



LSE Public Policy Group and Enterprise LSE

**A Review of the Generic Names Supporting
Organization (GNSO)**

**for the Internet Corporation for Assigned
Names and Numbers (ICANN)**

**Annexes
September 2006**

Annex A

Supporting figures and graphs

This Annex provides supplementary data and tables. Many of the tables in the main report are summarized versions of more detailed Figures presented below. We have tried to provide comprehensive references in the main report to relevant data and tables in this Annex. We have grouped Figures in this Annex so that they follow the overall structure of the five Parts of the report.

Part 1 Introduction (Figures A1 to A8)

Part 2 The quality of participation and representation in the GNSO process (Figures A9 to A31)

Part 3 Transparency and openness in the GNSO (Figures A32 to A43)

Part 4 How effective the GNSO has been in undertaking its work and developing policy positions (Figures A44 to A53)

Part 5 The regularity of the GNSO’s operations in complying with ICANN Bylaws and operating procedures (Figure A54)

Data and tables relating to Part 1: Introduction

Figure A1

This diagram provides a general overview of the relationship between ICANN and key global bodies responsible for developing Internet technical standards. It is not an exhaustive representation of all organizations active in the technical standards community. The graphical dimensions given to each entity in the diagram do not reflect size or status. Technical standards bodies are shaded pink and domain naming system bodies are shaded in yellow.

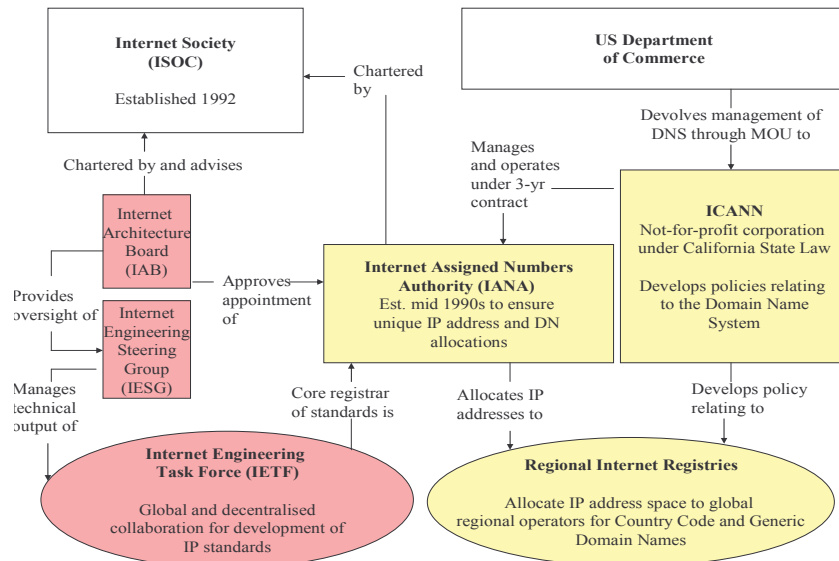


Figure A2

This diagram gives an organizational overview of ICANN and its component parts with special emphasis on the Generic Name Supporting Organization and its Constituencies. It is not an exhaustive picture of all component parts of ICANN. The GNSO Council consists of 21 voting members, with each Constituency represented by three voting members. Registrar and gTLD Registry Constituencies are accorded double weighted votes in the Council. The Nominating Committee appoints three members to the Council. The GNSO elects two Directors to the ICANN Board (Seats 13 and 14).

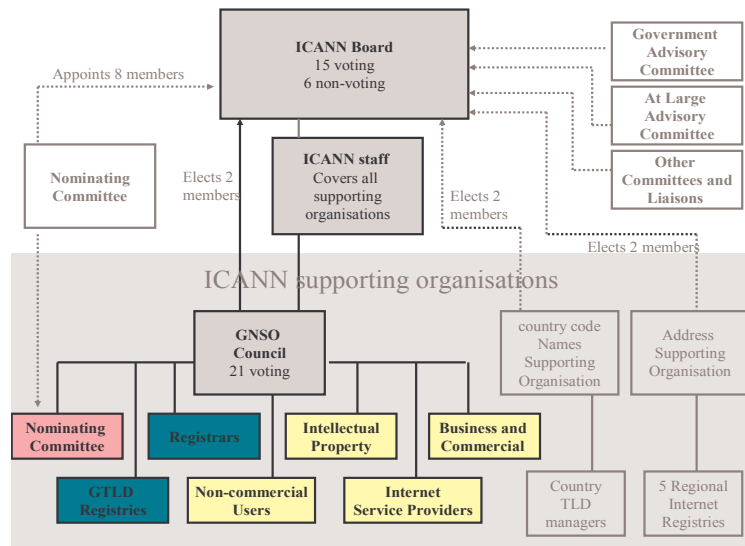


Figure A3

This table outlines ICANN core values with explicit and more general deep-seated relevance to policy development.

ICANN core values with explicit relevance to policy development
3. [...] Recognizing the policy role of other responsible entities that reflect the interest of affected parties
4. Seeking and supporting broad, informed participation reflecting the functional, geographic, cultural diversity of the Internet at all levels of policy development and policy-making
7. Employing open and transparent policy development mechanisms [...] promote well-informed decisions based on expert advice [...] ensure that those entities most affected can assist in the policy development process.
8. Making decisions by applying documented policies neutrally and objectively, with integrity and fairness
9. Acting with speed that is responsive to the needs of the Internet [...]
10. Remaining accountable to the Internet community through mechanisms that enhance ICANN's effectiveness
11. [...] recognizing that governments and public authorities are responsible for public policy and duly taking into account governments' or public authorities' recommendations
ICANN core values with deep-seated relevance for policy development
1. Preserving and enhancing the operational stability, reliability, security, and global interoperability of the Internet
2. [...] Limiting ICANN's activities to those matters within ICANN's mission requiring or significantly benefiting from global coordination.
5. [...] Depending on market mechanisms to promote and sustain a competitive environment.
6. Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest.

Figure A4

This table shows results from our online surveys and email comments. We set up a research website at www.icann-gnsoreview.org to collect as many views as possible on the GNSO. We designed an online survey for GNSO Constituency members to canvas views about the effectiveness and quality of representation of each Constituency. This survey was widely advertised, and each Constituency member in the Council and any Constituency officials or staff support were emailed and asked that their members be alerted to this research and encouraged to fill in a survey. We also emailed GNSO Constituency members directly in cases where Constituencies supplied with contact details. We also had our team of 10 LSE graduate students working by telephone and by email to identify Constituency member contacts and encourage survey completion. Grey shaded areas show Constituency member survey responses. The 'other organisations contacted' column represents organisations within the relevant field who are not members of a constituency.

	Constituency Members	Surveys completed	Other organizations contacted	Surveys completed or views received
gTLD Registry	17	10		
Registrar	56	15	286	21
Non-commercial Users	44	11	207	6
Commercial and Business	39	7	182	4
Intellectual Property	33	5	227	
Internet Service Providers	42	3	164	3
TOTAL	231	51	1,066	34

Figure A5

This table summarizes policy development work generated by the GNSO since its establishment in December 2002. This has been compiled by a comprehensive trawl of the GNSO and ICANN websites by three LSE researchers. We identified all relevant documentation relating to policy development work and where possible labeled key stages with month/year (as shown above). The presentation of documentation is such that it was often difficult to discern narrative histories of policy development. This table provides as accurate a view as possible of all policy development work. The grey shaded areas denote merging of WHOIS Task Forces, and continuation of these Task Forces is presented below as ‘Combined WHOIS’.

	PDP launched	TF or final report	Adopted by the Board
Inter-registrar transfer policy : procedures for transferring a domain name from one registrar to another		Feb 2003	Apr 2003
Expired Domain Deletion Policy : procedures for registrars on deletion of domain names for which registration period has expired	Sept 2002	June 2003	Sept 2004
WHOIS Review (became Bulk Access, Accuracy, Data Reminder Policy)	Feb 2001	Nov 2002	Mar 2003
WHOIS 1 : Procedure for restricting access to WHOIS database for marketing purposes	Dec 2003		
WHOIS 2 : Policy on which data should be held in the WHOIS database	Oct 2003		
WHOIS 3 : Procedures for improving the accuracy of data held in the WHOIS database	Oct 2003		
New registry services : procedures for reviewing the impact of new domain names services introduced by GTLD registries	Nov 2003	June 2005	Nov 2005
Combined WHOIS : Improving notification and consent for the use of contact data in the WHOIS database	Dec 2004	Apr 2005	
Combined WHOIS : Policy for handling conflicts between registry/registrar legal obligations under privacy laws and contractual obligations to ICANN	Dec 2004	Sept 2005	
Purpose of WHOIS and WHOIS contacts : establishing the purpose of the WHOIS database, and contact information that will held within	June 2005	Mar 2006	
Introduction of new GTLDs : procedures for establishing the number, type, and allocation process for new GTLDs	Dec 2005		
Amendments to contractual conditions for existing GTLD Registries	Feb 2006		

Figure A6

We carried out a comprehensive analysis of the GNSO Council mailing list archives to get an indicative picture of the different areas of policy development that the GNSO Council has worked on since June 2003. This consisted of content analysis of around 1,500 Council mailing list postings, presented year on year. Postings average around 2 per day over three years. We reviewed each posting that was made, and coded it in terms of content into various categories as shown.

Abbreviations used are as follows: GAC – Government Advisory Committee; gTLD – generic Top Level Domain; IDN – Internationalized Domain Name; ALAC – At Large Advisory Committee; ccNSO – Country Code Names Supporting Organization; PDP – Policy Development Process; UDRP – Uniform Domain Name Dispute Resolution Policy; WHOIS – the name of the database holding contact details of domain name holders.

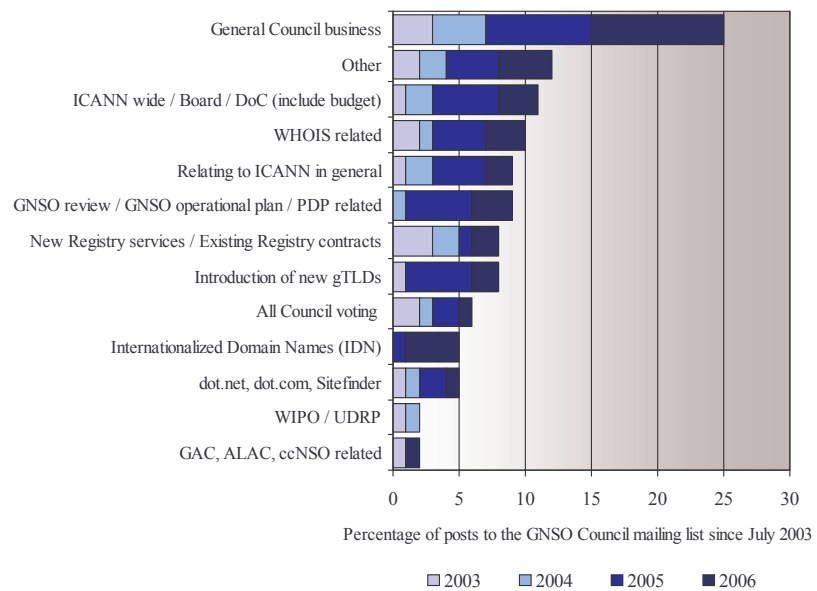


Figure A7

An independent review of the GNSO Council was conducted in the 2004. We interviewed the author of this Review, and discussed the extent to which each of these recommendations had been implemented. This Figure conveys the extent of implementation, both in terms of discussion with the author and our own findings from our interview research.

Good progress	
2	Building closer links between the GNSO Council and other parts of the ICANN structure
5	Revising and clarifying stages of the Policy Development Process
8 and 9	Put in place high calibre ICANN support staff – ensure effective handover
11	Work with ICANN General Counsel to ensure that the GNSO Council is well briefed legally
12	Ensure the viability of each policy recommendation made to the Board
19	Change the bylaws to incorporate three Constituency representatives
Some progress	
3	Increasing representation in the Council from all ICANN global regions
4	Developing ways in which people from non-English backgrounds can participate more actively
6	Develop a formal process for seeking input from other ICANN organizations on policy work
13	Put in place a compliance function <i>plus</i> graded penalties
15	Build in a review of effectiveness of policies made to the Board
No progress	
7	Using facilitators to build consensus more effectively in the Council
10	Establish a service level agreement between the GNSO Council and ICANN staff
16	Utilize the Ombudsman as a source of systematic analysis of complaints
17 and 18	Explore way in which the Nominating Committee can add value to the Council process
20	Overhaul the GNSO website

Figure A8

In our online survey we asked respondents to think about how important different challenges would be for the GNSO in the next few years. We provided six possible challenges (plus an option to identify other challenges), and asked respondents to give a score for each on a Likert scale from 1 to 7, where 1 = Not at all important and 7 = Very important. This data presents results for all surveys respondents. See Annexes F and G for detailed responses.

	Ranked highest	Ranked lowest	Net rank
Improving the quality of gTLD policy making	35	17	18
Improving transparency and openness in gTLD policy development	40	22	18
Representing more effectively the views of Internet users worldwide	36	24	12
Broadening the range of organisations participating in gTLD policy development	28	23	5
Some other challenge	7	2	5
Encouraging more intensive participation by major organisations in gTLD policy development	22	25	-3
Raising the profile of the GNSO as a policy development body	24	34	-10

We looked across each respondent’s scores, and coded the highest ranking and lowest ranking challenges. This method focuses on the relative strengths of respondents’ view across different challenges, rather than the absolute magnitude of scores. In the columns above, **Ranked highest** refers to the number of times this challenges scored highest in each respondent’s return. **Ranked lowest** refers to the number of times the challenge ranked lowest. The net rank is **Ranked highest** minus **Ranked lowest**.

Data and tables relating to Part 2: Participation and representation in the GNSO

Figure A9

In our survey we asked all respondents to rate how effectively each Constituency represents its members and how much actual influence the Constituency has over final policy output of the Council. Each respondent gave a score on a scale of 1 to 7 for each Constituency on these two variables, where 1 = Very low and 7 = Very high. This Figure gives an average for each Constituency on both variables. It provides an indication of perceptions across the Constituencies about how representative they are and how much influence they have. For example, the average score for the Business and Commercial Constituency for 'effective representation' was just below 3 and the average score for this Constituency on 'actual influence' was just below 4.

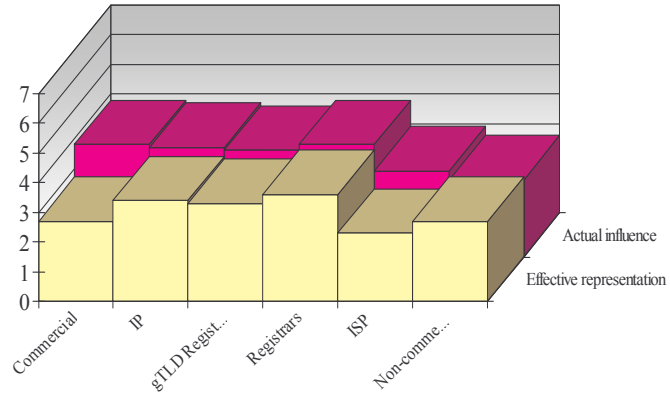


Figure A10

To get an overall picture of the balance of perceptions held across Constituencies, we asked Constituency members responding to our online survey to give us their impressions on how effectively different Constituencies

- Represent their members; and
- Influence policy output.

We asked Constituency members to score the level of 'effective representation' and 'actual influence' of all Constituencies. We calculated an average score for responses from each Constituency about each of the other Constituencies, and calculated [Average score for actual influence minus Average score for effective representation]. This figure shows the breakdown of different perceptions held by different Constituencies. As explained in the Key, minus scores denote that the perception from Constituency A is that Constituency B is less influential than it is representative. Positive scores denote that the perception of Constituency A is that Constituency B is more influential than it is representative. The net scores running along the bottom give an indicative balance by summing average scores for all Constituencies. Scores closest to zero denote that Constituencies in a sense get the amount of influence that they deserve.

Views held by...	Views about constituencies...					
	NCU	IP	Registry	Registrar	BC	ISP
Non-Commercial Users (NCU)	-1.7	1.0	0.4	1.0	1.4	1.6
Intellectual Property (IP)	-0.3	-1.5	1.8	2.0	0	-0.5
gTLD Registries	-0.2	0.5	-3.0	0.9	3.5	0.9
Registrars	1.2	1.5	1.7	-0.4	1.1	0.8
Business Users (BC)	-0.8	0.8	3.0	0.6	0	0
Internet Service Providers (ISP)	Insufficient data available					
Total net perception score	-1.8	2.3	3.9	4.1	6.0	2.8
KEY						
Minus scores = [Actual influence] – [Effective representation] < 0: suggesting Constituency is less influential than representative						
Positive scores = [Actual influence] – [Effective representation] > 0: suggesting Constituency is more influential than representative						
Blue background cells are those where constituencies are evaluating themselves.						
Source: LSE PPG online survey of Constituency members						

The total net score perception across all Constituencies shows that the BC is viewed as far more influential than representative. The bulk of this net score however is made up of Registries' and Registrars' views. At the other end of the spectrum, the NCU is pretty close to equilibrium, and is the only Constituency that is generally perceived to be more representative than it is influential. The interesting features of this table lie in the perceptions across Constituencies. These tend to map out a distinction between registration

stakeholders and user stakeholders, where either type views the other type as over-represented. BC views the Registries as over-represented (+3.0) and this perception is reciprocated (+3.5). The IP Constituency views the Registrars as over-represented (+2.0), while Registrars reciprocate but not as strongly. Registrars hold their suspicion for the Registries. The Registries however seem much more sanguine vis-à-vis the Registrars. The NCU tends to view the BC, IP and ISP as over-represented, and to have its closest affiliation to the Registry Constituency.

Figure A11

The Registrar Constituency has an expansive archive of its mailing list dating back to June 2003, with over 6,000 postings in total, an average of between 5 and 6 postings per day. This Figure presents a simple tally of total postings per half year over 3 full years, total individuals contributing, and number of postings by the top 10 contributors (as a guide to strength in depth of the discussion).

