

ICANN Affirmation of Commitments' Responsibilities Inventory (Tracking & Brainstorming)

October, 2010

STAFF DISCUSSION PAPER. DEVELOPMENT IS ONGOING.

As requested by the ATRT:

Color: Initiated after 30 September 2009

O: Ongoing Activity

C: Completed Activity

O/C: Activity is ongoing, but some key elements have been completed

| 0. | § | Affirmation of Commitments | Activities underway to meet AoC objectives, and Status | Ideas under Staff discussion to better meet AoC objectives ¹ | Proposed metrics to assess success (TBD) |
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| 1. | 3 | This document affirms key commitments by DOC and ICANN, including commitments to: | | | |
| 2. | 3(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; | <ul style="list-style-type: none"> Evaluating public participation processes (PPC). O Amended of Article III, section 5 of the ICANN Bylaws to require the posting of Board approved resolutions within two (2) business days after the conclusion of each Board meeting and the posting of the preliminary report within seven (7) business days after the conclusion of each Board meeting. (Board) C Instituting changes to public participation process, including | <ul style="list-style-type: none"> Explore providing training for community volunteers on fulfilling public interest mandate, and transparency & accountability objectives. Consider how to provide even more detailed, complete responses to relevant public comment through analysis. (Board) Consider providing statements with each vote on reasons for decisions and address concerns raised by community. | |

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| | | | <ul style="list-style-type: none"> ICANN meetings, website, translations, public comment forums (PPC, Staff) ○ • Creating new policy development process (GNSO). ○ • Exploring changes in Board processes (BGC). ○/C • Expanded public access to Board meeting information, including briefing materials C • Project underway to publicly post, and track action on, all ICANN Board resolutions ○ • Evaluating/implementing transparency & accountability measures through all structural reviews (SIC, SOs, ACs). ○/C • Updating ICANN community “statement of interest” and “code of conduct” requirements (SOs, ACs, Staff) ○ • Updating ICANN Staff “code of conduct”. (Staff) C • Public comment analysis model implemented for new gTLDs ○ • SSAC, RSSAC & IETF liaisons on Board C • Development of Working Group Guidelines (GNSO) ○ • Supporting joint ALAC/GNSO efforts to produce amendments to the Registrar Accreditation Agreement (RAA) in the public interest ○ | <ul style="list-style-type: none"> • (Community) Provide SO & AC statements with each vote on reasons for decisions and address concerns raised by community. • Consider posting detailed explanation of roles & responsibilities of Board, Staff, SOs, ACs, community. • Explore instituting a monitoring system for root operations. • Create metrics to track impact of Board & SO decisions on the public interest. Staff to advocate for amendments to the RAA in the public interest through an open and transparent process | |
| 3. | 3(b) | preserve the security, stability and resiliency of the DNS; | <ul style="list-style-type: none"> • Issued FY10-11 Security, Stability, Resiliency Plan (Staff) C • Implementing FY10-11 Security, Stability, Resiliency Plan (Staff) ○ • Issued Conficker Summary and Review, including lessons | <ul style="list-style-type: none"> • Work with/train global operators of name service at root and TLD levels. • Develop plan for training & cooperating with resolvers, endpoints and clients, registration services to achieve key SSR objectives. | |

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| | | | <p>learned for DNS communities' security improvements C</p> <ul style="list-style-type: none"> • Developed "Expedited Registry Security Request procedure for use by gTLD Registries to support DNS stability and security C • Developed and implemented overall program for continuity and contingency testing, C • Implemented and tested IANA Business Continuity Plan, including successful IANA Business Continuity Exercises C • Held 2 Global Annual Symposia on DNS Security, Stability & Resiliency and issued "Measuring the Health of the Domain Name System" C • Carrying out de-accreditation of Registries and bulk transfers of domain names to protect registrants (Registry Failover program has been implemented) C (reoccurring) • Implementing JAS evaluation, "IANA Process for Implementing Root Zone Change Requests – Review and Assessment of Risk Management strategy and Comparison of Implementation Options" O • High Security Zone Verification Program under consideration O • Working with/training ccTLD operators. (ccNSO, Staff) C (reoccurring) • Deploying & assisting with implementation of DNSSEC (SSAC, Staff) O • Evaluating registration abuse to address areas of malicious and illegal conduct involving the DNS. (GNSO) O • Ongoing development of | <ul style="list-style-type: none"> • Take steps to promote implementation of recommendations set forth in Fast Flux Report and other GNSO and SSAC reports. • Study impact of potential changes to the DNS as a result of proposed key policy changes in advance of policy actions. • Staff could advocate for more changes to the RAA that enhance the security, stability and resiliency of the DNS | |

