

I C A N N
POLICY FORUM

65

MARRAKECH

24-27 June 2019



New gTLD Subsequent Procedures PDP Working Group

ICANN65

Monday, 24 June 2019

13:30 to 15:00

Agenda

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Welcome and
Introduction

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Current Status

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Assumptions for use
in Preliminary
Planning Work

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Q&A

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Wrap-up

Current Status

Agenda Item 2

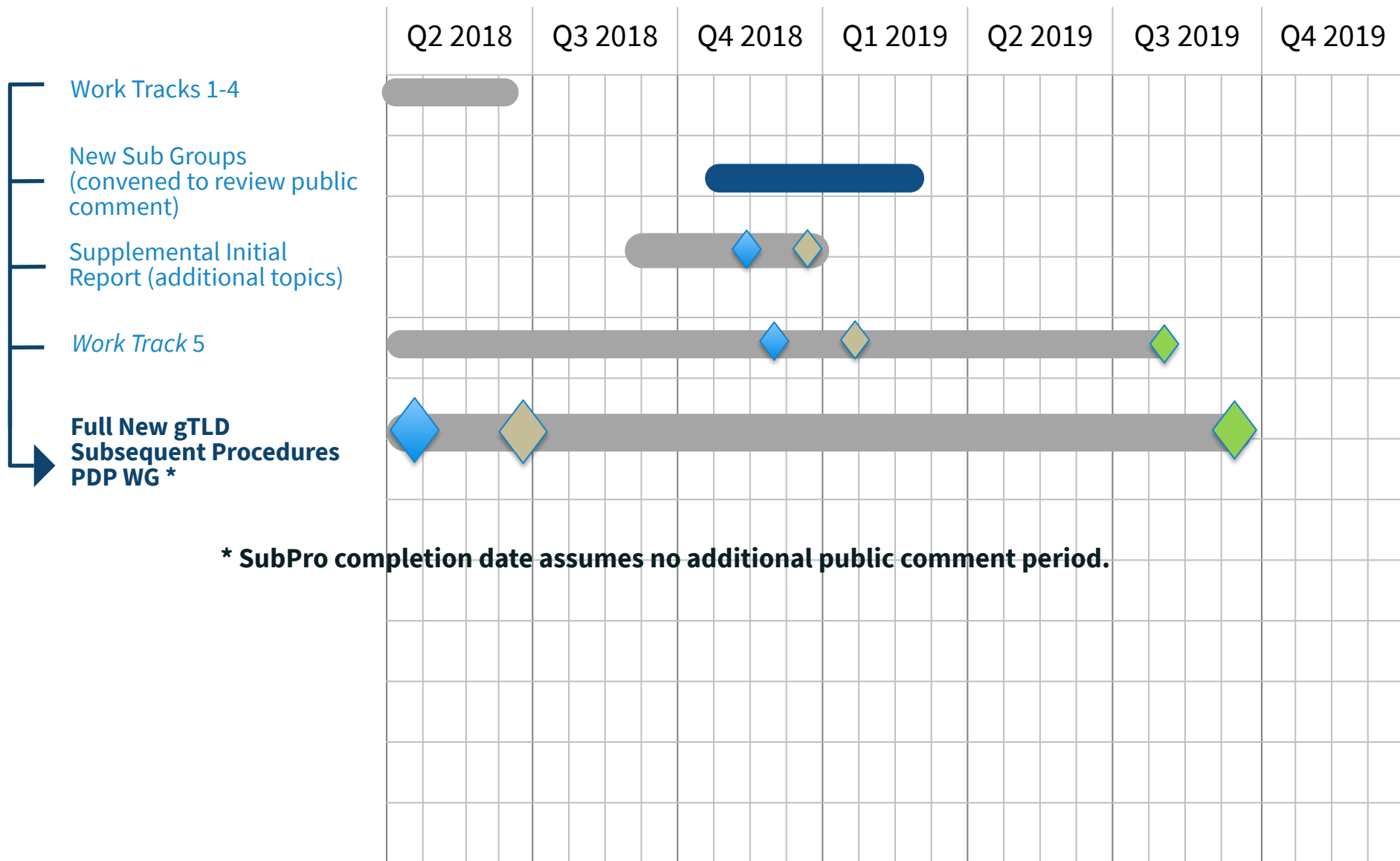
What is the PDP about? Why is it important?

