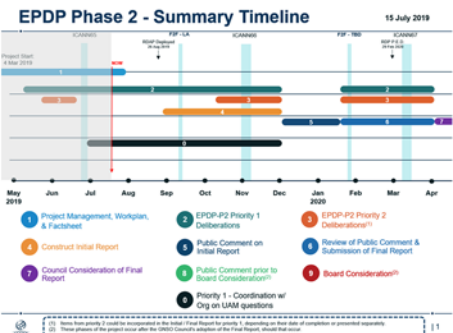


GNSO Project Status and Condition Framework¹

Setting the Status and Condition of a project is determined through collaboration with group leadership and staff. This practice should occur at least once a month and in preparation for the GNSO Council monthly meeting where At-Risk or In-Trouble projects are subject to review by GNSO Council leadership and in some instances may be deliberated by the full GNSO Council. The project management work products described below will be managed by staff as necessary to guide and document the project from start to finish. Note, that the bulk of these apply to projects initiated by the GNSO Council and only after the charter has been adopted. The only exception is the Project Situation Report, which contributes to the full Project List. This full set of work products will be managed at least until such GNSO recommendations are reviewed and adopted by the ICANN Board.

Most importantly, this collection of work products should be thoroughly reviewed and updated frequently when the project enters an “In-Trouble” condition and they should be reset only after a formal Project Change Request has been adopted by the GNSO Council should there be agreement that the project continue forward.

While these work products are used by the GNSO Council to manage the Status and Condition of the project, certain types are also useful for Project Communications strategies to the broader community. These will be posted on their respective Wiki pages to be consumed by the full community on-demand and as refreshed versions are published. Project leadership teams should consider combining all of the work products into a single package in preparation for ICANN meetings or dedicated face-to-face sessions for their respective group.

Work Product	Example
<p>Summary Timeline – a high-level, simple Gantt view of key deliverable dates for the primary phases of the project including engagement opportunities such as ICANN meetings or dedicated face-to-face sessions. The summary timeline will typically be presented on a rolling twelve month. The duration of The project will determine if it can be displayed (typically, 12 months or less) on the slide. Updates should occur monthly or to the extent change is required, but in most cases the changes should only reflect that a month of time has passed. Changes made in the Project Plan will dictate phase or deliverable dates presented. Changes from the baseline will be reflected.</p> <p>WP Owner: Staff, Working Group leadership Update Cycle: Monthly, ad-hoc Primary Audience: Working Group, GNSO Council, Anyone</p>	 <p>The Gantt chart titled "EPDP Phase 2 - Summary Timeline" shows a project starting in May 2019 and ending in April 2020. The timeline is divided into months. Key milestones are marked with vertical lines: "Project Start" (May 2019), "Final Report" (Oct 2019), "Final Report" (Jan 2020), and "Final Report" (15 July 2019). The chart includes a legend with 8 items: 1. Project Management, Workplan, & Facilitator; 2. EPDP-P2 Priority 1 Deliverables; 3. EPDP-P2 Priority 2 Deliverables; 4. Construct Initial Report; 5. Public Comment on Initial Report; 6. Public Comment prior to Board Consideration; 7. Council Consideration of Final Report; 8. Board Consideration. The chart also includes a note: "These phases of the project occur after the GNSO Council's adoption of the Final Report, should that occur."</p>

¹ This package of work products is meant to satisfy PDP3.0 Implementation Plan, Recommendation #16. They further satisfy part of Recommendation #11 to Enforce Deadlines, as they help promote a regimented structure at the task level and ultimately influence the Status and Condition of the project.