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| | | | <p>reports relating to the security, stability, resiliency of the DNS. (SSAC) O/C</p> <ul style="list-style-type: none"> Ongoing WHOIS study effort (GNSO). Study on Misuse of public WHOIS being initiated. O Compilation of WHOIS service requirements project (Staff) C Supporting joint ALAC/GNSO efforts to produce amendments to the Registrar Accreditation Agreement (RAA) that enhance the security, stability and resiliency of the DNS. Final Report of proposals delivered to the GNSO on 18 October. Council to determine next steps. O/C SSAC-GNSO Internationalized Registration Data Working group is developing a technical recommendation for display standards to address increasing presence of non-ASCII registration data. O Implementing, assessing, improving Registry Services Evaluation Process, including public notice and comment process O Ratified the Proposed Global Policy for Autonomous System Numbers; implementation ongoing O/C | | |
| 4. | 3(c) | promote competition, consumer trust, and consumer choice in the DNS marketplace; and | <ul style="list-style-type: none"> Launch of IDN Fast Track process with IDN technical requirements, repeated public status performance updates, public posting of requests through string evaluation, review mechanism. O/C PDP on IDN ccTLDs (ccNSO) O Work on DAG/proposed implementation of New gTLD | <ul style="list-style-type: none"> Implement consumer outreach strategy to increase number of registered consumer organizations involved in ICANN. Staff to solicit expert advice in determining how changes to the vertical integration rules affect choice and competition in the DNS | |

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| | | | <p>Program underway. ○</p> <ul style="list-style-type: none"> • Several economic studies concluded and still underway. ○/C • IRT and STI groups created to address concerns of trademark infringement, malicious conduct (relating to consumer trust in the DNS marketplace) (GNSO). C • New RAA, and RAA Revisions & RAA Registrant Rights Charter work. (Staff, GNSO). Final Report complete as of 18 October. Council to determine next steps. ○/C • Published “Non-Lawyers Guide to the 2009 RAA” C • PDP on Vertical Integration ○ • PDP on Post-Expiration Domain Name Recovery (GNSO). ○ • PDPs on Inter-Registrar Transfer Policy (GNSO). ○ • Ongoing WHOIS study effort (GNSO). Misuse study proceeding. ○ • Pending application to create GNSO International Consumer Constituency (Board) ○ • Issued Study on the Prevalence of Domain Names Registered Using a Privacy or Proxy Registration Service C • Modified implementation rules for UDRP C • Enforcing RAA requirements and terminating Registrar accreditation as needed C (reoccurring) | <p>marketplace.</p> | |
| 5. | 3(d) | Facilitate international participation in DNS technical coordination. | <ul style="list-style-type: none"> • International participation is facilitated via all ICANN Structures, translation of documents, online forums, ICANN’s multilingual website, a range of online newsletters | <ul style="list-style-type: none"> • Indicators could be developed to determine distribution of engagement in working group, council, and other policy processes to indicate the breadth of | |

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| | | | <p>and communication tools, international meetings. C (reoccurring)</p> <ul style="list-style-type: none"> Launched Webinar series and regular podcasts to make ICANN activities and information more accessible to a broader international audience. C SSAC-GNSO Internationalized Registration Data Working group developing technical recommendation for display standards to address increasing presence of non-ASCII registration data. O Public participation plan updated, implementation ongoing. O Expansion of remote participation at ICANN meetings. Working with the PPC, Staff has developed a robust collection of remote participation tools and processes resulting in substantial remote participation by community members at ICANN Meeting No. 37 in Nairobi Kenya. Those tools were fine-tuned and improved upon during ICANN Meeting No 38 in Brussels Belgium. Significant investment in translation/transcription/interpretation for five UN languages. C Significant investment in translation/transcription/interpretation for five UN languages. C (reoccurring) IANA outreach and engagement of international community. C (reoccurring) Annual gTLD Registrar | <p>geographic engagement in any given process.</p> <ul style="list-style-type: none"> Establish agreements with countries that do not recognize ICANN as a legal entity. Develop outreach public participation plan to encourage further international participation. Improve links with IGOs and INGOs, and the UN, in areas relevant to our mission. Implement a corporate-wide translation policy that meets the reasonable needs of a global community, understanding and considering budget constraints. A reasonable policy that calls for major documents, all announcements, etc to be available in all five UN languages should be developed and funded. | |

