

EP-WG's Proposed Framework for a PDP WG on Next-Generation RDS

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

Phase 1: Policy - Requirements Definition

Phase 2: Policy – Functional Design

Phase 3: Implementation Guidance

Post-WG Steps

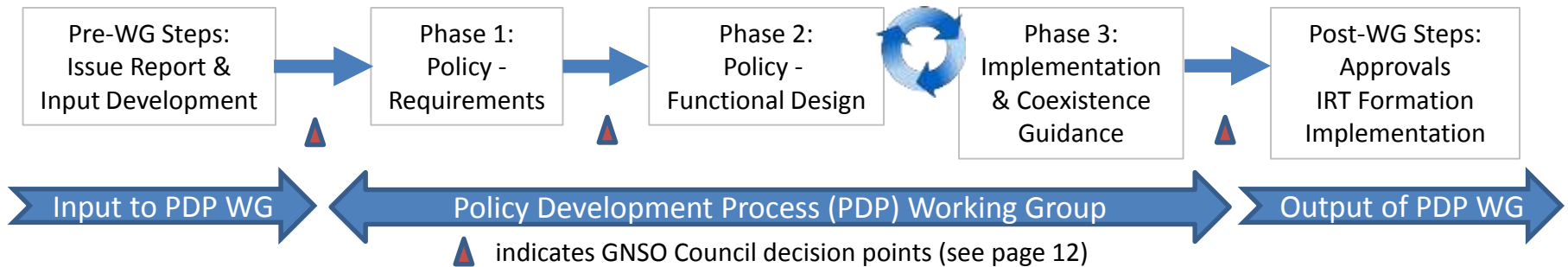
Tasks to be completed **BEFORE** a PDP WG is formed

Policies that establish **IF & WHY** a Next-Gen RDS is needed

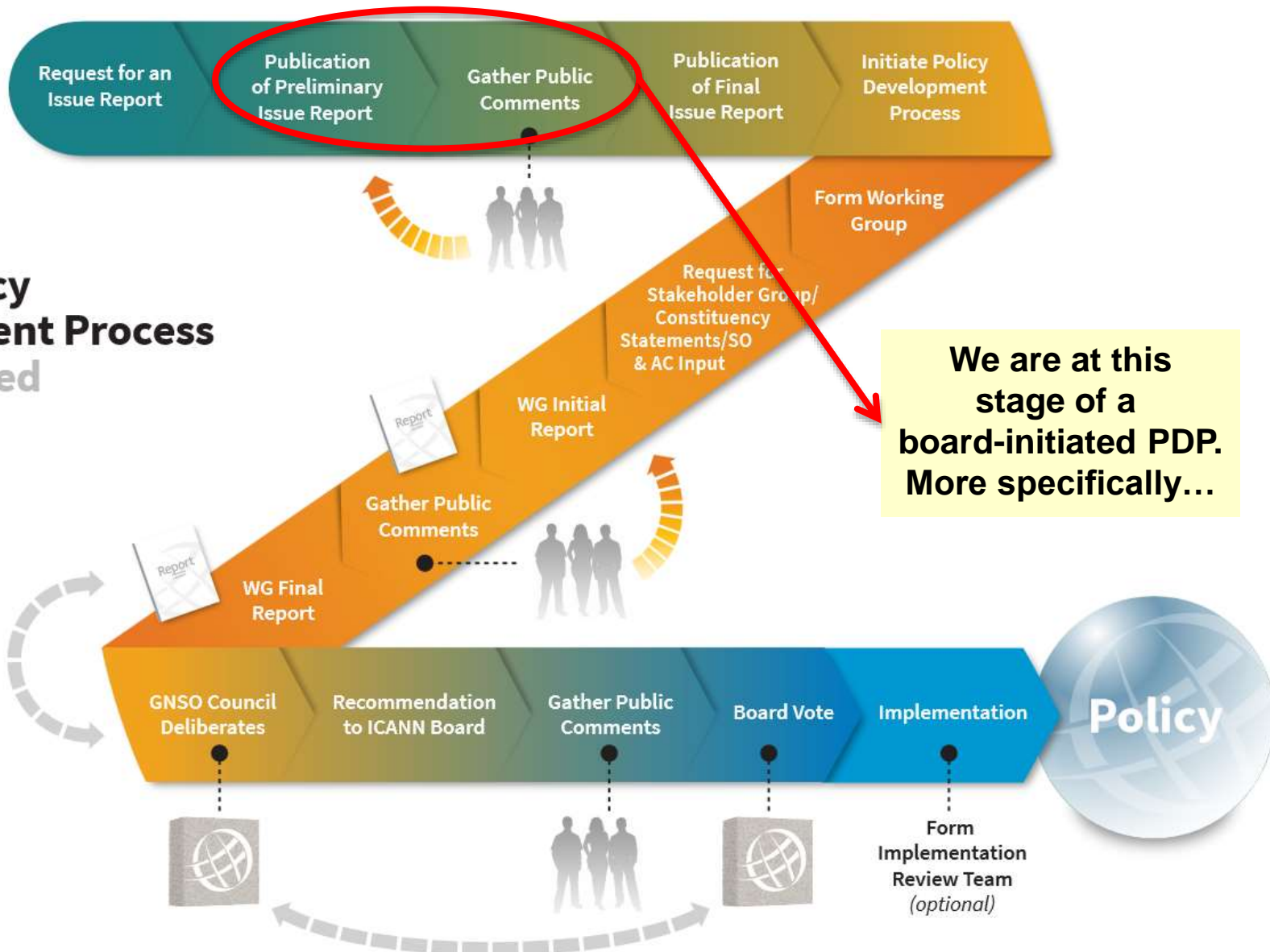
Policies that detail **WHAT** a Next-Gen RDS must do

