



Overview of the GNSO/Board Process Framework for a
PDP WG on Next-Generation gTLD RDS (March 2016)

Who created the process framework?

- ◉ In 2012, the ICANN Board requested a GNSO PDP on Next-Generation gTLD Registration Directory Services (RDS)
- ◉ In late 2014, after the EWG submitted its findings to ICANN's CEO, members of the GNSO Council and the ICANN Board convened to recommend next steps and how to structure this PDP for success
- ◉ A suggested process framework for this PDP was published in April 2015, adopted by the Board in May, and used as input to this PDP WG's charter, adopted by the GNSO council in November

Board Members

- Cherine Chalaby
- Steve Crocker
- Chris Disspain
- Ram Mohan
- Ray Plzak
- Bruce Tonkin



GNSO Members

- James Bladel, RrSG
- Don Blumenthal, RySG
- Ching Chiao, RySG
- Avri Doria, NCSG
- Susan Kawaguchi, BC
- Dan Reed, Nom Com Appointee
- Jonathan Robinson, GNSO Chair

What does the framework suggest?

- ⦿ The framework suggests a phased PDP WG approach:
<https://community.icann.org/display/gTLDRDS/Process+Framework>
- ⦿ The framework groups and sequences a series of 11 questions that the PDP WG should address when attempting to reach consensus
 - ⦿ Phase 1: Policy Requirements Definition (IF & WHY)
 - ⦿ Phase 2: Policy Functional Design (WHAT)
 - ⦿ Phase 3: Implementation Guidance (HOW)
- ⦿ Pre-WG steps already completed: New Issue Report (included key inputs and draft PDP WG charter); Public Comment; Final Issue Report; GNSO Council consideration; PDP WG formation
- ⦿ Post-WG steps: GNSO Council and Board Approval of WG's final report; IRT formation; implementation, informed by guidance

What questions did the framework identify?

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

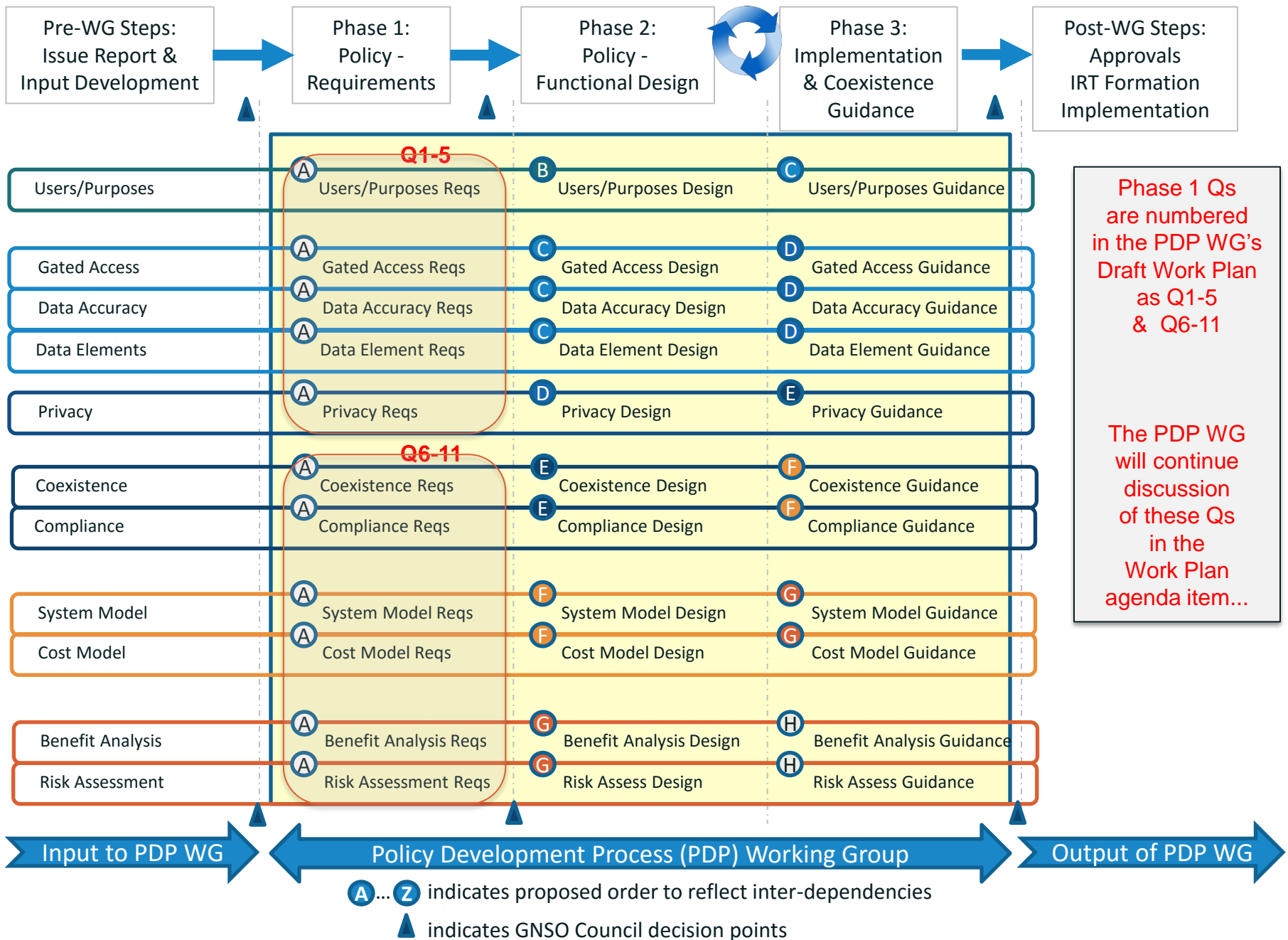
Users/Purposes	Who should have access to gTLD registration data
Gated Access	What steps should be taken to control data access for each user/purpose
Data Accuracy	What steps should be taken to improve accuracy
Data Elements	What data should be collected, stored, and disclosed
Privacy	What steps are needed 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.

