

2011-10-13-CEO Report

PRESIDENT & CEO'S REPORT – 14 October 2011:

FINANCE:

Change in investment fund manager from UBS to SSgA completed on September 30th.

Set up of new bank accounts with HBSC to handle all operational transactions going forward (US and internationally).

Change of insurance broker.

PROJECT OFFICE:

Strategic Planning: ICANN continues to pursue the Strategic Planning process in accordance with our published timeline. We posted a draft version of the 2012-2015 Strategic Plan that is the result of community consultation and staff work. There are two versions:

- [Draft 2012-2015 Strategic plan \(Clean\)](#) [PDF, 865 KB]
- [Draft 2012-2015 Strategic plan \(Redline\)](#) [PDF, 934 KB]

The overall structure of the Strategic Plan has remained consistent with last year's plan. Based upon the input sessions with SO/AC and Staff, some major themes emerged that are in the plan:

- Last year, there was focus on the IANA follow-on contract risk – this year it was not widely discussed which is evidence that strong support action was/is being taken.
- The DNS Stability & Security message moves beyond DNS to include IP addresses and parameters (the Unique Identifiers – per ICANN's Mission).
- The Whois database policy and procedures will receive increased attention.
- Acknowledgement that Law Enforcement is engaging more.
- The New gTLD Program is raising the awareness and profile of ICANN all around the globe – "the New gTLD Program intensifies everything at ICANN".
- Provided for effective and constructive early participation of the GAC in the policy development process.
- There will be new stakeholders and categories of stakeholders brought into the ICANN multi-stakeholder model in the next few years.
- ICANN needs to better define principles for internationalization to steer decisions and expansion.
- ICANN needs better enterprise-wide processes and systems (not just Finance) to operate in the future.
- ICANN is an exemplary multi-stakeholder model of Internet governance.
- ICANN meetings present a unique opportunity for ICANN to

deliver on the Mission – how meetings can evolve to be more effective.

The public comment period is from 3 October to 17 November 2011. The draft plan will be revised based on the comments received. A final version of the 2012-2015 Strategic Plan will be submitted to the Board for approval at their upcoming meeting in December 2011.

Financial System Replacement – phased delivery plan continues:

- a. FY11 data migration completed plus historical AR/AP for 3 year prior years
- b. New purchasing requisition feature implemented and is in use by staff
- c. Initial automated reports now in use
- d. Automated monthly and quarterly contract billing is in final phase of rollout

Document Management System (phase 1):

- a. Code development is progressing per plan
- b. User testing is under way
- c. Final User training to occur in mid-October
- d. Production deployment will occur at the end of October

REGISTRARS:

Enhanced Terms & Conditions added to Registrar Accreditation Application process (<http://www.icann.org/en/announcements/announcement-04oct11-en.htm>).

Annual fee approval completed – Registrars accounting for over 83% of fees paid indicated support, well above the two-thirds required

HUMAN RESOURCES:

Data as of 30 September 2011; Key Hires – Xavier Calvez, CFO; Key Departures – none; Key promotions – none; Key Searches –VP Africa, VP Asia, Vice President, Europe, Vice President, Latin America

Completion of negotiations for space in Southern California (NOTE: I expect this lease will be signed by Dakar, but may not be signed by Tuesday 11 October)

IANA:

- ICANN is now maintaining and administering the Time Zone Database under agreement with IETF.
- Successful Quarterly KSK Ceremony in September 2011.

- Posted 6 Variant Case Studies.
- Posted successful IDN String Evaluation for Kazakhstan.
- All invitations for RZM credentials distributed to TLD managers.
- L-root single pilot deployed a node in Senegal.
- Co-authors on Internet Draft – RPKI Objects - draft-ietf-sidr-iana-objects-03.txt.
- Author of published Best Common Practice (BCP) document by IETF – Time to Remove Filters for Previously Unallocated IPv4 /8s – draft-ietf-grow-no-more-unallocated-slash8s-03.
- Co-Author of Informational RFC 6304 – AS112 Nameserver Operations.
- Co-author of BCP 5771 – Moving MCAST.NET into ARPA infrastructure top level domain - draft-ietf-mboned-mcast-arpa-03.

