PRAGUE – Policy Update
Sunday, June 24, 2012 – 13:45 to 14:30
ICANN - Prague, Czech Republic

Filiz Yilmaz: Thank you. So our next speaker is my esteemed colleague who's been rescued from Frankfurt today after some extra involuntary staying over. That's Rob, Rob Hoggarth from the Policy Department. I will just leave the introductions to him and let him go on.

Rob Hoggarth: Thank you, Filiz; good afternoon, everyone. It's good to see that we're keeping a good crowd here. The Policy topic can be a very dense one so the purpose of my presentation today is to keep it at a relatively high level, offer you some background; offer you some context about policy, about some of the issues that are going to be discussed this week; give you some tips about following up on things afterwards. And we'll keep it very general.

You'll probably see some topics that are of interest to you. If you want to talk specifics about any one we can talk about them in a short Q&A or you can just track me down after the meeting or anytime this week and we can talk about it in more detail.

The goals for this session are essentially threefold. I just want to review for you the general structure of policy work in ICANN, identify some hot issues that are going to be discussed this week and suggest ways for you to participate now and in the future in policy activities and of course to

answer any questions that you might have. I'm sorry, the microphone keeps going off because I'm pushing that to change the slides... I'll blame it on jetlag, sorry about that. [laughter]

When you look at the overall context, and by the way, this slide is not to scale. It's a concept slide so don't copy down the details. The concept and the idea is that what we do at ICANN does ultimately impact a tremendous number of people, all internet users. I put a "?" because the zeros would take up half the slide. But the key concept is that what happens within Policy at ICANN ultimately either directly or indirectly affects registrants, affects users of the internet. The impacted community that is the industry is obviously much smaller. I'm guesstimating that at around 5000 people when you talk about interested parties and employees of the various companies that participate in the space.

The working community of ICANN is a percentage of that. When we send out surveys or other interesting bits of information to folks the general collection of email lists adds up to about 1600 people, but again, not all of those folks are truly active participants or actually involve themselves in drafting or discussions. So when you actually boil it down to the folks who are actually involved in doing a lot of the hard work and discussions it's probably a core group of volunteers of about 300.

The purpose of the Policy Team's approach in ICANN is to make sure that all of these levels of participation have some opportunity to be aware of the process or participate in the process. That's a challenge

for all of us in the ICANN community to sort of take on, but that's essentially the concept and the overall context of things.

The policy machines within ICANN are some very discrete elements, really. There are three supporting organization within ICANN – the GNSO, the ccNSO and the ASO. They are supported by advisory committees to either them or to the Board, primarily to the Board in the At-Large Advisory Committee, the Governmental Advisory Committee, the Security and Stability Advisory Committee and the Root Server System Advisory Committee. You've seen a similar slide to this or a similar list of these groups. This is to reinforce for you the fact that structurally there are groups that are responsible for policy development. They have specific rules and processes for doing policy, and then you have groups that participate either directly or indirectly in those policy development efforts.

In some cases, one of these SOs will deliver a policy recommendation to the Board and then it's commented on by an advisory committee. In other circumstances, an advisory committee may go to the Board and say "We've noted an issue in the community that needs to be addressed," whether it involves the registration of domain names or how registries and registrars act together. And those advisory committees will then start the process instead of coming in at the end and commenting – they'll essentially get the Board or one of the SOs to take on a policy matter. So the key is that you really have a number of different opportunities and depending upon where you are in the industry, opportunities to raise issues or to comment on issues over time.

The multi-stakeholder model concept is one that you saw earlier in the day, a much prettier slide. I like this slide because it links for you the Board seats with the various communities at work. You see here a total of 21 Board seats. You see a difference in the light-colored areas, perhaps the groups that are the most involved in direct policy development or policy discussions – the ASO, GNSO and ccNSO – with a very active At-Large community that participates as well. And then the darker color you see there, some of the non-voting members of the Board and those are the advisory representatives – the GAC, the Technical Liaison Group, the Internet Engineering Taskforce, RSSAC and SSAC. And so it's a real neat combination. You also see on there a seat on the Board representing the staff, the President and CEO.

