PDP 3.0 Implementation

GNSO Council Webinar
15 September 2020

Agenda

- **Opening Remark**

- **Working Group Dynamics**: Statement of Participation & Alternative Model

- **Working Group Leadership**: WG Leader Expectation & Liaison Role

- **Project Management:** Project Work Products & Change Request

- **Consensus Building**: Consensus Playbook Introduction

- **Closing Remark**

Opening Remark

Keith Drazek, GNSO Chair

Overview

14 incremental improvements aimed to **tackle 4 overarching challenges** and **enhance efficiency & effectiveness** of GNSO Policy Development Processes

1 Working Group Dynamics
Large groups; balance between input & decision

#1 Statement of participation

#2 Alternatives to open WG model

#3 Criteria for joining of new members

2 Working Group Leadership
Expectations & reviews; co-chairs coordination

#5 Active role for & clear description of Council liaison

#6 Expectations for WG leaders

#13 Review of WG leadership

3 Project Management
Project oversight and timeline adherence

#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 WG updates

#17 Resource reporting for PDP WGs

4 Consensus Building
Guidance needed; incentive to compromise

#4 Consensus Playbook

#9 Provide further guidance for section 3.6 and clarification of section 3.7 in GNSO WG Guidelines

#15 Independent Conflict Resolution

Deployed Work Products

Some work products have been applied to ongoing working groups

many are intended to be applied to new PDP working groups or invoked when circumstances warrant their application

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#4 Consensus Playbook

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#15 Independent Conflict Resolution

What is PDP 3.0

What is PDP 3.0?

✔ A non-prescriptive toolkit

✔ Additional guidance & guardrails

✔ Evolutionary and continuous improvements

What PDP 3.0 is not?

✖ Not intended to fix every multistakholeder model challenge

✖ Not an endpoint

Webinar Structure

Goal 1
Review purposes & examples of work products applied in ongoing GNSO WGs

Goal 2
Kick start GNSO Council's preliminary assessment of PDP 3.0 impact

Goal 3
Help SOs/ACs evaluate the applicability of PDP 3.0 improvements in their processes

Presenters

Facilitators

Participants

Rafik Dammak
GNSO Council Vice Chair

Melissa Allgood
ICANN Org

Keith Drazek
GNSO Chair

Pam Little
GNSO Council Vice Chair

Working Group Dynamics

Presenter: Rafik Dammak

Facilitator: Pam Little

Statement of Participation (#1)

Goal: Ensure that working group members are committed to working together to find consensus, respecting the ICANN Expected Standards of Behavior

