



# CCT Review Team F2F

Day 2 | Los Angeles | 23 Feb. 2016

# Day 2 Agenda

- ⦿ 8:30 – 10:30 Discussion: Surveys (David Dickinson, Nielsen)
- ⦿ 10:30 – 10:45 Break
- ⦿ 10:45 – 12:00 Briefing: Registry agreements, start-up and compliance (Allen Grogan, Krista Papac, Maguy Serad, ICANN)
- ⦿ 12:00 – 13:00 Lunch
- ⦿ 13:00 – 13:30 CCT metrics overview (Eleeza Agopian)
- ⦿ 13:30 – 15:30 Sub teams' breakout sessions
- ⦿ 15:30 – 15:45 Break
- ⦿ 15:45 – 17:00 Wrap up and next steps: Planning for ICANN 55 and future meetings (Margie Milam and Jonathan Zuck)

# Consumer and registrant surveys

David Dickinson, Nielsen



nielsen  
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# ICANN GLOBAL CONSUMER RESEARCH

REVIEW MEETING, LOS ANGELES

23 FEBR



# BACKGROUND

- Second year of a research program to assess the current TLD landscape, as well as measure factors such as consumer awareness, experience, choice, and trust with new TLDs and the domain name system in general
- Research was implemented among **two groups, each reported on separately**:
  - Consumers (with a small, naturally occurring representation of registrants)
  - Registrants
- As a multi-wave program, consistency is major concern in order to track changes
- Results slated to be presented in Panama City in June.
- **Today**: Discuss comments/changes on Consumer questionnaire and finalize.

# METHODOLOGY

## Qualifying criteria

- Adults 18+
- 5+ hours spent per week on Internet
- Demographically projectable to each region's online population  
– representing 75% of global users
- Per country samples vary from 100 to 1100
  - 100— ±9.8%
  - 200— ±6.9%
  - 350— ±5.2%
  - 500— ±4.4%
  - 650— ±3.8%
  - 1100— ±3.0%

Total of **24 countries**, translated into **18 languages**.  
Primarily analyzed regionally.

