Sequencing of EWG RDS Principles as input to GNSO PDP (Draft 4)

The flow charts that follow suggest grouping and sequencing of principles contained in the EWG's Final Report on a proposed Next-Generation Registration Directory Service (RDS).

These charts identify a phased PDP WG process consisting of:

Phase 1) Policy - Requirements Definition (WHY)
Phase 2) Policy - Functional Design (WHAT)

Phase 3) Implementation Guidance (Guidance on HOW)

along with pre- and post-PDP WG steps.

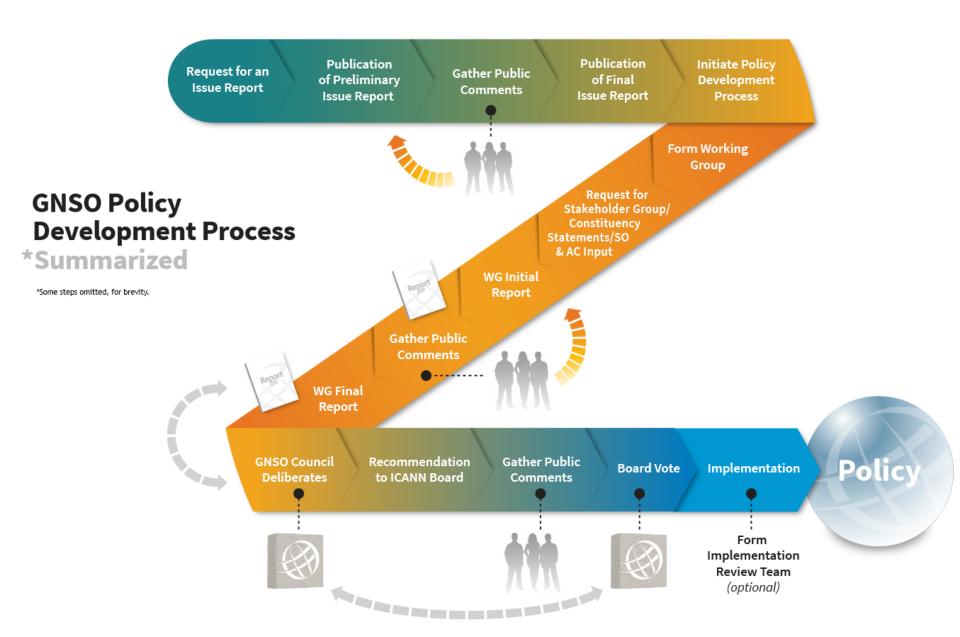
Before Phase 1, preliminary steps must be completed as shown on page 4, including publication of a Final Issue Report and PDP WG charter, adoption by the GNSO Council, and PDP WG formation.

During Phase 1, the PDP WG would examine all RDS policy requirements at a high level. The GNSO Council would review/approve Phase 1 outputs before the PDP WG proceeds to Phase 2.

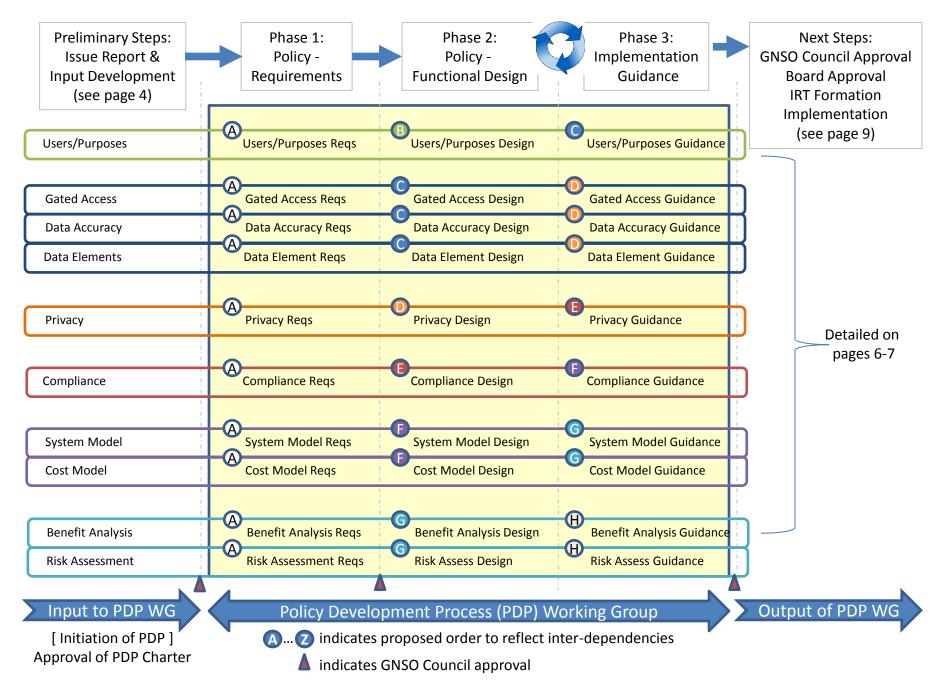
During Phase 2, opportunities for parallel design are shown, sequenced to reflect inter-dependencies. For example, group B policies must be drafted before group C can start, but group C policies could potentially be drafted in parallel by PDP WG subteams, given sufficient resources and coordination. The GNSO Council would periodically review PDP WG work-in-progress to ensure sustained progress and alignment with Phase 1 requirements.

