GNSO Guidance Process (GGP)

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Brief Background

- In 2022, the GNSO Council approved the GNSO Guidance Process (GGP) to provide additional guidance to support the eventual implementation efforts relating to the Applicant Support Program, as recommended in the New gTLD Subsequent Procedures (SubPro) Final Report.
- The GGP Working Group is not intended to modify any SubPro recommendations or implementation guidance, and not to develop any new policy.
- At this working session the Working Group plans to discuss guidance recommendations relating to data/metrics and measures of success, and — time permitting – creating a methodology for allocating financial support where there is inadequate funding for all qualified applicants.

Current Status

Tasks:

Task 1: Review in detail: 2011 Final Report of the Joint Applicant Support Working Group and 2012 Implementation of the Applicant Support program [COMPLETE].

Task 2: Request input from GGP representative group to identify subject matter experts [COMPLETE].

Tasks 3, 4, & 5: Analyze and prioritize metrics, identify indicators of success, and determine impacts on the Applicant Support Program life cycle.

Task 6: Recommend a methodology for allocating financial support where there is inadequate funding for all qualified applicants.

Work Plan and Timeline

Meetings	Tasks
05 and 19 December 2022	Work Plan & Timeline development – **Submit to Council 05 December or not later than 09 January**; Finalize Tasks 1 & 2
09 & 23 January 2023	Begin Tasks 3, 4, & 5 (metrics)
13 & 27 February 2023	Continue Tasks 3, 4, & 5 (metrics)
13 and 27 March 2023, including ICANN76	Finalize Tasks 3, 4, and 5; begin Task 6 (finance)
April-June 2023, including ICANN77	Finalize Task 6, begin Draft Report development
July-September 2023	Publish Draft Report/public comment; public comment review
October-December 2023, including ICANN78	Develop Final Report
December 2023	Deliver Final Report to Council

Task: Guidance - but with a METRICS focus

Recommendation 17.3: an <u>improvement</u> in outreach, awareness-raising, application evaluation, and program evaluation elements of the ASP

- **Guidance 17.4:** Outreach and awareness raising activities <u>should be delivered well in advance</u> of the application window opening, as longer lead times help to promote more widespread knowledge about the program.

- **Guidance 13.3:** For timeliness, the WG believes that the Communication period should <u>begin at least 6 months prior</u> to the beginning of the application submission period.

- **Implementation Guidance 17.5:** A dedicated Implementation Review Team (IRT) should be established to develop the implementation elements of the Applicant Support Program.

- **Implementation Guidance 17.6**: Outreach efforts should not only target the Global South, but also those located in struggling regions that are further along in their development compared to underserved or underdeveloped regions.

- **Implementation Guidance 17.7:** Consider researching globally recognized procedures that could be adapted for the implementation of the Applicant Support Program.

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- **Implementation Guidance 17.8:** The IRT should locate experts with relevant knowledge, including from the targeted regions, to develop appropriate program elements related to outreach, education, business case development, and application evaluation.

- **Implementation Guidance 17.9:** The IRT should seek advice from experts in the field to develop an appropriate framework for analysis of metrics to evaluate the success of the Applicant Support Program

- **Implementation Guidance 17.10**: The IRT should consider how to allocate financial support in the case that available funding cannot provide fee reductions to all applicants that meet the scoring requirement threshold.

GGP Applicant Support Tasks 3-5 Framework

Metric	Priority	How to Collect	Measurement Techniques	Who Collects the Data	Is this an indicator of success?	What Represents Success, If Applicable	Approach for and Impact of outreach, education, business case development, and application evaluation
Awareness and Education							
number of outreach events and follow up communications with potential applicants							
level of awareness about the New gTLD Program/Applicant Support Program							
number of enquiries about the program/level of interest expressed/number that considered applying							
number and percentage of applicants							
first-time applicants versus repeat applicants							
applicants submitting a single application versus portfolio applicants							
applications based on pre-existing trademarks							
diversity and distribution of the applicant pool: geographic diversity, languages, scripts							
Other Elements of Program Implementation							
number of ICANN staff members and contractors supporting the Applicant Support Program							
number of service providers offering pro-bono assistance and value of assistance offered/provided							
number of applicants accessing/using pro-bono assistance							
number of approved applicants for financial assistance							
number of applicants who received bid credits							

Awareness and Education (spreadsheet)

2	**Awareness and Education**
3	number of outreach events and follow up communications with potential applicants
4	level of awareness about the New gTLD Program/Applicant Support Program
5	number of enquiries about the program/level of interest expressed/number that considered applying
6	number of applicants
7	first-time applicants versus repeat applicants
8	applicants submitting a single application versus portfolio applicants
9	applications based on pre-existing trademarks
10	diversity and distribution of the applicant pool: geographic diversity, languages, scripts
11	

