It's now time to start deliberations
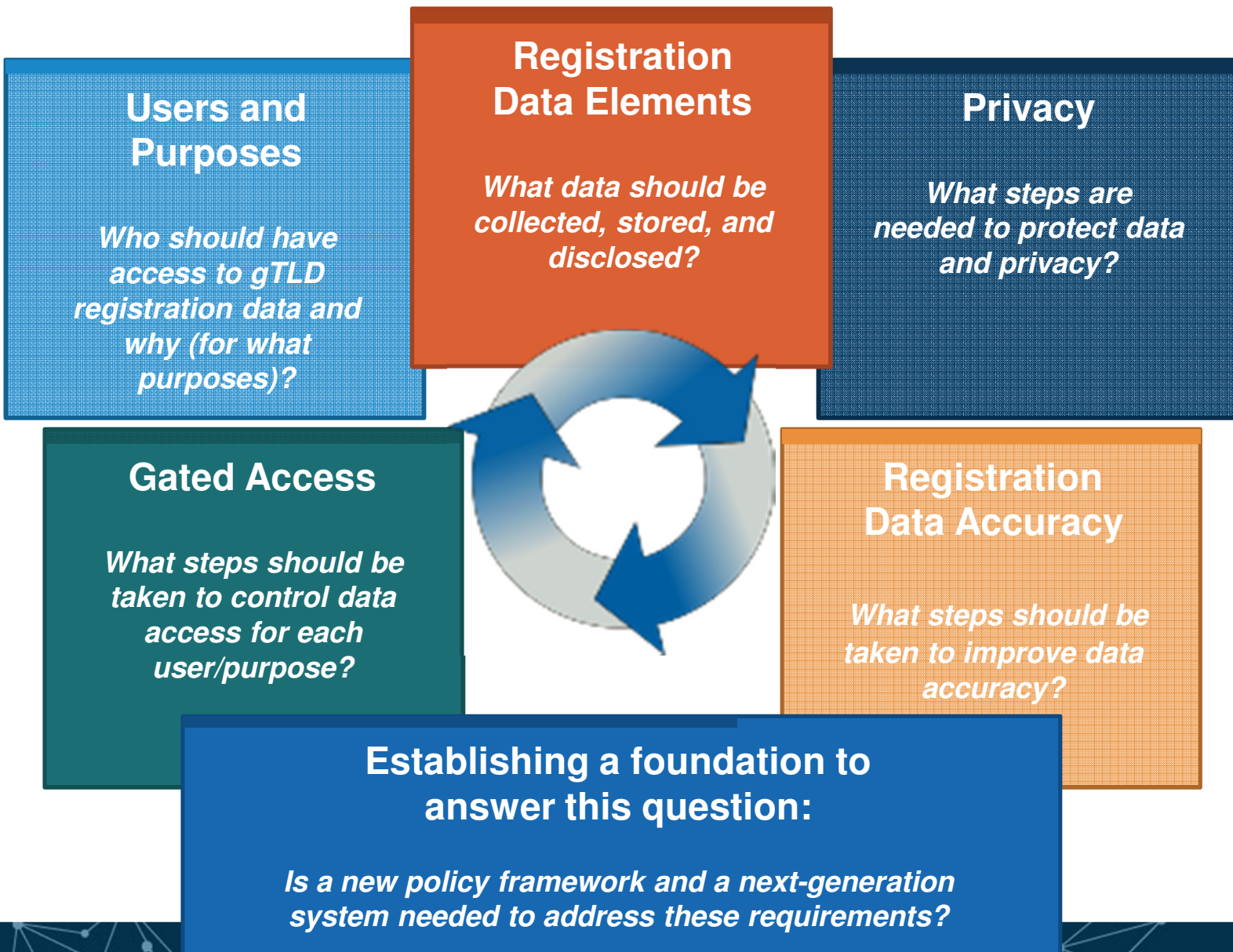

8. Develop Initial Possible Requirements List
9. Informal Outreach on Initial Possible Requirements List
10. Finalize Initial Possible Requirements List
11. Decide how to reach consensus during deliberation
12. Deliberate on possible Fundamental Requirements
13. Publish First Initial Report for Phase 1 Public Comment
14. Review/analyze Public Comments on First Initial Report
15. Expand Phase 1 Work Plan based on Task 12 outcome
16. Deliberate on possible Cross-cutting Requirements for NG RDS or WHOIS
17. Finalize Draft Recommendations
18. Publish Second Initial Report for Phase 1 for Public Comment
19. Review/analyze Public Comments on Second Initial Report
20. Publish Final Report for Phase 1

https://community.icann.org/x/oIxlAw

Task 12.a: Deliberate on Possible Fundamental Requirements, starting with a first pass at deliberating on requirements for these three charter questions:

❖ Users/Purposes: Who should have access to gTLD registration data and why?