I 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**
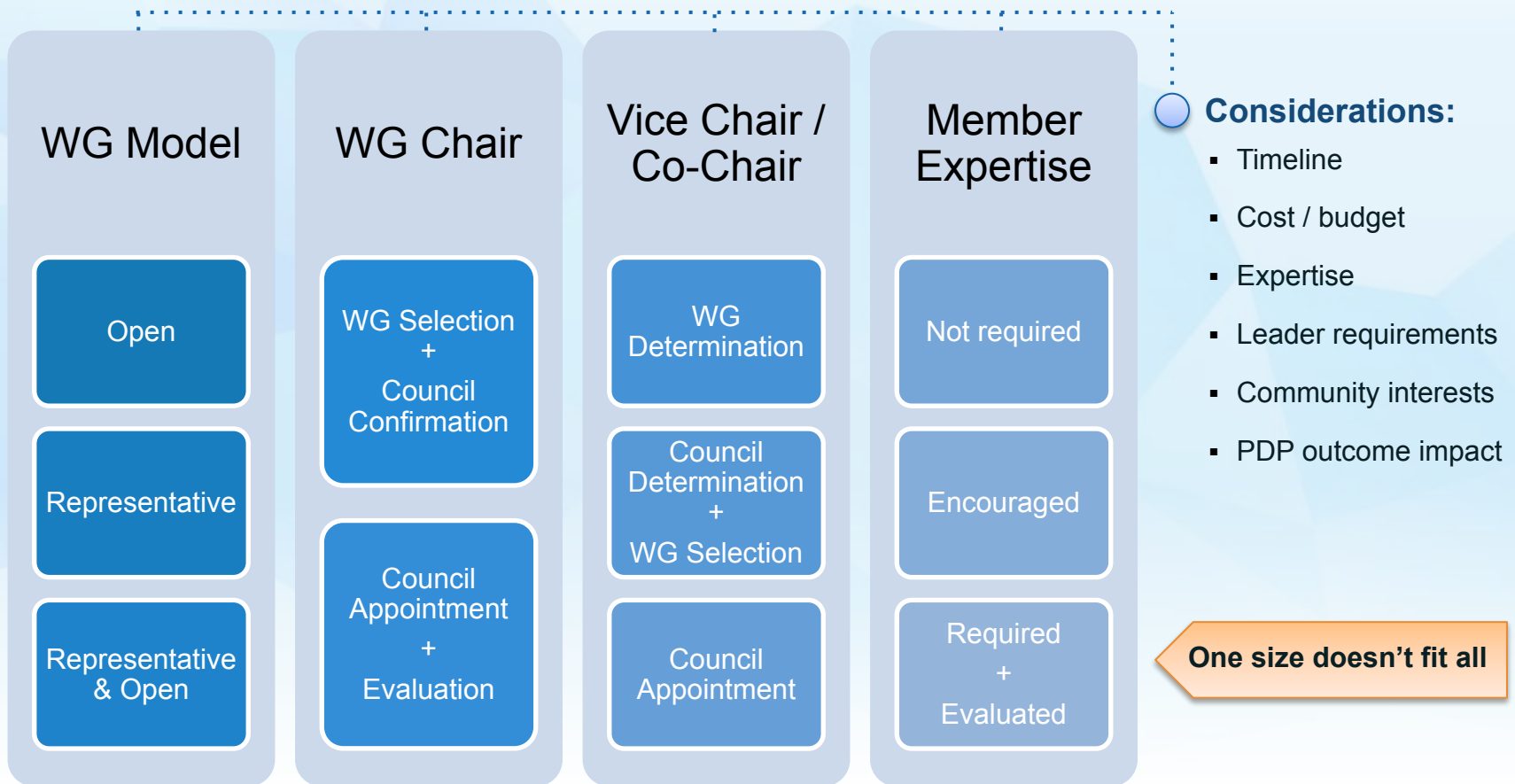
Enforceability

Leadership of WG & GNSO Council can restrict participation in the event of non-compliance of ICANN Expected Standards of Behavior

EPDP Team served as a pilot

- Require new members to affirm the commitments before they can participate

- Helpful for recruitment & setting expectation

- EPDP Team and GNSO Council haven't referenced it in the course of work due to lack of necessity

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Alternatives to Open WG Model (#2)

Goal: Identify a fit-for-purpose model that balances representation, inclusivity, expertise, empowerment, accountability, and participation.

WG Model	WG Chair	Vice Chair / Co-Chair	Member Expertise
Open	WG Selection + Council Confirmation	WG Determination	Not required
Representative	Council Appointment + Evaluation	Council Determination + WG Selection	Encouraged
Representative & Open		Council Appointment	Required + Evaluated

Considerations:
- Timeline
- Cost / budget
- Expertise
- Leader requirements
- Community interests
- PDP outcome impact

One size doesn't fit all

EPDP Team's Representative Model

Member
Represent the formal position of groups, not individual views

Participate in consensus calls

Members + Alternates		
Group	**Member ≤**	**Alternate ≤**
RySG	3	3
RrSG	3	3
IPC	2	1
BC	2	1
ISPCP	2	1
NCSG	6	3
GAC	3	3
ALAC	2	2
SSAC	2	2
ccNSO	2	2
RSSAC	2	2

Other Components
Leadership
1 Independent Chair
1 Vice Chair
Liaisons
1 GNSO Council
2 ICANN org (Legal + GDD)
2 ICANN Board
Expert Contributors
Professional Facilitator (CBI)
Legal Counsel (Bird & Bird)
Observers
Anyone can join as observers

Single Chair
Neutral, not counted a WG member

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Working Group Leadership

Presenter: Rafik Dammak

Facilitator: Keith Drazek

Expectations for Working Group Leaders (#6)

Goal: Ensure clear understanding of WG leader's responsibilities, qualifying skills, and commitments; facilitate leadership selection and review

Rules & Procedures

- Enforce compliance w/ ICANN Expected Standards of Behavior
- Ensure compliance w/ Community Anti-Harassment Policy
- Be versed in GNSO Operating Procedures
- Handle working group complaint process