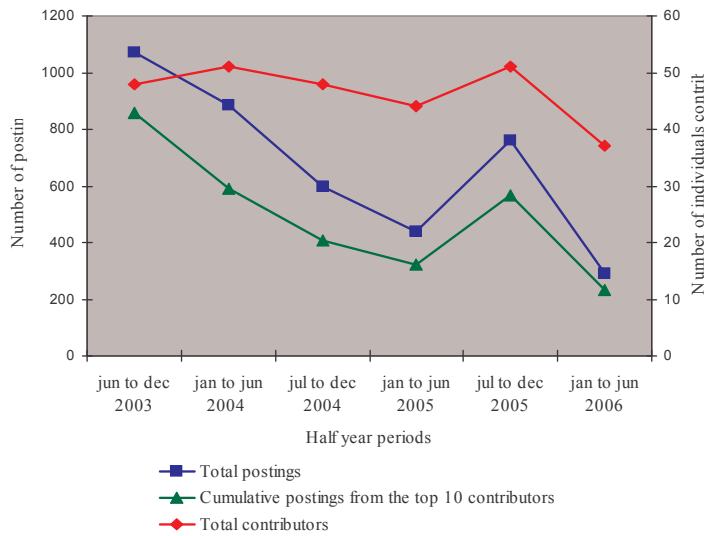


Figure A12

The gTLD Registry mailing list is not public. However the Registry Constituency kindly provided detailed data on the number of posting per month to the Registry Constituency mailing list and the number of individual contributors. This Figure presents both sets of data by half year periods.

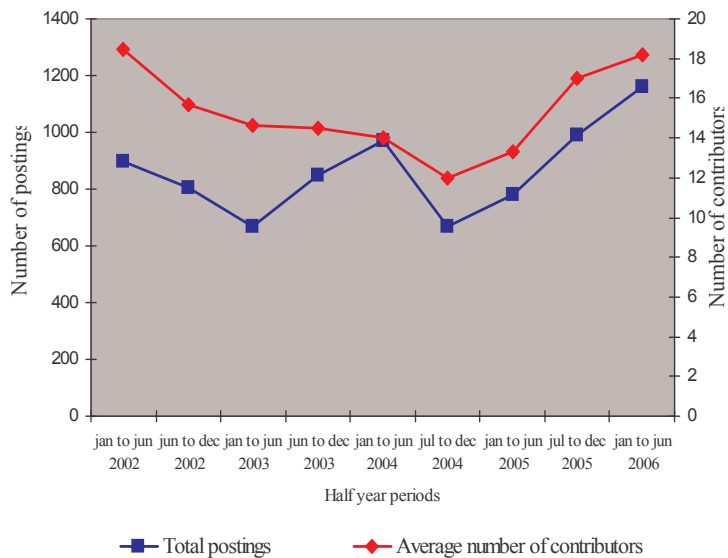


Figure A13

We reviewed 1,450 postings to the public mailing list of the Non-Commercial Users Constituency. This Figure presents the number of mails posted to the list, the number of individual contributors, by half year periods from June 2003

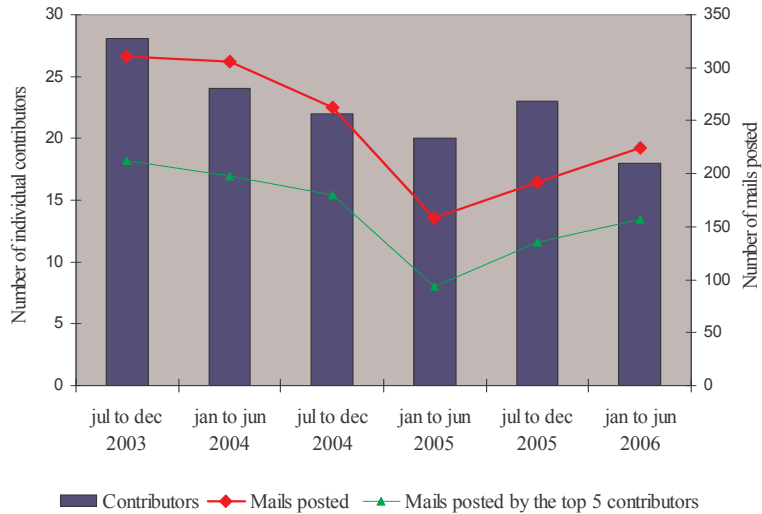


Figure A14

We found very little information on the degree of activity in the Internet Service Providers Constituency. This Figure gives an indication of the level of activity on the ISP public mailing list since September 2003. The bars show number of mails posted to the list by half year periods, and the line shows number of the individual contributors. The ISPCP mailing list is primarily an announcement, voting and approval list. The ISP constituency does not draft its responses on public mailing lists. The ISPCP Secretariat also routinely posts items to the mailing list on behalf of individuals in participant organizations so the figures shown here may underreport the number of organizations involved.

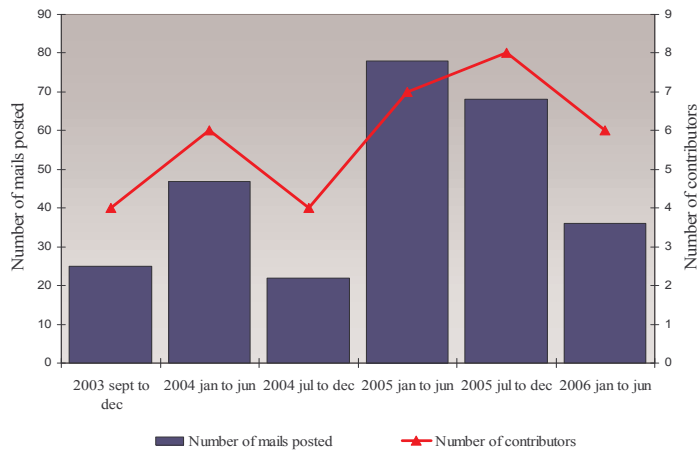


Figure A15

We reviewed participation data for 24 Business Constituency meetings for which minutes were publicly available on the Business Constituency website. The Business Constituency meetings recorded on their website show the following totals: **2006** 3 teleconference and 1 face-to-face meeting; **2005** 4 teleconferences and 2 face-to-face meetings; **2004** 2 face-to-face meetings; **2003** 1 teleconference and 3 face-to-face meetings; **2002** 2 teleconferences and 3 face-to-face meeting

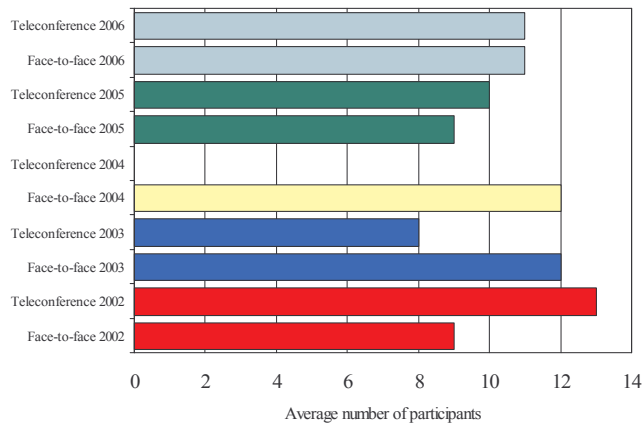


Figure A16

We reviewed participation data for 13 Intellectual Property Constituency meetings for which minutes were publicly available on the Constituency website. The IP Constituency meetings recorded on the its website show the following totals: **2006** no minutes available; **2005** 5 teleconferences and 3 face-to-face meetings; **2004** no minutes available; **2003** no teleconference and 1 face-to-face meeting; **2002** 1 teleconference and 3 face-to-face meetings.

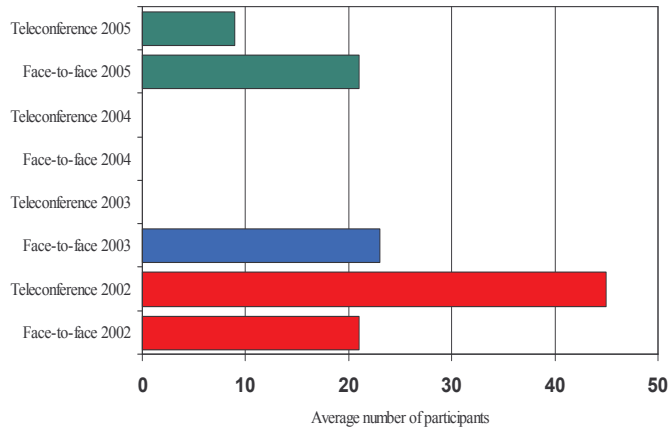


Figure A17

We reviewed participation data for 13 Intellectual Property Constituency meetings for which minutes were publicly available on the Constituency website. We recorded names and organizations represented for each participant. This Figure presents the number of individuals representing member organizations who attended at least one meeting. Total members are shown by the white bars, and members attending at least one meeting are shown by the blue bars.

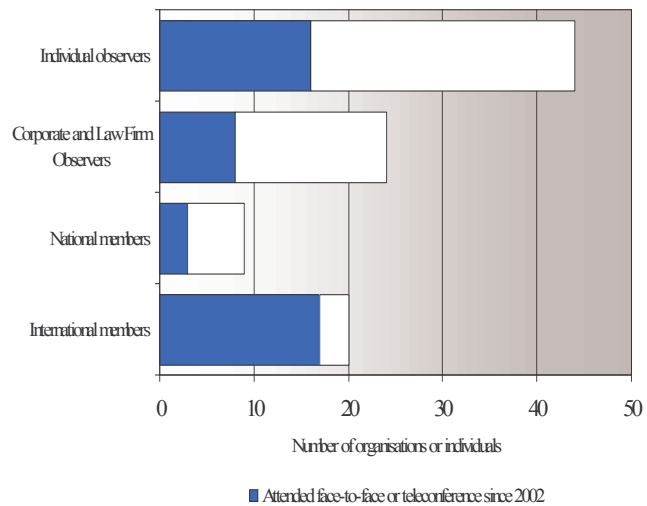


Figure A18

We reviewed participation data for 24 Business Constituency meetings for which minutes were publicly available on the Business Constituency website. We recorded names and organizations represented for each participant. This Figure presents the number of meetings attended by participants, broken down by the type of organizations represented.

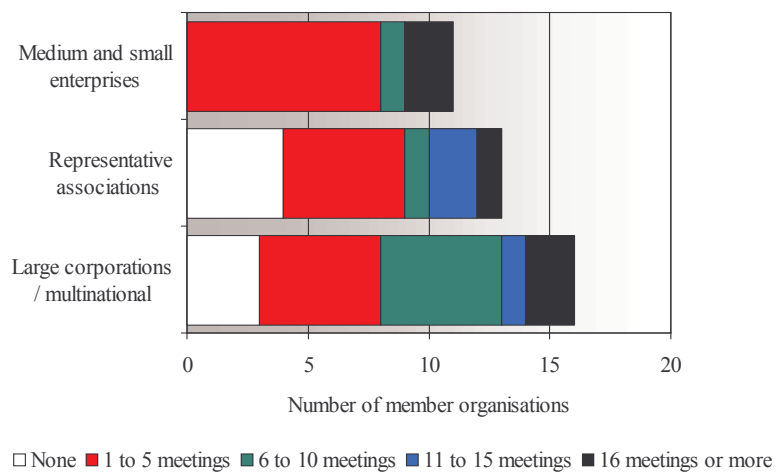


Figure A19

In our online survey we asked Constituency members and Council members to tell us how often they took part in the Policy Development Processes. We would expect Council members to take part in every PDP, however there is much more variation amongst those respondents from Constituencies. Over half of respondents take part occasionally or less. It should be noted that these respondents completed a survey and therefore can be seen as the more enthusiastic of Constituency members.

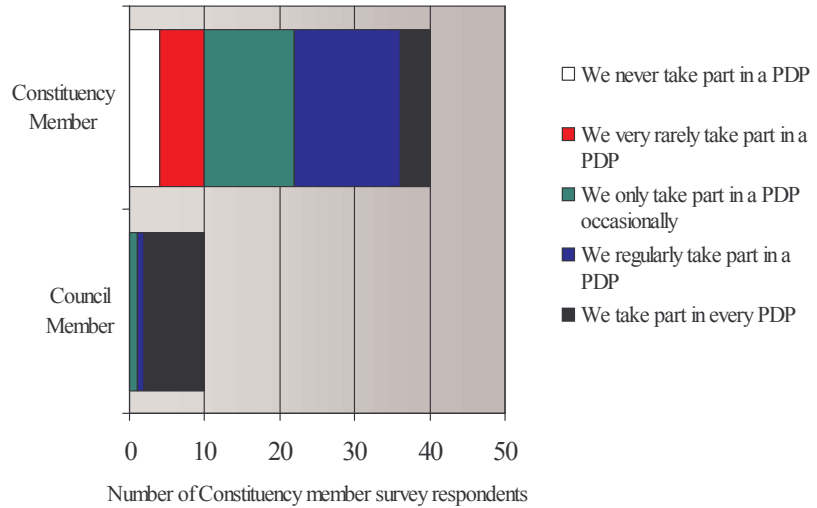


Figure A20

In our survey we asked Constituency members to evaluate the extent to which their respective Constituency takes into account the views of their organization. Respondents were asked to score this on a Likert scale from 1 to 7, where 1 = Not at all effectively and 7 = Very effectively (with an option for 'Not sure'). This Figure shows results from all Constituency member respondents who answered this question (N = 46).

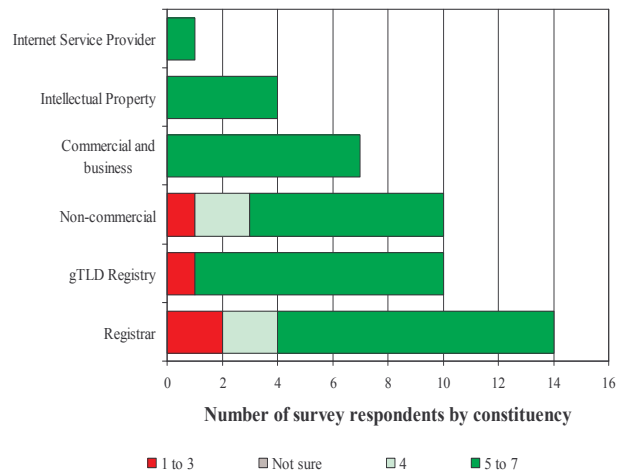


Figure A21

In our survey we asked Constituency members to evaluate the extent to which their respective Constituency takes into account the views of all organizations of their type. Respondents were asked to score this on a Likert scale from 1 to 7, where 1 = Not at all effectively and 7 = Very effectively (with an option for 'Not sure'). This Figure shows results from all Constituency member respondents who answered this question (N = 46).

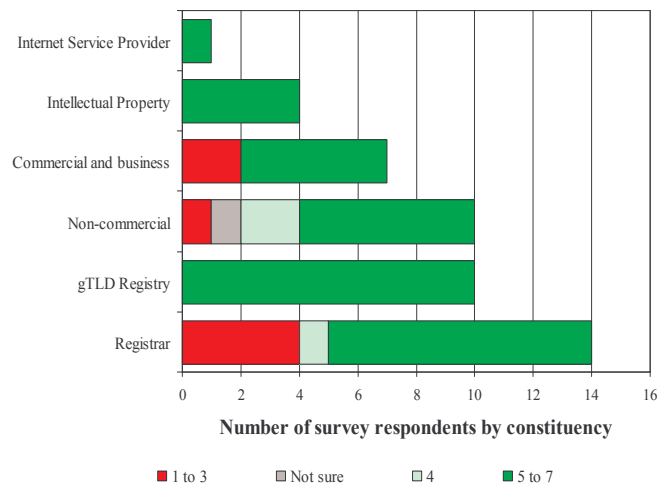


Figure A22

We reviewed Constituency websites and final policy reports by the GNSO and Task Forces, and collected all written Constituency statements on policy issues since late 2002. We based this analysis on 18 possible policy positions as follows: [1] Review of the UDRP [2] Call for new sponsored TLDs [3] New Registry Services PDP [4] WHOIS Task Force 1 [5] WHOIS Task Force 2 [6] WHOIS Task Force 3 [7] Comments on proposed new sponsored TLDs [8] Comments on the reassignment of dot.net [9] WHOIS 1 and 2 combined Task Force Conflict resolution [10] WHOIS 1 and 2 combined Notification and consent [11] ICANN Strategic Plan [12] WHOIS combined Purpose of WHOIS [13] Comments on the dot.com settlement [14] Number of GNSO Council representatives [15] New generic TLDs [16] Review of the 2005 new sponsored TLDs [17] Internationalized Domain Names [18] Amendment to existing contracts for Registries PDP.

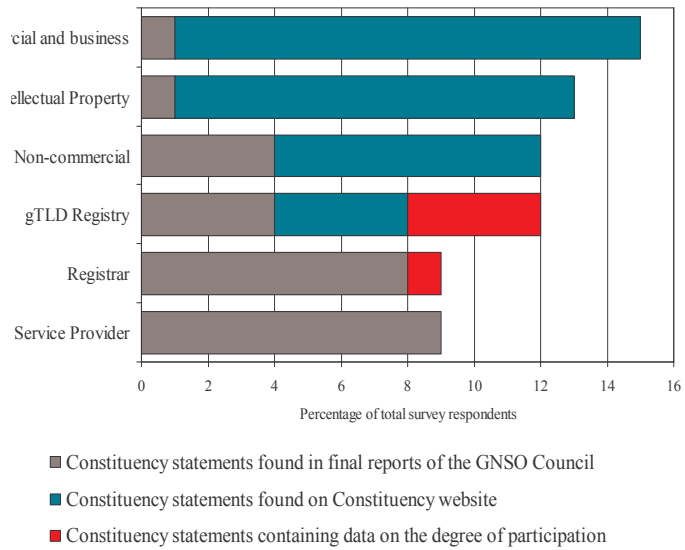


Figure A23

We reviewed the GNSO Council mailing list from June 2003 to June 2006 to gain a picture of the degree of participation by different Constituencies and by other ICANN staff. This Figure gives a breakdown of the number of postings to the GNSO Council mailing list, by Constituency and other staff.