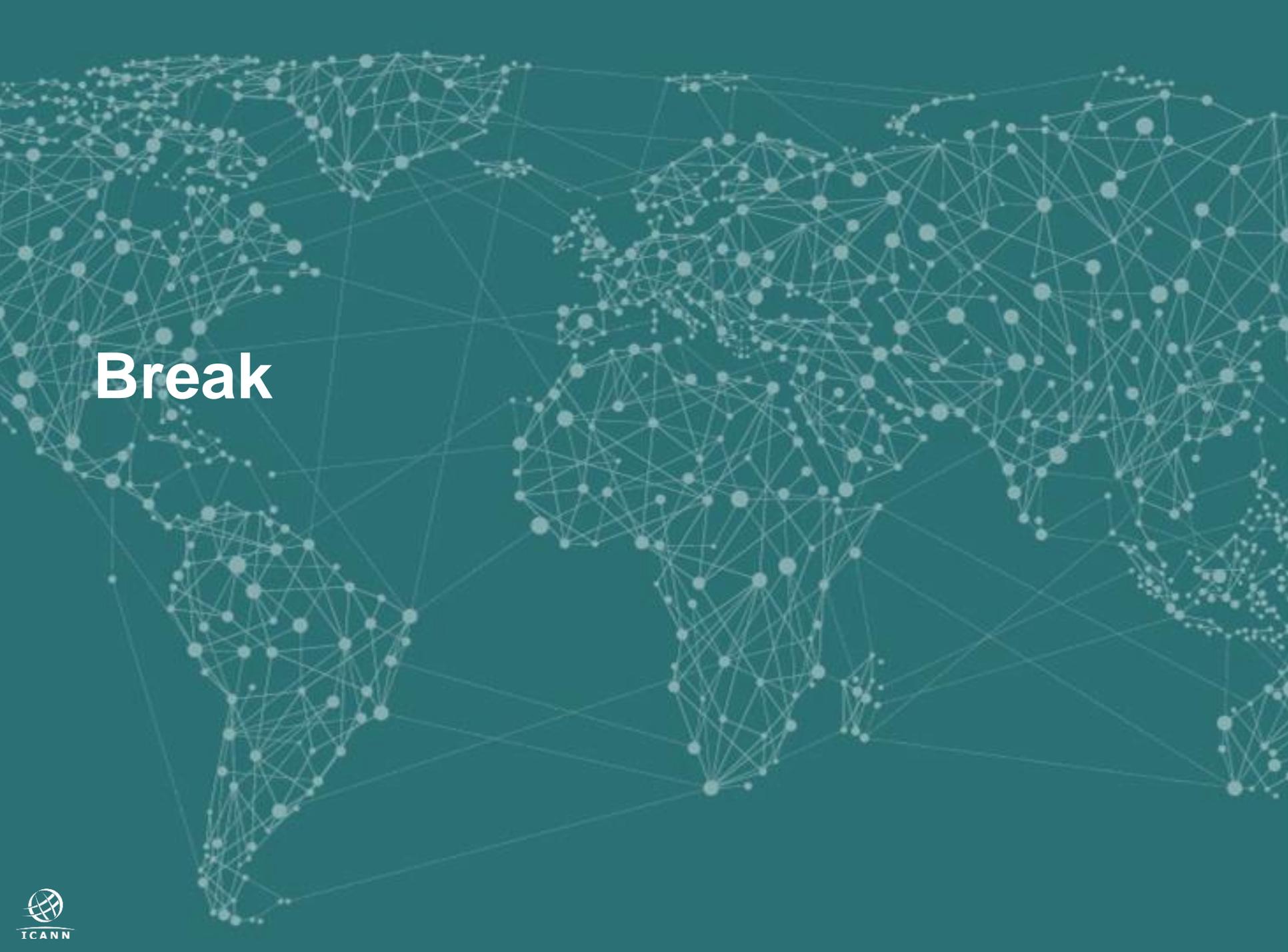


**ONLINE  
SURVEY**  
February 2-19  
**2015**

Averaged approx. 25 minutes  
in length—**long**.

# POSSIBLE CITIES

244	US	.nyc
42	CANADA	.TO
157	MEXICO	.quadalajara
123	ITALY	.roma
235	TURKEY	.istanbul
215	SPAIN	.madrid
189	POLAND	.warszawa
243	UK	.london
76	FRANCE	.paris
85	GERMANY	.berlin
48	CHINA	广东 (Guangdong)
249	VIETNAM	.hanoi
187	PHILIPPINES	.manilla
126	JAPAN	.kyoto
214	SOUTH KOREA	.seoul
196	RUSSIA	.MOCKBA
116	INDIA	.delhi
117	INDONESIA	.jakarta
174	NIGERIA	.abuja
193	SOUTH AFRICA	.capetown
66	EGYPT	.cairo
51	COLOMBIA	.bogota
10	ARGENTINA	.cordoba
33	BRAZIL	.rio
22	[BLANK]	

A world map where the continents are defined by a complex network of white dots and thin white lines, resembling a network or data visualization. The background is a solid teal color.

# Break

# **Briefing: Registry agreements, start-up and compliance**

Allen Grogan, Krista Papac, Maguy  
Serad, ICANN



# Specifications 11 and 13

Allen R. Grogan | CCT Review | 23 February 2016

# Specification 11

## History and Evolution

# GAC Toronto Communiqué

- ⦿ The GAC Toronto Communiqué advised that statements of commitment and objectives set forth in registry operator applications should be transformed into binding contractual commitments
- ⦿ In early 2013, ICANN proposed the addition of Specification 11 to the New gTLD Registry Agreement, with the following provisions:
  - ⦿ Requirement that New gTLD Registries use only Registrars that have signed the 2013 RAA
  - ⦿ Applicants could elect to make make voluntary public interest commitments that would become a binding and enforceable part of the New gTLD Registry Agreement
    - ⦿ Commitments could be a subset of what was in the applicant's application
    - ⦿ Applicant could also introduce new commitments that were not in the original application