AOC REVIEWS:

WHOIS Policy Review Team – The Team met in MDR in September to advance their draft report. Drafting work is ongoing and will continue in Dakar. Release of their draft report and posting for public comment will occur after Dakar. The Team selected User Insight Inc. to assist with a study on WHOIS consumer trust aspects. This work has been launched, a questionnaire was refined at a milestone session in MDR and the outcome is expected shortly. Staff continues to provide the Team support, including briefings, research and information sharing, as well as meeting organization and administrative assistance.

Security, Stability & Resiliency of the DNS Review Team – The Team is conducting interviews with an array of respondents, i.a. at a DNSSEC workshop in Rome, and is developing questions for discussions with constituencies in Dakar. Initial report drafting has commenced and they expect to have a draft report for community discussion and review before the end of this calendar year, with a view to provide the Board with their final report early in 2012. Staff continues to provide the Team support, including briefings, research and information sharing, as well as meeting organization and administrative assistance.

ATRT Implementation – Implementation of the Accountability & Transparency Review Team's recommendations (including supporting Board, GAC, NomCom and community work on ATRT implementation) is an ongoing priority. With guidance from Board Committees on various

Recommendations, Staff is moving forward with implementation projects, applying new approaches to communicating about the ATRT and related efforts to the community, and is developing proposed metrics for Board Committee consideration. A well-attended public webinar on ATRT work was held with the community on 31 August, and an “Accountability & Transparency” webpage provides easy access to key information and is linked on ICANN’s homepage. In addition, a revamped webpage publicly tracks ICANN’s Affirmation of Commitments’ responsibilities.

OEI:

Completed staff survey that assessed the quality of manager-staff development discussions. Survey was based upon 7 of the 12 Gallup Employee Engagement questions. Employment Information

POLICY:

ccNSO Activities:

ccNSO Membership Increases to 120

Since Singapore, new ccNSO members include -- .OM (Oman), .PH (Philippines) , .AE (United Arab Emirates), .GG (Guernsey) .JE (Jersey) and .NA (Namibia) and .IR (Iran), the 120th member of the ccNSO.

Framework of Interpretation WG

GAC members now participate as full members of the WG. Public consultation of first of 5 topics opened: Obtaining and documenting consent for delegation and redelegation of ccTLD’s. Second topic on obtaining and documenting support from significantly interested parties (formerly known as Local Internet Community) .

IDNccPDP

A sub-group of the WG has reviewed the issue regarding the confusingly similarity evaluation. Based on that review, the process documentation will be improved for both the overall policy as well as the Fast Track process.

Inclusion of IDN ccTLD in the ccNSO

A WG on this topic is finalizing its proposals on how to include IDN ccTLD in the ccNSO.

Study Group on the Use of Country names as TLD's

UNESCO has been invited to participate in the activities of the Study group, in particular for developing a typology for country names. An overview of current and future policies and related rules on the use of country names as TLD's has been updated and reflects the current status of the Applicant Guidebook as well.

ccNSO Council Elections

The African region is in the process of electing a member for the ccNSO council. All other 4 regions have appointed a council member. The ccNSO councilors will take their seats after the meeting in Costa Rica.

GNSO Recent Developments:

Since Singapore, the GNSO has made substantial progress on a number of projects. The Council has also initiated, five new group efforts in recent weeks. There is now a total of 19 ongoing policy projects - as of October 1. The ones achieving major milestones this trimester are listed below:

PEDNR Progress

The Board is expected to consider GNSO recommendations in Dakar. The GNSO Council recently approved 17 recommendations to help registrants to reclaim their domain names after they expire. These include, amongst others,; 1) Registrants must be given a minimum of 8 days after expiration to renew; 2) expired websites must explicitly say that a registration has expired and provide instructions for recovery; 3) registration agreements must include information on renewal fees; 4) multiple reminder notices must be sent at pre-set intervals; 5) All gTLDs and registrars must offer the Redemption Grace Period (RGP), with the exception of sponsored gTLDs.

New GNSO Policy Development Process

As part of the Board mandated GNSO Improvements, a WT was tasked to develop a new GNSO Policy Development Process (PDP) that incorporates a working group approach and makes it more effective and responsive to ICANN's policy development needs.

