

PDP 3.0 Implementation



GNSO Council Webinar
9 December 2019

Agenda

- Background
- Package 1 Improvements (#1, #2, #3, #6)
- Package 2 Improvements (#11, #12, #14, #16)
- Package 3 Improvements (#5, #13)
- Package 4 Improvements (#9, #15)
- Remaining Work Items
- Linkage with Multistakeholder Model Evolution

Background

Divided Into Five (5) Improvement Packages

GNSO Council initiative to **enhance the efficiency & effectiveness of PDPs**

Adopted **14 PDP 3.0 Improvements** on 24 October 2018

1

- #1 Terms of participation for WG members
- #2 Alternatives to open Working Group model
- #3 Criteria for joining of new members
- #6 Expectations for Working Group leaders

2

- #11 Enforce deadlines & ensure bite size pieces
- #12 Notification to Council of change in work plan
- #14 Criteria to evaluate request for data gathering
- #16 Criteria for PDP Working Group updates

3

- #5 Active role for and clear description of Council liaison to PDP Working Groups
- #13 Review of working group leadership

4

- #9 Provide further guidance for section 3.6 and clarification of section 3.7
- #15 Independent Conflict Resolution

5

- #4 Capture vs. consensus playbook
- #17 Resource reporting for PDP Working Group

GNSO Council Small Team

GNSO Council Small Team supports the implementation efforts in collaboration with **GNSO support staff**; held **28 meetings** since April 2019



Darcy Southwell

RrSG

Former Small Team Member



Maxim Alzoba

RySG



Elsa Saade

NCSG



Pam Little

RrSG



Flip Petillion

IPC



Philippe Fouquart

ISPCP



Marie Pattullo

BC



Rafik Dammak

NCSG

Small Team Chair

Progress Overview

Dates of Package Delivery



Package 1 Improvements

#1 Terms of participation for Working Group (WG)

members

#2 Alternatives to open WG model

#3 Criteria for joining of new members

#6 Expectations for WG leaders

Package 1 Overview

1

#1, #2, #3, #6 | *Expectations, Requirements, Participation Methods for GNSO Working Groups Members and Leaders*

Statement of participation

(#1)

A document that seeks affirmative commitment from working group members before they can participate in a working group

A comparison table of working group models

(#2)

A document that identifies three policy working group models, notes aspects for consideration during working group formation, and lists elements of different models that can be mixed and matched

Criteria for joining of new members

(#3)

A document that provides additional clarifications for the GNSO Working Group Guidelines and outlines factors that a working group should consider in determining whether to accept new members after the start of the effort

Working group member skills guide

(#3)

A document that lists resources, tips, and suggestions that help ensure new members are sufficiently prepared for full participation in a working group

Expectations for working group leaders

(#6)

A tool that facilitates the working group's selection and review of its leadership positions and helps a working group and the Council hold its leaders accountable

Statement of Participation (#1)

- Working group members must agree to:
 - ✓ Cooperate with fellow members to **reach consensus**
 - ✓ Abide by **working methods & rules of engagement**
 - ✓ Treat all members with **civility**
 - ✓ Act in a **reasonable, objective, and informed manner**
 - ✓ Make best efforts to **attend meetings & complete assignments**
 - ✓ Act in accordance with **ICANN Expected Standards of Behavior**
 - ✓ Adhere to applicable **conflict of interest policies**
 - ✓ Adhere to **Anti-Harassment Policy, Terms of Participation & Complaint Procedures**

- Enforceability:** Working Group leadership and GNSO Council leadership can restrict participation in the event of non-compliance

- EPDP Team** serves as a pilot for this implementation



Working Group Models Comparison (#2)

	Open Model	Representative Model	Representative & Open Model
Membership	Open to all interested in participating + 1 neutral Chair	Appointed members and alternatives + liaisons + 1 neutral Chair + expert contributors	Appointed members and alternatives + liaisons + 1 neutral Chair + expert contributors
Participants			✓
Observers change to members	✓		✓ As long as it does not affect upper limit
Consensus Designation Process	All members participate	Appointed members participate; Chair applies weight to positions of GNSO SGs/Cs, which should not be impacted by increased membership from one group	Appointed members participate; Chair applies weight to positions of GNSO SGs/Cs

Other Aspects for Consideration (#2)

	Option A	Option B	Option C
Chair Selection	Selected from WG by WG members Confirmed by GNSO Council	Appointed by GNSO Council with independent evaluation	
Vice Chair(s) / Co-Chair(s)	Determined by WG	Determined by Charter Selected by WG	Determined by Charter Appointment by GNSO Council with independent evaluation
Member Expertise	 Encouraged to have expertise	 Required to have expertise with independent evaluation	

Mix & Match

Criteria for Joining of New Members (#3)



Working group leaders may decide to **suspend new membership** in consultation with the working group



Possible **circumstances** include:

- WG is conducting consensus process for Final Report
- WG has progressed too far along in its work
- Someone wishes to join a Sub Team whose work has finished
- Levels of representation would be altered by new member



Possible **exceptions** include:

- An existing member wishes to stay involved after job change
- Replacement required to maintain the levels of representation



GNSO Council will not determine, but may **provide advice** on whether new members can join

Working Group Member Skills Guide (#3)



Communications skills as the overarching skill set



Responsibility	Skill Requirements	Resources
Contribute ideas & knowledge	<ul style="list-style-type: none"> Knowledge of issue background & work progress Participation commitment Agility in evolving situations 	GNSO Working Group Guidelines Section 4.1
Develop WG documents	<ul style="list-style-type: none"> Knowledge of WG documents & development process Research skills Commitment to work & collaboration 	Deliberations & records of current WG + related WG(s)
Liaise between WG & GNSO SG/C	<ul style="list-style-type: none"> In-depth knowledge of WG progress Understanding of SG/C's interests Commitment to operating a "two-way-street" 	Deliberations & records of WG
Develop GNSO SG/C statements	<ul style="list-style-type: none"> Project management skills Ability to navigate ambiguous situations Support SG/C in statement drafting Knowledge of context / background 	Discussions with SG/C members
Participate in consensus decision making	<ul style="list-style-type: none"> Understanding of consensus concept & process Commitment to avoiding consensus blocking or re-litigating closed issues Decision-making skills Ethical conduct & integrity 	GNSO Working Group Guidelines Section 3.6 PDP 3.0 Improvements #4, #9, #15