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| | | | <p>meetings in Asia & N.America. C (reoccurring)</p> <ul style="list-style-type: none"> • DNS security training in international regions C (reoccurring) • Exploration of DNS Cert comments in international meetings and with ICANN structures (including GAC) O • Conducting policy development outreach webinars focused on introducing newcomers to ICANN policy development and how to participate. First such webinar conducted prior to ICANN Brussels meeting C (reoccurring) • Supporting international fellowships and providing community travel funding O/C • International recruiting and appointments to ICANN leadership positions by NomCom C (reoccurring) • Continue to increase international participation in, and cooperation with, ICANN through a variety of activities, presentations, educational outreach and agreements; agreements include letters of intent, cooperation agreements, memorandums of understanding, and accountability frameworks. C (reoccurring) • Ongoing participation in IGF public consultations, the multi-stakeholder advisory group (MAG) and many regional IGF preparatory meetings. C (reoccurring) | | |
| 6. | 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 | | | |

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| | | <p>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.</p> | | | |
| 7. | ... | <p>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,</p> | <ul style="list-style-type: none"> • Exploring proposals for metrics and analytics. O • Publicly posting Board resolutions and tracking their implementation. O/C • CEO, staff using social media and traditional media to publicize results. C (recurring) • Reports on Whois accuracy, proxy services, escrow progress, and the Dashboard (shows growth and stability of TLDs). C • AGP consensus policy implementation reports. C (recurring) • Currently, all PDPs include several invitations for public comment; comments are summarized, incorporated into reports and considered by working groups during PDPs, and by the Board prior to acting on any PDP or making any change to consensus policies. C (recurring) • Through its GNSO improvements work, the GNSO is evaluating whether to incorporate procedures for conducting periodic reviews of policies after adoption. O • The At-Large Improvements includes the recommendation that processes for providing advice on policy should be strengthened with ALAC for | <ul style="list-style-type: none"> • Establish a set of principles as to what constitutes the public interest, and how these will be evaluated • Post registrar & registry compliance status in more detail on an ongoing basis. • Enhance public comment periods and translations on all PDPs and Board actions. • Expand use of plain language writing, further improve web site, define consistent translation policy. • Consider how to further capture and factor in views of non-participants to achieve outcomes that meet the broader public interest. • Report on effectiveness of GNSO Improvements and implementation of other review recommendations over time • Develop methods of determining consensus levels within the GNSO that moves away from strict voting percentages but takes into account representation across all stakeholder groups | |

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| | | | <p>the development of policy advice, within SOs for requesting input from ALAC on policy issues from SOs, ACs, and the Board to provide feedback on how ALAC advice has been used. O</p> | | |
| 8. | ... | ... including any financial impact on the public, | <ul style="list-style-type: none"> • Budget developed through public consultation, formally adopted by the Board, and Registrars approve their fee structure. C (reoccurring) • Dashboard/website provides public with range of financial information, including: <ul style="list-style-type: none"> · Monthly financial performance · Reserve Fund performance · Compliance with ICANN's Investment Policy · ccTLD revenue contributions compared over multiple years · Revenue and expense views aligned by ICANN community groups C (reoccurring) • Form 990 (IRS information return) posted online which includes financial information, compensation of executives and officers. C (reoccurring) • Travel costs for Board members posted each year per bylaws. C (reoccurring) • Travel costs for community members posted after each meeting. C (reoccurring) • Financial policies (e.g., procurements, cost accounting, investment policies) posted on website. C (reoccurring) • Significantly more details are publicly provided on ICANN's budget, including how spending aligns with the strategic plan C (reoccurring) | <ul style="list-style-type: none"> • Include initial financial impact analysis in policy work of AC's and SO's. • Provide statement of impact before and after Board decisions. • Net benefits of organization reviews. | |

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| | | | <ul style="list-style-type: none"> Community feedback on the budget and communications on how each public/community comment was addressed is publicly posted C (reoccurring) The current GNSO Improvements work team charged with to revising the PDP is evaluating how to better assess impact of its policies on various stakeholder groups. O SGs/constituencies today are asked to provide descriptions of the impact of pending policy proposals (financial and otherwise) on their communities as part of the current (and proposed) PDP, early on following the formation of a WG. C (reoccurring) The At-Large Improvements plan includes developing accurate cost models for At-Large activity. C | | |
| 9. | ... | ... and the positive or negative impact (if any) on the systemic security, stability and resiliency of the DNS. | <ul style="list-style-type: none"> SSAC produces and publishes work products of impact on SSR of DNS C (reoccurring) “Staff Implementation Notes” are provided for policies under development by SOs. C (reoccurring) The new PDP and Working Group model being developed as part of the Board-mandated GNSO Improvements is considering inclusion of metrics to assess the effectiveness of policy changes and the quality of each major policy working group that is convened. However, the current thought of the WT seems to be that it should be up to each WG to suggest metrics to assess effectiveness as it might be difficult to come up with general metrics that would apply to all policies. O Root signed; developed/implemented the key signing authentication strategy and | <ul style="list-style-type: none"> Include initial analyses of SSR in policy work of AC’s and SO’s. Provide statement on impact before and after Board decisions.. Develop benchmarks (ICANN Security Team and community) on impacts on SSR of DNS. Clarify roles and responsibilities, e.g. root server operators. Publish service level agreements and operating principles of L Root service. Enhance coordination among SO’s and AC’s to respond to SSAC advisories affecting the SSR of DNS | |