And so there's a lot of pieces that go into the policy development efforts at ICANN and again, you see the wide variety of people and individuals who are represented and participating. I don't know, Filiz, if anyone talked about it earlier today but there's an important component there in the middle in blue, that's the Nominating Committee. And so there's a group, a collection of Board members that are nominated by the community, and so the ICANN Nominating Committee is made up of representatives from all the various SOs and ACs that participate. And they have very specific rules about how people are selected, what happens on the Nominating Committee and how that's all regulated. But the key aspect of that is that even though there are specific Board members who come from particular communities, there's also the opportunity where individuals sit on the Board who were nominated by the community in general. So there's quite a great group of folks who participate.

So you see the organization there; I want to touch now on sort of what we do as a Policy staff and who we are. There's 19 of us. We're generally responsible for particular supporting organizations and advisory committees. You'll see a group of us who might run to one SO or AC where they're the primary staff. There are a number of other folks on the Policy Team like myself who aren't specifically assigned to a particular supporting organization or advisory committee but who sort of move between groups, go where we're needed the most, provide some context on some issues or in some respects just an extra pair of hands to type or a brain to contribute to the process.

We are all over the world, in seven different countries, eight different time zones. Our staff collectively speaks 12 different languages, four of them of the UN, and we're supplemented – us 19 – by individual subject matter experts who may be called upon to support our efforts. It may be someone who's specifically mindful or knowledgeable about a ccTLD issue. It might be someone who's got expertise in program management or has a technical background that can support us because it's a specific issue. So it's a larger group than 19 in the best case circumstance, but you'll see probably two or three of us working on any particular issue or supporting any particular working group at one time.

Our goals as a team are very, very broad, and essentially they're summarized by three words: help, support, and manage. It's our job to help the community make the trains run on time, follow the processes and procedures, provide support – and you see a lot of that in terms of drafting up the documents, providing a secretariat and support services along the way; and then of course managing the process, making sure that we're following all the rules, that we're helping to ensure that

there aren't some issues that fall off the tracks and end up not being managed by the community where we advise folks that something may be falling off the tracks so it gets on. It's a very sort of active approach that we take.

The workload varies but this slide gives you just a sense of the final work products that many of us produce, and that is a lot of the work that an SO or AC gets involved in requires input from the broader community. And so you may have a working group of 20 or 30 people working on something, but then the ICANN policy development process expects that there's an opportunity for community input. That typically takes place in a public comment forum. Those are generally managed and structured by Filiz and her team, and this slide just generally shows the annual workload that we've observed over the last five years. I started with ICANN in 2008 and during that calendar year we had 53 public comment forums. You'll see that that spiked with a lot of the new gTLD efforts at about 90 or 84 specifically in 2010, and right now this year we've had 38 so I've put 76 because we're on pace for 76.

You can appreciate sort of the challenge there and it's a constant struggle within the community. When you're looking at 70 or 80 public comment periods within a year you're looking at five or six comment periods a month, and you remember that core group of 300 people – many of those folks are in multiple working groups. In many respects they are going back to their communities to clarify or to confirm their positions on particular issues because some people are delegates, some people are representatives; some people are advocates for a group, some people are advocates for themselves.

There's a wide variety of inputs and so the real challenge of course is if you have five or six of these every month how are you as a volunteer, how are you as a member of the community trying to follow up? And so when we look at policy workload we're not only looking at challenges for the 300 but for those outer rings of the participation scheme. And a lot of what we work on internally is "Do we have the processes in place that can handle this? Are we getting out the word sufficiently? Are we writing the various forums and public comment reports in a way that's digestible? How do we handle things from various UN languages?" Right now, most of the proceedings we try to translate into the six UN languages. Well, is that an appropriate number? Should we have more? There's a lot of thought and issue that goes into the public comment process and the rest.

To give you an idea of how that breaks down on a monthly basis for the various SOs and ACs I picked the most active groups here, and in the Costa Rica timeframe – the latest statistics I was able to pull up – was that the At-Large Advisory Committee had generated 14 advisories or statements, comments on public comment forums in the last three months. At that time the ccNSO had 13 active working groups, the GNSO had 20 and the Security and Stability guys were working on four different very major papers that they were editing and at various stages in the drafting process.

So as you can see one of the pressures is, and one of the challenges for us is how can we take that smaller core of 300 and expand it? And what we hope that many of you, as newcomers here at the ICANN public meeting in Prague will do is step back and go "Hey, I might be interested in lending my expertise to one working group. I might volunteer, get

involved in something." Our goal is obviously to grow the number of core participants to a larger number.

Now let me give you a sense of some of the highlights for this meeting. I'm going to go, Filiz, for another fifteen or twenty minutes or so, so I'm not going to talk in any great detail about any of the specific issues that you're going to see. But let me give you some highlights, and I'll go quick because Janice or Filiz has probably already touched on these.

