Blockchain Governance Assessment Questionnaire

This document was developed by a group of experts convened by the Wharton Cryptogovernance Workshop. It seeks to provide a common framework for blockchain networks, applications, and consortia.

Respondent(s)

- Submission date.

- Your name and contact information (optional)?

- Which project, network, platform, or consortium are you providing answers for? (The term "project" is used generically in the rest of this document.)

- What is your role (or the role of your organization) in the project, if any?

Project Description

1. What are the purposes, goals, or scope of the project? If there are metrics to measure success of the project, what are they?

2. What, if any, are the coordinating entities, and what are their functions? (For example, a foundation, consortium, software development corporation, DAO, etc.)

3. How are participants and users of the project identified? (For example, by public/private cryptographic keypair, wallet number, government ID, etc.) Are there restrictions on who can participate? If so, how are they implemented?

Stakeholder Groups

4. Does the project's software code delineate groups with particular functions? (For example, those who can propose changes, arbitrate disputes, or vote on behalf of others.)

   If so, please describe them and their operations in detail. (For example, their powers, how participants gain access, how the groups interact with the network and each other, and whether there are mechanisms to add, change, or exclude groups.)

5. Are there other important groups either constituted informally, specified through contractual arrangements, or based on geography/choice of law?

   If so, please describe in detail. (For example, their powers, how participants gain access, how the groups interact with the network and each other, and whether there are mechanisms to add, change, or exclude groups.)

Goals and Implementation

6. What behaviors does the project seek to encourage, or discourage? How are such behaviors incentivized? (For example, financial benefits/penalties, belief in shared values, costs of project failure, or costs of exiting.)

7. (For operational projects): How well are incentives and governance mechanisms functioning in practice? Are there metrics to measure the effectiveness of governance?

8. Are there systems to pay for infrastructure, protocol upgrades, development work, network enhancements and/or other work deemed to be in the interest of the network? If so, how do they operate?

Governance Powers

9. What makes a governance decision associated with this project legitimate or illegitimate?

10. Who has power to <u>introduce</u> governance proposals, and how does that process operate?

11. Who has policy-setting ("legislative") power to <u>decide on</u> proposals, and how does that process operate?

12. Who has implementation ("executive") power to <u>execute</u> proposals once decided upon, and how does that process operate?

13. Who has interpretive ("judicial") power to <u>resolve disputes</u> over application of a policy to a specific instance, and how does that process operate? What can the interpretive power be used to mandate?

14. What checks and balances, or systems of accountability, exist among these governance powers?

Governance Procedure

15. Are there systems for non-binding signals or binding votes on governance decisions? If so, please describe them in detail.

16. Are there distinctions between decisions made by ordinary processes (for example, majority votes) and those which require extraordinary processes (for example, supermajority votes)? Or are there non-standard processes you would, or have, used in emergency situations? Explain as appropriate.

17. Are there aspects that can never be changed through governance processes, short of a contentious hard fork of the network? If so, how is that ensured?

18. Are there mechanisms that make changing the project easier or harder?

19. What revisions to governance mechanisms have been made, or are under consideration, and why?

Catch-All Question

20. If there are any significant aspects of the project's governance that you have not described, please provide details here.