- GNSO recommendations from 2007 resulted in the Applicant Guidebook and the 2012 round of the New gTLD Program.
- The New gTLD Subsequent Procedures PDP (“SubPro”) is focused on considering the 2012 round policy and **determining what changes might need to be made to the original GNSO recommendations from 2007 and/or implementation.**
- The PDP was **chartered** and began its work in early **2016**
 - Charter available here:
<https://gns0.icann.org/en/issues/new-gtlds/subsequent-procedures-charter-21jan16-en.pdf>
- The PDP has over 40 separate topics identified in its charter and initially broke into Work Tracks (1-5) to tackle work. Sample of topics:
 - Community Applications
 - Applicant Support
 - Geographic Names at the Top Level

Current Status

- An Initial Report was published for public comment on 3 July 2018, with the period closing on 26 September.
- The WG also worked on a set of 5 topics that needed additional discussion, which were also published in late October for public comment in the form of a Supplemental Initial Report.
- Comments received were organized and collated by three Sub Groups (A, B, and C) and the full WG. Full WG in the process of substantively considering public comment.
- Work Track 5 (geo names at the top-level) published its own Supplemental Initial Report in December, has performed initial review of public comment, and is now also in the process of substantively considering public comment.
- Baseline: WG's Preliminary Recommendations and/or 2012 implementation and Applicant Guidebook.
- Change from that baseline requires consensus.

SubPro Timeline



* SubPro completion date assumes no additional public comment period.

KEY



Publish Initial Report



Close of Public Comments



Final Report Delivered to Council

New gTLD Subsequent Procedures

Assumptions for use in Preliminary Planning Work

Agenda Item #3



ICANN 65 Policy Forum

Agenda

Assumptions:

1. Timeline to next round
2. Expected volumes of applications and processing time
3. Policy implementation
4. Readiness activities
5. Systems & tools
6. Operational processes
7. People
8. Costs

1. Timeline to Next Round

- 1.1 Board adoption of the policy recommendations from the Subsequent Procedures PDP Working Group's final report is a dependency for the opening of the next application window.
- 1.2 Policy implementation, readiness activities and operational processes will be completed prior to the opening of the next round.

2. Expected Volumes of Applications and Processing Time

- 2.1 Guidance from the Board regarding assumptions for subsequent procedures is critical to ICANN org's planning for the next and subsequent rounds.
- 2.2 The application volume, in the next round, will be roughly the same number of applications as in the 2012 round: ~2,000 applications.
- 2.3 Ongoing application volume for subsequent procedures will be significantly lower.
- 2.4 Application prioritization will be required to effectively sequence application processing.
- 2.5 There will be no changes to the 1,000 TLDs/year maximum delegation rate.
- 2.6 For ongoing subsequent procedures, ICANN org assumes an annual application window of one to three months in duration, with subsequent application windows opening during the same timeframe, once per calendar year.

3. Policy Implementation

- 3.1 There will be changes to the program implementation, based on the preliminary recommendations of the three (3) initial reports published by the Subsequent Procedures PDP Working Group.
- 3.2 Policy implementation materials are anticipated to include significant documentation, and be detailed and comprehensive, which were not included in the scope of the 2012 Applicant Guidebook.
- 3.3 Policy implementation materials will be developed with appropriate consideration of community input.
- 3.4 Policy implementation materials will be completed prior to the opening of the next round.

4. Readiness Activities

- 4.1 Operational infrastructure (people, processes, systems) will be established to support subsequent application rounds for the long-term introduction of new gTLDs, not just a single round.

- 4.2 Program readiness activities, including staffing, process design, systems development, and vendor procurement will be completed prior to the opening of the next round.