The ICANN meeting in Prague has 127 sessions. I've got a slide later in the deck that shows the comparison of 2008 to now. That's more than any one of you can expect to attend. There are five or six sessions going on at any one time every hour of every day, probably until the last day. The Remote Participation Team and Filiz' team do a great job in terms of archiving, transcribing, keeping records of all these sessions, so I encourage you not only to attend as many in person, see faces, collect business cards and the rest; but also if there are ones that you miss or strategically you decide "I just can't do right now," or "I can't get a colleague to support," know that you'll be able to go back in the next week or two, pull a transcript, look at the recording or the Adobe Connect transcript and get some visibility, be able to collect some information from those sessions.

The highlights particularly this week from a Policy perspective that I think you would be interested in are clearly tomorrow's Welcome Ceremony and Opening Session. It'll be the last opportunity to see our departing CEO Rod Beckstrom. It will be the opportunity to hear sort of how the Board and other speakers see what the next phase is for ICANN, what some of the major priorities are going to be going forward

under new management – I can say it that way. So that's going to be a session that I think you'll find very interesting. Clearly issues about the RAA, the Registrar Accreditation Agreement and discussions about negotiating that for the gTLD space is going to be a large discussion item.

As I noted, the executive transition that's taking place in ICANN will be an important matter that people will be paying attention to this week. New gTLDs – you've already just had a session talking about that and that will continue to be something. You might get different perspectives because different people ask different questions at different sessions so you'll want to pay attention to that. A big issue both in the country code and generic names space is WHOIS, not only what is the generic space going to do with the WHOIS protocol and how that's going to be handled going forward but I also understand that there are discussions particularly with respect to the IDN space for how WHOIS is going to be managed going forward. Maybe that's best practices, maybe that's guidelines or things that people share and talk about.

What's interesting when you look at the next bullet item there – consumer choice, competition and trust – is that more and more the ICANN community is seeing the broader impact of just DNS policy on consumers, not just registrants but the ultimate end users in the internet space. There are activities going on very specifically in the GNSO where the Board has asked them and other communities to look at metrics – how would ICANN measure consumer satisfaction? How would we measure competition? How would we measure the level of trust in the internet? There are community members working on these

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types of discussions and there are a number of sessions talking about these types of issues this week.

Clearly the Board and Public Forum session on Thursday is something that is of great interest to everyone in the community. It's an opportunity for veterans and newcomers alike to get up in a microphone, make a statement to the community at-large, to the Board specifically. And during this Prague meeting the Board has sort of shifted the agenda in terms of when the Board meeting takes place, what interactions the Board has with the community; and on Thursday Board members are going to be sharing their experiences with the community, talking about how that worked – how do they get input? How do they absorb community input and perspectives? And so there'll be some opportunities there for input as well. And then just generally a very notable anniversary: the At-Large Advisory Committee, the at-large community's sort of executive function is observing it's ten-year anniversary here in Prague.

The slide that I commented on earlier, just to show you the growth that's taken place in just about three or four years at ICANN in terms of how big these meetings have become; and a quick note that "2010" should be "2011/12." I'll fix that for the next session. This shows just really the difference. I mean back in 2008 the three ICANN meetings had respectively, you could start to see the growth – 57, 65, and 70 sessions during the week. Now if you look, the last three meetings – Dakar in 2011, San Jose, Costa Rica and now here in Prague – you're looking at essentially 127, 128 separate sessions. So it's a real sort of smorgasbord of opportunities and it really reflects I think increased activity and importance for what ICANN is doing and an increased

interest I think in terms of the variety of issues that are coming up both operationally and policy-wise as well.

I'm not going to take you through each of these bullet slides but just let you contrast and compare. With new gTLDs, with the follow through on that; with just essential technical work and operational work, right there you see a list of eleven high-profile issues that the GNSO is going to be working on out of its 20 working groups. On a number of these issues you'll see working group sessions during the week; a number of them are finishing their work, a number of them are beginning their work. So if any of those topics look interesting to you, see me or another member of the Policy Team; consult the session schedule and we can talk about it or we can advise you on what you might want to look to.