# GAC Beijing Communiqué – Safeguards for All Strings

- ⦿ In response to advice in the GAC Beijing Communiqué, Specification 11 was expanded to include additional commitments that apply to all strings:
  - ⦿ Flow through requirement that Registration Agreements prohibit Registrants from distributing malware, abusively operating botnets, phishing, piracy, trademark or copyright infringement, fraudulent or deceptive practices, counterfeiting or otherwise violating the law and providing (consistent with applicable law and procedures) consequences including suspension of the domain name
  - ⦿ Registry Operators to conduct periodic technical analyses to assess whether domains in its gTLD are being used security threats such as pharming, phishing, malware and botnets
  - ⦿ gTLD to be operated in a transparent manner consistent with general principles of openness and non-discrimination by establishing, publishing and adhering to clear registration policies

# GAC Beijing Communiqué – Strings Representing Generic

- ⦿ The GAC advised that for strings representing generic terms, exclusive registry access should serve a public interest goal
- ⦿ Specification 11 was modified to provide that a Registry Operator of a “Generic String” TLD may not limit registrations exclusively to a single person or entity or that person’s or entity’s Affiliates
- ⦿ “Generic String” means a string consisting of a word or term that denominates or describes a general class of goods, services, groups, organizations or things, as opposed to distinguishing a specific brand of goods, services, groups, organizations or things from those of others

# GAC Beijing Communiqué – Category 1 Strings

- ⦿ The GAC advised that additional safeguards should apply to strings it identified as sensitive strings linked to regulated or professional sectors, sometimes referred to as Category 1 strings. For these strings, the following additional safeguards were added to Specification 11:
  - ⦿ Pass-through requirement for registrants to comply with applicable law and notify registrants of this requirement at the time of registration
  - ⦿ Pass-through requirement that registrants who collect and maintain sensitive health and financial data implement reasonable and appropriate security measures commensurate with the offering of those services, as defined by applicable law
  - ⦿ Registries operators to proactively create a clear pathway for the creation of a working relationship with relevant regulatory or industry self-regulatory bodies by publicizing a point of contact and inviting such bodies to establish a channel of communication

# GAC Beijing Communiqué – Category 1 Strings

- ⊙ Pass-through requirement for registrants to provide up-to-date administrative contact information for the notification of complaints or reports of registration abuse, as well as the contact details of the relevant regulatory, or industry self-regulatory, bodies in their main place of business
- ⊙ Pass-through requirement for registrants to represent that Registrant possesses any necessary authorisations, charters, licenses and/or other related credentials for participation in the sector associated with the Registry TLD string
- ⊙ Registry Operators to consult with relevant national supervisory authorities, or their equivalents regarding the authenticity of Registrant licenses or credentials if the Registry Operator receives a complaint expressing doubt with regard to their authenticity
- ⊙ Pass-through provision requiring Registrants to provision requiring Registrants to report any material changes to the validity of the Registrants' authorisations, charters, licenses and/or other related credentials for participation in the sector

- ⦿ For specific strings (.wtf, .sucks, .fail and .gripe), Specification 11 modified to require Registry Operator to develop and publish registration policies to minimize the risk of cyber bullying and/or harassment

# GAC Beijing Communiqué – Govt functions

- ⦿ For specific strings (.army, .navy, .airforce) Specification 11 modified to require pass-through of requirement that Registrant represent that the Registrant will take reasonable steps to avoid misrepresenting or falsely implying that the Registrant or its business is affiliated with, sponsored or endorsed by one or more country's or government's military forces if such affiliation, sponsorship or endorsement does not exist

- ⦿ A PICDRP (Public Interest Commitment Dispute Resolution Procedure) provides a mechanism for impacted parties to complain if they believe that PICs are not being honored
- ⦿ The PICDRP allows ICANN compliance to enforce the PICs
- ⦿ The PICDRP also allows ICANN potentially to refer the matter to a PICDRP panel for resolution

