Affirmation Reviews

Requirements and Implementation processes

Draft Proposal

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0) Executive Summary

The Affirmation of Commitments (Affirmation) contains specific provisions for periodic review of four key ICANN objectives; they are:

- Ensuring accountability, transparency and the interests of global Internet users;
- Preserving security, stability and resiliency of the DNS;
- Promoting competition, consumer trust and consumer choice;
- Whois policy.

This paper presents a draft framework to address Affirmation review requirements. The purpose of this paper is both to provide a vehicle for community comment on all aspects of the review process, and to serve as guidance for the review teams. This proposed methodology is based on a lightweight but rigorous and meaningful approach, integrating standard review / participatory evaluation practices in order to achieve sound, implementable outcomes.

The concept behind the Affirmation reviews is simple: these reviews provide a mechanism to assess and report on ICANN's progress toward fundamental organizational objectives. The reviews themselves should follow this principle of simplicity. The Affirmation document outlines many of the parameters of the reviews, establishing in advance the basis for each review's terms of reference. Further, the Affirmation document defines who selects the review teams, and defines the type of review team participants. Finally, the Affirmation outlines time frames for each review that dictate a streamlined approach to performing the reviews.

The review framework outlined here proposes that:

- Review Teams are the leading actors of the review process, and responsible for the quality and timeliness of the reviews. They are independent from the ICANN Board and staff.
    - Review teams are ultimately responsible for the adoption of each review's terms of reference.
    - Review teams should adopt a consensus-based style of work.
    - Teams are supported by an external consultant, bringing technical expertise in participatory evaluation techniques and working group facilitation.
    - Review Teams integrate independent experts, with specific expertise in the subject area of each review.
    - Review Teams shall base their conclusions and recommendations on quantitative and qualitative evidence, to be gathered during the review.
- Review teams composition should respect the Affirmation-mandated structure while keeping their size small in order to achieve effectiveness. Size of teams should be limited to the minimum without jeopardizing their goal; an average size of seven or eight members for each review team is recommended.

- Volunteer team members would apply through relevant Supporting Organizations/Advisory Committees; the selectors mentioned by the Affirmation[1] makes the final choice on each team's composition.
    - The selectors would issue a call for volunteer members of review teams.
    - Applications will be submitted through the relevant SO/ACs; applications and supporting materials will be published.
    - The selectors of each review will make the final selection; team membership will be published.
- The community will be involved, through public comment, at each of the key phases of the review; this includes:
    - Definition of the methodology of the reviews and the criteria for review team composition.
    - Definition of the review terms of reference.
    - Selection of the indicators for the review. Indicators are the quantitative and qualitative elements that will help to guide each review's evaluation.
    - Providing data to the review teams.
    - Commenting on the report; as requested by the Affirmation and in line with ICANN practices, community will be requested to comment on the draft final report of the review teams.
- Based on receipt and analysis of public comments to this document, the Board will recommend a common working methodology for all review teams, to enhance consistency of the reviews. Each review team will ultimately determine its own methodology.

The Affirmation calls for the conclusion of the first review on Accountability and Transparency by the end of 2010. To achieve this timeline, this paper proposes several intermediate milestones:

- Select review team – February 2010
- Adopt review methodology – March 2010
- Adopt terms of reference – April 2010
- Select performance indicators – June 2010
- Draft report published – October 2010
- Public comments to draft report – November 2010
- Final report – December 2010

0.1 Structure of the document

This document is organized as follows:

Section 1	**Preamble: Affirmation Review Requirements .** This section summarizes the Affirmation's key requirements for reviews. In particular, it examines the

[1] They are: the GAC Chair and the Board Chair for the review on Accountability and Transparency; the GAC Chair and the ICANN President/CEO for the other reviews.

	scope of the four periodic reviews, review cycles and high-level mechanisms envisaged by the Affirmation to conduct reviews by specific Review Teams.
Section 2	**Review Methodology .** This section contains suggestions for addressing the Affirmation's review requirements. In particular, it identifies and describes the nine phases of each review. For each review, it envisages the roles of those involved and indicates its duration.
Section 3	**Preliminary Activities.** This section covers the activities to be carried out before the review work begins. It covers how review teams are set up and budgets allocated, among other issues.
Section 4	**Timeline: Preparatory Activities and First Review.** This section contains a Gantt chart outlining the preliminary activities leading to the organizational work for the first Accountability and Transparency review, which is to be finished by 31 December 2010.
Section 5	**Draft Terms of Reference for First Review.** This section contains draft terms of reference for the first Accountability and Transparency review. The final formulation of these terms of reference will be made by the review team, after public comments.
Annexes	A - The full text of the **Affirmation of Commitments** B – **Timeline**: preparatory activities and first two cycles of reviews

1) Preamble: Affirmation Review Requirements

*This Section 1 describes the **review requirements spelled out in the Affirmation of Commitment**. In particular, it examines the scope of the four periodic reviews, review cycles and high-level mechanisms envisaged in the Affirmation for the conduct of reviews by specific review teams.*

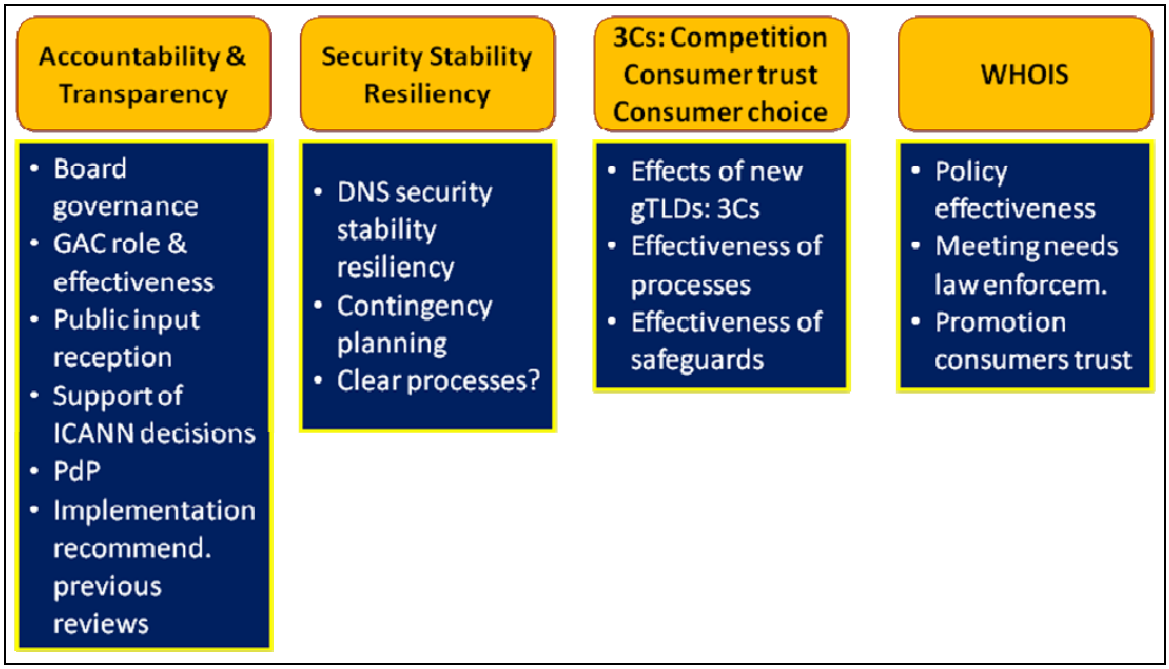
1.1 Four Periodic Reviews

The Affirmation calls for the periodic review of four ICANN key objectives through different evaluation[2] processes. These reviews are:

- Ensuring accountability, transparency and the interests of global Internet users
- Preserving security, stability and resiliency of the DNS
- Promoting competition, consumer trust and consumer choice (3Cs)
- Whois policy

According to the Affirmation, each reviews will analyze multiple, correlated aspects. Figure 1 illustrates the areas to be analyzed in each review.

Figure 1 - Reviews and Areas of Analysis



1.2 Performance Indicators

As defined by the American Evaluation Association[3], evaluation (or review) is the **assessment of strengths and weaknesses** of programs, policies and **organizational performance** to **improve their effectiveness**.

[2] The terms "review" and "evaluation" are used here as synonyms.
[3] http://www.eval.org/aboutus/organization/aboutus.asp

To formulate their judgment, evaluators are to identify those **quantitative and qualitative factors or variables that help to measure achievement**. These quantitative or qualitative factors are called **indicators**.

