RDS-WHOIS2-RT

Call #3 - 20 July 2017

ICANN

Agenda

- Welcome, roll-call, SoI
- Leadership update *(RDS-WHOIS2 Interim Leaders)*
- Fact Sheet *(Charla Shambley, Xavier Calvez)*
- Schedule of plenary calls *(RDS-WHOIS2 Interim Leaders)*
- Terms of Reference: definition *(Lisa Phifer)*
- Discussion on "RDS Review - Guidance for Determining Scope of Review (February 2017)" *(Karen Mulberry)*
- Face to Face Meeting #1 - travel logistics *(Karen Mulberry)*
- A.O.B.

Leadership Update

Agenda Item #1 – Alan, Cathrin, Susan

RDS-WHOIS2-RT Interim Leaders

Alan Greenberg - **Chair**
At-Large Advisory Committee (ALAC)
North America

Cathrin Bauer-Bulst - **Vice-Chair**
Governmental Advisory Committee (GAC)
Europe

Susan Kawaguchi - **Vice-Chair**
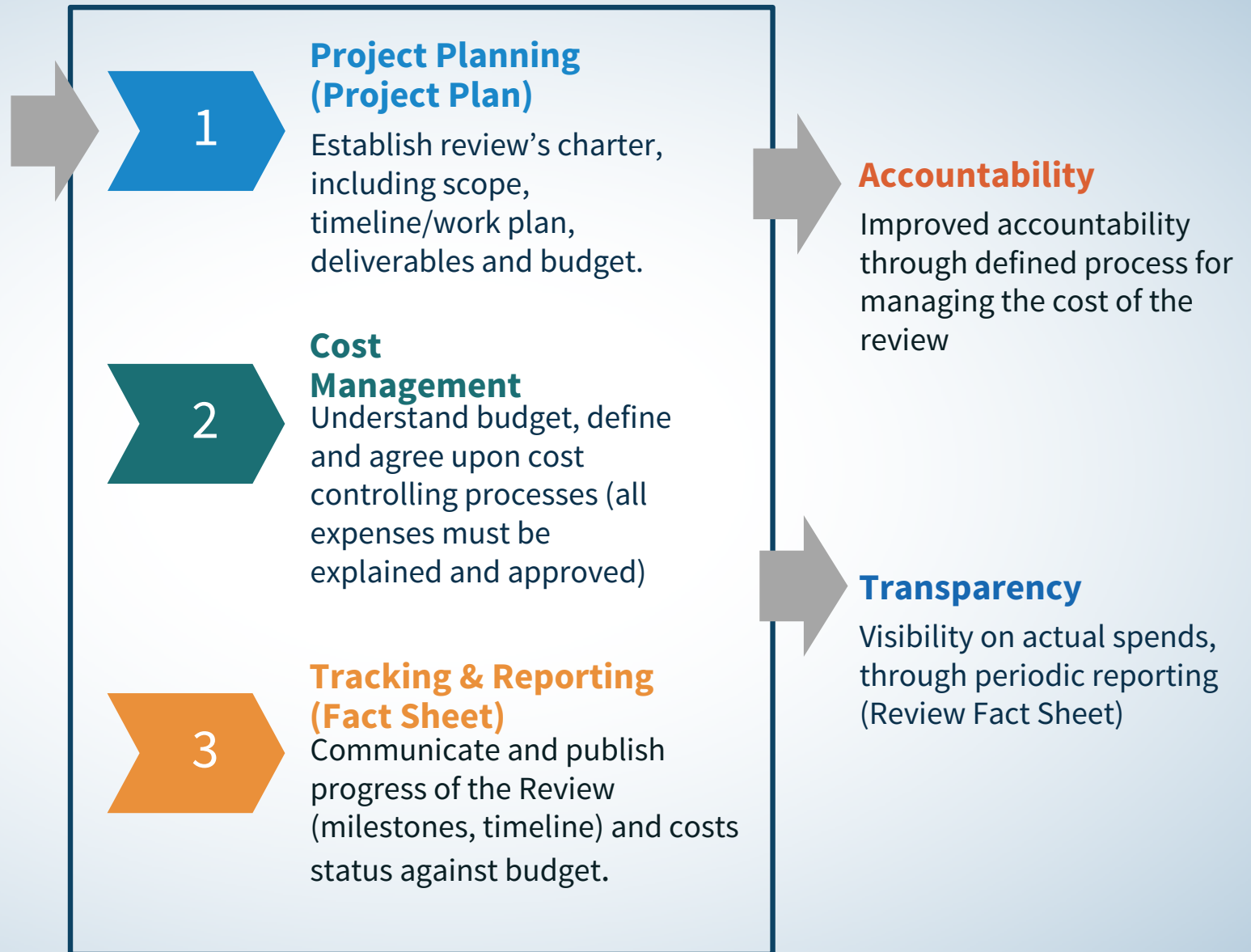Generic Names Support Organization (GNSO)
North America

