# Proposals for the Systematization of ICANN's Organizational Review Processes

Brussels, April 2009

# 0) Executive summary

## 0.1 Background

The nearly completed first round of external Organizational Reviews (ORs) [1] represents an opportunity to take stock from the lessons learned in the recent past and to re-consider processes, timeline and methodology of this activity, which is crucial for the organizational improvement of ICANN.

This paper presents proposals for the systematization of the OR processes[2]; the Structural Improvements Committee –thereinafter StImprov- is committed to apply the processes described in this paper since the present phases of the first round of ORs.

**The phases of the OR process in ICANN -** The process of OR can be divided in six 'vertical' phases and one 'horizontal' activity of different time duration and resource absorption, as represented in Figure 1; the first three 'vertical' phases (TOR writing, Consultants selection, and Independent Review) relate to the External Review Process, while the last three phases (Working Group work, Implementation, Self assessment of effects) relate to the Post-external Review Process. The 'horizontal' activity (Communication) flows throughout the whole OR process.

**The structure of the present document –** The present paper presents –per each of the above phases and for the horizontal activity- the opportunities in revising the phases, their objectives, the lessons learnt, and proposals for their systematization.

The Executive summary contains a short synthesis of the objectives of each phase/activity and the criteria that inspire the proposals for rationalization described in the paper. Obviously, reading of the entire paper allows for full appreciation of the extent and value of the measures of rationalization that are presented.

## 0.2 Drafting of the TOR

**Objectives of the phase** – During the phase –which includes a public comment process- two complementary sources of information are produced to guide both the work of applicants and of the contractor to be selected; they are the Instructions to Bidders (ItB), containing indications on format and content of the proposal to be submitted in order to be considered valid, and the Terms of Reference (ToR), providing a clear set of specifications for external reviewers to be selected to carry out the job (the mandate).

**Purpose of the rationalization** - The measures proposed have the objective to:

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[1] All acronyms are defined at their first occurrence. For full reference, please consult Annex III - Acronyms

[2] Initially proposed by staff and integrated with comments issued by Members of the Structural Improvements Committee (StImprov) at the three January and February 2009 meetings, this paper has been unanimously approved by StImprov at its 15 April 2009 meeting for transmission to the Board and publication for public comments.

- reduce the time-to-publication of the ItB and the ToR, while preserving public consultation;
- improve quality and comparability of bids (by the adoption of standard bid formats, and by disclosing the approximate expected efforts required to carry out the work);
- formulate clear expectations to bidders regarding their ultimate output and its format.

## 0.3  Selection of Consultant(s)

**Objectives of the phase** – The objective of the phase is to select the most suitable candidate to carry out the external Organizational Review. In order to reach this objective, a Request for Proposal (RfP) based on the ToR and the ItB developed under the previous phase is published and the assessment of the proposals sent by competing candidates is carried out.

**Purpose of the rationalization** - The measures proposed have the objective to:

- streamline the present selection process, by adopting standard procedures for publication of RfP;
- enlarge the geographic reach of the RfP while targeting adequate breadth of consultants;
- increase transparency and accountability of the proposal assessment phase, by adopting a standard process of proposal assessment to be carried out by a panel of three individuals based on a pre-defined proposal assessment grid. Criteria for selection and the assessment grid will be published in the ItB.

## 0.4  Independent review

**Objectives of the phase** – The majority of the activities during this phase are carried out by external reviewers; however, both staff and the StImprov (or the specific OR WG, if established) are involved with monitoring activities in order to ensure that deliverables are produced in a timely manner and that the work progresses according to the proposed timeline, in accordance with the expected quality. At the end of the phase, the StImprov (or the OR WG) –supported by staff- is asked to judge whether the final report presented by consultants is acceptable –and in this case to approve it- or whether it requires further analysis / correction of factual mistakes; in this case instructions are given to the consultants for finalization.

**Purpose of the rationalization** - The measures proposed have the objective to:

- increase the monitoring of consultants' activities;
- better define modalities and timeline of the final approval cycle of reviewers' report. In particular, measures are proposed to solve the problem of last-minute delivery of reports before ICANN meetings, which does not allow for a proper management of the final approval cycle and a correct process of public consultation.

## 0.5  WG process

**Objectives of the phase** – The objective of this phase, which can be conducted by a specific WG or by the StImprov in its entirety, is to consider the recommendations of the reviewers in light of the public comments received, the feedback of the Committee under review, and of any other element considered useful as to come to a set of recommendations to the Board for action.

**Purpose of the rationalization** – To decrease the resource intensiveness of the process and minimize recursive activities..

## 0.6  Implementation

**Objectives of the phase** – The objective of this phase –which is coordinated by the staff supporting the Committee under review and the StImprov- is to bring to implementation those WG/StImprov recommendations adopted by the Board.

**Purpose of the rationalization** – During this phase, supporting staff and OR staff, in collaboration with the Committee under review and the StImprov, will be requested to develop the indicators of performance to be used during the following phase.

## 0.7  Self assessment of effects

**Objectives of the phase** – The objective of this phase is to understand whether the changes proposed as a result of the OR are being implemented, and what effects are being produced by the adoption of these changes. This activity is new, as none of the ORs conducted in ICANN has yet reached the end of the implementation phase.

The proposal envisions a yearly self-assessment to be conducted by the Committee that underwent an OR and is to be carried out for the first time towards the end of the implementation of said recommendations coming from the OR process. This activity should be based on the analysis of performance indicators developed during the previous phase.

## 0.8  Communication (horizontal activity)

**Objectives of the activity** – To communicate effectively with structures under review and community about OR processes, and to allow public input to key phases.