Neutrality & Consensus

- Lead with neutrality & impartiality
- Build consensus
- Make consensus designation on WG recommendations

Diversity & Efficiency

- Encourage representational balance
- Ensure WG documents represent diverse views
- Balance openness with effectiveness

Time & Substance

- Make time commitment
- Contribute ideas and knowledges
- Develop WG documents

Work Hand-in-hand with:

- **Alternative to Open WG Model (#2)**: Leadership structure & selection
- **Regular Review of WG Leadership (#13)**: Performance review

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EPDP Team's Chair Selection

Staff published a request for EOI

↓

Council Leadership & Selection Committee reviewed responses

↓

GNSO Council affirmed the proposed EPDP Team Chair

↓   ↓

Kurt Pritz
Phase 1 Chair

Janis Karklins
Phase 2 Chair

Expression of Interest (EOI)

- ❑ What is your **interest in this position**?

- ❑ What particular **skills and attributes** do you have?

- ❑ What is your **knowledge of the Temporary Specification for gTLD Registration Data and associated requirements**?

- ❑ What is your **experience in and knowledge of the GNSO PDP and domain name registration process**?

- ❑ Are you able to **commit the time required and necessary work needed** to chair the EPDP?

- ❑ Do you have any involvement in any organization with any **financial or non-financial interest** in EPDP subject matter?

- ❑ Please include a statement confirming **commitment and ability to act neutrally**.

Role & Description of Council Liaisons (#5)

> **Goal:** Ensure optimal use of GNSO Council liaisons to help the Council manage PDPs & assist WG leadership as needed

Basic Expectations

- Fulfill role in neutral manner
- Participate in WG meetings regularly
- Participate in WG leadership meetings regularly

Conduit & Escalation

- Convey WG communications to Council
- Inform WG leadership about relevant Council activities
- Refer WG's questions about Charter to Council
- Assist with knowledge of WG processes and practices
- Assist when WG faces challenges
- Assist in case of "ICANN Expected Standards of Behavior" violation
- Facilitate resolution of disagreement regarding consensus designation

Reporting & Leadership

- Report to Council on WG progress
- Serve as interim WG Chair

Active Liaisons in GNSO PDPs

⚠️ **Fulfill role in neutral manner**

Handover Briefing

- ✔ Participate in WG meetings regularly
- ✔ Participate in WG leadership meetings regularly
- ✔ Report to Council on WG progress
- ✔ Inform WG leadership about relevant Council activities
- ✔ Assist when WG faces challenges

Supplemental Guidance

Rafik Dammak
Council Liaison to EPDP

Flip Petillion
Council Liaison to SubPro

John McElwaine
Council Liaison to RPMs

- ✔ Serve as interim Chair (& Vice Chair)
- ✔ Convey WG communications to Council
- ✔ Refer WG's questions about Charter to Council

- ✔ Assist with knowledge of WG processes and practices
- ✔ Assist in case of abuse of ICANN Expected Standards of Behavior