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| 12 | 7 | ICANN commits to adhere to transparent and accountable budgeting processes, | <ul style="list-style-type: none"> • Strategic planning is linked to spending and both are community-developed. C (reoccurring) • Budget process is increasingly detailed; more/better information posted each year and public comment efforts continue to expand (see details above). C (reoccurring) • Published explicit description of how ICANN's cost accounting categories align with the strategic plan. C (reoccurring) • Dashboard publicly posted (see details above). C (reoccurring) • Expanded public, online reporting of Executive compensation. C (reoccurring) | <ul style="list-style-type: none"> • Expand planning process to obtain more formal input from the SOs and ACs and more specific input on funding and budget. • Publish better operational benchmarks. • Develop indicators to demonstrate budget expenditure that is in pursuit of strategic plans and the value of the expenditure. | |
| 13 | ... | ... fact-based policy development, | <ul style="list-style-type: none"> • Currently Staff makes best efforts to include information to support fact-based policy development efforts in all Issues Reports, but with a very short deadline of 15 days currently mandated, complex issues cannot be addressed adequately. C (reoccurring) • Revamping GNSO Policy Development Process to ensure efficient, informed and more fact-based policy development O • GNSO is conducting WHOIS studies to provide data to inform the Community on future revisions to WHOIS policy. O/C | <ul style="list-style-type: none"> • Proposals for new PDP and WG models focus on the need for issue scoping, and greater time and funding for fact-finding and data gathering in order to ensure informed policy making. That said, it should also be the responsibility of the community to come forward with information and data, and/or identify areas that need further data gathering. • • Considering more budget and focus on research efforts. • Improve ICANN working relationship with the technical community | |
| 14 | ... | ... cross-community deliberations, | <ul style="list-style-type: none"> • Reviewing Policy Development Processes to ensure timely | <ul style="list-style-type: none"> • Ensure appropriate factual reports and analyses are | <ul style="list-style-type: none"> • Track the outcome of a policy using be appropriate to each policy, though the: |

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| | | | <p>and constructive cross-community deliberations and participation, including consideration of how to improve the quality and diversity of public comments.</p> <ul style="list-style-type: none"> ○ • ICANN operations (ie. IANA, Compliance, etc.) emphasize cross-community dialogue C (reoccurring) • Structural Improvements (SOs and ACs) include recommendations to enhance cross-SO/AC communications, especially on issues of mutual interest. O/C • SOs, ACs liaison structure is expanding. O/C • SO and AC Chairs group is expanding cross-community efforts. O/C • Numerous working groups involving multiple SOs and ACs are ongoing. C (reoccurring) • SOs and ACs conduct joint meetings at ICANN events. C (reoccurring) • CEO holds cross-community lunches at ICANN international meetings. C (reoccurring) • CEO holds meet-ups with international community C (reoccurring) | <p>available in advance of launching policy development processes.</p> | <p>hard to develop and agree on.</p> |
| 15 | ... | ... and responsive consultation procedures that provide detailed explanations of the basis for decisions, | <ul style="list-style-type: none"> • More detailed Board minutes are now posted within 48 hours of meeting. C (reoccurring) • Board briefing materials are publicly posted. C (reoccurring) • Immediate release of information on ICM Independent Review Process. | <ul style="list-style-type: none"> • Consider publicly posting recordings of Board meetings. • Provide Board members with template explanation to complete for each decision, collate and publicly post. • Improvements to the web site to provide better access to posted information | |

