

Approaches and overall working method.

For discussion

Version 04

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The PDP retirement was initiated to develop and recommend a policy on retirement of ccTLDs. Based on discussion to date two approaches were identified (see below), which are not mutually exclusive. In addition, the WG is anticipated to keep developing and refining its approach and staging of work.

Basic Approach to date

A. Defining the Retirement Process

Under this model the retirement of ccTLDs, probably the simplest model to describe and analyze is:

retirement process

Delegated ccTLDs -----> Un-delegated ccTLDs (retired, unassigned, other status)?

With respect to the retirement process high level questions are:

1. What are phases of retirement process? Initiation, Implementation, Conclusion, other?

2. Initiation of Retirement process. Looking more closely at the Initiation phase i.e phase when retirement process starts, following question, which are also listed in the Issue report, could structure the discussion going forward:

- I. who initiates retirement process?
- II. What are events that cause retirement process?
Final stage of registration on ISO 3166-1? Change of state on ISO 3166-1:
From assigned to un-assigned?
Other change of state? See scenario document:
*"1a From Assigned to Transitionally Reserved
New ISO code assigned at the same time, such as in a pure Name
Change (for example ZR to CD) ie a 1-to-1 replacement
1b From Assigned to Transitionally Reserved
No new ISO Code assigned
2 From Exceptionally Reserved to Transitionally Reserved
3 From Transitionally Reserved to Available
4 From Assigned to Exceptionally Reserved
5 From Exceptionally Reserved to Available

6 From Transitionally Reserved to Exceptionally Reserved
Insofar as there is no ccNSO Policy for Adding to Exceptionally
Reserved (as above)"*

- III. How is retirement initiated? Letter from PTI/ IFO to ccTLDs? ICANN Board decision? Letter from relevant government?

3. Implementation Phase . Assuming the need for implementation of the retirement process: What are consequences once retirement process is initiated, if any, and for whom?

B. Scenario Approach

The starting point is end of listing of particular state of the two-letter code (country code) on ISO 3166 – 1.

The model to be used is

Retirement process

End/change of listing ISO 3166-1 -----> Retired ccTLDs

1. End stages/change of listing ISO 3166-1. To date the following changes end of listing have been identified by the working group:

- 1a From Assigned to Transitionally Reserved
New ISO code assigned at the same time, such as in a pure Name Change (for example ZR to CD) ie a 1-to-1 replacement
- 1b From Assigned to Transitionally Reserved
No new ISO Code assigned
- 2 From Exceptionally Reserved to Transitionally Reserved
- 3 From Transitionally Reserved to Available
- 4 From Assigned to Exceptionally Reserved
- 5 From Exceptionally Reserved to Available
- 6 From Transitionally Reserved to Exceptionally Reserved
Insofar as there is no ccNSO Policy for Adding to Exceptionally Reserved (as above)

2. Requirements of IDN ccTLDs

The retirement process also includes and is applicable to IDN ccTLDs. As the WG is focusing on the relationship with ISO 3166-1, due to the relation between IDN ccTLDs and ISO3166, the changes discussed under the scenario's could also be relevant for IDN ccTLDs.

The relation between IDN ccTLDs and ISO 3166-1 is two-fold according to the IDN Fast Track Implementation Plan Requirements

(<https://www.icann.org/en/system/files/files/idn-cctld-implementation-plan-05nov13-en.pdf>):

Section 2.1 The requirements with relation to IDN ccTLDs

To be eligible to enter the IDN ccTLD Fast Track Process, the country or territory

must be listed in the International Standard ISO 3166

-1 (Codes for the representation of names and countries and their subdivisions – Part 1: Country Codes).

The exception to this requirement is the additional eligibility of the European Union, which has an exceptionally reserved code designated by the ISO 3166 Maintenance Agency (see http://www.iso.org/iso/support/country_codes/iso_3166_code_lists/iso-3166-1_decoding_table.htm#EU) and has also been deemed eligible under ICANN policy for a country - code top - level domain.

