

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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- #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 multistakholder 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



Keith Drazek

GNSO Chair



Melissa Allgood

ICANN Org



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

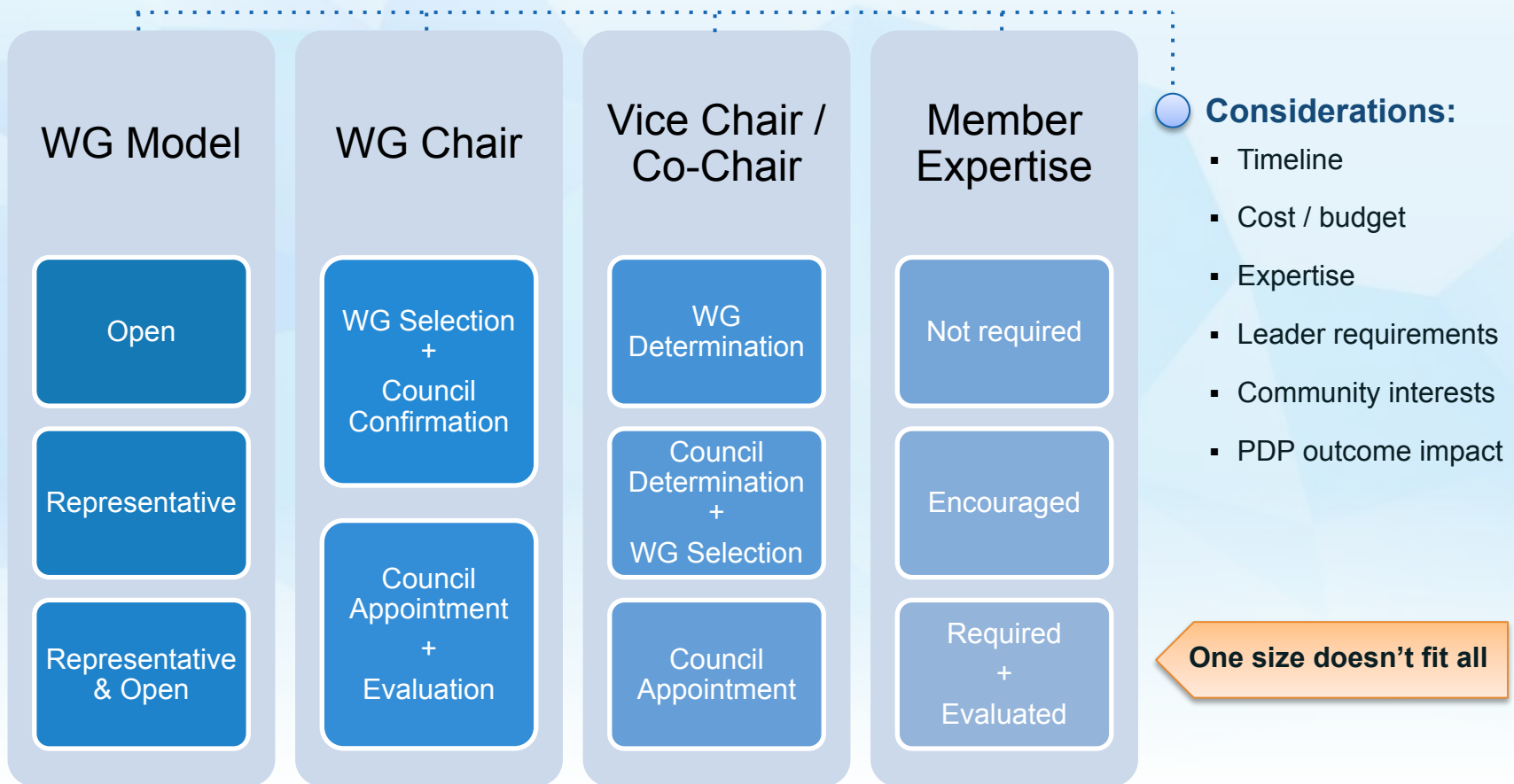
Leadership of WG & GNSO Council can restrict participation in the event of non-compliance of ICANN Expected Standards of Behavior

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

Alternatives to Open WG Model (#2)