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| | | | <p>and extensive information publicly posted for IRP cases. C (reoccurring)</p> <ul style="list-style-type: none"> GNSO, ccNSO policy development procedures under review/change O/C GNSO, ccNSO, ALAC meetings are recorded, transcribed, and posted publicly. GNSO Council and WG email correspondence is publicly posted. C (reoccurring) The ALAC uses a Policy Advice Development Schedule to ensure transparency and full disclosure of both current and past policy advice activities. C (reoccurring) All Board, SO and AC statements and decisions are publicly posted. C (reoccurring) Staff actions are documented and publicly posted. C (reoccurring) New gTLD comment summaries are professionally prepared and every comment is addressed in analysis. C (reoccurring) | <ul style="list-style-type: none"> Better benchmarks and tools to assess public participation could be developed. Benchmarks could be used to track cross-community communications (e.g. meetings on policy, attendance on working groups and work teams, but additional benchmarks should be considered that might be considered more meaningful by the community. | |
| 16 | ... | ... including how comments have influenced the development of policy consideration, | <ul style="list-style-type: none"> Summaries of public comment periods in some cases provide clear information on this; public comment summary process is being evaluated for improvements O/C (reoccurring) SO and AC discussions and decisions are publicly posted. C (reoccurring) Comments are posted and summarized C (reoccurring) | <ul style="list-style-type: none"> Consider development of template or matrix on how comments have been considered and where / how these have influenced the final outcome. Ensure comments are summarized in a timely fashion and note which influenced the development of a policy and how. Consider Board statements to accompany each vote. | - |
| 17 | ... | ... and to publish each year an annual report that sets out ICANN's progress against ICANN's bylaws, responsibilities, and strategic and operating plans. | <ul style="list-style-type: none"> The annual report has been successfully published every year; with new format in 2010 | <ul style="list-style-type: none"> Add further metrics Align Annual Report time cycle with fiscal year, to | |

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| | | | to be more responsive to AoC commitments C (reoccurring) | provide more timely reporting on actual results. | |
| 18 | 7 cont. | In addition, ICANN commits to provide a thorough and reasoned explanation of decisions taken, the rationale thereof | <ul style="list-style-type: none"> Background currently is provided publicly on all decisions; several new gTLD reporting & public comment processes considered a model by the community. C (reoccurring) | <ul style="list-style-type: none"> See above, particularly related to basis of Board decisions. | |
| 19 | ... | ... and the sources of data and information on which ICANN relied. | <ul style="list-style-type: none"> Background currently is provided publicly on all decisions. C (reoccurring) Extensive disclosure of security risks for Kenya ICANN meeting; higher standard of public disclosure now used for security information about ICANN meetings. C (reoccurring) GNSO PDP under revision. O ccNSO PDP under review. O Detailed information provided publicly on IANA functions. C (reoccurring) | <ul style="list-style-type: none"> Develop indicators of success in each area that are qualitative, rather than quantitative, and publish evaluation regularly Develop more metrics to track against bylaws, responsibilities, strategic and operating plans. | |
| 20 | 8 | ICANN affirms its commitments to: | | | |
| 21 | 8(a) | maintain the capacity and ability to coordinate the Internet DNS at the overall level | <ul style="list-style-type: none"> ICANN in full compliance with with DNS coordination requirements. (Note ccTLDs and root servers not under contract with ICANN, which limits ICANN's coordination ability.) (Note ICANN community raised objections to ICANN being operational in DNS Cert and other critical functions for DNS security which may place DNS at risk). C As part of the IANA functions contract, IANA seeks to deliver all services in a timely manner to meet the capacity requirements of its various | <ul style="list-style-type: none"> Consider SLAs for IANA name and number functions. | |

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| | | | <p>facets; performance has improved and initiatives are ongoing. C (reoccurring)</p> <ul style="list-style-type: none"> • Performing to specific SLAs for IETF work. C (reoccurring) • IANA Business Excellence and process assessment projects published. C (reoccurring) • ICANN (including IANA) scaling study drafted, anticipating future DNS growth C • Investment and active testing of business continuity/failover capabilities of IANA function. C | | |
| 22 | ... | ... and to work for the maintenance of a single, interoperable Internet; | | | |
| 23 | 8(b) | remain a not for profit corporation, | | | |
| 24 | ... | ... headquartered in the United States of America | | | |
| 25 | ... | ... with offices around the world to meet the needs of a global community; and | <ul style="list-style-type: none"> • Offices currently exist in Los Angeles, Silicon Valley, Washington, D.C. Brussels and Sydney. Additionally, staff is located in many cities throughout the world, including Geneva, Edinburgh and Warsaw. C • Building on international staff. O/C • Holding numerous international, regional meetings each year. C (reoccurring) • Staff located internationally, including Regional Liaisons, supports global community needs. C | <ul style="list-style-type: none"> • Reconsider regionalization of ICANN capabilities/ functions. • Expand regional coverage to Asia. | |
| 26 | 8(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. | <ul style="list-style-type: none"> • Board, NomCom, GNSO are multi-stakeholder, elected bodies. C • GNSO Improvement efforts to | | |