Expectations for Working Group Leaders (#6)

- ✓ Encourage **representational balance**
- ✓ Encourage adherence to **ICANN's Expected Standards of Behavior & Community Anti-Harassment Policy**
- ✓ Ensure WG documents represent the **diversity of views**
- ✓ Make **consensus designation** on working group recommendations
- ✓ Handle working group **complaint process**
- ✓ Be versed in **GNSO Operating Procedures**
- ✓ Assume a **neutral and impartial** role
- ✓ **Build consensus**
- ✓ Balance working group **openness with effectiveness**
- ✓ Make **time commitment**



Package 2 Improvements

#11 Enforce deadlines & ensure bite size pieces

#12 Notification to Council of change in work plan

#14 Criteria to evaluate request for data gathering

#16 Criteria for PDP Working Group updates

Package 2 Overview

2

#11, #12, #14, #16 | *Project Management Related Improvements*

[GNSO project work product catalog](#) (#11, #12, #16)

A list of staff-managed work products that help document and guide the progress of a working group from start to finish

- Summary Timeline
- GNSO Council Project List
- Project Plan
- Work Plan & Action Items
- Fact Sheet
- Project Change Request

[Project status and condition change procedure & flowchart](#) (#11, #12, #16)

A process that assists working group and Council leadership in assessing the state of a project and determining when disruptions require Council attention

[Checklist: criteria to evaluate request for data gathering](#) (#14)

A tool that assists PDP working group in performing its due diligence before submitting a data gathering request to the GNSO Council

GNSO Project Work Product Catalog (#11, #12, #16)

1

Summary Timeline

Displays key deliverable dates; to be presented on a rolling 12 months basis; updates occur monthly/as required

Primary Audience: WG, GNSO Council, Community

2

Next Generation Project List

Contains summary, scope, composition, deliverable, tasks, status and condition

Primary Audience: WG, GNSO Council

3

Project Plan

A Gantt Chart with detailed view of tasks and deliverables; typically used within WG leadership

Primary Audience: WG, GNSO Council Leadership

4

Work Plan & Action Item

Tactical view of tasks, deliverables, and additional actions that typically occur no longer than two (2) months

Primary Audience: WG

5

Fact Sheet

For projects where dedicated funds are provided outside of budgeted policy activities; update monthly

Primary Audience: GNSO Council Leadership, Community

6

Project Change Request

A formal, written request to document changed parameters after the project was launched; need Council approval

Primary Audience: GNSO Council







*EPDP Team serves as a pilot to implement these work products
Next Generation Project list presented to the GNSO Council since September 2019*

Project Status & Condition (#11, #12, #16)



Status

Revolves mostly around the **scheduling** attributes and **resource** availability




-  Planned
-  Behind schedule
-  On-Schedule
-  Target will be missed
-  Revised schedule
-  On-hold

VS



Condition

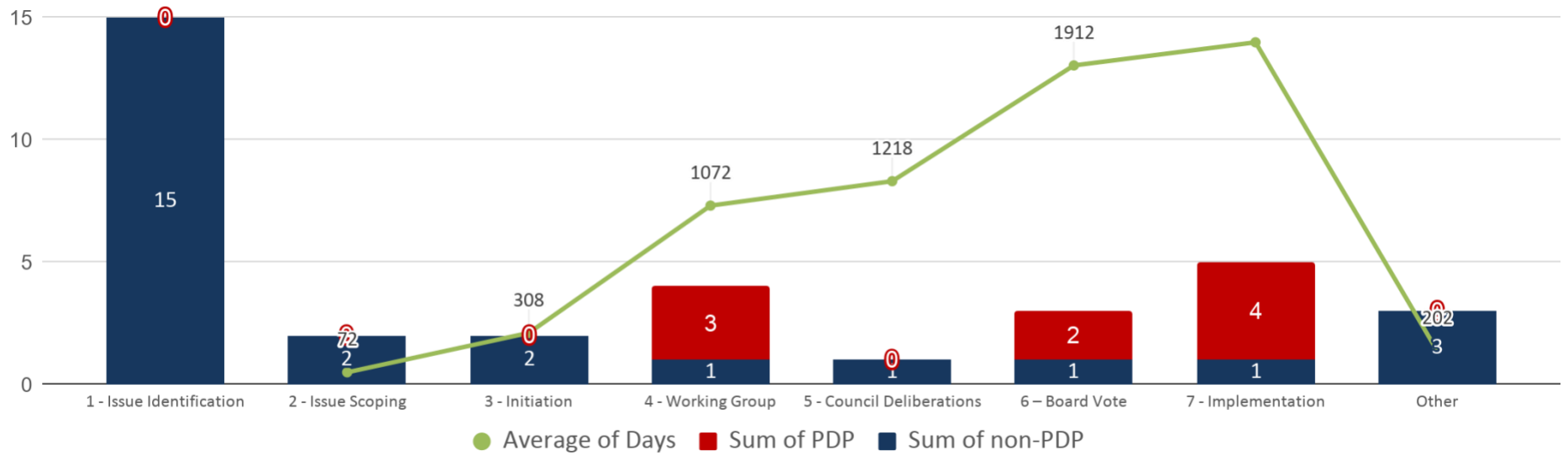
Overall **performance classification** of milestone achievement as compared to the original plan; carries a **heavier weighting**

-  **On-Target:** Continue to review the Project Plan, Work Plan, Action Items & risks
-  **At-Risk:** GNSO Council leadership should be notified; mitigation plan will be implemented
-  **In-Trouble:** Full GNSO Council intervention is required

Package 2 Improvement Implementation Examples

For (#11, #12, #16) Display:

- Project list (PDP 3.0)
- Project change flowchart
- Project change request form
- Summary timeline (EPDP)
- Fact sheet example (EPDP)