**Purpose of the rationalization** – Some measures are proposed to enhance an even greater quality of communication with the community and the structures under review. They include, a better description and disclosure of the OR processes, a more accurate setting of the timeline for each phase of the review, presentation to the community of the objectives, as well as review expectations and of the possibilities for public comment. A  greater level of involvement of the community during the external review is envisaged, through a phase of validation of findings with the committee under review and further actions if appropriate.

# 1) Table of contents

## 2) Preamble

The process of OR can be divided in six 'vertical' phases and one 'horizontal' activity as represented below; the first three 'vertical' phases (TOR writing, Consultant selection, and Independent Review) relate to the External Review Process, while the last three phases (Working Group work, Implementation, Self assessment of effects) relate to the Post-external Review Process. The 'horizontal' activity (Communication) flows throughout the whole OR process.
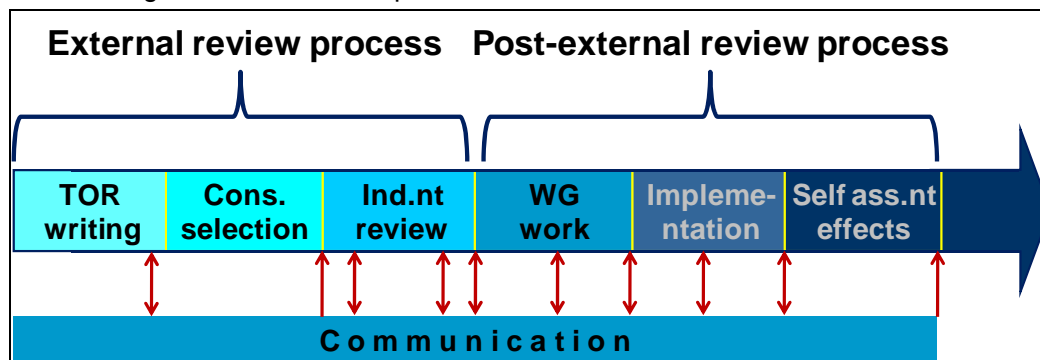


**Figure 1 – Macro structuring of the OR process**

The six OR phases are represented as blocks of the same length and width in order to enhance comprehension of the chart; in reality their respective time duration and resource absorption is not identical and widely differs for each OR.

Opportunities, objectives, lessons learnt, proposals for systematizing the processes and their prerequisites are presented for each of the above phases and for the horizontal activity.

## 3) Drafting of the TOR (1/6)

**Opportunities in revising this phase:**

- o Reduce the time it takes to publish a useful TOR; reduce redundancies
- o Improve the quality of bids (and possibly bidders) by formalizing guidelines for Bidders
- o Create clear expectations to bidders regarding their ultimate output, and possibly improving the value of reviews themselves

**Objectives**: The TOR phase actually requires the publication of two complementary sources of information to guide both the work of applicants and of the contractor to be selected: the Terms of Reference, providing a clear set of specifications for the external reviewers to be selected to carry out the job; and the Instructions to Bidders (ItB), containing indications on format and content of the proposal to be submitted in order to be considered valid.

**Lessons learned from previous practice**: the previous organization of the phase was a direct consequence of earlier organizational structuring, creating the need for double approval of the specifications, to be issued by the BGC and the Board (see chart below).
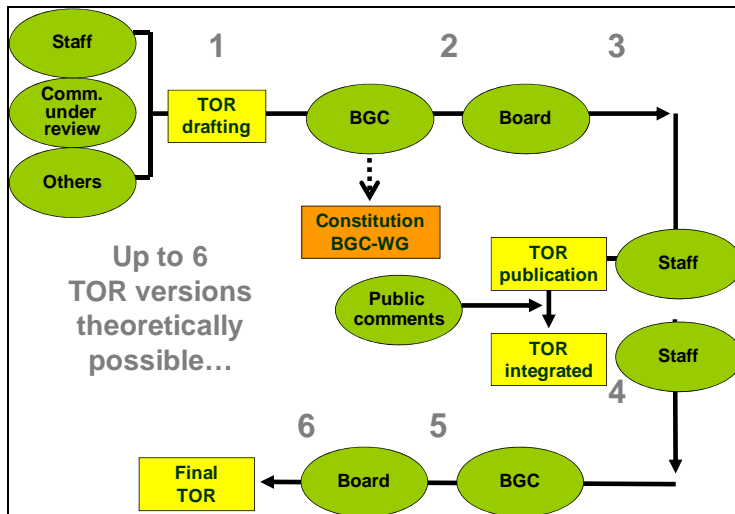
**Figure 2 – TOR writing / previous practice**

This process could yield as many as six different and subsequent versions of the ToR, requiring a considerable amount of time in revising and adapting the document to the different feedbacks received, while preserving its overarching logical coherence; and increasing considerably the time-to-ToR.

The involvement of different individuals in the phase of ToR drafting proved to be a valuable mechanism in order to enhance their quality.

Experience shows that bids received under the previous process were varied in their ability to demonstrate the applicants' understanding of the work content, in their logical structuring, and in their ability to provide ICANN with key information needed to select the consultant to be contracted, such as the qualification of the bidders and the selected personnel, methodological approach, planning, efforts allocation and financial offer.

**Proposal for systematization of processes**: the proposal detailed in the following chart has the objective to reduce the time-to-ToR, to be achieved with a significant simplification of the process; the indispensible Board coordination is exerted by the Structural Improvement Committee. Public participation is preserved, and more valued because a synthesis of comments received will be carried over to the consultants to be selected, as an additional input to the external review. The final green light to the finalization of the Tor and the ItB (needed to proceed to the publication of the Request for Proposal) will be given to Staff by the Chair of the StImprov.