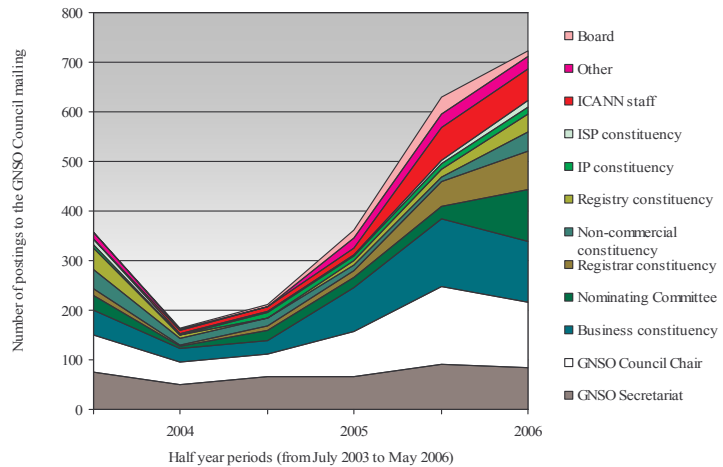


Figure A24

NOTE: We looked for 50 features on Constituency websites and coded them into four categories as shown in the graph above. The features were:

Membership 1. Can you find a Membership / Join Us link on the homepage? 2. Can you download an application form to join the Constituency? 3. Can you find details on where to send a membership form? 4. Can you apply to join the Constituency online? 5. Can you find any information suggesting why should you join? 6. Can you find information about the current membership fees? 7. Can you find a list of Constituency members? 8. Does the membership list tell you in which countries or regions members are registered? 9. Can you find contact details for members?

Policy development 10. Can you find minutes of internal Constituency meetings? 11. Can you find any Constituency position statements? 12. Can you find a section on the website relating to policy or issue development? 13. Can you find downloadable documents on policy development work of the GNSO? (e.g. Task Force or final report) 14. Can you find separate sections of the website explaining or relating to specific policy development issues? 15. Can you find any basic explanation of the Domain Name System and domain names in general? 16. Can you find any pages such 'Policies made easy' or 'All you need to know about...'? 17. Can you find any information about which Constituency members have voted on policy issues? 18. Can you find any information about outcomes of Constituency votes? 19. Can you find any information about how the GNSO Council has voted on policy issues? 20. Can you find a What's New page? 21. Can you find any mention of a newsletter published by the Constituency? 22. Can you find any sections of the website about upcoming events or meetings? 23. If so, how up-to-date is the Events or Meetings page? 24. Can you find any research documentation? 25. Can you find any speeches or papers presented by Constituency members or officials? 26. Can you find specific times and dates for meetings scheduled for the Constituency?

Contact: 27. Can you find a 'Contact Us' page with generic contact information for the Constituency? 28. Can you any public mailing list for the Constituency? 29. Can you find any other discussion forum? 30. Can you find specific invitation on the website to send a comment or question by email to the Constituency? 31. Can you find any information about how the Constituency will deal with your question? 32. Can you find contact details for the Constituency secretariat? 33. Can you find email contact for the Chair or top executive officer of the Constituency? 34. Can you find email contact details for GNSO Council representatives? 35. Can you find short biographies of GNSO Council representatives? 36. Can you find any short biographies of Constituency officers? 37. Can you find any photographs of Constituency officers or members? 38. Can you find any postal address for the Constituency executive or secretariat? 39. Can you find any information about specific business interests of Council representatives?

Helpful information and explanation: 40. Can you find a Glossary page on the website? 41. Can you find a section explaining ICANN and GNSO acronyms? 42. Can you find a mission statement for the Constituency? 43. Can you find a Constituency Charter? 44. Can you download a copy of the ICANN Strategic Plan? 45. Can you find links to other ICANN supporting organizations? 46. Can you find any labels on when the website was last updated? 47. Can you find any 'A to Z' or Site Map? 48. Can you find a search engine on this website? 49. Can you find any material in languages other than English? 50. Can you find any multimedia files?

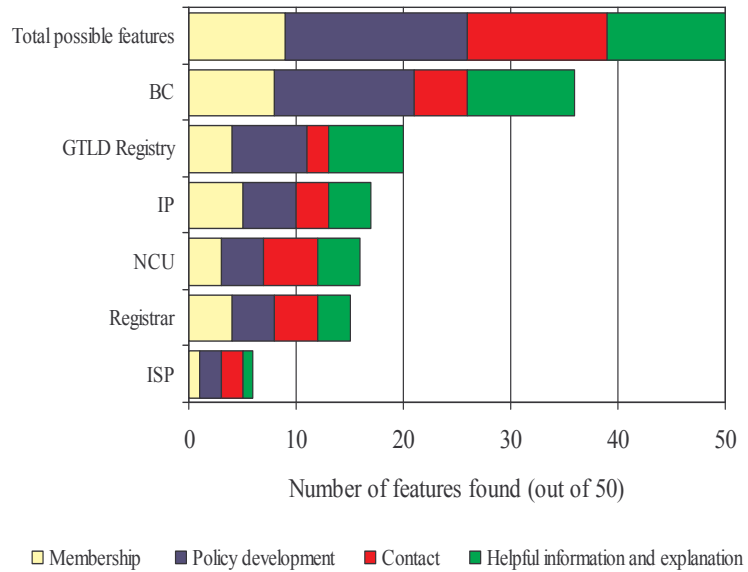


Figure A25

This Figure shows the breakdown of ICANN accredited registrars by number of registrations and global region. Data sources are the list of ICANN Accredited Registrars on the ICANN website, monthly gTLD Registry reports, and other sites such as Web Hosting (Directl). We compiled a list of ICANN accredited registrars, and populated a dataset with as much comprehensive registration information as possible. Discrepancies across different data sources were cross-checked, and averaged out in cases where we could not obtain confirmed figures. Data correct at April 2006.

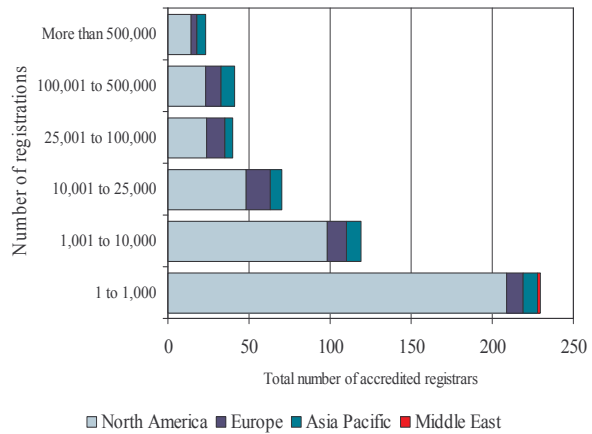


Figure A26

This Figure gives an indication of the distribution of ICANN accredited registrars currently members of the GNSO Registrar Constituency. Registrars are broken down by number of registrations held and global region where the Registrar is registered. Data correct at April 2006.

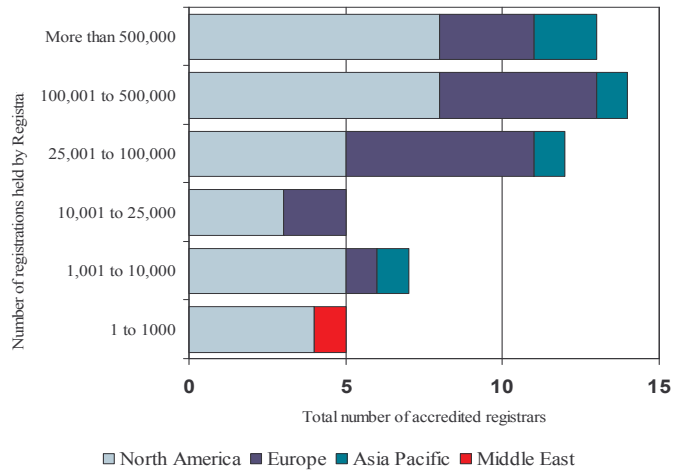


Figure A27

We reviewed participation data for 24 Business Constituency meetings for which minutes were publicly available on the Business Constituency website. This Figure gives a summary of the individuals participating most frequently since 2002, and the name and type of organization which they represented.

BC Constituency role fulfilled by this individual	Number of meetings this individual has attended between 2002 and 2005 (out of 24)	Organisation currently or formerly represented by this individual
Current GNSO Councillor	22	AIM (European Brands Association with around 1,800 members)
Current GNSO Councillor	22	mCADE LLC (small consultancy business) previously represented AT&T until 2004
Former GNSO Councillor	18	TelstraClear (Voice and data communications company in New Zealand – subsidiary of Telstra)
Non-member	18	Tralliance (GTLD Registry for dot.travel)
Member	12	News Corporation (Global media services company)
Member	11	Club Informatique des Grandes Entreprises de France (CIGRE)
Member	9	The Darwin Group (no information found)
Member	8	Verizon (Global telecommunications service)
Member	8	Talal Abu-Ghazaleh & Co. Int'l (Leading certified accountants and auditors in the Arab region)
Member	8	Time Warner Inc
Member	6	The Walt Disney Company
Member	6	United States Council for International Business

Figure A28

We reviewed participation data for 13 IP Constituency meetings for which minutes were publicly available on the Constituency website. This Figure gives a summary of the individuals participating most frequently since 2002, and the name and type of organization which they represented. The **Coalition for Online Accountability** consists of representatives from the following organizations: American Society for Composers, Authors and Publishers, Business Software Alliance, Broadcast Music Inc, Motion Picture Association of America, Recording Industry Association of America, Software and Information Industry Association, Time Warner Inc, and Walt Disney Company.

IP Constituency role fulfilled by this individual	Number of meetings this individual has attended between 2002 and 2005 (out of 13)	Major organisation currently or formerly represented by this individual
Current President	12	Coalition for Online Accountability (COA)
Former President	11	International Trademark Association (INTA)
Current Secretary	11	International Trademark Association (INTA)
Former VP	8	International Association for the Protection of industrial Property (AIPPI)
Current GNSO Councillor	6	Association Mexicana para La Proteccion de la Propiedad Industrial (AMPPI)
Current GNSO Councillor	6	Nokia
Former GNSO Councillor	5	Motion Picture Association (MPA)
Member	5	Coalition for Online Accountability (COA)
Current Treasurer	5	Software and Information Industry (SIIA)
Former ICANN Board member	4	Federation Internationale des Conseils en Propriete Industrielle (FICPI)

Figure A29

We calculated the proportion of total mails posted to the NCUC list for each individual between June 2003 and May 2006. This Figure shows the percentage of total postings by each individual, their general role in the Constituency and the organization that they represent as a member of the NCUC.

NCU Constituency position	Percentage of postings to the mailing list (Jun 2003 to May 2006 – total 1,450)	Organisation represented by this individual
Member	27	The Convergence Center (research group based at Syracuse University)
Current Chair	10	Information Network for the Third Sector (RITS) Brazilian ISP for non-profit organizations
Member	8	GLOCOM (International University of Japan)
Member	8	Stichting A.G. van Hamel voor Keltische Studies (Dutch University)
Member	6	
Member	4	American Civil Liberties Union
Current GNSO Councillor	4	Open Forum for Cambodia
Member	4	Media Access Project (non-profit public interest telecommunications law firm promoting free speech on electronic media)
Member	4	Philippine Network Foundation Inc (PHNET)
Current GNSO Councillor	3	IP Justice (promotes balanced IP law in the digital media)
Member	3	Peace Net Korea
Exec Committee member	3	Free Press

Figure A30

In our survey for organizations not currently members of any GNSO Constituencies, we asked for reasons why they were not members or participants in the GNSO process. We provided them with the following reasons, and asked them to indicate which of these were most important by giving a score from 1 to 7, where 1 = Not at all important and 7 = Very important.

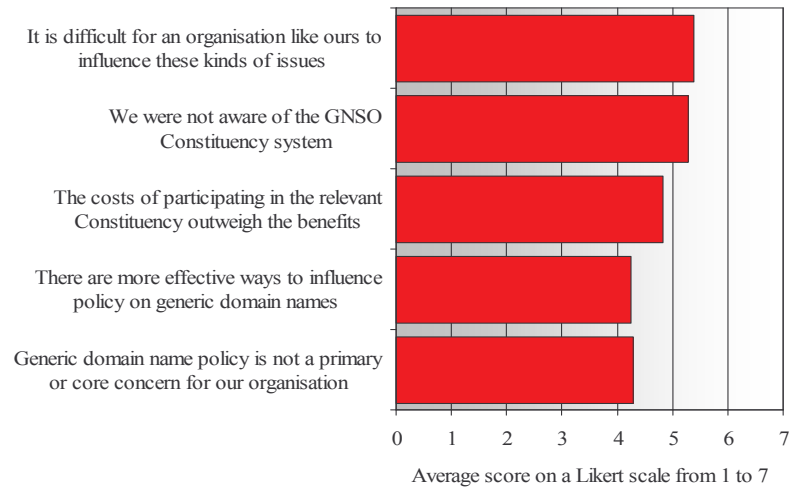
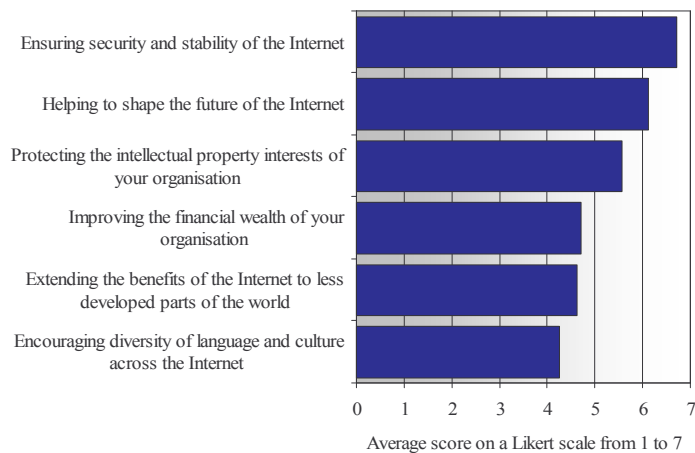


Figure A31

In our survey for organizations not currently members of any GNSO Constituencies, we asked about factors which would be important to these organizations and reasons why they would consider participating in the GNSO process. We provided them with the following reasons, and asked them to indicate which of these were most important by giving a score from 1 to 7, where 1 = Not at all important and 7 = Very important.



Data and tables relating to
Part 3: Transparency and openness of the GNSO

Figure A32

We searched for the terms ‘ICANN’ and the ‘GNSO’ in the following website search engines, and recorded results.

	Total hits on ‘ICANN’	Total hits on GNSO or Generic Domain Organization
Internet Engineering Task Force (<i>Google</i>)	34,200	81
Internet Society (<i>Google</i>)	7,000	22
Google Books	1,610	3
Google Scholar	1,400	24
Lexis Nexus Executive	666	1
International Telecommunications Union (ITU)	513	11
Web of Science	21	0

Figure A33

We searched for the terms ‘ICANN’ and the ‘GNSO’ in the Google Advanced Search engine, using the domain limit tool to view how prevalent references to ICANN and the GNSO were in different domains. These figures should be treated tentatively, as they are estimated total references generated by Google search algorithms. They are not exact figures. However they do provide an indicative picture of global awareness of the GNSO.

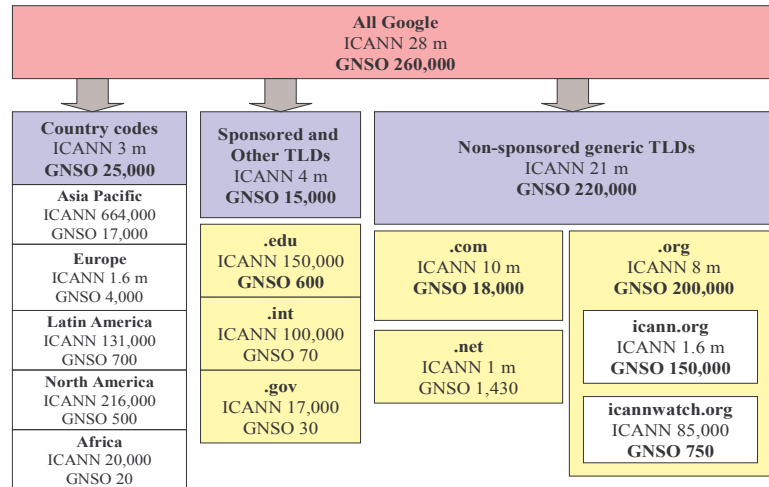


Figure A34

We carried a similar search for the terms ‘ICANN’ and the ‘GNSO’ using other well-established search engines Yahoo, Alta Vista, and MSN. There was inevitably some variation in results across these search engines. We have taken an average for each domain across these four search engines, and present combined percentages in this Table. We found a combined average result of 150,000 references to ‘GNSO’, 71 per cent of which were in the dot.org domain and 45 per cent of which were in the icann.org domain

	‘GNSO’	‘ICANN’
Average number of results from searches using search engines (<i>Google, Yahoo, AltaVista, MSN</i>)	150,000	12.5 million
Percentage of total results in...		
.com domain	8	53
.org domain	71	21
<i>Of which were Icann.org</i>	<i>(45)</i>	<i>(4)</i>
Country code domains	9	16
Other	12	10
TOTAL	100	100

Figure A35

We used Google page link search to get an indicative picture of the number of pages on the Internet linking to the ICANN and GNSO homepages. This Figure gives an indication of the distribution of pages by the type of domain. Just less than 50 per cent of links to the GNSO homepage originate from the ICANN website or websites of other Supporting Organizations. A further 48 per cent originates from one site www.latinoamericann.org, a Latin American NGO website which has a link to the GNSO on every page of its site.