**Included in the Issue Report and WG Charter
as a *minimum* set of questions to be addressed by the PDP WG.**



This framework was reflected in the WG's charter as a starting point to guide the WG as it develops a work plan for this PDP.
Questions?



Why are there three phases?

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

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

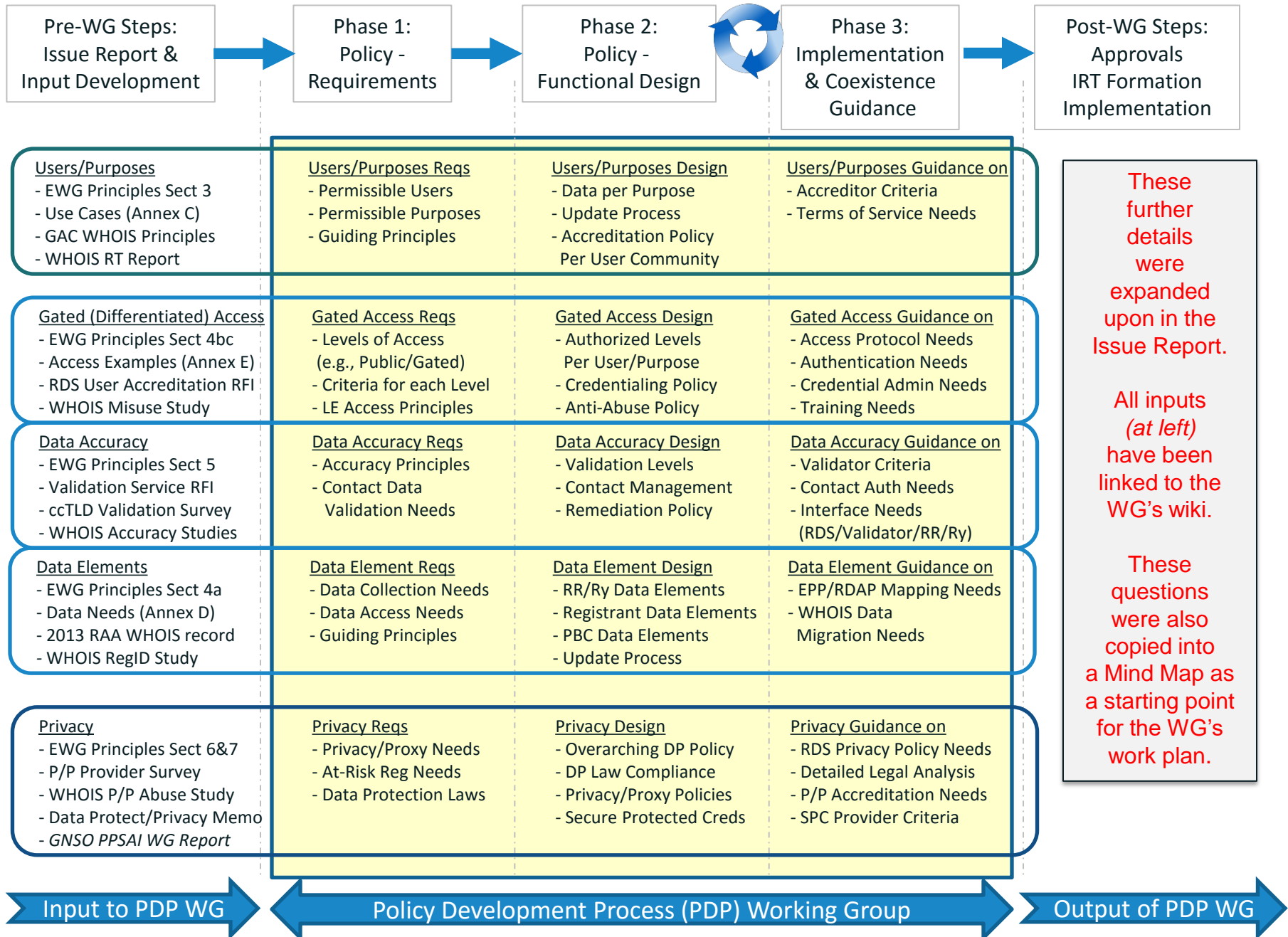
The PDP WG dives more deeply into each policy group to create implementation and coexistence guidance. For example, in Phase 3a), the PDP WG might explore possible Terms of Service for permissible users and purposes and identify challenges that must be overcome. In Phase 3b), the PDP WG might detail 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