Recommendations codify existing practices that allow for more flexibility while at the same time ensuring a robust and focused policy development

process. Recommendations also include ways to ensure that sufficient fact-finding and discussion occurs before launching a PDP.

Best Practices to Address Registration Abuse – Staff Discussion Paper prepared at Council Request

The GNSO Council requested a discussion paper on the creation of non-binding best practices to help registrars and registries address the abusive registrations of domain names in accordance with the Registration Abuse Policies Working Group Final Report.

Recommended next steps include: 1) Creation of a GNSO Working Group to establish a framework for best practices and, 2) Creation of a Cross-Community Technical Group to propose candidate best practices to address the abusive registration of domain names.

'Thick' Whois Issue Report

As recommended by the IRTP Part B PDP, the GNSO Council has asked staff to prepare an Issue Report on the requirement of 'thick' WHOIS for all incumbent gTLDs.

The Issue Report should not only consider a possible requirement of 'thick' WHOIS or all incumbent gTLDs in the context of the Inter-Registrar Transfer Policy (IRTP), but should also consider any other positive and/or negative effects that should be taken into account when deciding whether a requirement of 'thick' WHOIS for all incumbent gTLDs would be desirable.

Proposed amendments to the RAA

A 2010 WG proposed an extensive list of amendments, many geared at assisting law enforcement and consumer concerns. After months of deadlock, the Council is considering motions on ways to proceed, and so far has approved an Issue Report on selected changes which staff will be preparing. Staff has also prepared a "categorization" of possible amendments to assist the community.

Issues Report on the UDRP

At the request of the GNSO Council, Staff has prepared an Issues Report on the UDRP, which will lead to a vote on whether to launch a PDP. Many in the community want to preserve the UDRP as is, out of concern that the Policy could be diluted if tampered with. Many contracted parties would like to see some retrenching of the current policy. This PDP will be controversial.

Inter-Registrar Transfer Policy

Existing consensus policy which is under review by the GNSO Council IRTP Part B PDP nearly completed; two recommendations awaiting staff proposals, other recommendations adopted by the Board and in the process of implementation, including establishment of a Transfer Emergency Action Channel to deal with emergency situations

IRTP Part C PDP initiated. A call for volunteers has been sent out and a Working Group will be formed shortly.

WHOis Studies

Staff has finalized contracts for three of the four studies requested by the GNSO Council and should finalize the contract for the remaining study shortly. Results for most of the studies are expected in 2012. The GNSO also recently took action on a Whois Service Requirements Inventory Report, deciding to form a group to develop a survey to help determine the level of agreement associated with various reported “deficiencies” in Whois and with respect to various technical “requirements” that are identified in the report.

Current GNSO Projects - Overview:

- PDP Work Team
- GNSO Improvements Standing Committee
- Geo-Regions Review Community Wide Working Group
- Joint ccNSO-GNSO Internationalized Domain Names Working Group (JIG)
- Joint SSAC-GNSO Internationalized Registration Data Working Group
- Joint Security and Stability Analysis Community Drafting Group
- Joint SO-AC WG on new gTLD Applicant Support Working Group (JAS)
- GNSO is participating in the ccNSO Study Group on the Use of Names for Countries and Territories
- WHOIS Service Requirements Survey Drafting Team
- Drafting Team on the Board-requested metrics for Competition, Consumer Trust and Consumer Choice
- Drafting Team on Cross-Community Working Groups
- UDRP Issue Report/PDP
- Inter-Registrar Transfers PDP - Part “C”
- Thick Whois Issue Report
- Issue Report on Uniformity of Contracts
- Issue Report on assisting law enforcement in its long-term efforts to address Internet-based criminal activity

Future GNSO Projects (imminent work anticipated)

- Additional Recommendations from the Registration Abuse Working Group that are in queue for Council work
- Inter-Registrar Transfer Policy – Parts D and E
- Possible joint effort with GAC on protection of Red Cross/IOC names for the new gTLD program

At Large Community:

At-Large community continues to attract more At-Large Structures:

The At-Large community grew to 136 At-Large structures in September with two applications in the process of being accredited.

