

ICANN | GNSO

Generic Names Supporting Organization

GNSO PDP 3.0

Implementation Plan

Version 10 December 2018

Improvement #	Objective & Description (Per PDP 3.0 Final Report)	Possible Implementation Steps (Per PDP 3.0 Final Report)	Proposed Next Steps	Who / Timing
#1. Terms of participation for WG members	<p>Ensure that WG members are committed to working together to find consensus, respecting the ICANN standards of behavior</p> <p>Require those joining a WG to sign up to a WG member terms of participation outlining the commitment expected from WG members as well as the expectation with regards to multi-stakeholder, bottom up, consensus policy development. This could also include, in certain cases, expected knowledge / expertise required to participate (with options being provided to those not having the requested knowledge / expertise to obtain relevant knowledge / expertise). Different levels of commitment could be attributed to full membership versus observer status.</p>	<p>Further develop the EPDP Team Statement of Participation in consultation with ICANN Ombudsman to produce a template for seeking affirmative commitment from WG members before they can participate in a WG.</p>	<ul style="list-style-type: none"> ● Review EPDP Statement of Participation and consult with EPDP Team / leadership what impact, if any, the statement of participation has had ● Consult with existing PDP Chairs whether the introduction of such a statement of participation would be deemed helpful, either for existing or future efforts ● Consult with ICANN Ombudsman on mechanisms / measures to seek affirmative commitment from WG members 	<p>Council Leadership / Feb 2019</p> <p>Council Leadership / March 2019</p> <p>Council Leadership / March 2019</p>
#2. Consider alternatives to open WG model	<p>Identify and document the basic characteristics of various model(s) (including current open model, EPDP Team Composition, Review Teams)</p>	<p>Council to identify and consider the various model options documented when commencing new PDP to</p>	<ul style="list-style-type: none"> ● Develop overview of different model options that have been used to date in the context of PDPs or other. 	<p>Staff / Dec-Jan 2018/2019</p>

	<p>that balance representation, inclusivity, expertise, empowerment, accountability and participation.</p> <p>The PDP Manual provides the flexibility to consider different types of PDP Team structures, for example, reference is made to working group, task force, committee of the whole or drafting team. To ensure representation as well as empowerment of WG members, different team structures should be considered, for example, having members designated by SO/AC/SG/Cs while individuals can join as participants or observers. This model has worked efficiently in recent Cross-Community Working Groups. At the same time, there may not be a one-size fits all model, so different alternatives should be explored so that the best fit approach for each PDP can be utilized.</p>	<p>determine which best fits a particular PDP effort.</p>	<ul style="list-style-type: none"> ● Review overview of different models and brainstorm whether other model options should be added to the list ● Consider criteria that could be used to determine which option to apply ● Consider whether the structure of any existing PDP would need to be reconsidered. 	<p>Council / SPS 2019 and beyond</p> <p>Council / SPS 2019 and beyond</p> <p>Council / SPS 2019 and beyond</p>
<p>#3. Criteria for joining of new members after a PDP WG's formation</p>	<p>Limit disruption as a result of members joining after the WG has already been engaged in deliberations for quite some time but allow for flexibility in</p>	<p>Document a set of basic template of requirements for upskilling new members newly joining after the PDP's formation with a view to</p>	<ul style="list-style-type: none"> ● Develop draft template of requirements for upskilling new members newly joined after PDPs formation ● Obtain input from current 	<p>Staff / Feb 2019</p> <p>Staff / Jan 2019</p>

	<p>case new volunteers bring new perspectives or are currently underrepresented in the WG.</p> <p>Consider how to efficiently and effectively upskill new PDP WG members joining after the PDP has commenced its work.</p>	<p>preventing disruption of PDP progress and re-opening settled issues.</p>	<p>PDP Chairs</p> <ul style="list-style-type: none"> ● Review and update/adjust template as needed 	<p>Council / March2019</p>
<p>#4. Capture vs. Consensus Playbook</p>	<p>Empower WG Chairs with additional tools and support to ensure effective and efficient leadership</p> <p>A playbook or expansion of the GNSO Working Group Guidelines to help WG leaders, members, or participants identify capture tactics as such, along with a toolkit of possible responses to help the WG get back on track without escalating the situation. Example: “Die in the ditch” test - is this a position you are willing to die in a ditch for or is it just an opinion that you are expressing, and you are happy to move on if no one else supports that opinion?</p>	<p>Drafting team (include current and former PDP WG leadership) to review existing provisions of the GNSO WG Guidelines for gap analysis and develop amendments to WG Guidelines or a standalone playbook for future PDPs.</p>	<ul style="list-style-type: none"> ● Consider submitting a request as part of the ABR process to obtain funding for a third party with expertise in this area to put a first draft together? 	
<p>#5. Active role for and clear description of Council liaison to PDP WGs</p>	<p>Ensure optimal use of GNSO Council liaisons to PDP WGs</p> <p>Ensure that there is a clear understanding with regards to</p>	<p>Develop clear role description</p> <p>Council to evaluate whether this updated role description is fit for purpose in light of concerns around Chair</p>	<p>COMPLETED – see here</p> <p>Discuss whether role description is fit for purpose in light of concerns around Chair</p>	<p>Council / SPS 2019</p>

