# Instructions for filling out the GDPR Dataflow Matrix

Version 1 dated 29 June 2017

ICANN policies and contracts require Contracted Parties to collect, create, retain, escrow, and publish a variety of data elements related to registry/registrar operations, domain name registrations, and registrants. In advance of May 25, 2017, the enforcement data for the EU’s General Data Protection Regulation (GDPR), ICANN intends to commission a legal analysis and engage with Data Protection Authorities to get a better understanding of the potential compliance implications.

In order to provide actionable input, legal experts and Data Protection Authorities will need detailed “purpose statements” describing which data elements a particular category of user intends to process, and the purpose of that processing. Under the GDPR, each proposed use (by data element and user type) must be balanced against the privacy interests of the relevant individual (the Data Subject), and appropriate safeguards must be identified.

Thus, the starting place for the legal analysis and engagement with Data Protection Authorities requires a careful data gathering exercise to:

* Identify the relevant data elements registries and registrars are required (by contract or Consensus Policy) to collect, create/derive, retain, escrow and/or publish;
* Identify the categories of stakeholders who use this data, along with the specific purpose of their usage;
* Identify the specific data elements required to achieve each specified purpose. This information – which may be thought of as a “user story” is a necessary input to any legal analysis or DPA input.

To capture this key information, we are asking volunteers to help us create a comprehensive matrix of user stories that specifies what data elements are used by specific categories of users to achieve a specific purpose. We have developed a list of data elements that are either collected directly from data subjects (e.g., registrant name, server IP address, etc.) or derived from transactions (e.g., domain create date) – see attachment 1 labeled “GDPR\_DataFlowElements.doc”. We are now asking volunteers to help us identify categories of data users, the data elements they use, and the reason they use that data. The output will be a series of “user stories” in the following form (see attachment 1 labeled “GDPR\_MatrixSample\_UserStory.doc”):

|  |  |  |
| --- | --- | --- |
| User Type | Data Elements | Purpose |
| As a [insert type of user, e.g., law enforcement authority, rights holder, registrant, consumer, etc.] | I use [insert specific data elements, e.g., registrant name, administrative contact, creation date, etc.] | In order to [insert specific use, e.g., identify the source of a DDoS attack, contact registrants who are infringing my intellectual property, determine whether or not I want to do business on a particular website, etc.] |

Please focus on specific information, with sufficient detail to allow clarity on the purpose and use. The quality, specificity, and actionability of any legal analysis and/or DPA input we receive will depend almost entirely on the quality, specificity, and clarity of these user stories.

We know that this can be tricky and tedious. We hope you will get started right away, and we intend to arrange conference calls on 6 July and 13 July at 0700 PDT / 1000 EDT / 1400 UTC to exchange information about our progress, share tips for creating the user stories, and explore any questions that arise along the way.

We will compile the input into respective columns reflecting the various use cases and user stories. To the extent that user stories appear to be duplicative or contradictory, we will reach out to volunteers associated with the relevant user category to resolve. Some things to remember when filling out this dataflow matrix:

* Level of detail needs to be appropriate, the more detail provided, the more compelling the story
* This is for data collected, created/derived, retained, escrowed and/or published in response to ICANN’s mandates only (aka policies and contracts)
* Don’t try to decide whether a particular data element is Personally identifiable information (PII) or not – for this exercise please include ALL data elements used.
* Don’t try to decide whether a particular use is “legitimate” or not. The goal is to get expert input on how each use would be analyzed under the GDPR.
* Are you aware of existing resources/work that can be used as input into this data collection effort?
* Have we failed to list a collected, created/derived, retained, escrowed, and/or published data element? Please let us know as soon as possible, and include it in your user stories.
* Have we omitted any category of user? Please let us know as soon as possible and please include contact information for someone who might be in a position to help us collect relevant user stories.
* Feel free to share this information with others, but please emphasize the tight timelines for this work.

Due date is no later than 15 July. Dataflow matrices can be sent to diana.middleton@icann.org