

Appendix: Continuous Improvement Program Framework

Continuous Improvement Program Community
Coordination Group (CIP-CCG)

November 2024

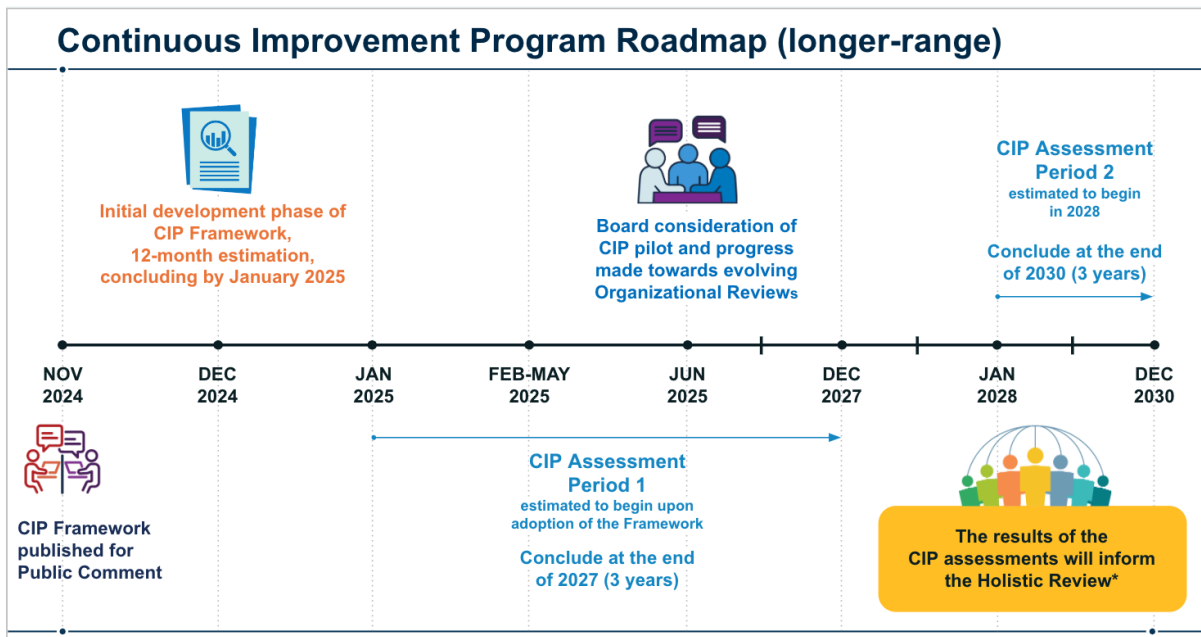
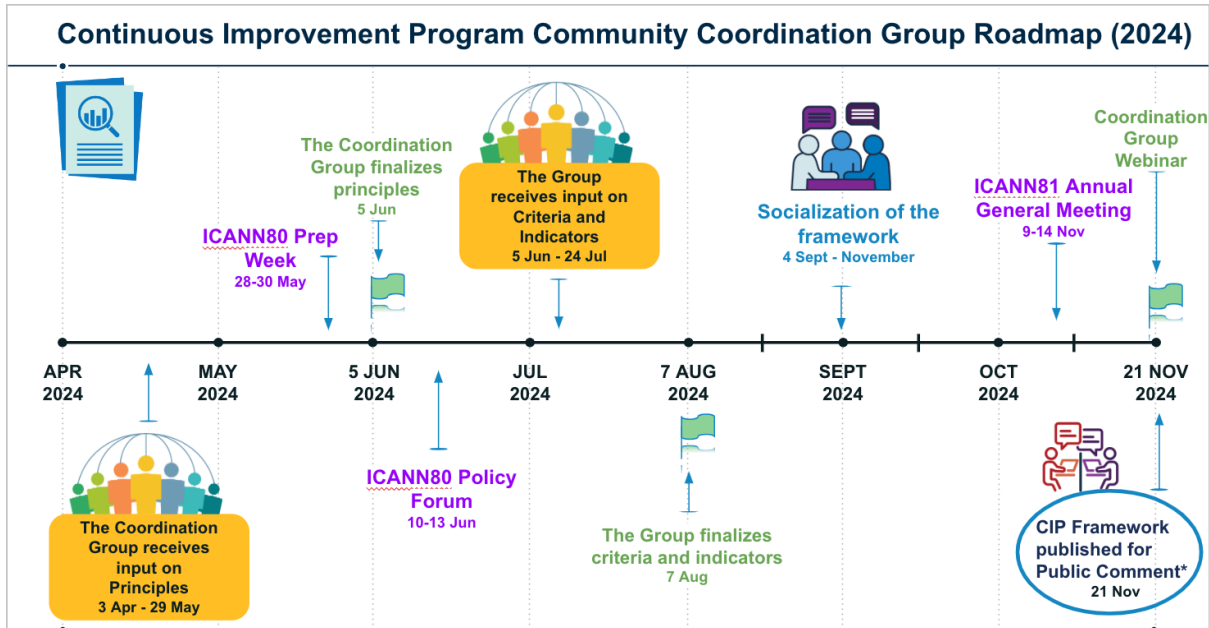