At-Large Improvements project moving to completion:

The ALAC has just submitted the ALAC/At-Large Improvements Project Final Report to the ICANN Structural Improvements Committee (SIC). The ALAC requests that the SIC refer this report to the Board with its recommendation for Board approval. Highlights of the proposals include:

- Amendments to ICANN's Bylaws (completed);
- ICANN Academy to train new At-Large members (in progress);
- Periodic analyses of ALAC's strategic/operational planning processes (in progress) and measuring of ALS effectiveness (still to be begun).
- Increase in the influence of the "edges" (ALSes) on At-Large policy comments (in progress) and flexibility in Public Comment extensions (in progress).

At Large Policy Development contributions:

Between 25 August and 7 October, the ALAC produced 4 statements and one resolution:

The ALAC Resolution Regarding the JAS Workgroup Final Report endorsed the Final Report of the JAS Working Group and urges the ICANN Board to implement its recommendations.

Statements produced include:

ALAC Statement on Revisions to Conflicts of Interest Policy and Bylaws to Allow Board to Consider Compensation for Director Services

ALAC Statement on Phase II of Public Comments Process Enhancements

ALAC Statement on the Post-Expiration Domain Name Recovery Recommendations for ICANN Board Consideration

ALAC Statement on the Formulation of the 2012-2015 Strategic Plan: General Comments on the Strategic Plan

SSAC:

WHOIS Taxonomy paper (SAC 051) published 26 September.

Cross Community Efforts:

JAS WG Final Report Completed

With the substantial contributions of At-Large and the GNSO's contract and non-contract communities, the WG/staff collaboration on this Final Report was a success. The Final Report was completed and submitted to At-Large and the GNSO Council in time to be reviewed in September and submitted for

Board consideration in Dakar.

Public Comment Focus Group

Volunteers from a number of ICANN community groups collaborated with Staff in a focus group effort designed to tease out new approaches to the Public Comment process. Staff sponsored a two-part comment forum building on recommendations developed in the focus group discussions. The forum featured both a comment period and a reply comment period.

Geographic Regions Review Working Group Produces Draft Final Report

The ALAC, ccNSO, GNSO and ASO/NRO communities all contributed representatives to this effort. The community-wide Working Group has produced a draft Final Report that includes several recommendations for re-tooling the ICANN Geographic Regions framework to better reflect the current make-up of the Internet.

Internationalized Registration Data Working Group Publishes Draft Final Report

On 3 October the IRD-WG completed a draft Final Report that was posted for public comment for 45 days. See <http://gnso.icann.org/issues/ird/ird-draft-final-report-03oct11-en.pdf>. The draft Final Report finds that it is feasible to introduce submission and display specifications for internationalized Registration Data and recommends next steps to address technical and policy issues identified in the report, including a recommendation that the GNSO Council request an Issue Report on specific policy questions.

Other Joint Community WG Efforts Supported by Policy Staff this trimester:

- Joint ccNSO-GNSO Internationalized Domain Names Working Group (JIG)
- Joint Security and Stability Analysis Community Drafting Group
- Joint SO-AC WG on new gTLD Applicant Support Working Group (JAS)
- GNSO is participating in the ccNSO Study Group on the Use of Names for Countries and Territories

Communications:

New gTLD Communications

The drive to make the world aware of new gTLDs continues apace!

On 19 September, ICANN launched a new micro-site that centralizes everything related to new gTLDs, at the memorable URL, newgtlds.icann.org. The site was universally praised from the community and press alike.

We have engaged in numerous live events to educate the world about new gTLDs. Some of the locations where ICANN staff has spoken include London,

Paris, Berlin, Munich, Washington D.C., Nairobi, and Dubai, UAE. We are getting good press coverage everywhere we go.

The new gTLD team has been working with PR agency Burson-Marsteller on an interim basis, pending Board approval of the budget to fully engage with Burson. The agency has put us in a deeply discounted non-profit category where they are willing to work for 20 cents on the dollar. Burson has made sure that ICANN is tweeting on Twitter about new gTLDs, at least a couple of times per day. ICANN's NewgTLDs ICANN Twitter account now has more than 1300 followers, up from 400 when Michele Jourdan first took it over in late 2010.