Project Management
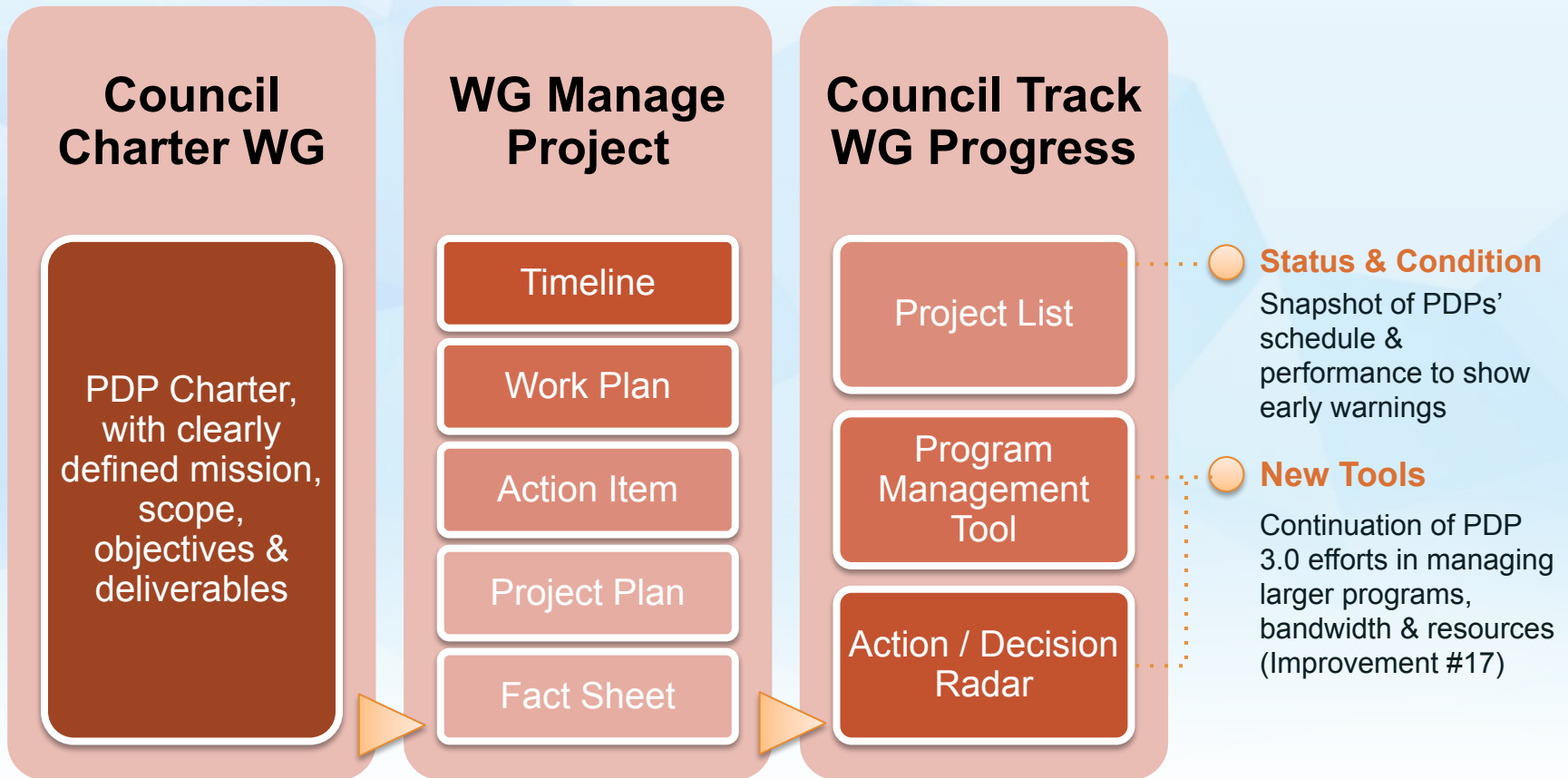
Presenter: Rafik Dammak

Facilitator: Pam Little

Project Work Products (#11 & #16)

Goal: Ensure clear expectations for deliverables and manageable scope of work; ensure a standardized set of materials for tracking progress

Council Charter WG

PDP Charter, with clearly defined mission, scope, objectives & deliverables

WG Manage Project

- Timeline
- Work Plan
- Action Item
- Project Plan
- Fact Sheet

Council Track WG Progress

- Project List
- Program Management Tool
- Action / Decision Radar

Status & Condition
Snapshot of PDPs' schedule & performance to show early warnings

New Tools
Continuation of PDP 3.0 efforts in managing larger programs, bandwidth & resources (Improvement #17)

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Project List & Action/Decision Radar (#11 & #16)