Finally, the proposal has the purpose to set the pre-conditions for the reception of compliant, comparable, and financially viable offers (please refer to the Chapter 'Prerequisites').
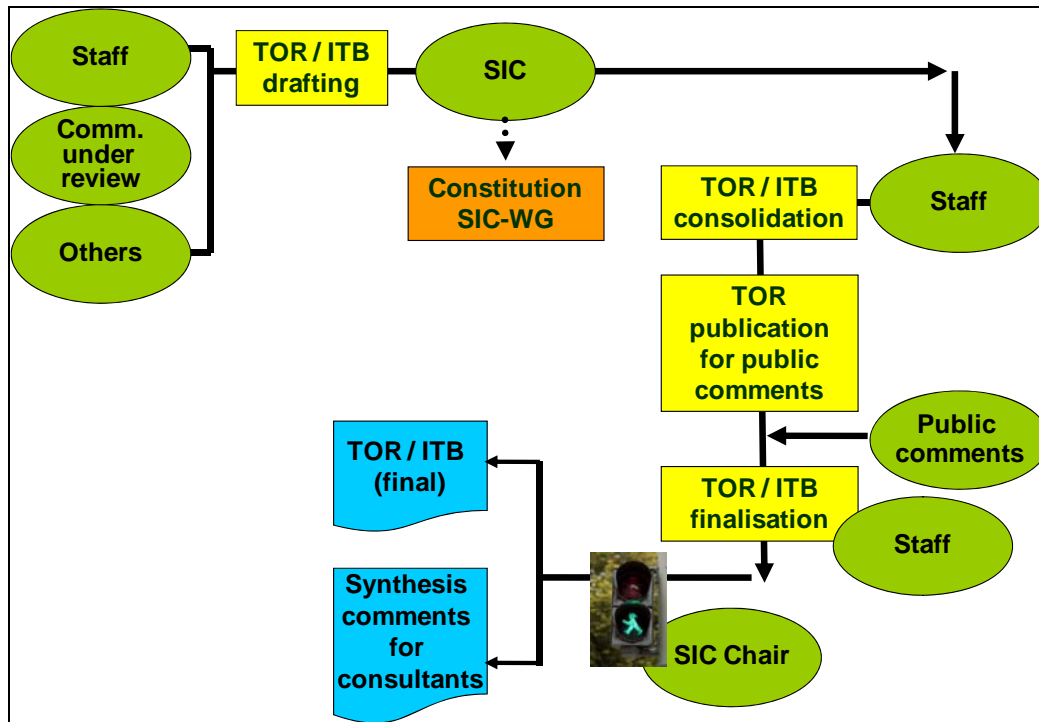
**Figure 3 – TOR writing / proposed organization of work**

**Prerequisites**: 1) Staff would be required to formulate a clear set of directions to guide the work of bidding consultants; the resulting document (Instructions to Bidders – ItB) is proposed to contain the following information:

- o Maximum approximated budget of the project, expressed in working months needed to carry out the work[3];
- o Deadline for submitting the proposal;
- o Desired format of the bid (four sections and an annex are proposed: 1- Understanding of the work; 2- Qualification of the bidding company/consortium; 3 - Proposed methodology and tools; 4 - Financial offer; Annex - Full CVs of key proposed team members);
- o Indications for formulating the financial offer;
- o Validity of bids;
- o Criteria for selection (see following chapter);
- o Other indications if deemed appropriate.

2) ToR moreover should dictate some elements of the content of the Final Report, such as the request that consultants follow a logical path of analysis in their report (findings / conclusions / recommendations); to prioritize the recommendations to be issued; to draft –for each recommendation and wherever possible- a set of performances indicators to measure the effects of changes, etc.

# 4) Selection of Consultant(s) (2/6)

**Opportunities in revising this phase:**

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[3] The publication of the maximum budget is discouraged as the worldwide reaching of the RFPs implies that consultants with largely different market rates would respond to the invitation.

- o Streamlining of the present selection process
- o Enlarging the geographic reach of the RfP while targeting adequate breadth of consultants
- o Increase transparency and accountability of the proposal assessment phase

**Objectives**: the objective of the phase is to select the most suitable candidate to carry out the external Organizational Review. In order to reach this objective, a Request for Proposal (RfP) based on the ToR and the ItB developed under the previous phase is published and a process of assessment of the proposals sent by competing candidates is carried out.

**Lessons learned from previous practice**: also in this case, the previous process (see chart below) was lengthy in consideration of the need for a double approval process (BGC + Board) of the main outputs of the phase. As it was originally imagined, the identification of the procedure for publication of the RfP was also subject to double approval for each contract; in the reality this process was abandoned and staff proceeded directly to publication, being instructed to do so at the time of approval of the ToR.

The assessment of proposals was based on a selection firstly made by the supporting staff, presented to the BGC and then to the Board; no pre-defined criteria for selection were used, and only recently a more detailed justification of the initial choice has been produced.
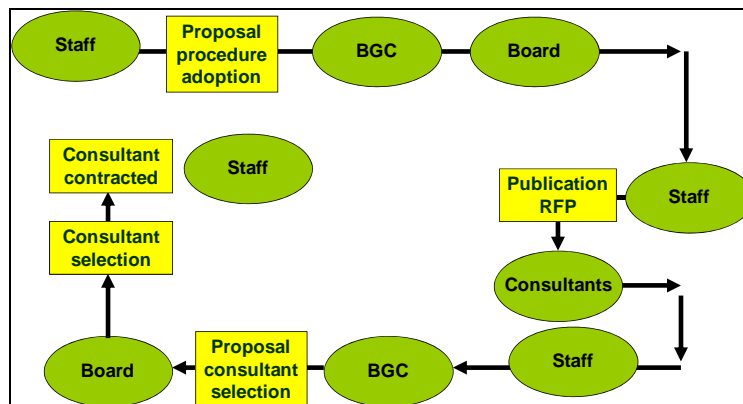