Work Product

Example

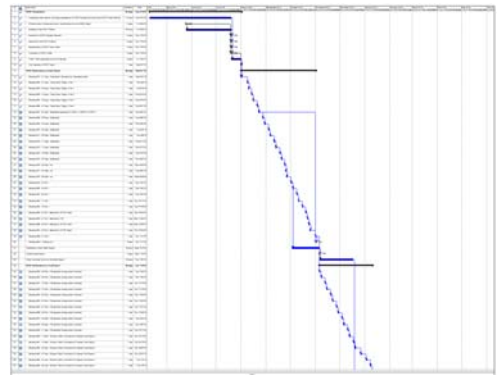
Project Situation Report – this work product is a copy of the project document presented in the GNSO Council’s Project List to enhance status reporting consistency to broader GNSO. It contains the project summary, scope, composition, summary, and deliverables/milestones. The lower section describes in more detail the current, planned, and completed tasks. The Status and Condition codes are the primary feature, and it’s complimented by an escalation process (described later) where At-Risk or In-Trouble projects can be properly managed.



The work products below will also act as aids in determining the appropriate position of the project in terms of schedule, resources, tasks, activities, and action items.

WP Owner: Staff, Working Group leadership + Liaison
 Update Cycle: Monthly, ad-hoc
 Primary Audience: Working Group, GNSO Council

Project Plan – this work product is a detailed view of the project’s tasks and deliverables from beginning to end. The project typically begins with the adoption of a group’s charter. The preferred tool for managing the project is a Gantt Chart style that contains all detailed tasks to be accomplished in between major milestones in a manner that also identifies dependencies and duration of each task. The Gantt chart is an effective tool to demonstrate impacts when key deliverable dates are missed that may impact the critical path. The consumption of this work product typically only occurs within the Working Group leadership team. However, periodic review with the full group should occur, especially when deliverable dates are in jeopardy of being missed. In some cases, this work product should be reviewed and approved by the GNSO Council shortly after the charting phase of the project if not alongside it.



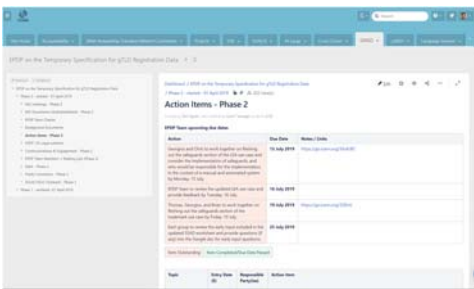
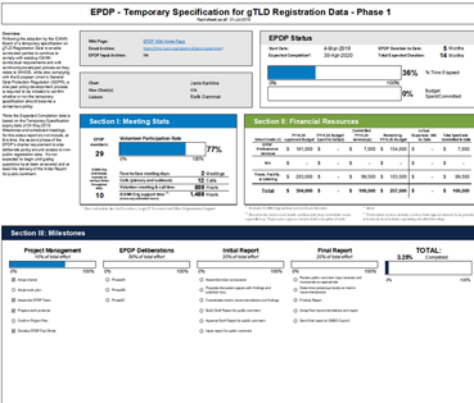
This work product acts primarily as the input to the Status, Condition and % Complete reporting features on the Project Situation Report above.

WP Owner: Staff, Working Group leadership
 Update Cycle: Weekly as required
 Primary Audience: Working Group, GNSO Council leadership

Work Plan – this work product presents a tactical view of the tasks and deliverables for the group. Unlike the Gantt, it takes a simple form of a table listing the task, who is assigned, when it was assigned, due dates, and notes related to the task. In most cases, this should only contain those activities that occur the next several weeks and no longer than two months as to maintain focus on the current tasks. This work product is used frequently within the working group and managed by the leadership team.

Task	Assigned To	Start Date	Due Date	Notes
1. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-07-01	2014-07-15	
2. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-07-16	2014-07-30	
3. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-08-01	2014-08-15	
4. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-08-16	2014-08-30	
5. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-09-01	2014-09-15	
6. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-09-16	2014-09-30	
7. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-10-01	2014-10-15	
8. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-10-16	2014-10-30	
9. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-11-01	2014-11-15	
10. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-11-16	2014-11-30	
11. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-12-01	2014-12-15	
12. Review the addition to the GNSO Council of a temporary specification of gTLD registration fees - Phase 2 (RFP #10)	Staff	2014-12-16	2014-12-30	