5. Systems & Tools

- 5.1 Systems and tools planning and design should be based on a clear understanding of program processes and requirements.
- 5.2 Systems and tools development will be completed prior to opening the next application round.
- 5.3 Technology investments are planned to be limited to only those capabilities needed to ensure the security, stability and consistency of application submission, processing and communications.
- 5.4 System testing, security testing and operational pilot testing to ensure systems and tools are fit for purpose will be completed prior to the opening of the next round.

5. Systems & Tools, Continued

- 5.5 Development of process and workflow management tools will be focused on solving for data-intensive activities and critical program functions in order to balance automation vs. manual tools.
- 5.6 Existing materials, systems, and tools will be leveraged as much as possible. Internal knowledge and expertise will be prioritized, and as little as possible will be outsourced.
- 5.7 All new systems and tools will be developed on one of the 3 principal ICANN org platforms: Oracle, Alfresco, or Salesforce.

6. Operational Processes

- 6.1 Well-defined operational processes are critical to smooth program operations and satisfactory applicant experiences.
- 6.2 Design and documentation of program processes will be completed prior to the opening of the next round.
- 6.3 Staff training on program processes and tools will be completed prior to the opening of the next round.

7. People

- 7.1 Proactive resource planning will be completed in order to adequately staff the program team to meet deadlines.
- 7.2 Org staff will be utilized to perform program management, program operations and program administration functions.
- 7.3 Org will outsource critical application functions such as application evaluation and objection processing, to expert firms with requisite subject matter expertise.
- 7.4 Org currently lacks sufficient staff to implement new policy and prepare to operate the next application round.
- 7.5 Additional staff will be hired based on needed skills and experience.
- 7.6 ICANN org will augment staff with temporary resources as needed to address peak workload for activities which are not expected to be sustained for at least 24 months.

8. Cost

- 8.1 The program will continue to operate on a cost-recovery basis; it will be funded from application fees collected.
- 8.2 Tracking of program readiness costs should begin as rapidly as possible, in order to capture development costs prior to the launch of the next round.
- 8.3 Comprehensive cost planning for program readiness and operations is critical to accurate reporting and management of costs.

Questions & Answers

Agenda Item 4

Wrap-up

Agenda Item 5

PDP Resources

- Active Project Page:
<https://gnso.icann.org/en/group-activities/active/new-gtld-subsequent-procedures>
- PDP Wiki: <https://community.icann.org/x/RgV1Aw>
- PDP Mailing List Archive:
<http://mm.icann.org/pipermail/gnso-newgtld-wg/>
- Newsletters:
<https://gnso.icann.org/en/news/working-group-newsletters>

I C A N N
POLICY FORUM

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MARRAKECH

24-27 June 2019



New gTLD Subsequent Procedures PDP Working Group

ICANN65

Tuesday, 25 June 2019

13:30 to 15:00

Agenda

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Work Track 5 Update

2

Review of Public
Comments:
Application Queuing

3

Review of Public
Comments:
Delegation Rates

4

Review of Public
Comments: Global
Public Interest

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Wrap-up

Work Track 5 Update

Agenda Item 1

About Work Track 5

- Work Track 5 is a sub-team of the PDP that seeks to review the existing policy and implementation related to the topic of geographic names at the top level, determine if changes are needed, and recommend revised or new policy and/or implementation guidance, as appropriate.
- Anyone can join Work Track 5 as a member or observer.
- Recommendations coming out of Work Track 5 will go through a consensus call at the full Working Group level.