Guidance on **HOW** a Next-Gen RDS should implement policy

Tasks to be completed **AFTER** the WG's final report



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



GNSO Policy Development Process *Summarized

*Some steps omitted, for brevity.

We are at this stage of a board-initiated PDP. More specifically...

Pre-PDP WG Steps: Completed and Upcoming

Nov 2012	Board	<input checked="" type="checkbox"/> Direct preparation of a (PDP) Issue Report
Nov 2012	Board	<input checked="" type="checkbox"/> Launch the EWG
Mar 2013	Staff	<input checked="" type="checkbox"/> PDP - Preliminary Issue Report
Mar-Apr 2013	Community	<input checked="" type="checkbox"/> Public Comment Forum (on above)
Jun 2013	EWG	<input checked="" type="checkbox"/> EWG Initial Report
Jun-Aug 2013	Community	<input checked="" type="checkbox"/> Public Comment Forum , Consultations (on above)
Nov 2013	EWG	<input checked="" type="checkbox"/> EWG Update Report
Dec-Feb 2014	Community	<input checked="" type="checkbox"/> Public Comment Forum , Consultations (on above)
Jun 2014	EWG	<input checked="" type="checkbox"/> EWG Final Report
Oct 2014- Feb 2015	EP-WG	<input checked="" type="checkbox"/> Develop Recommendations on PDP WG Process and Charter Guidance
Mar-Apr 2015	EP-WG	<input checked="" type="checkbox"/> Finalize EP-WG output; relay to GNSO & Board
May-Jun 2015	Staff	<input type="checkbox"/> New Preliminary Issue Report reflecting EP-WG output
Jun-July 2015	Community	<input type="checkbox"/> Public Comment Period on New Issue Report
Aug 2015	Staff	<input type="checkbox"/> Final Issue Report reflecting Public Comments
Sep-Oct 2015	GNSO Council	<input type="checkbox"/> Refine Charter for PDP Working Group
	GNSO Council	<input type="checkbox"/> 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:

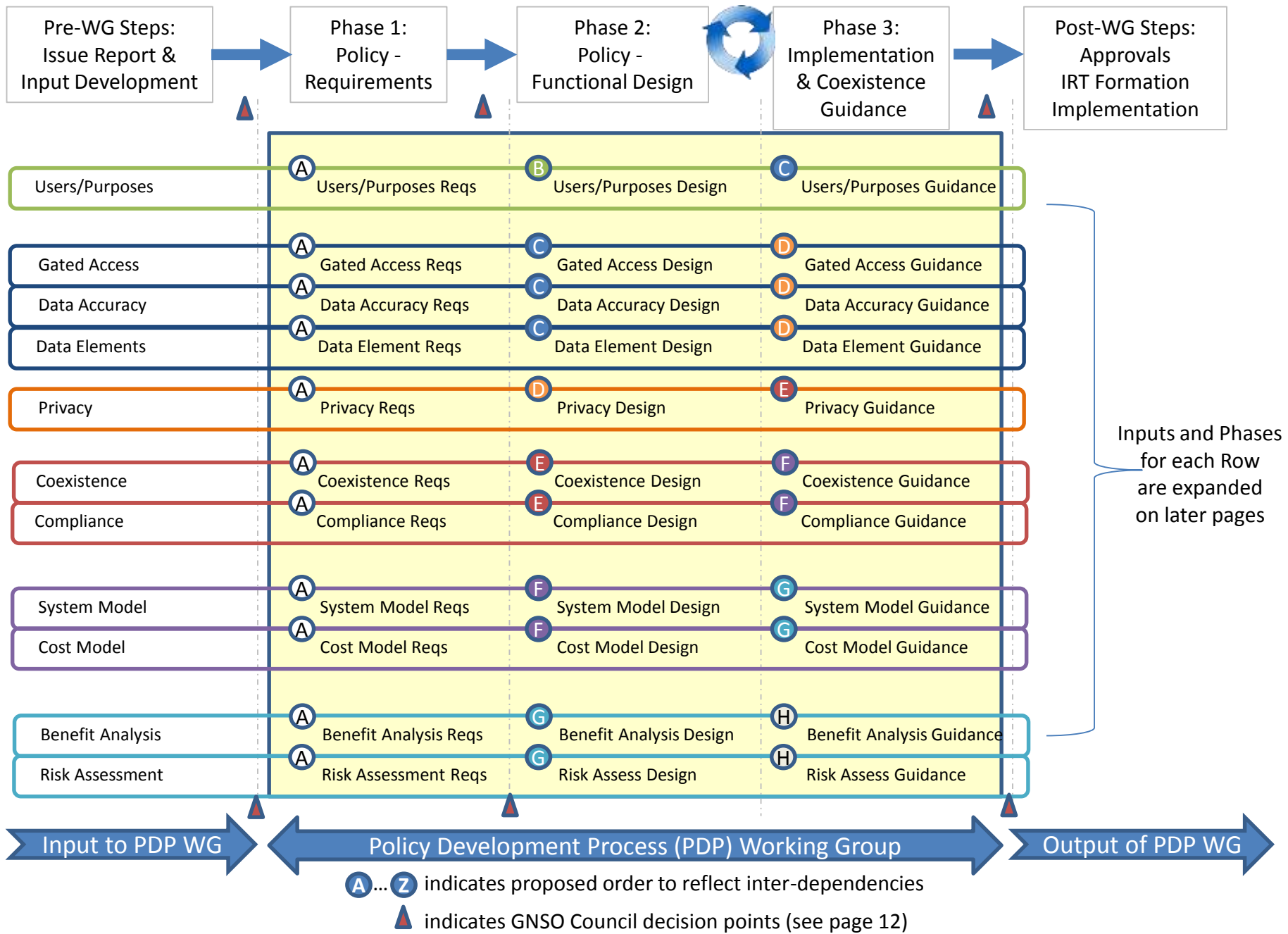
Phase 1: Policy - Requirements Definition	Define IF & WHY a Next-Gen RDS is needed
Phase 2: Policy – Functional Design	Detail WHAT a Next-Gen RDS should do
Phase 3: Implementation & Coexistence Guidance	Consider HOW a Next-Gen RDS should implement policy

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 **A** must be considered before work can commence on the area labeled **B**. Only after **B** has been considered can work commence on areas labeled **C**. And so on.



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.