Based on the high-level indications contained in the Affirmation, a complete list of indicators of performance –including measurement parameters- should be set up at the beginning of each review exercise.

Box 1 provides some background detail on the use of indicators in the evaluation practice.

Box 1 – Indicators in the Evaluation Practice

Indicators in the evaluation practice

MSN Encarta defines indicator as **something that shows what conditions are**: something observed or calculated that is used to show the presence or state of a condition or trend.[4]

In line with this description, performance (outcome) indicators come into the picture to assess the results of a complex activity (a program, a policy, the mandate of an organization…), and are variables that help to measure changes in a given situation. Their most popular definitions include:

- Used to measure the extent to which expected accomplishments have been achieved. (…) **One expected accomplishment can have multiple indicators**. [5]
- Indicators are **measurable approximations of the outcomes** you are attempting to achieve. The indicators you select for each outcome will depend on your evaluation team's philosophical perspective about what is the most accurate measure of your stated outcomes; the resources available for data collection (…); and privacy issues and how intrusive the data collection methods are. [6]
- A **quantitative or qualitative factor or variable** that provides a **simple and reliable means to measure achievement**, to reflect changes connected to an intervention (…) [7]
- An indicator or criterion is a dimension along which performance (…) is rated or judged as **successful or meritorious**. (…) The **indicators** and descriptors **should be stated specifically and in measurable or observable terms.**[8]
- **Quantitative indicators** are useful for summarizing large amounts of data and reaching generalizations based on statistical projections. **Qualitative indicators** can tell the story from the participant's viewpoint, providing the rich descriptive detail that sets quantitative results into their human context. One set of indicators is not better than the other; both are derived from multiple disciplines and can be used to address almost any research topic.[9]

It is important to underline once more that **indicators can be quantitative** (also known as metrics) **and qualitative**, and that **both of them need to be considered to address a multi-faceted evaluation mandate**.

[4] http://encarta.msn.com/encnet/features/dictionary/DictionaryResults.aspx?refid=1861620896
[5] UN's Office of Internal Oversight Services – Monitoring, evaluation and consulting division – Glossary http://www.un.org/Depts/oios/mecd/mecd_glossary/index.htm
[6] W.K. Kellogg Foundation Evaluation Handbook, http://www.wkkf.org/DesktopModules/WKF.00_DmaSupport/ViewDoc.aspx?fld=PDFFile&CID=281&ListID=28&ItemID=2810770&LanguageID=0
[7] OECD – Glossary of key terms in evaluation and results based management, http://www.oecd.org/dataoecd/29/21/2754804.pdf
[8] The Evaluation Centre at the Western Michigan University - http://www.wmich.edu/evalctr/
[9] USAID – Performance monitoring and evaluation: how are indicators used? http://www.usaid.gov/pubs/isp/handbook/isp2_ii.html

1.3 Review Cycles

The Affirmation reviews are periodic exercises with varying cycles. The Affirmation contains explicit requirements for start or end dates of each review, which are represented in the Gantt chart in Annex B. The chart covers the first two cycles of reviews. This timeline is based on three assumptions:

- **An approximate and average duration of each review not exceeding 12-months, including preparatory activities.** This duration takes into consideration several ICANN-specific elements, such as its multi-stakeholder constituency and the need to provide sufficient time to allow community participation; the need to allow adequate time for translation; the particular methodology requested by the Affirmation to conduct reviews (participatory approach) impacting the length of processes, and similar factors.
- **A shorter time allotted to the first review (the first review of Transparency and Accountability),** which must be finished by 31 December 2010. This exercise will be particularly challenging and will call for adherence to rigid deadlines by all those involved. Some of its early activities must be conducted in parallel with preparatory activities (see Section 4).
- **A further and major assumption relates to the 3rd review (Promoting Competition, Consumer Trust and Consumer Choice),** which is due to start one year after entry into operation of new gTLDs. As this date is unknown at present, the Gantt chart in Annex B was prepared on the assumption that new gTLDs will be introduced in mid-2011, a purely speculative hypothesis. The final review timeline must therefore be adjusted after this date is selected.

1.4 Review Conduct: a Participatory Effort

The Affirmation explicitly foresees that the review(s) will be performed by volunteer community members organized in review teams. It provides some guidance on setting up of such review teams, which are composed of members of the relevant SOs/ACs and independent experts (see Section 1.5).

This provision of the Affirmation clearly indicates that **reviews shall not be conducted as traditional evaluations, to be performed by external consultants, but rather by review teams**.

In modern evaluation practice, two different techniques respond to this nontraditional approach in which the parties directly involved in the phenomenon to be evaluated are key actors in the evaluation exercise. These techniques are called **participatory** and **empowerment** evaluations. Both techniques are consolidated by more than a decade of application in different contexts and countries worldwide. The box below provides a very high-level definition of the two techniques.

Box 2 – Participatory and Empowerment Evaluation: Key Aspects

Participatory and empowerment evaluation: key aspects

'Participatory evaluation is a partnership approach to evaluation in which stakeholders actively engage in developing the evaluation and all phases of its implementation. Those who have the most at stake in the program — partners, program beneficiaries, funders and key decision makers — play active roles. Participation occurs throughout the evaluation process including:

- identifying relevant questions;

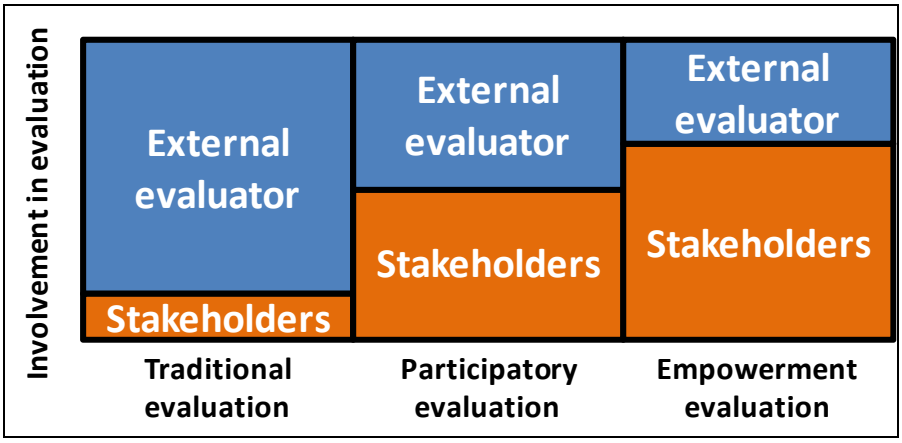
- planning the evaluation design;
- selecting appropriate measures and data collection methods;
- gathering and analyzing data;
- reaching consensus about findings, conclusions and recommendations;
- disseminating results and preparing an action plan to improve program performance.'[10]

'Empowerment evaluation is the use of evaluation concepts, techniques, and findings to foster improvement and self-determination. It employs both qualitative and quantitative methodologies. (…) It is attentive to empowering processes and outcomes. (…)' [11]
'In an empowerment evaluation, the evaluator-stakeholder relationship is participatory and collaborative. In addition, however, the evaluator's role includes consultation and facilitation directed toward developing the capabilities of the participating stakeholders to conduct evaluations on their own, to use the results effectively for advocacy and change, and to experience some sense of control over a program that affects their lives.'[12]

In conclusion, the difference between a traditional evaluative approach and a nontraditional one, and between the participatory and empowerment evaluation techniques, is the relative participation in the key phases of the evaluation process by the external evaluator and of stakeholders. Figure 2 shows this key aspect.

Section 2) of this paper presents a draft proposal to undertake the Affirmation reviews in a way that is tailored to ICANN's ecosystem and multi-stakeholder model, in observance of the indications given by the Affirmation.