- **HOW is the data to be collected?**

- **What is the MEASUREMENT TECHNIQUE?**
    - **How is this going to SUCCESSFULLY MEASURE IMPROVEMENT?**

- **What APPROACHES are we going to use, and**

- **What IMPACTS are we expecting applicants to achieve from our :**
      OUTREACH
      EDUCATION
      BUSINESS CASE DEVELOPMENT
      APPLICATION EVALUATION

- **What represents SUCCESS?**

1. Outreach/awareness

- There may be important reasons why people are not applying to the new round, e.g. infrastructure, language, etc
- It is important for the GGP to recognise the different blocks to successful application and to remove these blocks if more domain names are our objective.
- Success in being eligible for the benefits of the ASP should clearly be a criterion.
- We need to keep records of how many applicants apply for ASP and how many succeed due to eligibility. It would also be important to identify the reasons for those who didn't qualify (related to the clarity of the criteria)
- As such, it will be important to understand the diversity/background of those that attend various outreach events, and of those that outreach events/initiatives seek to target. This should include geographic, ethnic, and linguistic diversity, for example.
- The timing of events should also be considered - they should be conducted at different hours, to reach different time zones across the globe.
- Outreach events - who would organise/fund them? Will they be different depending on targeted applicants (underserved regions, individual, groups, different languages?)
- Would the GGP organise an effectiveness survey for applicants who attend outreach events?
- How will we measure success of our outreach? This emphasises the importance of keeping continuous metrics based on the measures we establish in relation to our outreach to the different targeted categories of applicants.
- Measuring the success of outreach/awareness should not only include the final number of applicants, but also the effectiveness of outreach initiatives and events. As such, polling and surveying attendees to gather feedback (including written evaluation/comments) on the utility of outreach events/communications will be critical to assessing the effectiveness of outreach/awareness. Numerical metrics will also provide an important supplement, such as an increase in the number of participants attending events or engaging with informational emails by asking follow-up questions.
- Engagement methods used to raise awareness of the programme should be diverse. Testing multiple communication channels will help to enhance outreach and reach different groups (examples could be a live Q&A on Twitter, newspaper advertisements, etc).

CPWG INPUT

Comments and questions on which to base and build guidance statements

Other GGP members began adding their comments and further for:

Education
Business case development
Application evaluation

GGP Tasks 3-5 Guidance Recommendations
Draft Working Document

Tasks 3, 4, and 5

Task 3 – *Analyze the set of suggested metrics in Implementation Guidance 17.9 and propose which ones should be prioritized. The set of prioritized metrics is NOT limited to what is identified in 17.9*

Task 4 – *Identify any other appropriate metrics and measures of success to help in identifying the necessary program elements and measuring program success after the fact. In identifying the suggested set of metrics, propose how data can be collected, how metrics can be measured, who can collect the data, as well as what represents success.*

Task 5 – *Consider, and to the extent feasible, suggest how the "outreach, education, business case development, and application evaluation" elements of the Applicant Support Program may be impacted by the identified metrics and measures of success. For example, based on the success metrics for Awareness and Education, this may impact the approach for performing outreach and education. To the extent feasible, suggest an approach to outreach, education, business case development, and application evaluation assistance.'*

LIFE CYCLE ELEMENTS:

1. OUTREACH/AWARENESS

GOAL: That potential applicants from under-developed and developing regions should be a priority target of events, communication channels, and publications.

Approach: While not excluding any regional events, ICANN org should prioritize targeting potential applicants from under-developed and developing regions, over regions that are already well represented, through events, communications channels, and publications.
Indicators of Success: That the majority of events, communications channels, and publications are targeted to supported applicants from under-developed and developing regions.
Data/Metrics to Measure Success: Percentage of events, communications channels, and publications targeted to supported applicants from under-developed and developing regions.

GOAL: That potential applicants from the not-for-profit sector, social enterprises and/or community organizations should be a priority target of events, communication channels, and publications, over those with a more commercial or technical focus.

Approach: While not excluding any other type of applicant, ICANN org should prioritize targeting potential applicants from the not-for-profit sector, social enterprises and/or community organizations, over those with a more commercial or technical focus, through events, communications channels, and publications.

Indicators of Success: That the majority of outreach events, communications channels, and publications are targeted to supported applicants are from not-for-profit sector, social enterprises and/or community organizations. [CONSIDER ADDING: However, groups with a more commercial focus should also remain a key focus of these outreach events, communications channels and publications.]

Data/Metrics to Measure Success: Percentage of outreach events, communications channels, and publications targeted to supported applicants from not-for-profit sector, social enterprises and/or community organizations. [CONSIDER ADDING: with groups with a more commercial focus also remaining a key target.]

GOAL: That more parties who potentially qualify for applicant support are aware of the gTLD program, engage with the gTLD program, and are well informed of the potential to obtain applicant support.