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



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

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

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

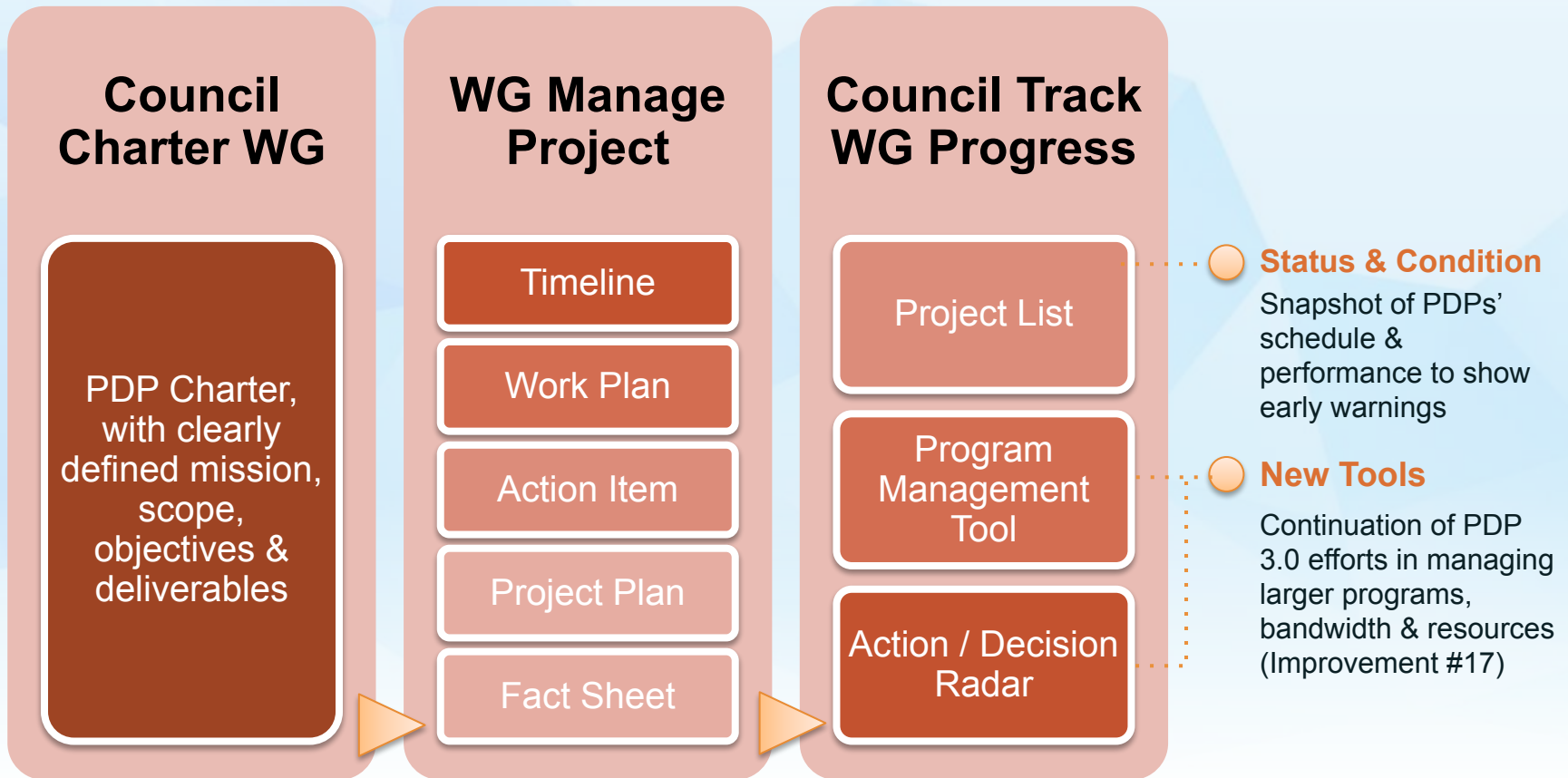
Project Management

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



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				-	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://gns0.icann.org/en/council/project>

Program	Range Marker Action / Decision	Level of Effort WBS
Unplanned		
gTLD	<ul style="list-style-type: none"> Council to determine next steps, if any, on DNS Abuse. (on Action Items) <ul style="list-style-type: none"> Council Leadership to review topic with SOIAC Leaders Council Leadership to discuss topic with CCNSO Council to monitor the Domain Name System Security Facilitation Initiative Technical Study Group 	Moderate-High 1.1.1
0 Month to 1 Month		
RDS	<ul style="list-style-type: none"> Staff to engage GDD and Legal on Rec27 Wave 1 report for those items that require terminology update [MEDIUM]: <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Council to consider EPDP-P2 Final Report (on Project List) 	High 1.1.1.2
RDS	<ul style="list-style-type: none"> Council to consider EPDP-P2 Remaining Items (Legal vs. Natural, Unique Contact Email, Accuracy) (on Action Items) <ul style="list-style-type: none"> 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 <ul style="list-style-type: none"> Council to consider next steps to be included as additional work within EPDP-P2 remaining items (Accuracy) <ul style="list-style-type: none"> Council to consider next steps on EPDP-P1 Rec27 Wave 1 Restored Names Accuracy Policy (RNAAP) [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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> Engage IAG 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Council to consider what is required of the GNSO to implement WS2 recommendations (on Action Items, Project List) <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Council to consider EPDP-P1 Rec27 Wave 1.5 report 	TBD 1.1.6
RDS	<ul style="list-style-type: none"> Council to consider EPDP-P1 Rec27 Wave 2 report 	TBD 1.1.6
RDS	<ul style="list-style-type: none"> 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