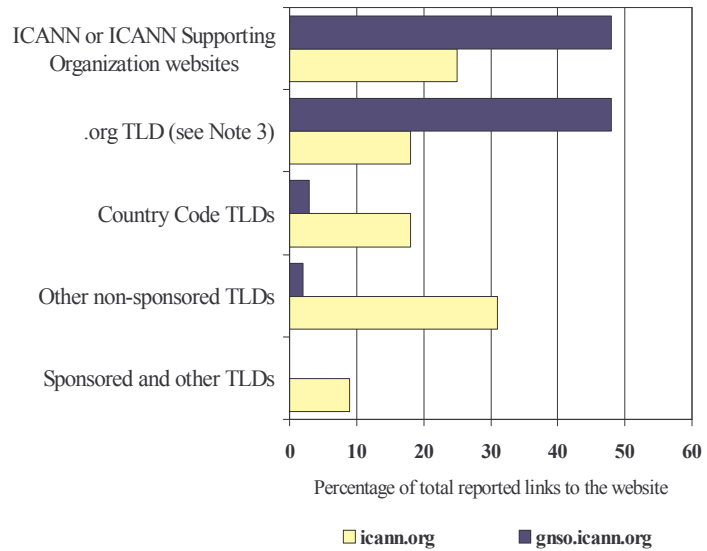


Figure A36

In our online survey we asked respondents to give a score for how well the GNSO uses its website for a range of different functions. Score were on a Likert scale from 1 to 7, where 1 = Not at all effectively to 7 = Very effectively. This graph shows the distribution of grouped scores. Total respondents (N) = 97.

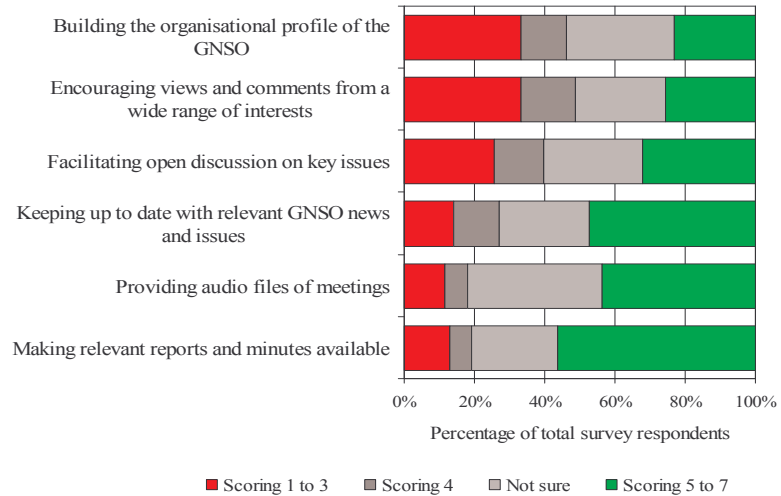


Figure A37

In our online survey we asked respondents to tell us how often they visit the GNSO website. This graph presents responses by different groups of respondent.

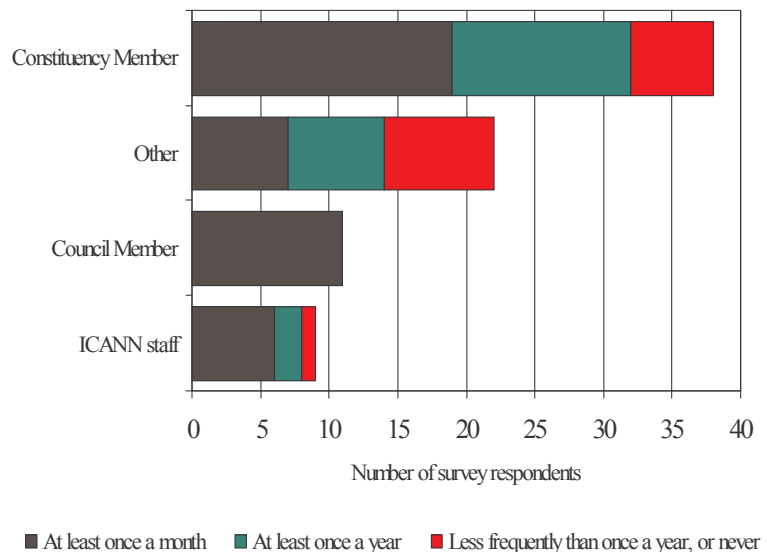


Figure A38

We analyzed all available ICANN Board meeting transcripts and minutes. These are publicly available on the ICANN website. We counted total words in the transcript or minutes, and then calculated the proportion of total words dealing specifically with GNSO policy development, and the proportion of words dealing more generally with generic TLD issues. Results are presented for half year periods since 2003.

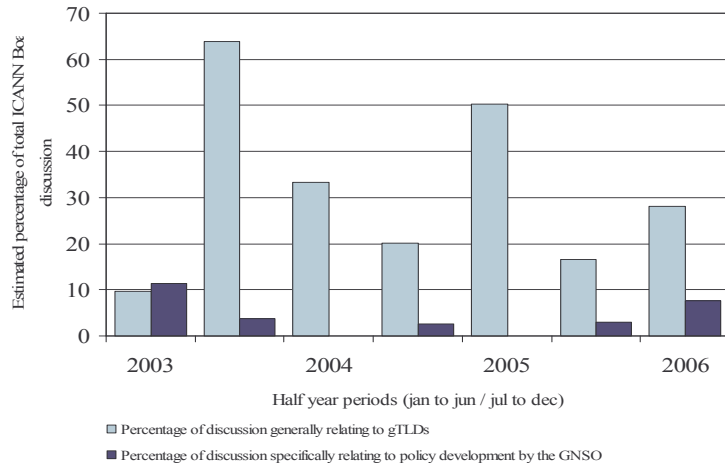


Figure A39

This graph presents data from Figure A38, however it distinguishes between face-to-face Board meetings and teleconference Board meetings. There is relatively little difference in the coverage of general gTLD issues in face-to-face and teleconference meetings. However, the amount of time spent discussing policies from the GNSO at face-to-face meetings is double the amount of time spent discussing policies from the GNSO.

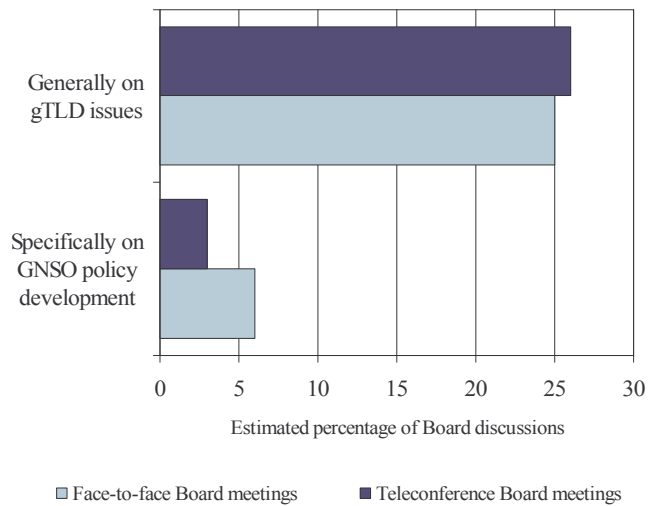


Figure A40

We reviewed postings to the At Large Advisory Committee mailing list for 2003, 2004, and 2005. This Figure groups subject topics for postings, and gives an indicative picture of the extent to which the ALAC discussions involve GNSO-related issues.

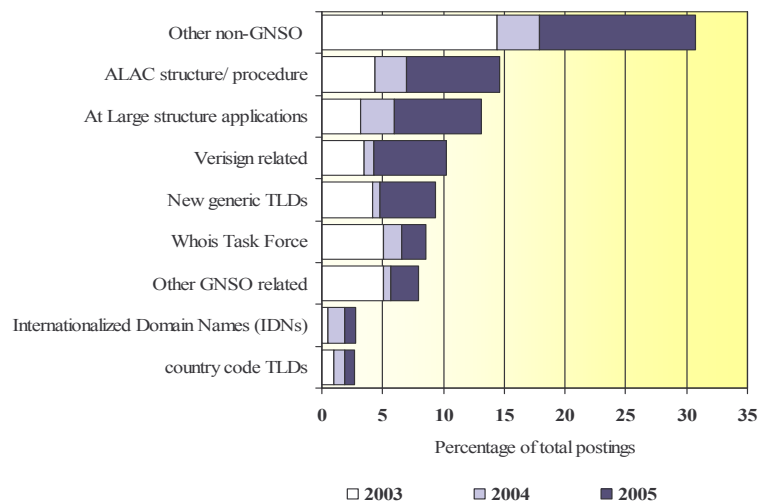
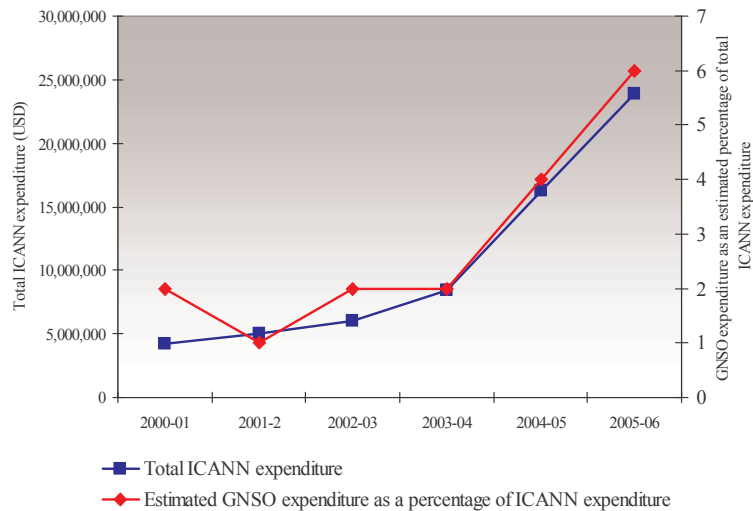


Figure A41

This Figure gives an indicative estimate of the percentage of total ICANN expenditure on the DNSO and the GNSO since 2001. These data are not held centrally by ICANN, therefore we have calculated this by identifying expenditure on staff and other items in the ICANN annual accounts and have used average staff costs plus conservative estimates for other items to estimate total expenditure on the GNSO. We give precise details below.



GNSO expenditure estimated as follows: **Total minimum staff estimate (Full Time Equivalent for years 2006, 2005, 2004)** 4.85, 2.75, 0.75 **Estimated salary cost per head USD (2006, 2005, 2004)** 118652, 96068, 102395 **Salary cost estimate for GNSO work USD (2006, 2005, 2004)** 575463, 264186, 76796. **Travel 2 policy staff to travel - 10 trips per year \$50,000 each (2006, 2005)** 100000, 100000. **Premises and overheads** Equal to salary costs. **Advertising and other administrative costs** 50000 per year for 2006, 2005, 2004. **GNSO Review** 150000. **Nominating Committee member travel** per year 25000.

Figure A42

This Figure shows breakdown of total ICANN revenues by source. It has been calculated from ICANN annual revenue accounts. Registrars revenue includes the following categories from ICANN Adopted or Approved Budgets: 'Transaction based registration fee for registrars', 'Variable Registrar support', 'Registrar Application fee', and 'Annual Registrar Accreditation fee'. Registries revenue includes 'Fixed Registry fees (Tiers 1 and 2)', 'Fixed Registry fees (Tier 3)', 'New sponsored TLD initial fixed fee', and 'dot.net agreement fees for 2005-06'. CcTLD revenue includes contributions from Tier 1, 2, and 3. Other category includes the following: 'Address registry fees, Contributions, Miscellaneous items'.

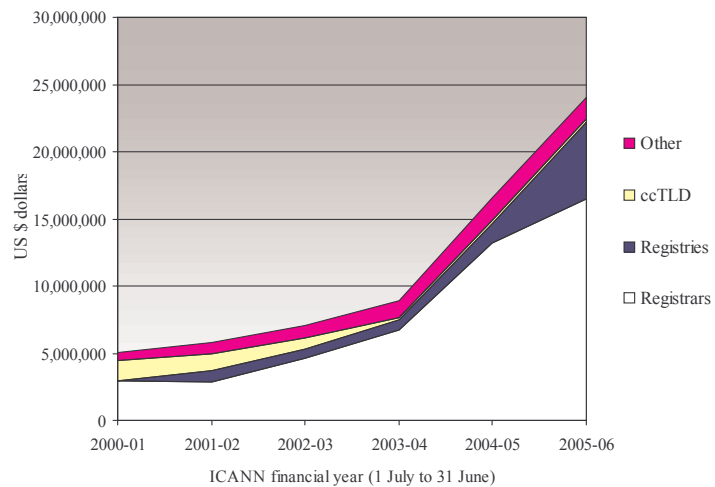
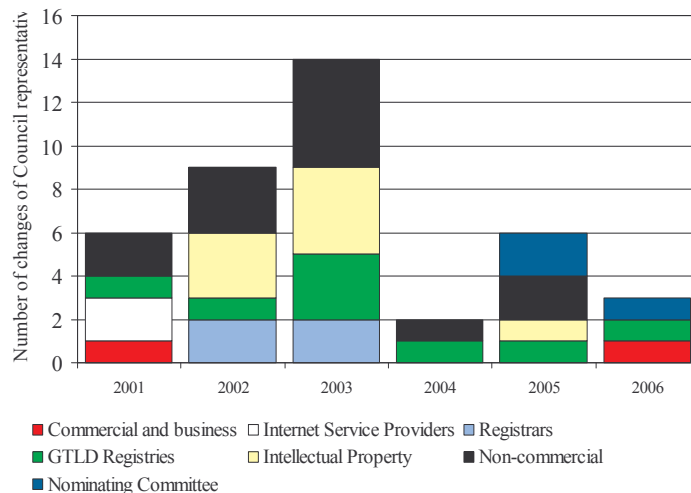


Figure A43

This Figure shows the rate of change of individual members in the GNSO Council year on year. The length of term for Council members is 2 years, however the same individuals can be re-appointed by their Constituencies. We would expect to see for each Constituency something close to a regularized pattern of change, 1 Member in one year and then change of 2 Members in the next year, and so on. This is illustrated by the Nominating Committee members in 2005 and 2006.



Data and tables relating to Part 4: How effective the GNSO has been in undertaking its work and developing policy positions

Figure A44

In our online survey we asked respondents to give a score for how effectively the PDP worked across a range of aspects. Scores were given on a Likert scale from 1 to 7, where 1 = Not at all effectively and 7 = Very effectively. For each respondent we coded the highest scoring and lowest scoring aspects, and this table presents cumulative highest, lowest, and net scores.

	Ranked highest	Ranked lowest	Net rank
Delivering practicable recommendations to the ICANN Board	24	11	13
Making the best use of policy support resources	22	12	10
Picking the right issues	20	16	4
Scoping policy work appropriately	14	16	-2
Identifying issues early enough	15	20	-5
Ensuring that the PDP incorporates the widest practicable range of views	15	21	-6
Making use of external expertise and research	20	30	-10
Sticking to agreed time schedules	11	25	-14

Figure A45

We reviewed participation of the GNSO Councillors at 68 Council meetings between January 2002 and June 2006. This Figure shows regularity of attendance at Council meetings (with number of proxies for absence) since beginning of 2002.

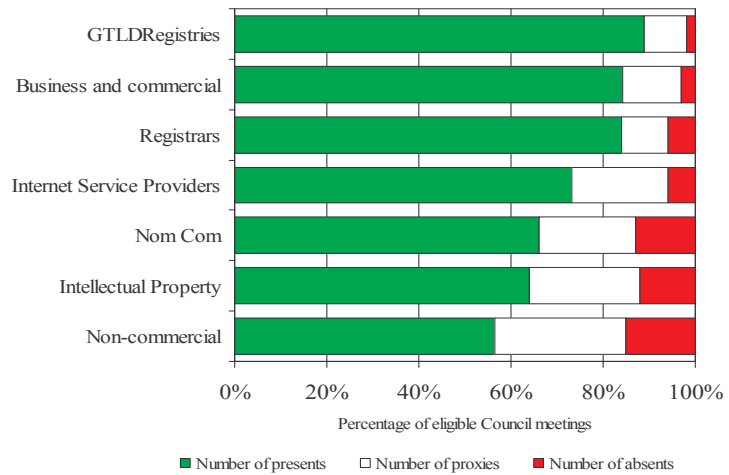


Figure A46

This figure give an overview of the Policy Development Process.

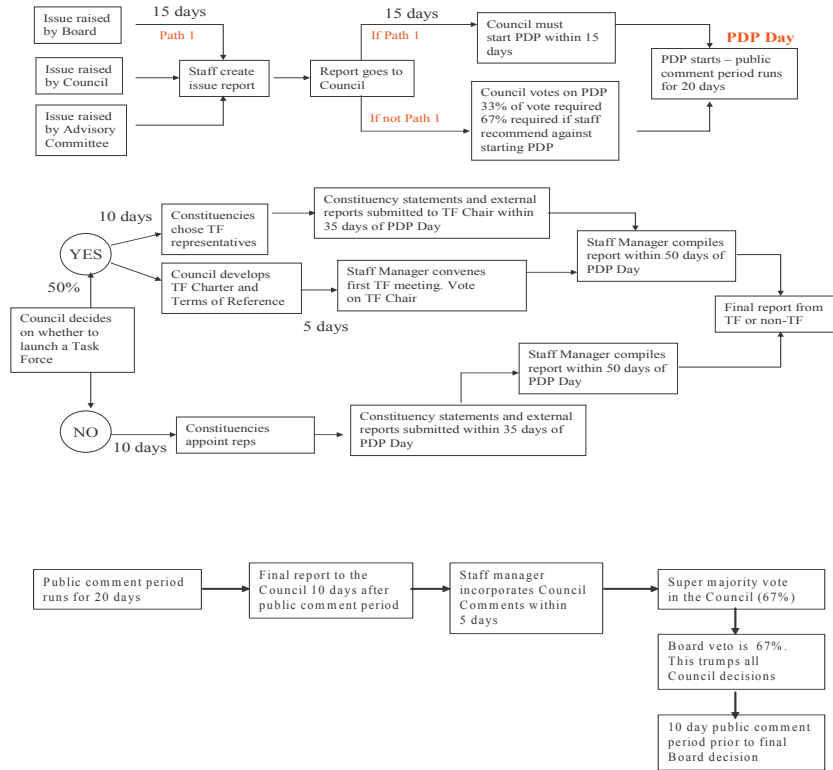


Figure A47

Policy development work on the WHOIS database and WHOIS services account for a significant amount of the GNSO time and resources. This work originally began in February 2001, prior to the establishment of the GNSO, with the commissioning of a Task Force to carry out a wide-ranging review of the WHOIS service. This flow chart maps out subsequent policy development on WHOIS since early 2003 to early 2006.

