Agenda

- Background
- Package 1 Improvements (#1, #2, #3, #6)
- Package 2 Improvements (#11, #12, #14, #16)
- Package 3 Improvements (#5, #13)
- Package 4 Improvements (#9, #15)
- Remaining Work Items
- Linkage with Multistakeholder Model Evolution
Background
Divided Into Five (5) Improvement Packages

GNSO Council initiative to **enhance the efficiency & effectiveness of PDPs**

Adopted **14 PDP 3.0 Improvements** on 24 October 2018

1. **#1** Terms of participation for WG members
   - **#2** Alternatives to open Working Group model
   - **#3** Criteria for joining of new members
   - **#6** Expectations for Working Group leaders

2. **#11** Enforce deadlines & ensure bite size pieces
   - **#12** Notification to Council of change in work plan
   - **#14** Criteria to evaluate request for data gathering
   - **#16** Criteria for PDP Working Group updates

3. **#5** Active role for and clear description of Council liaison to PDP Working Groups
   - **#13** Review of working group leadership

4. **#9** Provide further guidance for section 3.6 and clarification of section 3.7
   - **#15** Independent Conflict Resolution

5. **#4** Capture vs. consensus playbook
   - **#17** Resource reporting for PDP Working Group
GNSO Council Small Team supports the implementation efforts in collaboration with GNSO support staff; held 28 meetings since April 2019

GNSO Council Small Team

- Darcy Southwell (RrSG)
- Elsa Saade (NCSG)
- Flip Petillion (IPC)
- Marie Pattullo (BC)
- Maxim Alzoba (RySG)
- Pam Little (RrSG)
- Philippe Fouquart (ISPCP)
- Rafik Dammak (NCSG)

Background Package 1 Package 2 Package 3 Package 4 Remaining Linkage
Progress Overview

Dates of Package Delivery

Package 1
Delivered on
13 Aug 2019

Package 2
Delivered on
25 Sep 2019

Package 3
Delivered on
22 Oct 2019

Package 4
Delivered on
21 Nov 2019

Package 5
Pre SPS2020
Package 1 Improvements

#1 Terms of participation for Working Group (WG) members
#2 Alternatives to open WG model
#3 Criteria for joining of new members
#6 Expectations for WG leaders
## Package 1 Overview

| #1, #2, #3, #6 | **Expectations, Requirements, Participation**  
**Methods for GNSO Working Groups Members and Leaders** |

| **Statement of participation (#1)** | A document that seeks affirmative commitment from working group members before they can participate in a working group |
| **A comparison table of working group models (#2)** | A document that identifies three policy working group models, notes aspects for consideration during working group formation, and lists elements of different models that can be mixed and matched |
| **Criteria for joining of new members (#3)** | A document that provides additional clarifications for the GNSO Working Group Guidelines and outlines factors that a working group should consider in determining whether to accept new members after the start of the effort |
| **Working group member skills guide (#3)** | A document that lists resources, tips, and suggestions that help ensure new members are sufficiently prepared for full participation in a working group |
| **Expectations for working group leaders (#6)** | A tool that facilitates the working group’s selection and review of its leadership positions and helps a working group and the Council hold its leaders accountable |
Statement of Participation (#1)

- Working group members must agree to:
  - Cooperate with fellow members to reach consensus
  - Abide by working methods & rules of engagement
  - Treat all members with civility
  - Act in a reasonable, objective, and informed manner
  - Make best efforts to attend meetings & complete assignments
  - Act in accordance with ICANN Expected Standards of Behavior
  - Adhere to applicable conflict of interest policies
  - Adhere to Anti-Harassment Policy, Terms of Participation & Complaint Procedures

- Enforceability: Working Group leadership and GNSO Council leadership can restrict participation in the event of non-compliance

- EPDP Team serves as a pilot for this implementation
## Working Group Models Comparison (#2)

<table>
<thead>
<tr>
<th></th>
<th>Open Model</th>
<th>Representative Model</th>
<th>Representative &amp; Open Model</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Membership</strong></td>
<td>Open to all interested in participating + 1 neutral Chair</td>
<td>Appointed members and alternatives + liaisons + 1 neutral Chair + expert contributors</td>
<td>Appointed members and alternatives + liaisons + 1 neutral Chair + expert contributors</td>
</tr>
<tr>
<td><strong>Participants</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Observers</strong></td>
<td><img src="checkmark.png" alt="Yes" /></td>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
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<tr>
<td><strong>change to</strong></td>
<td><img src="checkmark.png" alt="Yes" /></td>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
</tr>
<tr>
<td><strong>members</strong></td>
<td><img src="checkmark.png" alt="Yes" /></td>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
</tr>
<tr>
<td><strong>Consensus</strong></td>
<td><img src="checkmark.png" alt="Yes" /></td>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
</tr>
<tr>
<td><strong>Designation</strong></td>
<td><img src="checkmark.png" alt="Yes" /></td>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
</tr>
<tr>
<td><strong>Process</strong></td>
<td>All members participate</td>
<td>Appointed members participate; Chair applies weight to positions of GNSO SGs/Cs, which should not be impacted by increased membership from one group</td>
<td>Appointed members participate; Chair applies weight to positions of GNSO SGs/Cs</td>
</tr>
<tr>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
<td></td>
<td><img src="checkmark.png" alt="Yes" /></td>
</tr>
</tbody>
</table>