Figure 2 – Traditional, Participatory, Empowerment Evaluation (graphic outlook)



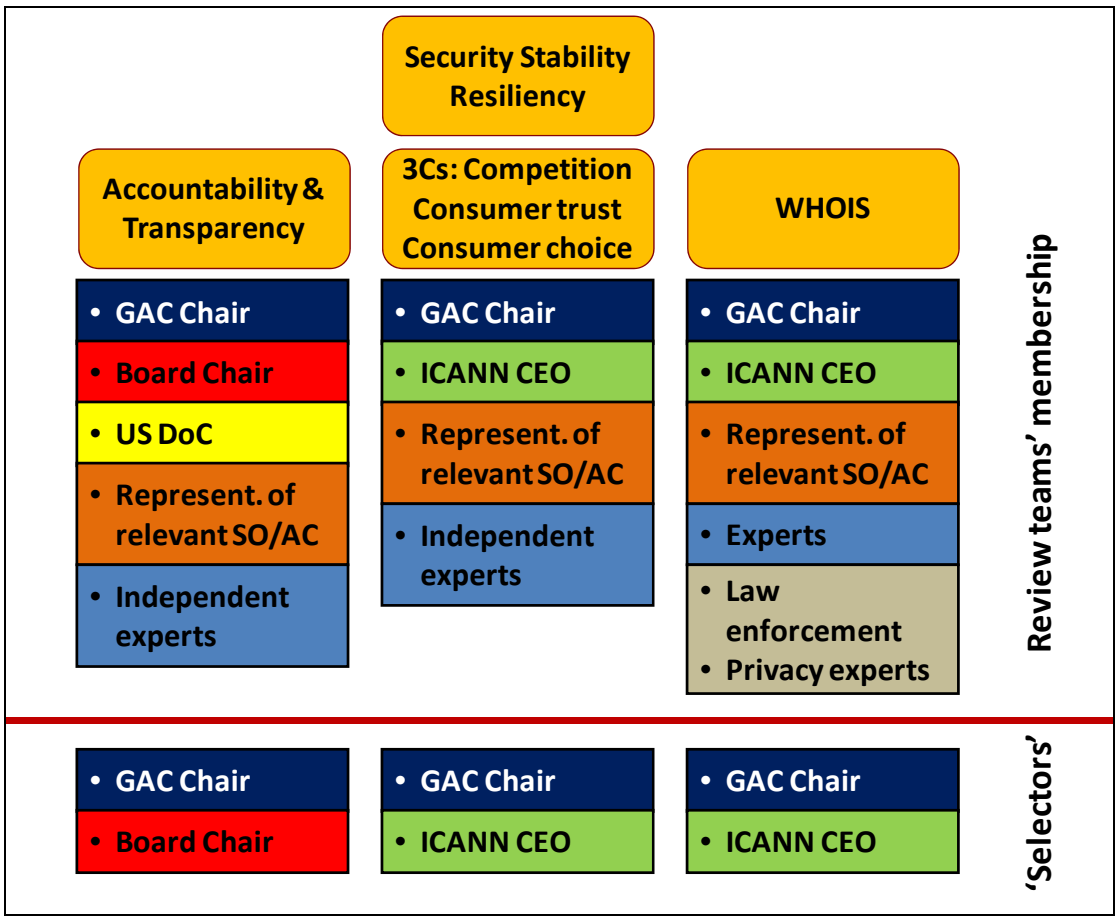
Within this context and consistent with the philosophy of the Affirmation, review teams are further called to ensure the integrity of the process and to guarantee that the public's interest in an accountable and transparent review mechanism is adequately respected and enshrined in carrying out the evaluation exercise.

[10] California Endowment and the Public health Institute – Community-based PH policy & practice – 'Participatory evaluation, what is it? Why do it? What are the challenges?, April 2002
[11] Door David M. Fetterman, Shakeh J. Kaftarian, Abraham Wandersman - Empowerment evaluation: knowledge and tools for self-assessment & accountability. 1995, SAGE publications. SBN: 9780761900252
[12] Peter Henry Rossi, Mark W. Lipsey, Howard E. Freeman - Evaluation: a systematic approach. 1998, SAGE publications. ISBN-13: 9780761908937

1.5 Composition of Review Teams and Selection of Members

The indications provided by the Affirmation cover the high-level composition of the four review teams (one for each review) and identifies the persons in charge of member selection (the Selectors). These requirements are shown in Figure 3.

Figure 3 – Membership of Review Teams and Selectors



The Affirmation provides for possible integration of independent experts in the Review Teams; this requirement is addressed in the following Chapter 3.1.4.

Finally, a further requirement of the Affirmation relates to the publicity to be given to the composition of the review teams. Teams are to be constituted and posted for public comment. Section 3.1.5 addresses this requirement.

2) Review Methodology

*This section contains **draft proposals** about the **methodology for responding to the requirements of the Affirmation of Commitments**.*

In particular, it identifies the nine phases of each review, and for each phase it envisages the roles of those involved.

We have seen that Affirmation reviews are to be carried out by review teams made up of volunteer representatives of the relevant SOs/ACs. This implies the use of nontraditional evaluation techniques, in which an external, professional expert in participatory or empowerment evaluation (thereinafter: the consultant) is required to facilitate the review process and guarantee that sound, consolidated evaluation practices are adopted.

This section goes into greater detail and identifies the key phases of the Affirmation reviews. It also suggests the respective roles to be played by ICANN communities, the review teams, the external evaluator, and ICANN staff, for each of these phases.

The key phases of the proposed methodology for conducting Affirmation reviews are:

- **Adoption of review processes** – The review teams' first activity is the formal adoption of review processes and procedures. As described here, the scope of this draft proposal is to suggest processes for public consultation and further consideration by review teams, which remain autonomous in selecting their operating procedures.

  Proposed process: The proposed process envisages the publication of this draft paper for public comment and consolidation of resulting public comment. After considering the initial proposal and community input, the Board will recommend the adoption of a unified approach by review teams. However, review teams will make the final decision on the review processes to be adopted.

  Those involved: Review teams, community, Board

- **Selection of the consultant** – The selection of the consultant to serve as facilitator of the review process is a complex process and will absorb a substantial amount of time.

  Proposed process: This proposal suggests that the procedures recently adopted by the Board to select reviewers in the organizational review area be used to select the Consultant. These procedures must be adapted to suit this different context, and the Box 3 contains proposals in this sense.

  Those involved: Selectors, review teams

- **Definition of review terms of reference** – The terms of reference will aim to define in clear, unambiguous terms the scope of the analysis, the expected outcomes, and the timeline of the exercise, based on the provisions in the Affirmation. Finally, they should contain list of review team rules (voting mechanisms, quorum, and the like), identify the review team chair and powers, and any further elements considered useful by the review team.

  Proposed process: Publication of the draft paper (containing the draft terms of reference) for public comment and consolidation of public comments received. After considering the initial proposal and community input, the Board will recommend

adoption of the resulting terms of reference. Review teams will make the final decision on the adoption of the terms of reference of their reviews.

Those involved: Review teams, community, Board

- **Selection of performance indicators** – This exercise aims to identify the quantitative and qualitative elements that must be analyzed to ascertain if objectives under review are being attained. It further defines the methodology to be used to process the data sets to be gathered. To enhance the transparency of the process, this meeting can be broadcasted.

  Proposed process: Review teams call for public input to the process and define, during a face-to-face meeting, the performance indicators for the exercise, supported by the external evaluator.

  Those involved: Review teams, consultant, community

- **Definition of tools and targets** – Once the performance indicators are identified, the review teams will need to select and design the data gathering tools to be used during the evaluation (document analysis, structured/semi-structured interviews, focus groups, surveys), and define target respondents for each data gathering tool. Considering the creative and operational nature of this task, a face-to-face meeting is strongly suggested. In addition, to enhance the transparency of the process, this meeting can be broadcasted.

  Proposed process: During a face-to-face meeting, the review teams design the data gathering tools and identify targets, supported by the external evaluator.

  Those involved: Review teams, consultant

- **Data gathering** – During this phase, all data sets needed to conclude the evaluation questions covering review team mandate will be collected from the different ICANN communities and from different parts of the organization, using the tools designed during the previous phase.

  Proposed process: This phase will take most of the review time (2 to 3 months). This period is justified by the need to allow ICANN communities and individual key informed stakeholders the time required to provide evidence.

  Those involved in data gathering: Review teams, support provided by the consultant. If requested, staff can support teams in gathering existing data sets identified by teams from different parts of the organization. No staff support is envisaged in publishing and administering surveys.

  Those involved in data provision: ICANN communities and all individuals and groups identified during previous phase, ICANN staff

- **Intermediate analysis of findings/fine tuning of the methodology** – Midway through data gathering it is essential to check whether the exercise is collecting all the expected data sets, and to consider whether the methodology requires adjustment based on early findings (using different or additional data gathering techniques, refocusing of target respondents, and so on).

  Proposed process: This phase could require a one-day face-to-face meeting of the review teams. As an alternative, it can be prepared by the consultant for discussion during a review team conference call.

