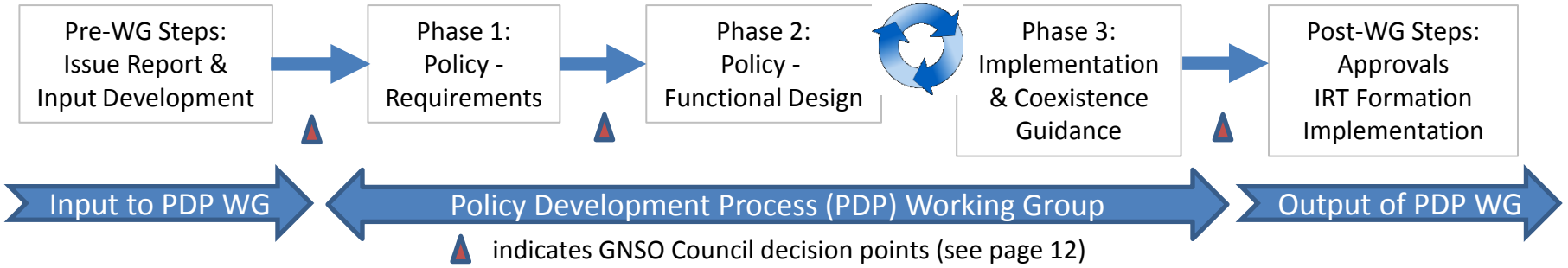
EP-WG's Proposed Framework for a PDP WG on Next-Generation RDS (Draft 7)

This document proposes a framework for a PDP WG on Next-Generation Registration Directory Services (RDS).

This framework was developed by the EWG Process Working Group (EP-WG), a collaboration between the GNSO and Board formed to recommend how to best structure PDP(s) for success – *that is, to propose a process which leads to new policies defining the appropriate purpose of gTLD registration data and improving accuracy, privacy and permissible access to that data.*

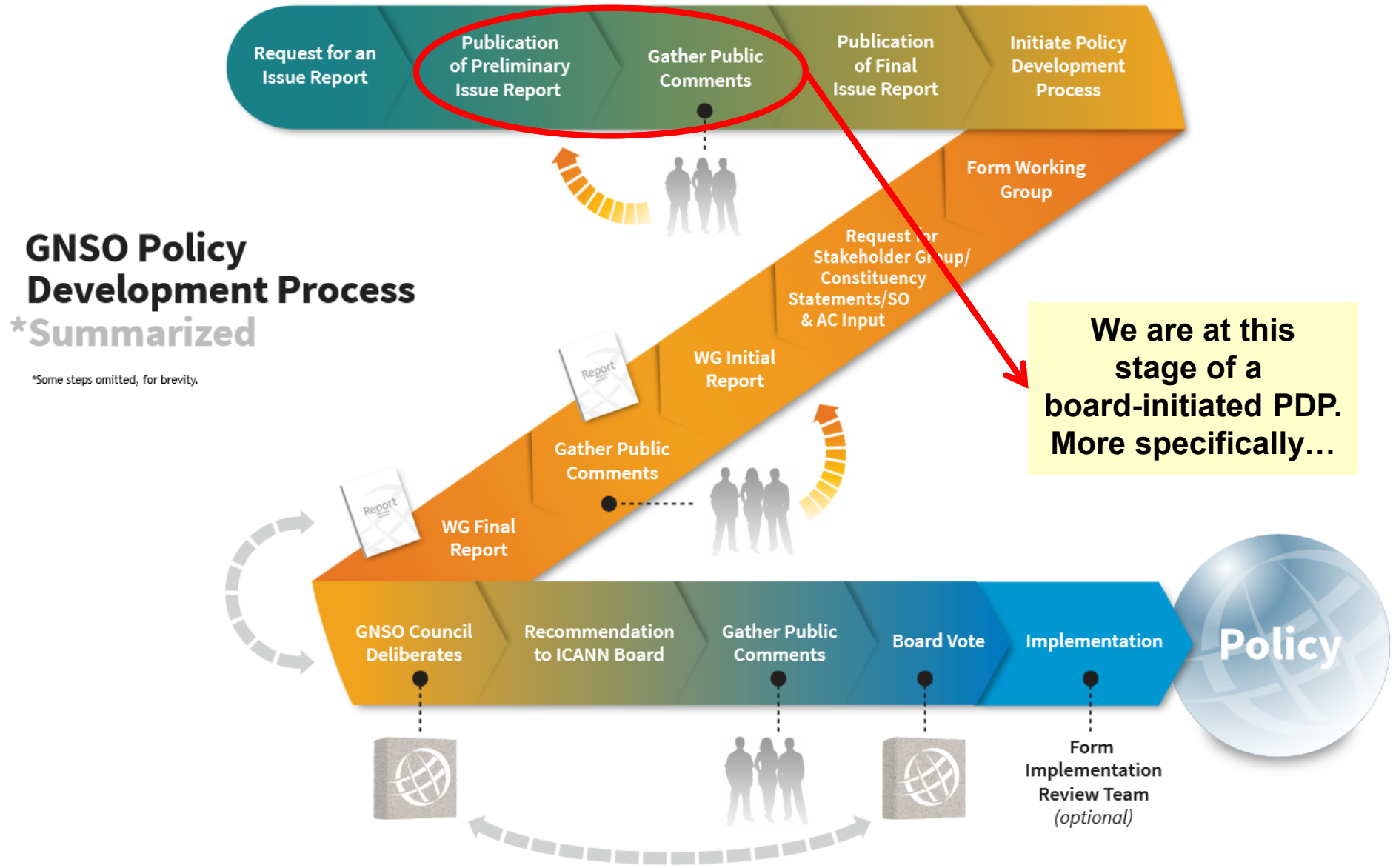
To develop this framework, principles in the EWG's Final Report on Next-Generation RDS were grouped and sequenced into a process flow consisting of:

Pre-PDP WG Steps	Tasks to be completed **BEFORE** a PDP WG is formed
Phase 1: Policy - Requirements Definition	Policies that establish **IF & WHY** a Next-Gen RDS is needed
Phase 2: Policy – Functional Design	Policies that detail **WHAT** a Next-Gen RDS must do
Phase 3: Implementation Guidance	Guidance on **HOW** a Next-Gen RDS should implement policy
Post-WG Steps	Tasks to be completed **AFTER** the WG's final report



Note: Red text indicates Draft 7 updates to incorporate EP-WG edits

Pre-PDP WG Steps: Where are we in the existing PDP process?



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

Pre-PDP WG Steps: Completed and Upcoming

Nov 2012	Board	☒ Direct preparation of a (PDP) Issue Report
Nov 2012	Board	☒ Launch the EWG
Mar 2013	Staff	☒ PDP - Preliminary Issue Report
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- Feb 2015	EP-WG	☒ Develop Recommendations on PDP WG Process and Charter Guidance
Mar 2015	EP-WG	☐ Finalize EP-WG output; relay to GNSO & Board
May-Jun 2015	Staff	☐ New Preliminary Issue Report reflecting EP-WG output
Jun-July 2015	Community	☐ Public Comment Period on New Issue Report
Aug 2015	Staff	☐ Final Issue Report reflecting Public Comments
Sep-Oct 2015	GNSO Council	☐ Refine Charter for PDP Working Group
	GNSO Council	☐ Adopt Charter (start of PDP WG process)

Pre-PDP WG Steps: What Comes Next

1. The EP-WG shared this proposed framework with the community at these ICANN-52 sessions
   http://singapore52.icann.org/en/schedule/sat-gnso-working
   http://singapore52.icann.org/en/schedule/mon-whois

2. The EP-WG considered questions raised at ICANN-52 and incorporated clarifications to address them, finalizing this proposed framework for transmission to the GNSO Council and the ICANN Board.

3. The GNSO Council and the ICANN Board will discuss this proposed framework.
   The ICANN Board will review and re-confirm its request for this board-initiated PDP.

4. At the ICANN Board's request, Staff will use EP-WG's output to draft a new Preliminary Issue Report, including EP-WG's proposed framework and a draft PDP WG charter that factors in EP-WG guidance.

5. EP-WG members will have an opportunity to preview the Preliminary Issue Report to ensure that the EP-WG's framework has been reflected.