Scope of Work

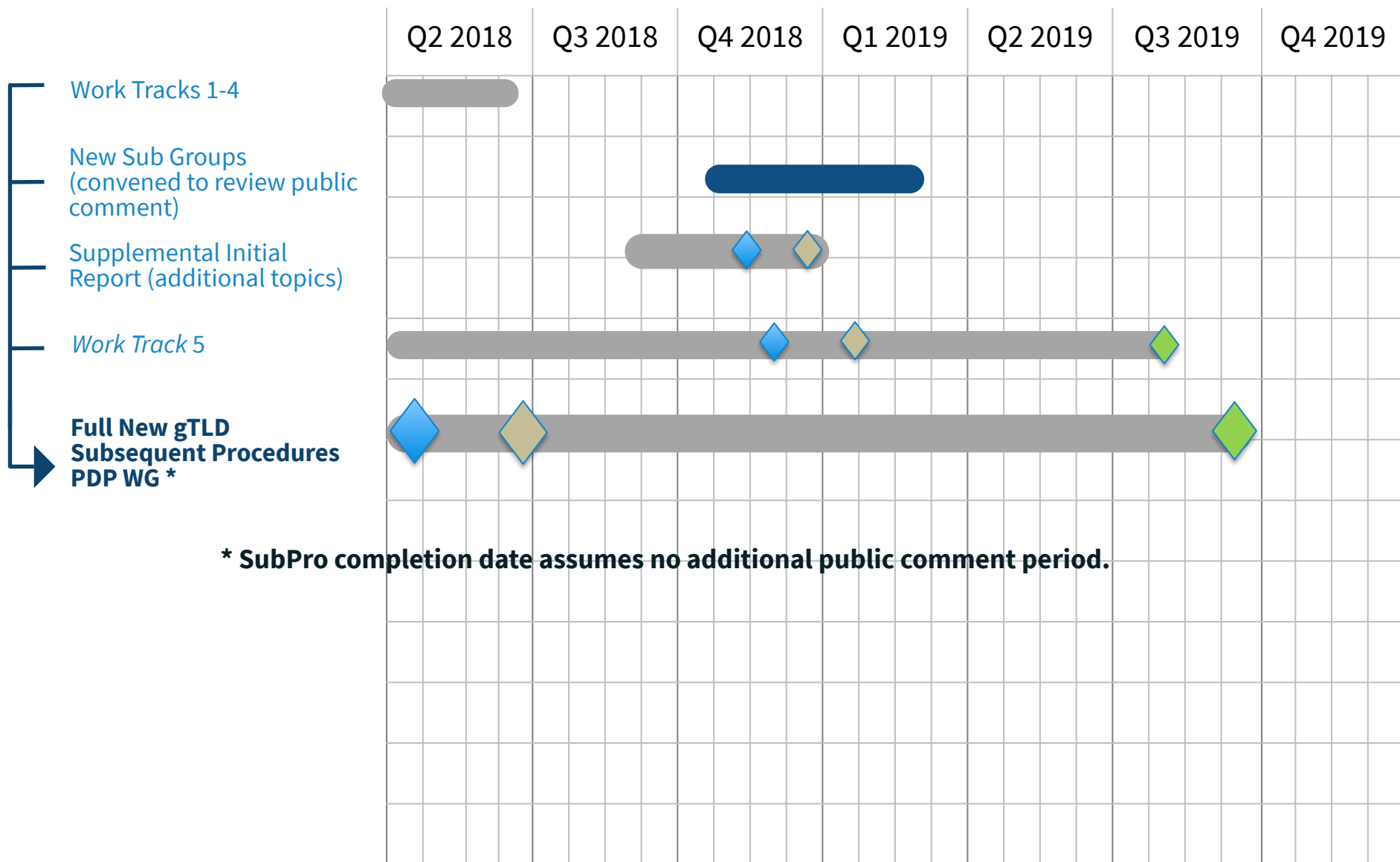
The scope of work includes geographic names at the top-level only:

- Two-character ASCII letter-letter combinations
- Country and Territory Names (alpha-3 on 3166-1, short and long-form in ISO 3166-1, additional categories in section 2.2.1.4.1 of AGB)
- Capital cities in ISO 3166-1, city names, sub-national names (e.g., county, province, state in ISO 3166-2)
- UNESCO regions and names appearing in the “Composition of macro geographical (continental) regions, geographical sub-regions, and selected economic and other groupings”
- Other geographic names such as geographic features (rivers, mountains, valleys, lakes, etc.) and culturally significant terms related to geography (also known as non-AGB geographic terms)