As long as it does not affect upper limit.
### Other Aspects for Consideration (#2)

<table>
<thead>
<tr>
<th>Chair Selection</th>
<th>Option A</th>
<th>Option B</th>
<th>Option C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selected from WG by WG members</td>
<td>Confirmed by GNSO Council</td>
<td>Appointed by GNSO Council</td>
<td>with independent evaluation</td>
</tr>
<tr>
<td>Confirmed by GNSO Council</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Vice Chair(s) / Co-Chair(s)</th>
<th>Option A</th>
<th>Option B</th>
<th>Option C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determined by WG</td>
<td>Determined by Charter</td>
<td>Determined by Charter</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Selected by WG</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Appointment by GNSO Council</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>with independent evaluation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Member Expertise</th>
<th>Option A</th>
<th>Option B</th>
<th>Option C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Encouraged to have expertise</td>
<td>Required to have expertise</td>
<td></td>
<td></td>
</tr>
<tr>
<td>with independent evaluation</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Mix & Match**
Criteria for Joining of New Members (#3)

Working group leaders may decide to suspend new membership in consultation with the working group.

Possible circumstances include:
- WG is conducting consensus process for Final Report
- WG has progressed too far along in its work
- Someone wishes to join a Sub Team whose work has finished
- Levels of representation would be altered by new member

Possible exceptions include:
- An existing member wishes to stay involved after job change
- Replacement required to maintain the levels of representation

GNSO Council will not determine, but may provide advice on whether new members can join.
# Working Group Member Skills Guide (#3)

**Communications skills as the overarching skill set**

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Skill Requirements</th>
<th>Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contribute ideas &amp; knowledge</td>
<td>Knowledge of issue background &amp; work progress</td>
<td>GNSO Working Group Guidelines Section 4.1</td>
</tr>
<tr>
<td></td>
<td>Participation commitment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Agility in evolving situations</td>
<td></td>
</tr>
<tr>
<td>Develop WG documents</td>
<td>Knowledge of WG documents &amp; development process</td>
<td>Deliberations &amp; records of current WG + related</td>
</tr>
<tr>
<td></td>
<td>Research skills</td>
<td>WG(s)</td>
</tr>
<tr>
<td></td>
<td>Commitment to work &amp; collaboration</td>
<td></td>
</tr>
<tr>
<td>Liaise between WG &amp; GNSO SG/C</td>
<td>In-depth knowledge of WG progress</td>
<td>Deliberations &amp; records of WG</td>
</tr>
<tr>
<td></td>
<td>Understanding of SG/C’s interests</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Commitment to operating a “two-way-street”</td>
<td>Discussions with SG/C members</td>
</tr>
<tr>
<td>Develop GNSO SG/C statements</td>
<td>Project management skills</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ability to navigate ambiguous situations</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Support SG/C in statement drafting</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Knowledge of context / background</td>
<td></td>
</tr>
<tr>
<td>Participate in consensus decision making</td>
<td>Understanding of consensus concept &amp; process</td>
<td>GNSO Working Group Guidelines Section 3.6</td>
</tr>
<tr>
<td></td>
<td>Commitment to avoiding consensus blocking or re-litigating closed issues</td>
<td>PDP 3.0 Improvements #4, #9, #15</td>
</tr>
<tr>
<td></td>
<td>Decision-making skills</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ethical conduct &amp; integrity</td>
<td></td>
</tr>
</tbody>
</table>
Expectations for Working Group Leaders (#6)

✔ Encourage representational balance
✔ Encourage adherence to ICANN’s Expected Standards of Behavior & Community Anti-Harassment Policy
✔ Ensure WG documents represent the diversity of views
✔ Make consensus designation on working group recommendations
✔ Handle working group complaint process
✔ Be versed in GNSO Operating Procedures
✔ Assume a neutral and impartial role
✔ Build consensus
✔ Balance working group openness with effectiveness
✔ Make time commitment
Package 2 Improvements

#11 Enforce deadlines & ensure bite size pieces
#12 Notification to Council of change in work plan
#14 Criteria to evaluate request for data gathering
#16 Criteria for PDP Working Group updates
# Package 2 Overview

## Project Management Related Improvements

### GNSO project work product catalog (#11, #12, #16)

A list of staff-managed work products that help document and guide the progress of a working group from start to finish:
- Summary Timeline
- GNSO Council Project List
- Project Plan
- Work Plan & Action Items
- Fact Sheet
- Project Change Request

### Project status and condition change procedure & flowchart (#11, #12, #16)

A process that assists working group and Council leadership in assessing the state of a project and determining when disruptions require Council attention.