Last updated: 31 October 2019

Phase	Title	Days	%Com	S	C	Links
1 - Issue Identification	GNSO Council Action Items [refer to list on wiki]	-	-	-	-	LINK
1 - Issue Identification	Expired Registration Recovery Policy – Policy Review (ERRP_PR)	0	0%	■	-	LINK
1 - Issue Identification	Policy & Implementation Recommendations Review (Pollmp_RR)	0	0%	■	-	LINK
2 - Issue Scoping	Transfer Policy – Policy Review Scoping Team (TP_PRST)	42	5%	●	■	LINK
2 - Issue Scoping	Internationalized Domain Names Scoping Team (IDN_S)	101	20%	●	■	LINK
3 - Initiation	RPM - IGO Curative Rights Work Track (RPM-IGO-CRPM)	0	0%	●	■	LINK
3 - Initiation	WHOIS Procedure Implementation Advisory Group – (WPIAG)	616	20%	■	■	LINK
4 - Working Group	EPDP: Expedited Policy Development Process – Phase 2 – (EPDP_P2)	241	35%	●	■	LINK
4 - Working Group	Cross Community Working Group on New gTLD Auction Proceeds (CCWG_Auction)	1330	85%	◆	■	LINK
4 - Working Group	PDP: Review of All Rights Protection Mechanisms in All gTLDs (RPM)	1336	60%	●	■	LINK
4 - Working Group	PDP: New gTLD Subsequent Procedures PDP (Sub_Pro)	1379	75%	●	■	LINK
5 - Council Deliberations	GNSO Rights & Obligations under Revised ICANN Bylaws Drafting Team (RODT)	1218	100%	●	■	LINK
6 - Board Vote	PDP: Curative Rights Protections for IGO/INGOs (IGO_INGO_CRP)	1974	85%	●	■	LINK
6 - Board Vote	Cross Community Working Group on Enhancing ICANN Accountability (CCWG_WS2)	1222	90%	●	■	LINK
6 - Board Vote	PDP: Protection of International Organization Names in All gTLDs (IGO_INGO)	2541	80%	◆	■	LINK
7 - Implementation	IRT: – Registration Data Policy Implementation (EPDP_P1) – (TempSpec)	517	25%	●	■	LINK
7 - Implementation	IRT:- Protection of International Organization Names in All gTLDs – Reconvened WG (IGO_RCRC)	911	60%	●	■	LINK
7 - Implementation	Geo Regions Review (GEO)	4102	80%	■	■	LINK
7 - Implementation	IRT: Privacy & Proxy Services Accreditation Issues (PPSAI)	2541	85%	■	■	LINK
7 - Implementation	IRT: Translation & Transliteration of Contact Information (T/T)	2185	50%	■	■	LINK
Other	GNSO PDP 3.0 (PDP3_0)	386	50%	●	■	LINK
Other	GNSO Standing Committee on Budget and Operations (SCBO)	17	5%	●	■	LINK
Other	GNSO Standing Selection Committee (SSC)	-	-	■	■	LINK

STATUS: ■ Planned ● On-schedule ● Revised schedule ▲ Behind schedule ◆ Target will be missed ■ On-hold

CONDITION: ■ On-Target ■ At-Risk ■ In-Trouble

Other Projects

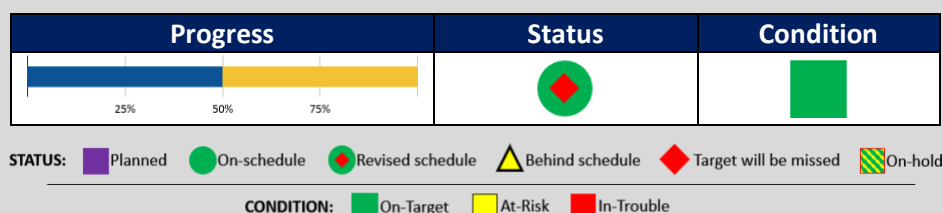
Title:	GNSO PDP 3.0 (PDP3_0)
Description & Scope:	This group was formed after the Strategic Planning Session of the GNSO Council in Jan. 2019 building on work defined in 2018. The GNSO Council adopted the proposed GNSO PDP 3.0 Final Report and improvements for implementation during its meeting on 24 October. Following adoption by the GNSO Council of the recommendations noted in the Executive Summary as having support of the Council as a whole, the Council has agreed to further develop and take action on the various proposed implementation strategies documented there.

Composition:

Chair(s):	n/a
Council Liaison:	Rafik Dammak
Staff:	A. Liang, S. Chan, M. Konings
# Participants:	8 Members (link)
# Observers:	0
Tools:	Mailing List / Meeting Schedule / Wiki
Charter:	n/a

Project Management:

Who holds Token?	Planned Start Date	Actual Start Date	# of Days	Planned End Date	Actual End Date
Staff/Council	10 Oct 2018	10 Oct 2018	386	28 Feb 2020	TBD



Milestones/Work plan ([link](#)):

Milestone/Task	Date	
Project Start	Jan-19	✓
#1 Terms of Participation	Aug-19	✓
#3. Criteria for joining of new members after a PDP WG's formation	Aug-19	✓
#2. Consider alternatives to open WG model	Aug-19	✓
#11. Enforce deadlines and ensure bite size pieces	Sep-19	✓
#12. Notification to Council of changes in work plan	Sep-19	✓
#13. Review of Working Group Leadership	Oct-19	✓
#14. Make better use of existing flexibility in PDP to allow for data gathering, chartering and termination when it is clear that no consensus can be achieved	Sep-19	✓
#15. Independent conflict resolution	Nov-19	■
#16. Criteria for PDP WG Updates	Sep-19	✓
#17. Resource reporting for PDP WGs	Dec-19	■
#4. Capture vs. Consensus Playbook	Oct-19	■
#6. Document expectations for WG leaders (Chairs/Co-Chairs/Leads) that outlines role & responsibilities as well as minimum skills / expertise required	Aug-19	✓
#9. Provide further guidance for sections 3.6 and clarification of section 3.7 (Appeal Process) (Standard Methodology for decision making)	Nov-19	■
#5. Active role for and clear description of Council liaison to PDP WGs	Oct-19	✓
Response to the "Next Steps to Improve the Effectiveness of ICANN's Multistakeholder Model" public comment & Engagement with Brian Cute	Nov-19	■
Council Webinar for detailed review of proposed implementation	Dec-19	■
Charter template revision incorporating proposed implementation of improvements	Dec-19	■
Mapping exercise to ensure consistency and linkage of related improvements	Nov-19	■
Input solicitation from the wider GNSO and ICANN community for proposed implementation	Dec-19	■
Dry run of proposed implementation of selected improvement for practicality checking	Dec-19	■
Finalization of proposed implementation documents for all improvements & completion of the Final Report	Jan-20	■
Confirmation of the effective dates to implement all improvements	Jan-20	■
Planning for EPDP 3.0 Phase 2	Jan-20	■
Confirmation that all in-scope recommendations have been implemented	Feb-20	■
Prior period % Complete	45%	■

Status/Condition Rationale:

- The PDP 3.0 team re-evaluated, in June and August 2019, the tasks, duration and revised target dates for completion at SPS Jan 2020.
- The Condition of the project is On-Target as no issues or risks to the project have been identified.