**Figure 4 – Consultants' selection / previous practice**

**Proposal for systematization of processes**: the proposal represented in the following chart has three main objectives:

1) to eliminate the need for adoption of a procedure for publication of each RfP, by pre-defining a standard procedure to be followed for all external reviews; the procedure should have the objective to enlarge the geographic reach of the RfP while targeting adequate breadth of consultants;

2) to streamline the process, by making superfluous the double approval process of its key outputs;

3) to increase transparency and accountability of the proposal assessment phase, by calling –for each contract to be awarded- a specific proposal assessment panel composed of three persons, namely the Chair of the StImprov, the Director OR, and the supporting staff of the Committee under review (*proposed composition*). Each individual making up the panel will be requested to assess individually each of the proposals received according to pre-defined criteria, which are summarized in a detailed assessment grid (to be communicated to applicants as part of the ItB). The Director OR will then

be responsible for summarizing the results of this phase by producing a final assessment grid, containing average scoring; this grid will be presented to the Structural Improvement Committee for consideration and final selection of the consultant to be hired.
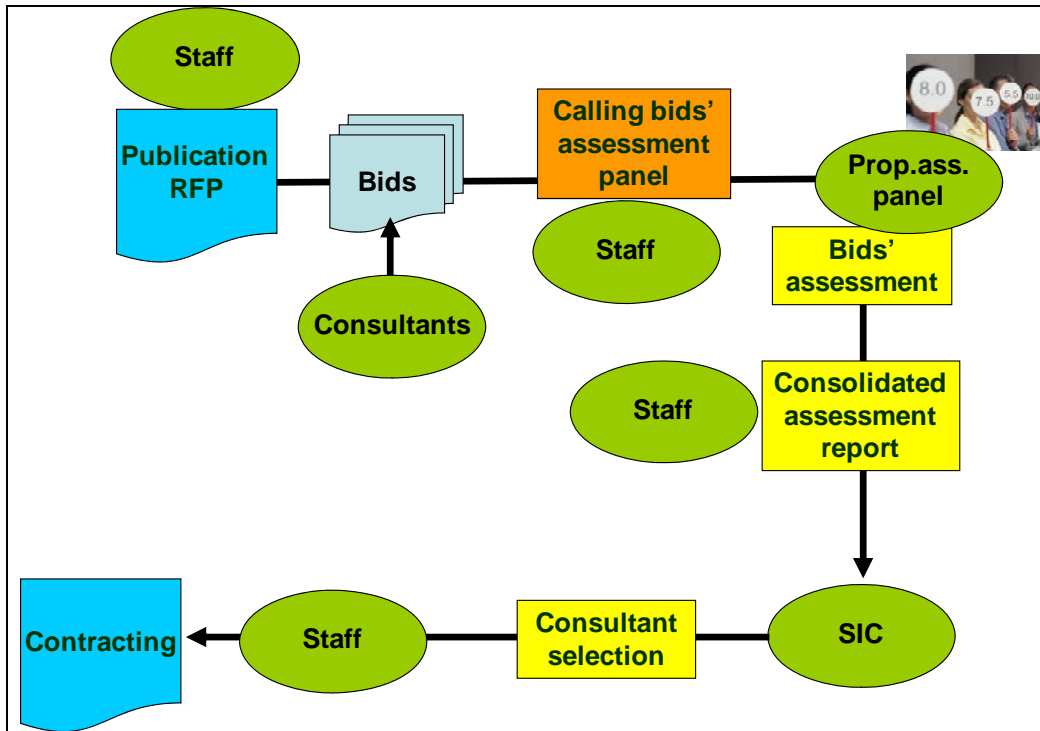


**Figure 5 – Consultants' selection / proposed organization of work**

**Prerequisites**: 1) Adoption of a procedure for publication of the RfP of each external OR. Currently envisioned: to include notice on the ICANN website, plus publication by relevant national and international professional organizations based in at least four of the five continents, as well as selected web services that publish business opportunities for consultants. Moreover, specific invitations to apply might be sent to consultants that in the past provided similar services to ICANN, performing in a fully satisfactory way. Staff should be requested to keep track of the places of publication, and maintain this evidence available for scrutiny by the StImprov and/or the Board.

2) To adopt a standard layout of the proposal assessment grid; at the time of the original submission to the StImprov of the ToR and the ItB for approval, the Director, Organizational review can propose its customization to better suit to the specific purpose of the work to be carried out.  A sample proposal assessment grid is attached for consideration to the present paper; some explanatory notes are included, as well.

# 5)  Independent review (3/6)

**Opportunities in revising this phase:**

- o Increasing monitoring of consultants' activities
- o Addressing modalities and timeline of final approval cycle of reviewers' report

**Objectives**: while the majority of the activities during this phase are carried out by external reviewers (Consultants), both staff and the StImprov (or the specific review WG, if established) are involved with monitoring activities in order to ensure that

deliverables meet high quality standards, that they are produced on time and that the overall work progresses according to the contractual timeline .

At the end of the phase, the StImprov (or the review WG) –supported by staff- is asked to judge whether the final report presented by consultants is acceptable –and in this case to approve it- or whether it requires further analysis / correction of factual mistakes; in this case instructions should be given to the consultants for a final revision.

