

**Council Committee for Overseeing and Implementing Continuous Improvement
Assignment Sheet**

Assignment Name	Council Committee assignment #4 (PDP 3.0 – WG Self-Assessment)
Assignment (short description)	<p><i>Short description of the TF assignment(s)</i></p> <p>From Framework Document: Consider if/how WG Self-Assessment can be improved and possibly enhanced with a periodic assessment as well as exit interview with interested parties to help identify at an early stage potential issues as well as future improvements to be considered. This could potentially be combined with the WG Chair assessment as outlined in PDP 3.0 improvement #13. Council Committee to also consider the findings of the most recent WG Self-Assessments to determine if there are other improvements the GNSO Council should consider.</p>
Background information / links	<p><i>Background information and links to relevant documents to the TF assignment(s)</i></p> <p>Required reading:</p> <ul style="list-style-type: none"> • Section 7 of the GNSO Working Group Guidelines: https://gns0.icann.org/sites/default/files/file/field-file-attach/annex-1-gns0-wg-guidelines-24oct19-en.pdf (page 20) • Sample version of the Working Group Self-Assessment: https://community.icann.org/pages/viewpage.action?pageId=49362333&preview=/49362333/49421637/WG%20Self-Assessment%20Questionnaire%20(FINAL).pdf • PDP 3.0 Improvement #13: Working Group Leadership Performance: https://gns0.icann.org/sites/default/files/file/field-file-attach/pdp-3-13-wg-member-survey-leadership-performance-10feb20-en.pdf

Staff provided background information:

- Section 7 of the GNSO [Working Group Guidelines](#) anticipates that the GNSO will formally request feedback from a Working Group as part of the Working Group's closure process. This section sets out the approach for the Self-Assessment with the actual survey being available separately (see a sample version of the questionnaire [here](#)). The community-developed Working Group Self-Assessment was incorporated into the Working Group Guidelines in [2014](#) and has not been formally evaluated or revised since that time.
- The Working Group Self-Assessment was deployed twice in 2021 for two long-running PDPs that had reached their conclusion: The New gTLD Subsequent Procedures PDP Working Group ([results](#)) and the Review of All Rights Protection Mechanisms in All gTLDs PDP Working Group ([results](#)). In anticipation of a possible review of the Self-Assessment Tool and process, two new elements were incorporated: (1) An additional, final question was added to allow WG members to share thoughts on how to improve the Self-Assessment tool and process in the future. (2) Council leadership held informal discussions with the PDP leadership teams following these surveys to review the results and receive additional input.

Additional related work:

- As part of the [PDP 3.0 implementation work](#) (see Improvement #13: Working Group Leadership Performance), [a draft survey](#) was developed that could be used to periodically collect input from Working Group members specifically about the performance of Working Group leadership. This tool has not yet been used by a Working Group. During discussion at the January 2020 GNSO Council Strategic Planning Session (SPS), some Council members expressed concern about the potential chilling effect such a survey could have and indicated that some further thought might need to go into effectively implementing this approach.
- As part of the [PDP 3.0 discussions](#), a number of items were identified that might benefit from further work in the future (but not within the current scope of PDP 3.0 implementation), including:

- Consider if/how WG Self-Assessment can be improved and possibly enhanced with a periodic assessment as well as exit interview with interested parties to help identify at an early stage potential issues as well as future improvements to be considered. This could potentially be combined with the WG Chair assessment as outlined in PDP 3.0 improvement #13.

During the 2020 SPS, there was discussion about additional opportunity for work on this topic. From the [SPS Report](#): “WG Self-Assessment – is currently a survey that happens at the end of a WG but with the current duration of WGs it may not provide useful information for the Council. Could this be repurposed to be a regular survey that could provide the Council information on the functioning of the WG? Consider aligning the survey with the WG milestone phases identified.”

Staff observations:

- The Working Group Self-Assessment has provided some useful input since its initial deployment, but the tool and process has not been reviewed or substantively changed since 2014. The Council Committee may want to consider the following:
 - Input comes at the very end of the process which does not allow for any course corrections or improvements to take place while a Working Group is still active;
 - The structure of the survey and responses do not necessarily provide clear, actionable feedback for future improvement for the policy development process overall;
 - Relatively few members provide input through the survey;
- Staff notes that simpler, more targeted, and more frequent assessments may be in line with PDP 3.0 improvements that seek to make the PDP more effective and efficient.
- In recent “exit interviews” with PDP leadership teams, some support was expressed for more regular checkpoints during the life of the PDP to identify areas for improvement or additional opportunities for WG members to raise concerns.
- A number of SubPro and RPMs Working Group Self-Assessment respondents provided feedback on this survey question: “The Council is considering developing a survey that would

allow future Working Groups to provide input periodically throughout the WG deliberations stage of the PDP. Such a survey would be intended to provide the Council with information that would facilitate its oversight role and help inform potential actions and/or guidance to the PDP WG. Do you think this would be helpful? If so, what are the types of questions that should be included in such a survey?"

- Some respondents stated that periodic assessments would be useful if strategically used and properly scoped, while others felt that they might not be a good use of resources or could serve as a distraction. Some responses proposed questions that the CC may want to consider for inclusion in a future survey if such a survey is recommended and developed.

ANNEX 1 – Working Group Guidelines Section 7.0: Working Group Self-Assessment

A WG Self-Assessment instrument has been developed as a means for Chartering Organizations to formally request feedback from a WG as part of its closure process. WG members are asked a series of questions about the team’s inputs, processes (e.g., norms, decision-making, logistics), and outputs as well as other relevant dimensions and participant experiences. Screenshots of the questionnaire have been assembled into a PDF (see link below) so that WG participants can review, in advance, how it is designed and what specific information will be solicited.

During the WG’s closure process, coordinating with the Chair, Staff will provide a unique link (URL) to the online questionnaire along with open and close dates and any specific instructions. Staff will then perform the following actions:

- Monitor the online process providing status updates to the WG Chair;
- Provide technical assistance to WG members if requested;
- Notify the Chair when all team members have completed the questionnaire; and, following the close date,
- Summarize the feedback in a written report to the Chartering Organization.