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Phases of CIP-CCG Timeline

Phase 1 (January - March): The CIP-CCG made substantial progress toward developing principles for the CIP, which provide a common base for the assessment of the different ICANN community structures. The principles stem from Article 4.4 of the ICANN Bylaws describing objectives for Organizational Reviews.

Phase 2 (April - June): Community representatives went to their groups to inform them of the progress of the CIP-CCG and their work-to-date, including work the Principles, Criteria, Indicators approach for the draft CIP framework, how the framework will be utilized in the

(first) CIP assessment phase. **Ongoing CIP-CCG meetings and regular updates from the CIP-CCG representative (and alternate) were provided to community groups throughout 2024.**

Phase 3 (June - August): Having educated their structures on CIP-CCG progress on the Principles, Criteria, Indicators approach and how the process of the CIP will work, Community representatives organized working sessions with their community representatives to gather feedback on the Criteria and Indicators specifically for their group. **The CIP-CCG determined 3-5 criteria minimum for each group.**

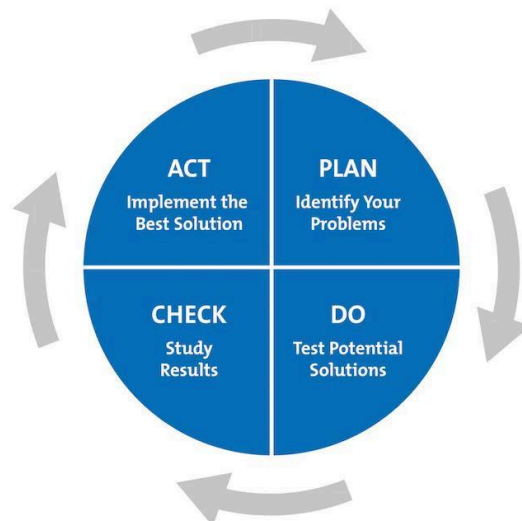
Phase 4 (September - October): Finally, community representatives worked with groups to reach consensus on Criteria and Indicators applicable to their organizational structures (this occurred after iterations of CIP-CCG meetings), and next steps for the Public Comment proceeding, CIP survey, and first CIP assessment utilizing the CIP Framework. **Draft CIP Framework published for Public Comment (est. 21 Nov 2024).**

Tools Assessed

ICANN org and the CIP-CCG assessed several different tools that could be applicable to executing ICANN CIP. These tools are useful because they provide the concepts, the methodology, and the processes needed to help each SO, AC, and NomCom execute the CIP in an effective and resource effective way. There are a wide variety of continuous improvement tools used by different organizations for different reasons.

- Plan-do-check act
- Lean
- Kaizen
- Six Sigma
- Total Quality Management
- ISO 9000
- EFQM Model
- Baldrige Performance Excellence
- Principle/Criteria Sustainability Framework

Figure 1: The Plan-Do-Check-Act Cycle



Models provide different approaches for Continuous Improvement Program Framework design. The continuous improvement program models that ICANN org researched included a Standards Model, Principles Model, and Hybrid Model:

Standards Model (Example: [Non-GMO verified label](#))

- Sets an expected standard of behavior based upon best practice.
- Community members are encouraged and supported in meeting the standard.

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- Performance is independently evaluated to ensure it meets the standard.

Principles Model (Example: [Global Roundtable for Sustainable Beef](#))

- CIP is broken down into principles, criteria and indicators.
- Provides direction, but not detailed prescription to continuous improvement, offering opportunities to adapt to different contexts, changes in understanding, and various challenges.
- While principles are the same, flexibility is provided by allowing each stakeholder group to prioritize which criteria are most important to them, and also to develop their own indicators which they will use to track their progress.
- Performance is independently evaluated to ensure it meets the standard.