### Checklist: criteria to evaluate request for data gathering (#14)

A tool that assists PDP working group in performing its due diligence before submitting a data gathering request to the GNSO Council.
GNSO Project Work Product Catalog (#11, #12, #16)

1. **Summary Timeline**
   - Displays key deliverable dates; to be presented on a rolling 12 months basis; updates occur monthly/as required
   - Primary Audience: WG, GNSO Council, Community

2. **Next Generation Project List**
   - Contains summary, scope, composition, deliverable, tasks, status and condition
   - Primary Audience: WG, GNSO Council

3. **Project Plan**
   - A Gantt Chart with detailed view of tasks and deliverables; typically used within WG leadership
   - Primary Audience: WG, GNSO Council Leadership

4. **Work Plan & Action Item**
   - Tactical view of tasks, deliverables, and additional actions that typically occur no longer than two (2) months
   - Primary Audience: WG

5. **Fact Sheet**
   - For projects where dedicated funds are provided outside of budgeted policy activities; update monthly
   - Primary Audience: GNSO Council Leadership, Community

6. **Project Change Request**
   - A formal, written request to document changed parameters after the project was launched; need Council approval
   - Primary Audience: GNSO Council

---

**EPDP Team serves as a pilot to implement these work products**

Next Generation Project list presented to the GNSO Council since September 2019
Project Status & Condition (#11, #12, #16)

Status
Revolves mostly around the **scheduling** attributes and **resource** availability

- Planned
- On-Schedule
- Revised schedule
- Behind schedule
- Target will be missed
- On-hold

Condition
Overall **performance classification** of milestone achievement as compared to the original plan; carries a **heavier weighting**

- **On-Target:** Continue to review the Project Plan, Work Plan, Action Items & risks
- **At-Risk:** GNSO Council leadership should be notified; mitigation plan will be implemented
- **In-Trouble:** Full GNSO Council intervention is required
Package 2 Improvement Implementation Examples

For (#11, #12, #16) Display:

- Project list (PDP 3.0)
- Project change flowchart
- Project change request form
- Summary timeline (EPDP)
- Fact sheet example (EPDP)
### Phase 1: Issue Identification

- Title: GNSO Council Action Items [refer to list on wiki]
- Days: 0
- %Com: 0%
- S: -
- C: -

### Phase 1: Issue Identification

- Title: Expiring Registration Recovery Policy – Policy Review (ERRP_PR)
- Days: 0
- %Com: 0%
- S: -
- C: -

### Phase 2: Issue Scoping

- Title: Transfer Policy – Policy Review Scoping Team (TP_PRST)
- Days: 42
- %Com: 5%
- S: -
- C: -

- Title: Internationalized Domain Names Scoping Team (IDN_S)
- Days: 101
- %Com: 20%
- S: -
- C: -

### Phase 3: Initiation

- Title: RPM - IGO Curative Rights Work Track (RPM-IGO-CRPM)
- Days: 0
- %Com: 0%
- S: -
- C: -

- Title: WHOIS Procedure Implementation Advisory Group – (WPIAG)
- Days: 616
- %Com: 20%
- S: -
- C: -

### Phase 4: Working Group

- Title: EPDP: Expedited Policy Development Process – Phase 2 – (EPDP_P2)
- Days: 241
- %Com: 35%
- S: -
- C: -

- Title: Cross Community Working Group on New gTLD Auction Proceeds (CCWG_Auction)
- Days: 1330
- %Com: 85%
- S: -
- C: -

- Title: PDP: Review of All Rights Protection Mechanisms in All gTLDs (RPM)
- Days: 1336
- %Com: 60%
- S: -
- C: -

- Title: PDP: New gTLD Subsequent Procedures PDP (Sub_Pro)
- Days: 1379
- %Com: 75%
- S: -
- C: -

### Phase 5: Council Deliberations

- Title: GNSO Rights & Obligations under Revised ICANN Bylaws Drafting Team (RODT)
- Days: 1218
- %Com: 100%
- S: -
- C: -

### Phase 6: Board Vote

- Title: PDP: Curative Rights Protections for IGO/INGOs (IGO_INGO_CRP)
- Days: 1974
- %Com: 85%
- S: -
- C: -

- Title: Cross Community Working Group on Enhancing ICANN Accountability (CCWG_WS2)
- Days: 1222
- %Com: 90%
- S: -
- C: -

- Title: PDP: Protection of International Organization Names in All gTLDs (IGO_INGO)
- Days: 2541
- %Com: 80%
- S: -
- C: -

### Phase 7: Implementation

- Title: IRT: – Registration Data Policy Implementation (EPDP_P1) – (TempSpec)
- Days: 517
- %Com: 25%
- S: -
- C: -

- Title: IRT: Protection of International Organization Names in All gTLDs – Reconvened WG (IGO_RCRC)
- Days: 911
- %Com: 60%
- S: -
- C: -

- Title: Geo Regions Review (GEO)
- Days: 4102
- %Com: 80%
- S: -
- C: -

- Title: IRT: Privacy & Proxy Services Accreditation Issues (PPSAI)
- Days: 2541
- %Com: 85%
- S: -
- C: -