Current Activities:

- The small team is continuing to review improvement drafts and has developed a revised work plan, targeting SPS Jan 2020 for completion of all work for this project. The small team is proceeding with its work based on its detailed [work plan](#) reviewed on 27 August 2019.
- Finalize Improvements #9 and #15 for submission to GNSO Council
- Initiate work/review on #17
- Engage with Brian Cute on the linkage between PDP 3.0 Implementation and Evolving ICANN's Multistakeholder Model Project
- Solicit input from the GNSO Stakeholder Groups and Constituencies, as well as the wider ICANN community on the proposed implementation

Planned Activities:

- Planning a special webinar on 27 November for detailed review of proposed implementation
- Initiate GNSO PDP working group charter template revision
- Determine what work in this cycle is applicable post ICANN66 and for the SPS Jan 2020
- Planning for SPS Jan 2020

Open Issues, Risks & Mitigation Plan:

- #17 is at risk to meet the target date of delivery to the Council due to the need to further clarify the expected deliverables and the additional time the small team needs to deliberate on the proposed implementation.

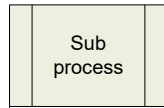
Completed in prior period(s):

- The small team distributed the proposed implementation documents for #5 and #13 to the Council for feedback.
- The small team's most recent update took the form of a discussion topic on the GNSO Council meeting agenda in October 2019. The small team presented on proposed implementations that have already been delivered to the GNSO Council and the planned consultation mechanism.
- The small team met with Brian Cute for an ad-hoc call and provided details about how it organized its work and resources used to develop the proposed implementations.

Process Legend



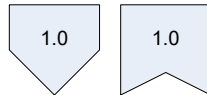
Process Step



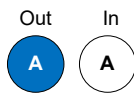
Sub-Process Step



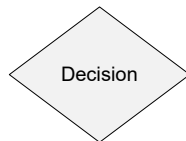
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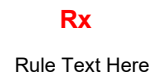
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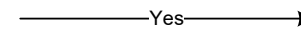
Decision



Process Rule



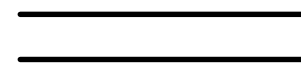
Begin of Process



Process Flow



Diversion to External Process



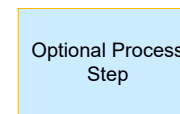
Parallel Process



Terminator of Process

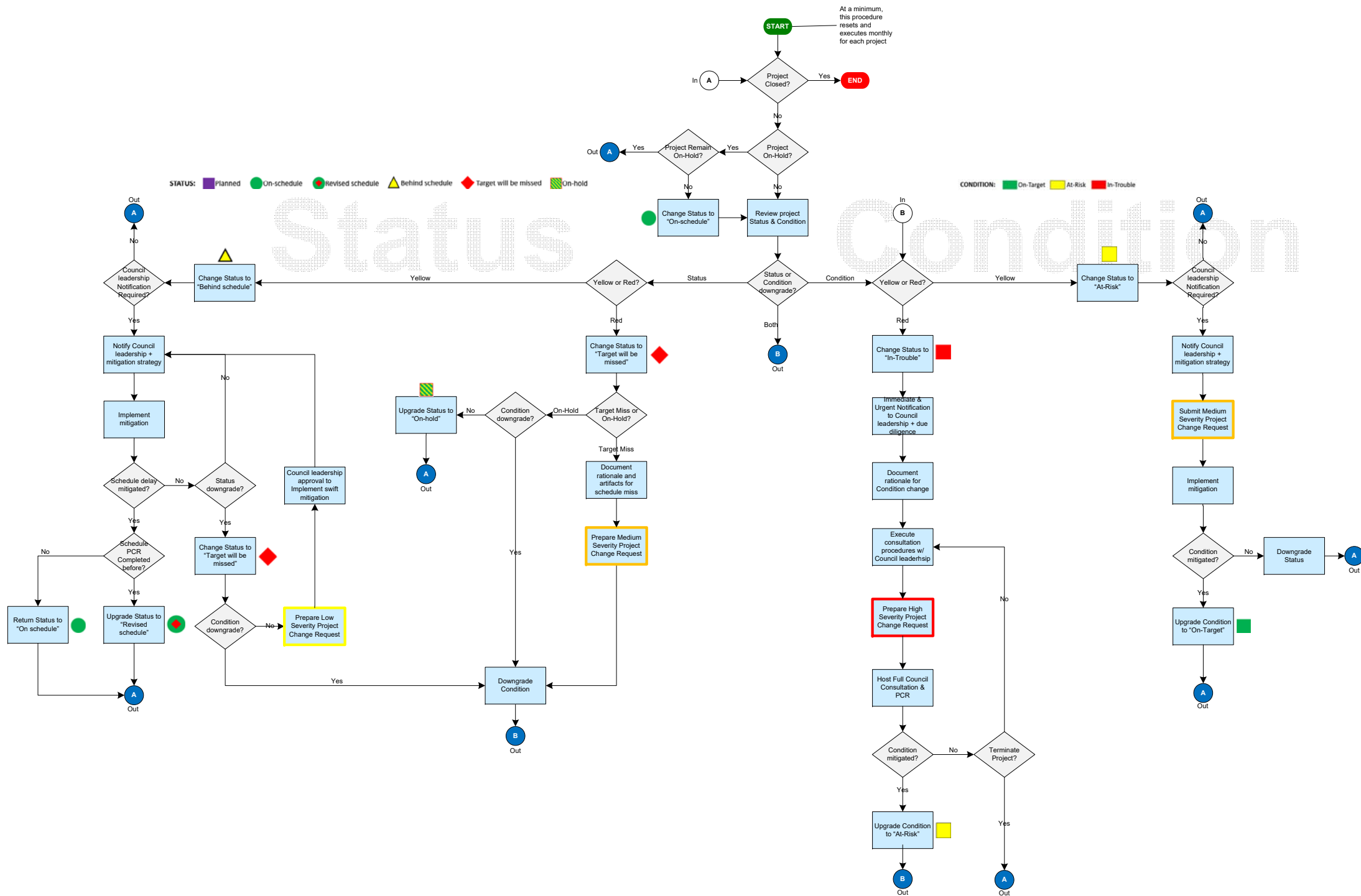


External Process not Active



Optional Process Step

Status & Condition Escalation Procedure



PDP 3.0 Improvement #12
Project Change Request Form
Finalized on 25 September 2019