Project List

ADR

Last updated: 17 Aug 2020

PHASE	PROGRAM	PROJECT	CODE	DAYS	%COMP	STATUS	HEALTH	LINK
0 - Planning	Operations	Program Planning + Action Decision Radar	ADR			■ (purple)	-	LINK
1 - Issue Identification	Operations	GNSO Council Action Items	A-Is			-	-	LINK
1 - Issue Identification	Transfers	Transfer Policy – Issue Report	TP-IR			●	■	LINK
2 - Issue Scoping	RDS	WHOIS Procedure Implementation Advisory Group	WPIAG			▨	▨	LINK
3 - Initiation	gTLD	Internationalized Domain Names	IDN_WG			●	■	LINK
4 - Working Group	IGO	PDP: RPM - IGO Curative Rights Work Track	RPM-IGO-CRPM	210	0%	●	■	LINK
4 - Working Group	RPM	PDP: Review of All Rights Protection Mechanisms in All gTLDs	RPM	1630	60%	◉	■	LINK
4 - Working Group	gTLD	PDP: New gTLD Subsequent Procedures PDP	SubPro	1673	75%	◉	■	LINK
5 - Council Deliberations	RDS	EPDP: Temporary Specification on gTLD Registration Data - Phase 2	EPDP_P2	535	97%	◉	■	LINK
6 - Board Vote	IGO	PDP: Curative Rights Protections for IGO/INGOs	IGO-CRPM	2268		◉	▨	LINK
6 - Board Vote	IGO	PDP: Protection of International Organization Names in All gTLDs	IGO-INGO2	2835		◆	■	LINK
7 - Implementation	RDS	IRT: Registration Data Policy Implementation	EPDP-P1	811		◉	■	LINK
7 - Implementation	RDS	IRT: Privacy & Proxy Services Accreditation Issues	PPSAI	2835		▨	■	LINK
7 - Implementation	RDS	IRT: Translation/Transliteration of gTLD Registration Data	T&T	2479		▨	■	LINK
Other	Accountability	Independent Review Process - Implementation Oversight Team	IRP_IOT			-	-	LINK
Other	Accountability	Cross Community Working Group on Enhancing ICANN Accountability	WS2			-	-	LINK
Other	Accountability	Geo Regions Review	GEO			-	-	LINK
Standing Committee	Operations	GNSO Standing Committee on Budget and Operations	SCBO			-	-	LINK
Standing Committee	Operations	GNSO Standing Selection Committee	SSC			-	-	LINK

STATUS: ■ Planned ● On-schedule ◉ Revised schedule △ Behind schedule ◆ Target will be missed ▨ On-hold

HEALTH: ■ On-Target ■ At-Risk ■ In-Trouble

https://gnso.icann.org/en/council/project

Program	Range Marker / Action / Decision	Level of Effort WBS
	Unplanned	

gTLD	• Council to determine next steps, if any, on DNS Abuse. (on Action Items)
	  ○ Council Leadership to review topic with SO/AC Leaders
	  ○ Council Leadership to discuss topic with CCNSO
	  ○ Council to monitor the Domain Name System Security Facilitation Initiative Technical Study Group
		Moderate-High

	0 Month to 1 Month	

RDS	• Staff to engage GDD and Legal on Rec#27 Wave 1 report for those items that require terminology update [MEDIUM]:
	  ○ confirm urgency of policies requiring terminology update
	  ○ confirm bandwidth of GDD and IRTs
	  ○ confirm approach of redlines with IRT, public comment, and posting of revised consensus policies
	  ○ (on Action Items)
		Moderate 1.1.5

gTLD	• Council to confirm IDN Operational Track 1 & Policy Track 2 approach (on Action Items, Project List) • Council to form small team to draft charter for IDN Track 2 activities • Council to coordinate with CCNSO (Track 3)	Moderate 1.3.3 1.3.3.2.1
IGO	• Council to launch of RPM-IGO-CRPM with call for volunteers and seek Chair (on Action Items, Project List)	Moderate 1.6.1.3
Accountability	• Council to organize community sharing webinars on PDP3.0 in context of the Evolution of Multistakeholder model • Council to monitor for assignments related to the Evolution of Multistakeholder model • (on Action Items)	Moderate 1.7.3.1
RDS	• Council to consider EPDP-P2 Final Report (on Project List)	High 1.1.1.2

RDS	• Council to consider EPDP-P2 Remaining Items (Legal vs. Natural, Unique Contact Email, Accuracy) (on Action Items)
	  ○ Council to decide to extend Phase 2 to cover Legal vs. Natural + Feasibility of Unique contacts
	  ○ Council to decide how to address policy topic of Accuracy and related topics via PDP/EPDP
	    ▪ Council to consider RecCC.1 to be included as additional work within EPDP-P2 remaining items (Accuracy)
	    ▪ Council to consider next steps on EPDP-P1 Rec27 Wave 1 Restored Names Accuracy Policy (RNAP) [LOW] to be included as additional work within EPDP-P2 remaining items (Accuracy)
	    ▪ Council to consider next steps on EPDP-P1 Rec27 Wave 1 Whois Data Reminder Policy (WDRP) [MEDIUM] to be included as additional work within EPDP-P2 remaining items (Accuracy) or separate Policy Status Report
		High 1.1.2.1 1.1.2.2 1.1.3.1 1.1.5.16.2.1