- Title: IRT: Translation & Transliteration of Contact Information (T/T)
- Days: 2185
- %Com: 50%
- S: -
- C: -

### Other

- Title: GNSO PDP 3.0 (PDP3_0)
- Days: 386
- %Com: 50%
- S: -
- C: -

- Title: GNSO Standing Committee on Budget and Operations (SCBO)
- Days: 17
- %Com: 3%
- S: -
- C: -

- Title: GNSO Standing Selection Committee (SSC)
- Days: -
- %Com: -
- S: -
- C: -

### STATUS: Planned  On-schedule  Revised schedule  Behind schedule  Target will be missed  On-hold

### CONDITION: On-Target  At-Risk  In-Trouble

**Last updated:** 31 October 2019
Other Projects

Title: GNSO PDP 3.0 (PDP3_0)

Description & Scope:
This group was formed after the Strategic Planning Session of the GNSO Council in Jan. 2019 building on work defined in 2018. The GNSO Council adopted the proposed GNOSO PDP 3.0 Final Report and improvements for implementation during its meeting on 24 October. Following adoption by the GNSO Council of the recommendations noted in the Executive Summary as having support of the Council as a whole, the Council has agreed to further develop and take action on the various proposed implementation strategies documented there.

Composition:
- Chair(s): n/a
- Council Liaison: Rafik Dammak
- Staff: A. Liang, S. Chan, M. Konings
- # Participants: 8 Members (link)
- # Observers: 0
- Tools: Mailing List / Meeting Schedule / Wiki
- Charter: n/a

Milestones/Work plan (link):

<table>
<thead>
<tr>
<th>Milestone/Task</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Start</td>
<td>Jan-19</td>
</tr>
<tr>
<td>#1 Terms of Participation</td>
<td>Aug-19</td>
</tr>
<tr>
<td>#3 Criteria for joining of new members after a PDP WG’s formation</td>
<td>Aug-19</td>
</tr>
<tr>
<td>#2. Consider alternatives to open WG model</td>
<td>Sep-19</td>
</tr>
<tr>
<td>#11. Enforce deadlines and ensure bite size pieces</td>
<td>Sep-19</td>
</tr>
<tr>
<td>#12. Notification to Council of changes in work plan</td>
<td>Sep-19</td>
</tr>
<tr>
<td>#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</td>
<td>Sep-19</td>
</tr>
<tr>
<td>#15. Independent conflict resolution</td>
<td>Nov-19</td>
</tr>
<tr>
<td>#16. Criteria for PDP WG Updates</td>
<td>Sep-19</td>
</tr>
<tr>
<td>#17. Resource reporting for PDP WGs</td>
<td>Dec-19</td>
</tr>
<tr>
<td>#8. Capture vs. Consensus Playbook</td>
<td>Oct-19</td>
</tr>
<tr>
<td>#9. Provide further guidance for sections 3.6 and clarification of section 3.7 (Appeal Process) (Standard Methodology for decision making)</td>
<td>Nov-19</td>
</tr>
<tr>
<td>#15. Active role for clear description of Council liaison to PDP WGs</td>
<td>Oct-19</td>
</tr>
<tr>
<td>Response to the “Next steps to improve the Effectiveness of ICANN’s Multistakeholder Model” public comment &amp; Engagement with Brian Cute</td>
<td>Nov-19</td>
</tr>
<tr>
<td>Council Webinar for detailed review of proposed implementation</td>
<td>Dec-19</td>
</tr>
<tr>
<td>Charter template revision incorporating proposed implementation of improvements</td>
<td>Dec-19</td>
</tr>
<tr>
<td>Mapping exercise to ensure consistency and linkage of related improvements</td>
<td>Nov-19</td>
</tr>
<tr>
<td>Input solicitation from the wider GNSO and ICANN community for proposed implementation</td>
<td>Dec-19</td>
</tr>
<tr>
<td>Dry run of proposed implementation of selected improvements for practicality checking</td>
<td>Dec-19</td>
</tr>
<tr>
<td>Finalization of proposed implementation documents for all improvements &amp; completion of the Final Report</td>
<td>Jan-20</td>
</tr>
<tr>
<td>Confirmation of the effective dates to implement all improvements</td>
<td>Jan-20</td>
</tr>
<tr>
<td>Planning for PDP 3.0 Phase 2</td>
<td>Jan-20</td>
</tr>
<tr>
<td>Confirmation that all in-scope recommendations have been implemented</td>
<td>Feb-20</td>
</tr>
<tr>
<td>Prior period % Complete</td>
<td>45%</td>
</tr>
</tbody>
</table>

Progress Status Condition

Status/Condition Rationale:
- The PDP 3.0 team re-evaluated, in June and August 2019, the tasks, duration and revised target dates for completion at SPS Jan 2020.
- The Condition of the project is On-Target as no issues or risks to the project have been identified.

