Sequencing of EWG RDS Principles as input to GNSO PDP (Draft 3)

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.

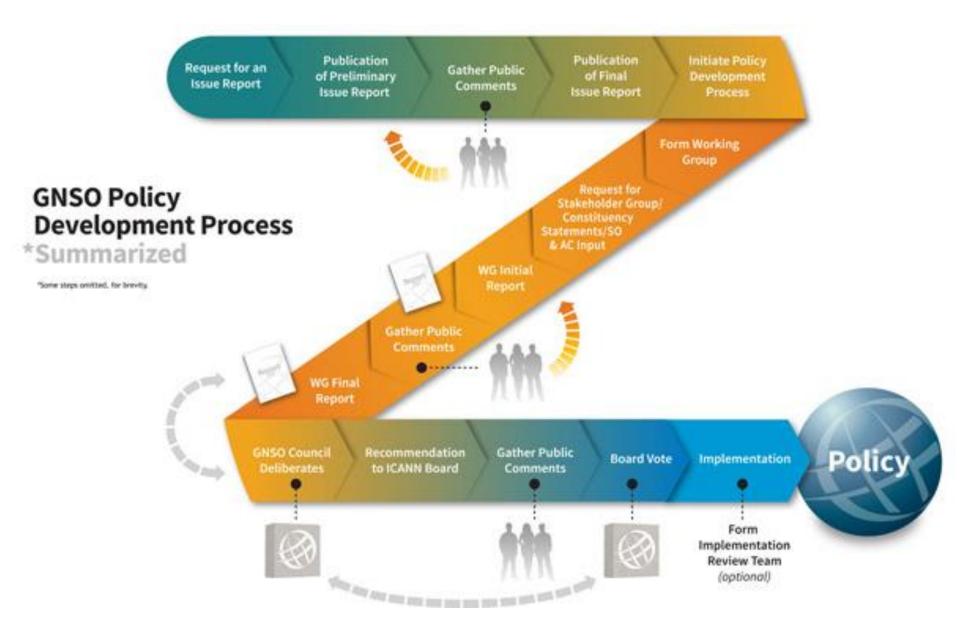
During Phase 1, the PDP WG would examine all RDS policy requirements at a high level. The GNSO Council would review/approve Phase 1 outputs before the PDP WG proceeds to Phase 2.

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.

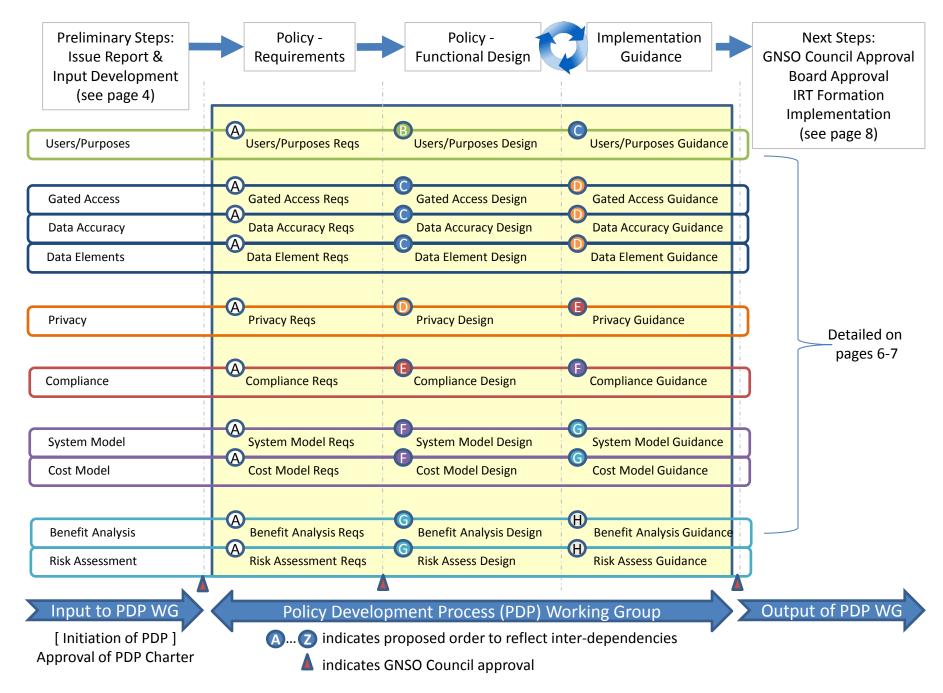
During Phase 3, the PDP WG would dive more deeply into each policy group to create implementation guidance. Details considered in Phase 3 may require refinement of certain Phase 2 policies; refinements must be carefully coordinated to manage interdependencies.

After Phase 3, PDP WG outputs would feed into the next steps detailed on page 8 (e.g., IRT & Staff implementation efforts, informed by PDP WG implementation guidance).

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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		
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 - EWG Principles Sect 6&7 - Privacy/Proxy Needs - 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

Policy Development Process (PDP) Working Group

Output of PDP WG

11/10/2014

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	

Input to PDP WG

Policy Development Process (PDP) Working Group

Output of PDP WG

Next Steps (using PDP WG's output)