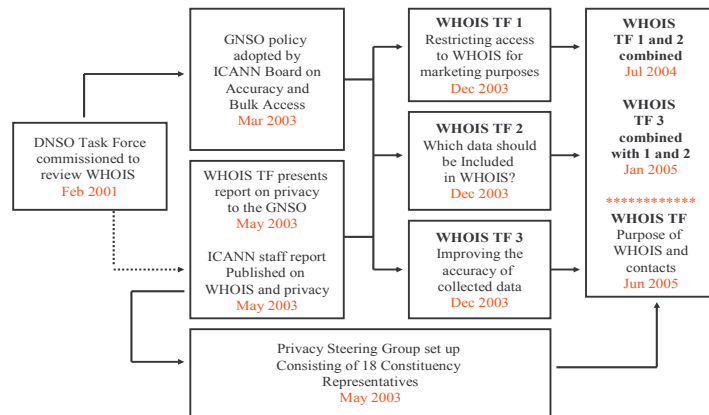


Figure A48

Members of the GNSO Council are not paid or funded for time spent carrying out policy development work. We were interested to get an impression of the amount of time spent on WHOIS work since February 2001. We estimated total hours spent by Task Force members and Councilors from data supplied by the GNSO Secretariat. Task Force members spent on average 8 hours per week. Councilors who are members of Task Forces spend on average around 12 hours per week on all GNSO related work. We therefore estimate 8 hours per week for these Councilors on the assumption that they are involved in other GNSO Council related activity. These are conservative estimates for weekly averages, and some Councilors and Task Forces might well spend more time. We calculated total hours, and then estimated notional costs using \$US180 per hour (again a very conservative estimate for professional consultants).

	TF members	TF and Council members	Total hours	Conservative notional cost (US\$000s)
DNSO Task Force on WHOIS and Council policy recommendations	11	8	12,200	2,200
TF 1, 2 and 3	18	10	10,800	1,950
TF Combined 1 and 2 (plus TF 3)	12	22	5,400	980
Combined WHOIS TF Purpose and contact data	14	10	6,720	1,210
TOTAL	55	40	35,160	6,340

Figure A49

We analyzed the mailing list for the most recent WHOIS Task Force in order to gauge the degree of activity by each Constituency and other groups involved. We were interested in the extent to which these discussions were being led by a small handful of individuals. The bars show total emails posted by Constituency, with the blue section showing the number of emails posted by the highest contributing individual. Just under one third of postings came from the Registrars Constituency, around two thirds of which were from one individual.

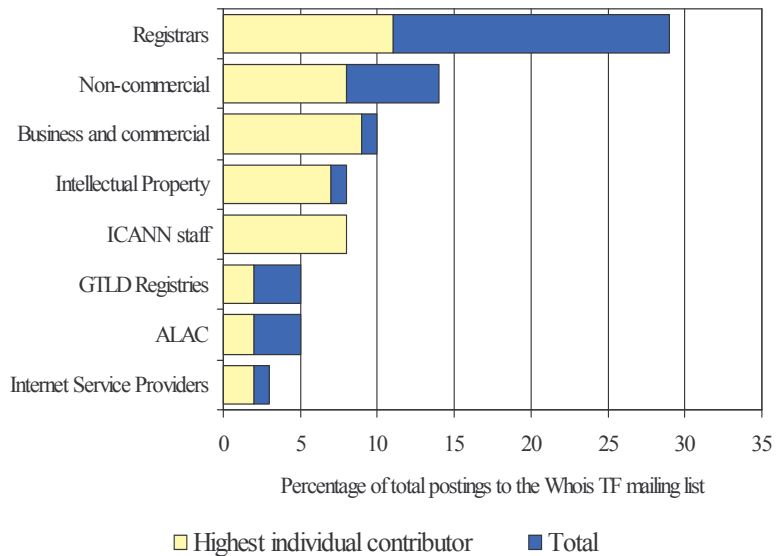


Figure A50

We looked at the participation in a range of Task Forces relating to WHOIS policy development since 2001. Task Forces included are listed in Figure A47 in this Annex. We looked at 7 Task Forces in total, and assessed the extent to which individuals had participated (i.e. how many Task Forces had individuals taken part in). This data shows the number of individuals taking part per Constituency, and number of Task Forces that specific individuals had been involved in. One individual had taken part in all 7 Task Forces.

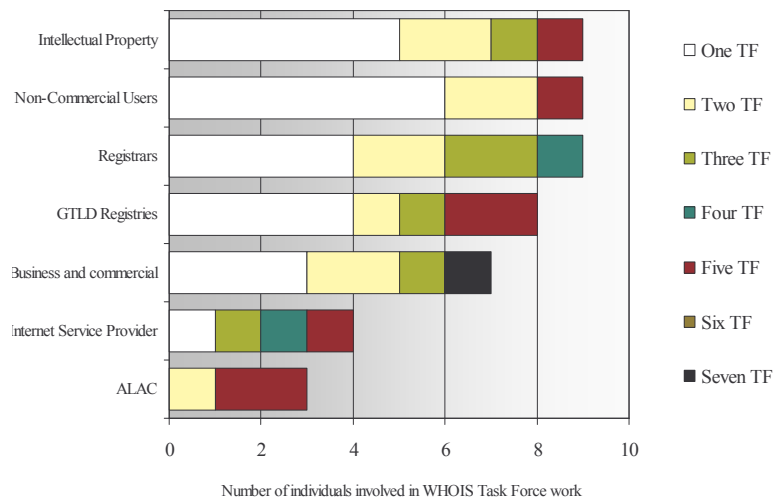


Figure A51

We analyzed contributions to the public comments periods for a range of PDPs as listed. We examined each comment individually, counted the total words submitted, and coded the responses according to particular Constituencies or interests. The column marked ‘General or technical issues’ could not easily be attributed to particular Constituency positions. Figures in black are ‘number of words posted’ and figures in red are ‘number of postings’

Number of words Number of postings	The main broad groupings or categorizations for each public comment submitted						TOTAL
	General or technical issues	DNH	IP / Business	Registry	Registrar	Spam	
UDRP (1999)	16,200 29	36,830 61	6,000 15			20 1	59,050 106
WHOIS 1 (2004)	7,530 9	3,880 10	18,100 13			200 1	29,710 33
WHOIS 2 (2004)	4,590 4	4,780 5	17,150 10				26,520 19
WHOIS 3 (2004)	7,440 9	11,200 8	16,230 10				34,870 27
New Registry Services (2004)	220 2		1,290 2	750 1	400 2	815 4	3,475 11
New gTLD (2006)	17,440 29	280 2	4,000 5	3,050 1	3,130 2	2,460 13	30,380 52

Figure A52

We analyzed data on GNSO Council voting kindly compiled and provided by the GNSO Secretariat. We coded different votes into categories. Red bars show votes that were procedural in nature; blue bars show votes that were substantive in nature. This data covers January 2003 to October 2004.

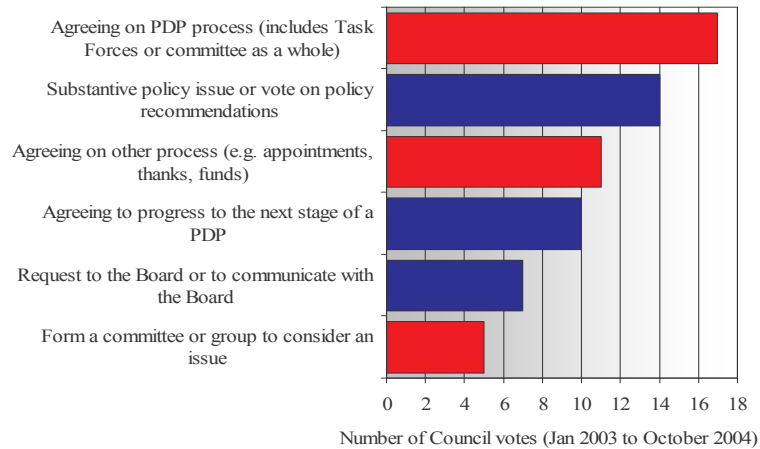
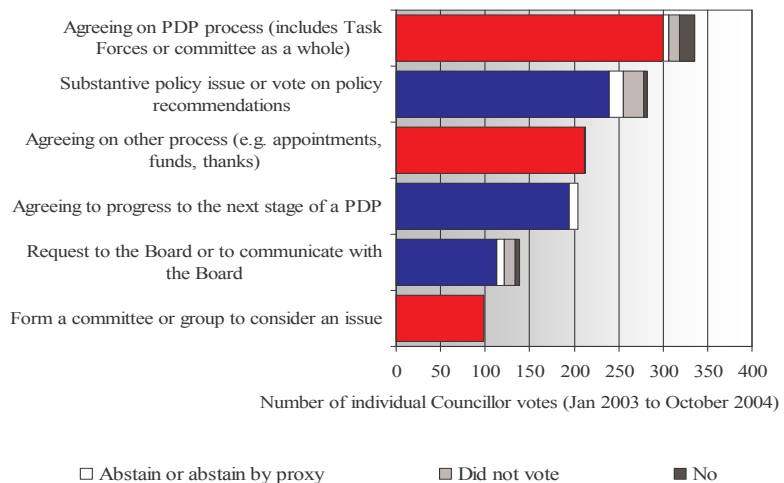


Figure A53

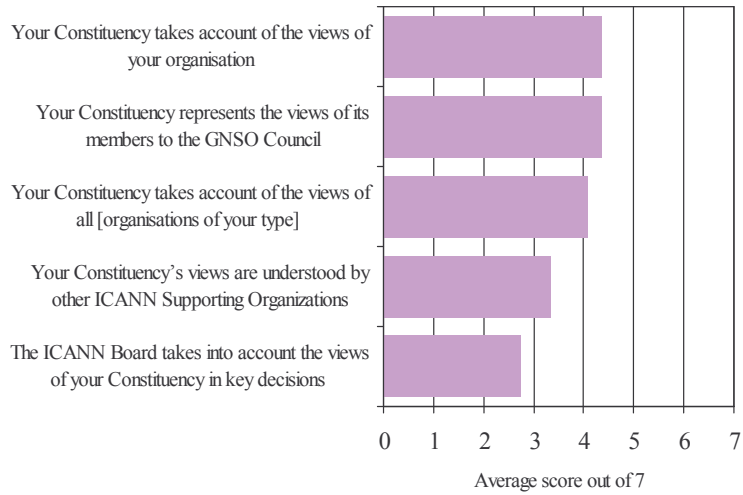
We analyzed data on GNSO Council voting kindly compiled and provided by the GNSO Secretariat. We coded different votes into categories. Red bars show votes that were procedural in nature; blue bars show votes that were substantive in nature. This data covers January 2003 to October 2004. The black, grey and white tips show the number of individual votes that were No, Abstention, or ‘Did not vote’. This gives an indication of dissent on voting.



**Data and tables relating to
Part 5: The regularity of the GNSO operations in complying with
ICANN’s bylaws and operating procedures**

Figure A54

In our online survey we asked Constituency members to give a score for how effectively the GNSO process takes into account the views of their organization (and organizations of a similar type). Scores were given on a Likert scale from 1 to 7, where 1 = Not at all effectively to 7 = Very effectively. N = 41.



Annex B

Summary table of GNSO Constituencies

	GNSO Constituency					
	Business and Commercial	Intellectual Property	Internet Service and Connectivity Providers	Registrars	gTLD Registries	Non-Commercial Users
Voting members	39	33	42	56	13	44
Non-voting members		68			4	
Membership categories (figures show number of votes for each type)	3 = corps and multiregional assoc, 2 = assoc, 1 = micro firms	3 = Int'l assoc, 2 = national assoc, 1A = firms, 1B = individual		1 = All members	No membership categories (<i>see below for vote share system</i>)	1 = Small orgs, 2 = Large orgs (threshold >1000 members or 200 employees)
Charter (<i>date referenced</i>)	June 2003	Nov 2005	Jun 2003	Apr 2003	Feb 2005	Aug 2003
Constituency represents...	Customers or providers of connectivity, DNS, and IP addresses and other services relating to e-commerce	Entities committed to advocacy and development of IP as fundamental components of commercial activity	ISP and Connectivity Providers or entities showing that 'DNSO' activity impacts upon their business	ICANN accredited registrars and other relevant bodies	gTLD Registries under contract to ICANN to provide gTLD Registry services (sponsored and unsponsored TLDs)	Entities using the Internet or domain names for non-commercial speech and activity
Explicitly excludes...	DN service providers			Registry operators		Political, commercial, or under contract to ICANN
Executive structure	GNSO Councilors	President, VP and Treasurer, and Constituency Council	Chair + 2 deputies	Chair, Treasurer, Technology Officer as Executive Committee	Chair, Alternate Chair, plus committees and liaisons for specific policy issues	Chair + Executive Committee + Policy Committee
Secretary / Secretariat	Secretariat	Secretary		Secretary	Secretariat	Secretary-Treasurer
Executive term limits		3 years (continue)	2 years	3 years		3 year
GNSO Council term limits		2 terms (continue)	2 terms	2 terms		2 terms
Estimated maximum annual revenue from membership fees USD	38,000	24,300	Data not available	20,500	Registries with < 50,000 registrations pay half fees	2,850
Voting arrangements	Simple majority <i>plus</i> majority quorum. No vote on policy positions unless triggered.	Only Category 2 and 3 members vote -Simple majority <i>plus</i> 25 – 50 % of members quorum		Simple majority <i>plus</i> > 10% of members quorum	Simple majority of sponsored TLDs + simple majority of unsponsored TLDs + simple majority by weighted vote (based on highest number of registrations 10n, 10(n-1), 10(n-2)... where n = number of members). Quorum = majority of sponsored and unsponsored respectively	Simple majority
Constituency veto arrangements	10% members opposed leads to vote	Charter specifically mentions 'minority views'				

Annex C

Case studies for some comparator organizations

Organization	Mission	Peak level structure	Policy development	Members
International Chamber of Commerce	<ul style="list-style-type: none"> - world business organization - champions the global economy as a force for economic growth, job creation and prosperity 	<ul style="list-style-type: none"> - World Council is the ICC's supreme governing body. Delegates are business executives that are named by National committees - National Committees represent the ICC in their respective countries to ensure national business concerns are taken account of in policy recommendations to governments and international organizations - Council elects the Chairman and Vice-Chairman for two-year terms. The Council also elects the Executive Board, responsible for implementing ICC policy. It has between 15 and 30 members, who serve for three years, with one third retiring at the end of each year 	<ul style="list-style-type: none"> - Commissions, composed of a total of more than 500 business experts formulate ICC policy and elaborate its rules. Commissions scrutinize proposed international and national government initiatives affecting their subject areas and prepare business positions for submission to international organizations and governments 	<ul style="list-style-type: none"> - membership open to businesses - organizations join the ICC and participate in the relevant Commissions and working groups - Euro 1,500 membership fee for 'local members' - Euro 3,000 for 'national members'
International Telecommunications Union	<ul style="list-style-type: none"> - international organization within the United Nations system - helps governments and the private sector to coordinate global telecom networks and services 	<ul style="list-style-type: none"> - the supreme authority is the Plenipotentiary Conference, a meeting composed of delegations from Member States, to adopt the underlying policies of the organization and determine its structure and activities - ITU Council acts as the Union's governing body between conferences. The decision-making functions of ITU are performed by Member States during conferences, assemblies, study groups or at the Council - General Secretariat manages the administrative and financial aspects 	<ul style="list-style-type: none"> - three policy sectors: Radio-communication; Tele-communication and Standardization; and Tele-communication Development - study groups made up of experts carry out the technical work, preparing the detailed studies that lead to authoritative recommendations. All recommendations are non-binding, voluntary agreements 	<ul style="list-style-type: none"> - open to governments who join as Member States - open to private organizations who join as Sector Members (membership of one or more of the Union's three Sectors is possible according to their particular sphere of interest)
Asia-Pacific Economic Cooperation	<ul style="list-style-type: none"> - multi-lateral economic forum - Member Economies work towards reducing trade barriers and increasing investments 	<ul style="list-style-type: none"> - structure made up of major committees who meet yearly. - policy development and direction provided by the 21 APEC Economic Leaders - strategic recommendations provided by APEC Ministers and the APEC Business Advisory Councils (ABAC) 	<ul style="list-style-type: none"> - at the working level, activities and projects are carried out by four high level committees: Committee on Trade and Investment; Senior Officials' Meeting Committee on Economic and Technical Cooperation; Economic Committee; and Budget and Management Committee 	<ul style="list-style-type: none"> - 21 Member Economies - non-member economies, organizations, and other experts may apply or be invited to join APEC activities - business participation is through the ABAC - academic participation is through the APEC Study Centers (ASC) Consortium
International Technology Association of America	<ul style="list-style-type: none"> - IT trade association - operates 'core' programs: emerging technology, information security, international 	<ul style="list-style-type: none"> - the Board of Directors, composed of IT company executives, governs the association. - a Chairman and Vice Chairman lead the board, which meets on a quarterly basis. - also each ITAA Division operates its own board of 	<ul style="list-style-type: none"> - work is structured around four policy areas: Government, Internet Commerce and Communications, IT Services, and Software 	<ul style="list-style-type: none"> - open to any company with operations situated in the US and offering commercial IT products and services. - annual dues are based on

	public policy, tax policy, intellectual property policy, RFID, and workforce and education	directors. Division boards are composed of executives from companies belonging to those respective divisions. Each board has a nominating committee and ITAA division members vote for a slate of candidates annually. Each Division Board sends its board chairman and an additional representative to serve on the ITAA Board		corporate revenues - member companies belong to one or more of four divisions. Each company designates a key representative to act as their primary interface with the association
Internet Engineering Task Force	- large open international community of network designers, operators, vendors, and researchers - focused on the evolution of Internet architecture and smooth operation of the Internet	- technical work is done by working groups , organized by topic. These are managed by Area Directors (ADs). - ADs make up the Internet Engineering Steering Group - providing architectural oversight is the Internet Architecture Board - the General Area Director also serves as the chair of the IESG and of the IETF, and is an ex-officio member of the IAB	- subject areas for policy development are: applications, operations and management, internet, routing, security, transport, and user services	- open to any interested individual
World Information and Technology Services Alliance	- consortium of over 60 IT industry associations from around the world - members represent over 90 percent of the world IT market - provides advocacy, research, consultancy, technical support to members and governments	- General Assembly - Steering Committee - Global Public Policy Committee - Chairman and Deputy		- open to the one association which best represents the interests of IT and services companies in its country or region - new members only admitted with approval of two-thirds of the members present at a General Assembly - membership dues based on the size of the applicant association's market

Annex D

Methodology

D1 The Terms of Reference of the Review set out a requirement for methods to incorporate a range of quantitative and qualitative approaches as follows:

- *On-line and face-to-face interviews* – To conduct interviews across a range of GNSO participants as well as members of the broader Internet community who are interested in ICANN’s work;
- *Operational Analysis and Statistics* - Baseline statistics from each of the GNSO Constituencies and the GNSO Council will be required. Those statistics will provide a frame for understanding the component parts of the GNSO and the GNSO Council;
- *Quantifying Focus Areas* - A range of tools could be used including one-to-one interviews, literature searches and online analysis. Analysis of groups who are not participating in ICANN meetings and reasons for that is also required. Comparisons may be made with other organizations.