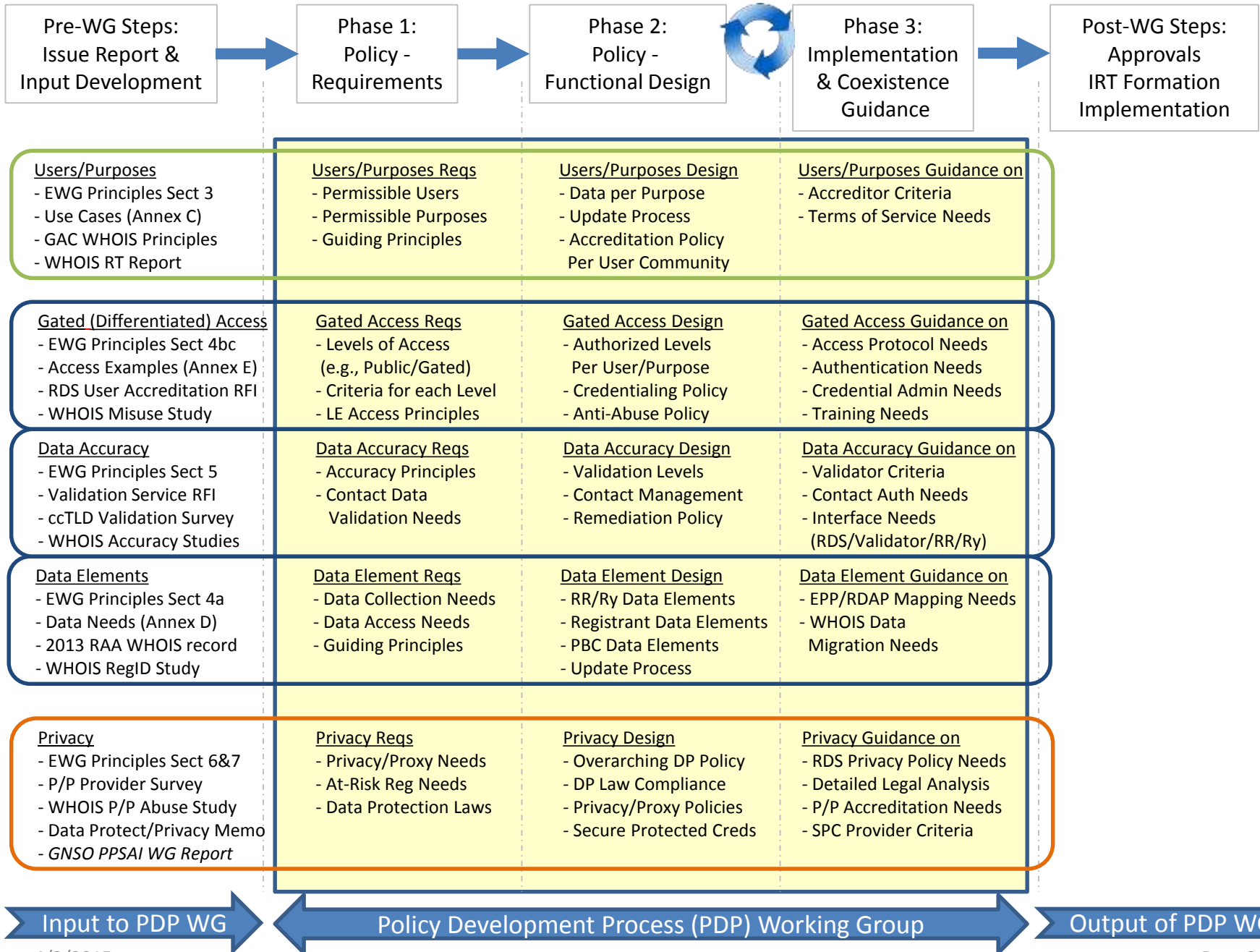
Public Comment on PDP WG Draft Report

Final PDP WG Report

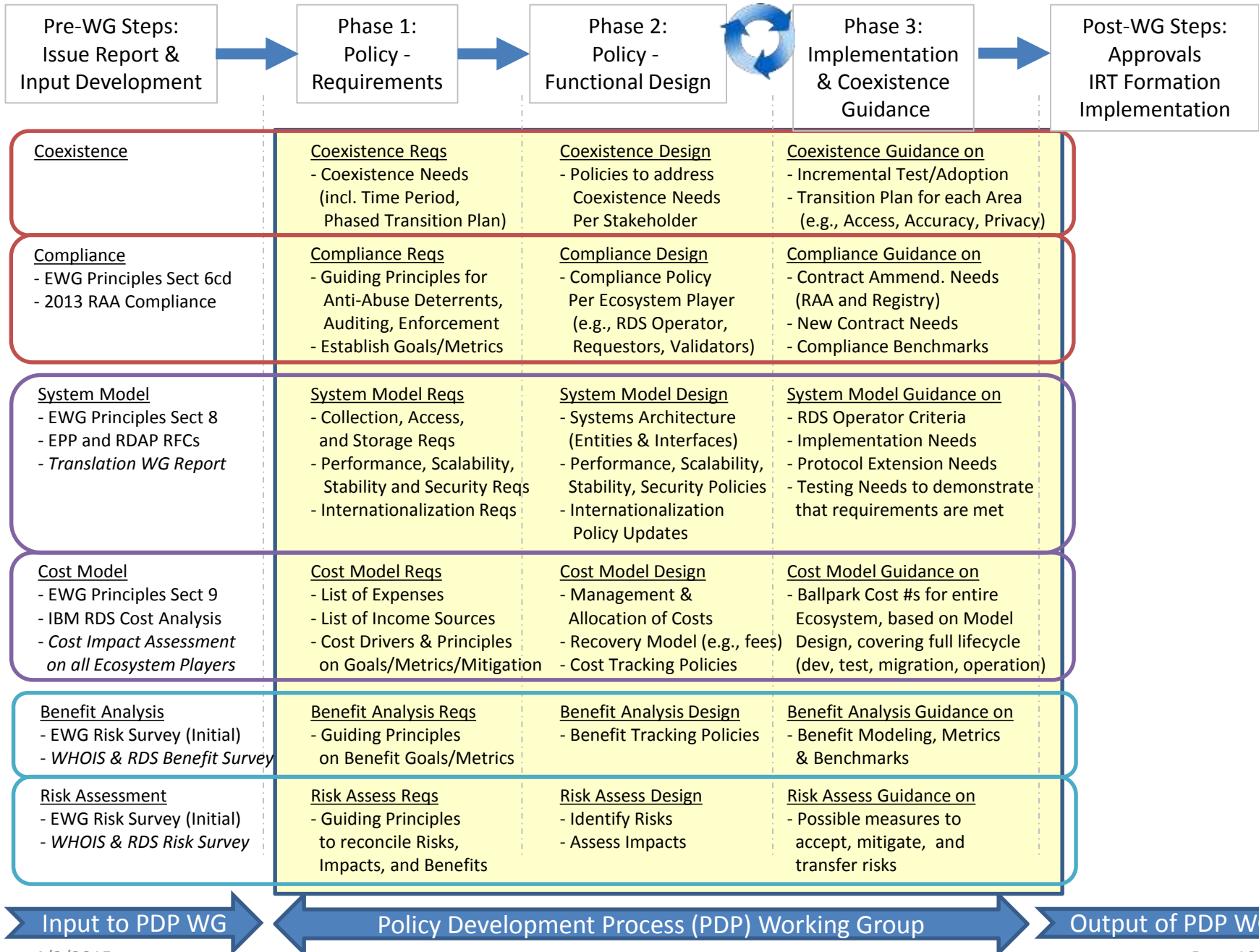


GNSO Council Decision Point (see page 12)

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



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