6. This new Preliminary Issue Report will be posted for a 40-day public comment period.

7. The EP-WG will reconvene as a group to review public comments and identify any needed changes to this proposed framework.

8. Staff will produce a Final Issue Report, reflecting both public comments and the EP-WG's framework.

9. GNSO Council will consider the Final Issue Report and public comments. Council may, using its own methods, refine the report's proposed framework and draft charter before adopting a charter and forming a PDP WG to address this issue.

Pre-PDP WG Steps: Inputs needed by the PDP WG

Inputs already available to inform the PDP include:

- EWG Final Report and FAQs, tutorials, & EWG member statements
- EWG Research on Accreditation, Validation, Privacy/Proxy, Costs, Risks & Benefits
- WHOIS Review Team Final Report
- GAC WHOIS Principles
- 2013 RAA Registration Data (WHOIS) Requirements
- WHOIS Studies on Accuracy, Registrant Identification, Misuse, P/P Abuse
- IETF RFCs on RDAP and EPP
- Data Protection/Privacy Issues Memo (ICANN Legal, Aug 2013)

The EP-WG recommends additional inputs be developed to inform the PDP:

- Community feedback on Preliminary Issue Report, including draft PDP WG charter
- GNSO PPSAI WG Final Report
- GNSO Translation/Transliteration Final Report
- Cost Impact Assessment on All Ecosystem Players*
- WHOIS & RDS Benefit Survey
- WHOIS & RDS Risk Survey

* Preliminary efforts to assess migration, deployment and operating cost impacts have shown that it is too early to quantify them in a meaningful way at this stage. Instead, these and other costs (such as development and testing) must be assessed during the PDP, as the PDP WG drafts specific policies upon which impact assessment must be based.

3-Phase PDP WG Process: Introduction

This framework proposes a 3-phase process for the PDP WG to organize its work:

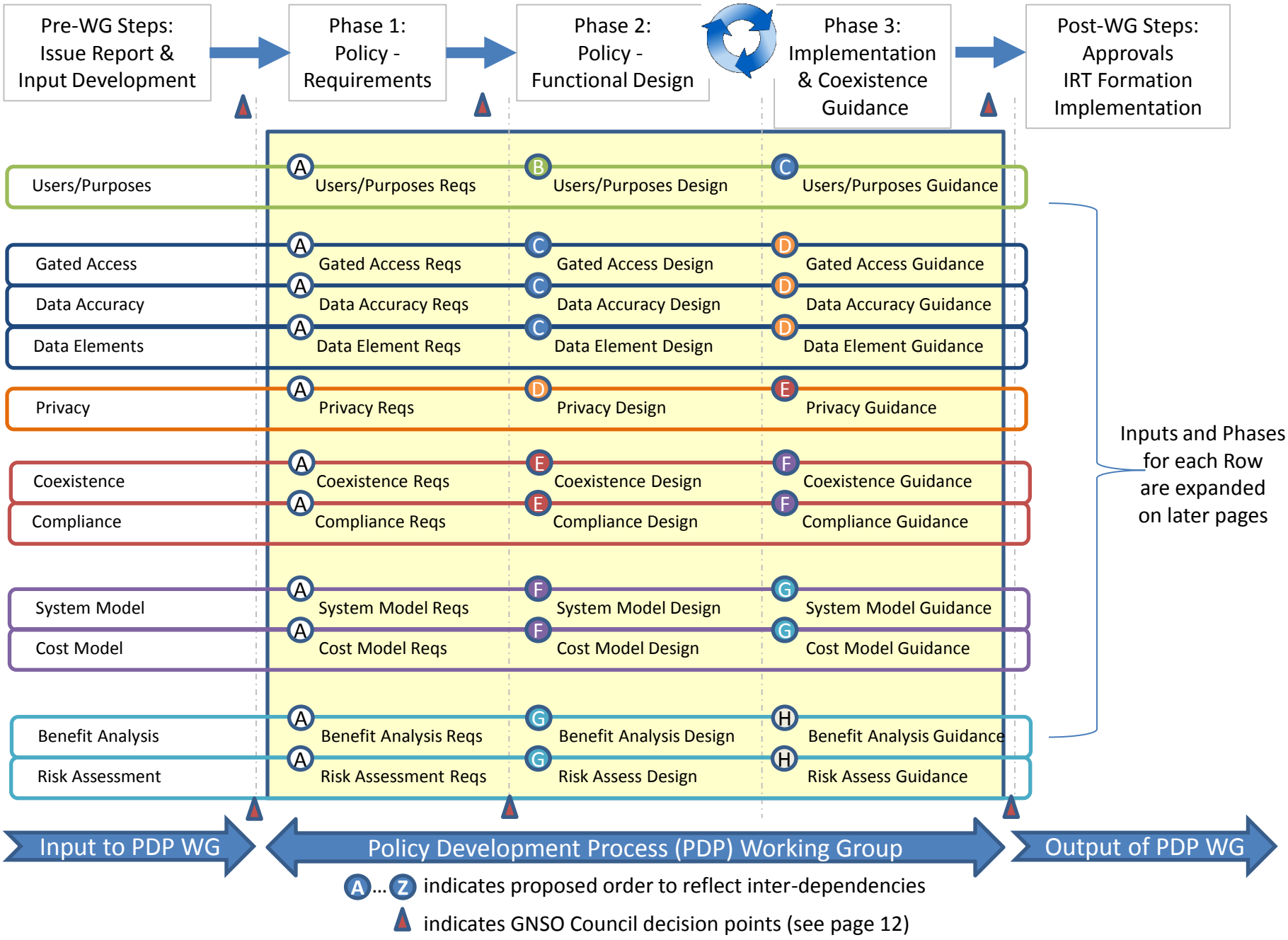
Phase 1: Policy - Requirements Definition	Define IF & WHY a Next-Gen RDS is needed
Phase 2: Policy – Functional Design	Detail WHAT a Next-Gen RDS should do
Phase 3: Implementation & Coexistence Guidance	Consider HOW a Next-Gen RDS should implement policy