Project Change Request Form

Severity: [LOWMEDHIGH]

Project name:

Requested by:

Date:

<input type="text"/>	<input type="text"/>
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Change description:

Change reason:

Impact of change (complete for relevant categories):

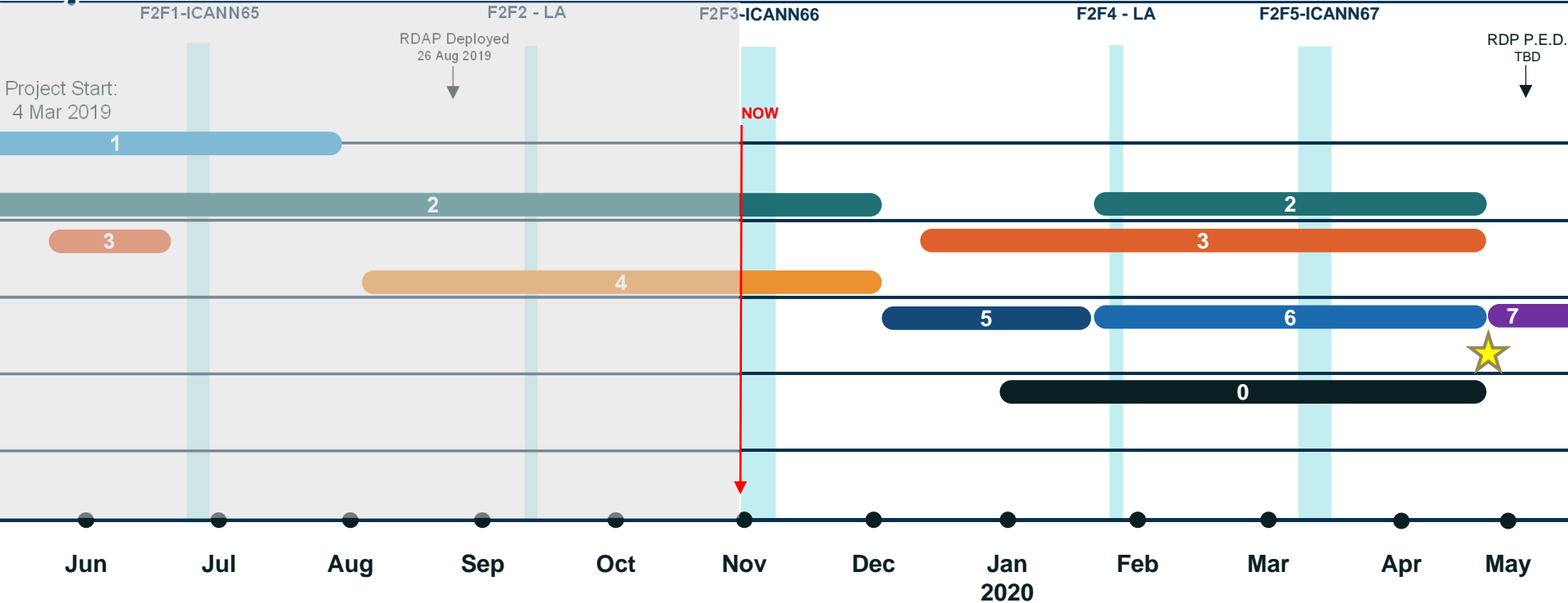
- Scope:
- Budget:
- Timeline:
- Resourcing:
- Communications:
- Other:

Proposed action:

Estimated Associated cost, if applicable:

EPDP Phase 2 - Summary Timeline

31 October 2019



- 1** Project Management, Workplan, & Factsheet
- 4** Construct Initial Report
- 7** Council Consideration of Final Report

- 2** EPDP-P2 Priority 1 Deliberations
- 5** Public Comment on Initial Report
- 8** Public Comment prior to Board Consideration⁽²⁾

- 3** EPDP-P2 Priority 2 Deliberations⁽¹⁾
- 6** Review of Public Comment & Submission of Final Report
- 9** Board Consideration⁽²⁾
- 0** Priority 1 – Unplanned

Complete: 35% Status: ● Condition: ■

(1) Items from priority 2 could be incorporated in the Initial / Final Report for priority 1, depending on their date of completion or presented separately.
 (2) These phases of the project occur after the GNSO Council's adoption of the Final Report, and will appear when the timeline advances there.

EPDP - Temporary Specification for gTLD Registration Data - Phase 2

Fact sheet as of: 31-Oct-2019

Overview:

Following the adoption by the ICANN Board of a temporary specification on gTLD Registration Data to enable contracted parties to continue to comply with existing ICANN contractual requirements and with community-developed policies as they relate to WHOIS, while also complying with the European Union's General Data Protection Regulation (GDPR), a one-year policy development process was initiated to confirm whether or not the temporary specification should become a consensus policy.

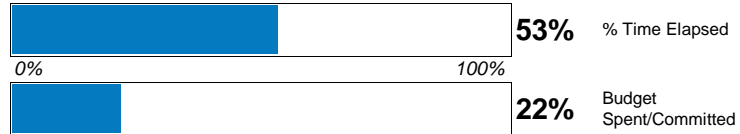
The GNSO Council adopted the Final Report during its Special Council meeting on 4 March 2019 and provided its non-objection to the commencement of Phase 2.

