



ICANN | 54  
*Dublin*



18-22 OCTOBER 2015

# Program Implementation Review

19 October 2015

# Agenda

**1**

Introduction &  
Background

**2**

Review Approach

**3**

Key Lessons Learned

**4**

Questions & Comments

# Community Discussion

- ⦿ Public comment period open from 23 September 2015 – 7 December 2015
- ⦿ This session is intended as an opportunity for members of the community to share their ideas with ICANN and with each other
- ⦿ Submit a comment via the forum for formal consideration
  - Public comment forum: <https://www.icann.org/public-comments/new-gtld-draft-review-2015-09-23-en>

# Program Implementation Review Background

# One of Many Inputs to the CCT Review Team

Section 9.3 of the Affirmation of Commitments states:

*“If and when new gTLDs...have been in operation for one year, ICANN will organize a review that will examine the extent to which the introduction or expansion of gTLDs has promoted competition, consumer trust and consumer choice, as well as **effectiveness of (a) the application and evaluation process, and (b) safeguards put in place to mitigate issues involved in the introduction or expansion.**”*



# Review Approach

# Review Approach

## ⊙ Who performed the review?

- An ICANN staff review team involved with executing the New gTLD Program

## ⊙ Why self-assessment?

- Review focuses on the implementation of the Applicant Guidebook (AGB), which was executed by ICANN
- To capture lessons learned from implementation as a potential input to the design of future rounds

## ⊙ What main aspects were considered?

- Metrics and statistics (*of 31 July 2015*)
- Feedback from participants
- Staff and service provider observations

# Review Dimensions

1

## Efficiency

To what extent resources (time, effort, cost) were well used for the intended purpose.

4

## Predictability

To what extent the program processes/procedures/timelines provided predictability.

2

## Effectiveness

To what degree the process was successful in producing desired results/achieving objectives.

5

## Security and Stability

To what extent the process/procedure/framework supported the security and stability of the DNS.

3

## Fairness

To what extent decision-making was consistent, objective and adhered to documented policies and procedures.

6

## Alignment to Policy and Implementation Guidelines

To what extent the program execution adhered to GNSO policy recommendations and AGB.



# Review Areas

1: Application Processing

2: Application Evaluation

3: Objection Procedures

4: Contention Resolution

5: Contracting & Transition to Delegation

6: Applicant Support Program

7: Continued Operations Instrument

8: Program Management

# Key Lessons Learned

# Approach to Lessons Learned

- ⦿ Considerations for future rounds of the New gTLD Program (many of which we recognize may be subject to policy development)
- ⦿ 48 lessons learned identified in the report
- ⦿ May require varying levels of enhancement or redesign:
  - Existing framework could be operationally adjusted for future rounds
  - Improvements could be made, but further exploration is required
  - Direction from the community suggested concerning implementation in future rounds

# Chapter 1: Application Processing

## Application Form

- More structured format
- Greater flexibility in user accounts

## Prioritization

- Assign earlier in the process
- Consider grouping by common characteristics

## Application Comments

- Clarify purpose; design tool to support purpose
- Enhance tool for improved usability

## Change Requests

- Design process and criteria earlier in the process
- Consider multiple processes to support different types of changes

# Chapter 2: Application Evaluation

## String Similarity

- Consider all existing and future policy guidance on standards including singulars/plurals

## IDNs

- Leverage Root Zone LGR and other community work currently under development

## Technical/Registry Services Evaluation

- Review application questions to focus on commitments and competency rather than theoretical operations
- Explore alternative approaches to reduce redundancy of evaluating same infrastructure

## Financial Evaluation

- Consider alternative approaches which may be more effective for evaluating all business models

# Chapter 3: Objections Procedures

*This round:*

No review mechanism provided in AGB. NGPC approved a review mechanism for a few limited objections.



Explore potential review mechanism for future rounds

# Chapter 4: Contention Resolution

## Community Priority Evaluation

- Consider all dimensions of feedback received to revisit criteria as a basis for priority

## Community Considerations

- Identified by the ICANN Board as a topic that may be appropriate for policy discussion

## Auction Effectiveness

- Very few ICANN auctions occurred; 94% resolved through application withdrawals

## Withdrawals

- Consider defining a process for moving applications to a final state and providing refunds if not withdrawn

# Chapter 5.1: Contracting

## Registry Agreement Finalization:

*This round:*

Draft of the Base RA provided with AGB, but updated over time



Explore feasibility of finalizing Base RA before applications submitted, or developing process to update the Base RA

## Application Types and Contractual Obligations:

*This round:*

Base RA with different versions for qualified application types:

**Community** – Obligated to Spec 12

**.BRAND** – Could apply for Spec 13

**Geographic** – No additional contractual obligations to ICANN



Explore whether additional applicant types could be defined fairly and objectively, and if they may qualify for different versions of the RA



# Chapter 5.2: Transition to Delegation

## Pre-Delegation Testing (PDT)

*This round:*

PDT performed for each TLD,  
individually

Neither evaluation nor PDT  
considered scalability of the  
provider

Some tests self-certifying and  
some operational



## Registry Service Provider Accreditation + PDT:

A system to accredit back-end  
providers in advance or in parallel  
to applications for New gTLDs to  
monitor the infrastructure as a  
whole

+

Update PDT to review TLD-  
specific configuration items, and  
convert self-certifications to  
actual testing when feasible

# Chapter 6: Applicant Support

## Underutilization

- Study challenges in becoming registry operators

## Criteria and Processes

- Research globally recognized procedures for providing financial assistance

## Panel

- Leverage procedural practices used by other evaluation panels

# Chapter 7: Continued Operations Instrument

This round:

- ICANN faced challenges during evaluation in reviewing instruments
- Almost all letters of credit required amendments
  - 20% required 3+ amendments



Explore ways to:

- Fund EBERO more effectively and / or
- Implement COIs more efficiently

# Chapter 8: Program Management

## Systems

- Provide ICANN appropriate time for development
- Explore beta testing programs

## Service Provider Coordination

- Continue to enhance processes for training and publishing procedures in advance

## Financial Management

- Before fees are defined for future rounds, conduct a review of program financials

## Communications

- Consolidate information to a single website
- Leverage Global Stakeholder Engagement team for outreach efforts

## Customer Service

- Leverage expanded Customer Service team and continue to support ongoing and future program activities

# Questions and Comments

# Engage with ICANN



## Thank You

Public Comment Forum:

<https://www.icann.org/public-comments/new-gtld-draft-review-2015-09-23-en>

Public Comment Period Closes 7 December 2015



[twitter.com/icann](https://twitter.com/icann)



[facebook.com/icannorg](https://facebook.com/icannorg)



[linkedin.com/company/icann](https://linkedin.com/company/icann)



[youtube.com/user/icannnews](https://youtube.com/user/icannnews)