Hybrid Model (Example: [World Fair Trade Organization](#))

- A hybrid model combines the benefits of uniformity provided by a standards-based approach and the flexibility of principles/criteria-based approach.
- The Hybrid models split continuous improvement into mandatory criteria that must be met (essentially standards that all stakeholders must meet) and continuous Improvement criteria to be met over time.

Findings

While all tools provide valuable perspective for the ICANN community to consider in the development of a Continuous Improvement Program, some were found to be more relevant to the ICANN community than others.

Tools that are process improvement-oriented include Plan-Do-Check Act, Lean, and Kaizen. Six Sigma is ideal for optimizing manufacturing of products in various industries. Several tools which provide prescribed quality management principles proved less flexible for the ICANN community, including Total Quality Management, ISO 9000, EFQM Model, and Baldrige Performance Excellence.

- [The Baldrige Excellence Framework](#) is a non prescriptive framework that empowers organizations to reach goals, improve results, and become more competitive.
- [Kanban Framework](#) is a popular framework for defining, managing, and improving services that deliver knowledge work. It helps organizations visualize work, maximize efficiency, and improve continuously.
- [ISO 9000](#) is a set of quality management systems standards by the International Organization for Standardization (ISO) that help organizations ensure they meet customer and other stakeholder needs within statutory and regulatory requirements related to a product or service.

Standards Model sets a clear standard which can be easily understood and easily applied. However, a standards model is rigid because it is pass/fail. It also typically requires a third party evaluator. In the case of ICANN, this would have limited the flexibility of the organizational structures to design a CIP to meet their unique needs and it would have required a third party, which may not understand their structure(s), to evaluate if they have met a standard.

Principles Model creates consistency by establishing the same principles across stakeholder groups. It also provides the necessary flexibility by enabling stakeholder groups

to prioritize criteria, and set their own indicators. **After assessing the principles model and real world examples of its application, this model was suggested to best suit the needs of an ICANN community Continuous Improvement Program via the CIP-CCG.**

Hybrid Model allows stakeholders to identify mandatory standards that must be met and does include some flexibility of a principles-based model. However, this model ultimately is more complex because it combines standards and principles approaches. Because this model requires agreement by stakeholders on a set of standards that must be met, it does not offer the flexibility that the CIP requires.

CIP-CCG Development of Criteria and Indicators

ICANN org provided sample criteria to the CIP-CCG, which the groups considered as they worked with their stakeholders to identify criteria and indicators that were relevant and meaningful to their groups. The sample criteria provided are as follows:

Principle 1: The SO, AC, or NomCom is fulfilling its purpose

- **Criterion 1:** There is an agreement that the SO, AC, or NomCom is fulfilling its purpose. This may include assessing how each organizational structure contributes to [ICANN's mission](#), “to help ensure a stable, secure, and unified global Internet.” This includes initiatives to advance ICANN’s mission; to combat [domain name security threats](#), produce and offer [capacity-building](#) resources, and to expand and [build a multilingual Internet](#).
- **Criterion 2:** How each organizational structure contributes to the global public interest, as described in the [ICANN Articles of Incorporation](#) (2016): “in recognition of the fact that the Internet is an international network of networks, owned by no single nation, individual or organization, (ICANN) shall, except as limited by Article IV hereof, pursue the charitable and public purposes of lessening the burdens of government and promoting the global public interest in the operational stability of the Internet by carrying out the mission set forth in the ([ICANN Bylaws](#)). Such global public interest may be determined from time to time. Any determination of such global public interest shall be made by the multistakeholder community through an inclusive bottom-up multistakeholder community process.”
- **Criterion 3:** How each organizational structure contributes to the [ICANN Strategic Plan \(FY21-25\)](#) objectives, especially the strategic objective to “Improve the effectiveness of ICANN’s multistakeholder model of governance.”

Principle 2: The structures of SO, AC, or NomCom are effective

- **Criterion 1:** Each structure has a working group or process to address their goals and priorities each year, in line with their purpose.
- **Criterion 2:** Structures in place are accessible and clearly communicated.

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- **Criterion 3:** Structures help each SO, AC, or NomCom operate to meet its purpose.
 - **Criterion 4:** Process(es) is (are) in place for planning and prioritizing work.
 - **Criterion 5:** Process(es) is (are) in place for assessing and measuring output.
 - **Criterion 6:** Output has produced the desired outcome.
 - **Criterion 7:** Output is implemented in a timely fashion.