Wiki Page: [EPDP Wiki Home Page](#)
Email Archive: <https://mm.icann.org/pipermail/gns0-epdp-team/>
EPDP Input Archive: <https://community.icann.org/x/zlWGBg>

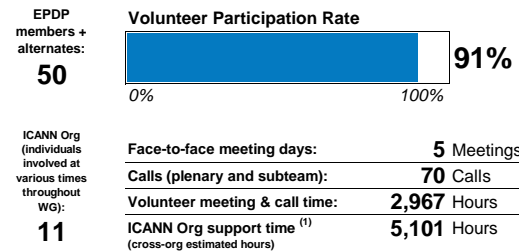
Chair: Janis Karklins
Vice-Chair(s): n/a
Liaison: Rafik Dammak

EPDP Status

Start Date: 4-Mar-2019 **EPDP Duration to Date:** 8 Months
Expected Completion*: 31-May-2020 **Total Expected Duration:** 15 Months



Section I: Meeting Stats



⁽¹⁾ Does not include time for Executives, Legal, IT Personnel and Other Organizational Support

Section II: Financial Resources

Direct Costs (1)	FY19,20 Approved Budget	FY19,20 Budget Spent to Date(3)	Committed FY19,20 Services(4)	Remaining FY19,20 Budget	Actual Expenses: WG to Date	Total Spent and Committed to Date
EPDP Professional Services	\$ 464,764	\$ 97,295	\$ 315,127	\$ 52,342	\$ 97,295	\$ 412,422
N/A	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Travel, Facility, & Catering	\$ 309,680	\$ 57,693	\$ 238,570	\$ 13,417	\$ 57,693	\$ 296,263
Total	\$ 774,444	\$ 154,988	\$ 553,696	\$ 65,759	\$ 154,988	\$ 708,685

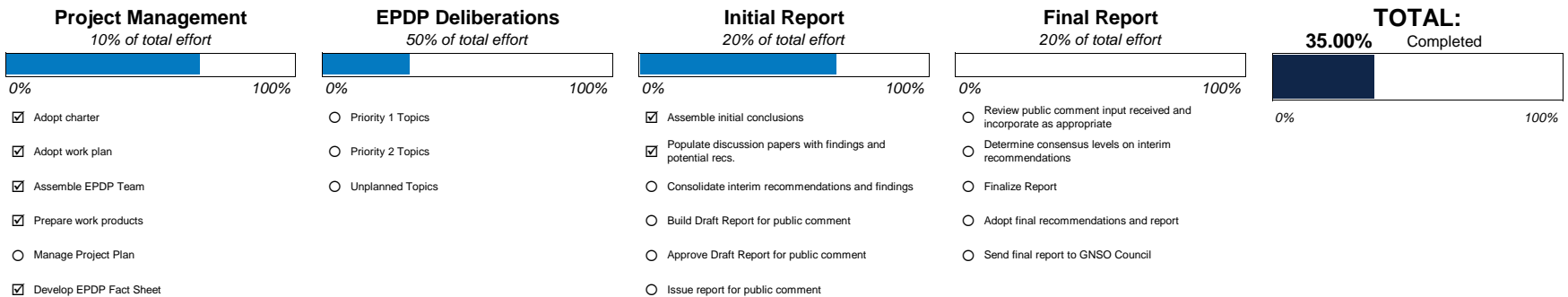
⁽¹⁾ Excludes ICANN Organization and overhead allocation.

⁽³⁾ Based on the most recent month end financials (may not include recent expenditures). Represents expenses incurred since inception of work.

⁽²⁾ blank

⁽⁴⁾ Professional services includes services from signed contracts to be provided or invoiced; travel includes upcoming scheduled meetings.

Section III: Milestones



** Please refer to full project plan for detailed tasks and deliverables with their associated duration and assigned dependencies.

Wiki: <https://community.icann.org/x/6BdlBg>

Checklist: Evaluate Request for Data Gathering (#14)

Who

Working group leadership, in consultation with WG members & staff, complete the **data request form** using the checklist

How

Answer the questions in checklist relevant to the sections in the data request form for evaluation by the GNSO Council



What
(examples)

Policy or issue being explored

What is the objective? What policy issue requires the need for data?

Expected delivery date

What is the estimated timeline for the data gathering?

Issue to be solved

What problem will the data help resolve? Include examples.

Resource estimation [by staff]

What are the potential methodologies for data gathering?

Data requirements [scope]

What type of data? What is the expected sample size?

Budget considerations [by staff]

Is the budget allocated able to render the expected sample size?

Responsible team/data source

Does it require an independent third party to collect the data?

Data protection & privacy

Will the processing of data comply with applicable laws/regulations?

Package 3 Improvements

#5 Active role for and clear description of Council liaison to PDP Working Groups

#13 Review of working group leadership

Package 3 Overview

3

#5, #13 | *Review of Working Group Leadership and Guide for GNSO Council Liaison to PDP Working Groups*

<u>New liaison briefing and liaison handover</u> (#5)	A tool that assists a new GNSO Council liaison to a PDP working group in getting up to speed with the liaison role and responsibilities generally, but also specific to the particular PDP
<u>GNSO Council liaison supplemental guidance</u> (#5)	A checklist that details job duties of a GNSO Council liaison to a PDP working group
<u>Regular review of PDP working group leadership by GNSO Council</u> (#13)	A process that helps the GNSO Council evaluate the performance of PDP working group leadership and address possible issues/opportunities identified
<u>PDP working group member survey on leadership performance</u> (#13)	An anonymous survey to be completed by PDP WG members and feed into the regular review of PDP working group leadership by the GNSO Council

New Liaison Briefing & Liaison Handover (#5)



Liaison to PDP

- Familiarize with GNSO Operating Procedures
- Connect with GNSO Staff

- Review GNSO Council liaison role description
- Subscribe to mailing lists
- Add to leadership communication channels
- Review wiki, mailing list archive, briefing docs
- Request a catch-up call with support staff
- Participate in onboarding conference call



Liaison to IRT

- Familiarize with CPIF
- Connect with GDD Project Manager

This document has already been used during the liaison handover calls for the New gTLD Subsequent Procedures & Rights Protection Mechanism PDPs

GNSO Council Liaisons Supplemental Guidance (#5)