**Lessons learned from previous practice**: overall the organization of the phase as it has be managed insofar proved to be effective in monitoring the regular development of the external reviews; a more recurrent intermediate reporting is expected to provide additional chances to intercept early problems during implementation, and to redress them.

The final report approval process is however problematic, because of the tight timelines of each review cycle (consultants are invited to an ICANN meeting in order to begin their review process, and at the following meeting they are asked to present their final report).

As a result of this timeline, reviewers' (draft) final reports are submitted to ICANN at the very last moment before the meeting where they should be presented. This makes it impossible for the review WG and staff to 'digest' and discuss these deliverables in order to issue comments for their finalization prior to their public presentation.

**Proposal for systematization of processes**: the flow shown in the following chart is extremely similar to the process as it is adopted now. This proposal calls for the introduction of regular monthly flash reports from the Consultants[4], followed by a call between them and the WG; this concept has been already introduced for the SSAC and the RSSAC reviews.

Two alternative solutions can be implemented to allow for the needed time for regular management of the final report approval process: either to shorten the time available to Consultants to conclude their review processes; or to move up the starting date of the reviews by one to two months[5]. In both cases, final report drafts should be with ICANN about 6 weeks before the meeting where they will be presented, thus allowing a proper analysis between reviewers and the review WG. At the ICANN meetings, Consultants will therefore present the finalized version of their reports, addressing comments made by the review WG (or by the StImprov) and the staff.

Of the two possible solutions, the second one seems more practical, as it is very difficult to imagine carrying out a professional and in-depth external review process taking less than 3.5 to 4 full months.

The identification of a suitable timeline for each review is in any case very much review-dependent; when submitting for approval ToR and ItB staff should be requested to indicate with precision the needed timeline of each review, addressing properly the final approval process, before public presentation of the reviewed report.

**Prerequisites:** None

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[4] Intermediate reports were also required under the previous practice of work, although their monthly periodicity was not required

[5] In this last case the first weeks of the external reviews will allow for distant briefings and documental analysis prior to interviews at the ICANN meeting
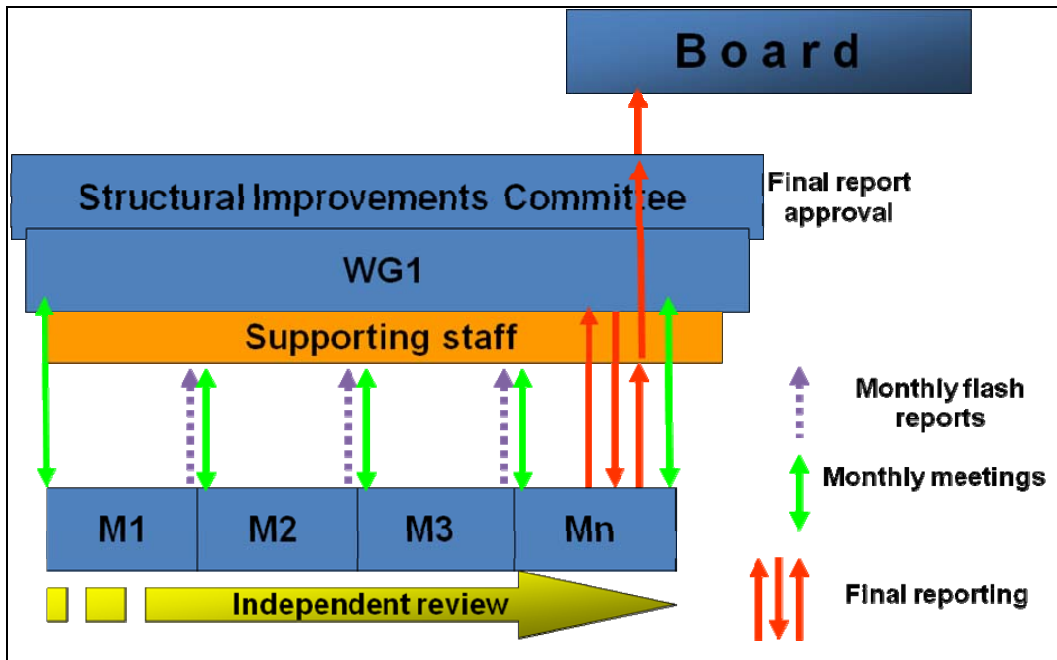
**Figure 6 – Independent review / proposed organization of work**

# 6) WG process (4/6)

**Opportunities in revising this phase:**

- o  Process simplification

**Objectives**: The objective of this phase, which can be conducted by a specific WG or by the StImprov in its entirety, is to consider the recommendations of the reviewers in light of the public comments received, the feedback of the Committee under review, and of any other element considered useful as to come to a set of recommendations to the Board for action.

**Lessons learned from previous practice**: the process as it has been conducted insofar is represented in the following chart; some recursive actions emerge clearly.

Inputs from the WG and the interested parties have been very useful in improving the operational quality of the reviewers' recommendations as well as to either discard or modify those that were issued based on incomplete understanding of the reality of ICANN. However, the process is very resource-intensive for all the involved parties, and we should seek further ways to simplify it.

**Figure 7 – WG work / previous practice**

**Proposal for systematization of processes**: several of the proposals contained in the previous sections have the objective to decrease the risk of receiving low-value reports; this is deemed to produce -as a collateral effect- the reduction of the efforts requested to the WG (or the StImprov) to get to its final recommendations. While incremental improvement is important, this will remain an ongoing challenge.

A further analysis, to be conducted with recommendations from past and present review WG Members regarding strengths and weaknesses of this phase as it has been conducted thus far, might help us to understand if all of the above activities are necessary, based on the value that they added to the final output of the review process.