Current Status

- **Supplemental Initial Report** published for public comment on 5 December 2018, with the (extended) period closing on 1 February 2019.
- A total of 42 comments were received, with many of the GNSO SG/Cs responding, as well as SO/ACs (with some governments and ccTLD managers responding individually).
- Public comments were compiled into the Public Comment Review Tool, attempting to provide an initial assessment of Agreement, Concerns, New Idea, Divergence in relation to WT5's report.
- Work Track 5 categorized every comment, seeking to ensure that it understands the comment and asked questions where it may not be clear.
Transition - now undertaking substantive deliberations to determine if change is needed.
- **Baseline: WT5's Preliminary Recommendations and/or 2012 implementation and Applicant Guidebook.**
- **Change from that baseline requires consensus.**

Reminder: SubPro Timeline with WT5



* SubPro completion date assumes no additional public comment period.

KEY



Publish Initial Report



Close of Public Comments



Final Report Delivered to Council

Review of Public Comments: Application Queuing

Agenda Item 2

Application Queuing: Background

Brief summary of 2012 implementation:

- 2007 Final Report recommended processing applications on a first-come first-served basis
- Applicant Guidebook specified that if more than 500 applications were received, a secondary timestamp mechanism would be used to establish batches for evaluation and subsequent application processing steps.
- Since more than 500 applications were received, ICANN implemented a timestamp mechanism.
 - Initially, a system called “digital archery” was developed - abandoned due to system glitches producing inconsistent results.
 - ICANN adopted a “drawing” process that randomized the applications to determine the priority of evaluating the applications and obtained a license from the State of California to do so.
 - Applicants had the option to pay \$100 per application to receive a ticket for inclusion in the prioritization draw.
 - IDN strings were prioritized before other applications and all applications associated with a purchased ticket were prioritized before those without.

Application Queuing: Policy Goals

With respect to the issue of prioritizing applications for processing, what is the Working Group seeking to accomplish?

- Any processes put into place for application queuing should be clear, predictable, and established in advance.

Application Queuing: Summary of Prelim Recs

- 2.6.1.c.1: Don't attempt a "skills-based" system like "digital archery" to determine the processing order of applications.
- 2.6.1.c.2: ICANN should apply again for an appropriate license to conduct drawings to randomize the order of processing applications.
- 2.6.1.c.3: If ICANN is able to secure such a license, applications should be prioritized for Initial Evaluation using a prioritization draw method similar to the method ultimately adopted in the 2012 round.
- Possible proposals that depart from the 2012 implementation:
 - 2.6.1.c.4: If an applicant has more than one application, they may choose which of their applications to assign to each priority number received within their portfolio of applications.
 - 2.6.1.c.5: To the extent that it is consistent with applicable law to do so, ICANN should include in the application amount the cost of participating in the drawing or otherwise assign a prioritization number during the application process without the need for a distinctly separate event.
 - 2.6.1.c.6: All applications submitted in the next round (regardless whether delegated or not) must have priority over applications submitted in any subsequent rounds/application windows even if the evaluation periods overlap.

Application Queuing: Public Comment

These slides capture input at a very high level and are intended to merely **provide a sense of the input received** and support conversations during this session.

High-level agreements from the public comments:

- Avoid any skills-based system like digital archery in the future.
- ICANN should again apply for a license to conduct drawings.
- ICANN should include in the application amount the cost of participating in the drawing or otherwise assign a prioritization number during the application process without the need for a distinctly separate event.
- All applications submitted in the next round must have priority over applications submitted in any subsequent rounds.

