

New gTLD SUBSEQUENT PROCEDURES

Planning Assumptions v.1.1

March 2020

ICANN org has defined the following assumptions for use in its preliminary planning work:

1. **Timeline to Next Round**

- 1.1. ICANN 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. **Application Planning**

- 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 roughly be the same as in the 2012 round: 2,000 applications.
- 2.3. For ongoing subsequent procedures, ICANN org expects a predictable application window schedule. Application volume for subsequent rounds is expected to be significantly lower.
- 2.4. Application prioritization will be required to effectively sequence application processing.
- 2.5. Changes may be made to the 1,000 top-level domains (TLDs)/year maximum delegation rate used in the prior round based on (1) study results, (2) community discussions, and (3) policy work.

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 expected to provide detailed and comprehensive documentation to ensure that all application processes and procedures are included in the new 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 generic top-level domains (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 and 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 the opening of 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.
 - 5.5. 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 versus manual tools.
 - 5.6. Existing materials, systems, and tools will be leveraged. Internal knowledge and expertise will be prioritized.

- 5.7. All new systems and tools will be developed on one of the three (3) principal ICANN org platforms: Alfresco, Oracle 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. ICANN org staff will be utilized to perform program management, operations and administrative functions.
- 7.3. ICANN org will outsource critical application functions, such as application evaluation and objection processing, to expert firms with requisite subject matter expertise.
- 7.4. ICANN org currently lacks sufficient staff to implement new policy and to prepare operations for 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 that are not expected to be sustained for at least 24 months.

8. **Costs**

- 8.1. The program will continue to operate on a cost-recovery basis and will be funded by application fees collected.
- 8.2. Tracking of program readiness costs should begin as soon 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.