Redesigning ICANN.ORG

Our contractor, Four Kitchens, finished a refresh of the home page in late August. They are currently working on information architecture of all of ICANN.ORG. The work is going well and the Communications team will be briefing the PPC more fully in Dakar. As just one example of the innovations coming, when ICANN.ORG is refreshed, you'll be able to hover your mouse over any acronym on an HTML page (not in a PDF), and what the acronym stands for will pop up as a tool tip.

The full re-launch of the site remains on track to be accomplished by year's end.

Communications Team

This trimester, the organization added Jim Trengrove as Senior Director, Communications. Jim has an extensive background in world politics, including a stint as a producer on the Macneil/Lehrer News Hour. This continues our ongoing efforts to fully professionalize the department.

Compliance:

Accomplishments

- 2 registrar compliance matters escalated from Prevention to Enforcement
- Notice of breach issued to registrar Samjung in Korea (failure to escrow data and to provide public Whois access)
<http://www.icann.org/en/correspondence/burnette-to-kim-02sep11-en.pdf>
- Positive media coverage <http://www.zdnet.com/blog/perlow/dear-go-daddy-icann-haz-new-policy/18579>
- Bulk WHOIS Beta System Assessment underway
- Completed 2 automation enhancements to WDPRS to improve on follow-up activities
- Addressed compliance with UDRP issues
- 3 registrars addressed their compliance issues and entered into renewal agreement with ICANN (USA Webhost, Tuonome and Experinom)
- Finalized material and schedule for Dakar; New sessions focus on "marketing" and outreach activities to enable dialog with the community, as part of communication and reporting improvement initiative.

Efforts underway to close T1 Business Initiatives:

- Core Operations: Improve and standardize Organization and Operations - Standardize and document existing processes, templates and correspondence for the following areas: Notices of Breach, Consumer Complaint Ticket processing, Transfer Function, WDPRS Function, Registrar Data Escrow Function, UDRP Function.
- Healthy Internet Governance eco-system: Improve Communication and Reporting by 1. Developing a Contractual Compliance at ICANN outreach material, Assessing and redesigning current website and participating in a podcast.
- DNS Stability and Security: Improve contractual Compliance regime for registrars and registries by 1. Developing and collaborating on RAA self assessment annual questionnaire; 2. Develop an RFP for registry data escrow audit.
- Competition consumer trust and consumer choice: WHOIS Improvements by 1. Completing a current state assessment of WHOIS function; 2. Documenting processes for monitoring WHOIS.

gTLD REGISTRY LIAISON TEAM:

- Published the Emergency Back-End Registry Operator Request for Information on 14 September.
- Developed updated version of the gTLD Registry-Registrar Agreement change process and sent to Registries and Registrars for their input.
- A BOF is planned during IETF meeting in 13-18 November aimed at developing a solution to support Internationalized Registration Data.
- Started 15-day preliminary review of new Registry Services requests from: .cat, .coop, .org, .post and Verisign. Verisign subsequently withdrew their request and will resubmit it.

IDN VARIANT TLDs ISSUES PROJECT:

- Organized together with local hosts 5 face-to-face regional meetings of the case study teams to develop their individual reports.
- All six case study teams published their draft final reports for public comment, which will close on 14 November.
- Formed a Coordination Team with volunteers from the six teams to work on the Integrated Issues Report, scheduled to go for public comment on 15 December.
- An all-day meeting is planned for 22 October during the Dakar meeting to kickoff the work of the Coordination Team.

SECURITY:

- Jeff Moss gave a speech on cyber security at GITEX Technology Week in Dubai.