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?

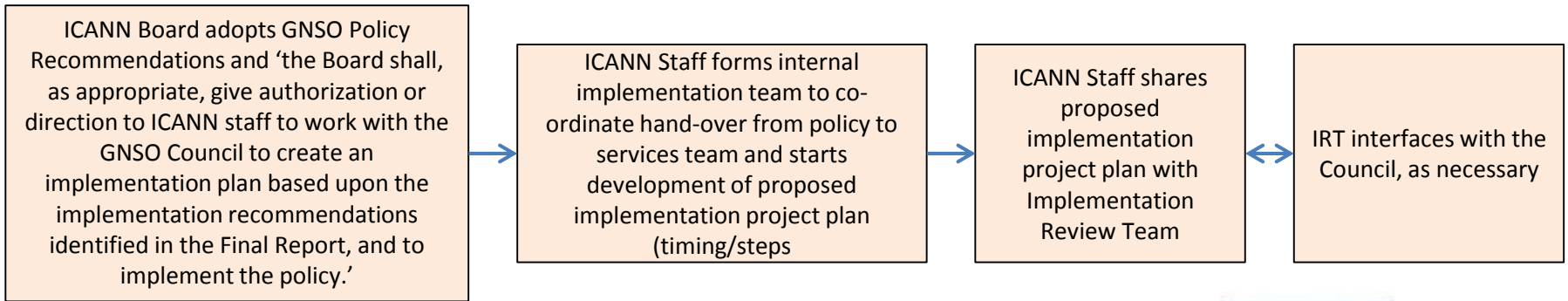
Has the WG made suitable progress in this phase towards:

- 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



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