# Specification 13

# Brand Registry Group negotiations

- ⦿ Applicants applying for strings representing trademark brands engaged in discussions with ICANN engaged with ICANN at ICANN46 in Beijing, in subsequent telephonic meetings and at ICANN47 in Durban and ICANN48 in Buenos Aires
- ⦿ The BRG maintained that a number of the safeguards in the New gTLD Registry Agreement were unnecessary and burdensome for brand owners who intend to operate their gTLD in a manner where domain name would be limited to the brand owner, its affiliates and trademark licensees
- ⦿ The BRG also maintained that to avoid consumer confusion, upon expiration or termination of a brand Registry Agreement, the brand TLD should not be immediately re-delegated to someone else

# Changes imposed by Specification 13

- ⦿ Exemption from Code of Conduct
- ⦿ Registry Operator may limit its authorized registrars to no more than three
- ⦿ Sunset provision: Upon termination or expiration ICANN may not delegate the TLD to a successor registry operator for a period of two years following the Expiration Date without Registry Operator's consent (which shall not be unreasonably withheld, conditioned or delayed), unless ICANN reasonably determines that transitioning operation of the TLD is necessary to protect the public interest.

# Qualification for Specification 13

- ⦿ Must submit application to ICANN and be approved
- ⦿ TLD must be identical to text of a registered trademark that:
  - ⦿ Is recorded with the Trademark Clearinghouse
  - ⦿ Is owned and used by the Registry Operator or an affiliate in the ordinary course of business in connection with goods or services specified in the trademark registration
  - ⦿ Was issued prior to the filing of the TLD application with ICANN
  - ⦿ Is used continuously throughout the term
  - ⦿ Does not begin with a period or a dot
  - ⦿ Is used in connection with goods and services unrelated to the provision of TLD registry services

# Qualification for Specification 13 (cont.)

- ⦿ Only Registry Operator, its Affiliates or Trademark Licensees may be registrants of domain names in the TLD and control the DNS records associated with domain names at any level in the TLD
- ⦿ The TLD may not be a Generic String TLD
- ⦿ Registry Operator must provide ICANN with an accurate and complete copy of its trademark registration