  Those involved: Review team, facilitated by the consultant

- **Data analysis** – This phase aims to analyze the evidence gathered and to understand its meaning, to answer to the evaluation questions.

  Proposed process: This phase could absorb one two or three-days of face-to-face meetings. For the sake of transparency the full meeting can be broadcasted.

  Those involved: Review team, facilitation provided by the consultant

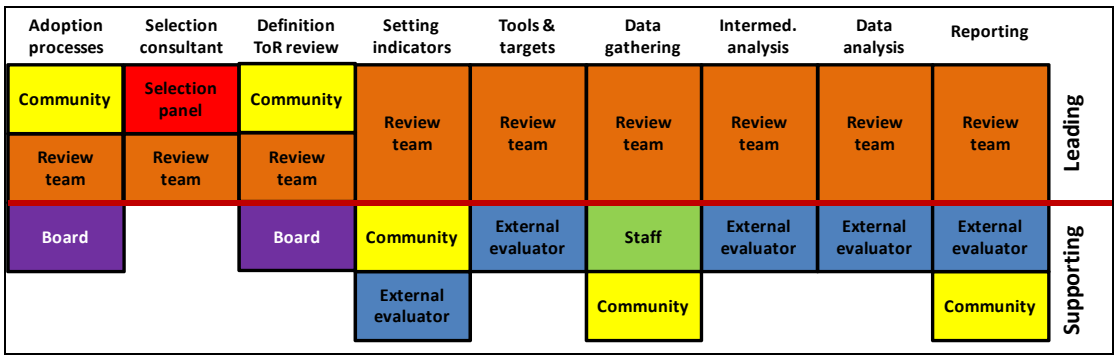
- **Reporting**

  Proposed process: Interpreting the Affirmation requirements, posting the draft report for public comment, then sending the report to the Board for adoption.

  Those involved: Review team, with support from the consultant

Figure 5 illustrates the respective roles of those involved in the review process, by review phase.

Figure 4 – Who Does What In The Review Process



Obviously, these review phases have very different weights in terms of time duration and levels of effort. The Gantt chart in Section 4) contains a proposed timeline for the carrying out the first Accountability and Transparency review, and shows the different time durations of the phases described above.

Box 3 – Selection of the consultant

Selection of the consultant

In following the spirit of the Affirmation, whereby review teams perform the reviews, it seems reasonable for them to select their external supporting consultant in full autonomy.

For this selection this proposal suggests the use of the processes recently adopted by the Board of Directors[13] for selecting external reviewers in the organizational review area, adapting these processes to a different context. These processes foresee the following four phases:

- **Definition of consultant's mandate** (describing the work to be performed by external consultants, in this case assisting with and facilitating the review work performed by review teams) and the instructions to bidders (containing the format of the offers to be presented, deadlines, provision for a request for clarification phase, etc.). Both documents are merged into a single document called and RFP (Request for Proposals).

  Those involved: Review team

- **Publication of the RFP** on the ICANN website and on the websites of relevant professional

[13] http://www.icann.org/en/committees/improvements/proposals-systematization-of-or-processes-apr09.pdf

organizations worldwide.

Those involved: Review team. If requested, ICANN staff can assist with publication of the RFP.

- **Setting up of a Proposal Assessment Panel** to evaluate all proposals received based on a proposal assessment grid[14], to be published as an integral part of the RFP.

  Those involved: to be decided by review teams. Suggested composition of each Panel: the two Selectors of the relevant review, plus one-two further members of the Review Team
- **Selection of the most suitable candidate**. After consolidation of the panel assessment conclusions, the Review Team makes the final selection and communicates with all the participating consultants.

  Those involved: Selection panel; final decision ratified by review team

[14] A standard, customizable assessment grid is contained in page 15 of the document quoted in footnote 13. Pages 15 to 19 of the same document detail the process of proposal assessment.

3) Preliminary Activities

*This section describes the draft proposals for organizing the **preliminary activities needed to start the review processes**.*

In particular, it covers setting up review teams and allocating review budgets for review teams.

3.1 Setting up Review Teams

Section 1.5 spells out the Affirmation requirements for membership on the four review teams and identifies the persons called to select their composition (the 'Selectors').

This section discusses further issues that are not covered by the Affirmation:

- Processes for identifying volunteer candidate members of the review teams
- Size of review teams
- Processes for selection of members of the review teams
- Professional profile of the independent experts to be integrated into the review teams
- Disclosure of the review teams' composition and public comments

3.1.1 Identification of the volunteer candidate members

- **Relevant SOs/ACs** – The Affirmation introduces the concept of relevant SOs/ACs and their representatives to be included in the review teams. Not all SOs/ACs should necessarily be involved in all review teams, but only those that by their mission or focus are relevant to the subject of each review.

  As a first proxy, Figure 5 shows a proposal combining identification of relevant SOs/ACs for the scope of each review, and size of review teams.

  This proposal suggests that the Selectors make a common, final decision as to the relevance of each SO/AC to the scope of each review, and that they publish the results of their deliberation.

- **Call for volunteer candidate members** – Volunteer candidate members represent the relevant SOs/ACs. It therefore makes sense to imagine a process in which the Selectors issue a call for candidatures to the SOs/ACs that are identified as relevant to each review; the processes for endorsing candidates should be left to the governing rules and practices of each SO/AC.

  As carrying out a sound evaluation process is challenging and labor-intensive (and surely an uncommon task for most volunteers who might apply), this proposal advises that the call for candidatures contain an indication of three key elements:

  - The tasks to be performed by selected review team members
  - The expected time required and the duration of the exercise
  - The human and professional skills requested of applicants (adaptability, willingness to learn, team spirit, analytical skills, capacity to make abstractions from personal opinions)

Applicants should be requested to apply (through their respective SOs/ACs) through a motivational letter and a CV. The review team selectors will use the CV and motivational letter as the basis to select among all candidates endorsed by SOs/ACs.

Box 4 – Challenges in Participatory Evaluations

Challenges in participatory evaluations and personal abilities

'The implementation of participatory approaches, including participatory evaluation, can be challenging and unpredictable in outcome. They are often constrained by and clash with organizational structures and cultures, bureaucratic goals and unequal power relationships. Much depends on the quality of implementation and competencies in facilitation. A high level of self-reflection, critical awareness and continuous learning and improvement on the part of implementers is a key success factor to exploit the potential of these approaches and prevent their misuse.'[15]

3.1.2 Review team size

Review teams are groups of individuals called to respond to clear evaluative questions based on evidence, which sometimes can be contradictory and difficult to interpret.

In any evaluation exercise, the individual opinions of evaluators (review teams members in this case) should not interfere with the rigorous analysis of findings expected of them. Depending on the particular nature of the exercise, review teams could decide to base their deliberations on consensus.

To perform such a delicate, rigorous, operational and challenging task, there is no doubt that review teams should be kept small. This self-evident assumption is confirmed by the volume of literature on group dynamics. Also, the optimal size of a working, consensus-based group is often considered to be between six and eight individuals.

Box 5 – Size of Review Teams

Size of Review Teams: small and operational

There is very large consensus in literature on group dynamics:

- Group size should be kept to a minimum without jeopardizing goal
- Small groups are more effective than large ones
- Some suggest 7 people as a maximum size of a consensus-based group
- It is difficult for members of large groups to identify with one another and experience cohesion
- Large groups lead to increased possibility of conflict; decreased participation levels; risk to be dominated by prevailing individuals

See for example:

'We find that large teams (typically over ten people) have lower productivity than smaller teams. Research reported in The Wisdom of Teams suggests that serious deterioration in the quality and productivity of team interactions sets in when there are more than 12 to 14 members of the team. The greater the number of team members, the more difficult it is to achieve a common understanding and agreement about team goals and team processes. Large teams lead to less involvement on the part of team members and hence lower commitment and participation, which in turn leads to lower levels of trust. Although team size clearly should be determined by the nature of the task involved, much of the research suggests that the most productive teams have

[15] NZAID - NZAID Guideline on Participatory Evaluation, internal publication, 2006

between four and ten members. In summarizing research on team size, Glenn Parker notes that Although optimal size depends on the specific team mission, in general, the optimal team size is four to six members, with ten being the maximum for effectiveness. It is important to remember that many team tools in decision making, problem solving, and communicating were created to take advantage of small-group dynamics. Consensus, for example, just does not work as a decision-making method in a team of twenty members. Amazon.com has experienced an explosion of growth throughout its short life and employs roughly ten thousand people. However, Amazon typically deploys its workforce into two pizza teams (the number of people that can be adequately fed by two pizzas) to promote team identity and to foster commitment, accountability, and innovation within the team. Because two large pizzas typically feed eight to twelve people, you rarely find larger teams within Amazon. Thus the rule of thumb is choose the smallest number of people possible that will still allow the team to effectively accomplish its mission.'[16]