The second ISO 3166 related requirement for IDN ccTLDs (Section 3.3)

The IDN ccTLD string(s) must be a meaningful representation of the name of the

corresponding country or territory. A string is deemed to be meaningful if it is in the official language of the country or territory and if it is:

- The name of the country or territory; or
- A part of the name of the country or territory denoting the country or territory; or
- A short-form designation for the name of the country or territory that is recognizable and denotes the country or territory in the selected language

The overall recommended IDN ccTLD policy still needs to be adopted by the Board. However, the same basic requirements are included the recommendations to the Board.

3. Describing/developing retirement process per scenario.

Under this model/method for each of these changes the retirement process, if any, needs to be defined. Question to structure the retirement process under this model are:

- Is list of relevant changes/ scenario's complete?
- Does change/ scenario cause for retirement process?
- Who initiates retirement process?
- How is retirement initiated? Letter from PTI/ IFO to ccTLDs? ICANN Board decision? Letter from relevant government?
- What are consequences once retirement process is initiated, if any and for whom?

C. Initial working method/staging of work.

1. The Working group agreed to follow the scenario approach.

For the initial analyses of historical cases only two scenarios were considered relevant:

- Change of code element (and removal of the original code element), due to a significant change of name of the country or territory included on the list of country names as defined in the ISO 3166 Standard

- Removal of Code Element from the list of country country names as defined in the ISO 3166 Standard

No historical cases are available for the other scenario's.

Next Phases

D. Comparative analysis of the material to date.

Purpose of a comparative analyses is to understand if, and to what extent there are common threads or significant difference between the set of cases under the two scenarios.

Based on description and initial analyses, the WG intends to conduct a comparative analysis of the cases identified under the two relevant scenarios:

Possible questions are:

- What is the role of the incumbent manager, if any under the two scenarios?
- What is the role of the incumbent ccTLD manager under the different processes, if any before and after the initiation of the retirement process?
- What is the role, if any of the Significant Interested Parties before and after the retirement process has been initiated?
- At or around the formal ICANN Board decision to initiate the retirement process of a ccTLD the ccTLDs practice has developed of an arrangement between the incumbent ccTLD

The WG will develop a set questions and then conduct the comparative analyses using these questions and report on its findings.

E. Initial questions to structure the policy development discussions

The policy that will need to be developed will need to address specific issue, questions. It is proposed that a sub-group, using the work to date and questions flowing from the comparative analyses to refine the topics and issues that need to be addressed by the recommended policy.

- Are there any overarching principles? From the IDN ccPDP: The purpose of the overarching principles is to set the parameters within which the policy recommendations have been developed, should be interpreted and implemented.
 - Examples from the overall IDN ccPDP recommendations are:
 - i. Ensure the security, stability and interoperability of the DNS
 - ii. Association of the (IDN) country code Top Level Domain with an entry in the ISO 3166- list of country names. Under the current policy for the delegation of two-letter code ccTLDs (RFC 1591 and Fol).
- What should be the cause or causes to initiate a retirement process?
- Who should initiate the retirement process?
- How should a retirement be initiated?
- Who should be involved in the retirement process?

- How should the retirement process be structured and operationalized?
 - What is duration, i.e. what determines the duration of the retirement process
 - What is start and end-point?
 - What are requirements, if any?
 - Who should be involved?

The group will develop these questions taking into account the topics identified in the Issue report and findings of the comparative analysis and report on its findings on a regular basis. Once the full group has agreed to such a list, the topics will be addressed by developing a policy.

F. Stress test

The WG discussed the potential added value of developing stress tests, and as part of the process to develop the policy, test the proposed policy against the stress test against. An example for such a test could be: According to RFC 1591 as interpreted through the FoI Significant Interested Parties have a relevant role in the transfer of a ccTLD or revocation. Is a transfer still feasible and the role of the Significantly Interested Parties warranted after the initiating event?

The working group will develop stress tests, if any, and report to the full group on a regular basis. Once agreed, they will be used to test the proposals.

G. Scheduling of activities

Based on initial discussion of scheduling of activities, the group initially agreed in first on a sequential approach:

1. Start with Comparative Analysis
2. Develop Policy
3. Stress test

Moving forward, and given the goal of the stress tests, it is suggested that the group revisits the order of stress testing and developing the policy again, after the comparative analysis has been completed.