**Prerequisites**: survey among OR WGs present and past Members

# 7) Implementation (5/6)

**Opportunities in revising this phase:**

　　o　To prepare the ground for the effective carrying out of the following phase

**Objectives**: The objective of this phase is to bring to implementation those WG/StImprov recommendations that the Board adopted.

**Lessons learned from previous practice**: while this activity is entirely in the hands of the staff supporting the Committee under review and of the StImprov, collaboration is needed during the phase with OR staff to develop / fine tune the indicators of performance needed during the following phase (see below).

**Proposal for systematization of processes**: see following phase

**Prerequisites**: none

# 8) Self assessment of effects (6/6)

**Opportunities in setting up this phase:**

- o To understand the effects of changes adopted following OR
- o To empower the reviewed Committee with the ability to conduct regular self-evaluation exercises thus enhancing ownership of results
- o To gather useful data for the following OR cycle(s)

**Objectives**: The objective of this phase is to understand whether the changes proposed as the outcome of the OR are being implemented, and what effects are evident by the adoption of these changes.

**Lessons learned from previous practice**: none, as no ICANN OR has yet reached the end of the implementation phase.

**Proposal for organization of processes**: this proposal envisions self assessment of performance by ICANN's key structures as a recurrent task. These should be carried out on a yearly basis; the first self-assessment should be executed towards the end of or shortly after the implementation of the recommendations of the Organizational Review process.

In order to conduct a valuable assessment, this phase should monitor pre-identified performance indicators. These should be selected during the Implementation phase, by supporting staff in collaboration with the Committee under review. These performance indicators should be based on external reviewers' indications, the following WG/StImprov work, and the plan of action prepared at the beginning of the implementation phase. OR staff would provide training for the self assessment activity and reporting.

Yearly self-assessments reports will be issued to the StImprov and –through this Committee- to the Board.

After a series of yearly self assessments, a new OR process can be initiated; the results of these self assessments will provide inputs for the execution of this new OR process.

The following chart schematizes the process described above.
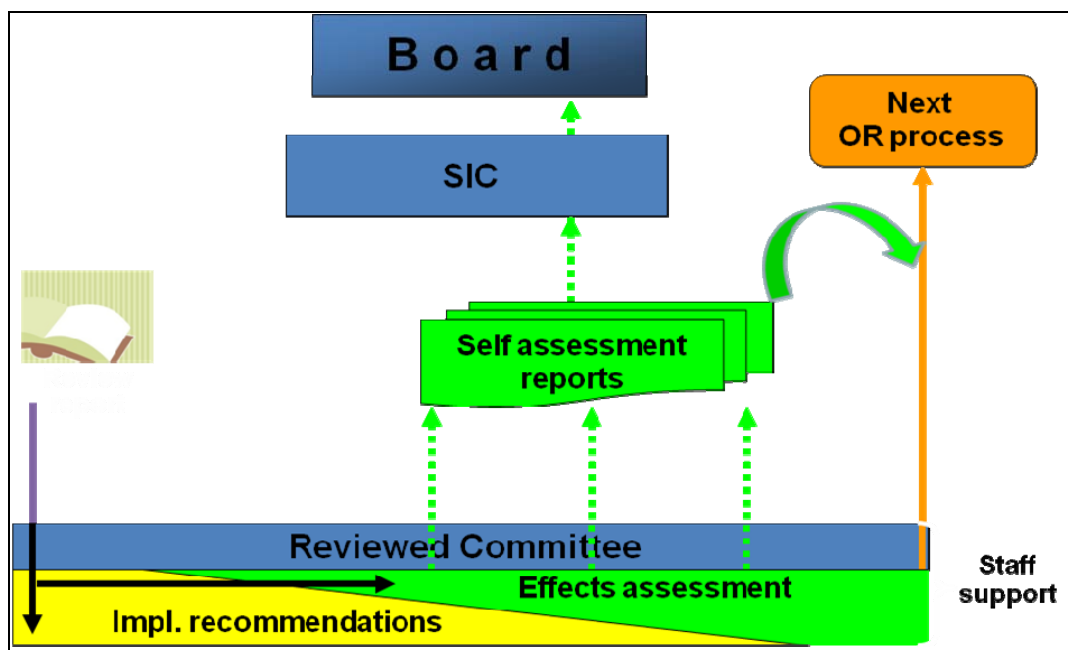
**Prerequisites**: adoption of the process



**Figure 8 – Self-assessment of effects / proposed process organization**

# 9) Communication (horizontal activity)

**Opportunities in revising this phase:**

- o Enhancing quality of communication with community and structures under review

**Objectives**: To communicate effectively with structures under review and community about OR processes, and to allow public inputs to key phases.

**Lessons learned from previous practice**: In observance of ICANN's culture of participation and unique model of governance, the present OR process foresees already several interactions with the community; they are represented in Annex II.

There are opportunities to enhance the quality of communication during the crucial phase of the Independent Review, and this in particular relation to the following activities:

- Expectations in terms of timeline: it emerges that the structures under review and the relevant communities do not have a clear perception of the timeline and the different steps of the organizational review processes;

- Interaction of reviewers with community: it has been remarked that often reviewers carry out individual interviews with informed key stakeholders but do not interact with communities and key structures under review. Two key activities of the independent review process are affected by this problem, namely data gathering and validation of findings and conclusions.