During Phase 3, the PDP WG would dive more deeply into each policy group to create implementation guidance. Details considered in Phase 3 may require refinement of certain Phase 2 policies; refinements must be carefully coordinated to manage interdependencies as further described on page 8.

After Phase 3, PDP WG outputs would feed into the next steps detailed on page 9 (e.g., IRT & Staff implementation efforts, informed by PDP WG implementation guidance).



GNSO PDP Materials: http://gnso.icann.org/en/node/31379/



Preliminary Steps

Nov 2012	Board	☑ Direct preparation of a (PDP) Issue Report		
Nov 2012	Board	▼ Launch the EWG		
Mar 2013	Staff	☑ PDP - Preliminary Issue Report ☐ Position ☐ Posit		
Mar-Apr 2013	Community	■ Public Comment Forum (on above)		
Jun 2013	EWG	▼ EWG Initial Report		
Jun-Aug 2013	Community	■ Public Comment Forum, Consultations (on above)		
Nov 2013	EWG	■ EWG Update Report		
Dec-Feb 2014	Community	■ Public Comment Forum, Consultations (on above)		
Jun 2014	EWG	▼ EWG Final Report		
Oct 2014	EP-WG	☐ Informal collaboration group to recommend		
		PDP WG Process, Charter, and Inputs		
	Staff	☐ PDP – New Preliminary Issue Report		
	Community	☐ Public Comment Forum, Consultations (on above)		
	Staff	☐ PDP - Final Issue Report		
	GNSO Council	☐ PDP - Refine Charter for PDP Working Group		
	GNSO Council	☐ PDP - Adopt Charter (start of PDP WG process)		

See proposed EP-WG Workplan for further details

Available and Recommended Inputs for PDP WG (to be identified by EP-WG)

Available Inputs include

- EWG Final Report
- EWG Research on Accreditation, Validation, Privacy/Proxy, Cost, Risks/Benefits
- WHOIS Review Team Final Report
- GAC WHOIS Principles
- 2013 RAA WHOIS Requirements
- WHOIS Studies on Accuracy, Registrant Identification, Misuse, P/P Abuse
- IETF RFCs on RDAP and EPP

Recommended Additional Inputs	Essential?	When needed?
Stakeholder input on costs and benefits*		
Stakeholder input on risks and impacts		
Initial legal analysis		
PPSAI WG output		
Translation/Transliteration WG output		
Community input on Preliminary Issue Report and Proposed PDP WG Charter		

^{*} For example, solicit input on benefits and costs from all stakeholders. This would be done initially and on an on-going basis to measure efficacy.