Current Activities:
- The small team is continuing to review improvement drafts and has developed a revised work plan, targeting SPS Jan 2020 for completion of all work for this project. The small team is proceeding with its work based on its detailed work plan reviewed on 27 August 2019.
- Finalize Improvements #9 and #15 for submission to GNSO Council
- Initiate work/review on #17
- Engage with Brian Cute on the linkage between PDP 3.0 Implementation and Evolving ICANN’s Multistakeholder Model Project
- Solicit input from the GNSO Stakeholder Groups and Constituencies, as well as the wider ICANN community on the proposed implementation

Planned Activities:
- Planning a special webinar on 27 November for detailed review of proposed implementation
- Initiate GNSO PDP working group charter template revision
- Determine what work in this cycle is applicable post ICANN66 and for the SPS Jan 2020
- Planning for SPS Jan 2020

Open Issues, Risks & Mitigation Plan:
- #17 is at risk to meet the target date of delivery to the Councildue to the need to further clarify the expected deliverables and the additional time the small team needs to deliberate on the proposed implementation.

Completed in prior period(s):
- The small team distributed the proposed implementation documents for #5 and #13 to the Council for feedback.
- The small team’s most recent update took the form of a discussion topic on the GNSO Council meeting agenda in October 2019. The small team presented on proposed implementations that have already been delivered to the GNSO Council and the planned consultation mechanism.
- The small team met with Brian Cute for an ad-hoc call and provided details about how it organized its work and resources used to develop the proposed implementations.
Activity

Process Step

Sub-Process Step

Process Input

Off Page Reference

On Page Reference

Decision

Process Rule

Rule Text Here

Begin of Process

Process Flow

Diversion to External Process

Parallel Process

Terminator of Process

External Process not Active

Optional Process Step
Status & Condition Escalation Procedure

At a minimum, this procedure resets and executes monthly for each project.
Project Change Request Form

Project name:

Requested by: Date:

Change description:

Change reason:

Impact of change (complete for relevant categories):
- Scope:
- Budget:
- Timeline:
- Resourcing:
- Communications:
- Other:

Proposed action:

Estimated Associated cost, if applicable:
**EPDP Phase 2 - Summary Timeline**

**Project Management, Workplan, & Factsheet**

1. **EPDP-P2 Priority 1 Deliberations**
2. **Construct Initial Report**
3. **Public Comment on Initial Report**
4. **Public Comment prior to Board Consideration**
5. **Council Consideration of Final Report**
7. **Board Consideration**
8. **Priority 1 – Unplanned**

**Complete: 35% Status: Condition:**

(1) Items from priority 2 could be incorporated in the Initial / Final Report for priority 1, depending on their date of completion or presented separately.

(2) These phases of the project occur after the GNSO Council’s adoption of the Final Report, and will appear when the timeline advances there.
Overview:
Following the adoption by the ICANN Board of a temporary specification on gTLD Registration Data to enable contracted parties to continue to comply with existing ICANN contractual requirements and with community-developed policies as they relate to WHOIS, while also complying with the European Union’s General Data Protection Regulation (GDPR), a one-year policy development process was initiated to confirm whether or not the temporary specification should become a consensus policy.

The GNSO Council adopted the Final Report during its Special Council meeting on 4 March 2019 and provided its non-objection to the commencement of Phase 2.

Section I: Meeting Stats

<table>
<thead>
<tr>
<th>EPDP members + alternates</th>
<th>50</th>
</tr>
</thead>
<tbody>
<tr>
<td>Volunteer Participation Rate</td>
<td>91%</td>
</tr>
<tr>
<td>%</td>
<td>0% - 100%</td>
</tr>
</tbody>
</table>

- ICANN Org support (individuals involved at various times throughout WG): 11
- Face-to-face meeting days: 5 Meetings
- Calls (plenary and subteam): 70 Calls
- Volunteer meeting & call time: 2,967 Hours
- ICANN Org support time (cross-org estimated hours): 5,101 Hours

Section II: Financial Resources

<table>
<thead>
<tr>
<th></th>
<th>FY19,20 Direct Costs</th>
<th>FY19,20 Approved Budget</th>
<th>FY19,20 Budget Spent to Date(3)</th>
<th>Committed FY19,20 Services(4)</th>
<th>Remaining FY19,20 Budget</th>
<th>Actual Expenses: WG to Date</th>
<th>Total Spent and Committed to Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
<td>$-</td>
</tr>
<tr>
<td>Travel, Facility, &amp; Catering</td>
<td>$309,680</td>
<td>$57,693</td>
<td>$238,570</td>
<td>$13,417</td>
<td>$57,693</td>
<td>$296,263</td>
<td>$314,053</td>
</tr>
</tbody>
</table>

Total

- $774,444                      | $154,988              | $553,696               | $65,759                         | $154,988                    | $708,685                |

Section III: Milestones

### Project Management
10% of total effort

- Adopt charter
- Adopt work plan
- Assemble EPDP Team
- Prepare work products
- Manage Project Plan
- Develop EPDP Fact Sheet

### EPDP Deliberations
50% of total effort

- Assemble initial conclusions
- Populate discussion papers with findings and potential next steps
- Consolidate interim recommendations and findings
- Build Draft Report for public comment
- Approve Draft Report for public comment
- Issue report for public comment

### Initial Report
20% of total effort

- Review public comment input received and incorporate as appropriate
- Determine consensus levels on interim recommendations
- Finalize Report
- Adopt final recommendations and report
- Send final report to GNSO Council

### Final Report
20% of total effort

- 35.00% Completed

** Please refer to full project plan for detailed tasks and deliverables with their associated duration and assigned dependencies.

