

Guideline: ccNSO Working Groups

Date of review: October 2015

Date of adoption by the ccNSO Council: 30 March 2016

1 Introduction and Background

This guideline guides the establishment and operation of all ccNSO Working Groups (WG) and similar aspects of cross-community working groups, for example, the appointment of members.

2 Purpose of the Guideline

This Guideline assists members of the ccTLD community and the ccNSO Council on the establishment, operation, and structure ccNSO WGs. This guideline does not address the way in which a WG conducts its business: that is up to the members of the WG themselves. Where appropriate, this Guideline should be taken into account when the ccNSO participates in a cross-community working group.

3 Establishing WGs

3.1 Expression of need

A WG is established to address a particular issue or topic of concern to the ccNSO community. Members of the ccTLD community, members of the ccNSO, the ccNSO Council or the Triage Committee may propose a need to create a WG in order to address a particular issue or topic. The expression of need should contain a description of the matter that needs to be addressed and the proposed purpose of the WG. The expression of need should be sent to the ccNSO Council.

3.2 Initiation of a WG

Based on the expression of need, the ccNSO Council may decide to create a WG. As part of the creation process of WG the ccNSO Council should:

- Define the purpose of the WG.
- Appoint a (interim) chair of the WG.
- If the (interim) chair is not a member of the ccNSO Council, appoint a Councillor as liaison.

- If deemed appropriate, the ccNSO Council instructs the Secretariat to launch a call for volunteers to form a drafting team to draft the Charter (See Annex A) of the WG.
- Request the (interim) Chair and the Secretariat to work with the volunteers to draft a Charter.

3.3 Adoption of the Charter

As soon as the draft Charter has been completed, the (interim) Chair of the WG will send the draft Charter to the Chair of the ccNSO for consideration. At the first ccNSO Council meeting following submission of the draft Charter, the ccNSO Council will consider the draft and decide whether to adopt the Charter. If the Charter is not adopted, the ccNSO Council may ask for further work on the Charter, clearly indicating the improvements required to enable formal adoption of the Charter by the ccNSO Council.

3.4 Call for volunteers

After adoption of the Charter, the ccNSO Council will instruct the Secretariat to issue a call for volunteers to the ccNSO members and ccTLD community email lists to ask volunteers to join the WG. The call for volunteers will include at a minimum:

- The description of the goal of the WG,
- A reference to the Charter,
- A description of the skillset and experience needed to successfully participate in the WG and the likely time requirement,
- The closing date by which people should volunteer (usually 2 weeks after sending out the call for volunteers).

3.5 Appointment of volunteers

After the closing date of the call for volunteers, the Secretariat will submit a list of volunteer names to the ccNSO Council. At the first ccNSO Council meeting following submission of the list, the ccNSO Council shall consider the list and appoint the members of the WG. If the ccNSO Council appointed an interim chair to initiate the WG (section 3.2 above), the ccNSO Council appoints the Chair of the WG at this meeting.

3.6 Selection and Appointment process in event of a limited number of members on a WG

Where there is a limited number of members of a WG, or a cross-community WG and it is expected more volunteers than needed, the ccNSO Council will use the selection process as defined in Annex B.

4 Charter of a WG

The draft Charter for a WG should address the following topics (see also Annex A Template for a Charter):

- The date of the ccNSO Council decision to initiate the WG.
- The goal and purpose of the WG as agreed by the ccNSO Council.
- The scope of activities of the WG including
 - the main activities the WG will undertake
 - the development of a work plan including milestones and WG deliverables.
- Reporting mechanism(s).
- The Chair and membership of the WG. Other participants in the WG (if applicable).
- Staff support and tools that will be used to conduct WG business.
- The internal WG decision-making process.
- How the WG Charter will be reviewed.
- How and when the WG will be closed.

5 Membership of WG

5.1 Chair of WG

The Chair of the WG will manage the ongoing activity of the WG and ensure an appropriate working environment by:

- Promptly sharing relevant information with the entire WG.
- Planning the work of the WG in order to meet the WG goals and leading the WG through its discussions.
- Regularly assessing and reporting on progress towards the goals of the WG.
- Keeping track of WG participation. Where a WG member does not regularly participate, the Chair will reach out to the member, in order to engage that person in the WG. If that member does not then regularly participate, the Chair will advise the Council, so that further steps can be taken to resolve the situation.

The Chair is the representative of the WG in the ccNSO Council meetings. In the event that the Chair of a WG is not a member of the ccNSO Council, the ccNSO Council will appoint a ccNSO Council liaison, to act as an intermediary between the WG and the ccNSO Council. The ccNSO Council WG liaison will be either a Councillor or a person able to attend ccNSO Council meetings to report to the ccNSO Council on progress made, take and ask questions and participate in any deliberations related to the WG.

