

PDP 3.0 Improvement #13: Regular Review of Working Group Leadership

This document complements the document “PDP 3.0 Improvement #13: Working Group Member Survey on Leadership Performance”.

A. Objectives

- Provide a regular opportunity for the GNSO Council to check in with PDP Working Group (WG) leadership and liaisons to identify resources or input that Council may need to provide as well as opportunities for the leadership team to improve.
- Enable Council to work with the PDP WG leadership team and Council liaison to develop and execute a plan to address possible issues/opportunities identified.

B. Review Setup

The reviews will occur at regular intervals.

- For new PDPs, the schedule of reviews will be established in the charter of each PDP WG and will likely be different for each depending on the length, complexity, and structure of the PDP. For example, if a PDP is conducted in two phases with each phase expected to last 18 months, a single review might be scheduled for the end of Phase 1. If a PDP is expected to have only a single phase and expected to last three years, the review might be scheduled to take place annually. The survey will be conducted in advance of the scheduled review so that the results can be taken into account.
- For existing PDPs, the Council leadership, PDP WG leadership team, and Council liaison will work together to decide on necessity and appropriate schedule of reviews.
- Reviews may also be initiated by Council leadership and/or the Council liaison to the WG in response to circumstances indicating that a review is necessary.

C. Review Inputs

The following resources will be used as inputs to the review:

- Verbal input of the Council liaison to the WG.
- Verbal input of the PDP WG leadership team.
- Monthly reporting on PDP WG progress and status.⁹¹
- WG member survey.

⁹¹ Linked to PDP 3.0 Improvements #11 and #16. See [GNSO Project Work Product Catalog, Project Status and Condition Change Procedure & Flowchart](#)

- WG Expectations for Leaders.⁹²
- Complaint concerning the PDP WG leadership, if applicable.⁹³

D. Review Process

The following is a high-level outline of the standard steps that will take place as part of the review.

- Deployment of survey by staff.⁹⁴
- Processing of survey results by staff.
- Analysis of survey results and monthly reporting by Council leadership and Council liaison.
- Discussion with Council leadership, PDP WG leadership team, and Council liaison.
- Development of any recommendations on next steps, if applicable by Council leadership, PDP WG leadership team, and Council liaison.
- Sharing of any recommendations and next steps with the GNSO Council.
- Implementation of next steps identified, if applicable by Council leadership, PDP WG leadership team, and Council liaison.
- Evaluation of next steps taken, if applicable by Council leadership, PDP WG leadership team, and Council liaison.

E. Sample Timeline

The timeline for specific reviews may be adjusted to account for holidays, ICANN meetings or other factors, as appropriate.

- T - 35 days: Staff prepares survey.
- T - 35 days: Staff notifies the PDP WG that the survey will be deployed.
- T - 28 days: Staff deploys the survey.
- T - 21 days: Staff schedules a meeting with Council leadership, Council liaison, and PDP WG leadership.
- T - 14 days: Staff closes the survey.
- T - 10 days: Staff processes survey results and produces a brief report summarizing results.
- T - 10 days: Staff sends a package of materials to Council leadership, PDP WG leadership, and Council liaison for review containing the raw survey data (names removed), the staff summary of survey data, and the latest reporting documents related to PDP WG progress and status.
- T: Council leadership, PDP WG leadership, and Council liaison meet to discuss the survey results and perspectives on any issues or opportunities to address. If appropriate, the group identifies next steps to address issues or opportunities.
- Next Council meeting after T: Council leadership shares with the full GNSO Council the survey summary report, key takeaways from the discussion, any next steps identified.

⁹² Linked to PDP 3.0 Improvement #6. See Expectations for Working Group Leaders & Skills Checklist

⁹³ Linked to PDP 3.0 Improvements #9 and #15, see Clarification to Complaint Process in GNSO Working Group, ICANN Org Resources for Conflict Resolution & Mediation

⁹⁴ If Council leadership and the Council liaison feel that is necessary to establish a target number of responses prior to launching the survey, they may want to consider that even if only a few responses are received and there is not enough data for a quantitative analysis, comments may have qualitative value.

- T + [length varies]: Council leadership, Council liaison, and PDP WG leadership complete any action items/next steps.
- T + [length varies]: If appropriate, Council leadership, Council liaison, and PDP WG leadership schedule additional discussions to follow up on progress related to action items and evaluate results.

F. Guidelines to Support Review

As Council leadership and the Council liaison consider inputs in preparation for the discussion with PDP WG leadership, they may want to consider the following questions:

- Have you personally observed any behaviors or issues in the PDP WG leadership team that you think should be addressed in a review?
- Have you received reports from WG members of behaviors or issues in the PDP WG leadership team that you think should be addressed in a review? If it is possible to assess the credibility of these reports, to what extent are they credible?
- Are there any patterns in the responses to the survey that point to an issue? Are there any individual comments in the survey results that raise sufficient concern that they should be analyzed or discussed further as part of the review?
- Are there issue areas in the monthly reporting that may be addressed through adjustments in the way PDP WG leadership team approaches facilitation of the WG process?
- If problems or areas of improvement are apparent based on answers to the above questions, is it already possible to identify next steps and resources to address the concern?

The following is a non-exhaustive list of issues that Council leadership and Council liaison could seek to address in the review process.

- There is substantial evidence that the PDP WG leadership team or an individual on the PDP WG leadership team:
 - Has difficulty facilitating goal oriented WG meetings aligned with the requirements of the WG's charter and workplan.
 - Is unable to effectively manage WG members' disruptive behaviors, and this is negatively impacting the ability of the WG to complete its work or is discouraging participation by a diverse set of members.
 - Is consistently unable to keep the WG on track to meet target deadlines.
 - Does not communicate effectively with WG members or respond to concerns raised by members.
 - Does not act in a neutral, fair, and objective manner in the context of the WG, for example by advocating for his or her own agenda or discouraging perspectives with which he or she disagrees.
- The Council leadership and Council liaison may further want to consider whether members of the PDP WG leadership team are able to work together effectively in a collegial manner as they manage the WG and communicate with members.

The next steps or mitigation strategy to address these issues could include the following (note that this is a non-exhaustive list):

- Identification of additional resources to support the PDP WG leadership team or an individual on the leadership team to help them be successful in the role.
- A verbal or written affirmation from the PDP WG leadership team or an individual on the leadership team that specific behaviors will be adjusted in the future.
- More frequent meetings between Council leadership, the Council liaison, and the PDP WG leadership team.
- More frequent WG member surveys to assess whether issues have been resolved.

G. Escalation

Under most circumstances, the review process will be a successful means to address any areas of concern or opportunities for improvement in a PDP WG leadership team. The following steps will take place:

1. Review is used to identify issues and develop a mitigation strategy.
2. Mitigation strategy is implemented.
3. Mitigation strategy is evaluated to determine if it is successful.
4. If successful, the PDP WG leadership team returns to a “normal” review cycle.

Under exceptional circumstances, it may be necessary for Council leadership to take additional action to mitigate a problem in the PDP WG leadership team. This may occur if there is evidence that the mitigation strategy is consistently unsuccessful over a period of time or in cases where a behavior or violation of procedure is particularly egregious. Under these rare circumstances it is within the authority of the GNSO Council as manager of the policy development process to request that one or more member(s) of the PDP WG leadership team step down, or under truly exceptional circumstances, to replace a member of the PDP WG leadership team or the full leadership team. This decision should not be taken lightly and is considered a measure of last resort if the Council believes that there are no other options available to ensure that the PDP can proceed in an effective and collegial manner.