Wiki: https://community.icann.org/x/5Bd8f8g
## Checklist: Evaluate Request for Data Gathering (#14)

<table>
<thead>
<tr>
<th>Who</th>
<th>Working group leadership, in consultation with WG members &amp; staff, complete the <strong>data request form</strong> using the checklist</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>How</th>
<th>Answer the questions in checklist relevant to the sections in the data request form for evaluation by the GNSO Council</th>
</tr>
</thead>
</table>

### What (examples)

<table>
<thead>
<tr>
<th>Policy or issue being explored</th>
<th>Expected delivery date</th>
</tr>
</thead>
<tbody>
<tr>
<td>❑ What is the objective? What policy issue requires the need for data?</td>
<td>❑ What is the estimated timeline for the data gathering?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Issue to be solved</th>
<th>Resource estimation [by staff]</th>
</tr>
</thead>
<tbody>
<tr>
<td>❑ What problem will the data help resolve? Include examples.</td>
<td>❑ What are the potential methodologies for data gathering?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Data requirements [scope]</th>
<th>Budget considerations [by staff]</th>
</tr>
</thead>
<tbody>
<tr>
<td>❑ What type of data? What is the expected sample size?</td>
<td>❑ Is the budget allocated able to render the expected sample size?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Responsible team/data source</th>
<th>Data protection &amp; privacy</th>
</tr>
</thead>
<tbody>
<tr>
<td>❑ Does it require an independent third party to collect the data?</td>
<td>❑ Will the processing of data comply with applicable laws/regulations?</td>
</tr>
</tbody>
</table>
Package 3 Improvements

#5 Active role for and clear description of Council liaison to PDP Working Groups

#13 Review of working group leadership
### Package 3 Overview

#### #5, #13 | Review of Working Group Leadership and Guide for GNSO Council Liaison to PDP Working Groups

<table>
<thead>
<tr>
<th>Task</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New liaison briefing and liaison handover (#5)</strong></td>
<td>A tool that assists a new GNSO Council liaison to a PDP working group or an Implementation Review Team in getting up to speed with the liaison role and responsibilities generally</td>
</tr>
<tr>
<td><strong>GNSO Council liaison supplemental guidance (#5)</strong></td>
<td>A checklist that details job duties of a GNSO Council liaison to a PDP working group</td>
</tr>
<tr>
<td><strong>Regular review of PDP working group leadership by GNSO Council (#13)</strong></td>
<td>A process that helps the GNSO Council evaluate the performance of PDP working group leadership and address possible issues/opportunities identified</td>
</tr>
<tr>
<td><strong>PDP working group member survey on leadership performance (#13)</strong></td>
<td>An anonymous survey to be completed by PDP WG members and feed into the regular review of PDP working group leadership by the GNSO Council</td>
</tr>
</tbody>
</table>
New Liaison Briefing & Liaison Handover (#5)

Liaison to PDP
- Familiarize with GNSO Operating Procedures
- Connect with GNSO Staff

Liaison to IRT
- Familiarize with CPIF
- Connect with GDD Project Manager

- Review GNSO Council liaison role description
- Subscribe to mailing lists
- Add to leadership communication channels
- Review wiki, mailing list archive, briefing docs
- Request a catch-up call with support staff
- Participate in onboarding conference call

This document has already been used during the liaison handover calls for the New gTLD Subsequent Procedures & Rights Protection Mechanism PDPs
# GNSO Council Liaisons Supplemental Guidance (#5)

<table>
<thead>
<tr>
<th>Job Duty</th>
<th>When</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fulfill liaison role in a <strong>neutral manner</strong></td>
<td>Ongoing</td>
</tr>
<tr>
<td>Be a <strong>regular participant</strong> of WG meetings</td>
<td>As dictated by WG</td>
</tr>
<tr>
<td>Participate in regular <strong>meetings with WG leadership</strong></td>
<td>As dictated by WG</td>
</tr>
<tr>
<td>Report to Council on the <strong>WG progress</strong></td>
<td>Each Council meeting</td>
</tr>
<tr>
<td>Serve as an <strong>interim WG Chair</strong> until a Chair is named</td>
<td>As needed</td>
</tr>
<tr>
<td>Convey to Council on <strong>WG communications, questions, concerns</strong></td>
<td>As needed</td>
</tr>
<tr>
<td><strong>Inform WG leadership</strong> about Council activities impacting the WG</td>
<td>As needed</td>
</tr>
<tr>
<td>Refer to Council <strong>questions related to WG Charter</strong></td>
<td>As needed</td>
</tr>
<tr>
<td>Assist or engage when <strong>WG faces challenges</strong></td>
<td>As needed</td>
</tr>
<tr>
<td>Assist in case of <strong>abuse of ICANN's Expected Standards of Behavior</strong></td>
<td>As needed</td>
</tr>
<tr>
<td>Assist with <strong>knowledge of WG processes and practices</strong></td>
<td>As needed</td>
</tr>
<tr>
<td>Facilitate when there is <strong>disagreement regarding consensus designation</strong></td>
<td>As needed</td>
</tr>
</tbody>
</table>