	<p>the role of the Council liaison and how he/she can assist the WG leadership. This may require PDP WG leadership teams to actively involve the liaison in leadership / preparatory meetings.</p>	<p>neutrality and multi-phase PDP structures.</p> <p>Develop a briefing document for new Council liaisons including the role description and highlighting relevant provisions of GNSO Procedures on the role and responsibilities of the liaison.</p> <p>Build into PDP timeline milestones at which the WG leadership team should consider how to best utilize the Council liaison.</p> <p>Support staff to include liaison in scheduling PDP WG leadership team meetings.</p> <p>Exiting Council liaisons to conduct handover with incoming Council liaisons, and report to Council that this has taken place before the next Council meeting.</p>	<p>neutrality and multi-phase PDP structures</p> <p>Prepare first draft of briefing document for new Council liaisons, with input from existing liaisons</p> <p>Develop list of proposed PDP milestones at which the WG leadership team should consider how to best utilize the Council liaison.</p> <p>Inform existing PDP leadership teams of this new requirement and include liaison accordingly in scheduling of meetings</p> <p>Ongoing – confirm that these handover meetings have been scheduled</p>	<p>Staff / Jan 2019</p> <p>Small team consisting of current & former liaisons / TBD</p> <p>Staff / Dec 2018</p> <p>Staff / Dec 2018</p>
<p>#6. Document expectations for WG leaders (Chairs/Co-Chairs/Leads) that outlines role</p>	<p>Ensure clear understanding of what the role of a WG chair entails as well as what are considered some of the qualifying skills and criteria.</p>	<p>Review GNSO Operating Procedures to evaluate and amend, where appropriate, the role and responsibilities descriptions of PDP Chair.</p>	<p>Develop list of roles and responsibilities descriptions of PDP Chair derived from GNSO Operating Procedures</p>	<p>Staff / Jan 2019</p>

<p>& responsibilities as well as minimum skills / expertise required</p>	<p>The GNSO WG guidelines provide a general description of the role of a WG chair, but this is not generally considered in WG Chair selection processes. WGs would benefit from a more detailed description of the role and responsibilities, including expected time commitment of a WG chair. This could then be coupled with a list of skills and expertise that would also be desirable. This would be helpful for WG selection of, and potential candidates for, leadership positions. WG Chair(s) would be expected to sign off on this job description and agree to the role & responsibility as outlined, and would also serve as a means to hold the Chair accountable to the WG. Similarly, it could be indicated whether there are any incompatibilities that should be considered such as whether someone can be in a leadership role in multiple PDPs at the same time.</p>	<p>Develop a briefing document and/or training for newly appointed PDP Chairs highlighting relevant provisions of GNSO Procedures on the role and responsibilities of WG Chairs that can be tailored for working groups.</p>	<p>Develop a briefing document for newly appointed PDP Chairs highlighting relevant provisions of GNSO Procedures on the role and responsibilities of WG Chairs that can be tailored for working groups.</p> <p>Translate briefing document into GNSO Learn Training module</p>	<p>Small team consisting of current / former chairs / TBD</p> <p>Staff / TBD</p>
<p>#9. Provide further guidance for sections 3.6</p>	<p>Ensure there is clarity around how consensus is established</p>	<p>Staff should develop material for familiarizing members of PDP WG regarding the</p>	<p>Develop briefing document as well as slides to explain concept of “consensus” in the PDP</p>	<p>Staff / Feb 2019</p>

