

# Approaches and Overall Working Method

For Discussion

ccPDP-Retirement Working Group

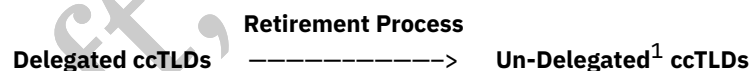
January 2018

The Policy Development Process (“PDP”) Retirement was initiated to develop and recommend a policy on retirement of Country Code Top Level Domains (“ccTLD”). Based on discussion to date two approaches were identified, which are not mutually exclusive. In addition, the PDP Retirement Working Group (“WG”) anticipates to keep developing and refining its approach and staging of work.

## 1 Basic Approach to Date

### 1.1 Defining the Retirement Process

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



With respect to the Retirement Process high level questions are:

#### 1. What are phases of Retirement Process?

- Initiation,
- Implementation,
- Conclusion,
- other?

<sup>1</sup> The term *Un-Delegated* is not defined. It is used as an overall, heuristic concept to describe the stage where the delegation has ended.

22 2. Initiation of the Retirement Process.

23 Looking more closely at the Initiation phase i.e phase when Retirement Process  
24 starts, following question, which are also listed in the Issue report, could structure  
25 the discussion going forward:

26 3. Who initiates the Retirement Process?

27 4. What are events can cause Retirement Process?

- 28 • ~~Final stage of registration on ISO 3166-1?~~
- 29 • Change of state on ISO 3166-1:
  - 30 – From *Assigned* to un-assigned
  - 31 • Other change of state? See scenario document:
    - 32 – From *Assigned* to *Transitionally Reserved*
      - 33 \* New ISO code assigned at the same time, such as in a pure name change  
34 (for example ZR to CD) ie a 1-to-1 replacement
      - 35 – From *Assigned* to *Transitionally Reserved*
        - 36 \* **No** new ISO Code assigned
        - 37 – From *Exceptionally Reserved* to *Transitionally Reserved*
        - 38 – From *Transitionally Reserved* to *Available*
        - 39 – From *Assigned* to *Exceptionally Reserved*
        - 40 – From *Exceptionally Reserved* to *Available*

MBoyle

To be  
deleted

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MBoyle: The changes of state, while perhaps for completeness, contains issues where there are serious questions of practicality: anything that goes from "assigned" or "exceptionally reserved" and **where the code is used by a ccTLD** to "available" would leave the ccTLD operator running a code that might be assigned by ISO to another country. I do not believe that this would be allowed to happen, but I would welcome Jaap's comments on this and whether these items can be removed from our list.

42

JAckerhuis: [...]the notion of "reserved" is something that is very fluffy and it is a bad idea to consider it stable. As example the 50 years reallocation period is not stable. The MA feels that they have the freedom to deviate from that.

43

- From *Transitionally Reserved* to *Exceptionally Reserved*

44

- \* Insofar as there is no ccNSO Policy for adding to *Exceptionally Reserved* (as above)

45

46

MBoyle: [T]he ccNSO (and ICANN more generally) does not have any policy authority for the ISO 3166 codes. However, I think what this is trying to say is that, the ICANN Board has made a decision not to delegate new exceptionally reserved codes. However, I do think we need to consider this scenario, given that the code is currently delegated and ISO has not made the code transitionally reserved, but moved directly to exceptionally reserved.

47

5. How is retirement initiated?

48 • Letter from PTI/IANA Operator to ccTLD Managers?

49 • ICANN Board decision?

50 • Letter from relevant government?

51 6. Implementation Phase.

52 Assuming the need for implementation of the Retirement Process:

53 • What are consequences once Retirement Process is initiated, if any,

54 • and for whom?

## 55 1.2 Scenario Approach

56 The starting point is the end of listing of the two-letter Code Element for a particular state  
57 (country code) on ISO 3166-1.

58 The model to be used is

59 **End stage/change of category ISO 3166-1** **Retirement Process**  
-----> **Un-Delegated<sup>2</sup> ccTLDs**

### 60 1.2.1 End stages/change of listing ISO 3166-1

61 To date the following End of Listings have been identified by the WG:

62 1. From *Assigned* to *Transitionally Reserved*

63 1.1. New ISO code assigned at the same time, such as in a pure Name Change (for  
64 example ZR to CD). In other words a 1-to-1 replacement

65 1.2. **No** new ISO Code assigned

66 2. From *Assigned* to *Transitionally Reserved*

67 3. From *Exceptionally Reserved* to *Transitionally Reserved*

68 4. From *Transitionally Reserved* to *Available*

69 5. From *Assigned* to *Exceptionally Reserved*

70 6. From *Exceptionally Reserved* to *Available*

71 7. From *Transitionally Reserved* to *Exceptionally Reserved*

72 Insofar as there is no ccNSO Policy for Adding to Exceptionally Reserved (as above)

<sup>2</sup> The term *Un-Delegated* is not defined. It is used as an overall, heuristic concept to describe the stage where the delegation has ended.