D2 In responding to these requirements we sought to put together a range of methods that would allow us to collect a broad spectrum of views about the GNSO, both from inside the ICANN community and from organizations not currently participating in the ICANN process. Our methods fall into four main areas:

- Preliminary scoping work of the role and profile of the GNSO;
- Online surveys and gathering of email comments from global stakeholders;
- Semi-structured interviews;
- Unobtrusive analysis of documentation, data and other materials relating to the GNSO.

We have sought to apply a process of *triangulation* as systematically as possible to our findings. As the term triangulation suggests, our approach focuses on maximizing the extent to which individuals can be checked and cross-checked across a range of methods, thereby increasing the level of confidence of observations and conclusions. This involves designing a suite of methods from the outset which allows for findings to be triangulated as effectively as possible. For example, Constituency members might claim in interview that membership of the Constituency is diverse and strong, however unobtrusive analysis of Constituency meeting minutes may suggest that actual participation in meetings is narrow and based around a core group of individuals. Triangulation has been particularly important as a way of controlling for the strength of perception existing across the ICANN community on the role of the GNSO.

Preliminary scoping work

D3 As part of our original research proposal we conducted some preliminary scoping of the role of GNSO, particularly in relation to the work and functions of ICANN. In early 2006 we selected a

group of ten LSE postgraduate students, allocated them each a global region, and asked them to conduct 14 hours of web-based research on perceptions of GNSO and current issues emerging from their particular global region. We chose students on the strength of their knowledge of global public policy and governance issues, and importantly, their relevant language skills. We were able to cover Latin and Central America, North America, Sub-Saharan Africa, North Africa, Arabic-speaking Middle East, Russian-speaking central Europe, China, India, Taiwan, and major European countries. Students were asked to collect important documents and stories generated by their search, and compile a short summary of the major positions and views held globally. We provided a summary of their as part of our original bid.

Online survey research

D4 At the end of February 2006 we set up a research website (www.icann-gnsoreview.org) through which we aimed to collect as wide a range of views as possible about the GNSO and gTLD policy development work in ICANN. The website homepage was translated into 8 world languages (English, Chinese, Arabic, French, German, Russian, Spanish, and Portuguese), and we posted material explaining the objectives of the research and a brief glossary to translate ICANN and DNS jargon for the uninitiated. The domain name was designed to include references to both ICANN and GNSO in order to increase the chances of recognition with business and non-commercial stakeholders who would be more familiar with ICANN and less so, if at all, with the GNSO. The website offered four main channels for people to register their views on the GNSO as follows:

a. Survey questionnaire for Constituency members We designed a relatively short online questionnaire to be completed by liaisons or representatives from member organizations of the six GNSO Constituencies. In order to increase potential for comparison across Constituencies, these surveys were generic in structure and content. They were designed so that respondents had the option of working through them quickly (in 15 minutes or so) simply inputting scores on basic Likert scales (from 1 to 7) for different aspects of Constituency and GNSO performance. There were also free text boxes for respondents to write in comments or views at the end of each question. This aimed to generate a combination of quantitative data showing relative views across clusters of questions, and more qualitative comments on the GNSO, strengths and weaknesses, and so on. **We summarize results from this survey in Annex E below.**

b. Survey questionnaire for individuals This survey was designed to capture the views of individuals who are active within the ICANN community on the GNSO and its policy

development work. There is a narrow but highly intensive community of debate around ICANN, particularly on individual ‘blog’ sites and discussion forums. We wanted to capture the views of these ICANN participants or knowledgeable observers. We also invited ICANN staff members to complete a survey from their own individual perspective. **We summarize results from this survey in Annex F below.**

c. Survey questionnaire for non-member organizations An important aspect of this research was to try to find out why organizations from business and the civil society do not participate in the GNSO Constituency structure. This survey was designed to collect views of non-member organizations on the GNSO (and failing that, ICANN). **We summarize results from this survey in Annex G below.**

d. Email posting facility In order to canvas views globally we set up an email facility capable of receiving comments in any world language. This provided a free and open channel for views on the GNSO and ICANN. The surveys above were only available in English, as we were limited by resources and time constraints.

D5 We were keen ensure the integrity of survey responses, particularly to ensure that an organization or individual could only submit one survey and that data inputted would be secure and only accessible by them. In order to implement this, we opted to assign usernames and passwords to all survey respondents. Our research team sent this information to all Constituency members with an invitation to complete the survey. For individuals and non-members, we asked respondents to send us a short email requesting username and password. The risk of such an approach is that potential respondents will be put off from completing a survey by the effort involved in requesting log in details. Our view is that the integrity and security of the survey responses was a high priority, and that by asking respondents to do this little bit of administration, we would increase the chances that responses we did receive were serious and authentic.

D6 It is almost always insufficient to assume that simply by setting up a research website and putting some surveys on it, people will be inherently interested and will respond. During March 2006, we employed a group of 10 LSE post-graduate students to carry out work to encourage Constituency members to visit the website, solicit comments in languages other than English, and generally get as many and as diverse a range of organizations as possible to contribute a view. Our students were allocated a Constituency each and asked to establish contact with all registered member organizations, identify the

key person, and encourage them to complete a survey. Constituencies list members on their websites to varying degrees of detail and accuracy, and so this work combined working from contact information provided on Constituency websites, lists provided by Constituency secretariats, and straightforward cold calling or emailing.

D7 Our graduate students were also allocated world regions according to their particular language skills, and asked to identify named contacts in major organizations that might have some interest in the global Domain Name System, ICANN, and by chance the GNSO. We intentionally left the scope for comments relatively wide to encourage as many views as possible. The languages covered included all those translated on the website homepage as well as others such as Hindi and Turkish. Invitations were sent to named contacts to visit the website and post a comment.

Semi-structured interviews

D8 A separate strand of the research has been to conduct in-depth and semi-structured interviews with over 100 stakeholders either inside the ICANN process or at varying degrees of distance from it. These interviews have been conducted either by telephone conference, or face-to-face in Brussels and in Wellington, New Zealand during the March 2006 meeting. Discussions have generally lasted between 45 minutes and 90 minutes, with practically all of the interviews recorded. We have tried to be very clear about our commitment to confidentiality prior to each interview, and in all cases have asked permission from the interviewee to use a tape recorder. We have explained that comments will not be attributed to individuals or organizations in these final reports. We have spoken in detail to GNSO Council members, former Council members, Constituency officials, Constituency member representatives, ICANN staff, current Board members, former Board members, staff from other ICANN supporting organizations, participating individuals, government representatives, academics, non-member organizations, and a range of knowledgeable ‘old timers’ (remembering that ICANN is only 7 years old) and observers.

Table D1: Interviews conducted during the course of the Review

Category	Number of interviewees
Board member / former Board member	17
GNSO Council member	20
GNSO Constituency member	13
ICANN staff	20
ICANN community	17
International representative body (<i>non-commercial</i>)	4
Business / Business Association	8
Non-commercial or civil society organizations	4
Total	103

Unobtrusive data analysis

D9 There is a vast range of opportunity for unobtrusive analysis of the GNSO from data freely and publicly available on the ICANN and the GNSO website. As one interviewee put it, ‘if you have the time and the patience you can find practically everything on the ICANN website... in a way, ICANN is freakishly transparent’. Resources such as mailing lists, minutes of meetings, constituency statements, transcripts of meeting discussions, and data on domain name registrations, provide rich potential for constructing objective data-based checks and cross-references against more subjective comments. We have attempted to be as thorough as possible in using this kind of objective data source to triangulate positions with our findings from interviews and surveys. It will, of course, be the case that unobtrusive analysis of specific types of data will only reveal a certain amount of the full picture. For example, counting the number of postings to mailing lists can often give quite a reliable and detailed picture of the dynamics of participation across Constituencies. Nevertheless, it is important to realize the limitations of this kind of analysis, for example many important discussions might take place through other channels. In general, however, we have found that applying basic quantitative techniques to resources such as ‘tallying’ mailing lists and meeting minutes can give surprisingly intuitive outputs that can be used to support or debunk arguments that we have heard along the way.

Annex E

Online survey results – for Constituency members

Constituencies survey responses

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
Q1 Thinking about how familiar your organization is with the work of the GNSO, please give a score for each of the areas below.						
a What the GNSO does						
Not sure	0	0	0	0	0	0
1 to 3	0	3	0	3	0	0
4	0	1	2	0	2	0
5 to 7	10	11	5	8	3	3
b How the GNSO operates						
Not sure	0	1	0	0	0	0
1 to 3	2	3	1	3	2	0
4	0	1	1	1	0	0
5 to 7	8	10	5	7	3	3
c The main policy issues that the GNSO is currently working on						
Not sure	0	0	0	0	0	0
1 to 3	0	3	0	2	0	1
4	1	2	2	1	2	0
5 to 7	9	10	5	8	3	2
d How the GNSO fits into the wider ICANN community						
Not sure	0	4	0	0	0	0
1 to 3	1	3	0	3	2	0
4	1	2	2	0	0	1
5 to 7	8	10	5	8	3	2
Q2 Thinking about how often your organization has contact with the GNSO, please tell us roughly how often you do each of the following.						
a Visit the GNSO website (http://www.gnso.icann.org)						
At least once a month	7	7	6	5	2	2
At least once a year	3	6	1	3	2	0

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
Less frequently than once a year	0	1	0	3	1	1
b Speak to other members of the XXX Constituency about an issue relating to GNSO policy development						
At least once a month	10	7	6	7	4	2
At least once a year	0	4	1	3	0	1
Less frequently than once a year	0	3	0	1	1	0
c Express a view to XXX Constituency GNSO Council representatives about issues or procedures relating to policy development						
At least once a month	10	7	6	7	4	2
At least once a year	0	4	1	3	1	0
Less frequently than once a year	0	3	0	1	0	1
d Take part in a formal Policy Development Process (PDP)						
We take part in every PDP or regularly	8	5	4	5	3	2
We take part occasionally	2	5	2	2	2	0
We very rarely or never take part	0	4	1	4	0	1
e Participate in major GNSO meetings either in person or in conference						
We always attend or regularly attend	5	7	2	6	2	2
We sometimes attend	3	3	3	0	2	0
We very rarely attend or never attend	2	4	2	5	1	1
Q3 How effectively does the XXX Constituency use its website for						
a Posting contact details of office holders						
Not sure	0	3	0	3	1	0
1 to 3	0	3	2	2	1	1
4	0	2	0	2	0	0
5 to 7	10	6	5	3	2	0
b Keeping members' contact details up-to-date						
Not sure	1	4	1	0	1	0
1 to 3	1	4	2	5	1	1
4	0	2	0	1	0	0
5 to 7	8	4	4	4	3	0
c Making relevant reports and minutes available						

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
Not sure	0	1	0	0	1	0
1 to 3	1	7	2	3	1	1
4	0	1	1	4	0	0
5 to 7	9	5	4	3	3	0
e Keeping up-to-date with relevant GNSO news and issues						
Not sure	1	3	0	0	1	0
1 to 3	1	9	1	3	1	1
4	0	0	2	2	0	0
5 to 7	7	2	4	6	3	0
f Facilitating open discussion on key issues						
Not sure	0	1	0	0	1	0
1 to 3	2	7	3	4	1	1
4	1	0	0	1	0	0
5 to 7	6	6	4	6	3	0
g Attracting new members to the Constituency						
Not sure	0	3	0	0	1	0
1 to 3	2	7	4	6	1	1
4	3	4	0	3	1	0
5 to 7	5	1	3	1	2	0
Q4 How efficiently does the XXX Constituency do each of the following						
a Use audio and video conferencing						
Not sure	1	1	2	0	1	0
1 to 3	0	4	2	4	0	0
4	0	1	1	2	0	0
5 to 7	9	8	1	4	3	1
b Facilitate face-to-face meetings for Constituency members						
Not sure	0	0	0	0	1	0
1 to 3	0	4	1	4	0	0
4	2	0	1	2	0	0
5 to 7	8	10	5	4	3	1
c Use consistent procedures for establishing consensus						

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
across Constituency members						
Not sure	0	0	1	0	0	0
1 to 3	0	3	0	1	0	0
4	0	4	2	0	0	0
5 to 7	10	7	3	9	4	1
d Produce authoritative written statements of Constituency positions						
Not sure	0	1	0	0	0	0
1 to 3	0	5	0	1	0	0
4	1	3	3	1	0	0
5 to 7	9	5	4	8	4	1
e Make data available on the degree of consensus across Constituency members						
Not sure	0	5	1	1	1	0
1 to 3	0	0	4	1	1	0
4	0	0	0	3	1	0
5 to 7	10	9	2	5	1	1
f Deliver statements of Constituency positions in good time						
Not sure	0	1	1	0	0	0
1 to 3	1	4	3	1	0	0
4	0	1	0	1	0	0
5 to 7	9	8	3	8	4	1
Q5 Thinking about how comprehensively your views are taken into account under the existing Constituency arrangements, please give a score on the extent to which...						
a The XXX Constituency takes account of the views of your organization						
Not sure	0	0	0	1	0	0
1 to 3	0	2	1	2	0	0
4	0	1	0	0	0	0
5 to 7	10	11	6	7	4	1
b The XXX Constituency takes account of the views of all [organizations of your type]						
Not sure	0	0	0	1	0	0

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
1 to 3	0	4	2	1	0	0
4	0	1	0	2	0	0
5 to 7	10	9	5	6	4	1
c The XXX Constituency represents the views of its members to the GNSO Council						
Not sure	0	0	0	0	0	0
1 to 3	1	2	0	1	0	0
4	0	2	0	2	0	0
5 to 7	9	10	7	7	4	1
d The XXX Constituency's views are understood by other ICANN Supporting Organizations						
Not sure	0	1	2	1	1	0
1 to 3	3	2	0	3	0	0
4	3	3	0	3	1	0
5 to 7	4	8	5	2	2	1
e The ICANN Board takes into account the views of the XXX Constituency in key decisions						
Not sure	1	0	2	1	1	0
1 to 3	1	9	2	6	1	0
4	2	3	0	3	1	1
5 to 7	6	2	3	0	1	0
Q6 Please score each of the six GNSO Constituencies in terms of how effectively they develop policy positions representing their members' interests.						
Effective representation of their members	Mean	Mean	Mean	Mean	Mean	Mean
gTLD Registries	6.5	2.9	3.4	4.7	2.8	
Registrars	4.4	4.9	5.8	4.3	2.8	
Internet Service Providers	2.2	2.1	4.6	2.9	2.5	
Commercial and Business	2.6	2.9	5.6	4.5	3.0	
Non-commercial	3.7	2.1	3	5.3	3.0	
Intellectual Property	4.9	3.8	5	5.3	4.5	
Q7 Thinking again about the six GNSO Constituencies,						

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
	Mean	Mean	Mean	Mean	Mean	
please score each one in terms of how much influence they have on the final policy positions of the GNSO Council.						
gTLD Registries	3.5	4.6	6.4	5.1	4.5	
Registrars	5.3	4.5	6.4	5.3	4.8	
Internet Service Providers	3.1	3.6	4.6	4.5	2.0	
Commercial and Business	6.1	4.0	4.8	5.9	3.0	
Non-commercial	3.5	3.3	3.8	3.7	2.8	
Intellectual Property	5.4	4.6	4.2	6.2	3.0	
Q8 Thinking about how different organizations comply with ICANN Bylaws and operating procedures, please score each of the following on the extent to which...						
a The gTLD Registries comply with ICANN bylaws and operating procedures						
Not sure	0	4	2	4	2	0
1 to 3	0	2	3	2	2	0
4	0	2	0	0	0	0
5 to 7	10	6	0	4	0	1
b The Registrars comply with ICANN bylaws and operating procedures						
Not sure	2	0	2	4	1	0
1 to 3	0	0	1	0	2	0
4	0	2	0	0	1	0
5 to 7	8	12	2	6	0	1
c The GNSO Council complies with ICANN bylaws and operating procedures						
Not sure	1	2	1	2	2	0
1 to 3	4	1	0	0	0	0
4	2	2	0	1	0	0
5 to 7	3	9	4	6	2	1
e ICANN follows its own bylaws and operating procedures						
Not sure	1	2	1	3	0	1
1 to 3	1	4	3	2	0	0