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| | | | <p>facilitate new constituencies to increase participation from varied commercial and non-commercial interests, including consumer interest globally are underway O/C</p> <ul style="list-style-type: none"> • Continuing to sign formal agreements with ccTLD registry operators. C (reoccurring) • Continuing to increase GAC membership and access to all governments. C (reoccurring) • Continuing to sign MOUs with international entities. C (reoccurring) • Public participation is actively encouraged at each step of policy development, and multiple ways to participate are provided (by being on a WG, by signing up for updates, by attending a meeting, by submitting comments...) C (reoccurring) • Policy development working groups are open to all and broad participation by interested community members is encouraged. C (reoccurring) • At-Large Improvements are under implementation. O/C • “How to Participate” brochures and outreach sessions continue to be provided, along with information on ICANN’s website. C (reoccurring) • At-Large brochure is available in 6 UN languages. All 5 RALOs have brochures for outreach and engagement. C • ICANN’s website is being revamped to better serve public. O/C | | |

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| | | | <ul style="list-style-type: none"> GAC membership continues to expand, with 13 new full members and three new observers in FY 09-10 O/C | | |
| 27 | 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: | <ul style="list-style-type: none"> Advancing discussion of DNS CERT. O Developing the capability to sign the address root (RPKI). O | | |
| 28 | 9.1 | <u>Ensuring accountability, transparency and the interests of global Internet users:</u> 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: | <ul style="list-style-type: none"> Supporting AoC Review Teams O/C Supporting AC/SO reviews and improvement initiatives O/C Conducting bottom-up policy, planning, and budget efforts, and carrying out management actions with extensive public input and visibility. C (reoccurring) | | |
| 29 | 9.1(a) | continually assessing and improving ICANN Board of Directors (Board) governance which shall include an ongoing evaluation of Board performance, | <ul style="list-style-type: none"> Ongoing BGC work, with <u>second Board performance assessment underway</u>. O/C | <ul style="list-style-type: none"> Add metrics and tracking | |
| 30 | ... | ... the Board selection process, | <ul style="list-style-type: none"> NomCom and Board review implementation ongoing O/C | <ul style="list-style-type: none"> Add metrics | |
| 31 | ... | ... the extent to which Board composition meets ICANN's present and future needs, | <ul style="list-style-type: none"> All multistakeholder groups are involved in some fashion in Board elections and NomCom leadership selections. C (reoccurring) | <ul style="list-style-type: none"> Collect metrics on diversity of Board representation geographically, by gender, and by position (type of work – public or private, etc.) | |
| 32 | ... | ... and the consideration of an appeal mechanism for Board decisions; | <ul style="list-style-type: none"> Board consideration of new review mechanism ongoing O/C Existing mechanisms include IRP, Ombudsman, Reconsideration Committee C (reoccurring) | | |
| 33 | 9.1(b) | assessing the role and effectiveness of the GAC and its interaction with the Board | <ul style="list-style-type: none"> GAC/Board review WG ongoing O/C | <ul style="list-style-type: none"> Track/post information on communications between the GAC and the Board and outcomes | |
| 34 | ... | ... and making recommendations for improvement to | <ul style="list-style-type: none"> GAC review WG ongoing O | <ul style="list-style-type: none"> Further encourage GAC | |

| # | § | Affirmation of Commitments | Activities underway to meet AoC objectives | Ideas under Staff discussion to better meet AoC objectives | Proposed metrics to assess success (TBD) |
|----|--------|---|--|---|--|
| 34 | ... | ... 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; | <ul style="list-style-type: none"> GAC review WG ongoing O GAC Liaison on Board and SOs & ACs C GAC meetings with Board and SOs & ACs C (reoccurring) Travel support for GAC members and outreach efforts to governments C (reoccurring) Intercessional GAC briefings on new gTLDs, SSR initiatives and IDNs, among others C (reoccurring) | <ul style="list-style-type: none"> Further encourage GAC cross-SO/AC collaboration, and encourage GAC members to participate in policy development WGs Improve GAC support/ability to meet intercessionally Add metrics and publicize Clarify role of GAC, individual governments, ICANN and ccTLD/RIRs. | |
| 35 | 9.1(c) | continually assessing and improving the processes by which ICANN receives public input (including adequate explanation of decisions taken and the rationale thereof); | <ul style="list-style-type: none"> PPC ongoing efforts C (reoccurring) SOs and ACs updating public input mechanisms. C (reoccurring) Ongoing improvements to public comment and outreach efforts by staff underway. O/C Improvements made to public comment section of the website. O/C CEO holds community lunches and meetings. C (reoccurring) Staff uses social media. C (reoccurring) | <ul style="list-style-type: none"> Publicize changes in processes as a result of the improvements process Provide template of explanation for all Board, SO, AC decisions, collate and publicly post Consider use of more tools such as surveys to facilitate broad input, allow the reviewing community to develop additional responses to questions as they interact with the process. The objective should be results which can be easily quantified but which allow extensive ad-hoc commenting by those involved if they wish to do so. | |
| 36 | 9.1(d) | continually assessing the extent to which ICANN's decisions are embraced, supported and accepted by the public and the Internet community; and | <ul style="list-style-type: none"> Public comment processes and open meetings provide comprehensive mechanisms for input on decisions C (reoccurring) Improvements to public comment processes and meetings continue O/C (reoccurring) | <ul style="list-style-type: none"> Develop metrics | |
| 37 | 9.1(e) | assessing the policy development process to facilitate enhanced cross community deliberations, and effective and timely policy development. | <ul style="list-style-type: none"> See above Regular review of structural improvements, including effectiveness of new PDP, is | <ul style="list-style-type: none"> Request public comments on adopted policies 1 year after they are in place. | |