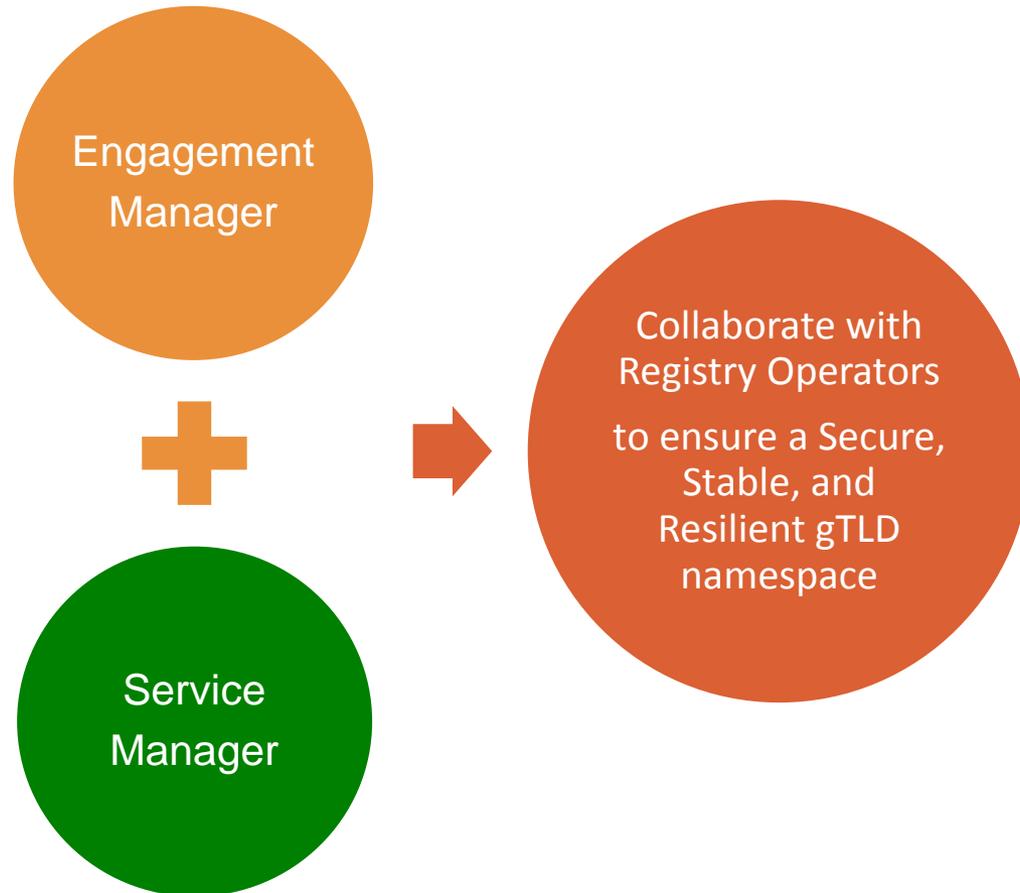
# Q & A



# Global Domains Division Registry Services & Engagement

February 2016

# Registry Services & Engagement Team – Dual Roles, One Goal



# Key Responsibilities

## Define, Implement & Maintain gTLD Registry Products and Services

- ⦿ Implement ICANN Policy
- ⦿ Identify service needs
- ⦿ Define business requirements
- ⦿ Administer related public comment periods
- ⦿ Coordinate cross-functional teams to operationalize and scale products and services
- ⦿ Develop briefing papers for executive management and the Board

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## gTLD Registry Relationship Management

- ⦿ Primary interface with gTLD applicants and registries to anticipate their needs, and ensure their perspectives are being represented.
- ⦿ Keep the stakeholders informed and involved. Communicate relevant developments timely occurring within ICANN to the registries.
- ⦿ Coordinate with other departments in ICANN to enhance outreach and communication with gTLD applicants, registries and relevant global stakeholders.

# Core Registry Services Areas

## Examples:

RA Renewal  
Management

Contracting

Establish Launch  
Programs

Registry  
Onboarding

Uniformed Rapid  
Suspension  
(URS)

Dispute  
Resolution  
Procedures

Code of Conduct  
exemption

Registry  
Agreement  
Administration

Evaluation  
Services

Emergency &  
Crisis  
Management

Reporting &  
Support

Shared  
Services

Release of two-  
character domains

Emergency back-  
end registry  
operators  
(EBERO)

Billing Process

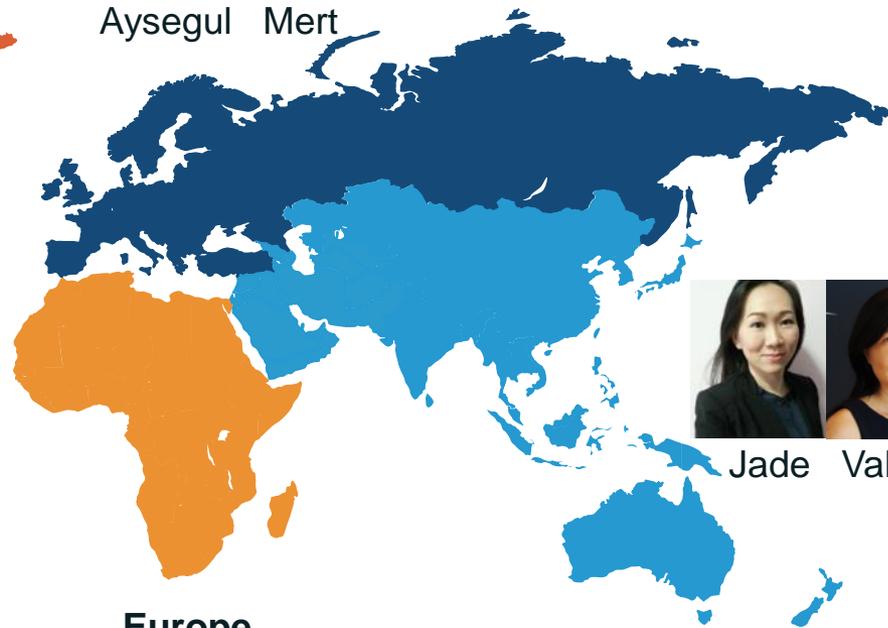
Centralized Zone  
File Service  
(CZDS)