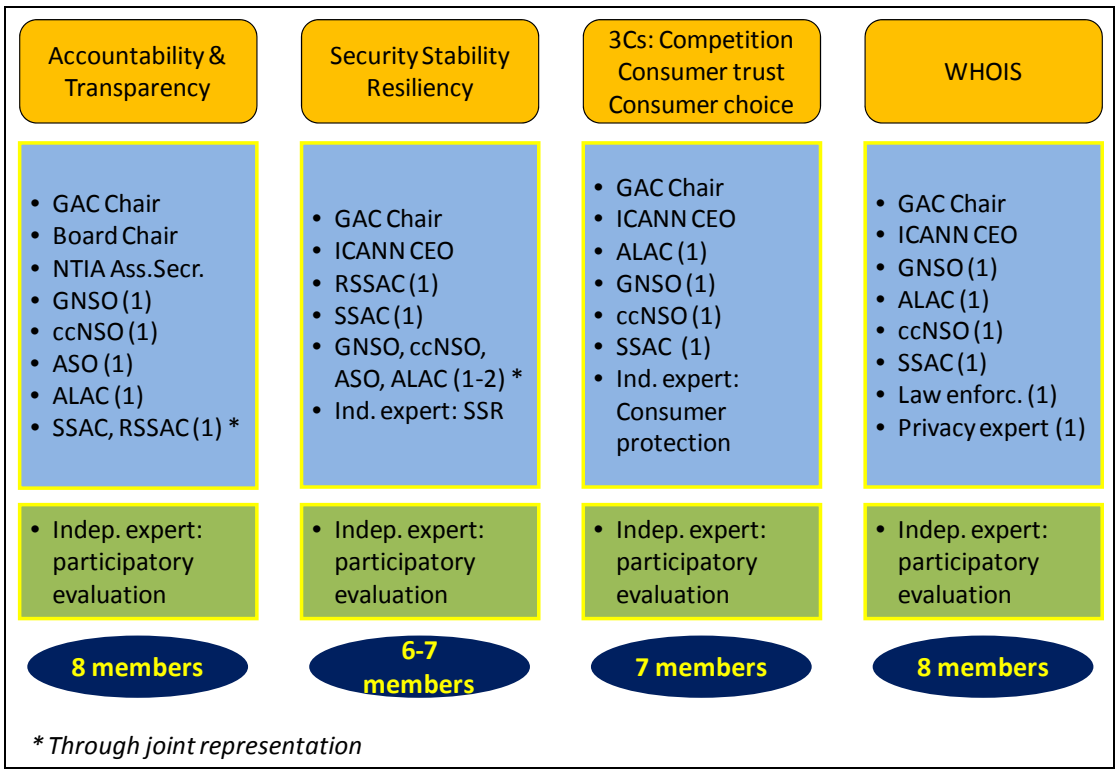
'Our research shows that when groups get larger than about 7, the communication process seems to flip from this interactive consensus forming kind of process to the non-interactive information transfer sort of process. It's what we call broadcast, so each speaker to the group in sequence broadcasts information to the rest of the group in turn and we know that that kind of communication process is not very good for forming consensus. One of the main findings of our research is that in the large group, people are very strongly influenced by dominant speakers. In other words people's opinions tend to go with the dominant speaker and not with the person they spoke next to in the discussion, who they might have interacted with. Whereas in the small groups you get quite the opposite result. Dominant speakers have no greater impact than anybody else. What seems to determine what people come away with in terms of their changes in attitudes and beliefs and so on is the people they actually interacted with in the discussion. And this is exactly what one would expect from this kind of consensual discussion process.'[17]

Figure 6 suggests the composition of the four review teams, addressing the Affirmation requirement for involving only those SOs/ACs that are relevant to the scope of each review (discussed in Section 3.1.1).

[16] Team Building: Proven Strategies for Improving Team Performance by William G. Dyer, Jeffrey H. Dyer, W. G. Dyer, W. Gibb Dyer Jr., Edgar H. Schein. Wiley, John & Sons, 2007. ISBN-13: 9780787988937

[17] Simon Garrod, interviewed by Robyn Williams on the results of a research on consensus and grou sizes: the case of juries http://www.abc.net.au/rn/science/ss/stories/s376611.htm

Figure 5 – Suggested Composition of Review Teams



This proposal is based on experience and on the literature. Any final decision on size and composition of the review teams is to be taken by the three Selectors.

3.1.3 Selection of review team members

The Affirmation is crystal clear on this aspect. Selectors allocate volunteer members to the review teams. This implies their exercise of some discretionary power of selection among candidates.

To facilitate the task of Selectors, this proposal suggests that each review team aims to achieve:

- Geographic diversity;
- Gender balance (specific targets to be fixed by Selectors);
- Understanding of ICANN's role and the basic Internet ecosystem in which ICANN operates;
- Expertise in a discipline related to the review topic (relevant technical expertise, if required by the scope of the review);
- No double membership, meaning that the same individuals cannot be appointed to serve on more than one review team (with the exception of the GAC Chair and the CEO/Chair of ICANN, which in any case can be represented by delegates). This is strongly suggested in considering the relevant amount of time that will be required by the review exercises.

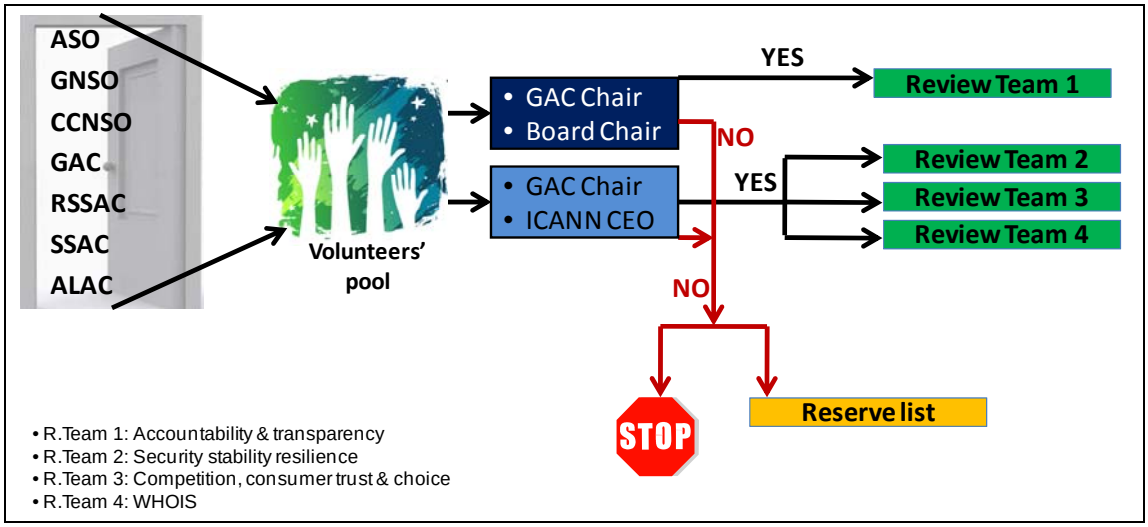
It is furthermore suggested that Selectors be the final judges of the human and professional skills requested of applicants. They should be left free to score applicants based on the

requested human and professional skills, and to retain only those applicants having the requisite skills that match those required to perform a review.

Applicants not retained for any team in the current review cycle can be included on a reserve list (if exceeding the number of review teams members sought and having the requisite skills) or not considered in case their skill sets do not match the requirements of the call for applicants.

Figure 6 illustrates the full selection process of review team members, including the process for calling for applications described here and in Section 3.1.1.

Figure 6 – Call for Volunteers and Selection of Review Teams Members



3.1.4 Review teams and independent experts

The Affirmation calls for integrating independent experts into each review team (defined more simply as Experts for the Whois review), but says nothing about the experts' professional profiles.

