**Working Document**

Topic E: Adjustments to objection process, string similarity review, string contention resolution, reserved strings, and other policies and procedures

| **CHARTER QUESTIONS** |
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| **e1)** In considering the conclusion(s) with respect to question **b4a)**, what role, if any, do TLD labels “withheld for possible allocation” or “withheld for the same entity” play vis-a-vis:   * objection process; and * string similarity review process? |
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**High-Level Notes:**

* *As e1(the part related to “withheld-same-entity” labels) and e3 are interrelated, the discussion for these charter questions was combined, with the deliberations captured under e3 below.*

| **e2)** Under the rules of the most recent gTLD application round, there are four criteria for objections to a string (see *gTLD Applicant Guidebook*, version 2012-06-04, section 3.2.1).[[1]](#footnote-0) The SubPro PDP has also affirmed the continuation of these four criteria for objections to a string, while proposing recommendations and implementation guidance to enhance/adjust these criteria.[[2]](#footnote-1)  The WG and the SubPro IRT to coordinate to ensure consistency in the implementation of the **objection** process for the variant label applications of existing and future TLDs. |
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| **e3)** In the Initial Evaluation for new gTLD applications, a proposed applied-for TLD is checked against several criteria as part of the string similarity review process (see *gTLD Applicant Guidebook*, version 2012-06-04, section 2.2.1.1.1).[[3]](#footnote-2) The SubPro PDP affirmed these standards, while proposing recommendations and implementation guidance to enhance the process.[[4]](#footnote-3)  The WG and the SubPro IRT to coordinate to ensure consistency in the implementation of the **string similarity review** procedure for variant label applications of existing and future gTLDs.[[5]](#footnote-4) |
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**High-Level Notes:**