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| 38 | 9 cont. | 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. | <ul style="list-style-type: none"> Community review program underway. <input type="radio"/> Structural review and change implementation processes underway. <input type="radio"/> | | |
| 39 | ... | 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. | <ul style="list-style-type: none"> Community review program underway. <input checked="" type="radio"/> (reoccurring) First three Review Teams successfully constituted with volunteers after public solicitation process was completed. <input type="radio"/> | | |
| 40 | ... | 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. | <ul style="list-style-type: none"> Community review program underway. <input checked="" type="radio"/> (reoccurring) | | |
| 41 | ... | Resulting recommendations of the reviews will be provided to the Board and posted for public comment. | <ul style="list-style-type: none"> Community review program underway. <input checked="" type="radio"/> (reoccurring) | | |
| 42 | ... | The Board will take action within six months of receipt of the recommendations. | | | |
| 43 | ... | 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. | | | |
| 44 | ... | 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. | | | |
| 45 | 9.2 | <u>Preserving security, stability and resiliency:</u> 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: | <ul style="list-style-type: none"> See above. SSR plan has been updated, incorporated in Strat Plan and Budget, and implementation is ongoing. <input type="radio"/> DNS CERT proposal under community discussion. <input type="radio"/> Requesting DNS data from GAC. <input type="radio"/> | | |
| 46 | 9.2(a) | (a) security, stability and resiliency matters, both physical and network, relating to the secure and stable coordination of the Internet DNS; | <ul style="list-style-type: none"> SSR plan has been updated, incorporated in Strat Plan and Budget, and implementation is ongoing. <input type="radio"/> Ongoing SSAC and RSSAC | <ul style="list-style-type: none"> Develop metrics | |

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| | | | <p>work; coordination with SSAC and RSSAC on key issues ongoing O/C</p> <ul style="list-style-type: none"> DNSSEC-signing of the root and ICANN-managed zones implemented C ICANN response plans and DNS Collaboration in place (ie. Conficker) C gTLD Registry Continuity Plan in place C gTLD registrar data escrow implemented C Diversity in ICANN systems and I-root C Registry Services Technical Evaluation Panel – ongoing service C (reoccurring) L-Root Ops ongoing C (reoccurring) DNS CERT discussions ongoing O ICANN BCP & traveler security plan in place C Updating contracts such as the RAA to facilitate response plans for DNS abuse O/C Facilitated DNS capacity building sessions with partners from the Network Startup Resource Center and the Internet Society, with sessions in Seoul, Korea Dakar, Senegal and Nairobi, Kenya C | | |
| 47 | 9.2(b) | (b) ensuring appropriate contingency planning; and | <ul style="list-style-type: none"> IANA failover plans are in place C Enterprise risk management and remediation plans are in place C New gTLD progress & ICANN/IANA Operational Readiness plans underway. O/C | | |
| 48 | 9.2(c) | (c) maintaining clear processes. | <ul style="list-style-type: none"> See above | | |
| 49 | 9.2 cont. | Each of the reviews conducted under this section will assess the extent to which ICANN has successfully implemented the security plan, | <ul style="list-style-type: none"> See above | | |
| 50 | ... | ... the effectiveness of the plan to deal with actual and | <ul style="list-style-type: none"> See above | | |

| # | § | Affirmation of Commitments | Activities underway to meet AoC objectives | Ideas under Staff discussion to better meet AoC objectives | Proposed metrics to assess success (TBD) |
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| | | potential challenges and threats, | | | |
| 51 | ... | ... 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. | <ul style="list-style-type: none"> • See above | | |
| 52 | ... | 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. | <ul style="list-style-type: none"> • See above. | | |
| 53 | ... | Resulting recommendations of the reviews will be provided to the Board and posted for public comment. | <ul style="list-style-type: none"> • See above | | |
| 54 | ... | The Board will take action within six months of receipt of the recommendations. | | | |
| 55 | 9.3 | <u>Promoting competition, consumer trust, and consumer choice</u> : 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 prior to implementation. | <ul style="list-style-type: none"> • Finalization of new gTLDs implementation ongoing, including IDN new gTLDs O/C • Additional economic studies underway to meet AoC commitments. O/C • Geographic names protections completed. C • Root scaling studies have been issued and are ongoing. C • IDN ccTLD fast track implementation underway C (reoccurring) • Mitigating Malicious Conduct in New gTLD - Zone File Access and High Security Zone TLD work ongoing. O • Vertical Integration WG ongoing (GNSO) O • STI recommendations completed (GNSO) C • GNSO MAPO working group report completed C • Several GNSO PDPs, working groups and projects are | | |