Principle 3: The operations of SO, AC, or NomCom are efficient

- **Criterion 1:** Each structure has a process for planning and setting priorities, and identifying relevant emerging issues to focus on within established timeframes.
- **Criterion 2:** Each structure assesses inputs related to their scope of responsibility.
- **Criterion 3:** Each structure develops and recommends outputs relevant to their purpose (policy development, support policies, leadership placement).
- **Criterion 4:** Each structure's outputs are implemented and implementation of outputs is monitored.
- **Criterion 5:** Workloads are managed.
- **Criterion 6:** Each structure nurtures consensus within their constituency.
- **Criterion 7 :** Each structure coordinates with ICANN SOs, ACs, Committees, and constituencies within the ICANN global multistakeholder community.
- **Criterion 8:** There is an agreement that the structure operates efficiently overall.
- **Criterion 9:** Appropriate level of funding support.

Principle 4: The SO, AC, or NomCom is accountable internally to its stakeholders and substructures (where applicable), and externally to the wider ICANN community

- **Criterion 1:** Adequate representation of the diversity of the global multistakeholder community within group membership and SO, AC, NomCom roles (Guided by ICANN Core Value 4).
- **Criterion 2:** SO, AC, and NomCom objectives align with planned objectives of ICANN as a whole.
- **Criterion 3:** SO, AC, and NomCom is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups in recruiting, developing, and maintaining membership needed to achieve its purpose.

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- **Criterion 4:** Support and resources for recruiting and onboarding newcomers to the SO, AC, or NomCom.
 - **Criterion 5:** Maintaining skill sets and technical expertise needed through capacity building.
 - **Criterion 6:** Maintaining effective levels of active participation.
 - **Criterion 7:** Each structure maintains sufficient levels of transparency of information.
 - **Criterion 8:** Each structure communicates and engages with its constituents and the broader multistakeholder community.
 - **Criterion 9:** SO, AC, or NomCom has implemented prior review recommendations.
 - **Criterion 10:** Processes are in place to assess, prioritize, and implement suggestions for improvement received as outputs from the Continuous Improvement Program.
 - **Criterion 11:** There is an agreement that the SO, AC, or NomCom is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.

Principle 5: The SO, AC, or NomCom collaborates to further the mission of ICANN and the effectiveness of the ICANN bottom-up multistakeholder model

- **Criterion 1:** The organizational structures have a process in place for communicating and coordinating within the ICANN global multistakeholder community.
- **Criterion 2:** The organizational structure meets regularly with the ICANN Board.
- **Criterion 3:** The SO/AC Leadership Roundtables and meetings are organized at each ICANN Public Meeting, and help to improve overall communication, setting priorities, and planning.

CIP-CCG Survey Development

Initially, ICANN org shared with the CIP-CCG that a third party would be recruited for the CIP Survey development work, utilizing the Supplemental Fund for Implementation of Community Recommendations (SFICR). However, as of 30 May 2024, a broader effort was established to evaluate costs and activities for ICANN, focusing on resource management, ensuring operational efficiency, and achieving financial sustainability. See the ICANN.org [Blog: Organizational Changes to Ensure ICANN's Financial Stability and Sustainability](#).

As such, ICANN org informed the CIP-CCG of the plan to pivot from hiring a third party to utilizing existing ICANN org resources for the survey development. The CIP-CCG accepted

the proposed resourcing plan, and ICANN org provided updates on the survey in progress at subsequent CCG meetings.

The CIP-CCG provided input into the design and target audience for the surveys, including:

- Who (or how) each SO, AC, and their substructures would envision distributing the survey.
- How to define active vs. inactive members and whether different types of surveys for each would be useful.

By including space for qualitative feedback, the survey will also gather input on opportunities for improvement of each SO, AC, the NomCom and their substructures, in order to fit their unique needs.

ICANN org will support the community by coordinating the reporting of results from the survey and assessment phase(s). Much like an employee engagement survey, this report would allow ICANN community members and constituents to view feedback on performance and suggestions for improvement. By coordinating this work on behalf of the community, ICANN org will limit impact on community bandwidth and also design reporting to be uniform.

[CIP-CCG Existing Continuous Improvement Activities](#)

[Continuous Improvement Program Home](#)

[Continuous Improvement Program Community Coordination Group \(CIP-CCG\) Meetings](#)

[CIP-CCG Membership and Mailing List](#)

[ICANN Reviews Program Update \(October 2024\)](#)

[ICANN Continuous Improvement Program Makes Progress on a Draft Framework \(March 2024\)](#)

[ICANN Launches the Continuous Improvement Program Community Coordination Group \(January 2024\)](#)

[ICANN Reviews Program Update and Interim President and CEO Goal 11 \(October 2023\)](#)

[ICANN Organizational Reviews](#)



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