* The current scope of EPDP discussion of this question was limited to future new gTLDs going forward.
* One member suggested the following: the string similarity review should only cover the variant labels requested by the applicants. The primary applied-for gTLD should be evaluated first, and the requested variant labels should be evaluated next.
  + If the primary string is confusingly similar to existing TLDs, requested ccTLDs, or Reserved Names, the application is rejected.
  + If the primary string is confusingly similar to another applied-for gTLD in the same round, they go forward with contention resolution.
  + If the primary string passes evaluation, but the requested variant is confusingly similar to existing TLDs, string requested as ccTLDs, or Reserved Names, the applicant should have an opportunity to withdraw its request for the variant label.
  + If the primary string passes evaluation, but the requested variant is confusingly similar to another applied-for gTLD in the same round, the applicant should have an opportunity to either withdraw its request for the variant, or go forward with contention resolution.
  + If the applicant would like to request a variant that it didn’t previously apply for, it needs to undergo a new string similarity review process, as circumstances may have changed with respect to potential string contention, and this will need to be taken into account in the evaluation process.
* Another member suggested that the applicant might also be given the chance to “switch” its primary applied-for gTLD label to one of the variants.
* In the development of the Staff Paper, three levels of analysis were conducted regarding the coverage of String Similarity Review:
  + Level 1: Applied for strings (including requested variants) compared against other applied for, delegated strings, and reserved strings;
  + Level 2: Applied for strings (including requested variants) compared against other delegated strings, reserved strings, applied-for strings and their allocatable variants;
  + Level 3: Applied for strings (including requested variants) compared against other delegated strings, reserved strings, applied-for strings and all of their variants (including blocked ones).
* Staff Paper ultimately recommended the maximally conversative approach (Level 3) as there was little knowledge of how variants would be operated and it seems safer to err on the side of caution.
* There was support that evaluating all valid variants is overly restrictive and conversative. For certain scripts, allocatable variants could be tens of labels, and blocked variants can be very large for not only Arabic, but also Latin script (e.g., hundreds or thousands). Conservative approach could be costly and the EPDP Team needs to consider adding parameters to make the process easier and less costly.
* One member suggested the full set of the reserved strings should be evaluated against, as a certain reserved string could become unreserved in the future.
* Another member commented that if the language community didn’t want a certain blocked string, shouldn’t it have also blocked the string that is confusingly similar to the blocked string? If they didn’t block it, maybe they are okay with it being delegated. A variant of a blocked string should only be rejected IF it is confusingly similar from a visual perspective.
* The leadership/staff has been tasked to develop a matrix to clearly lay out the different levels of comparison and identify which elements of each set are compared to which elements of the other set, as well as the respective pros and cons of each level of comparison.
* Staff developed a [comparison matrix](https://community.icann.org/download/attachments/192217195/EPDP%20Team%20Meeting%20%2330%20Slides%20-%20E3%2C%20E1%2C%20E3a.pdf?version=1&modificationDate=1649976844000&api=v2) to show the three levels of string similarity review and their respective “pros” and “cons” as conversation starter: Level 1 - Primary + Only Requested Allocatable Variants; Level 2 - Primary + All Allocatable Variants; Level 3 - Primary + All Variants
* Discussion of Level 1 - Primary + Only Requested Allocatable Variants:
  + An RO has no automatic “ownership rights” to allocatable variants. It only has rights to a variant that is requested and delegated. It should be acceptable if an applicant does not request an allocatable variant at first but is then denied when it later requests it, because at that point in time that variant is confusingly similar to an already delegated string.
  + Registry agreement has the following clause regarding “Ownership Rights”: “Nothing contained in this Agreement shall be construed as (a) establishing or granting to Registry Operator any property ownership rights or interests of Registry Operator in the TLD or the letters, words, symbols or other characters making up the TLD string, or (b) affecting any existing intellectual property or ownership rights of Registry Operator.”
  + Some allocatable variant labels will never be applied for, so they should not be taken into account in the string similarity review.
  + If activation of variant labels is possible between application rounds, an additional “con” would be the string similarity review would have to be done at any point in time. However, the EPDP Team has not agreed on whether activation requests between rounds are allowed.
  + When there are multiple rounds and if there is overlap in timing of evaluation processes, the string similarity review of variant labels may not be that simple. A consideration is needed regarding the specific rules applied across rounds that govern how activation of variants by ROs is prioritized. SubPro also has addressed the prioritization of applications where there may be overlapping rounds.
* Discussion of Level 2 - Primary + All Allocatable Variants:
  + To set a policy that gives a right of first refusal to an existing RO to any variants goes against the notion that the RO doesn’t have ownership rights to those variant strings. Essentially it is reserving the right for the RO for the string should they ever want it, and over anyone else who applies for a string that might be confusingly similar.
  + To review the allocatable but not requested variants is not to give IP rights to the applicant. In the 2012 round, the self identified variants were incorporated in the string similarity review but the applicant did not have any IP rights over those strings.
  + An applicant is not an RO bound to the registry agreement or the “Ownership Rights” clause.
* Discussion of Level 3 - Primary + All Variants:
  + The maximally conservative approach is the safest but might be too much.
  + Similarity is considered at the perception layer and it cannot be done in an automatic fashion. In the 2012 round there was a SWORD tool, but it did not perform adequately and SubPro recommends eliminating such tool.
  + When a string is formally requested there is a need to notify the community, provide an opportunity for objections, and complete related processes. SubPro did not favor requesting applications on a rolling basis because it is difficult to make this predictable. If the activation of variants is made possible between rounds, this will go against the principle of predictability that SubPro spent a lot of time working on.
  + Level 3 is more predictable, as all variants are reviewed upfront.
  + Giving right of first refusal on every variant label to the existing registry operator is predictable, but it goes against many other principles put forward by SubPro.
  + Why do blocked strings need to be taken into consideration? GPs may have multiple motivations for blocking a string. The main motivation was that the RZ-LGR procedures suggested that allocatable variants should be minimized and blocked variants should be maximized. The panel may look at it from a usability perspective. If there are two characters that are nearly visually identical and there is no usability argument, then they would make it a blocked variant. If there is a usability argument, they would make it an allocatable variable.
* There was divergence regarding which of the three levels is the most appropriate. There was a discussion about whether Level 1 or Level 3 is more consistent with the SSAC conservative principle. From one perspective, Level 3 is a broader evaluation and therefore more conservative. From another perspective, Level 3 creates rights to a wider range of variants, and therefore Level 1 is more conservative because it treats the pool of variants in a more limited way.
* There was a suggestion regarding activation of labels between rounds: What if there was a rule that if an applicant is applying for an IDN TLD, they know what the variant set looks like and they decide what they want to apply for? There is one opportunity to apply for the primary and the variant set you are interested in applying for. If the requested variants are still available in the future, there is still an opportunity.