5.2 Members and other participants of the WG.

Membership of a WG is open to representatives of ccTLDs. There is no requirement for the ccTLD to be a ccNSO Member. Volunteers who are appointed Members of a WG commit to participate actively and regularly in the work of the WG. In some cases specific, additional requirements may be defined for membership, for example, the need for a Statement of Interest, specific expertise or letter of commitment from an employer.

The ccNSO Council appoints members of the WG at its first meeting following the closure of the call for volunteers.

After appointment of the members of the WG, the Secretariat will set up a mailing list for the WG, which will be archived after closure. The names and affiliation of the WG members and other participants will be published on a dedicated WG page on the ccNSO website.

At any time WG members may resign from a WG, by informing the Chair of the WG, who will inform the ccNSO Council.

At the nomination of the Chair of the WG, additional members may be appointed by the ccNSO Council, for example to replace a WG member who has resigned.

At the discretion of the Chair of the WG, participation in the WG may be open to others with a particular interest in the goal of the WG.

6 Operations of the WG

6.1 Working Group activities

The WG will conduct its business in a manner that it considers to be the most appropriate. The Secretariat will provide assistance in setting up conference calls, maintaining mailing lists, etc. If needed the Secretariat or other ICANN staff can also provide assistance, either by active participation or providing other support.

6.2 Standards of Behaviour

WG Chairs and Members will behave in a mature and professional way when they participate in working groups. This includes communicating with fellow WG Members professionally and ensuring that the WG remains inclusive and productive.

The following steps are proposed to resolve incidents of non-professional communication:

- Any concerns regarding the behaviour of a WG Member should firstly be raised with the Member themselves.
- If the issue is not satisfactorily resolved, a formal complaint should be raised with the Chair of the WG, who will attempt to mediate a resolution.
- If that is not possible, or if the complaint is sufficiently serious in nature, the Chair of the WG is empowered to restrict the participation of a WG Member if in her/his view the continued participation of the Member in the WG would not be appropriate and/or would seriously disrupt the working group from conducting its business.
- Generally, a WG Member should first be warned privately, and then warned publicly before such the restriction is put into effect; in extreme circumstances, this restriction may be put in effect immediately.

In the event that a WG Member disagrees with an imposed restriction, or the complainant disagrees with a restriction (or the lack of one), or there are other matters regarding the complaint that cannot be resolved satisfactorily, the participant, complainant, or the Chair of the WG may raise the issue with the Chair and Vice-Chairs of the ccNSO Council or their designate(s), who will review the matter and then decide. The ccNSO Council, WG Chair, WG Member and Complainant shall be informed accordingly.

6.3 Omission in the Charter of a WG

If an adopted Charter does not provide guidance and/or the impact of the Charter is unreasonable, the Chair of the WG will decide on the most appropriate remedy.

6.4 Review of the Charter of a WG

The Charter of a WG will be reviewed regularly by the ccNSO Council. The WG itself may propose changes to the WG Charter.

6.5 Closure of a Working Group

If the WG determines that it has completed its work, or that it cannot achieve its goal(s), it will submit a final report to the ccNSO Council and recommend closure of the WG.

If the WG has been inactive for a prolonged period, the Chair of the ccNSO or a person designated by the ccNSO Chair will contact the Chair of the WG, to assess whether the WG will continue its work or needs to be closed. In the event the Chair of the WG or the person designated by the Chair of the ccNSO is of the view the WG needs to be closed, the ccNSO Council will be advised to close the WG. A WG is closed by a resolution of the ccNSO Council.

7 Miscellaneous

7.1 ccNSO Internal Guideline

This Guideline is an internal rule of the ccNSO in accordance with Article IX section 3.11 and Article IX section 4.2 of the ICANN Bylaws.

7.2 Omission in or unreasonable impact of the Guideline

In the event this guideline does not provide guidance and/or the impact is unreasonable, the Chair of the ccNSO Council will decide upon any questions or issues. However the Charter of a WG, once adopted by the ccNSO Council, always remains paramount.

7.3 Review of Guidelines

This guideline will be reviewed every 3 years or when considered necessary by the Chair of the ccNSO. In order to become effective the updated guideline needs to be adopted by the Council, and published on the ccNSO website. Before publishing the updated guideline, the Secretariat will include the version number and insert the date of adoption.

7.4 Responsibility Assignment Matrix

	ccNSO Council	ccNSO Chair	Triage Committee	Secretariat	ccNSO/ccTLD community	WG Chairs
Express a need	R		R		R	
Decide to create a WG	R					
Appoint a (interim) chair/liaison	R					

Launch a call of volunteers				R	I	
Draft a charter				R		R
Send the draft charter		I		R		R
Adopt the charter	R					
Appoint volunteers	R				I	I
Manage the work of the WG	R					R
Report on progress	I				I	R
Assist the WG				R		
Review the charter of a WG	R					
Close the WG	R					R

R – Responsible, A – Accountable, C – Consulted, I - Informed

Annex A: ccNSO Working Group Charter Template

Charter: <subject>

1. **Description and Goal**

The *[insert name]* Working Group (WG) was created on *[date of ccNSO Council meeting resolution]*.