The review of ICANN's strategic objectives can benefit from the opinion of independent experts in the subject area of each review. One recognized expert in corporate governance, transparency and accountability mechanisms for the first review, one world-renowned expert in consumer protection for the third review, and so on. This proposal suggests that their role should be clearly defined in the terms of reference of each review; in general, it seems reasonable to imagine for them to play a role of sounding board or peer review for the conclusions of the review teams.

The role of these experts shall not be confused with the role of facilitator to be played by the external consultant (see Section 1.4).

Consistent with the formulation of the Affirmation, this proposal suggests that these experts be identified, if needed, by the Selectors, at the time of the establishment of the Review Teams, or immediately afterwards.

3.1.5 Disclosure of review team composition and public comment

As stated in Section 1.5, the constitution of teams should be posted for public comment.

This Affirmation requirement calls for an interpretation based on ICANN culture and working practices, which oppose the opening of public comment periods on the identity and professional or personal characteristics of individual Internet community members.

Filtered through this lens, the most logical implementation of this request seems to be to:

- Publish the criteria (described in this draft proposal) for setting up review teams for public comment; this will be done only once at the beginning of the review process.
- After selection, disclose the identity of the individual members of the review teams, their SO/AC affiliation, and their motivation letter and CV, to justify how the composition of the review teams took into consideration the selection criteria. Open a public comment regarding how well the team composition addresses the need for geographic, cultural and stakeholder diversity as well as gender balance and other criteria. This process is to be repeated at the time of the establishment of each review team.

The adoption of this process for the first review on Accountability and Transparency could result in two serial consultation processes running shortly one after the other[18]. Unfortunately the very tight timing of the first Accountability and Transparency review may not allow for this double process; in particular the second consultation would compromise the setting up of the review team by the ICANN Nairobi meeting, thus introducing a very critical delay in the beginning of the review activities (please refer to the Gantt chart in Section 4).

Different mechanisms can be envisaged to address this issue, including limiting public comment periods. Inputs are sought from community on this specific point as to pass, quickly to implementation.

3.2 Budget Identification

Budgeting for each review heavily depends on decisions of review teams on some critical factors, such as

- Nature of tasks delegated to the consultant, and time required. In turn, this cost depends largely on the fees of the consultant to be selected, considering that variations in the consulting market are huge[19].
- Logistics and travel (meeting room rental for review team meetings, number and length of face to face meetings, travel, hotels/restaurants, and the like).
- Size of review teams.

It makes sense that budgets for the four reviews will vary considerably in relation to their complexity and the multitude of aspects to be analyzed by the individual review teams.

[18] A first consultation on criteria for the setting up of review teams will be followed up by the establishment of the Accountability and Transparency team, which then should go up for public comments.

[19] As an indication of these discrepancies, during a recent Call for Proposals in the Organizational Review field ICANN received for the same contract 8 offers; the price of the cheapest acceptable offer was about the 25% of the price of the most expensive one.

Table 1 contains a prototype budget for the first review (Accountability and Transparency), and is based on the following hypothesis.

1) The hiring of an external consultant who is expert in participatory evaluation techniques, providing project management and facilitation of the review as described in this proposal (overall effort: about 4 working months; delegation of further tasks will affect estimated costs). The price is based on reasonably low market fees, and includes travel. Selection of a more expensive contractor can have an additional impact of about 50,000 USD.
2) Administrative support provided by an external contractor (hiring of meeting rooms, meeting organization, and the like).
3) Two face-to-face review team meetings for a total of four days, at an average cost per participant of 6,000 USD per meeting (this estimate includes flights in business class for travels longer than 5 hours, hotel/restaurant expenses, hiring of meeting rooms, coffee breaks). Additional or longer meetings will no doubt increase this figure.
4) A review team membership of eight individuals. Each additional member will produce an additional average cost of 6,000 USD for each two-day face-to-face meeting.
5) Phone costs are priced as a lump sum and depend on the locations of the individual review teams members.

Table 1 – Budget review Accountability and Transparency – Hypothesis 1

	Unit	# units	Unit cost	Final cost
External Evaluator	lump-sum	1	70,000	70,000
Administrative support	lump-sum	1	20,000	20,000
Two-days meetings: 6,000 @ 8 members	meeting	2	48,000	96,000
Phone costs	lump-sum	1	3,000	3,000
			USD	189,000

As described earlier, the selection of a consultant and the length and number of meetings will greatly affect budget. The following alternative budget hypothesis is based on the assumption of the selection of a more expensive consultant, of a membership of ten individuals and on the organization of three two-day meetings instead of two.

Table 2 – Budget review Accountability and Transparency – Hypothesis 2

	Unit	# units	Unit cost	Final cost
External Evaluator	lump-sum	1	120,000	120,000
Administrative support	lump-sum	1	20,000	20,000
Two-days meetings: 6,000 @ 10 members	meeting	3	60,000	180,000
Phone costs	lump-sum	1	3,000	3,000
			USD	323,000

To respect the full decisional and operational autonomy of the review teams, this proposal suggests allocating to each review team a budget envelope for the organization and carrying out of the reviews for which they are responsible.

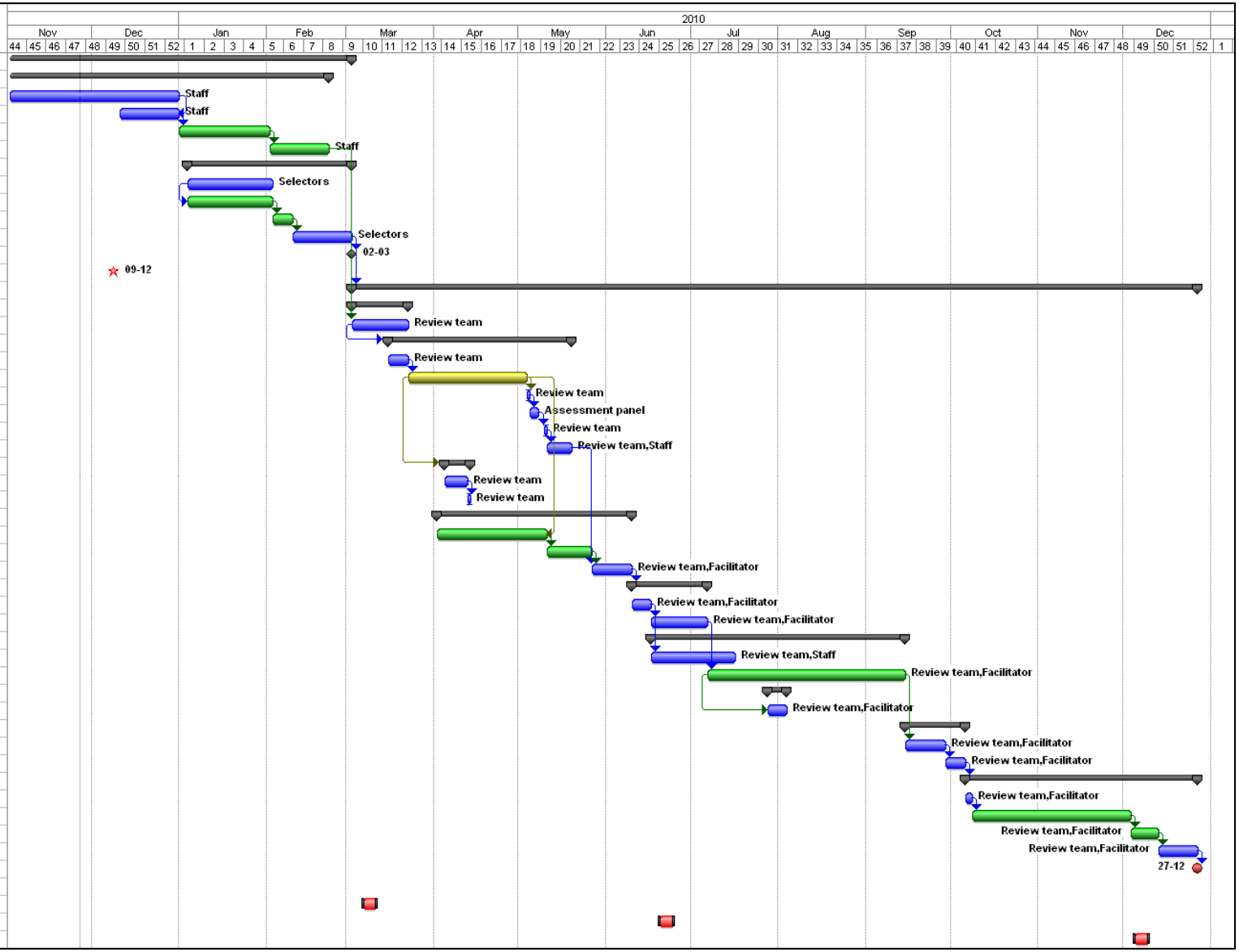
4) Timeline: Preparatory Activities and First Review

*This section contains a **Gantt chart of both the preliminary activities and the first Accountability and Transparence review**. It reflects and is consistent with the proposal contained in this paper.*

This section contains a high-level representation of the timelines for two sets of activities:

- **Preparatory activities**. These activities are to be carried out before the actual start of the first cycle of reviews. Those activities are described in greater detail in Section 3).
- **First Accountability and Transparency Review**. As discussed earlier (see Section 1.3) the first review should to be started soon to respect its final deadline. This calls for very tight time planning, and include compressing some activities into relatively short time periods. The review activities in the following Gantt chart are described in Section 2) of this proposal.