**Ideas / best practices provided for each job duty**
Regular Review of Working Group Leadership (#13)

Objectives
GNSO Council to regularly check in with WG leadership and address possible issues / opportunities identified

Review Setup
- **New PDPs**: schedule of review established in the charter
- **Ongoing PDPs**: decided by Council/WG leadership & liaison
- Council leadership/liaison may initiate review in response to special circumstances

Review Inputs
- Verbal input
- Monthly reporting
- WG member survey
- Expectations for WG leaders
- Complaint about WG leadership

Review Process
**Staff-led**: Survey development & processing

**Council leadership & liaison-led**:
- Analysis of survey results & monthly report
- Recommendations on next steps
- Sharing of recommendations with Council
- Implementation & evaluation of next steps

Escalation
- GNSO Council requests that one or more member(s) of the WG leadership team to step down
- GNSO Council replaces a member of the WG leadership team or the full leadership team
Regular Review of Working Group Leadership (Cont.)

Questions to be Considered by Council Leadership & Liaison
- Have you personally observed any behavior or issues?
- Have you received reports from WG members?
- Are there any patterns in the responses to the survey?
- Are there issue areas in the monthly reporting?
- Is it already possible to identify next steps and resources to address the concerns?

Issues about WG Leadership to Address
- Has difficulty facilitating WG meetings aligned with charter/workplan
- Is unable to effectively manage disruptive behaviors
- Is consistently unable to meet target deadlines
- Does not respond to concerns raised by WG members
- Does not act in a neutral, fair, and objective manner
- Members of leadership team are unable to work together effectively

Guidelines to Support Review

Mitigation Strategy
- Additional resources
- Verbal/written affirmation for adjusting behaviors
- More frequent meetings with Council leadership/liaison
- More frequent WG member surveys
WG Member Survey on Leadership Performance (#13)

Q1 Facilitates goal-oriented working group meetings aligned with the requirements of the Working Group’s charter and work plan

Q2 Adequately manages disruptive behaviors such as raising irrelevant issues or reopening topics that have already been closed

Q3 Keeps the Working Group on track to meet target deadlines through discussion items or deliverables

Q4 Is responsive and effectively communicates with Working Group members

Q5 Ensures fair, objective treatment of all opinions within the Working Group

Q6 Is able to seek and identify a diversity of views within the Working Group

Q7 Works to identify common ground among members as well as areas of divergence, consistent with Section 3.6 of the GNSO WG Guidelines

Q8 Do you have any additional remarks that you would like to share?

Strongly Agree | Agree | Neutral | Disagree | Strongly Disagree | N/A
Package 4 Improvements

#9 Provide further guidance for section 3.6 and clarification of section 3.7

#15 Independent Conflict Resolution
<table>
<thead>
<tr>
<th>#9, #15</th>
<th><strong>Consensus Building &amp; Conflict Resolution</strong></th>
</tr>
</thead>
</table>
| **Briefing Document on the Concept of “Consensus” in the PDP (#9)** | A briefing document that explains the concept of “consensus” and references experience with consensus building in the Internet Engineering Taskforce (IETF)  
❖ This document will be absorbed by the consensus playbook to be developed under Improvement #4 |
| **Clarification to Complaint Process in GNSO Working Group Guidelines (#9)** | A guideline document that suggests detailed improvements to the complaint process within a GNSO working group, as well as proposed revisions to Section 3.7 of the GNSO Working Group Guidelines |
| **Independent Conflict Resolution (#15)** | A reference guide to conflict resolution resources available to the ICANN community |
Clarification to Complaint Process (#9)

❖ Addresses conflict arising from **behavior issues**

❖ Does not stop the **ongoing progress** in a working group

❖ Avoid any **litigation mindset** – strongly discourage representation by external legal counsel

❖ Does not deal with **consensus designation** by WG leadership

❖ Prevent escalation by implementing related PDP 3.0 improvements & other measures

GNSO Working Group Guidelines

Section 3.7

▪ Contributions to the WG are being **systematically ignored or discounted**

▪ Someone is **not performing their role** in the WG according to Section 2.2

▪ Wish to **appeal a decision** of WG or GNSO Council
Clarification to Complaint Process (Cont.)

1. Initiated within two (2) months of public knowledge of the ground(s) of complaint.

2. Specify the ground(s) of the complaint with supporting materials & rationale.

3. Must be succinct & not exceed 1,000 word-limit.

4. No new submission if another complaint based on the same ground(s) is still pending in any WG.

Criteria:
- Submit the complaint to WG leadership or Council liaison.
- WG leadership determines whether criteria has been met.
- Liaison may reassess.
## Clarification to Complaint Process (Cont.)