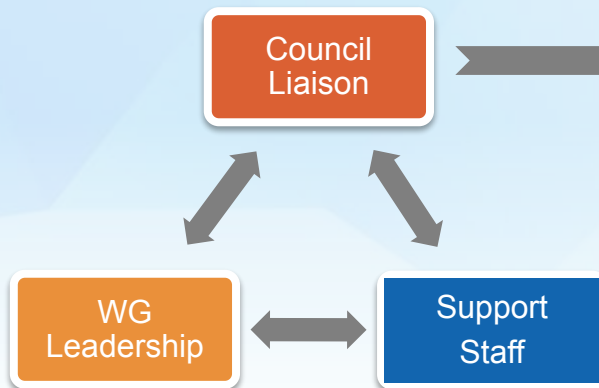
Target be missed



At-Risk



In-Trouble



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Generic Names Supporting Organization

Project Change Request Form Severity: [LOW] [MED] [HI]

Project name:

Requested by: Date:

Change description:

Change reason:

Impact of change (complete for relevant categories):

- Scope:
- Budget:
- Timeline:
- Resourcing:
- Communications:
- Other:

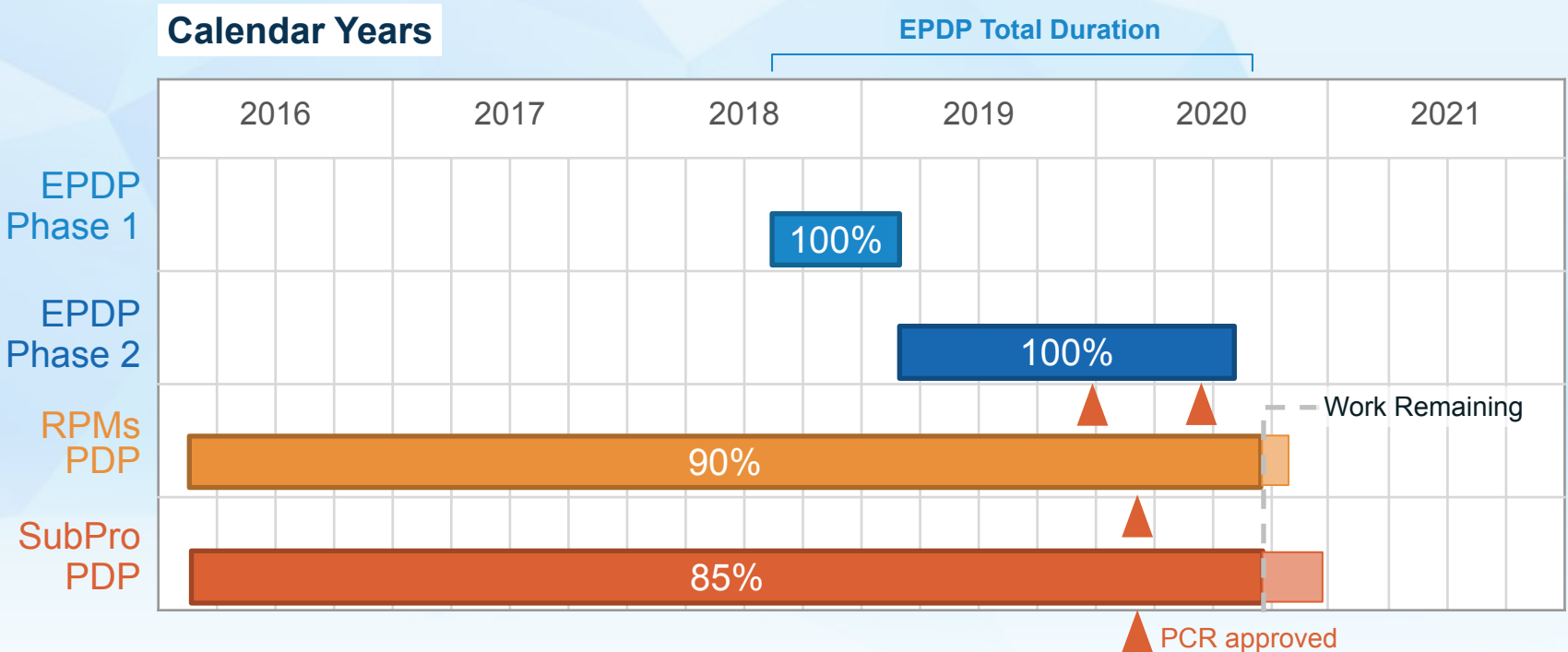
Proposed action:

Estimated Associated cost, if applicable:



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**
other contributing factors: clear charter, alternative model, single neutral chair, specific budget, F2F meetings, etc.