# Registry Services - One Global Team

Fabien



Aysegul Mert



Europe  
Middle East  
Africa (EMEA)



Jade Valerie

Asia Pacific  
(APAC)



Krista Dennis



Winnie Linett

AMERICAS



# Compliance Update

Contractual Compliance | CCT Review | 23 February 2016

# Agenda

- ⦿ Preparation for the new gTLDs
- ⦿ Policy and Working Group Efforts
- ⦿ Most Common Compliance Issues

# Preparation for the new gTLDs

- ◉ **Operational Readiness** – implemented a global staffing model, a centralized system, enhanced the standardized process, additional metrics
- ◉ **Compliance Checks** - a required step before contract signing, contract renewal and assignment
- ◉ **Proactive monitoring efforts** – for ex. Publication of Abuse Contact Data, Sunrise and Claims Services, Data Escrow, Annual Certifications, Public Interest Commitments and other contractual obligations
- ◉ Developed and Rolled out the **New Registry Agreement Audit program**
- ◉ **Improved Transparency and Accountability**
  - ◉ Publish Notices, Outreach Updates & Material and Reports at this link - <https://www.icann.org/resources/compliance-reporting-performance>
- ◉ **CONTINUOUS IMPROVEMENT** – based on community feedback and staff's suggestions

# Policy and Working Group Efforts

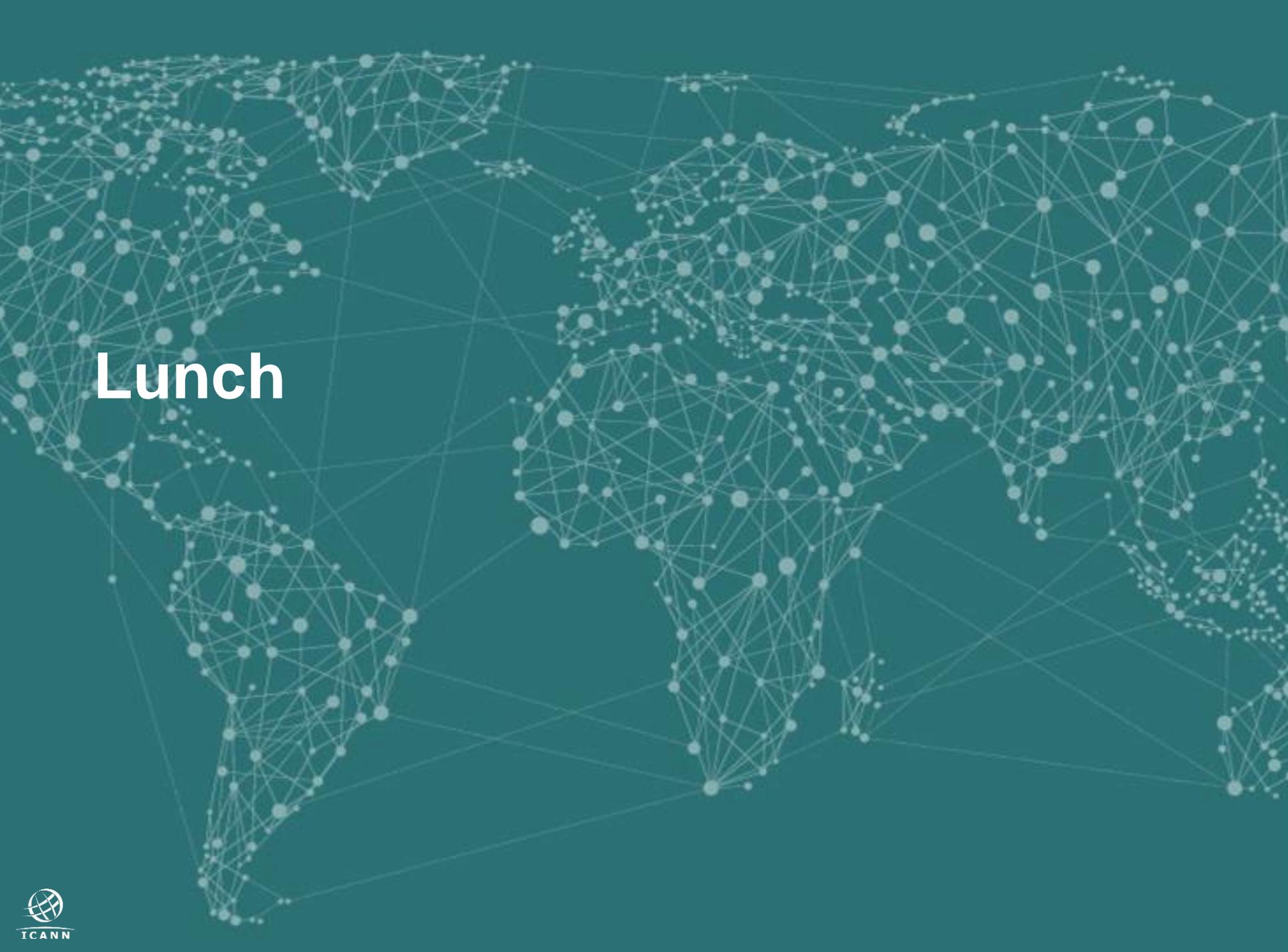
Actively contributing to registry-related policies and Working Groups