| **e3a)**  After a requested variant string is rejected as a result of a string similarity review, should the other variant strings in the same variant set remain allocatable? Should individual labels be allowed to have different outcomes/actions (e.g., some labels be blocked and some be allowed to continue with an application process)?[[6]](#footnote-5) |
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**High-Level Notes:**

* The current scope of EPDP discussion of this question was limited to future new gTLDs going forward.
* The team discussed two possible scenarios related to the outcome of an applied-for variant string getting rejected as a result of a string similarity review: 1) only the applied-for variant string is rejected while the other allocatable variant labels continue to remain allocatable; 2) the entire variant set including the applied-for variant string is rejected. The team had split views.
* One member emphasized the need to think through the idea of atomicity of the variant set (i.e., the whole set of variant labels is inseparable). If the application of the set is treated as an atomic whole, the evaluation of the set should be treated the same way. Once the set is split up, we may run into potential issues about how the variants are conceptualized.
* Another member emphasized that the string similarity review is a visual test. How can you justify rejecting a string if it’s not visually confusingly similar to another string? In that logic, where the applied for string is rejected, the other allocatable variants should still be eligible for activation unless they are also confusingly similar.

| **e4)** Under current procedures, resolution of string contention for applied for gTLD strings may include components such as a settlement between the parties, a community priority evaluation (if a community-based applicant in a contention set elects this option), and an auction. SubProp PDP affirmed these components while proposing recommendations and implementation guidance to enhance the mechanisms for string contention resolution.[[7]](#footnote-6)  The WG and the SubPro IRT to coordinate to ensure consistency in the implementation of the **string contention resolution** mechanism for variant label applications of existing and future new gTLDs.[[8]](#footnote-7) |
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| e5) The WG and the SubPro IRT to coordinate and consider the following questions in order to develop a consistent solution: should the reserved strings ineligible for delegation for existing and future gTLDs be updated to include any possible variant labels? Consider this question by taking into account the data to be collected in the “Data and Metric Requirements” section of this charter. |
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| **e6)** The WG and the SubPro IRT to coordinate and consider the following questions in order to develop a consistent solution: is there any reason to permit the registration of gTLDs consisting of decorated two-character Latin labels which are not variant labels of any two-letter ASCII labels?[[9]](#footnote-8) If so, rationale must be clearly stated. |
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| **e7)** Besides the objection process, string similarity review, and string contention resolution, what other ICANN policies and procedures should be updated to enforce the “same entity” rule and the use of RZ-LGR as the sole source to calculate the variant Labels and disposition values?[[10]](#footnote-9) See the list of ICANN Consensus Policies here: <https://www.icann.org/resources/pages/registrars/consensus-policies-en> |
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* Evaluation elements for variant labels of TLDs with restrictions (e.g., community, Geo, Category 1, Brand)

1. The four criteria are: String Confusion Objection; Legal Rights Objection; Limited Public Interest Objection; and Community Objection. [↑](#footnote-ref-0)
2. See “Topic 31: Objections” in the SubPro PDP Final Report, pp.145-154: <https://gnso.icann.org/sites/default/files/file/field-file-attach/final-report-newgtld-subsequent-procedures-pdp-02feb21-en.pdf#page=145> [↑](#footnote-ref-1)
3. These criteria are: existing TLDs and reserved names; other applied-for strings; strings requested as IDN ccTLDs; and applied-for 2-character IDN gTLD strings against every other single character and any other 2-character ASCII string. [↑](#footnote-ref-2)
4. See “Topic 24: String Similarity Evaluations” in the SubPro PDP Final Report, pp.108-114: <https://gnso.icann.org/sites/default/files/file/field-file-attach/final-report-newgtld-subsequent-procedures-pdp-02feb21-en.pdf#page=108> [↑](#footnote-ref-3)
5. The Staff Paper recommends that the string similarity process to compare strings under consideration not just against all allocated or applied-for strings, but also all variants of those strings (including allocatable, withheld-same-entity, and blocked). For example, if a string is merely withheld-same-entity and a second string is visually similar, then allocating the second string undermines the predictability of the outcome of variant processing from the RZ-LGR. Similarly, if a string is blocked under the RZ-LGR, but a visually similar string is allocatable, then the second (visually similar) string might become a “work around” for the blocked string. This approach is maximally conservative. It is nevertheless worth noting that this expands considerably the number of strings that might need to be considered; the entire similarity review process will consequently probably become more expensive to operate. See Section 3.8 Adjustments in String Similarity Process in the Staff Paper, pp.18-19: <https://www.icann.org/en/system/files/files/idn-variant-tld-recommendations-analysis-25jan19-en.pdf#page=18>