Job Duty	When
Fulfill liaison role in a neutral manner	Ongoing
Be a regular participant of WG meetings	As dictated by WG
Participate in regular meetings with WG leadership	As dictated by WG
Report to Council on the WG progress	Each Council meeting
Serve as an interim WG Chair until a Chair is named	As needed
Convey to Council on WG communications, questions, concerns	As needed
Inform WG leadership about Council activities impacting the WG	As needed
Refer to Council questions related to WG Charter	As needed
Assist or engage when WG faces challenges	As needed
Assist in case of abuse of ICANN's Expected Standards of Behavior	As needed
Assist with knowledge of WG processes and practices	As needed
Facilitate when there is disagreement regarding consensus designation	As needed



Ideas / best practices provided for each job duty



Regular Review of Working Group Leadership (#13)



Objectives

GNSO Council to regularly check in with WG leadership & liaison, and address possible issues / opportunities identified



Review Setup

- **New PDPs:** schedule of review established in the charter
- **Ongoing PDPs:** decided by Council/WG leadership & liaison
- May initiate review in response to special circumstances

Review Process

- **Staff-led:** Survey development & processing
- **Council leadership & liaison-led:**
 - Analysis of survey results & monthly report
 - Recommendations on next steps
 - Sharing of recommendations with Council
 - Implementation & evaluation of next steps

Review Inputs

- Verbal input
- Monthly reporting
- WG member survey
- Expectations for WG leaders
- Complaint about WG leadership

Escalation

- Request that one or more member(s) of the WG leadership team to **step down**
- **Replace** a member of the WG leadership team or the full leadership team

Regular Review of Working Group Leadership (Cont.)

Questions to be Considered by Council Leadership & Liaison

- ❖ Have you personally **observed** any behavior or issues?
- ❖ Have you **received reports** from WG members?
- ❖ Are there any patterns in the **responses to the survey**?
- ❖ Are there issue areas in the **monthly reporting**?
- ❖ Is it already possible to **identify next steps and resources** to address the concerns?

Issues about WG Leadership to Address

- ❖ Has difficulty **facilitating WG meetings** aligned with charter/workplan
- ❖ Is unable to effectively **manage disruptive behaviors**
- ❖ Is consistently unable to **meet target deadlines**
- ❖ Does not **respond to concerns** raised by WG members
- ❖ Does not act in a **neutral, fair, and objective manner**
- ❖ Members of leadership team are **unable to work together** effectively

Guidelines to Support Review



Mitigation Strategy

- ❖ Additional **resources**
- ❖ **Verbal/written affirmation** for adjusting behaviors
- ❖ More frequent **meetings** with Council leadership/liaison
- ❖ More frequent **WG member surveys**

WG Member Survey on Leadership Performance (#13)



- ◆ Anonymous
- ◆ Distributed electronically
- ◆ Open for at least one (1) week
- ◆ Exact interval tied to WG timeline & milestones

- Q1** Facilitates goal-oriented working group meetings aligned with the requirements of the Working Group's charter and work plan
- Q2** Adequately manages disruptive behaviors such as raising irrelevant issues or reopening topics that have already been closed
- Q3** Keeps the Working Group on track to meet target deadlines through discussion items or deliverables
- Q4** Is responsive and effectively communicates with Working Group members
- Q5** Ensures fair, objective treatment of all opinions within the Working Group
- Q6** Is able to seek and identify a diversity of views within the Working Group
- Q7** Works to identify common ground among members as well as areas of divergence, consistent with Section 3.6 of the GNSO WG Guidelines
- Q8** Do you have any additional remarks that you would like to share?

Strongly Agree | Agree | Neutral | Disagree | Strongly Disagree | N/A

Package 4 Improvements

#9 Provide further guidance for section 3.6 and clarification of section 3.7

#15 Independent Conflict Resolution

Packages 4 Overview

4

#9, #15 | *Consensus Building & Conflict Resolution*

[Briefing Document on the Concept of “Consensus” in the PDP](#)

(#9)

A briefing document that explains the concept of “consensus” and references experience with consensus building in the Internet Engineering Taskforce (IETF)

- ❖ This document will be absorbed by the consensus playbook to be developed under Improvement #4

[Clarification to Complaint Process in GNSO Working Group Guidelines](#)

(#9)

A guideline document that suggests detailed improvements to the complaint process within a GNSO working group, as well as proposed revisions to Section 3.7 of the GNSO Working Group Guidelines

[Independent Conflict Resolution](#)

(#15)

A reference guide to conflict resolution resources available to the ICANN community

Clarification to Complaint Process (#9)

- ❖ Addresses conflict arising from **behavior issues**
- ❖ Does not stop the **ongoing progress** in a working group
- ❖ Avoid any **litigation mindset** – strongly discourage representation by external legal counsel
- ❖ Does not deal with **consensus designation** by WG leadership
- ❖ **Prevent escalation** by implementing related PDP 3.0 improvements & other measures

GNSO Working Group Guidelines

Section 3.7

- Contributions to the WG are being **systematically ignored or discounted**
- Someone is **not performing their role** in the WG according to Section 2.2
- Wish to **appeal a decision** of WG or GNSO Council



Clarification to Complaint Process (Cont.)

1

Initiated **within two (2) months of public knowledge** of the ground(s) of complaint

2

Specify the ground(s) of the complaint with **supporting materials & rationale**

3

Must be **succinct & not exceed 1,000 word-limit**

4

No new submission if another complaint based on the same ground(s) is **still pending in any WG**

Criteria

- Submit the complaint to WG leadership or Council liaison
- WG leadership determines whether criteria has been met
- Liaison may reassess



Clarification to Complaint Process (Cont.)



Parties involved in the Complaint Process

GNSO Council	ICANN Org	Ombudsman
<p>Council Leadership act as one collegial body during the complaint process</p>	<p>Legal provide Bylaws interpretation & suggest appropriate actions</p>	<p>Ombudsman may get involved at an appropriate time determined by WG leadership in consultation with the Council leadership, liaison, and Complaint Committee</p> <p>When disagreement cannot be resolved at the GNSO Council level, lodge the issue and engage with the Ombudsman</p>
<p>Council Liaison status reporting; facilitation of issue resolution</p>	<p>Complaints Officer assist in handling complaints about staff performance</p>	
<p>Complaint Committee current/former Councilors invited by WG leadership & Council leadership/liaison</p>	<p>Conflict Resolution Staff act as a neutral party to share problem-solving responsibilities</p>	
<p>Decision Making Power</p>	<p>Advisory Role</p>	<p>Separate Mechanism</p>

Clarification to Complaint Process (Cont.)