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
4	3	2	0	0	1	0
5 to 7	4	6	2	4	3	0
Q9 Thinking now about the GNSO Council specifically , please score how effectively the website (http://www.gnso.icann.org) is used for each of the following.						
a Making relevant reports and minutes available						
Not sure	0	2	0	4	1	0
1 to 3	0	1	2	0	0	0
4	1	1	0	1	0	0
5 to 7	9	9	3	4	3	1
b Providing audio files of meetings						
Not sure	1	4	1	4	1	0
1 to 3	0	0	1	2	0	0
4	0	0	0	0	0	0
5 to 7	9	9	3	3	3	1
c Keeping up to date with relevant GNSO news and issues						
Not sure	0	2	0	3	1	0
1 to 3	1	0	2	0	0	0
4	2	1	0	3	0	0
5 to 7	7	10	3	3	2	1
d Facilitating open discussion on key issues						
Not sure	0	3	0	2	1	0
1 to 3	4	0	2	2	1	0
4	1	2	0	2	0	0
5 to 7	5	8	3	3	2	1
e Encouraging views and comments from a wide range of interests						
Not sure	0	3	0	2	1	0
1 to 3	7	2	2	2	1	0
4	1	2	1	2	0	0
5 to 7	2	6	2	3	2	1
f Building the organizational profile of the GNSO						

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
Not sure	2	4	0	3	1	0
1 to 3	4	0	2	3	1	0
4	2	3	1	0	0	0
5 to 7	2	6	2	3	2	1
Q10 Thinking now more generally about the work of the GNSO Council, how efficiently does it do each of the following.						
a Give sufficient notice on calls for comments and statements						
Not sure	0	1	0	1	0	0
1 to 3	5	1	1	1	1	0
4	1	0	1	1	0	0
5 to 7	4	11	3	6	3	1
b Use consistent procedures for establishing consensus across Constituencies						
Not sure	0	2	0	2	1	0
1 to 3	7	0	1	0	1	0
4	1	2	0	0	0	0
5 to 7	2	9	4	7	2	1
c Make data available on the degree of consensus in the Council						
Not sure	0	3	0	1	1	0
1 to 3	5	0	2	2	1	0
4	1	2	0	1	1	0
5 to 7	4	8	3	5	1	1
d Post procedures and results of elections to the Council						
Not sure	0	1	0	1	2	0
1 to 3	0	0	1	0	0	0
4	2	1	0	0	0	0
5 to 7	8	11	4	8	2	1
e Facilitate face-to-face contact between the GNSO Council and Constituency members						
Not sure	1	2	0	1	1	0
1 to 3	4	2	1	2	0	0

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
4	2	0	1	4	2	0
5 to 7	3	9	3	2	1	1
f Provide information and resources in languages other than English						
Not sure	5	5	2	3	3	0
1 to 3	5	5	2	4	1	0
4	0	2	0	1	0	0
5 to 7	0	1	0	1	0	1
Q12 Thinking about how effectively the Policy Development Process (PDP) works, please score the GNSO on each of the following.						
	Mean	Mean	Mean	Mean	Mean	Mean
a Picking the right issues for development	2.3	4.9	5.4	4.8	4.7	
b Identifying issues early enough	2.4	4.7	4.4	5.6	4.3	
c Scoping policy work appropriately	1.9	4.9	4.2	4.8	4.7	
d Sticking to agreed time schedules	2.0	3.6	3.0	4.0	3.0	
e Ensuring that the PDP incorporates the widest practicable range of views	2.2	4.8	4.4	4.8	5.0	
f Making use of external expertise and research	2.4	3.6	3.3	4.0	4.0	
g Delivering practicable recommendations to the ICANN Board	2.7	5.3	5.4	4.6	4.3	
h Making the best use of policy support resources	2.7	5.1	4.8	5.2	4.0	
Q13 Thinking about the following 5 recent examples of Policy Development Processes (PDPs), please score each one in terms of the quality of policy produced. Where PDPs are still in progress, please score the quality of the policy to date.						
A Expired Domain Deletion PDP						
Not sure	1	0	1	4	0	0
1 to 3	3	2	2	0	1	0
4	2	2	0	1	1	0
5 to 7	3	8	1	4	1	1
b Whois Accuracy and Bulk Access PDP						

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
Not sure	1	1	1	2	0	0
1 to 3	6	4	1	3	1	0
4	2	3	1	1	2	1
5 to 7	0	4	2	3	0	0
c Whois and Whois contacts PDP						
Not sure	0	2	0	3	0	0
1 to 3	6	3	2	2	1	0
4	3	2	2	1	2	1
5 to 7	0	4	1	3	0	0
D gTLD Registry Services contracts PDP						
Not sure	0	2	1	4	1	0
1 to 3	9	2	1	1	1	0
4	0	1	0	2	0	0
5 to 7	0	7	3	2	1	1
e Introduction of new gTLDs PDP						
Not sure	1	3	1	4	0	0
1 to 3	7	0	1	0	1	0
4	0	3	2	2	1	0
5 to 7	1	6	1	3	1	1
Q14 Thinking about the influence of the GNSO overall, please give a score for each of the following.						
a Influencing major gTLD decision made at ICANN Board level						
Not sure	1	1	0	0	2	0
1 to 3	2	4	3	5	0	0
4	1	2	0	2	0	0
5 to 7	5	5	2	2	1	1
b Influencing other gTLD related decisions made in other key parts of the ICANN community						
Not sure	3	1	0	1	2	0
1 to 3	2	3	3	4	0	0
4	1	3	1	2	0	0
5 to 7	3	5	1	2	1	1
c Influencing governments and international policy makers						

	gTLD Registry	Registrar	Commercial and business	Non-commercial	Intellectual Property	Internet Service Provider
on relevant issues						
Not sure	1	4	1	0	2	1
1 to 3	5	3	3	7	0	0
4	2	2	0	2	0	0
5 to 7	1	3	1	0	1	0
d Influencing the views of individual Internet users on relevant issues						
Not sure	1	3	1	0	1	0
1 to 3	8	4	3	7	0	0
4	0	3	1	0	1	0
5 to 7	0	2	0	1	1	1
e Influencing the views of commercial organizations						
Not sure	1	4	1	0	1	0
1 to 3	6	4	3	6	0	0
4	1	2	2	1	2	0
5 to 7	1	2	0	2	0	1
Q15 Here are some likely challenges facing the GNSO in the next two or three years. Please rate how important each one will be to your organization.						
	Mean	Mean	Mean	Mean	Mean	Mean
a Raising the profile of the GNSO as a policy development body	3.6	5.3	5.6	4.1	3.0	
b Improving the quality of gTLD policy making	5.7	6.0	6.2	4.7	6.3	
c Broadening the range of organizations participating in gTLD policy development	4.4	4.8	4.4	4.9	2.7	
d Encouraging more intensive participation by major organizations in gTLD policy development	4.4	4.4	5.2	4.9	3.3	
e Improving transparency and openness in gTLD policy development	5.6	4.6	5.0	5.4	5.0	
f Representing more effectively the views of Internet users worldwide	4.4	4.3	5.6	6.2	3.3	

Annex F

Online survey results – Individual respondents not in Constituencies

Individual survey responses

Q1 Thinking about how familiar you are with the work of ICANN and GNSO, please give a score for each of the areas below:	
a What ICANN does	
Not sure	0
1 to 3	5
4	3
5 to 7	25
b How the ICANN community is structured	
Not sure	1
1 to 3	7
4	2
5 to 7	23
c Current issues and projects in progress at ICANN	
Not sure	1
1 to 3	11
4	1
5 to 7	21
d What the GNSO does	
Not sure	1
1 to 3	8
4	4
5 to 7	22
e How the GNSO operates	
Not sure	1
1 to 3	11
4	3
5 to 7	18
f The main policy issues that the GNSO is currently working on	
Not sure	1
1 to 3	9
4	4
5 to 7	20
Q2 Thinking about how involved you are with GNSO issues, please tell us roughly how often you do each of the following:	
a Visit the GNSO website	
At least once a month	15
At least once a year	9
Less frequently than once a year	9
b Express a view to the GNSO about issues or procedures relating to policy development	
At least once a month	8
At least once a year	5
Less frequently than once a year	19
c Express a view publicly on GNSO policy development work or procedures (e.g. on a website or a blog)	
At least once a month	6
At least once a year	6
Less frequently than once a year	20
Q3 How effectively does the GNSO use its website (http://www.gns0.icann.org) for each of the following?	
a Making relevant reports and minutes available	
Not sure	9

1 to 3	4
4	2
5 to 7	14
b Providing audio files of meetings	
Not sure	15
1 to 3	2
4	3
5 to 7	9
c Keeping up-to-date with relevant GNSO news and issues	
Not sure	10
1 to 3	6
4	3
5 to 7	10
d Facilitating open discussion on key issues	
Not sure	11
1 to 3	10
4	4
5 to 7	4
e Encouraging views and comments from a wide range of interests	
Not sure	9
1 to 3	11
4	4
5 to 7	5
f Building the organizational profile of the GNSO	
Not sure	9
1 to 3	13
4	3
5 to 7	4
Q4 Thinking about how the GNSO Council takes account of the views of individuals, please give a score for each of the following.	
a Providing opportunities for individuals to comment on policy issues	
Not sure	9
1 to 3	7
4	7
5 to 7	8
b Accepting comments from individuals in languages other than English	
Not sure	15
1 to 3	11
4	3
5 to 7	1
c Providing feedback to individuals on comments submitted	
Not sure	12
1 to 3	12
4	2
5 to 7	5
d Incorporating the views of individuals into issues reports	
Not sure	12
1 to 3	14
4	1
5 to 7	4
Q5 Please score each of the six GNSO Constituencies in terms of how effectively they develop policy positions representing their members' interests.	
	Mean
gTLD Registries	5.3
Registrars	4.9

Internet Service Providers	3.7
Commercial and Business	3.4
Non-commercial	3.8
Intellectual Property interests	4.7
Q6 Thinking again about the six GNSO Constituencies, please score each one in terms of how much influence they have on the final policy positions of the GNSO Council.	
	Mean
gTLD Registries	5.1
Registrars	5.4
Internet Service Providers	3.8
Commercial and Business	4.8
Non-commercial	2.9
Intellectual Property interests	4.6
Q7 Thinking about how different organizations comply with ICANN bylaws and operating procedures, please score each of the following on the extent to which...	
a The gTLD Registries comply with ICANN bylaws and operating procedures	
Not sure	12
1 to 3	3
4	3
5 to 7	10
b The Registrars comply with ICANN bylaws and operating procedures	
Not sure	12
1 to 3	3
4	2
5 to 7	9
c The GNSO Council complies with ICANN bylaws and operating procedures	
Not sure	13
1 to 3	5
4	2
5 to 7	7
d Other Supporting Organizations follow ICANN bylaws and operating procedures	
Not sure	14
1 to 3	2
4	3
5 to 7	8
e ICANN follows its own bylaws and operating procedures	
Not sure	11
1 to 3	5
4	3
5 to 7	8
Q8 Thinking about how effectively the GNSO carries out the Policy Development Process (PDP), please score GNSO on each of the following.	
	Mean
Picking the right issues for development	3.8
Identifying issues early enough	3.2
Scoping policy work appropriately	3.4
Sticking to agreed time schedules	2.8
Ensuring that the PDP incorporates the widest practicable range of views	3.2
Making use of external expertise and research	2.6
Delivering practicable recommendations to the ICANN Board	3.7
Making the best use of policy support resources	3.4

Q9 Thinking about the following 5 recent examples of Policy Development Processes (PDPs), please score each one in terms of the quality of policy produced. Where PDPs are still in progress, please score the quality of the policy to date.	
a Expired Domain Name Deletion PDP	
Not sure	11
1 to 3	5
4	3
5 to 7	8
b Whois Accuracy and Bulk Access PDP	
Not sure	13
1 to 3	6
4	2
5 to 7	6
c Whois and Whois contacts PDP	
Not sure	11
1 to 3	5
4	4
5 to 7	7
d gTLD Registry services contract PDP	
Not sure	11
1 to 3	3
4	5
5 to 7	7
e Introduction of new gTLDs PDP	
Not sure	8
1 to 3	8
4	2
5 to 7	9
Q10 Thinking about the influence of GNSO overall, please give a score for each of the following.	
a Influencing major policy decisions made at ICANN Board level	
Not sure	6
1 to 3	6
4	6
5 to 7	10
b Influencing decisions made in other key parts of the ICANN community	
Not sure	6
1 to 3	10
4	5
5 to 7	7
c Influencing governments and other external stakeholders	
Not sure	6
1 to 3	15
4	1
5 to 7	6
d Influencing the views of individual Internet users	
Not sure	4
1 to 3	18
4	2
5 to 7	3
Q11 Here are some likely challenges facing GNSO in the next 2 or 3 years. Please rate each one in terms of how important you think it will be	
a Raising the profile of the GNSO as a policy development body	
Not sure	0
1 to 3	6

4	1
5 to 7	19
b Improving the quality of gTLD policy making	
Not sure	1
1 to 3	2
4	0
5 to 7	21
c Broadening the range of organizations participating in gTLD policy development	
Not sure	1
1 to 3	4
4	0
5 to 7	21
d Encouraging more intensive participation by major organizations in gTLD policy development	
Not sure	1
1 to 3	4
4	4
5 to 7	15
e Improving transparency and openness in gTLD policy development	
Not sure	0
1 to 3	1
4	2
5 to 7	20
f Representing more effectively the views of Internet users worldwide	
Not sure	0
1 to 3	3
4	3
5 to 7	21
Q12 Future challenges for the GNSO	
	Mean
a Raising the profile of the GNSO as a policy development body	4.8
b Improving the quality of gTLD policy making	5.8
c Broadening the range of organizations participating in gTLD policy development	5.8
d Encouraging more intensive participation by major organizations in gTLD policy development	5.1
e Improving transparency and openness in gTLD policy development	6.2
f Representing more effectively the views of Internet users worldwide	5.8

Annex G

Online survey results – Non-members

Non-member survey responses

Q1 Please indicate which type of organization you represent from the following list:	
Large commercial corporation	3
Small or medium sized enterprise (SME)	1
Internet Service Provider (ISP)	3
Organization with Intellectual Property interests	1
Non-commercial organization (e.g. interest association, educational institution or other)	2
Public or quasi-governmental body	2
Another type	1
Q2 Thinking about how familiar you are with the work of ICANN and GNSO, please give a score for each of the areas below:	
a What ICANN does	
Not sure	0
1 to 3	3
4	1
5 to 7	7
b How the ICANN community is structured	
Not sure	0
1 to 3	2
4	3
5 to 7	6
c Current issues and projects in progress at ICANN	
Not sure	0
1 to 3	2
4	2
5 to 7	7
d What the GNSO does	
Not sure	0
1 to 3	3
4	2
5 to 7	5
e How the GNSO operates	
Not sure	0
1 to 3	5
4	3
5 to 7	3
f The main policy issues that the GNSO is currently working on	
Not sure	0
1 to 3	5
4	1
5 to 7	5
Q5 Does your organization use the GNSO website? (http://www.gns0.icann.org)	
Not sure	2
Yes, frequently	1
Yes, but not frequently	1
Yes, but only once or twice	2
Never	4
Q6 Has your organization ever expressed a view to the GNSO?	
Not sure	0
Yes, frequently	0
Yes, but not frequently	0
Yes, but only once or twice	8

Never	2
Q7 Has your organization ever taken part in events or meetings arranged by the GNSO?	
Not sure	0
Yes, frequently	1
Yes, but not frequently	0
Yes, but only once or twice	6
Never	3
Q8 Here are some ways in which your organization might benefit from participating in policy development for generic top level domains (gTLDs). Please rate the extent to which each one would be an important benefit for your organization.	
a Helping to shape the future of the Internet	
Not sure	0
1 to 3	0
4	1
5 to 7	8
b Extending the benefits of the Internet to less developed parts of the world	
Not sure	0
1 to 3	4
4	1
5 to 7	4
c Improving the financial wealth of your organization	
Not sure	1
1 to 3	1
4	1
5 to 7	6
d Protecting the intellectual property interests of your organization	
Not sure	1
1 to 3	2
4	0
5 to 7	6
e Encouraging diversity of language and culture across the Internet	
Not sure	0
1 to 3	4
4	1
5 to 7	4
f Ensuring security and stability of the Internet	
Not sure	1
1 to 3	0
4	1
5 to 7	7
Q9 Here are some factors that might explain why your organization is <i>not</i> a member of an appropriate GNSO Constituency. Please give a score on how important each factor is in explaining why your organization is not a member.	
a Generic domain name policy is not a primary or core concern for our organization	
Not sure	1
1 to 3	3
4	1
5 to 7	4
b There are more effective ways to influence policy on generic domain names	
Not sure	0
1 to 3	4
4	2
5 to 7	3

c The costs of participating in the relevant Constituency outweigh the benefits	
Not sure	1
1 to 3	1
4	4
5 to 7	3
d It is difficult for an organization like ours to influence these kinds of issues	
Not sure	0
1 to 3	1
4	3
5 to 7	5
e We were not aware of the GNSO Constituency system	
Not sure	1
1 to 3	1
4	2
5 to 7	5
Q10 Please describe briefly the most important change or improvement that you would like to see.	
Not sure	5
Improved timelines for policy decisions	1
More information on conflicts of interests	1
Rework website to make information more easily accessible	1
Better .com contract	1
Q11 Given this change or improvement, please score the likelihood that your organization would consider joining the appropriate GNSO Constituency	
Not sure	2
1 to 3	1
4	1
5 to 7	4
Q12 Here are some likely challenges facing the GNSO in the next two or three years. Please rate how important each one would be to your organization.	
a Raising the profile of the GNSO as a policy development body	
Not sure	0
1 to 3	4
4	1
5 to 7	4
b Improving the quality of gTLD policy making	
Not sure	0
1 to 3	2
4	1
5 to 7	6
c Broadening the range of organizations participating in gTLD policy development	
Not sure	0
1 to 3	2
4	1
5 to 7	6
d Encouraging more intensive participation by major organizations in gTLD policy development	
Not sure	0
1 to 3	2
4	1
5 to 7	6
e Improving transparency and openness in gTLD policy development	
Not sure	1
1 to 3	1
4	1

5 to 7	6
f Representing more effectively the views of Internet users worldwide	
Not sure	1
1 to 3	0
4	3
5 to 7	5
Q13 Future challenges for the GNSO	
	Mean
Raising the profile of the GNSO as a policy development body	5.1
Improving the quality of gTLD policy making	5.7
Broadening the range of organizations participating in gTLD policy development	5.9
Encouraging more intensive participation by major organizations in gTLD policy development	6.0
Improving transparency and openness in gTLD policy development	6.4
Representing more effectively the views of Internet users worldwide	6.4