Within each phase, work is grouped into areas, drawing from principles covered by the EWG's Final Report:

Users/Purposes	Who should have access to gTLD registration data
Gated Access	What steps should be taken to control data access for each user/purpose
Data Accuracy	What steps should be taken to improve accuracy
Data Elements	What data should be collected, stored, and disclosed
Privacy	What steps are needed to protect data and privacy
Coexistence	What steps should be taken to enable WHOIS/Next-Gen RDS coexistence
Compliance	What steps are needed to enforce policies
System Model	What system requirements must be satisfied by any implementation
Cost	What costs will be incurred and how must they be covered
Benefit Analysis	What benefits will be achieved and how will they be measured
Risk Assessment	What risks do stakeholders face and how will they be reconciled

Each of these areas and associated issues should be defined in the Preliminary Issue Report and PDP WG inputs. As depicted on the following chart, these groups have been time-sequenced to accommodate inter-dependencies and create opportunities for parallel policy development, subject to resource availability.

For example, due to inter-dependencies, all areas labeled Ⓐ must be considered before work can commence on the area labeled Ⓑ . Only after Ⓑ has been considered can work commence on areas labeled Ⓒ . And so on.


Pre-WG Steps: Issue Report & Input Development
Phase 1: Policy - Requirements
Phase 2: Policy - Functional Design
Phase 3: Implementation & Coexistence Guidance
Post-WG Steps: Approvals IRT Formation Implementation
Users/Purposes
A Users/Purposes Reqs
B Users/Purposes Design
C Users/Purposes Guidance
Gated Access
A Gated Access Reqs
C Gated Access Design
D Gated Access Guidance
Data Accuracy
A Data Accuracy Reqs
C Data Accuracy Design
D Data Accuracy Guidance
Data Elements
A Data Element Reqs
C Data Element Design
D Data Element Guidance
Privacy
A Privacy Reqs
D Privacy Design
E Privacy Guidance
Coexistence
A Coexistence Reqs
E Coexistence Design
F Coexistence Guidance
Compliance
A Compliance Reqs
E Compliance Design
F Compliance Guidance
System Model
A System Model Reqs
F System Model Design
G System Model Guidance
Cost Model
A Cost Model Reqs
F Cost Model Design
G Cost Model Guidance
Benefit Analysis
A Benefit Analysis Reqs
G Benefit Analysis Design
H Benefit Analysis Guidance
Risk Assessment
A Risk Assessment Reqs
G Risk Assess Design
H Risk Assess Guidance
Inputs and Phases for each Row are expanded on later pages
Input to PDP WG
Policy Development Process (PDP) Working Group
Output of PDP WG
A … Z indicates proposed order to reflect inter-dependencies
indicates GNSO Council decision points (see page 12)