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| | | | dealing with issues related to consumer trust including: RAA enhancements; post-expiration domain name recovery; registration abuse; inter-registrar transfers; WHOIS studies. O/C | | |
| 56 | ... | 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 | | | |
| 57 | 9.3(a) | the application and evaluation process, and | | | |
| 58 | 9.3(b) | safeguards put in place to mitigate issues involved in the introduction or expansion. | <ul style="list-style-type: none"> Review after first round part of New gTLD program plan O | | |
| 59 | 9.3 cont. | 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. | | | |
| 60 | | 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. | <ul style="list-style-type: none"> Community review program underway. O/C | | |
| 61 | ... | Resulting recommendations of the reviews will be provided to the Board and posted for public comment. | | | |
| 62 | ... | The Board will take action within six months of receipt of the recommendations. | | | |
| 63 | 9.3.1 | ICANN additionally commits to enforcing its existing policy relating to WHOIS, subject to applicable laws. | <ul style="list-style-type: none"> Compliance efforts ongoing. O/C Current studies being conducted by the Compliance team and studies being considered by the GNSO will identify areas for possible improvement with regard to WHOIS policy and enforcement of the rules. | | |

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| | | | <p>WHOIS "Misuse" study is proceeding. O/C</p> <ul style="list-style-type: none"> The GNSO's RAA Amendments Work Team has issued a final report identifying enhancements to the RAA, including recommendations by Staff to assist ICANN's compliance efforts related to WHOIS and in other areas. C The GNSO is considering the RAA Amendments Work Team report. O | | |
| 64 | ... | 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. | <ul style="list-style-type: none"> Compliance efforts ongoing. C (reoccurring) WHOIS Compilation of Service Requirements Study completed (may be useful foundation for considering options to enhance or replace WHOIS in the future). C In addition to the GNSO RAA Amendments Work Team's proposed enhancements to the RAA, other groups such as the Intellectual Property Constituency and Law Enforcement also submitted many proposals. C Proposed RAA changes under consideration by the GNSO. O Other WHOIS Studies under consideration will identify areas of concern with regard to WHOIS policy and enforcement of the rules. Several studies being considered by the GNSO Council examine issues related to proxy and privacy services. O | <ul style="list-style-type: none"> ICANN could take a strong advocacy role in negotiations – several proposed RAA amendments could result in significant changes to WHOIS requirements. ICANN could propose a new approach to WHOIS accuracy (shift away from focus on compliance duty to investigate inaccuracy to requirements to enhance accuracy) ICANN could promote certain technical changes to WHOIS, including requs for new gTLDs (TBD) | |
| 65 | ... | 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 | <ul style="list-style-type: none"> Community review program underway. O/C GNSO WHOIS Studies under | <ul style="list-style-type: none"> Board to approve funding for WHOIS studies in FY 2011 budget, results of these | |

| # | § | Affirmation of Commitments | Activities underway to meet AoC objectives | Ideas under Staff discussion to better meet AoC objectives | Proposed metrics to assess success (TBD) |
|----|-----|---|--|---|--|
| 65 | ... | 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. | <ul style="list-style-type: none"> Community review program underway. O/C GNSO WHOIS Studies under consideration to identify areas of concern with regard to WHOIS policy and enforcement of the rules O/C WHOIS accuracy study published – most detailed study of its type to date C Proxy-privacy study (NORC study) published. C WDPRS systems underwent two significant improvement iterations. C | <ul style="list-style-type: none"> Board to approve funding for WHOIS studies in FY 2011 budget, results of these studies will be relevant to policy review. | |
| 66 | ... | 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. | <ul style="list-style-type: none"> Community review program underway. O/C Recruiting efforts for subsequent reviews completed and appointments have been announced. C | | |
| 67 | ... | 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. | <ul style="list-style-type: none"> See above | | |
| 68 | ... | Resulting recommendations of the reviews will be provided to the Board and posted for public comment. | <ul style="list-style-type: none"> See above | | |
| 69 | ... | The Board will take action within six months of receipt of the recommendations. | <ul style="list-style-type: none"> See above | | |
| 70 | 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. | <ul style="list-style-type: none"> See above | | |