For the Country Code Supporting Organization, their staff and members will tell you the ccNSO doesn't have as many detailed pieces to work on on an ICANN meeting-by-ICANN meeting basis, but in many respects they tend to look at the bigger picture. With the ccNSO essentially being an opportunity and a representation-type organization, they will look at major policy issues like what's the ongoing policy development process or PDP going to look like for IDNs? Right now IDNs are going through a Fast Track Process but the ongoing longer-term process still has yet to be defined, so they'll look at something large like that.

Strategic and operational planning for ICANN is a major issue for that community as well, and so looking at how ICANN develops its strategic plan, how that's operationalized and how the budgets all come together for that is an area that they look at very closely. And also the ccNSO has a number of fingers in the pie of what we refer to as joint working

groups, where they're working in groups with representatives from other SOs and ACs. And some of those involve internet security issues and looking at how the name space works on their side of the industry.

The ASO particularly at this meeting is really going to be focusing on continuing to talk about and letting people get better insight in terms of the work that they do. And they recently completed a major policy development process where the five RIRs got together, agreed on a global policy with respect to how to allocate IPv4 addresses that have been recovered by ICANN's IANA function. And so some of the discussions this week are going to be now about how is that implemented.

On the side of the house for advisory committees, the SSAC has a fairly active week talking about a number of issues with respect to the items you see here: dotless domains, the WHOIS data model. They're working on drafting a paper about the impact of blocking and how that can impact the operations of the DNS. And they've been asked by the Board to look at new gTLD implementation matters along the lines of root scaling and the batching process, for which there's been some recent news from ICANN.

The At-Large Advisory Committee has a very broad portfolio. They're one of the most active groups, SOs and ACs, within ICANN and so as you can see from the list here, in addition to celebrating their 10th Anniversary they're going to be focusing on some of the big ticket items: WHOIS policy, New gTLD Applicant Support, and finding a way to really work on improving the communications and training of new volunteer leaders to really help them not only hit the ground running when they

volunteer but also to help give them the tools and the expertise that can help them run meetings effectively and work effectively there. Also the ALAC has just finished an independent review process where they've been working on the final report of how they implement improvements to how they work through their various processes, so they'll be talking about that this week.

So that's a very, very, very general overview. I could spend probably an hour and a half on any one of those bulleted items. Some of the people who really know about the bulleted items could spend three hours with you. You may have seen a couple of issues there that are of interest to you. If you do, I really recommend that you look for either those sessions or for sessions that just involve any of these SOs and ACs. Show up, introduce yourself and do some networking there so you can get some contacts.

Let's talk a little bit about participation and how to participate. I talked earlier about the public comment process; I also mentioned the working group model of policy development. These are two areas where you really don't need to have been in ICANN for more than one meeting to really actively participate, particularly if you have a particular interest area or area of expertise, an area that's peculiar to your job or one that is very important otherwise to your employer. So from a working group perspective, and this is a concept that the GNSO just adopted that's being implemented and socialized more broadly in the community, is this concept of the working group effort for policy development – taking the decision making and the real sort of nuts and bolts discussions out of the governing councils of the SO and putting those really into the hands of the people who want to volunteer and participate.

So a policy process will start, a working group will be announced, a call for volunteers will go out and there is literally no qualification process other than your interest in participating in the working group. There's a probably 20-page guide that sets out the various guidelines and procedures for how the working group will work, and you as a volunteer don't have to know the nuts and bolts of that. Literally you just have to bring your ears, your voice to talk about these issues. In some cases folks will join a working group just to be on the mailing list to get a perspective of what the discussion of the issues are, to get circulation of draft documents and the rest.

So one of the things I would certainly encourage you to do here in Prague is when you identify or see something that you think you can contribute to, approach whoever the identified Chair is, talk to the Secretariat or ICANN staff who are responsible for that group. And the neat thing about the working groups is that within the guidelines there are ways to handle if you're just coming on late in the game, late to the group or if you're starting off fresh with a new group so there are opportunities to come into the process in a variety of steps.

I will caution you that even if you want to truly contribute to a working group, depending on the group and their time table the commitment can range from one or two two-hour calls a month to a call every week for an hour. Every group has its own culture. They follow general guidelines, general set rules in terms of how things work, but every working group sort of develops its own culture. And so usually it's better to join earlier in the process, but community members are very willing to see new folks come and contribute later in the process as well as before.