   Staff Paper further recommends that in the event that two or more applied-for variant strings are visually similar, they may only be allocated if they are associated with the same variant set and are being requested by the same entity. In case of such conflicts across variants, the entire IDL set gets processed as one contention set; if one of the labels is already allocated, the contention is resolved in favor of the current operator. The Staff Paper recommends that it is necessary to perform the visual similarity checks for every requested-to-be-allocated variant in any given set against all the possible variants in every other set. This is because such an available variant could be requested at any time in the future. See Section 3.8.1 in the Staff Paper, pp.20-21: <https://www.icann.org/en/system/files/files/idn-variant-tld-recommendations-analysis-25jan19-en.pdf#page=20> [↑](#footnote-ref-4)
6. The Staff Paper recommends that the following outcomes may be considered: 1) only the variant string requested for delegation is rejected. For example, the requested variant t1v2 of top-level label t1 will get rejected while t1v1 and t1v3 from the same variant set continue to remain allocatable; or 2) the entire variant set is rejected. For example, the requested variant t1v2 of top-level label t1 will get rejected including t1v1 and t1v3 from the same variant set as t1v2. This outcome appears to be difficult to justify, though an applicant could decide that, if it cannot receive t1v2 then it does not wish to proceed with the application. See Section 3.8.2 in the Staff Paper, pp.21: <https://www.icann.org/en/system/files/files/idn-variant-tld-recommendations-analysis-25jan19-en.pdf#page=21> [↑](#footnote-ref-5)
7. See “Topic 35” in the SubPro PDP Final Report, pp. 173-182: <https://gnso.icann.org/sites/default/files/file/field-file-attach/final-report-newgtld-subsequent-procedures-pdp-02feb21-en.pdf#page=173> [↑](#footnote-ref-6)
8. For contention issues that involve the same entity, the Staff Paper suggests that the following resolution options may be considered, with a preference to the second option: 1) When the requested variant strings are placed in a contention set for later evaluation, the applicant is notified of the contention set and has the opportunity to establish that both applications are from the same entity. 2) It may be more efficient to establish early on in the string similarity review that the variant strings are being requested by the same entity prior to reaching the contention phase. See Section 3.8.2 in the Staff Paper, p. 21: <https://www.icann.org/en/system/files/files/idn-variant-tld-recommendations-analysis-25jan19-en.pdf#page=21> [↑](#footnote-ref-7)
9. The ccTLD labels in the root depend on an external registry (ISO 3166) that allocates alphabetic codes to countries. In order to ensure that no conflicts with future assignments by ISO can happen, ICANN has traditionally also maintained a restriction against the use of two-letter TLDs for all Latin script letters; no variants should be generated for ccTLDs based on the ISO3166 codes. This principle is also reaffirmed by the SubPro PDP. See Recommendation 21.6 in the SubPro Final Report, p.95: <https://gnso.icann.org/sites/default/files/file/field-file-attach/final-report-newgtld-subsequent-procedures-pdp-02feb21-en.pdf#page=95> [↑](#footnote-ref-8)
10. IDN Variant TLD Implementation Staff Paper: <https://www.icann.org/en/system/files/files/idn-variant-tld-recommendations-analysis-25jul18-en.pdf> [↑](#footnote-ref-9)