❖ Data Elements: What data should be collected, stored, and disclosed?

❖ Privacy: What steps are needed to protect data and privacy?

Keeping in mind where we're headed...

Users and Purposes

Who should have access to gTLD registration data and why (for what purposes)?

Registration Data Elements

What data should be collected, stored, and disclosed?

Privacy

What steps are needed to protect data and privacy?

Gated Access

What steps should be taken to control data access for each user/purpose?

Registration Data Accuracy

What steps should be taken to improve data accuracy?

Establishing a foundation to answer this question:

Is a new policy framework and a next-generation system needed to address these requirements?

Further detailed in the charter & issue report

This Mind Map serves as a concise illustration of the fundamental questions and sub-questions detailed in the RDS PDP Charter and Issue Report:
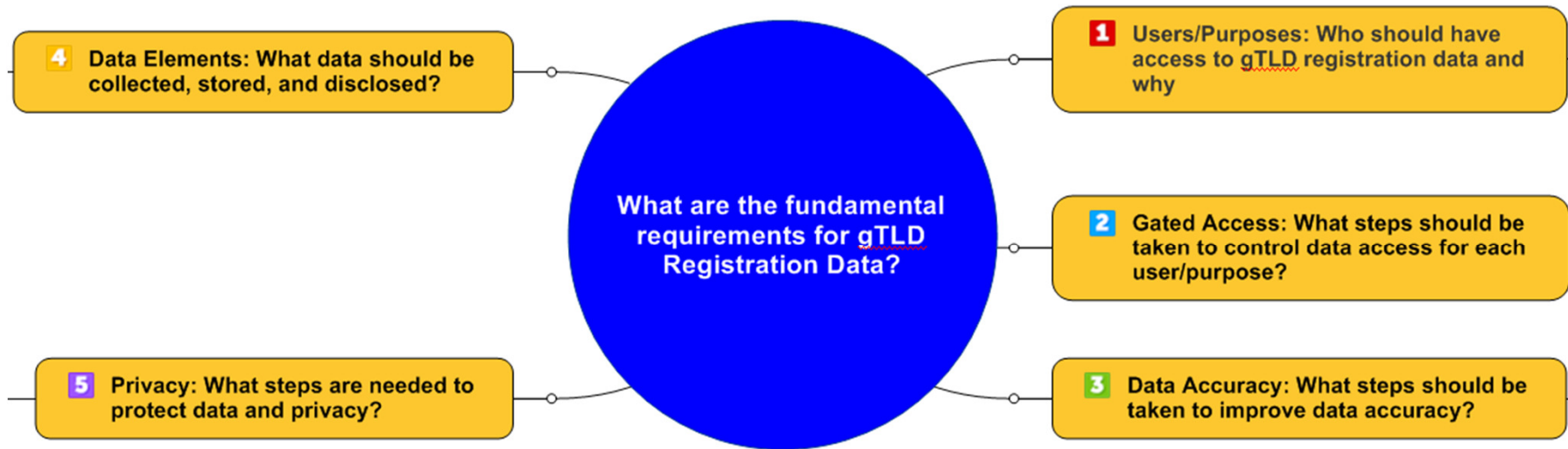
RDS-PDP-Phase1-FundamentalQs-SubQs-MindMap-2May 2016.pdf

This map was created as a tool to help the WG better understand and reach agreement on the fundamental questions to be addressed in phase 1 by illustrating inputs, dependencies, and sub-questions (expanded on next slide)

We'll start deliberating on three questions

1 Users/Purposes: Who should have access to gTLD registration data and why

What are the guiding principles that should be used to determine permissible users and purposes, today and in the future?

Should gTLD registration data be accessible for any purpose or only for specific purposes?

For what specific purposes should gTLD registration date be collected, maintained, and made accessible?

Who should be permitted to use gTLD registration data for those purposes?

What should the over-arching purpose be of collecting, maintaining, and providing access to gTLD registration data?

Defer to phase 2/3: Policies such as data elements accessible to each user/purpose; guidance on Terms of Service for each purpose

Iterating in a randomized manner

5 Privacy: What steps are needed to protect data and privacy?

What are the guiding principles that should be applied?

Do existing gTLD registration directory services policies sufficiently address compliance with applicable data protection, privacy, and free speech laws within each jurisdiction?

Do existing gTLD registration directory services policies sufficiently address the overall privacy needs of registrants and other stakeholders?

What new or enhanced privacy approaches or levels should be used to overcome identified barriers to protection of gTLD registration data and registrant privacy and why?

Defer to phase 2/3: Policies such as specific over-arching privacy policy for gTLD registration directory services or enhanced privacy options that may be build upon policies specified by the PPSAI PDP; guidance on application of data protection laws in each jurisdiction and how they apply to each registration data element.