Application Queuing: Public Comment

- Prioritization draw methodology: While some comments supported repeating the method used in the 2012 round, with option to buy a ticket for the draw, there was also some support for simplifying and streamlining processes where possible and appropriate.
- Idea that priority numbers could be transferable between applications in a portfolio: While some comments supported this proposal, others opposed it, noting that the proposal could cause undesirable outcomes, such as gaming and the creation of a secondary market for priority numbers.
- Priority processing for certain types of strings: Some comments supported processing certain strings on a priority basis (IDNs: ALAC, Public Interest Community, NCSG; Community-based applications (ALAC), while other comments opposed prioritization (RrSG/RySG/Neustar/LEMARIT):
 - Proposal from Jamie Baxter, dotgay LLC: If a contention set includes a community-based application, prioritize the entire contention set because of the long path to delegation

Application Queuing: Public Comment

Additional feedback on prioritization of applications in the next round over those in subsequent rounds/windows:

- INTA/Valideus: Proposal that where a TLD has been applied for by one or more applicants in an earlier application window, but is not yet delegated, it should not be possible for an applicant in a future application window to apply for that TLD string, or any string which would be considered confusingly similar.
- ICANN Org: Suggestion to clarify what is meant by “must have priority over applications submitted in any subsequent rounds/application windows.” For example must all applications in a current round complete contracting prior to any application in a subsequent round being able to sign a Registry Agreement?

Review of Public Comments: Delegation Limits

Agenda Item 3

Delegation Limits: Background

Brief summary - 2012 round:

- Based on an ICANN organization paper titled “[Delegation Rate Scenarios for New gTLDs](#),” ICANN predicted that it would only be able to process a maximum of 1,000 delegations per annum.
- This number served as the basis for analysis by the technical community prior to the 2012 new gTLD round.
- The technical community determined that 1,000 delegations per year would not pose a security and stability threat.
- Based on this analysis, the ICANN organization committed to delegate no more than 1,000 gTLDs per year.
 - The technical community [did not seek to determine a specific maximum delegation rate](#) on the basis of security of stability.

Delegation Limits: Policy Goals

- The New gTLD Program should be introduced in an ongoing, orderly, timely and predictable manner.
- The primary purposes of new gTLDs are to foster diversity, encourage competition, and enhance the utility of the DNS.
- New gTLDs should be delegated into the root zone in a manner that minimises the risk of harming the operational stability, security and global interoperability of the Internet.

Delegation Limits: Public Comment

High-level agreements:

- ◉ In delegating new gTLDs, the Working Group agrees with the RSSAC, that trouble free access to the root zone is one of the very few things that are critical for all Internet users, and therefore, ICANN should honor the principle of conservatism when adding new gTLDs to the root zone.
- ◉ That said, the Working Group generally supports raising the delegation limit from no more than 1000 TLDs per year, subject to the recommendations below.

Delegation Limits: Public Comment

High-level agreements (continued):

- ◉ As recommended by both the [SSAC](#) and [RSSAC](#), ICANN should focus on the rate of change for the root zone, rather than the total number of delegated strings for a given calendar year. Instead, it would be better to think in terms of changes over smaller periods of time (e.g., monthly).
- ◉ ICANN should continue developing the monitoring and early warning capability with respect to root zone scaling. This investigation should be completed prior to increasing the number of delegations in the root zone.

Delegation Limits: Public Comment

High-level agreements (continued):

- ◉ The WG supports the following additional recommendations of the RSSAC, namely:
 - The rate of change is more important than absolute magnitude. Based on historical trends and our operational experiences, the RSSAC strongly recommends that the number of TLDs delegated in the root zone should not increase by more than about 5% per month, with the understanding that there may be minor variations from time-to-time.
 - While there are many DNS zones larger than 10,000 - 25,000 records, the root zone is uniquely a shared resource upon which all Internet users rely. For this reason, the RSSAC believes it will continue to be important to limit the rate of addition of new gTLDs.

Delegation Limits: Public Comment

High-level agreements (continued):

- The WG supports the recommendations proposed by the SSAC, namely:
 - ICANN should structure its obligations to new gTLD registries so that it can delay their addition to the root zone in case of DNS service instabilities.
 - ICANN should investigate and catalog the long term obligations of maintaining a larger root zone.

Delegation Limits: Public Comment

High-level agreements (continued):

- In accordance with the comments received from ICANN's Office of the Chief Technology Officer (OCTO), the Working Group recommends that OCTO consult with PTI, Verisign, the root operators vis RSSAC, and the larger DNS technical community on these recommendations.