Consensus Building

Presenter: Melissa Allgood

Origins of the Consensus Playbook



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 in a strategic and deliberate manner

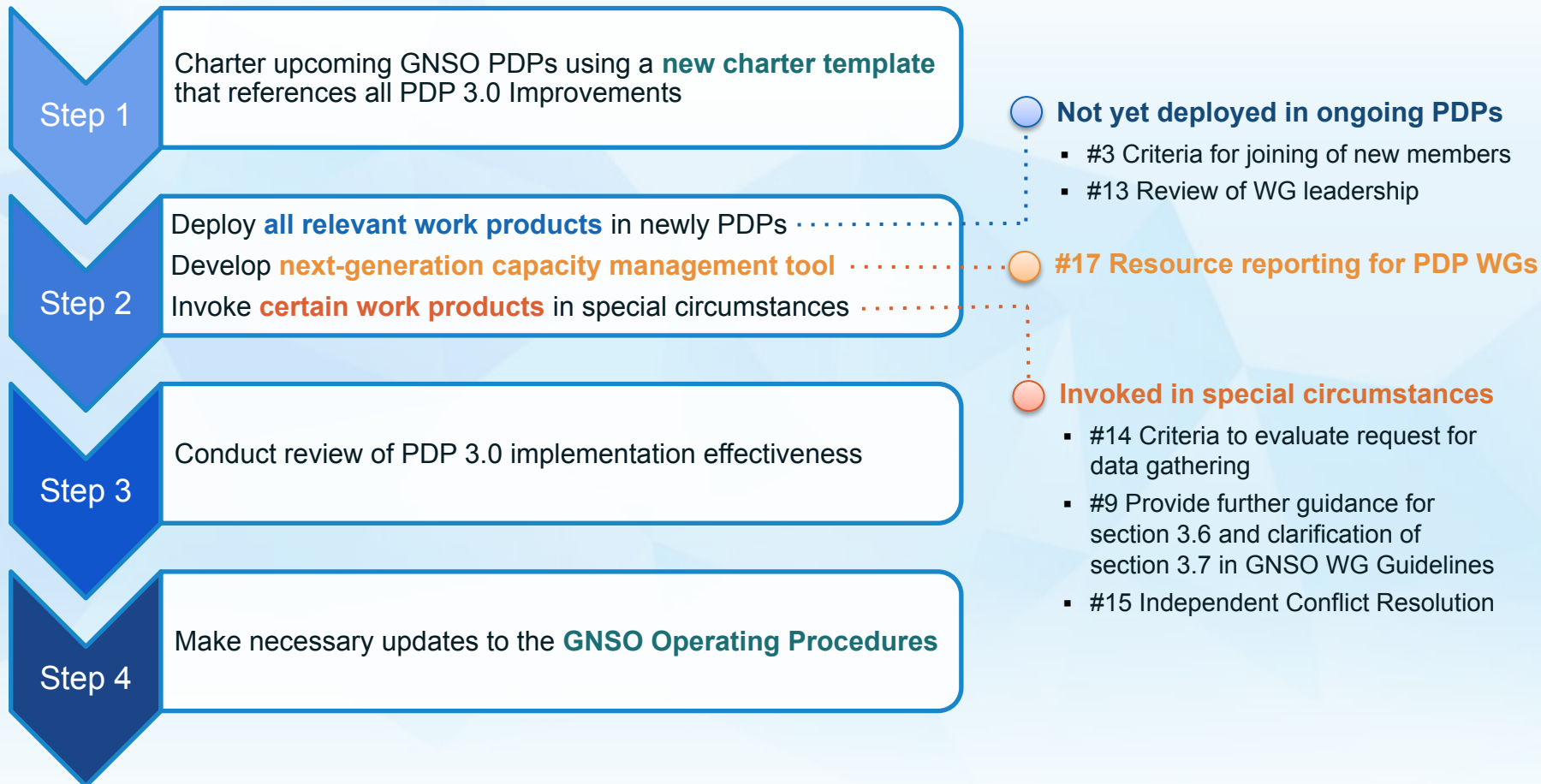
- ✓ Create a culture of consensus
- ✓ Provide insight into creating transparent expectations and structure early in the working group process
- ✓ Build trust within the group

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



PDP 3.0 Work Products

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