ID	Task Name
1	**PREPARATORY ACTIVITIES**
2	**Staff straw man proposal**
3	Drafting staff straw man proposal
4	Drafting staff straw man ToR 1st review
5	Community consultation on straw man proposal
6	Consolidation comments
7	**Setting up Review Team Acc.Transp.**
8	Call volunteer Team Review Members
9	Consultation on membership criteria
10	Consolidation comments
11	Setting up Team
12	Publication team composition
13	**Board 9 December**
14	**1st REVIEW ACCOUNTABILITY & TRANSPARENCY**
15	**Adoption review processes**
16	Adoption review processes
17	**Selection external facilitator**
18	Definition ToR - ItB
19	Publication RfP
20	Setting up assessment panel
21	Proposal assessment
22	Selection
23	Contracting
24	**Definition ToR review**
25	Drafting
26	Adoption
27	**Selection performance indicators**
28	Public consultation on indicators
29	Consolidation
30	Selection performance indicators
31	**Definition tools & targets**
32	Selection tools & targets
33	Design & testing tools
34	**Data Gathering**
35	Secondary source data collection
36	Primary source data collection
37	**Intermediate analysis of findings**
38	Intermediate analysis of findings
39	**Data analysis**
40	Data processing
41	Data analysis
42	**Reporting**
43	Drafting report
44	Public comments on report
45	Consolidation comments
46	Finalization report
47	Issuing report to Board
48	
49	**Nairobi meeting**
50	**Brussels meeting**
51	**Latin America meeting**



5) Draft Terms of Reference for First Review

This section contains the proposed terms of reference of the first Accountability and Transparency review, to be finished by 31 December 2010. The final formulation of these terms of reference will be made by the review team, after public consultation.

REVIEW OF ICANN's ACCOUNTABILITY, TRANSPARENCY AND DECISION MAKING PROCESSES – year 2010

1) Preamble

With the signing of the Affirmation of Commitment (attached), ICANN reaffirmed its commitment 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*.

The Affirmation of Commitments calls for carrying out a specific, periodic review to assess the performances of ICANN in this respect.

2) Questions to Be Addressed

The review will evaluate how well ICANN is:

(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.

In addressing each of these five questions, the review will *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.*

3) Review Team

This review will be performed by a review team composed of the following volunteer members:

- Mr Janis Karklins, GAC Chair *[or his delegate]*
- Mr Peter Dengate Thrush, Chairman of the ICANN Board of Directors *[or his delegate]*
- Mr Lawrence E. Strickling, Assistant Secretary for Communication and Information of the US Department of Commerce *[or his delegate]*
- *[names of the further members to be added]*

At their first meeting the review team members will elect the Chair of the team.

4) Working Methods

The review team shall base its conclusion on quantitative and qualitative evidence to be gathered during the review. In the carrying out of their function, review team members shall abstain from expressing personal opinions that are not based on evidence, or from bringing to the discussion political or commercial considerations that could undermine the objective analysis of findings.

All review team members, including the Chair, have equal voting rights.

Review team conclusions and recommendations shall be based on consensus; in the unlikely event that consensus cannot be reached on a specific topic, decisions will be taken by majority, and a section reporting reasons of the dissenting opinions shall be added to the review team report.

The review team is free to use any documental evidence available through ICANN; it will furthermore gather additional quantitative and/or qualitative facts from different Internet communities, making use of the most appropriate data gathering tools. In this respect, it will organize consultations with the community at key stages of the project, and will present for discussion the state of works at the ICANN meetings in Nairobi, Brussels and Latin America.

The review team will be assisted by an independent consultant with expertise in empowerment/participatory evaluation techniques. The consultant shall assist and facilitate the work of the review team by providing technical expertise in evaluation techniques (selection of the indicators, design of the data gathering tools, methods of data analysis, etc.), and in any other task as directed by the review team. The consultant shall abstain from formulating personal judgments and from influencing the deliberations of the review team, but shall support the decision making process of the team by ensuring that conclusion are based on relevant and significant evidence. The consultant, who shall be selected through open procedure, does not have voting rights.

5) Reporting

The review shall be concluded with the delivery to the Board of ICANN of a final report. The report will be formed by two volumes:

- Main text (approximate length: not longer than 20 pages). It shall contain conclusions of the review and recommendations for actions; recommendations shall be prioritized and formulated in clear, implementable, unambiguous, time-bound terms.
- Annexes. This volume shall contain the evidence used to formulate the conclusions, and a description of the methodology used to gather data and to analyze qualitative and quantitative evidence. In observance of common evaluation practices, opinions expressed by individuals shall be made anonymous.

6) Timeline

The review team is free to plan its own work, but the following key milestones must be respected:

- Hiring of the external consultant (including contracting): at the latest by mid-May 2010
- Publication of the draft final report for public comments: by beginning October 2010, at the latest

- Issuing of the final version of the report, after addressing of public comments: by the 31 December 2010 (no modification allowed)

6) Annex A: Affirmation of Commitments

AFFIRMATION OF COMMITMENTS BY THE UNITED STATES DEPARTMENT OF COMMERCE AND THE INTERNET CORPORATION FOR ASSIGNED NAMES AND NUMBERS

1. This document constitutes an Affirmation of Commitments (Affirmation) by the United States Department of Commerce ("DOC") and the Internet Corporation for Assigned Names and Numbers ("ICANN"), a not-for-profit corporation. In recognition of the conclusion of the Joint Project Agreement and to institutionalize and memorialize the technical coordination of the Internet's domain name and addressing system (DNS)[20], globally by a private sector led organization, the parties agree as follows:

2. The Internet is a transformative technology that will continue to empower people around the globe, spur innovation, facilitate trade and commerce, and enable the free and unfettered flow of information. One of the elements of the Internet's success is a highly decentralized network that enables and encourages decision-making at a local level. Notwithstanding this decentralization, global technical coordination of the Internet's underlying infrastructure - the DNS - is required to ensure interoperability.

3. This document affirms key commitments by DOC and ICANN, including commitments to: (a) ensure that decisions made related to the global technical coordination of the DNS are made in the public interest and are accountable and transparent; (b) preserve the security, stability and resiliency of the DNS; (c) promote competition, consumer trust, and consumer choice in the DNS marketplace; and (d) facilitate international participation in DNS technical coordination.

4. DOC affirms its commitment to a multi-stakeholder, private sector led, bottom-up policy development model for DNS technical coordination that acts for the benefit of global Internet users. A private coordinating process, the outcomes of which reflect the public interest, is best able to flexibly meet the changing needs of the Internet and of Internet users. ICANN and DOC recognize that there is a group of participants that engage in ICANN's processes to a greater extent than Internet users generally. 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.

5. DOC recognizes the importance of global Internet users being able to use the Internet in their local languages and character sets, and endorses the rapid introduction of internationalized country code top level domain names (ccTLDs), provided related security, stability and resiliency issues are first addressed. Nothing in this document is an expression of support by DOC of any specific plan or proposal for the implementation of new generic top level domain names (gTLDs) or is an expression by DOC of a view that the potential consumer benefits of new gTLDs outweigh the potential costs.

6. DOC also affirms the United States Government's commitment to ongoing participation in ICANN's Governmental Advisory Committee (GAC). DOC recognizes the important role of the

[20] For the purposes of this Affirmation the Internet's domain name and addressing system (DNS) is defined as: domain names; Internet protocol addresses and autonomous system numbers; protocol port and parameter numbers. ICANN coordinates these identifiers at the overall level, consistent with its mission.