Operations	• Council to decide when to launch review of Policy & Implementation recommendations review and use	Moderate 1.9.1.1
	1 Month to 3 Months	

RDS	• Council to act on Whois Procedure for Handling Whois Conflicts with Privacy; also identified as part of EPDP-P1 Rec27 Wave 1 report and possible next steps:
	  ○ Engage IAG of on terminology updates and determine if policy changes are necessary and/or if the procedure is fit for purpose.
	  ○ Council to monitor small team and review adopted charter and/or launch a fresh call for volunteers for an IAG.
		Moderate 1.1.5.9

RDS	• Council to monitor EPDP-P1 IRT potential impasse on Phase 1 Rec #7 and if it conflicts with Thick Whois consensus policy	TBD 1.1.4
RDS	• Council to consider and determine next steps for EPDP-P1 Rec27 Wave 1 report on how to address policy issues for Thick Whois Transition Policy + Consistent Labeling and Display Policies	High 1.1.5.6 1.1.5.10
Accountability	• Council to consider what is required of the GNSO to implement WS2 recommendations (on Action Items, Project List) ○ Small team to review WS2 next steps • Council to determine what is required of the GNSO to implement the GEO Regions review (on Project List)	Moderate 1.7.2.1 1.7.2.2
RDS	• Council to consider EPDP-P1 Rec#27 Wave 1.5 report	TBD 1.1.6
RDS	• Council to consider EPDP-P1 Rec#27 Wave 2 report	TBD 1.1.6
RDS	• Council to engage with GDD on restart of PPSAI IRT (on Project List)	Moderate 1.1.7.1

http://go.icann.org/ADR_Aug2020

Project Change Request (#12)

Goal: Enhance accountability of PDP WGs and oversight by Council

⚠️ *When milestone delivery date is expected to __change__, PDP WG to submit a __formal request__ to Council for project change approval, with rationale & impact assessment*

Behind Schedule | Target be missed | At-Risk | In-Trouble
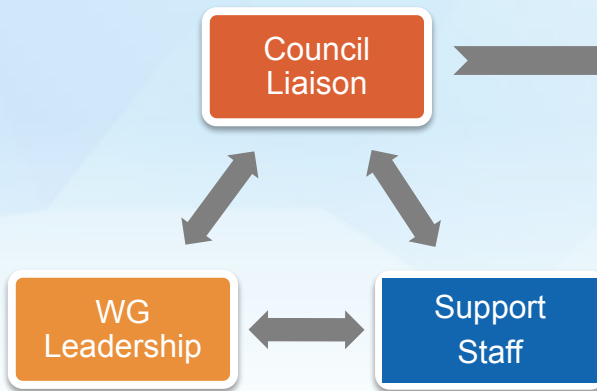
ICANN | GNSO
Generic Names Supporting Organization

Project Change Request Form — Severity: [LOW MED HIGH]

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:

Council Liaison → GNSO Council

WG Leadership ↔ Support Staff

PDP Timelines

- All PDPs used project work products & submitted Project Change Request (PCR)

- **EPDP used these tools most rigorously & finished within a much shorter period**
  <u>other contributing factors</u>: clear charter, alternative model, single neutral chair, specific budget, F2F meetings, etc.

Calendar Years		EPDP Total Duration		
2016	2017	2018	2019	2020	2021

EPDP Phase 1 — 100%
EPDP Phase 2 — 100%
RPMs PDP — 90% — Work Remaining
SubPro PDP — 85%