Fact Sheet

Agenda Item #2 – Charla Shambley, Xavier Calvez

Review Governance Support Team

Assemble a **Review Governance Support Team:**

- RT liaison
- MSSI project /operations liaison
- Finance liaison

1 **Project Planning (Project Plan)**
Establish review's charter, including scope, timeline/work plan, deliverables and budget.

2 **Cost Management**
Understand budget, define and agree upon cost controlling processes (all expenses must be explained and approved)

3 **Tracking & Reporting (Fact Sheet)**
Communicate and publish progress of the Review (milestones, timeline) and costs status against budget.

Accountability
Improved accountability through defined process for managing the cost of the review

Transparency
Visibility on actual spends, through periodic reporting (Review Fact Sheet)

RDS-WHOIS2 Envelope

- Developed based on past experience, size of RT and other relevant assumptions
- $550,000 set aside for the review - start to finish (regardless of fiscal years)
    - Professional Services estimated at $200,000
    - Travel & face-to-face meeting related expenses estimated at $340,000, of which $50,000 has been estimated for Brussels in October 2017
- Each expenditure to be explained and approved, with assistance from Support Team
- If actual work demands more resources, the process is to submit a request to the Board.

Fact Sheet Template

Registration Directory Service (RDS/WHOIS) Review
DRAFT Fact Sheet as of: 30-Jun-2017

Overview:
The Board shall cause a periodic review to assess the effectiveness of the then current gTLD registry directory service and whether its implementation meets the legitimate needs of law enforcement, promoting consumer trust and safeguarding registrant data ("Directory Service Review").
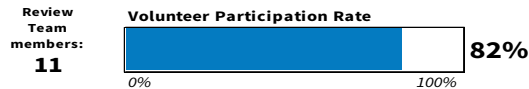
The review team for the Directory Service Review ("Directory Service Review Team") will consider the Organisation for Economic Co-operation and Development ("OECD") Guidelines on the Protection of Privacy and Transborder Flows of Personal Data as defined by the OECD in 1980 and amended in 2013 and as may be amended from time to time.

The Directory Service Review Team shall assess the extent to which prior Directory Service Review recommendations have been implemented and the extent to which implementation of such recommendations has resulted in

Wiki Page:	RDS-WHOIS2 Wiki Home Page
RDS-WHOIS2-RT Email:	input-to-rds-whois2-rt@icann.org
Review Questions:	reviews@icann.org

Interim RDS-WHOIS2 Co-Chairs:	Cathrin Bauer-Bulst
	Alan Greenberg
	Susan Kawaguchi

Review Status (as of 30-Jun-2017)

Start Date:	Jun-17	**Review Duration to Date:**	**1** Month(s)
Expected Completion:	Jun-18	**Total Expected Duration:**	**12** Months

8% Complete, Based on Duration
0% 100%

7% Budget Spent/Committed by Review Team

Section I: People (as of 30-Jun-2017)

Review Team members: **11**

Volunteer Participation Rate **82%**
0% 100%

ICANN Org (individuals involved at various times throughout Review):

Face-to-face meetings:	**0** Meetings
Calls (plenary and subteam):	**1** Calls
Volunteer meeting & call time:	**9** Hours
Personnel support time [1] (estimated hours and cross-organizational)	**303** Hours

[1] Does not include time for Executives, Legal, IT Personnel and Other Organizational Support

Section II: Financial Resources (as of 30-Jun-2017)

Direct Review Costs [1]	Approved Budget	Spent to Date [2]	Committed Services [3]	Total Spent and Committed to Date	Remaining Budget
Professional Services	$200,000	$0	$0	$0	$200,000
Travel	$340,000	$0	$50,000	$50,000	$290,000
ICANN Org Support	$150,000	$0	$0	$0	$150,000
Total	**$690,000**	**$0**	**$50,000**	**$50,000**	**$640,000**

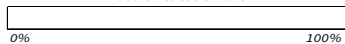[1] Excludes ICANN Organization and overhead allocation.

[2] Based on the most recent month end financials (may not include recent expenditures). Represents expenses incurred since inception of work.

[3] Professional services includes services from signed contracts to be provided or invoiced; travel includes upcoming scheduled meetings.

