicts of Interest</td>
<td>Completion of annual disclosure statement</td>
<td>100% participation</td>
<td>50%</td>
<td>100</td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td></td>
<td></td>
<td>200</td>
</tr>
</tbody>
</table>

**Total Weighted Score - Ethics**

100%
# A New Approach: Promoting Transparency

## Promote Transparency

<table>
<thead>
<tr>
<th>Components used to promote transparency</th>
<th>Measure</th>
<th>Target</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Requests under Document Information Disclosure Policy (D % of requests responded to within 30 days)</td>
<td>100%</td>
<td>17%</td>
<td>100</td>
<td></td>
</tr>
<tr>
<td>2 ICANN Publication Practices</td>
<td>Comprehensive documentation of Publication Practices posted</td>
<td>100%</td>
<td>17%</td>
<td>100</td>
</tr>
<tr>
<td>3 Materials supporting Board decisions - agendas, resolutions, reports</td>
<td>% of materials published within ICANN standard</td>
<td>100%</td>
<td>17%</td>
<td>100</td>
</tr>
<tr>
<td>4 Audited financial statements</td>
<td>Annual publication; unmodified opinion</td>
<td>100%</td>
<td>17%</td>
<td>100</td>
</tr>
<tr>
<td>5 Operating Plan and Budget</td>
<td>Timely publication; level of engagement measured by # of public comments</td>
<td>TBD</td>
<td>17%</td>
<td>100</td>
</tr>
<tr>
<td>6 Documents and sessions translated</td>
<td># of documents and sessions translated into UN languages and PT; other languages as required by working groups</td>
<td>100%</td>
<td>TBD</td>
<td>TBD</td>
</tr>
<tr>
<td>7 Quarterly Stakeholder Calls</td>
<td>Stakeholder calls are held on a quarterly basis; recordings and transcripts are posted on icann.org</td>
<td>100%</td>
<td>17%</td>
<td>100</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Totals</th>
<th>100%</th>
<th>600</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Weighted Score - Transparency</strong></td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>
## Promote Accountability

<table>
<thead>
<tr>
<th>Components used to promote accountability</th>
<th>Measure</th>
<th>Target</th>
<th>Weight</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Independent Review Process</td>
<td>Materials posted on icann.org</td>
<td>100%</td>
<td>33%</td>
<td>100</td>
</tr>
<tr>
<td>2 Anonymous employee hotline</td>
<td>Policy</td>
<td>Reviewed by independent expert</td>
<td>Done</td>
<td>8.3%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Annual acknowledgement</td>
<td>100%</td>
<td>8.3%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Posting in all ICANN locations</td>
<td>100%</td>
<td>8.3%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reporting</td>
<td>Annual report of cases</td>
<td>100%</td>
</tr>
<tr>
<td>3 Timely posting of reconsideration request</td>
<td>Materials posted on icann.org</td>
<td>100%</td>
<td>33%</td>
<td>100</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Totals</th>
<th>100%</th>
<th>600</th>
</tr>
</thead>
</table>

**Total Weighted Score - Accountability**: 100%
Dashboard Version 3.0 Examples

Timely Submission of Conflict of Interest Disclosure Statements by ICANN Organization

Number of Days Annual Audited Financial Report Posted Before 120 Deadline
Let’s Discuss …
Let’s Discuss …

• Does this approach make sense?

• As we expand our data collection capabilities, what other information would be useful?

• We plan to add a narrative component to provide context. Would that be valuable?

• How do you see outcomes of current WS2 Accountability work connecting with Goal 5.2?
Thank You!