GAC with respect to ICANN decision-making and execution of tasks and of the effective consideration by ICANN of GAC input on the public policy aspects of the technical coordination of the Internet DNS.

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 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 ICANN shall in all events act. ICANN is a private organization and nothing in this Affirmation should be construed as control by any one entity.

9. Recognizing that ICANN will evolve and adapt to fulfill its limited, but important technical mission of coordinating the DNS, ICANN further commits to take the following specific actions together with ongoing commitment reviews specified below:

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. The review will be performed by volunteer community members and the Review Team will be constituted and published for public comment, and will include the following (or their designated nominees): the Chair of the GAC, the Chair of the Board of ICANN, the Assistant Secretary for Communications and Information of the DOC, representatives of the relevant ICANN Advisory Committees and Supporting Organizations and independent experts. Composition of the Review Team will be agreed jointly by the Chair of the GAC (in consultation with GAC members) and the Chair of the Board of ICANN. 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 of the foregoing reviews 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. Integral to the foregoing reviews will be assessments of the extent to which the Board and staff have implemented the recommendations arising out of the other commitment reviews enumerated below.

9.2 Preserving security, stability and resiliency: ICANN has developed a plan to enhance the operational stability, reliability, resiliency, security, and global interoperability of the DNS, which will be regularly updated by ICANN to reflect emerging threats to the DNS. ICANN will organize a review of its execution of the above commitments no less frequently than every three years. The first such review shall commence one year from the effective date of this Affirmation. Particular attention will be paid to: (a) security, stability and resiliency matters, both physical and network, relating to the secure and stable coordination of the Internet DNS; (b) ensuring appropriate contingency planning; and (c) maintaining clear processes. Each of the reviews conducted under this section will assess the extent to which ICANN has successfully implemented the security plan, the effectiveness of the plan to deal with actual and potential challenges and threats, and the extent to which the security plan is sufficiently robust to meet future challenges and threats to the security, stability and resiliency of the Internet DNS, consistent with ICANN's limited technical mission. The review will be performed by volunteer community members and the Review Team will be constituted and published for public comment, and will include the following (or their designated nominees): the Chair of the GAC, the CEO of ICANN, representatives of the relevant Advisory Committees and Supporting Organizations, and independent experts. Composition of the Review Team will be agreed jointly by the Chair of the GAC (in consultation with GAC members) and the CEO of ICANN. 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.

9.3 Promoting competition, consumer trust, and consumer choice: ICANN will ensure that as it contemplates expanding the top-level domain space, the various issues that are involved (including competition, consumer protection, security, stability and resiliency, malicious abuse issues, sovereignty concerns, and rights protection) will be adequately addressed before implementation. If and when new gTLDs (whether in ASCII or other language character sets) have been in operation for one year, ICANN will organize a review that will examine the extent to which the introduction or expansion of gTLDs has promoted competition, consumer trust and consumer choice, as well as effectiveness of (a) the application and evaluation process, and (b) safeguards put in place to mitigate issues involved in the introduction or expansion. ICANN will organize a further review of its execution of the above commitments two years after the first review, and then no less frequently than every four years. The reviews will be performed by volunteer community members and the Review Team will be constituted and published for public comment, and will include the following (or their designated nominees): the Chair of the GAC, the CEO of ICANN, representatives of the relevant Advisory Committees and Supporting Organizations, and independent experts. Composition of the Review Team will be agreed jointly by the Chair of the GAC (in consultation with GAC members) and the CEO of ICANN. 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.

9.3.1 ICANN additionally commits to enforcing its existing policy relating to Whois, subject to applicable laws. Such existing policy requires that ICANN implement measures to maintain timely, unrestricted and public access to accurate and complete Whois

information, including registrant, technical, billing, and administrative contact information. One year from the effective date of this document and then no less frequently than every three years thereafter, ICANN will organize a review of Whois policy and its implementation to assess the extent to which Whois policy is effective and its implementation meets the legitimate needs of law enforcement and promotes consumer trust. The review will be performed by volunteer community members and the Review Team will be constituted and published for public comment, and will include the following (or their designated nominees): the Chair of the GAC, the CEO of ICANN, representatives of the relevant Advisory Committees and Supporting Organizations, as well as experts, and representatives of the global law enforcement community, and global privacy experts. Composition of the Review Team will be agreed jointly by the Chair of the GAC (in consultation with GAC members) and the CEO of ICANN. 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.

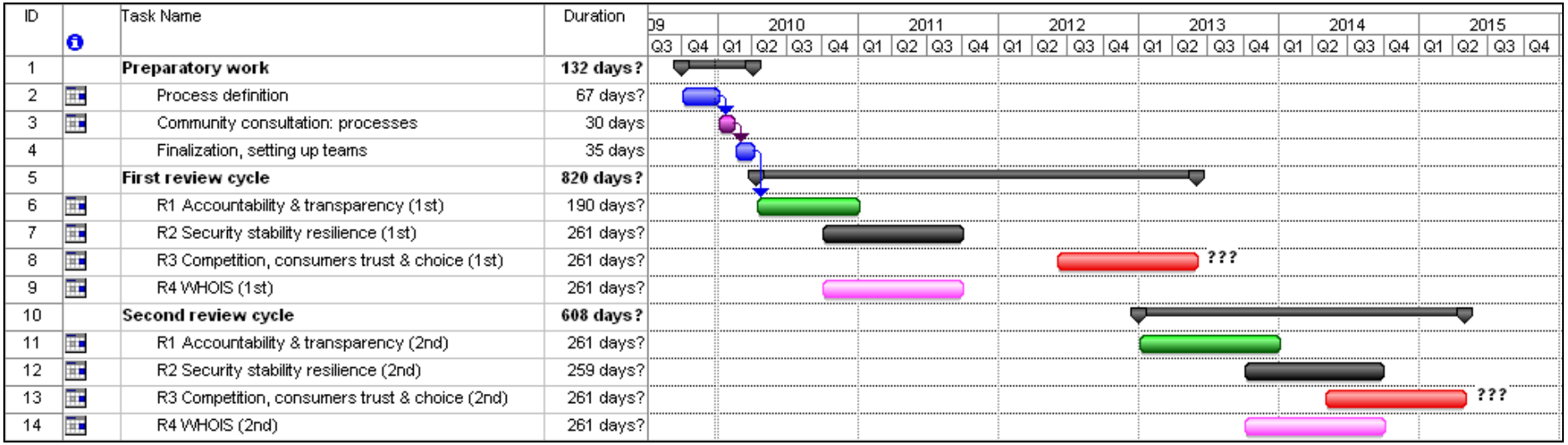
10. To facilitate transparency and openness in ICANN's deliberations and operations, the terms and output of each of the reviews will be published for public comment. Each Review Team will consider such public comment and amend the review as it deems appropriate before it issues its final report to the Board.

11. The DOC enters into this Affirmation of Commitments pursuant to its authority under 15 U.S.C. 1512 and 47 U.S.C. 902. ICANN commits to this Affirmation according to its Articles of Incorporation and its Bylaws. This agreement will become effective October 1, 2009. The agreement is intended to be long-standing, but may be amended at any time by mutual consent of the parties. Any party may terminate this Affirmation of Commitments by providing 120 days written notice to the other party. This Affirmation contemplates no transfer of funds between the parties. In the event this Affirmation of Commitments is terminated, each party shall be solely responsible for the payment of any expenses it has incurred. All obligations of the DOC under this Affirmation of Commitments are subject to the availability of funds.

(Signatures)
September 30, 2009

7) Annex B: Timeline preparatory activities and first two cycles of reviews

Figure 7 – Affirmation Reviews – Timeline: Preparatory Activities and First Two Cycles



ID	Task Name	Duration
1	**Preparatory work**	**132 days?**
2	Process definition	67 days?
3	Community consultation: processes	30 days
4	Finalization, setting up teams	35 days
5	**First review cycle**	**820 days?**
6	R1 Accountability & transparency (1st)	190 days?
7	R2 Security stability resilience (1st)	261 days?
8	R3 Competition, consumers trust & choice (1st)	261 days?
9	R4 WHOIS (1st)	261 days?
10	**Second review cycle**	**608 days?**
11	R1 Accountability & transparency (2nd)	261 days?
12	R2 Security stability resilience (2nd)	259 days?
13	R3 Competition, consumers trust & choice (2nd)	261 days?
14	R4 WHOIS (2nd)	261 days?