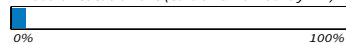### Section III: Milestones (as of 30-Jun-2017)

Review Planning
20% of total effort
0% 100%
- ○ Determine role of observers
- ○ Adopt legal docs (Conflict of Interest policy, NDA, Statement of Interest)
- ○ Adopt Scope of Work
- ○ Adopt Terms of Reference
- ○ Adopt Work Plan/Timeline
- ○ Define project management responsibilities, including budget tracking
- ○ Deliver proposal on division of work
- ○ Establish need for consultant/independent expert
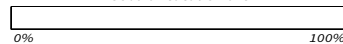- ○ Adopt outreach plan

Research and Studies
20% of total effort (to be reviewed by RT)
0% 100%
- ☑ Assemble repository of background materials
- ○ Identify briefings/data sources needed
- ○ Review metrics
- ○ Research study request - interim report
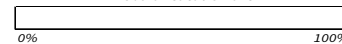- ○ Research study request - final report

Draft Report
35% of total effort
0% 100%
- ○ Assemble initial conclusions
- ○ Develop/adopt template for findings and recommendations
- ○ Assemble findings and potential recommendations
- ○ Consolidate/approve draft recommendations and findings
- ○ Cross-check implementability of interim recommendations
- ○ Board/staff input on implementability of interim recommendations
- ○ Prepare Report shell
- ○ Socialize draft recommendations with community
- ○ Publish Draft Report for Public Comment

Final Report
25% of total effort
0% 100%
- ○ Review input received and incorporate as appropriate
- ○ Cross-check implementability of interim recommendations
- ○ Seek Board/staff input on implementability of final recommendations
- ○ Finalize Report
- ○ Adopt final recommendations and report
- ○ Socialize final recommendations with community
- ○ Submit Final Report to ICANN Board

TOTAL:
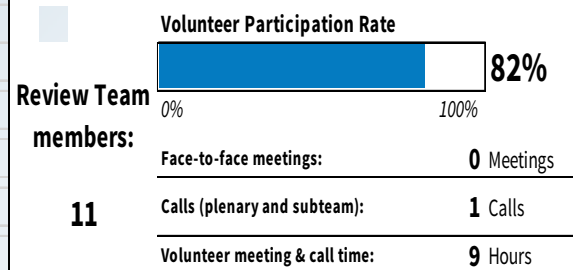**4%** Milestones Completed
0% 100%
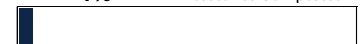
Fact Sheet Template – Participation Rates

Registration Directory Service (RDS-WHOIS2) Review

DRAFT Fact Sheet as of: 30 June 2017

Review Team *(as of 30 June 2017)*

Review Team members:

11

Volunteer Participation Rate

82%

0% 100%

Face-to-face meetings:	**0**	Meetings
Calls (plenary and subteam):	**1**	Calls
Volunteer meeting & call time:	**9**	Hours

Review Team Members *(as of 30 June 2017)*

Member	SO/AC	Attended	Participation Rate
Alan Greenberg	At-Large	1	100%
Carlton Samuels	At-Large	0	0%
Cathrin Bauer-Bulst	GAC	0	0%
Dmitry Belyavsky	At-Large	1	100%
Erika Mann	GNSO	1	100%
Lili Sun	GAC	1	100%
Stephanie Perrin	GNSO	1	100%
Susan Kawaguchi	GNSO	1	100%
Thomas Walden	GAC	1	100%
Volker Greimann	GNSO	1	100%
Chris Disspain, Board Member	ICANN Board	1	100%
To be named	ccNSO	0	0%
To be named	ccNSO	0	0%
To be named	ccNSO	0	0%

Schedule of Plenary Calls

Agenda Item #3 – Alan, Cathrin, Susan

Schedule of Plenary Calls

- Weekly – 60 minutes
- Bi-Weekly – 90 minutes

Terms of Reference

Agenda Item #4 – Lisa

ICANN Board Resolution

- **ICANN Board Resolution**

"Resolved (2017.02.03.10), the Board hereby appoints Chris Disspain to serve as a member of the RDS Review Team and requests that this team develop and deliver to the Board its approved Terms of Reference and Work Plan by the 15th of May, 2017, to ensure that the team's scope and timeline is consistent with the requirements of the ICANN Bylaws."

- **The Review Team must provide an estimated date to submit its approved Terms of Reference and Work Plan to the ICANN Board**

- **In the following slides, we provide an introduction to what is meant by a Terms of Reference and a Work Plan to help the Review Team understand what is involved**

- **Detailed templates will also be provided as a starting point for this Review Team to flesh out, approve, and then submit to the Board**

What is a Terms of Reference (ToR)?