3-Phase PDP WG Process: Phase Definitions and Examples

Phase 1

The PDP WG examines all requirements for registration directory services at a high level. Due to inter-dependencies, all areas must be considered together, by a single team. For example, the PDP WG will consider whether gTLD registration data should continue to be accessible for any purpose, or whether data should be accessible only for specific purposes. If the PDP WG decides the latter, it should recommend permissible users and purposes. The output of Phase 1 is therefore a set of fundamental requirements for registration data and a determination of if these requirements are met by WHOIS or should instead be met by a Next-Gen RDS.

The GNSO Council will review Phase 1 outputs before deciding if/how to proceed.

GNSO Council Decision Point (see page 12)

Phase 2

The PDP WG designs detailed policies to satisfy requirements established in Phase 1. For example, the PDP WG might define data elements accessible for each permissible user and purpose. Opportunities for parallel Phase 2 policy design have been identified, sequenced to reflect inter-dependencies. For example, policies labeled B must be drafted before policies labeled C can start, but policies in group C could potentially be drafted in parallel by PDP WG subteams, given sufficient resources and coordination. The GNSO Council will periodically review Phase 2 work-in-progress to identify gaps or inconsistencies and ensure alignment with Phase 1 requirements.

Phase 3

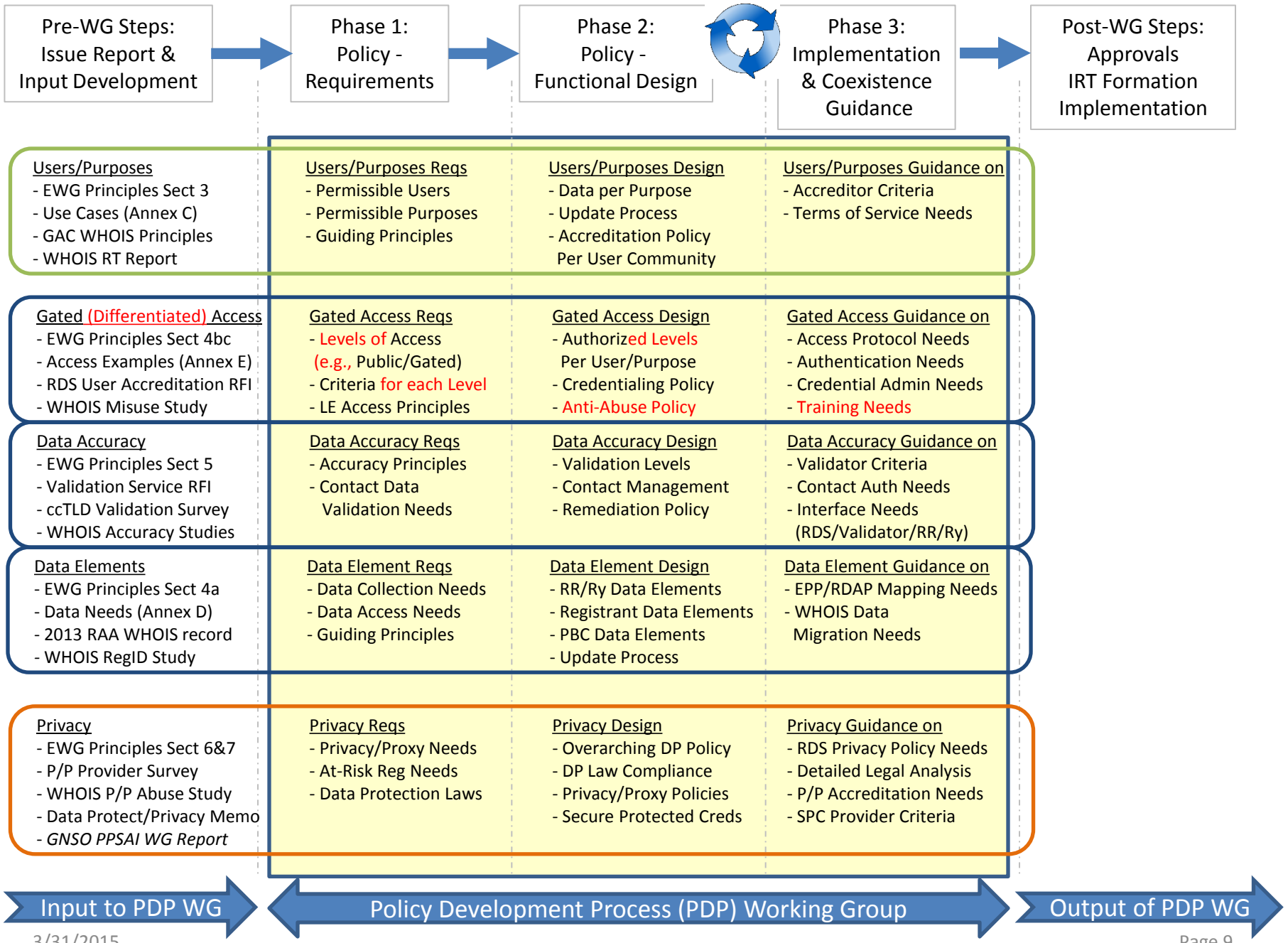
The PDP WG dives more deeply into each policy group to create implementation and coexistence guidance. For example, in Phase 3a), the PDP WG might explore possible Terms of Service for permissible users and purposes and identify challenges that must be overcome. In Phase 3b), the PDP WG might detail WHOIS and Next-Gen RDS data access coexistence. Details explored in Phase 3 may require refinement of certain Phase 2 policies; these must be carefully coordinated to manage inter-dependencies.