**Proposal for systematization of processes**: The following measures can be implemented –largely by staff- in order to address the problems mentioned above:

- Publication on the OR web pages (general part) of a schematic description of the OR processes, explaining specific purpose and average timeline of each different phase;

- Publication on each specific OR webpage of the timeline of the relevant OR;

- (Rightly before the beginning of the external review): presentation of objectives, phases and timeline of each review through email to Chair / vice Chair of the key structure under review; similar message posted to the specific email lists of the structure under review. This message should also mention the measures actually in place for community to provide input to the ongoing review;

- Better specification on the ToR of each review of the need for reviewers to involve community in their exercise during data gathering, adopting the measures that are necessary to the scope;

- Specification on the ToR of the need for reviewers to undergo a phase of validation of their draft conclusions and recommendations with the structure under review and relevant community, before issuing of their draft report. This should not affect the externality and independence of reviewers;

- Further steps can be undertaken by the review WGs in order to consult with the structures under review in the definition of the recommendations to be issued to the Structural Improvements Committee and the Board. Modalities of this dialogue can be left to the decision of the review WGs, within the limits of their mandate and duties.

**Prerequisites**: None

# 10) Annex I: proposal assessment grid

| Request for proposals:<br>Bidder:<br>Name of proposal evaluator: | | | |
|---|---|---|---|
| | **Max score** | **Evaluator's score** | *Minimum threshold* |
| **Understanding of the assignment (total)** | **25** | **0** | *15* |
| - Understanding of the Terms of Reference | 15 | | |
| - Understanding of ICANN and its mandate | 10 | | |
| **Qualification of bidder (total)** | **40** | **0** | *20* |
| - Previous similar activities conducted for national / local organizations | 5 | | |
| - Previous similar activities conducted for other international organizations | 10 | | |
| - Previous similar activities successfully carried out in ICANN | 5 | | |
| - Geographic and cultural diversity, multilingualism, gender balance | 10 | | |
| - Suitability of proposed CVs | 10 | | |
| **Proposed methodology and tools (total)** | **55** | **0** | *30* |
| - Suitability of timetable | 10 | | |
| - Work organization and methodological approach | 15 | | |
| - Suitability of proposed data gathering tools | 15 | | |
| - Suitability of proposed data analysis / validation methods | 15 | | |
| **Financial offer (total)** | **20** | **0** | *10* |
| - Max efforts respected or acceptably justified in case of deviations? | 10 | | |
| - Overall value for money? | 10 | | |
| **OVERALL SCORE** | **140** | **0** | *75* |

# Explanatory notes

1. **Purpose of the proposal assessment grid**

   - The proposal assessment grid serves to guide the transparent process of assessment of bids received following Requests for Proposals in the area of Organizational Review

   - Assessment of proposals will be carried out by a panel made up of three individuals, namely the Chair of the StImprov, the Director OR, and the supporting staff of the Committee under review. In case of timely establishment of a specific review Working group, its Chair can be invited as fourth panelist, as well.

   - Each individual serving as proposal evaluator will score each proposal received with the use of the above grid

   - The Director, OR will produce a final assessment grid of each proposal received. Final scores will correspond to the mathematic average of the scores attributed to each bid, by proposal evaluators, under each criteria of assessment

   - Proposals failing to obtain -in the final assessment grid- the minimum thresholds in each of the four main criteria of assessment will not be considered for contract awarding

   - The final assessment grid, accompanied by a note resuming verified references of the three bidders scoring with the highest marks, will be presented to StImprov for the final selection of the bidder to be contracted

2. **Initial briefing** – Proposal evaluators will get together via conference call for a briefing on the purpose and the details of the proposal assessment activity.

3. **Proposal scoring** – Proposal scoring will be done by each individual proposal evaluator, in full autonomy of judgment. In order to get a global view of the relative strengths and weaknesses of all proposals, it is strongly recommended that each evaluator first reads all the proposals before starting to fill in the proposal assessment grids. Half / fractional scores are not accepted.

4. **Understanding of the assignment** – This criterion of assessment aims to measure how well each bidder understood the two key elements making up the assignment, namely:

   - Understanding the Terms of Reference. Bidders are invited to structure their proposals in four sections and an annex[6]. Proposal evaluators are called to score how well each proposal reveals an accurate understanding of the ToR. This should mainly result by an analysis of the proposed Section 1 of the proposal (Understanding of work), but other parts of the bid can contribute as well to the assessment of this element: this would be particularly the case for those proposals that did not follow the proposed structure.

   - Understanding of ICANN and its mandate. How well does each proposal reveal understanding of the specific role of ICANN? Proposal evaluators are encouraged not only to consider descriptions of ICANN's mandate that are maybe quoted in the bid, but also other elements such as suitability of proposed target interviewees to the scope of work, consistency between the proposed methodology and the real mandate of ICANN, etc.

5. **Qualification of bidder** – This criterion of assessment aims to measure how suitable is the bidder to conduct the work, both as a bidding organization (or as a consortium of bidding organizations/individuals) and as a team of individuals that are proposed to conduct the review:

   - Previous similar activities conducted for national / local organizations. Focus is on bidding organizations rather than on team members; the main source of information for those proposals that followed the proposed structure is on Section 2 (Qualification of the bidding company/consortium). How can we value previous activities conducted by the bidder on behalf of national or local organizations, which were similar in scope to the work to be contracted (organizational reviews, effectiveness evaluation, process analysis or other similar assignments)?  Bidders that did not carry out any similar previous activity for national / local organizations will score zero points; low scores will be attributed to bidders that carried out similar activities for this category of clients, but rarely; high scores will be attributed only to bidders that carried out frequent similar assignments in the past.

   - Previous similar activities conducted for international organizations. This criterion mirrors the previous one, but with focus on international organizations, only.

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[6] 1- Understanding of the work; 2- Qualification of the bidding company/consortium; 3 - Proposed methodology and tools; 4 - Financial offer; Annex - Full CVs of proposed key team members

- Previous similar activities successfully carried out in ICANN. Based on his/her best knowledge, the proposal assessor is called to weight whether or not similar activities were conducted by the bidder in ICANN, and whether or not these were successful.