### Parties involved in the Complaint Process

<table>
<thead>
<tr>
<th>GNSO Council</th>
<th>ICANN Org</th>
<th>Ombudsman</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Council Leadership</strong>&lt;br&gt;act as one collegial body during the complaint process</td>
<td><strong>Legal</strong>&lt;br&gt;provide Bylaws interpretation &amp; suggest appropriate actions</td>
<td><strong>Ombudsman</strong>&lt;br&gt;may get involved at an appropriate time determined by WG leadership in consultation with the Council leadership, liaison, and Complaint Committee</td>
</tr>
<tr>
<td><strong>Council Liaison</strong>&lt;br&gt;status reporting; facilitation of issue resolution</td>
<td><strong>Complaints Officer</strong>&lt;br&gt;assist in handling complaints about staff performance</td>
<td>When disagreement cannot be resolved at the GNSO Council level, lodge the issue and engage with the Ombudsman</td>
</tr>
<tr>
<td><strong>Complaint Committee</strong>&lt;br&gt;current/former Councilors invited by WG leadership &amp; Council leadership/liaison</td>
<td><strong>Conflict Resolution Staff</strong>&lt;br&gt;act as a neutral party to share problem-solving responsibilities</td>
<td></td>
</tr>
</tbody>
</table>

### Decision Making Power | Advisory Role | Separate Mechanism

---

*Background Package 1 Package 2 Package 3 Package 4 Remaining Linkage*
Clarification to Complaint Process (Cont.)

Stage 1
Seek to resolve the issue with **WG leadership**, who will consult with liaison, Complaint Committee & other resources

Stage 2
Escalate the issue to **GNSO Council leadership**, who will consult with liaison, Complaint Committee, WG leadership & other resources

Stage 3
Officially lodge the issue and engage with **Ombudsman**, who will attempt to resolve it in a manner of his/her own choosing

❖ Decision makers have the discretion to **define specific procedures** (see “process flow” example)
❖ Decision & communication must be accomplished within a **reasonable period of time**
❖ Any party deemed **abusive** by the Complaint Committee shall be subject to a bar up to five (5) years
Independent Conflict Resolution (#15)

**Ombudsman**
Serves as an informal dispute resolution office for any member of the ICANN community

**Complaints Officer**
Handles complaints regarding ICANN org that do not fall into existing mechanisms

**Conflict Resolution Staff**
Facilitates dialogues where a consensus view may have slowed & provides conflict resolution guidance

**Legal**
Provides interpretation of ICANN Bylaws & suggests for appropriate actions

---

**Note**
- Establishment of a panel of volunteer mediators likely infeasible
- ICANN Org already has several in-house resources available to the GNSO
Remaining Work Items
Remaining Work Items

1. Complete Package 5 Improvements (#4 & #17)
2. Conduct GNSO & ICANN Community consultation
3. Incorporate feedback for proposed documents
4. Revise PDP Working Group charter template
5. Ensure consistency & linkage between related improvements
6. Dry run selected improvements

Deliver Final Report at SPS 2020

- Final documents & related work products for all 14 Improvements
- Confirmation of effective dates to deploy Improvements
- Planning for the next phase of PDP 3.0 (e.g., parking lot items, improvements not approved in ICANN63, etc.)
Linkage with Multistakeholder Model Evolution
### Linkage with Multistakeholder Model Evolution

<table>
<thead>
<tr>
<th>Issue 2</th>
<th>Issue 3</th>
<th>Issue 5</th>
<th>Issue 8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Precision in Scoping Work</td>
<td>Efficient Use of Resources and Costs</td>
<td>Representation, Inclusivity, Recruitment, and Demographics</td>
<td>Consensus</td>
</tr>
</tbody>
</table>

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>#11 Enforce deadlines and ensure bite size piece</td>
<td>#14 Criteria to evaluate request for data gathering</td>
<td>#1 Terms of participation for WG members</td>
</tr>
<tr>
<td>#12 Notification to Council of changes in work plan</td>
<td>#17 Resource reporting for PDP working group</td>
<td>#2 Alternatives to open Working Group model</td>
</tr>
<tr>
<td>#16 Criteria for PDP working group updates</td>
<td></td>
<td>#3 Criteria for joining of new members</td>
</tr>
<tr>
<td></td>
<td></td>
<td>#5 Active role for and clear description of Council liaison to PDP Working Groups</td>
</tr>
<tr>
<td></td>
<td>#6 Expectations for Working Group leaders</td>
<td>#4 Capture vs. consensus playbook</td>
</tr>
<tr>
<td></td>
<td>#13 Review of working group leadership</td>
<td>#9 Provide further guidance for section 3.6 and clarification of section 3.7</td>
</tr>
<tr>
<td></td>
<td></td>
<td>#15 Independent Conflict Resolution</td>
</tr>
</tbody>
</table>
Learn More

https://community.icann.org/x/v4rkBg