The goal and purpose of the WG as agreed by the Council:

The WG's goal and purpose is to *[insert description]*

2. **Scope**

The main activities of the WG are: *[insert list]*

The planned milestones of the WG are *[insert text]*

The main deliverables of the WG will be *[insert text]* (these will usually include the production of a final report).

3. **Reporting**

Reporting to the ccNSO Council on the WG will be by *[insert title]*

[insert further detail on reporting: for example frequency, presentations to ccNSO meetings, email updates etc]

4. **Chair and Members**

Initial Chair: *[Insert name of the initial chair of the WG]*

[The purpose is to inform the ccNSO Council when the WG is established. Once the charter is adopted the name of the chair and affiliation will be listed on the webpage of the WG.]

Description of membership and participation: who can participate

(for example: WG Membership is open to all ccTLDs, whether members of the ccNSO or otherwise.)

[insert list of the names of the initial members of the WG and their affiliation as well as the name and affiliation of others participating in the activities of the working group, if any, to inform Council. After adoption of the charter and members are appointed, the names of member and/or participants and their affiliation will be listed on the webpage of the WG]

	WG member name/ other participant	Affiliation	Expertise
1.			
2.			

5. WG decision-making process.

[insert text describing how WG decisions will be made, for example ‘by consensus’]

6. Review of charter and activities of the WG

[insert date of Charter and activities planned review]

7. Applicability of Guideline: ccNSO Working Group

In addition to this charter, the document **Guideline: ccNSO Working Groups** is applicable to and guides the working group in conducting its business. However, this charter, once adopted by the ccNSO Council, always remains paramount.

8. Duration and Closure

[insert planned length of WG and target closure date]

Annex B: WG Member Selection and Appointment Process

Call for nominations

Following adoption of the WG charter, the Secretariat will send out a call for self-nominations, which will include a wiki space address. The call for nominations will include a specific closing date. After receiving the self-nomination, the name of the candidate will be listed at the designated wiki space address. Nominations received after the closing date will not be valid.

Selection Process

Conflict of Interest

If a Councilor intends to become a member of a WG, they shall not be involved in the appointment process due to a direct conflict of interest. A Councilor may also declare a conflict of interest at any stage for other reasons, for example there may be a supplier or other relationship with a nominee. After such a declaration this Councilor ceases to be involved in the appointment process.

Information received from nominees.

The first working day after the closure of the call for nominations, the Secretariat will send the information received from the interested community members to non-conflicted Councilors individually and also to the non-conflicted representatives from the Regional ccTLD Organizations.

Initial selection of candidates

If same number or fewer candidates than required for the WG are received, their selection will be voted upon by the Councilors eligible to vote, either by an email poll or at a phone call, no later than one week after submission of the candidate letters of nomination.

If more candidates apply than are needed, the Councilors who participate in the selection process will each compile **a list of their top 5 candidates**, based on the Selection Criteria. The lists of candidates should be sent to the Secretariat email address ccnsosecretariat@icann.org one week after submission of the list of nominees. Note that the Chair and Vice-Chairs of the ccNSO also receive the emails sent to the Secretariat's email.

Based on the individual Councilor rankings, the Secretariat will prepare the overall ranking of all nominees and report the ranking to the Council one business day after they have received the list of top 5 candidates from the Councilors.

If, after compiling the list, two (2) to five (5) members can be appointed, the selection process is closed.

Second round of selection (if required)

If, after compiling the list, two or more of the candidates rank equally and as a result it is not possible to choose the limited number of members envisioned, there will be a run-off ranking for those candidates, with a defined closing date.

Adoption of the results

After closure of the selection process, the Secretariat will report the results to the ccNSO Council before the first regular ccNSO Council meeting following the selection process. The ccNSO Council will then appoint the WG members at this meeting.

The Secretariat will also prepare a selection report documenting the steps followed for the Council meeting, to be signed off by the Chair and Vice-chairs of the ccNSO Council and to be published on the ccNSO website.

Selection Criteria

Candidates will be selected based on how well they match the following criteria:

- The candidates have a thorough and demonstrable understanding and interest in the issues;
- The candidates show the commitment to actively participate in the activities of the WG on an ongoing basis;
- Where appropriate, the candidates solicit and communicate the views and concerns of individuals from the ccTLD community;
- The candidates have excellent communication skills in order to represent ccTLD interests and to keep the ccNSO and broader ccTLD community informed on progress.

Further, and again in accordance with the call for nominations, Councilors must take into account the diversity of the ccTLD community:

- Different geographic regions being included;
- Gender diversity;
- Diversity of registry experiences and types.