4 Data Elements: What data should be collected, stored, and disclosed?

What are the guiding principles that should be applied to all data elements to determine whether they are mandatory/optional to collect, public/non-public to access, etc?

Do existing gTLD registration data elements sufficiently meet the needs of purposes identified as permissible?

Should any gTLD registration data elements be removed, revised, and/or added to meet those needs?

Should gTLD registration data collection and access be based on permissible purposes, jurisdiction, applicable laws, registrant type, and/or other criteria?

Defer to phase 2/3: Policies such as application of principles to each specific data element; guidance on how gTLD data elements map to EPP and RDAP.

Charter Questions

Sub-Questions

Sub-sub questions

Examples of topics to be considered in phase 2/3

By deliberating on possible requirements

For example, consider these Data Element (DE) possible requirements

In the grid below, we identify the *possible requirement* for WG deliberation, any **prerequisites or dependencies** contained in that *possible requirement*, and whether the *possible requirement* therefore falls into Phase 1, 2, or 3. Policies designed to meet **Phase 1** policy requirements should be considered in **Phase 2**, while implementation or coexistence guidance for Phase 2 policies should be considered in **Phase 3**. In addition, an initial attempt has been made to **group similar requirements by code (C) and keyword (K)**, allowing the table to be easily re-sorted or filtered – see Annex B for definitions.

QQ-D#-R#	Possible Requirement	Prerequisites/Dependencies	Ph	C	K
[DE-D01-R01]	The [gTLD registration directory service] must accommodate purpose-driven disclosure of data elements.	Related to [UP-D01-R02]	1	A, AB	a, s
[DE-D01-R02]	Not all [gTLD registration] data collected is to be public; disclosure must depend upon Requestor and Purpose.	Depends on Permissible Users, Permissible Purposes	1	A, AB	a, s
[DE-D01-R03]	Public access to an identified minimum data set must be made available [by the gTLD registration directory service], including contact data published expressly to facilitate communication for this purpose.	Depends on Minimum Data Set such as [DE-D01-R26], Access PR(s) for Public Access	1	AB, DA	t, b
[DE-D01-R04]	Data Elements determined to be more sensitive (after conducting the risk & impact assessment) must be protected by gated access, based upon: • Identification of a permissible purpose, • Disclosure of requestor/purpose, and	Depends on Data Set for each Permissible Purpose [DE-D01-R07], Access PR(s) for Gated Access	1	A, AB	a, s

QQ: Charter Question (e.g., UP, DE, PR)

D#: Source Document #

R#: Unique Possible Requirement (PR) #
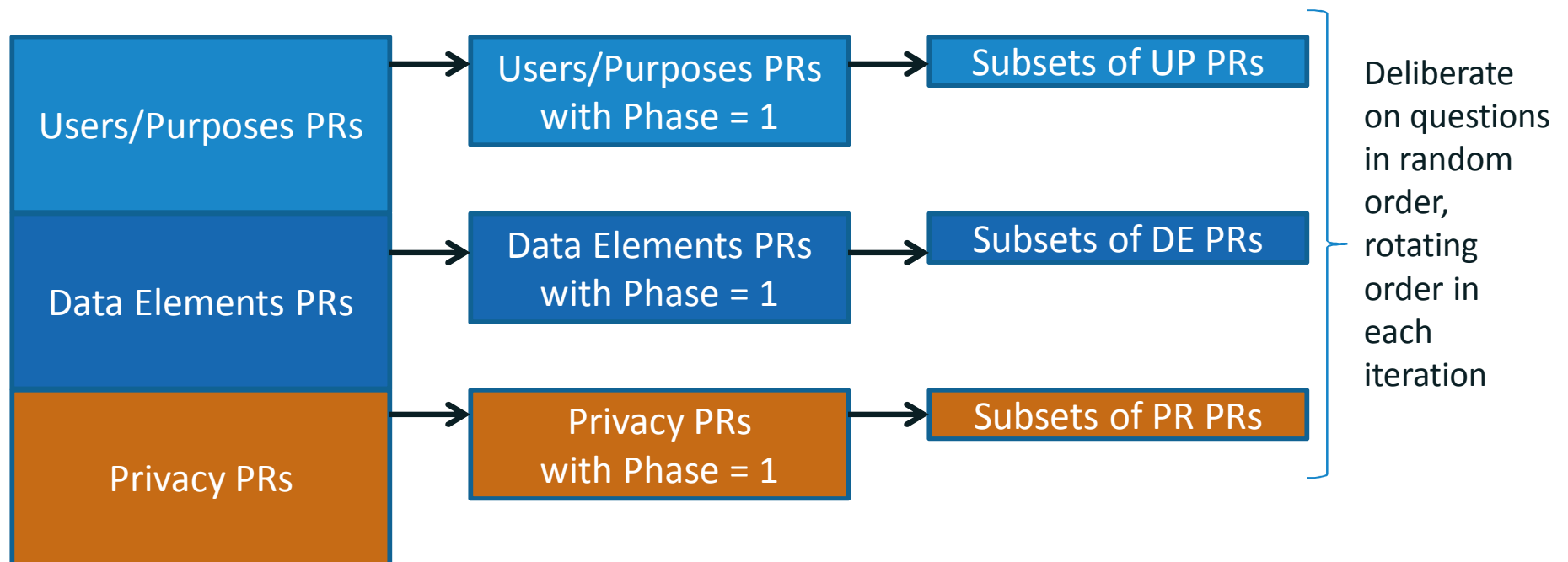
(Ph)ase 1 / 2 / 3