<p>and clarification of section 3.7 (Appeal Process) (Standard Methodology for decision making)</p>	<p>and what tools can be used in that regard.</p> <p>Provide further guidance for WG Chairs and WG membership with regards to what is consensus, how consensus designations are made and what tools can or cannot be used. Similarly, further guidance may be welcome in case there is an appeal under section 3.7 that would result in a faster response to allow a WG to move forward more efficiently during and after the appeal process. Lessons could potentially be learned from other organizations applying consensus as a decision-making methodology or techniques learned during the ICANN leadership academy program concerning mediation and consensus building.</p>	<p>“consensus” in the PDP at the beginning of the process.</p> <p>Add clarification to GNSO OP to indicate a 3.7 appeal does not stop ongoing work</p>	<p>Review current language of GNSO OP in relation to section 3.7 and put forward proposed clarification to indicate a 3.7 appeal does not stop ongoing work. Also consider whether further detail is needed in relation to appeal process?</p>	<p>Drafting team / TBD</p>
<p>#11. Enforce deadlines and ensure bite size pieces</p>	<p>Ensure clear expectations concerning deliverables as well as a manageable scope of work. A PDP should have a narrow scope and, in those cases where a subject is broad, it needs to be broken into manageable pieces to make the</p>	<p>At the outset of the PDP, the Council or Council leadership meets with the PDP WG to brief the PDP WG on the charter and its expectations. This would allow for any clarifications and/or confirmations at the outset of the process.</p>	<p>Create check-list for items that need to happen at the outset of PDP which includes Council / Council leadership to meet with the PDP WG to brief the PDP Team on the charter and its expectations.</p>	<p>Staff / Feb 2019</p>

	<p>deadline pressure more understandable and achievable. This may require a more regular use of a drafting team to prepare a charter for Council consideration. There is a need for pressure, but it must be coupled with limited scope, so that pressure for data and dependency would be able to produce results. This would also require the Council to regularly review PDP WG work plans.</p>	<p>Council to review PDP WG charters and determine what works well and what doesn't. This could include discussions with current PDP leadership teams to establish what helped PDP WGs in their efforts and what did not.</p> <p>PDP WG leadership should engage with GNSO Council in post-PDP evaluation for lessons learnt and sharing experiences.</p> <p>Staff should develop a standardized summary template to provide GNSO Council with relevant data regarding the effectiveness and efficiency against the scope and work plan</p>	<p>Conduct review of PDP WG charters and set up conversations with current PDP Leadership team to establish what helped PDP WGs in their efforts and what didn't? Based on the outcome, develop guidance for future charter drafting efforts.</p> <p>Review WG self-assessment and determine whether this should be updated and/or adapted to include post-PDP evaluation related questions and sharing of experiences.</p> <p>Following completion of WG self-assessments, GNSO council to review post-PDP evaluations and engage with PDP WG leadership.</p> <p>Adapt fact sheet that is being used for EPDP Team to template so it can also be used for other efforts</p>	<p>?? / TBD</p> <p>??/TBD</p> <p>Council & PDP WG leadership / post-PDP</p> <p>Staff / Feb 2019</p> <p>Staff / March 2019</p>
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		Staff will investigate set of project management tools to help WG leadership and council for managing PDPs	Investigate set of project management tools to help WG leadership and Council for managing PDPs	
#12. Notification to Council of changes in work plan	Enhance accountability of PDP WGs and oversight by GNSO Council Require PDP WGs to notify the Council when a work plan, and in particular the expected delivery dates for the different PDP milestones, are revised with a rationale for why these changes were made and how this impacts interdependencies.	GNSO Council to review all current PDP WG work plans and advise PDP leadership teams that any changes to timeline for deliverables are expected to be communicated to the GNSO Council for approval, including a rationale for these changes. Make better use of project management skills and expertise when developing the work plan Council to provide additional guidance and/or timeframe with regards to the expected delivery of milestones. The council or drafting team should add clear milestones that can be measured and assess progress.	Review all current PDP WG work plans Advise PDP leadership teams and Council liaisons that any changes to timeline for deliverables are expected to be communicated to the GNSO Council for approval, including a rationale for these changes See previous item re. investigation set of project management tools Review charter template to see if additional sections should be included there to ensure that additional guidance and/or timeframe with regards to expected delivery of milestones is provided.	Council / SPS 2019 Council leadership, incl. liaisons / Jan 2019 Staff / Jan 2019
#13. Review of Working Group Leadership	Allow for regular review of PDP leadership team to be able to identify early on potential issues Despite running possibly for multiple years, there is currently no system in place	Commence a practice of appointing WG leadership for a 12 month period, and require reconfirmation by the WG to continue for subsequent 12 month period/s.	Review GNSO Operating Procedures and determine what changes, if any, need to be made to implement this practice	Council / Jan 2019 and beyond