Public Comment on PDP WG Draft Report

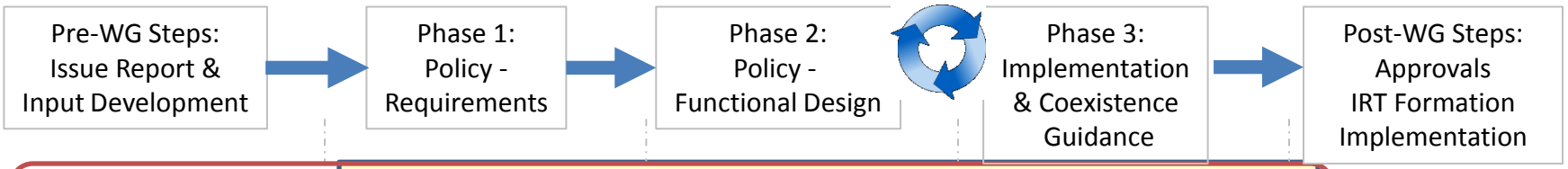
Final PDP WG Report

GNSO Council Decision Point (see page 12)

3-Phase PDP WG Process: Detailed Descriptions, Slide 1 of 2



3-Phase PDP WG Process: Detailed Descriptions, Slide 2 of 2



Pre-WG Steps: Issue Report & Input Development	Phase 1: Policy - Requirements	Phase 2: Policy - Functional Design	Phase 3: Implementation & Coexistence Guidance	Post-WG Steps: Approvals IRT Formation Implementation
Coexistence	Coexistence Reqs - Coexistence Needs (incl. Time Period, Phased Transition Plan)	Coexistence Design - Policies to address Coexistence Needs Per Stakeholder	Coexistence Guidance on - Incremental Test/Adoption - Transition Plan for each Area (e.g., Access, Accuracy, Privacy)	
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 Report*	System Model Reqs - Collection, Access, and Storage Reqs - Performance, Scalability, Stability and Security Reqs - Internationalization Reqs	System Model Design - Systems Architecture (Entities & Interfaces) - Performance, Scalability, Stability, Security Policies - Internationalization Policy Updates	System Model Guidance on - RDS Operator Criteria - Implementation Needs - Protocol Extension Needs - Testing Needs to demonstrate that requirements are met	
Cost Model - EWG Principles Sect 9 - IBM RDS Cost Analysis - *Cost Impact Assessment on all Ecosystem Players*	Cost Model Reqs - List of Expenses - List of Income Sources - Cost Drivers & Principles on Goals/Metrics/Mitigation	Cost Model Design - Management & Allocation of Costs - Recovery Model (e.g., fees) - Cost Tracking Policies	Cost Model Guidance on - Ballpark Cost #s for entire Ecosystem, based on Model Design, covering full lifecycle (dev, test, migration, operation)	
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 Modeling, Metrics & Benchmarks	
Risk Assessment - EWG Risk Survey (Initial) - *WHOIS & RDS Risk Survey*	Risk Assess Reqs - Guiding Principles to reconcile Risks, Impacts, and Benefits	Risk Assess Design - Identify Risks - Assess Impacts	Risk Assess Guidance on - Possible measures to accept, mitigate, and transfer risks	

Input to PDP WG → Policy Development Process (PDP) Working Group → Output of PDP WG

3-Phase PDP WG Process: Further Recommendations

Oversight

To 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). At this time, it is not known how long each phase will take.

Methodology

To facilitate 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. The methodology used by the PDP WG must be transparent, consistent with the GNSO Policy Development Process, and take into consideration capacity to ensure adequate resourcing from all stakeholders.

Parallelism

The EP-WG recommends a single PDP WG team address all policy areas simultaneously during Phase1.
If the GNSO chooses, parallel subteams may be used during Phases 2-3 to address policy areas concurrently, in a sequenced manner, given sufficient resources and coordination. Especially during Phase 3, external experts may be called upon to help the PDP WG complete research in selected areas (e.g., data protection laws, risk assessment, cost impact analysis).

3-Phase PDP WG Process: GNSO Council Decision Point Definition

At each decision point, the GNSO Council may decide that sufficient progress has been made to move to the next phase, that questions still need to be more fully addressed before moving to the next phase, or that the PDP WG has accomplished its charter.

A set of questions must be defined in advance to guide the GNSO Council at each decision point. Questions may touch on key goals/concerns and how well they have been addressed by the PDP WG. For example:

Has the WG addressed all questions posed in the November 2012 Board Resolution that initiated this PDP, including:

- ❑ Why are gTLD registration data collected?
- ❑ What purpose will the data serve?
- ❑ Who collects the data?
- ❑ What value does the public realize with access to registration data?
- ❑ Of all the registration data available, which does the public need access to?
- ❑ Is the WHOIS protocol the best choice for providing that access?
- ❑ What safeguards are provided to protect the data?

Has the WG made suitable progress in this phase towards:

- ❑ Establishing a compelling business case for a Next-Gen RDS to meet defined needs for registration data?
- ❑ Establishing a coexistence plan enabling phased transition over a defined period of time?
- ❑ Creating a viable approach to moving from WHOIS anonymous access to RDS gated access?
- ❑ Ensuring scalability, stability and security of the Next-Gen RDS?
- ❑ Measuring the effectiveness of the Next-Gen RDS in reaching stated goals?
- ❑ Seeking buy-in from all impacted parties, including ecosystem players, consumers & standards bodies?

The above list is not exhaustive; it is provided as a starting point for the GNSO Council to refine.

The EP-WG will continue to consider guidance on GNSO Council Decision Points and may further refine the above suggested list, following public comment on the PDP Issue Report.