PCR approved
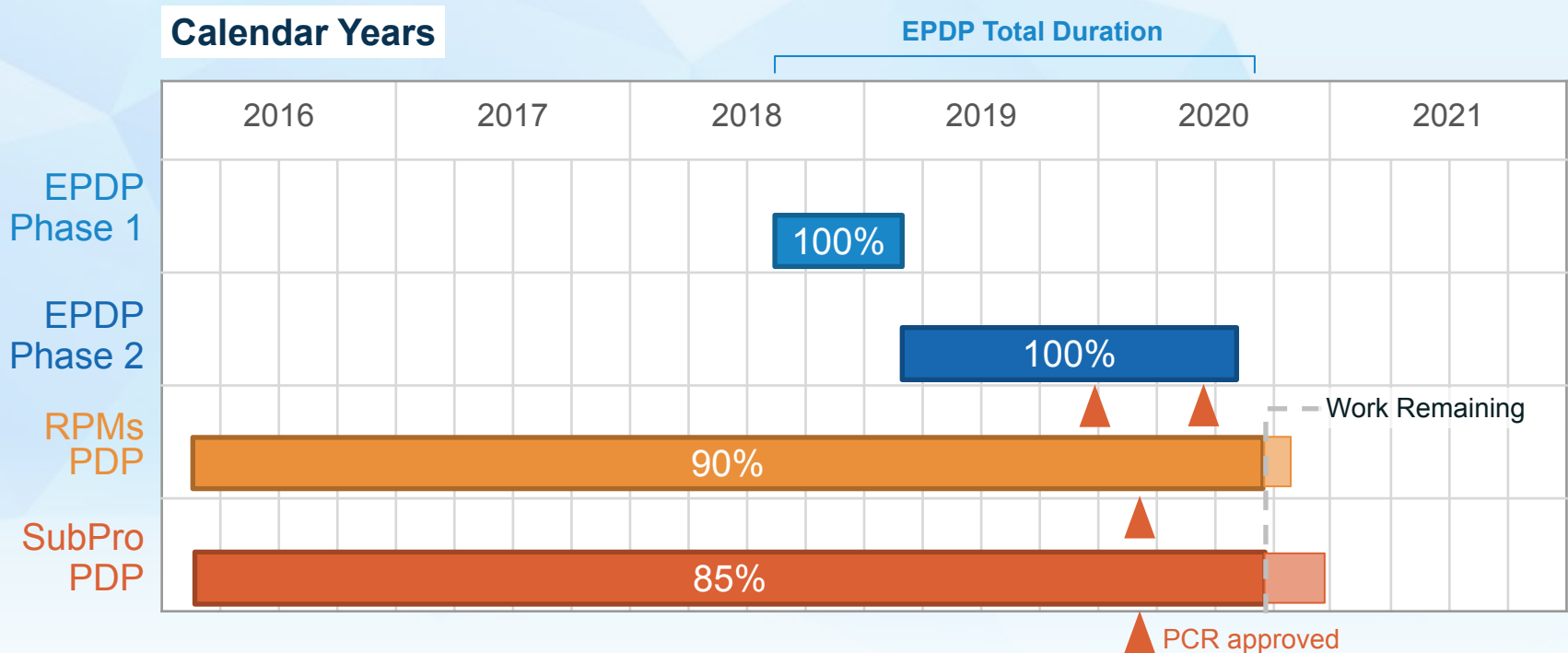
Consensus Building

Presenter: Melissa Allgood

Origins of the Consensus Playbook

Jan 2019 – GNSO Council submitted ABR to Org for development of the playbook

Apr 2019 – ABR approved contingent on the playbook applying to wider community

Dec 2019 – CBI selected as the experts to develop the playbook

Jan ~ Feb 2020 – CBI conducted community interviews and research

Mar ~ Apr 2020 – CBI consulted with Org staff; soft launch for feedback

Final Consensus Playbook

Consensus Playbook

Techniques for Building Consensus within the ICANN Community

Developed by the Consensus Building Institute (CBI.org)

http://go.icann.org/consensus

Consensus Playbook

IT IS:

- **A practical tool kit of best practices for building consensus, bridging differences & breaking deadlocks**

- **A resource guide to be used start to finish OR play by play**

IT IS NOT:

- **A change to the definitions of consensus or methods of decision making**

- **A new set of rules or procedures**

Using the Consensus Playbook

2 APPROACHES

Start to Finish: 15 Plays, used start to finish, can guide the consensus journey is a strategic and deliberate manner
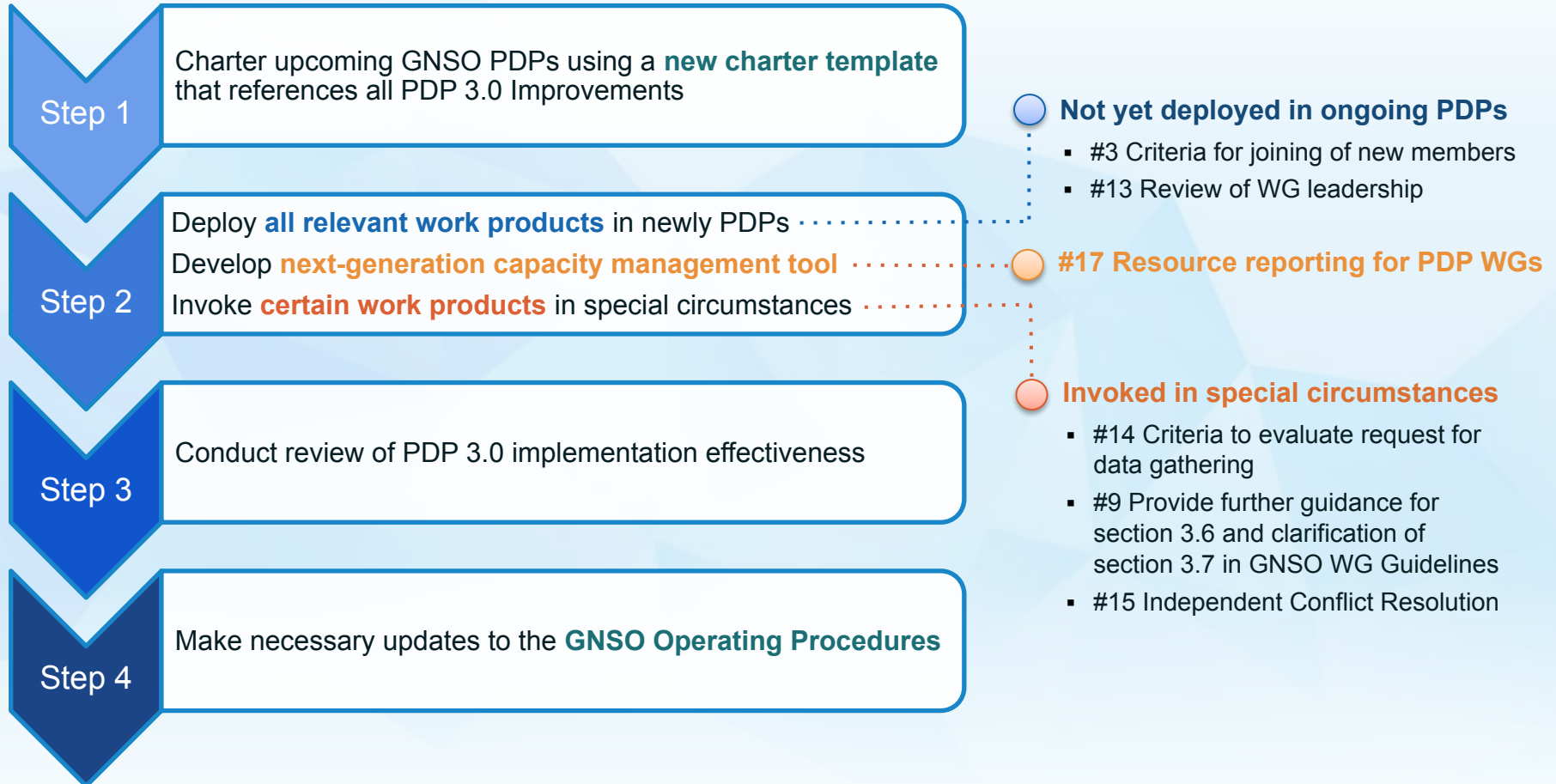
- ✔ Create a culture of consensus
- ✔ Provide insight into creating transparent expectations and structure early in the working group process
- ✔ Build trust within the group

Play by Play: Allows communities to address specific issues impacting their consensus journey

- ✔ Practical tools and strategies that can be implemented at any time

Closing Remarks

Next Steps

Step 1 — Charter upcoming GNSO PDPs using a **new charter template** that references all PDP 3.0 Improvements

Step 2
Deploy **all relevant work products** in newly PDPs
Develop **next-generation capacity management tool**
Invoke **certain work products** in special circumstances

Step 3 — Conduct review of PDP 3.0 implementation effectiveness

Step 4 — Make necessary updates to the **GNSO Operating Procedures**

Not yet deployed in ongoing PDPs
- #3 Criteria for joining of new members
- #13 Review of WG leadership

#17 Resource reporting for PDP WGs

Invoked in special circumstances
- #14 Criteria to evaluate request for data gathering
- #9 Provide further guidance for section 3.6 and clarification of section 3.7 in GNSO WG Guidelines
- #15 Independent Conflict Resolution

PDP 3.0 Work Products

https://gnso.icann.org/en/council/procedures