Annex H

Terms of Reference for the GNSO Review

Para	Terms of Reference (ToR) Text	Reference for Response in the Review
GENERAL		
3.2.	<p>As for all reviews of ICANN structures required by Article IV, Section 4, Clause 1 of the Bylaws, the GNSO Review is designed to determine:</p> <ul style="list-style-type: none"> - <i>Whether that organization has a continuing purpose in the ICANN structure, and,</i> - <i>If so, whether any change in structure or operations is desirable to improve its effectiveness.</i> 	<p>The recommendations relating to this point in the ToR are 6 (paragraphs 2.41 to 2.43), 19 (paragraphs 4.33 to 4.35) and 20 (paragraph 4.36).</p>
3.3.	<p>With respect to the Constituencies of the GNSO, the Review shall determine whether each Constituency represents the interests of the stakeholder communities it purports to represent on a global basis and whether each Constituency operates, to the maximum extent feasible, in an open and transparent manner and consistent with procedures designed to ensure fairness in bottom-up policy development.</p>	<p>Three Parts of the Review look at this question. Part 2 (especially paragraphs 2.9 to 2.27 and Figure 11) look at the quality of representation provided by the Constituencies. Part 3 looks at the openness and transparency of the Constituencies. Part 5 looks at the issue of compliance.</p>
4.1.	<p>There are two key elements to the GNSO Review. The first is a review of the GNSO as a whole to determine whether that organization has a continuing purpose in the ICANN structure. The second is a review of each of the Constituencies which constitute the GNSO to determine whether those Constituencies represent the interests of global stakeholders in an open and transparent manner.</p>	<p>Part 2 of the Review looks in detail at the Constituencies and discusses changes to the GNSO structure. See also recommendations 1 (paragraphs 2.4 and 2.5), 2 (paragraphs 2.13 and 2.14) and 3 (paragraphs 2.21 and 2.22).</p>
4.2.	<p>The focus areas, outlined below, seek to examine and quantify the extent to which the GNSO as a whole and the Constituencies, as individual entities, reflect global stakeholder interests; whether the operation of each Constituency is open and transparent and whether the procedures used within the Constituencies to develop bottom up policy are designed to achieve fairness.</p>	<p>Part 4 of the Review looks at the effectiveness of the GNSO and the Constituencies in developing policy.</p>
REPRESENTATIVENESS		
4.3.1	<p><i>whether the Constituencies, on a global basis, represent the stakeholders they claim to represent and whether sufficiently diverse groups are consulted to develop consensus-based policy</i></p>	<p>Part 2 of the Review examines the Constituencies. Particular attention is drawn to paragraphs 2.9 to 2.23 on the effectiveness of current representation by the Constituencies and paragraphs 2.24 to 2.27 look at diversity of representation. Also, see recommendations 1 (paragraphs 2.4 and 2.5) and 2 (paragraphs 2.13 and 2.14).</p>
4.3.1	<p><i>whether the Constituencies operate in an open and transparent manner; whether Constituencies are open to individuals or</i></p>	<p>Part 3 of the Review examines the transparency and openness of the GNSO process. Also, see recommendations 1 (paragraphs 2.4 and</p>

	<i>corporations who wish to participate; whether the membership procedures are open and transparent and whether the current Constituencies best reflect global representation of a diversity of stakeholder positions</i>	2.5) and 2 (paragraphs 2.13 and 2.14).
4.3.1	<i>whether additional Constituencies would capture new contributions and input from other stakeholders in the policy development process</i>	See recommendation 18 (paragraph 4.27) about bringing in new contributions to the process. Also see recommendation 19 (paragraphs 4.33 to 4.35) for discussion about proposed changes to the constituency structure to enable new stakeholders to participate.
4.3.1	<i>whether there are any barriers to the participation of all who are willing to contribute to the work of the GNSO, for example, technical, financial or geographic limitations</i>	See recommendations 6 (paragraphs 2.41 to 2.43), 16 (paragraphs 4.20 and 4.21) and 18 (paragraph 4.27).
4.3.1	<i>whether the ICANN Board is satisfied with the advice it receives from the Constituencies to ensure that advice reflects consideration of all stakeholder interests and the widest possible consultation with affected parties including other ICANN supporting organizations and advisory committees</i>	See recommendations 2 (paragraphs 2.13 and 2.14), 5 (paragraph 2.39), 9 (paragraphs 3.15 and 3.16), 20 (paragraph 4.36) and 21 (paragraphs 4.37 and 4.38).
4.3.1	<i>whether there is sufficient time and opportunity for advice and information from the GNSO Constituencies and whether amending timeframes would increase the quality of the work output</i>	See recommendation 8 (paragraphs 3.11 to 3.14) on improved document management and recommendation 23 (paragraphs 5.6 and 5.7) on PDP timeline provision.
4.3.1	<i>whether other supporting organizations and advisory committees such as the At Large Advisory Committee and the Government Advisory Committee have effective opportunities to participate in the policy development process</i>	See Recommendation 17 (paragraphs 4.22 to 4.26) suggesting that Task Forces should integrate more effectively policy making expertise from national governments and international policy-making bodies. We recommend that the Government Advisory Committee could be a useful first-port-of-call for sourcing national government expertise on issues such as privacy policy. We make no specific recommendations relating to the participation of the ALAC in the work of the GNSO. We find that ALAC representatives have been visible and active participants in meetings and Task Forces of the GNSO (see Annex A Figures A23 and A50). We also found that the ALAC discussions involve a wide range of issues relating directly to the GNSO (Annex A Figure A40). We would expect continued integration between the ALAC and the GNSO particularly in terms of policy development structures. In our recommendations 19 and 20, a new Constituency representing Civil

		Society should bring together non-commercial organizations and individuals, and use the current RALO structure as a foundation for development of this Constituency.
4.3.1	<i>whether the GNSO Council manages the policy development process in a timely and efficient manner looking at the types and kinds of issues under consideration and the resources devoted to that consideration</i>	See recommendations 9 (paragraphs 3.15 and 3.16), 17 (paragraphs 4.23 to 4.26) and 23 (paragraphs 5.6 and 5.7).
4.3.1	<i>whether the Council effectively manages open forums, mailing lists and public comment opportunities that enable global participation by any affected stakeholders</i>	See recommendations 7 (paragraphs 3.6 to 3.10), 8 (paragraphs 3.11 to 3.14), 10 (paragraphs 3.17 to 3.19) and 23 (paragraphs 5.6 and 5.7).
4.3.1	<i>whether the individual Constituencies, in contributing to the development of consensus based policies, conduct their operations to the maximum extent possible, to enable broad participation including outreach activities</i>	See Part 2 of the Review, recommendations 18 (paragraph 4.27) and 24 (paragraph 5.13).
4.3.1	<i>whether GNSO Council weighted voting patterns are still appropriate in the GNSO's policy development processes</i>	See recommendations 21 (paragraphs 4.37 and 4.38) and 22 (paragraphs 4.39 and 4.40) on recommended changes to voting patterns within the GNSO.
	<i>whether the GNSO Council has successfully implemented the recommendations of the 2004 GNSO Council Review</i>	See Figure A7 in Annex A.
4.3.1	<i>whether the existing constituency structure could be rationalized, changed or improved in any way to increase participation in the policy development processes within the GNSO</i>	See recommendations 19 (paragraphs 4.33 to 4.36) and 20 (paragraph 4.36) on a proposed reorganization of the Constituency structure.
4.3.1	<i>whether the GNSO Council Bylaws need amending in any way to reflect improved processes for increasing participation, seeking other stakeholder views and deriving consensus based policies that reflect ICANN's public interest principles</i>	See recommendations 5 (paragraph 2.39), 6 (paragraphs 2.41 to 2.43), 7 (paragraphs 3.6 to 3.10), 8 (paragraphs 3.11 to 3.14), 9 (paragraphs 3.15 and 3.16), 10 (paragraphs 3.17 to 3.19), 18 (paragraph 4.27), 19 (paragraphs 4.33 to 4.36) and 23 (paragraphs 5.6 and 5.7).
	EFFECTIVENESS	
4.3.2	<i>examination of the time and resources (including staff, financial and outside assistance) used by both Council and the Constituencies to develop policy positions and whether the purpose of GNSO policy development processes is clearly articulated</i>	See Figures 4, 5, 6, 7 and 8 all shown in Part 2 of the Review. Also recommendations 3 (paragraphs 2.21 and 2.22), 4 (paragraph 2.23) 15 (paragraphs 4.16 to 4.19) and 16 (paragraphs 4.20 and 4.21).
4.3.2	<i>examination of the benefit to all affected parties of the use of ICANN time and resources in developing policy positions and particularly whether Constituency expectations are being met</i>	See Figure 25, recommendations 14 (paragraphs 4.12 to 4.14) and 24 (paragraph 5.13).
4.3.2	<i>examination of ICANN's Strategic Plan process and how that relates to</i>	See recommendations 9 (paragraphs 3.15 and 3.16) and 23

	<i>the development of GNSO policy development processes; examination of the GNSO Strategic Plan process and opportunities for the policy development process to reflect rapid market changes</i>	(paragraphs 5.6 and 5.7).
4.3.2	<i>whether the PDP process needs to be amended to reflect new participants, different kinds of issues, more realistic timeframes for workflow and interaction with other ICANN entities and different ways of communicating policy positions, taking into consideration the GNSO Council Review recommendations</i>	See Figure A7 in Annex A and also recommendations 17 (paragraphs 4.23 to 4.26), 19 (paragraphs 4.33 to 4.36) and 23 (paragraphs 5.6 and 5.7).
4.3.2	<i>whether the ICANN Board is satisfied with the policy recommendations it receives from the GNSO and if that advice could be improved in any way</i>	See Figure 19 and recommendations 2 (paragraphs 2.13 and 2.14), 11 (paragraphs 3.24 to 3.26) 21 (paragraphs 4.37 and 4.38) and 24 (paragraph 5.13).
4.3.2	<i>analysis of whether the work output from the GNSO Council and Constituencies reflects the expertise and market knowledge of constituency members to ensure best practice policy development</i>	See recommendations 16 (paragraphs 4.20 and 4.21), 17 (paragraphs 4.23 to 4.26) and 18 (paragraph 4.27).
4.3.2	<i>whether the GNSO Council recommendations have been implemented successfully and whether further work needs to be done to ensure implementation</i>	We make not specific recommendations relating to the previous study of the GNSO Council. We have provided a general summary of the recommendations from this Review in Annex A Figure A7, with some indication of where progress has been made based on our interviews and discussions with the author of the study, Patrick Sharry. Many of our recommendations address important issues raised by this previous work.
TRANSPARENCY		
4.3.3	<i>whether decisions are made by applying documented policies neutrally and objectively; whether those entities which are affected by decisions have adequate mechanisms for participation through the Constituencies</i>	<p>These are two distinct issues. We made no recommendations about the neutrality and objectiveness of application of documented policies. We found generally high standards in the way that GNSO and its Constituencies take care to apply documented policies.</p> <p>Recommendations 12 and 13 address important issues relating to transparency and integrity, however there are not currently written procedures covering these areas in the GNSO, and so we are unable to say that rules or policies are being explicitly broken.</p> <p>Recommendation 21 suggests that the threshold for consensus on major policy issues voted upon in the Council should be raised to at least 75 per cent. This would ensure that Registries and Registrars</p>

		would be able to block any policy proposals which would have deleterious effects on them. We would also advocate this measure as a way to do away with the current weighted voting.
4.3.3	<i>whether policy decisions are made in a way which demonstrates that participants are accountable to the Internet community and whether statements of interest are explicitly made on each issue under consideration</i>	See recommendations 11 (paragraphs 3.24 to 3.26), 12 (paragraphs 3.27 and 3.28) and 13 (paragraphs 3.29 and 3.30).
4.3.3	<i>whether the GNSO website and the Constituencies' websites operate effectively as tools for transmitting a wide variety of procedural and substantive information on the policy development process</i>	See recommendations 7 (paragraphs 3.6 to 3.10) and 8 (paragraphs 3.11 to 3.14).
4.3.3	<i>whether new technologies and systems could be used to augment the work of the Constituencies and GNSO Council</i>	We make no specific recommendations about particular technologies or systems. Our recommendations relating to the GNSO website and document management may indeed require introduction of a more sophisticated content management tool for the website. We also refer to offer of free consultancy made at the recent ICANN annual meeting in Wellington by collaborative software engineers. There may be scope for the GNSO to innovate with collaborative software packages. The GNSO Council is currently piloting a version of a well-known document management tool.
4.3.3	<i>analysis of the recording, publishing and notification of significant input and decisions contributing to the policy development process of the GNSO Council, GNSO taskforces, workgroups and Constituencies</i>	See recommendations 3 (paragraphs 2.21 to 2.22) and 8 (paragraphs 3.11 to 3.14) for discussion of the need for greater standardization and resourcing for Constituency operations.
4.3.3	<i>analysis of ICANN face to face meetings and their contribution to the work of the GNSO, its taskforces, workgroups and Constituencies in facilitating their contribution to the development of policy advice</i>	See recommendations 15 (paragraphs 4.16 to 4.19) and 16 (paragraphs 4.20 to 4.21) for discussion of the balance between face-to-face and teleconference activity, and increased funding for Constituencies to subsidize minimum travel and accommodation.
COMPLIANCE		
4.3.4	<i>whether the GNSO Council and the GNSO Constituencies comply with the ICANN Bylaws and with their own rules and procedures</i>	See Part 5 of the Review for discussion on compliance
4.3.4	<i>whether there is effective alignment of the GNSO structure and policy development process that delivers practical policies which can be effectively implemented</i>	See recommendation 19 (paragraphs 4.33 to 4.35).
4.3.4	<i>whether there are sound linkages between the GNSO's policy development processes and ICANN's policy compliance program</i>	We make no recommendations about the ICANN compliance program as this out of scope. We found very little evidence of cooperation between the GNSO Constituencies and ICANN staff on

		compliance. We do provide some data in Part 5 on perceptions of compliance across the GNSO.
4.3.4	<i>whether there is effective cooperation between the policy development and operational aspects of the ICANN organization to implement consensus based policy</i>	We found very little evidence of any work undertaken to assess the impact of policy deriving from GNSO policy development work. See recommendation 24 (paragraphs 5.13 onwards) for further discussion of evaluation and assessment of policy.
ANALYSIS AND MEASURES		
5.2.	It is intended, to effectively manage the resources available for the Review, to conduct on-line as well as face-to-face interviews across a range of GNSO participants as well as members of the broader Internet community who are interested in ICANN's work.	The team used an online survey to garner views from Constituency members as well as non-member organizations and individuals. An intensive interview schedule was undertaken which included both face-to-face and phone interviews. See Annex D of the Review for further discussion about the methodologies used.
5.3.	<i>Operational Analysis and Statistics</i> - To inform the work, baseline statistics from each of the GNSO Constituencies and the GNSO Council will be required. Those statistics (based on, for example, facts and figures about voting patterns, membership fees and participation rates) will provide a frame for understanding the component parts of the GNSO and the GNSO Council. Each constituency will be asked to provide this information, in a consistent format, across a range of question areas.	Where provided, analysis was undertaken on a variety of statistics. See Annex D of the Review for further discussion about the methodologies used.
5.4.	<i>Quantifying Focus Areas</i> - These concepts, as outlined in Section 4, can be measured objectively and subjectively. A range of tools could be used including one-to-one interviews, literature searches and online analysis. These tools may be selected in consultation with the evaluators. Analysis of groups who are not participating in ICANN meetings and reasons for that is also required. Any barriers to entry need to be identified and addressed. Comparisons may be made with other organizations to measure, for example, timeliness of decision making and use of resources; use of technology and possible models for improving GNSO participation and effectiveness.	Various methodologies were used during the fieldwork stage of the Review. These included: interviews (both face-to-face and via phone), online survey, literature review, analysis of voting patterns, mailing list use, meeting attendance and comparator organizations case studies. See Annex D of the Review for further discussion about the methodologies used.
5.5.	<i>Mapping Relationships and Interactions</i> - Internal relationships – with the ICANN Board, ICANN Staff and other ICANN entities in addition to those within the GNSO itself. External relationships – with the broader Internet using community including the public and private	An online survey was undertaken of both individuals and organizations not currently members of a Constituency. See Annex D of the Review for further discussion about the methodologies used.

	sector	
5.6	<i>Capturing and Mapping Perceptions</i> - Interpretation and examination of the use of concepts used in the ICANN Bylaws such as “open and transparent manner”, “fairness”, “consensus”, “bottom-up policy development” is required. Perceptions can be mapped to tangible facts which may stem from answers to the questions below.	An online survey of Constituency members was undertaken to garner views. See Annex D of the Review for further discussion about the methodologies used.
5.6	<i>How many topics have the GNSO been working on?</i>	See Figure 22 of the Review.
5.6	<i>How are policy topics initiated?</i>	See Figure A46 in Annex A.
5.6	<i>How many different people or organizations have been involved in the work?</i>	See recommendation 2 (paragraphs 2.13 and 2.14).
5.6	<i>How do the Constituencies handle the policy development topic workload?</i>	See Part 3 of the Review on the policy development process.
5.6	<i>How many topics have been resolved and implemented as policy?</i>	See recommendations 8 (paragraphs 3.11 to 3.14) and 9 (paragraphs 3.15 and 3.16).
5.6	<i>Has the introduction of new topics impeded the work on existing work programs?</i>	We make no specific recommendations on how may pieces of policy development work should be under way at any one time. There is some indication that policy development processes may be initiated ‘on the hoof’. In order to curb this, recommendation 9 (paragraphs 3.15 to 3.16) suggests that the GNSO publish a two-year corporate plan covering projected work for that period.
5.6	<i>Should new topics be taken on before old topics have been resolved?</i>	See box above. It is important that the GNSO is able to identify key issues early on and put in place realistic plans for addressing these issues. We suggest that the GNSO have a clear idea about the human resources expended on an average PDP, and compare this with total human resources available in the course of one year.
5.6	<i>Should topics have clearly defined time constraints?</i>	See recommendation 23 (paragraphs 5.6 and 5.7).

Annex I

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