GOAL: Create awareness of the next round of gTLD applications and the availability of applicant support both online and at in-person events, using both staff and community resources.

Approach:

ICANN org should:

- Drive interested parties to online information and tools and not to try to provide detailed information.
- Create a list of potential events and communications channels, to which the community can make suggestions.
- Direct staff to participate remotely unless there is a compelling reason for in person attendance, focusing in-person attendance on significant multi-regional and regional events only.
- Prepare materials for regional staff to use for events which they will already be attending, with in-person participation should be focused on regional staff who are already attending an event and using existing budgets.
- Prepare "public materials" which can be used by community members for their own outreach efforts. The nature of these materials to be carefully crafted to allow their use by persons who are not staff.
- Direct staff to consider non-traditional channels to raise awareness, such as social media channels and publications to also drive interested parties to the online information and tools.

Indicators of Success:

- Number of events.
- Polling and surveys including targeted feedback with an emphasis on whether outreach efforts were considered successful (encouraged applications, or decided not to apply as not appropriate for them).
- At least 0.5% of the applicants of the next round are supported applications.
- Number of outreach events and follow up communications with potential applicants.
- Level of awareness about the New gTLD Program/Applicant Support Program.
- Number of enquiries about the program/level of interest expressed/number that considered applying.
- Number and percentage of applicants.
- First-time applicants versus repeat applicants.
- Applicants submitting a single application versus portfolio applicants.
- Applications based on pre-existing trademarks.
- Registrations for self-service resources.

Data/Metrics to Measure Success:

- Number of outreach events and follow up communications with potential applicants.
- Level of awareness about the New gTLD Program/Applicant Support Program.
- Number of enquiries about the program/level of interest expressed/number that considered applying.
- Number and percentage of applicants.
- First-time applicants versus repeat applicants.
- Applicants submitting a single application versus portfolio applicants.
- Applications based on pre-existing trademarks.
- Diversity and distribution of the applicant pool: geographic diversity, languages, script.
- Number of registrations for self-service resources.

GOAL: Ensure that there are self-service resources available to interested parties.

Approach:

ICANN org should:
- Enable a portal which will allow interested potential applicants to access information;
- Require registration in the portal to allow for collection of metrics [including location, type of entity and the like] and to follow potential applicants through the process and query them on conclusion as to their satisfaction;
- Create content for the portal outlining both the gTLD application process as well as the applicant support program.

Indicators of Success:

- Polling and surveys including targeted feedback with an emphasis on whether outreach efforts were considered successful (encouraged applications, or decided not to apply as not appropriate for them).
- Number of enquiries about the program/level of interest expressed/number that considered applying.
- Registrations for self-service resources.

Data/Metrics to Measure Success:

- Level of awareness about the New gTLD Program/Applicant Support Program.
- Number of enquiries about the program/level of interest expressed/number that considered applying.
- Number of registrations for self-service resources.

2. "BUSINESS CASE" ALSO KNOWN AS APPLICANT UNDERSTANDING AND DETERMINING NEED/OPPORTUNITY & DEVELOPING APPLICATION

GOAL: Those interested in applicant support are given access to details of the gTLD program and the applicant support program to enable them to make an informed decision regarding: (1) proceeding with an application for a gTLD; and (2) proceeding with a request for applicant support.

GOAL: Those interested in applying for a gTLD or applicant support are given access to a network of third parties willing to provide assistance at no or deferred cost.

GOAL: Funnel interested persons who wish to take their interest further into more in-depth online engagement.

Approaches:

ICANN org should give interested parties the ability:

- To access more in-depth materials [such as webinars] on applicant support.
- To reach out through the portal to those third parties willing to provide no or deferred cost assistance – while ensuring that this is not seen as an ICANN service. This outreach should be monitored and measured and interested parties [and 3rd parties] should be encouraged to rate the usefulness of the assistance offered and the extent to which it is utilized.
- To book virtual engagements with ICANN staff to address queries not already covered in the available materials, if they have been through the portal and accessed the in-depth materials.

3. ICANN ORG SET UP OF APPLICANT SUPPORT PROGRAM FOR SUCCESS (OPERATIONALLY SPEAKING)

GOAL: Ensure that the Applicant Support Program has the necessary resources to be successful operationally.

Approach:
ICANN org to provide the resources necessary for the Applicant Support Program to be a success operationally.

Indicators of Success:
- Number of ICANN staff members and contractors supporting the Applicant Support Program.
- Number of service providers offering pro-bono assistance and value of assistance offered/providers.
- Adequate funding, materials, and resources.

Data/Metrics to Measure Success:
- Number of ICANN staff members and contractors supporting the Applicant Support Program.
- Number of service providers offering pro-bono assistance and value of assistance offered/providers.
- Applicant Support Program funding, materials, and resources.