- ◉ Competition, Trust and Choice Review
- ◉ Rights Protection Mechanism Review
- ◉ New gTLD Subsequent Procedures
- ◉ DNS Abuse Review
- ◉ Clarification of Public Interest Commitments Specification 11, Section 3b Advisory and Security Framework
- ◉ IGO-INGO: Curative Rights Protections and Protection of Identifiers
- ◉ Thick WHOIS & Registration Data Access Protocol (RDAP)

# Most Common Compliance Issues

## Registry Operator:

- ⦿ Not publishing the abuse contact data (email address and primary contact) for reports by mail or not responding in a timely manner
- ⦿ Not making the data escrow deposit in a timely manner or failing to send daily notifications of escrow deposits to ICANN
- ⦿ Not responding to requests for zone file access via the Centralized Zone File Service or denying access for reasons not permitted under the Registry Agreement
- ⦿ Activating names in the List of SLDs to Block and/or not complying with Controlled Interruption
- ⦿ Improper allocation of domain names prior to Sunrise allocations
- ⦿ Implementing the wrong type of Controlled Interruption based on delegation date
- ⦿ Improperly denying access to registry services (Code of Conduct)

A world map where the continents are defined by a complex network of white dots and thin white lines, resembling a network or data visualization. The background is a solid teal color.

# Lunch

# CCT metrics overview

Eleeza Agopian, ICANN

# CCT Metrics

- IAG-CCT recommended 66 metrics for collection
  - 28 are being collected and published online (<https://www.icann.org/resources/reviews/cct/metrics>)
  - 11 are collected via the surveys
  - 3 are collected via the economic study
  - 2 will be captured by work on universal acceptance (9.1 and 9.2)
- 22 remain for discussion
  - 4 require SLA data that cannot be published
  - Several require external sources that may only be available for a price (i.e. social media research)
  - Qualitative reviews: 1
    - 1.11 on IP costs
    - 1.22 qualitative analysis of Q18 responses

**Sub teams: Competition and  
consumer choice; safeguards and  
consumer trust**

# Sub teams

- ⊙ Divide into sub teams
  - Competition and consumer choice
  - Safeguards and consumer trust
- ⊙ Nielsen and Analysis Group working groups
- ⊙ Liaisons to other streams of related work:
  - ⊙ New gTLDs PDP Working Group
  - ⊙ RPM PDP Working Group
  - ⊙ gTLD Marketplace Health Index
  - ⊙ TMCH Review
  - ⊙ DNS Abuse Review
  - ⊙ Root Stability Study

# Wrap-up and next steps: Planning for ICANN 55 and future meetings