	that allows for the regular review of the functioning of PDP WG leadership teams. The Council could run an anonymous survey amongst the PDP WG to obtain feedback on the WG Chair(s) on a regular basis to facilitate its role as a manager of the PDP. Similarly, there is no process in place that allows a WG to challenge and/or replace its leadership team.		Inform WGs & WG leadership of this new requirement and the effective date. Consider whether further guidance / tools are to be provided to facilitate review of leadership by WG to help inform reconfirmation process.	Council leadership / March 2019 Council / June 2019
#14. Make better use of existing flexibility in PDP to allow for data gathering, chartering and termination when it is clear that no consensus can be achieved.	Make use of existing flexibility in PDP procedures to ensure that each PDP is set up for success from the outset, and provide regular opportunities for Council to evaluate a PDP's progress with the power to initiate termination if required. The existing PDP procedures provide for a lot of flexibility with regards to work that is undertaken upfront, such as data gathering to establish whether there is really an issue that needs to be addressed, chartering - creation of a charter drafting team to ensure that the charter questions are clear and unambiguous but also the ability to terminate a PDP in case of deadlock. As the	Council with support from staff should develop set of criteria to evaluate request for data gathering, and document this as a checklist to be used by a PDP WG. Drafting teams should indicate in the charter if there is a possibility that data gathering may be required in order to respond to the charter questions	Develop draft set of criteria to evaluate request for data gathering and document this as a checklist to be used by a PDP WG Review / finalize draft set of criteria and check-list Review charter template to see if additional sections/guidance is to be provided to reflect this point	Staff / March 2019 Council / April 2019 Staff / April 2019

	<p>manager of the PDP, the GNSO Council should make optimal use of this flexibility to facilitate its role as a manager of the PDP as well as setting up PDP teams as best as possible for success. Care should be taken that PDPs are not used to prove / disprove theories – such information should be gathered beforehand.</p>			
<p>#15. Independent conflict resolution.</p>	<p>Provide additional mechanisms for conflict resolution for those cases where existing tools have not delivered results.</p> <p>In those cases where conflict in WGs is preventing progress and/or existing conflict mechanisms have been exhausted, the Council should have access to independent conflict resolution and/or mediation experts.</p>	<p>Council liaison to be proactive in identifying potential issues / challenges at early stage that may need mitigation and Council attention.</p> <p>Council should consider the establishment of panel of volunteer mediators that can be called upon when appropriate.</p>	<p>See #5 – determine in that context if further guidance is to be provided to Council Liaisons.</p> <p>Consider the establishment of panel of volunteer mediators that can be called upon when appropriate.</p>	<p>Council / SPS 2019</p> <p>Council / SPS 2019(?)</p>
<p>#16. Criteria for PDP WG Updates</p>	<p>Ensure standardized set of information provided by PDP WGs</p> <p>GNSO Council to provide criteria for information that needs to be provided by PDP WG leadership teams as part of their updates to be in a position to closely track progress and</p>	<p>Staff should develop a template for reporting with criteria and information to be shared in PDP WG updates such as issues, risks, progress against work plan</p>	<p>See #11 - Adapt fact sheet that is being used for EPDP Team to template so it can also be used for other efforts</p>	<p>Staff / Feb 2019</p>

	<p>identify issues at an early stage. This would include a requirement for a PDP WG to provide early warning as well as identify potential risks that could hamper progress.</p>			
<p>#17. Resource reporting for PDP WGs</p>	<p>Allow for resource tracking and oversight, enhancing accountability Require PDP WGs to provide regular resource reporting updates to allow for a better tracking of the use of resources and budget as well as giving leadership teams the responsibility for managing these resources.</p>	<p>Staff should collect information regarding budget and resources to be allocated for PDP.</p>	<p>See #11 - Adapt fact sheet that is being used for EPDP Team to template so it can also be used for other efforts</p>	<p>Staff / Feb 2019</p>
		<p>Charter drafting team should identify the resources and needs during the chartering process</p>	<p>Review charter template to see if additional sections/guidance is to be provided to reflect this point</p>	<p>Staff / Feb 2019</p>
		<p>GNSO Council to work with ICANN Staff to adapt fact sheets used for review teams and EPDP to monitor and report on progress as well as resources for PDP WGs.</p>	<p>See #11 - Adapt fact sheet that is being used for EPDP Team to template so it can also be used for other efforts</p>	<p>Staff / Feb 2019</p>
			<p>Review fact sheet and provide input, as appropriate</p>	<p>Council / March 2019</p>