Post-PDP WG Steps: Using the PDP WG's Output

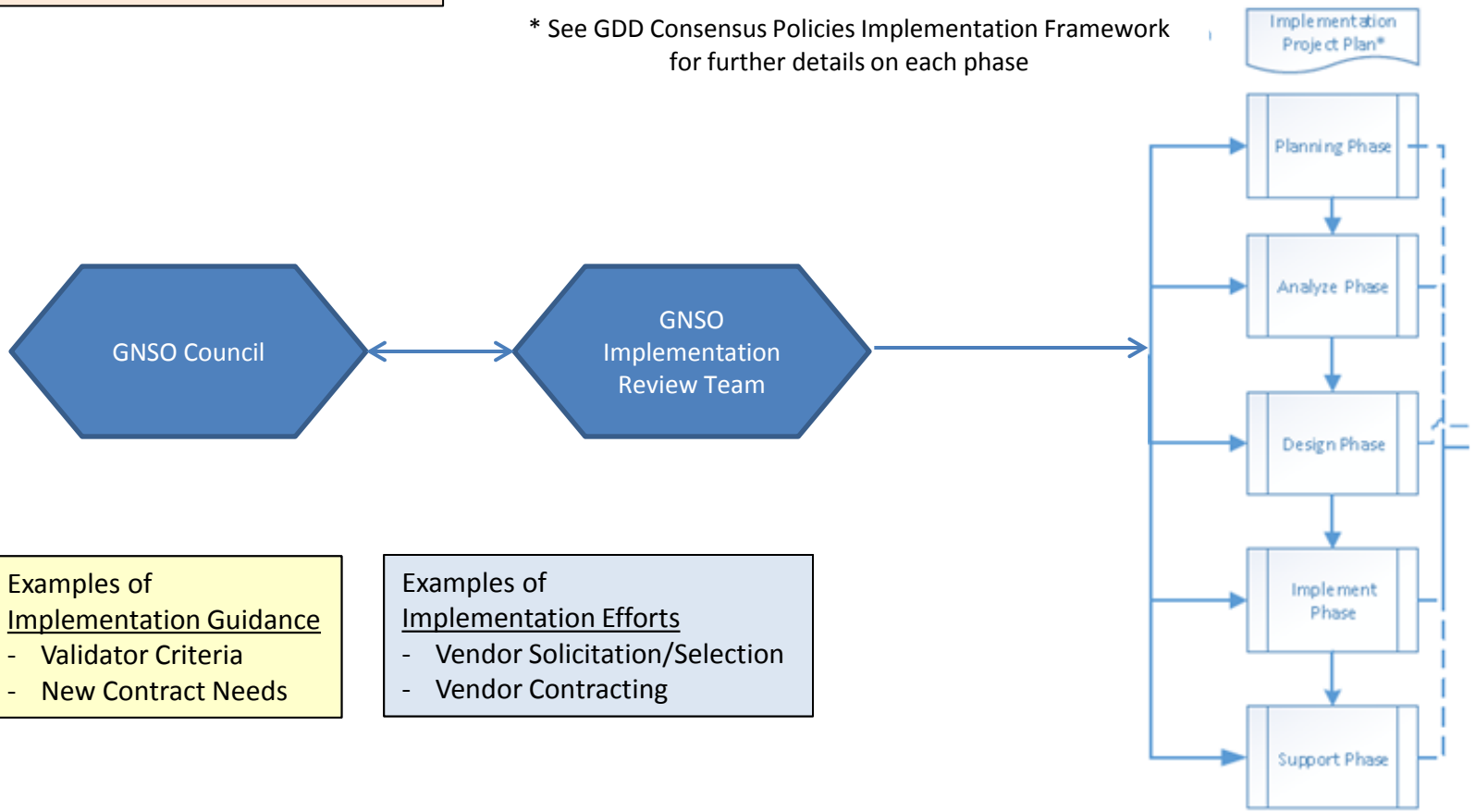
ICANN Board adopts GNSO Policy Recommendations and 'the Board shall, as appropriate, give authorization or direction to ICANN staff to work with the GNSO Council to create an implementation plan based upon the implementation recommendations identified in the Final Report, and to implement the policy.'

→ ICANN Staff forms internal implementation team to co-ordinate hand-over from policy to services team and starts development of proposed implementation project plan (timing/steps

→ ICANN Staff shares proposed implementation project plan with Implementation Review Team

↔ IRT interfaces with the Council, as necessary

* See GDD Consensus Policies Implementation Framework for further details on each phase



Examples of Implementation Guidance
- Validator Criteria
- New Contract Needs

Examples of Implementation Efforts
- Vendor Solicitation/Selection
- Vendor Contracting