4. APPLICATION SUBMISSION AND EVALUATION

GOAL: At least 20 parties make a request for applicant support, with no more than 30% of requests from any one ICANN region.
GOAL: At least 10 parties qualify for applicant support with no more than 30% from any one ICANN region.

Approach: ICANN org should prioritize targeting applicants from under-developed and developing regions, over regions that are already well represented.

Indicators of Success:
- Increase[d] global diversity and representation across regions within the New gTLD Program through the Applicant Support Program. The Applicant Support Program assists potential new gTLD applicants seeking both financial and non-financial support.
- Global diversity (distribution of applicants per region and successful applications by criteria);
- Number of supported applicants that represent the global public interest (but need criteria).
- Majority of successful applications are from underserved regions.
- That the evaluation process identified successful applicants by region/underserved/diversity.

Data/Metrics to Measure Success:
- Percentage of supported applicants from under-developed and developing regions.
- Increase[d] global diversity and representation across regions within the New gTLD Program through the Applicant Support Program. The Applicant Support Program assists.
- Potential new gTLD applicants seeking both financial and non-financial support
- Global diversity (distribution of applicants per region and successful applications by criteria).
- Number of supported applicants that represent the global public interest (but need criteria).
- Successful applications from underserved regions.
- Evaluation process identified successful applicants by region/underserved/diversity.

Proposal

1. Goals:

- That more parties who potentially qualify for applicant support are aware of the gTLD program;
- That more of these parties who potentially qualify for applicant support engage with the gTLD program and are well informed~~made aware~~ of the potential to ~~possibility of~~ obtaining applicant support;
- That those interested in applicant support are given access to details of the gTLD program and the applicant support program to enable them to make an informed decision regarding: (1) proceeding with an application for a gTLD; and (2) proceeding with a request for applicant support;
- Those interested in applying for a gTLD or applicant support are given access to a network of third parties willing to provide assistance at no or deferred cost;
- At least 20 parties make a request for applicant support, with no more than 30% of requests from any one ICANN region; and
- At least 10 parties qualify for applicant support with no more than 30% from any one ICANN region.
- Add a bullet: At least 0.5% of the applicants of the next round are supported applications.
- Consider adding bullets for subsequent steps: passing evaluation; delegation; operating as a registry.

2. Awareness and education

2.1 Assumptions

Certain assumptions need to be made to allow for a degree of focus in outreach efforts:

- Applicants most likely to qualify for support will be drawn from the not for profit sector, social enterprises, business and/or community organisations. While not excluding any other type of applicant - events, communications channels, and publications targeting these types of potential applicants are to be prioritised over those with a more commercial or technical focus;
- There is a significant under-representation of under-developed and developing regions in the existing gTLD registry ecosystem. While not excluding any region events, communications channels, and publications targeting these regions are to be prioritised over those targeting regions that are already well represented.

Rosalind KennyBirch
10:18 AM Feb 27

Replace: *"possibility of"* with *"potential to"*

Rosalind KennyBirch
10:18 AM Feb 27

Delete: *"ing"*

Gabriela Mattausch
8:10 PM Feb 26

2xregion?

Rosalind KennyBirch
10:37 AM Feb 27

agreed with keeping this to ensure one region does not dominate

Maureen Hilyard
11:47 AM Feb 27

I think this is fair, but the criteria must be really clear so that people understand that there will be a regional limit from the outset (based on available funding), and the criteria will state what the culling process will entail - e.g. an additional scoring mechanism or similar to identify a hierarchy of applications with higher levels of qualification or need

Sarah Kiden
4:34 AM Feb 28

Perhaps it would be helpful to list the ICANN regions here.

Rosalind KennyBirch
10:37 AM Feb 27

same here

GGP Tasks 3-5 Indicators of Success by Applicant Support Lifecycle Elements

Suggested Principles:

1. Potential applicants should be aware of ICANN/New gTLD Program
2. They should understand the opportunity extended via Applicant Support
3. They should understand what a successful registry might look like and what it takes to operate one.
4. They should know who to ask questions of.
5. Applications that they want to see coming through the program – non-profits, etc.
6. others…

Outreach/awareness

Summary:
Collect metrics on success of outreach measures including correlation of successful applications to
- **Percentage of events;**
- **polling and surveys including targeted feedback with an emphasis on whether outreach efforts were considered successful (encouraged applications, or decided not to apply as not appropriate for them);**
- **Number of applications based on geographic location and diversity.**

Julie Hedlund
10:40 AM Feb 6

Add: *"Summary: Collect metrics on success of outreach measures including correlation of successful applica…"*

Rosalind KennyBirch
9:10 AM Feb 10

Sorry if I missed this in the conversation, but what is the percent we are comparing the events to?

Thank you!