Another interesting piece that we've seen from an evolution perspective within ICANN is not only do the working groups work well within a particular organization, but now the various SOs and ACs are participating in joint working groups. So you'll have members of the ccNSO working with members of the GNSO working with members of the ALAC or just members of the At-Large community, and that's still an area where there's some growing pains in terms of how do you meld different processes, different cultures? And I don't mean from different countries or different regions of the world, but different cultures from different communities within ICANN – a ccNSO culture from a GNSO culture? And generally they work very well but there are different processes that the different groups use, and we're still trying to work out as a staff working with community leaders on what's the best way to sort of work through some of that?

The other way as I mentioned is contributing to the public comments. The public comment forums are published, I've got the little picture there on the left-hand side – the website shot – where the Public Comment page at www.icann.org shows all the active public comments. And then Filiz and her team have set up a very sort of standard layout for each comment where you can learn about the context, you can see the underlying documents that are the subject matter of the comment forum.

And you, even if you never participated in a working group but you just come across the topic and you read the report and want to comment on it can do so. And it doesn't require you to go through twelve committees and three different long ICANN meetings to fashion that comment but you as an individual can participate. And it can be two

paragraphs or it can be twenty pages – the idea is to get every possible input, every possible comment so that the working group, the SO or AC or the Board ultimately have the opportunity to see what is the sense of the community? What is the feedback?

In many cases, someone will submit a comment that introduces a concept or a perspective that no one in the working group had originally thought about, and so having that opportunity not just at a final report stage but throughout the process is a very useful one. We now have set up a system where there are not only comments but reply comments so there's the opportunity to see what others have said and then react to it. Part of some people's concept is, and I look over at Filiz, is trying to increase the opportunity for dialog as opposed to just "You say and I respond in a relatively formal way." We'll see how that develops over time but the bottom line is that there is no barrier for entry on that. If you've got your laptop or your PC and you want to sit down and submit a comment you can do that in the public comment forum.

None of this works if you're not up to date, and there are a couple of ways to stay up to date – very quick and easy from your perspective as a newcomer to ICANN. We have a Monthly Policy Update that literally is a free subscription that when you register on the www.icann.org site you can say "I want to receive in any one of the six UN languages," and you'll get a direct email every month or every month that the Policy Update comes out that essentially provides you with some links that give you the context of the issue and the latest very detailed information about what's happening in a particular process. It might be "Hey, we have a new Chair of this working group"; it might be a heads up that there's a working group being formed. It may be information

about some specific benchmark that a particular working group or committee has discovered.

So the Policy Update is a very quick and a very easy way for you to immediately start to just be plugged into ICANN. And we often get people sending emails to the Policy staff website asking for follow-up. We always identify a staff member who's responsible for an issue so you have an immediate contact. Right now we have, and this helped inform my first big circle slide there – we have approximately 3000 subscribers right now. Of those folks though, the lion's share – probably about 2300 – get the English language version of it and then the breakdown is between Spanish, French, Russian, Arabic and Chinese. But we have at least I think 50 is the lowest number of subscribers we have to any specific language so there's a good mix of folks who are using the update.

The other area of course is just generally the websites. For some of you it can be very daunting, and until very recently we were challenged with some of the web presence that we had for ICANN as well as some of the supporting organizations. Recently the www.icann.org site was redesigned; just about three weeks ago the GNSO site was organized. The ccNSO and At-Large have also done some web revamping so I definitely encourage you if you're interested in a specific organization to not only utilize the www.icann.org site but the individual sites of each community.

A couple of years ago under Rod Beckstrom's vision ICANN also adopted the Confluence Wiki system, and so the individual working groups, the individual drafting teams or taskforces make use of the Wiki

collaboration tool. So when you look at the website most of that work is more advanced drafts, highlights or specific chronologies of different policy issues; but as you get into the actual collaborative work there's specific Wiki websites and there are links on all these pages to those efforts where you can literally see and comment on documents and drafts as they're ongoing even if you're not a member of the working group. So that would be something else that I would recommend to you.

The bottom line I think this week is to as much as possible get involved. Reach out to individuals, talk to Chairs, talk to staff members. Every staff member isn't on the Policy Team but they know us so they can point us out to you. And so please take advantage of that. It's a rare opportunity I know for many of you to actually come to a meeting and have the opportunity to interact face-to-face, and as Janice and I'm sure Filiz have constantly reminded you please take advantage of that and understand that any of us will be very helpful and take the time to help you out this week.

So again, welcome. I hope you'll have a really good meeting. And anytime just grab me in the halls and we can chat. Thank you very much.

Filiz Yilmaz: Any questions for Rob? No? Okay, than I would like to invite my colleagues from the Compliance Team to the stage.

[End of Transcript]