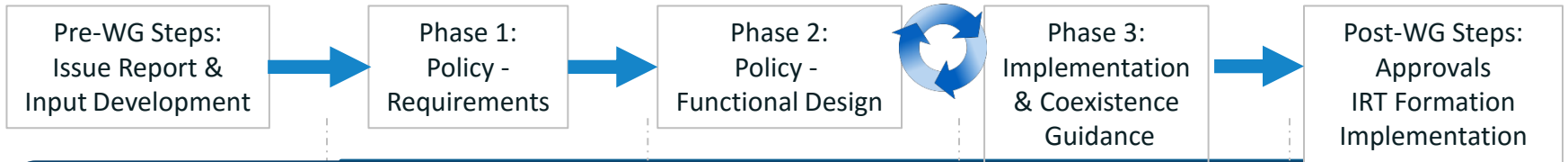
Final PDP WG Report

▲ GNSO Council Decision Point

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



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



	Phase 1: Policy - Requirements	Phase 2: Policy - Functional Design	Phase 3: Implementation & Coexistence Guidance
<u>Coexistence</u>	<u>Coexistence Reqs</u> - Coexistence Needs (incl. Time Period, Phased Transition Plan)	<u>Coexistence Design</u> - Policies to address Coexistence Needs Per Stakeholder	<u>Coexistence Guidance on</u> - Incremental Test/Adoption - Transition Plan for each Area (e.g., Access, Accuracy, Privacy)
<u>Compliance</u> - EWG Principles Sect 6cd - 2013 RAA Compliance	<u>Compliance Reqs</u> - Guiding Principles for Anti-Abuse Deterrents, Auditing, Enforcement - Establish Goals/Metrics	<u>Compliance Design</u> - Compliance Policy Per Ecosystem Player (e.g., RDS Operator, Requestors, Validators)	<u>Compliance Guidance on</u> - Contract Ammend. Needs (RAA and Registry) - New Contract Needs - Compliance Benchmarks
<u>System Model</u> - EWG Principles Sect 8 - EPP and RDAP RFCs - <i>Translation WG Report</i>	<u>System Model Reqs</u> - Collection, Access, and Storage Reqs - Performance, Scalability, Stability and Security Reqs - Internationalization Reqs	<u>System Model Design</u> - Systems Architecture (Entities & Interfaces) - Performance, Scalability, Stability, Security Policies - Internationalization Policy Updates	<u>System Model Guidance on</u> - RDS Operator Criteria - Implementation Needs - Protocol Extension Needs - Testing Needs to demonstrate that requirements are met
<u>Cost Model</u> - EWG Principles Sect 9 - IBM RDS Cost Analysis - <i>Cost Impact Assessment on all Ecosystem Players</i>	<u>Cost Model Reqs</u> - List of Expenses - List of Income Sources - Cost Drivers & Principles on Goals/Metrics/Mitigation	<u>Cost Model Design</u> - Management & Allocation of Costs - Recovery Model (e.g., fees) - Cost Tracking Policies	<u>Cost Model Guidance on</u> - Ballpark Cost #s for entire Ecosystem, based on Model Design, covering full lifecycle (dev, test, migration, operation)
<u>Benefit Analysis</u> - EWG Risk Survey (Initial) - <i>WHOIS & RDS Benefit Survey</i>	<u>Benefit Analysis Reqs</u> - Guiding Principles on Benefit Goals/Metrics	<u>Benefit Analysis Design</u> - Benefit Tracking Policies	<u>Benefit Analysis Guidance on</u> - Benefit Modeling, Metrics & Benchmarks
<u>Risk Assessment</u> - EWG Risk Survey (Initial) - <i>WHOIS & RDS Risk Survey</i>	<u>Risk Assess Reqs</u> - Guiding Principles to reconcile Risks, Impacts, and Benefits	<u>Risk Assess Design</u> - Identify Risks - Assess Impacts	<u>Risk Assess Guidance on</u> - Possible measures to accept, mitigate, and transfer risks

In the draft work plan, these cross-cutting questions are only addressed if the WG decides that a Next-Gen RDS may be needed to meet fundamental requirements.



What else did the framework suggest?

- ⦿ Oversight
 - ⦿ **At each decision point**, the GNSO Council may define a set of questions to decide whether **sufficient progress** has been made to move to the next phase
 - ⦿ GNSO Council should **approve Phase 1 outputs** before the PDP WG proceeds to Phase 2
 - ⦿ Oversight should be provided during Phases 2-3 to **ensure continuing alignment** with Phase 1 requirements
- ⦿ Timeline
 - ⦿ To foster sustained progress and timely completion, the WG should work towards a **defined timeline and targets**
 - ⦿ During Phase 1, a single PDP WG team should address **all policy areas simultaneously**
 - ⦿ Phases 2-3 contain opportunities for parallel progress, sequenced for **inter-dependencies**, subject to **resourcing**