EL  
See  
MBoyle's  
comment at  
Item 4 on  
the previ-  
ous page.

### 73 1.3 Requirements of IDN ccTLDs

74 The Retirement Process also includes and is applicable to IDN ccTLDs.

75 As the WG is focusing on the relationship with ISO 3166-1, due to the relation between IDN  
76 ccTLDs and ISO3166, the changes discussed under the scenarios could also be relevant  
77 for IDN ccTLDs.

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

#### 80 2.1 ISO 3166-1 Representation

81 To be eligible to enter the IDN ccTLD Fast Track Process, the country or territory  
82 must be listed in the International Standard ISO 3166-1 (*Codes for the*  
83 *representation of names and countries and their subdivisions – Part 1: Country*  
84 *Codes*) [4]. The exception to this requirement is the additional eligibility of the  
85 European Union, which has an exceptionally reserved code designated by the  
86 ISO 3166 Maintenance Agency [...] and has also been deemed eligible under  
87 ICANN policy for a country-code top-level domain. [3]

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

#### 89 3.3 String Meaningfulness Requirement

90 The IDN ccTLD string(s) must be a meaningful representation of the name of  
91 the corresponding country or territory. A string is deemed to be meaningful if it  
92 is in the official language of the country or territory and if it is:

- 93 • The name of the country or territory; or
- 94 • A part of the name of the country or territory denoting the country or  
95 territory; or
- 96 • A short-form designation for the name of the country or territory that is  
97 recognizable and denotes the country or territory in the selected language.  
98 [3]

99 The overall recommended IDN ccTLD Policy still needs to be adopted by the Board. How-  
100 ever, the same basic requirements are included the recommendations to the Board.

### 101 1.4 Describing/developing Retirement Process per scenario.

102 Under this model/method for each of these changes the Retirement Process, if any, needs  
103 to be defined. Questions to structure the Retirement Process under this model are:

- 104 • Is the list of relevant changes/scenarios complete?
- 105 • Does a change/scenario cause a Retirement Process?
- 106 • Who initiates the Retirement Process?

EL

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non func-  
tion link to  
decoding  
table

- 107 • How is Retirement Process initiated?  
108 – Letter from PTI/IANA Operator to ccTLD Managers?  
109 – ICANN Board decision?  
110 – Letter from relevant government?  
111 • What are the consequences once the Retirement Process is initiated, if any and for  
112 whom?

### 113 1.5 Initial working method/staging of work.

114 The Working group agreed to follow the scenario approach. For the initial analyses of  
115 historical cases only two scenarios were considered relevant:

- 116 • Change of Code Element (and removal of the original Code Element), due to a signifi-  
117 cant change of name of the country or territory included on the list of country names  
118 as defined in the ISO 3166 Standard  
119 • Removal of Code Element from the list of country country names as defined in the  
120 ISO 3166 Standard  
121 No historical cases are available for other scenarios.

## 122 2 Next Phases

### 123 2.1 Comparative analysis of the material to date.

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

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

128 Possible questions are:

- 129 • What is the role of the Incumbent ccTLD Manager, if any under the two scenarios?  
130 • What is the role of the Incumbent ccTLD Manager under the different processes, if  
131 any before and after the initiation of the Retirement Process?  
132 • What is the role, if any of Significant Interested Parties before and after the Retire-  
133 ment Process has been initiated?  
134 • At or around the formal ICANN Board decision to initiate the Retirement Process of a  
135 ccTLD the ccTLDs practice has developed of an arrangement between the incumbent  
136 ccTLD.

MBoyle

This whole  
item needs  
to be  
rewritten

137 The WG will develop a set of questions and then conduct the comparative analysis using  
138 these questions and report on its findings.

## 139 2.2 Initial questions to structure the policy development discussions

140 The Policy that will need to be developed will need to address specific issue questions.

141 It is proposed that the Wg, using the work to date and questions flowing from the compara-  
142 tive analyses, refine the topics and issues that need to be addressed by the recommended  
143 policy.

144 • Are there any overarching principles?

145 From the IDN ccPDP:

146 The purpose of the overarching principles is to set the parameters within  
147 which the policy recommendations have been developed, should be inter-  
148 preted and implemented. [1]

149 • Examples from the overall IDN ccPDP recommendations are:

150 1. Ensure the security, stability and interoperability of the DNS

151 – Association of the (IDN) country code Top Level Domain with an entry in the  
152 ISO 3166- list of country names. Under the current policy for the delegation  
153 of two-letter code ccTLDs (RFC 1591 and FoI). [2]

154 • What should be the cause or causes to initiate a Retirement Process?