- **Goal**
  - Demonstrate how the objective of the review will be accomplished within the available time and specified resources
  - Provide a clear articulation of work to be done and a basis for how the success of the project will be determined
  - After the ToR has been adopted and submitted to the Board in response to its resolution to constitute the review, if the ToR needs to be amended, revisions must be submitted to the Board along with rationale

- **ToR Template**
  - Provides guidance for topics and examples of issues that all Review Teams should address in their ToR
  - Provides best practices to facilitate completion
  - Template is a starting point for the Review Team to adjust to meet individual review needs, by addressing all relevant issues

Some topics to be covered in a ToR*

- **Review Identification**
  - Initiation/formation dates, leadership and board liaison, workspace URL, mailing list, links to Bylaw text and other essential background
- **Mission, Purpose, and Terms**
  - Background (e.g., past review), Mission (text from Bylaws) and Scope (as agreed by Review Team consensus), definitions of relevant terms
- **Deliverables & Timeframes**
  - List of major milestone dates, list of deliverables
  - Summarized from the Review Team's Work Plan and Project Plan
- **Formation, Liaison, Chair, Participation**
  - Review Team composition, roles and responsibilities of Review Team members, roles and responsibilities of leadership and board liaison, support from ICANN Organization and Independent Experts
- **Decision-Making, Communication & Transparency, Reporting**
  - How the team will operate and reach consensus
  - How communications will be made transparent
  - Review Team member reporting obligations

* Topics now being organized into a ToR Template for consistency.
This list is not exhaustive and can be augmented as needed.

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What is a Work Plan?

- **Goal**
  - Serves as a guide for the team to plan its work for the review
  - Outlines key areas for discussion and milestones to be achieved during the review process

- **Topics included in a work plan**
  - Preparation tasks
  - Guidance on defining sub-team milestones: scope, timeline, process, additional data needed, analysis and findings, recommendations
  - Outputs to be produced: Draft Report(s), Public Comment Period, Final Report

- **This guidance is used to produce a Project Plan**
  - Establishes specific milestones, dates, and dependencies for the review

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Discussion on "RDS Review - Guidance for Determining Scope of Review (February 2017)"

Agenda Item #5 – Karen

Guidance for Determining the Scope of the Review

- The [RDS Limited Scope Proposal](#) originated with the SO/AC leaders earlier this year based on discussions on how to conduct the RDS Review more effectively as well as minimize the impact on the community and its resources.

- The proposed limited scope suggests that:
  - The scope be limited to a "post mortem" of implementation results of the previous WHOIS review recommendations

  - ICANN Org report on implementation of WHOIS review recommendations:
    - How well were the identified issues addressed?
    - How well were the recommendations implemented?

  - Review scope excludes issues already covered by RDS PDP effort

SO/AC Feedback on the Proposed Limited Scope

- ALAC & SSAC, have both indicated support of the proposed limited scope, and exclusion of issues covered by RDS PDP.
- GAC feedback noted that many of its members have no objection to the proposal, but a few members expressed concerns regarding the exclusion of issues that are covered by the RDS PDP effort, due to the length of time PDP takes.
- GNSO feedback indicates their support for excluding issues already covered by the RDS PDP efforts, to avoid duplication of work, and the proposed limited scope. Additionally, GNSO suggests the scope to include and assess:
  - Whether RDS efforts meet the "legitimate needs of law enforcement, promoting consumer trust and safeguarding registrant data."
  - How RDS current & future recommendations might be improved and better coordinated
  - Privacy and Proxy Services Accreditation Issues and Implementation
  - The progress of WHOIS cross-departmental validation implementation
  - Compliance enforcement actions, structure, and processes
  - Availability of transparent enforcement of contractual obligations data
  - The value and timing of RDAP as a replacement protocol
  - The effectiveness of any other steps ICANN Org has taken to implement WHOIS Recommendations

Face-to-Face Meeting #1 – Travel Logistics

Agenda Item #6 – Karen

Review Team Travel Funding

- Face-to-Face Meeting #1 – Brussels: **October 2-3**

- ICANN will cover economy airfare, hotel and meals to attend RDS/WHOIS2-RT Face-to-Face meetings in accordance with the ICANN Travel Policy

- ICANN Constituency Travel (constituency-travel@icann.org) will contact you to assist you in your travel arrangements

- If you need a visa letter to attend a meeting, contact rds-whois2-staff@icann.org

- For information about Per Diem, read the FAQs

A.O.B.

Agenda Item #7

Questions?

Contact us at
rds-whois2-staff@icann.org