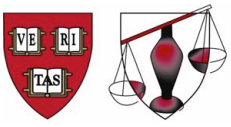
Accountability and Transparency at ICANN
An Independent Review

Appendix A: Workplan
October 20, 2010



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Project Phases

The Berkman team outlined a three phase process: Phase 1—problem identification: case studies; Phase 2—problem discussion and identification of potential solutions; and Phase 3—synthesis and recommendations.

- In Phase 1 the Berkman team initiated a multi-layered fact-finding process aimed at identifying key issues, challenges, and areas of disagreement related to recent decisions and actions by ICANN, with an emphasis on issues related to participation, transparency, and accountability.
- In Phase 2, the Berkman team conducted interviews with select experts, staff members, and stakeholders to discuss the problem areas identified in Phase 1 and to explore potential solutions. Phase 2 identified zones of convergence and divergence regarding both the perceived quality of ICANN's decisions along these various dimensions and potential solutions to deal with the underlying challenges.
- Based on a rich body of academic literature, Phase 3 of the study developed an exploratory model intended to help examine the various factors that shape the perceived legitimacy of ICANN and its decision-making processes and to make visible the interplay among these variables. The diagnostic model includes a taxonomy of issues and challenges identified in Phases 1 and 2, described in more depth in Section III C above.

Overview of Activities and Outputs

	Activities	Draft outputs	Consultation
Phase 1	• Rapid, initial review of public submissions from January 2008 to June 17, 2010 in order to identify main areas of concern expressed by various stakeholders and creation of a tentative issues map that informs the fact-finding process (e.g., the drafting of an interview questionnaire, see below). • Initial review of selected academic articles and scholarly works, plus the creation of an initial annotated bibliography that informs, both directly or indirectly, the team's work as it relates to the review process. • Engaged in the collection of a representative sample of materials (including, for example, ICANN publications, independent reports and reviews, and public comments) that enable a bottom-up and problem-oriented analysis. • Drafted interview questionnaires related to the three case studies.	Aug. 27, 2010 Progress Report: • Draft Interview Protocol and Questionnaires • Draft Public Input Memo • Draft Working Hypotheses • Preliminary Annotated Bibliography • Feedback on ATRT Survey to the Community	• Aug. 16, 2010: ATRT meeting • Aug. 29, 30, 2010: ATRT Beijing workshop • Sept 6, 2010: ATRT meeting

	Activities	Draft outputs	Consultation

Phase 2	• Revised the draft interview questionnaires for staff, related to the three case studies, in the light of the feedback received by ATRT in the context of the Beijing meeting.
	• Designed a written questionnaire that is specifically geared towards GAC members.
	• Creating customized questionnaires—based on specific areas of expertise or experience—for non-staff members.
	• Distributed staff and GAC questionnaires.
	• Developed criteria for interviewee nominations and shared a list of proposed interviewees with the ATRT.
	• Conducted over 40 interviews.
	• Reviewed and commented on the WG template developed by the ATRT.
	• Reviewed and commented on the draft issues papers prepared by the ATRT's WGs.
	• Defined the interfaces between the Berkman team and the ATRT's WGs within the feedback on the received WG draft issues papers (WG #1, 2, and 4).
	• Prepared a memorandum on transparency issues.
	• Prepared a draft case study on the introduction of new gTLDs.
		Sept. 13, 2010: Midterm Report:
		• Feedback on the ATRT's Working Group Template
		• Feedback on Issues Reports by the ATRT's Working Groups
		• Draft List of Proposed Interviewees
		• Revised Interview Protocol and Questionnaires for Staff and the GAC
		• Draft Case Study on the Introduction of New gTLDs
		• Draft Transparency Memorandum Sept. 30, 2010: Draft Case studies:
		  • The introduction of new gTLDs, specifically, the Expression of Interest proposal, the Implementation Recommendation Team, the role of the Governmental Advisory Committee (GAC), and vertical integration
		  • The .xxx top-level domain, specifically, the review process (Independent Review Panel) and interaction between the GAC and the Board
		  • The DNS-CERT proposal
			• Sept. 14, 2010: ATRT meeting
			• Sept 20, 2010: ATRT meeting
			• Sept. 29, 2010: ATRT meeting

	Activities	Draft outputs	Consultation
Phase 3	• Draft recommendations. • Reviewed recommendations with ATRT. • Reviewed recommendations with subject matter experts. • Conducted interviews with Board members, CEO and General Counsel.	Oct. 8, 2010: Working document: • Recommendations • Case studies Oct. 20, 2010: Final report: • Recommendations • Case studies • Methodologies	• Oct. 6, 2010: Berkman meeting with ATRT chair • Oct 11-13, 2010: ATRT Boston meeting