155 • Who should initiate the Retirement Process?

156 • How should a retirement be initiated?

157 • Who should be involved in the Retirement Process?

158 • How should the Retirement Process be structured and operationalized?

159 – What is duration, i.e. what determines the duration of the Retirement Process

160 – What are the start- and end-points?

161 – What are the requirements, if any?

162 – Who should be involved?

163 The Wg will develop these questions taking into account the topics identified in the Issue  
164 report and findings of the comparative analysis and report on its findings on a regular basis.

165 Once the full group has agreed to such a list, the topics will be addressed by developing a  
166 policy.

EL

I can only find draft recommendations (see reference [2])

167 **2.3 Stress Test**

168 The WG discussed the potential added value of developing Stress Tests, and as part of the  
169 process to develop the policy, test the proposed policy against the Stress Test against.

170 An example for such a test could be:

171 • According to RFC 1591 as interpreted though the FoI Significant Interested Parties  
172 have a relevant role in the transfer of a ccTLD.

173 • Is a transfer still feasible and the role of the Significantly Interested Parties warranted  
174 after the initiating event?

175 The WG will develop Stress Tests, ~~if any. Once agreed, they will be used to test the~~  
176 proposals.

MBoyle

To be  
deleted

177 **2.4 Scheduling of Activities**

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

180 1. Comparative Analysis

181 2. Develop Policy

182 3. Stress Test

183 Moving forward, and given the goal of the Stress Tests, it is suggested that the group  
184 revisits the order of Stress Testing and developing the policy again, after the comparative  
185 analysis has been completed.

## 187 References

- 188 [1] BOSWINKEL, Bart: *Board Report IDN ccNSO Policy Development Process*. [https://ccnso.icann.org/sites/default/files/filefield\\_41859/idn-ccpdp-board-](https://ccnso.icann.org/sites/default/files/filefield_41859/idn-ccpdp-board-26sep13-en.pdf)  
189 [26sep13-en.pdf](https://ccnso.icann.org/sites/default/files/filefield_41859/idn-ccpdp-board-26sep13-en.pdf), Last Accessed: 2017-02-13
- 191 [2] ccNSO IDN PDP WORKING GROUP: *Draft Policy Recommendations IDN ccTLD*  
192 *String Selection Criteria, Requirements and Processes*. [https://ccnso.icann.org/](https://ccnso.icann.org/sites/default/files/filefield_33801/draft-recommendations-idn-ccTLD-selection-29aug12-en.pdf)  
193 [sites/default/files/filefield\\_33801/draft-recommendations-idn-ccTLD-](https://ccnso.icann.org/sites/default/files/filefield_33801/draft-recommendations-idn-ccTLD-selection-29aug12-en.pdf)  
194 [selection-29aug12-en.pdf](https://ccnso.icann.org/sites/default/files/filefield_33801/draft-recommendations-idn-ccTLD-selection-29aug12-en.pdf), Last Accessed: 2018-02-13
- 195 [3] ICANN: *Final Implementation Plan for IDN ccTLD Fast Track Process*. [https://www.](https://www.icann.org/en/system/files/files/idn-ccTLD-implementation-plan-05nov13-en.pdf)  
196 [icann.org/en/system/files/files/idn-ccTLD-implementation-plan-05nov13-](https://www.icann.org/en/system/files/files/idn-ccTLD-implementation-plan-05nov13-en.pdf)  
197 [en.pdf](https://www.icann.org/en/system/files/files/idn-ccTLD-implementation-plan-05nov13-en.pdf), Last Accessed: 2017-01-28
- 198 [4] INTERNATIONAL STANDARDS ORGANIZATION: *International Standard ISO 3166-1, Codes*  
199 *for the representation of names of countries and their subdivisions – Part 1: Country*  
200 *codes*. Geneva, 2013



201 **Todo list**

202 ■ To be deleted . . . . . 2

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204 there are serious questions of practicality: anything that goes from "assigned" or  
205 "exceptionally reserved" and **where the code is used by a ccTLD** to "available"  
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217 currently delegated and ISO has not made the code transitionally reserved, but  
218 moved directly to exceptionally reserved. . . . . 2

219 ■ See MBoyle's comment at Item 4 on page 2. . . . . 3

220 ■ Removed non function link to decoding table . . . . . 4

221 ■ This whole item needs to be rewritten . . . . . 5

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223 ■ To be deleted . . . . . 7