WP Owner: Staff, Working Group leadership
 Update Cycle: Weekly as required
 Primary Audience: Working Group

Work Product	Example
<p>Action Items – this work product tracks additional actions usually identified in the course of group deliberations. These are typically not identified with the Gantt chart or work plan, but should be managed with the same discipline as identified tasks in the plan. Note though, this unplanned work can impact planned tasks as it consumes available bandwidth. As such, care should be exercised when creating these and consider adjusting deliverable dates if action items grow. Like the Work Plan, this work product is used within the group and managed by the group’s leadership team.</p> <p>WP Owner: Staff, Working Group leadership Update Cycle: Weekly as required Primary Audience: Working Group</p>	
<p>Fact Sheet² – this work product is primarily used for projects with dedicated funds and acts as an overall communications vehicle. It displays the status, activities, milestone completion, and a summary of the financial resources. The project leadership team, as well as the Project Cost Support Team will manage and update the Fact Sheet with the assistance of staff. This work product will predominately be part of the project communications package and should be updated at least monthly. Note, projects that do not have dedicated financial resources, may utilize the resource and activity features of the Fact Sheet without using this work product.</p> <p>WP Owner: PCST Update Cycle: Monthly as required Primary Audience: GNSO Council leadership, Anyone</p>	
<p>Project Change Request³ – A Project Change Request (PCR) change request is a request to increase, decrease or modify any document, deliverable, or baseline. It is a formal, written request that is invoked within the Status and Condition escalation procedure. It’s used to document changed parameters of the project that have been agreed to or re-baselined after the project was launched. Note, the use of the PCR only occurs when primary deliverable dates are changed due to unforeseen or extreme circumstance. The proper execution of the escalation process should prevent the PCR from being required and the project team should consider using this form when small but still substantial changes occur to enhance project documentation.</p> <p>When the PCR is required, it should be completed by the leadership teams and it will likely be presented to the Council for approval.</p> <p>WP Owner: Staff, GNSO Council leadership, Working Group leadership, and Liaison Update Cycle: As dictated per the Escalation Procedure Primary Audience: GNSO Council</p>	<p>PDP Change Communication Form</p> <p>PDP name: <input type="text"/></p> <p>Requested by: <input type="text"/> Date: <input type="text"/></p> <p>Change description: <input type="text"/></p> <p>Change reason: <input type="text"/></p> <p>Impact of change (complete for relevant categories):</p> <ul style="list-style-type: none"> • Scope: <input type="text"/> • Budget: <input type="text"/> • Timeline: <input type="text"/> • Resourcing: <input type="text"/> • Communications: <input type="text"/> • Other: <input type="text"/> <p>Proposed action: <input type="text"/></p> <p>Associated cost, if applicable: <input type="text"/></p>

² This work product is currently under development to compliment Working Group Enrollment and Attendance management Salesforce solution. Dedicated funding of groups is not typical (EPDP), but aspects like activity metrics, resource forecasting, milestone achievement and project status features will be available to all groups. This will centralize and optimize project management and reporting due to enhanced consistency.

³ This work product is also identified in PDP3.0 Implementation Plan, Recommendation #12 “Advise PDP leadership teams and liaisons that any changes to timeline or deliverables are expected to be communicated to the Council for approval,” see also the Status and Condition Escalation Procedure

Project Status and Condition Escalation Procedure

An escalation procedure defines specific conditions that trigger the execution of a repeatable mitigation plan which contains a set of tasks that can return the project to an acceptable state ultimately achieving its planned outcome or is terminated if a positive return can no longer be realized. Considering the triple constraints of any project (time, scope, cost), often a singular view and status indicators of that view are not adequate enough to effectively manage or mitigate risks before they impact the delivery schedule. GNSO initiated projects will adopt a binary view for reporting managing position of a project:

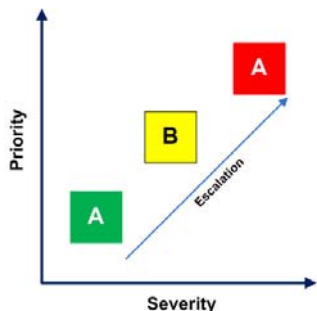
Status – The Status of the project revolves mostly around the scheduling attributes and resource availability. Maintaining an on-time schedule is one of the most challenging components of project management, especially in the policy development arena. Establishing adequate task duration often offers more flexibility to adjust and make up time, especially when appropriate slack is configured into the schedule. Note, that status can also be influenced by external factors such as competing demands for community resources for other in-flight projects. The GNSO will use the following Status codes:

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

Condition – The Condition is an overall performance classification of milestone achievement as compared to the original plan. There are other issues separate from schedule or resource constraint that may impact a project and consequently jeopardize the delivery of the full project on-time or on-budget. Thus, the Condition in most cases carries a heavier weighting or greater influence than the Status when changes from Green to Yellow, or Yellow to Red occur. Note though, if the Status of a project remains behind schedule for extended duration or it is identified that the a target delivery date will be missed, the Status code change can influence a change on the Condition. Should a project encounter a situation where both the Status and Condition require a change, the Condition must be considered first.

CONDITION: On-Target At-Risk In-Trouble

The next page contains a detailed process flow to navigate Status or Condition paths when project disruptions are encountered and force a Status or Condition indicator change from Green-Yellow-Red. Each path within the escalation procedure prescribes a set of actions⁴ to assist the leadership team(s) in restoring the state of the project as to accomplish its charter. At a minimum, this process flow should occur monthly, but more frequently when



curative actions are in deployment by the project team under a Yellow or Red state. In simplified form and without being specific to Status or Condition, the table to the right instructs the leadership team based on G-Y-R⁵. (s) to:

No specific actions to correct the project. However, the project team should continuously review the Project Plan, Work Plan, Action Items, and risks to ensure the project is being delivered on-time and on-budget.

Should the project team determine a change to a yellow indicator, in general, the GNSO Council leadership should be notified of the potential impact and the notification should include a mitigation strategy. In some cases, a PCR should be used to document the disruption. While the indicator remains in Yellow, the project team will implement the mitigation plan to return the project back to Green. Typically, no direct GNSO Council intervention is required, but duration or other issues may require a more direct intervention to prevent the project turning Red. This evaluation cycle repeats until the situation is resolved.

Should the project team determine a change to a Red indicator, the GNSO Council leadership is notified immediately of the impact and the notification should include a rationale for the disruption. A PCR will document the disruption and require approval before implementation. While the indicator remains in Red, the project team will work the mitigation plan until the project returns to normal or is terminated. In most cases, full GNSO Council intervention is required with direct collaboration. Project leadership will be required to present the rationale and seek input for the appropriate mitigation plan.

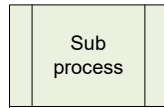
⁴ Specific actions and roles will require definition as the procedure evolves.

⁵ The Escalation Procedure should be reviewed in its early stages to adjust to the appropriate level of actions required for Yellow or Red indicators as appropriate for Status and Condition. "Tighten or loosen the screws" so to speak.

Process Legend



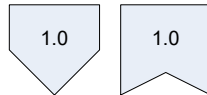
Process Step



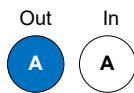
Sub-Process Step



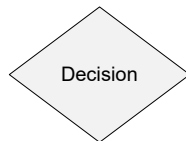
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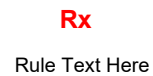
Off Page Reference



On Page Reference



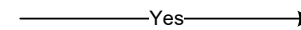
Decision



Process Rule



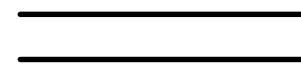
Begin of Process



Process Flow



Diversion to External Process



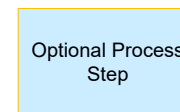
Parallel Process



Terminator of Process



External Process not Active



Optional Process Step

Status & Condition Escalation Procedure