PDP WG Process

Issue Report & Implementation Policy -Policy -**Next Steps Functional Design** Guidance Input Development Requirements (see page 5) Users/Purposes Users/Purposes Regs Users/Purposes Design Users/Purposes Guidance on - EWG Principles Sect 3 - Permissible Users - Data per Purpose - Accreditor Criteria - Use Cases (Annex C) - Terms of Service Needs - Permissible Purposes - Update Process - Guiding Principles - GAC WHOIS Principles - Accreditation Policy - WHOIS RT Report Per User Community **Gated Access Gated Access Regs** Gated Access Design Gated Access Guidance on - EWG Principles Sect 4bc - Public/Gated Criteria - Authorizations - Access Protocol Needs - Access Examples (Annex E) - LE Access Principles per User/Purpose - Authentication Needs - RDS User Accreditation RFI - Credentialing Policy - Credential Admin Needs - WHOIS Misuse Study Data Accuracy Guidance on Data Accuracy Data Accuracy Regs Data Accuracy Design - EWG Principles Sect 5 - Accuracy Principles - Validation Levels - Validator Criteria - Validation Service RFI - Contact Data - Contact Management - Contact Auth Needs - ccTLD Validation Survey Validation Needs - Remediation Policy - Interface Needs - WHOIS Accuracy Studies (RDS/Validator/RR/Ry) Data Element Design Data Element Guidance on **Data Elements** Data Element Regs - EWG Principles Sect 4a - RR/Ry Data Elements - EPP/RDAP Mapping Needs - Data Collection Needs - WHOIS Migration Needs - Data Needs (Annex D) - Data Access Needs - Registrant Data Elements - 2013 RAA WHOIS record - Guiding Principles - PBC Data Elements - WHOIS RegID Study - Update Process Privacy Privacy Regs Privacy Design Privacy Guidance on - Privacy/Proxy Needs - EWG Principles Sect 6&7 - Overarching DP Policy - RDS Privacy Policy Needs - P/P Provider Survey - DP Law Compliance - Detailed Legal Analysis - At-Risk Reg Needs - Privacy/Proxy Policies - WHOIS P/P Abuse Study - Data Protection Laws - P/P Accreditation Needs - GNSO PPSAI WG Output - Secure Protected Creds SPC Provider Criteria - Initial Legal Analysis Input to PDP WG **Output of PDP WG**

12/10/2014 Page 6

Policy Development Process (PDP) Working Group

PDP WG Process

Issue Report & Input Development	Policy - Requirements	Policy - Functional Design	Implementation Guidance	Next Steps (see page 5)
Compliance - EWG Principles Sect 6cd - 2013 RAA Compliance	Compliance Reqs - Guiding Principles for Anti-Abuse Deterrents, Auditing, Enforcement - Establish Goals/Metrics	Compliance Design - Compliance Policy Per Ecosystem Player (e.g., RDS Operator, Requestors, Validators)	Compliance Guidance on - Contract Ammend. Needs (RAA and Registry) - New Contract Needs - Compliance Benchmarks	
System Model - EWG Principles Sect 8 - EPP and RDAP RFCs - Translation WG Output	System Model Reqs - Collection, Access, and Storage Reqs - Performance, Stability, and Security Reqs - Internationalization Reqs	System Model Design - Systems Architecture (Entities & Interfaces) - Performance, Stability, and Security Policies - Internationalization Policy Updates	System Model Guidance on - RDS Operator Criteria - Implementation Needs - Migration Plan Needs - Protocol Extension Needs	
Cost Model - EWG Principles Sect 9 - IBM RDS Cost Analysis - Impact Assessment on All Ecosystem Players	Cost Model Reqs - List of Expenses - List of Income Sources - Guiding Principles on Cost Goals/Metrics	Cost Model Design - Allocation of Costs - Cost Recovery Model - Cost Tracking Policies	Cost Model Guidance on - Ballpark Cost #s for entire Ecosystem based on Model Design	
Benefit Analysis - EWG Risk Survey (Initial) - WHOIS & RDS Benefit Survey	Benefit Analysis Reqs - Guiding Principles on Benefit Goals/Metrics	Benefit Analysis Design - Benefit Tracking Policies	Benefit Analysis Guidance on - Benefit Benchmarks	
Risk Assessment - EWG Risk Survey (Initial) - WHOIS & RDS Risk Survey	Risk Assess Reqs - Guiding Principles to balance Risks, Impacts, and Benefits	Risk Assess Design - Identify Risks - Assess Impacts	Risk Assess Guidance on - Possible measures to accept, mitigate, and transfer risks	
, I				

Input to PDP WG

Policy Development Process (PDP) Working Group

Output of PDP WG

Further PDP WG Recommendations

Oversight

To ensure ensure alignment with Phase 1 requirements, oversight should be provided by a coordination team composed of (for example) the PDP WG chair, subchairs for each PDP WG subteam, and one or more GNSO Council Liaison(s).

Timeline

To foster sustained progress and timely completion, the PDP WG should work towards a defined timeline and targets (e.g., complete Phase 1 in 90 days).

Methodology

To faciliate productive dialog, the PDP WG should hold periodic face-to-face conferences -- for example, meeting face-to-face in subteam sessions schedule over 1-2 days, followed by a plenary meeting for cross-team discussion.

Next Steps (using PDP WG's output)