(C)odes

(K)eywords

Phases, codes, and keywords can be used to select subsets for deliberation

Using a randomized iterative approach

1. Sort possible requirements for phase 1 requirements only.
2. Randomly order the three questions: Users/Purposes, Data Elements & Privacy.
3. For the first round, start with the first randomly selected question, followed by the second, and then the third, discussing **a subset of possible requirements**, using the Prerequisites/Dependencies, Codes, and Keywords to select subsets for deliberation.
4. For the next round, rotate the order of questions so that the second becomes the first, the third becomes second, and the first becomes third, iterating on step 3.

Users/Purposes PRs	→	Users/Purposes PRs with Phase = 1	→	Subsets of UP PRs
Data Elements PRs	→	Data Elements PRs with Phase = 1	→	Subsets of DE PRs
Privacy PRs	→	Privacy PRs with Phase = 1	→	Subsets of PR PRs

Deliberate on questions in random order, rotating order in each iteration

Proposed approach for selecting subsets

Codes may be used to select subsets for deliberation

Start with Alpha Order: Start deliberating on a subset of PRs that have Code = "A."
Continue with subsets for other Codes in alphabetical order (e.g., AA, AB, AC, AD, B...), or
as determined during deliberation.

Further filtering may help to organize deliberation on each subset

a) **Dependencies:** Begin deliberating on the PRs within each subset that have no dependencies.
    Continue by following the chain of inter-dependencies between PRs within that subset,
    so that continuing deliberations can build upon points of agreement.

b) **Keywords:** For subsets that are large or broad, apply Keywords to break into smaller subsets.

c) **Charter Subquestions:** Map the PRs within each subset to subquestions posed by the Mind Map,
    so that points of agreement can be applied to answer Charter Questions.

For example, Data PRs with Code = "A" include

QQ-D#-R#	Possible Requirement - DATA ELEMENTS (DE)	Prerequisites/Dependencies	Ph	Codes	Keywords
[DE-D01-R01]	The [gTLD registration directory service] must accommodate purpose-driven disclosure of data elements.	Related to [UP-D01-R02]	1	A, AB	a, s
[DE-D01-R02]	Not all [gTLD registration] data collected is to be public; disclosure must depend upon Requestor and Purpose.	Depends on Permissible Users, Permissible Purposes	1	A, AB	a, s
[DE-D01-R03]	Public access to an identified minimum data set must be made available [by the gTLD registration directory service], including contact data published expressly to facilitate communication for this purpose.	Depends on Minimum Data Set such as [DE-D01-R26], Access PR(s) for Public Access	1	A, AA, DA	t, b
[DE-D01-R04]	Data Elements determined to be more sensitive (after conducting the risk & impact assessment) must be protected by gated access, based upon: Identification of a permissible purpose, Disclosure of requestor/purpose, and Auditing/Compliance to ensure that gated access is not abused.	Depends on Data Set for each Permissible Purpose [DE-D01-R07], Access PR(s) for Gated Access	1	A, AB,	a, s
[DE-D01-R05]	Only the data elements permissible for the declared purpose must be disclosed (i.e., returned in responses or searched by Reverse and WhoWas queries).	Related to [DE-D01-R04], Depends on Data Set for each Permissible Purpose [DE-D01-R07], Access PR(s) for Gated Access	1	A, AB, D	a
[DE-D01-R06]	The only [gTLD registration] data elements that must be collected are those with at least one permissible purpose.	Related to [UP-D23-R14], Depends on Data Set for each Permissible Purpose [DE-D01-R07]	1	A, D	a
[DE-D01-R07]	Each [gTLD registration] data element must be associated with a set of permissible purposes.	Precedes [DE-D01-R08 to R11], Related to [DE-D01-R04 to R06], Similar to [DE-D01-R09], Depends on Permissible Purposes	1	A, D	a

Extracted from Draft 5 in-progress (code review still underway)

\# of PRs with Code = A (Goals of System)   User/Purpose = 63   Data = 39   Privacy = 4
\# of PRs with Code = AA (Transparency)   User/Purpose = 19   Data = 10   Privacy = 1

Subset sizes vary significantly by Code and Question