- Geographic and cultural diversity, multilingualism, gender balance. Evaluators are asked to weight several elements that are grouped under the same heading and that relate to diversity in a wide sense. As an example, the following questions should be considered in order to score this element. Does the bidder have previous multi-national working experiences, matured in multi-cultural environments? How much is the proposed team multi-national and multi-lingual? Is the bidder proposing a gender balanced consulting team? Does the proposed methodology adequately consider and address multi-cultural factors?

- Suitability of proposed CVs. Focus is on team members rather than on bidding organizations, and main sources of information are consultants' CVs. Based on their previous working experiences, are proposed individuals suitable to carry out the work? Did they undertake similar previous assignments for other organizations? Are CVs complementary in relation to the needed areas of expertise to be covered? Did individual consultants mature previous common working experience (do they form a well-oiled team)? What is the level of seniority of the proposed team as a whole? If the work calls for some junior activities, are juniors integrated into the team? Are all the needed skills present in the team?

6. **Proposed methodology and tools** – This criterion of assessment aims to measure how well bidder's approach to work is suitable to conduct the assignment:

- Suitability of timetable. Terms of Reference ask bidders to present their preferred timetable, based on pre-defined key milestones of the work to be carried out. Evaluators are asked to weight how much the timetable respects the milestones contained in ToR, and if this is credible and implementable.

- Work organization and methodological approach. Is work logically structured in clearly identified project phases? Is the scope of each phase / work package clearly described? Are external constraints duly taken into consideration? Are all the needed elements of analysis considered and appropriately addressed by the proposed methodology? Are both quantitative and qualitative elements of analysis (if relevant) taken into consideration for the development of the bidder's methodology?

- Suitability of proposed data gathering tools. Are the proposed data gathering tools consistent with the proposed methodological approach? Any missing tool? Is proposed sampling consistent with methodology and mandate? Are there adequate mechanisms foreseen in order to involve the relevant community during data gathering?

- Suitability of proposed data analysis / validation methods. Are the proposed data analysis methods suitable to aggregate, interpret and weight findings? Are suitable validation mechanisms of findings and conclusions foreseen and described? Are adequate mechanisms foreseen in order to involve the structure under review and its relevant community in validation?

7. **Financial offer** – This criterion aims to weight two elements making up the financial offer of each bidder:

- <u>Max efforts respected or acceptably justified in case of deviations?</u> Terms of Reference contain a best estimate indication of the efforts needed to conduct the work, expressed in working months. While it is expected that most bidders would align their offers to these indications, it cannot be excluded that the specific methodological approach of one or some of them would call for a different overall budget in terms of efforts. Evaluators are called to assess whether the max efforts indicated in the ToR are respected by bidders, or whether deviations from forecasts are appropriately justified. Both cases should be rewarded with a high score.

- <u>Overall value for money?</u> Evaluators are invited to formulate their opinion on the value for money of each proposal, in a comparative perspective. In order to reflect their opinion, the proposal representing the best value for money ratio should be scored at 10, while that representing the worst value for money ratio should be scored at 0. Intermediate rankings should be used to represent the VFM of all the other proposals.

# 11) Annex II: communication actions, per phase (present situation)

| Phase | Activity | Interaction (description) | Comments |
|---|---|---|---|
| TOR writing | Definition of ToR | Public comments on semi-final ToR | Maybe redundant, as ToR are pretty standardized. When addressing comments, care has to be devoted to ensure consistency of the overall review design. |
| Consultant selection | Consultant selection | Information on identity of selected consultant (news + OR pages) | |
| Independent review | Beginning of operations | Information on beginning of operations (OR pages) | |
| Independent review | Interviews with key informed stakeholders | Interviews carried out by external reviewers | In general, all independent reviews foresee both a round of 2f2 interviews and a round of remote interviews; identity of target interviewees is compiled by reviewers in collaboration with ICANN staff |
| Independent review | Draft final reviewers' report | Publication; presentation at an ICANN meeting; public comments (left to the choice of the WG) | If the final approval process is appropriately structured, it might be redundant and confusing. In this case, it might be preferable to go for publication and public comments only for the finalized version of the report. |
| Independent review | Final reviewers' report (finalized) | Publication; presentation at an ICANN meeting; public comments | |
| WG Work | Interim WG report | Publication; presentation at an ICANN meeting; public comments | |
| WG Work | Draft WG final report | Publication; presentation at an ICANN meeting; public comments | |
| WG Work | Final WG report | Publication | |
| Implementation | Implementation plan, updating on state of advancement | Publication; presentation for discussion at ICANN meetings | |

# 12) Annex III: acronyms used in the text

BGC | Board Governance Committee. Before the establishment of the StImprov (October 2008), the BGC was tasked with the duty of coordinating the OR processes. The mandate of the BGC has been redefined following a process of consolidation of the Board Committees

Board | Board of Directors

ICANN | The Internet Corporation for Assigned Names and Numbers

ItB | Instructions to Bidders, a set of instructions providing guidance to interesting bidders on format and content of the proposals to be submitted

OR WG, review WG | Organizational Review Working Group. A WG established by StImprov, made up of past and present Members of the Board and chaired by a StImprov Member in charge with oversight and steering of a specific OR process

ORs | Organizational Reviews

RfP | Request for Proposals, the open announcement inviting interested and qualified parties to submit an offer for a specific OR. It contains both the ItB and the ToR

StImprov | Structural Improvements Committee, a Committee of the Board in charge with steering and oversight of the OR processes of ICANN

ToR | Terms of Reference, the specific mandate of each OR