Stage 1

Seek to resolve the issue with **WG leadership**, who will consult with liaison, Complaint Committee & other resources

Stage 2

Escalate the issue to **GNSO Council leadership**, who will consult with liaison, Complaint Committee, WG leadership & other resources

Stage 3

Officially lodge the issue and engage with **Ombudsman**, who will attempt to resolve it in a manner of his/her own choosing

- ❖ Decision makers have the discretion to define specific procedures (see “process flow” example)
- ❖ Decision & communication must be accomplished within a reasonable period of time
- ❖ Any party deemed abusive by the Complaint Committee shall be subject to a bar up to five (5) years

Independent Conflict Resolution (#15)

Ombudsman

Serves as an informal dispute resolution office for any member of the ICANN community

Complaints Officer

Handles complaints regarding ICANN org that do not fall into existing mechanisms

Note

- Establishment of a panel of volunteer mediators likely infeasible
- ICANN Org already has several in-house resources available to the GNSO



Conflict Resolution Staff

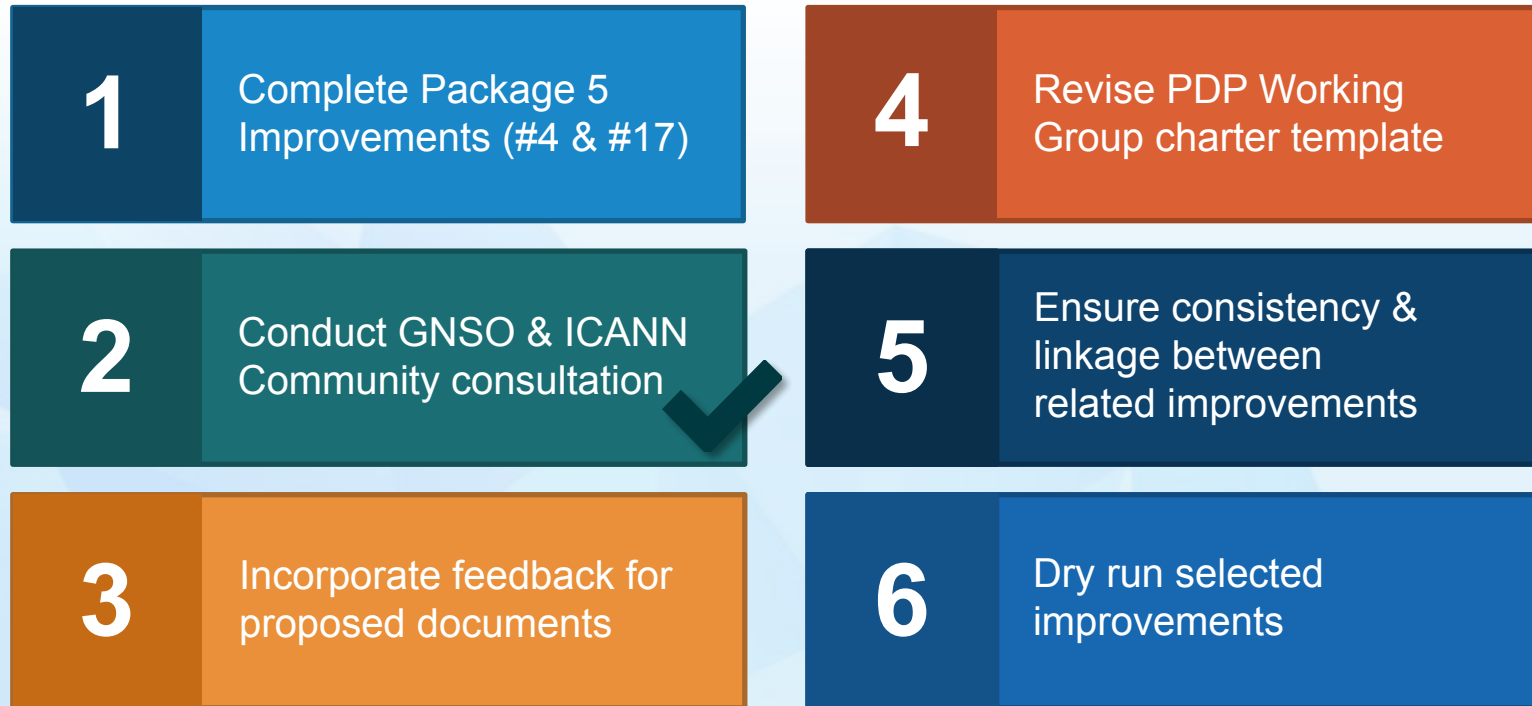
Facilitates dialogues where a consensus view may have slowed & provides conflict resolution guidance

Legal

Provides interpretation of ICANN Bylaws & suggests for appropriate actions

Remaining Work Items

Remaining Work Items





Deliver Final Report at SPS 2020

- Final documents & related work products for all 14 Improvements
- Confirmation of effective dates to deploy Improvements
- Planning for the next phase of PDP 3.0 (e.g., parking lot items, improvements not approved in ICANN63, etc.)

Linkage with Multistakeholder Model Evolution

Linkage with Multistakeholder Model Evolution

Issue 2 Precision in Scoping Work	Issue 3 Efficient Use of Resources and Costs	Issue 5 Representation, Inclusivity, Recruitment, and Demographics 	Issue 8 Consensus 
<p>#11 Enforce deadlines and ensure bite size piece</p> <p>#12 Notification to Council of changes in work plan</p> <p>#16 Criteria for PDP working group updates</p>	<p>#14 Criteria to evaluate request for data gathering</p> <p>#17 Resource reporting for PDP working group</p>	<p>#1 Terms of participation for WG members</p> <p>#2 Alternatives to open Working Group model</p> <p>#3 Criteria for joining of new members</p> <p>#5 Active role for and clear description of Council liaison to PDP Working Groups</p> <p>#6 Expectations for Working Group leaders</p> <p>#13 Review of working group leadership</p>	<p>#4 Capture vs. consensus playbook</p> <p>#9 Provide further guidance for section 3.6 and clarification of section 3.7</p> <p>#15 Independent Conflict Resolution</p>

Learn More

<https://community.icann.org/x/v4rkBq>