- John Crain, Dave Piscitello and Rick Lamb are attending the DNS-EASY Symposium in Rome prior to the ICANN meeting in Dakar.
- Geoff Bickers is coordinating a training event in Dakar on Thursday 20 October with Francopol for the Senegalese National Police and other local law enforcement representatives on DNS. The Security team is sponsoring a DNSSEC training for regional ccTLD managers in Dakar during the ICANN meeting week.
- Geoff and Jeff have weekly meetings with the New gTLD and IT teams on security for the TLD Application System (TAS) for the new gTLD process. They are making progress toward improving security for TAS prior to the new gTLD launch.
- Dave Piscitello and Steve Sheng from Policy were published in USENIX Magazine on RESTful Whois (See: A RESTful Web Service for Internet Name and Address Directory Services, <http://www.usenix.org/publications/login/2011-10/openpdfs/Newton.pdf>).
- Patrick Jones supported the 7th DNSSEC key signing ceremony in Culpeper, Virginia on 30 September.
- Patrick also served as staff liaison for the Cyrillic case study team in the IDN variant project, supporting their work to deliver the report of the Cyrillic case study team on 6 October 2011. The team met in Paris 20-21 September at UNESCO in Paris. This was the first meeting supported under the Memorandum of Understanding between ICANN and UNESCO on IDNs.
- John attended the RANS meeting in Moscow in September.
- Dave and John attended the Interpol Underground Economy conference in Lyon, France in mid September.
- Rick supported a DNSSEC training session in Santiago, Chile in September, and also presented on DNSSEC at the APECTEL meeting in Malaysia.
- Patrick and Jeff conducted Board training on DNS abuses and misuses during the workshop in Santa Monica. Patrick and Jeff are also updating the ICANN Risk Landscape for the Board Risk Committee in Dakar.

CEO Monthly One-Page Metrics Oct 2011



CEO Monthly One - Page Metrics Report (Board)

Report date: 15 October 2011

(millions)

Actual Financial Data*4	Fiscal YTD 31 July 2011
Operating Revenues	\$ 5.6
Operating Expenses	\$ 2.2
Contribution from Operations	\$ 3.3

Actual Financial Data	As of 31 July 2011
Assets	\$ 100.6
Liabilities	\$ 17.0
Cash	\$ 30.7
Reserve Fund	\$ 51.8

IDN Fast Track Billing Activity*5	ITD
Requests processed	21
IDN fees billed	\$754k
IDN fees collected	\$132K

Staffing (as of 30 September)	Now
# of Staff	129
Open Positions	24
Retained Searches	3

Hires/Terminations	Month	FYTD
New Hires	2	7
Involuntary Terminations	0	0
Voluntary Terminations	2	2
Total Terminations	2	2

Participation ICANN Meetings	Singapore - 41st ICANN Meeting	% of Attendees
Participants	1,346	100%
Staff (w/Contractors and Vendors)	117	8.70%
Supported Travelers	126	9.40%

Support Services at Meetings	Singapore - 41st ICANN Meeting	% of Sessions
Sessions Conducted	168	100.0%
Live Audio Streaming	118	70.2%
Telephone Conferencing	102	60.7%
Interpretation	38	22.6%
Live Scribing	41	24.4%
Audio Transcription	125	74.4%
Web Chat Rooms	72	42.9%

Documents Produced	Trimester 3	FYTD Translations	Cost per word (in USD)
Public Comment Periods Opened	15		
Produced Documents	37		
Translation Requests	164	4 346 m words	\$0.10

Policy Development *1	T3 - Initiated	In Progress	Completed
ASO global policy proposals *c	0	1	0
ccNSO work groups *a	0	12	0
GNSO work groups *a	1	19	0
SSAC projects	1	3	4
At-Large statements *b	14	2	12

Growing Community Interest	Now
Number of ccNSO Members	119
Number of At Large Structures	136

Deployment IPv6 *10	Percentage of Total
IPv6 traffic to ICANN Sites	0 98%

IANA Services*7	Month Open	Month New	Month Closed	Outstanding
Root Zone Requests	21	46	45	22
IETF Requests	79	401	421	59
RIR Requests	0	0	0	0

Domain name registrations in gTLD's *2 (as of April 2011)	New Registrations YTD	Net Change in Registrations	Total Registrations
gTLD Total	35,932,477	9,633,200	132,173,462

IDN FastTrack Requests *3	Month	Total
Total Requests	0	36
Number of countries/territories with IDNs in the RZ	0	20 (30 IDN ccTLD's)

ccTLD commitments*9	Trimester 3	Signed Total	% of Signed Total
New ccTLD Accountability Frameworks	0	64	27%

Registrar Data Escrow	Now	% of gTLD Registrations Protected
No. registrars enrolled	870	99 50%

Involuntary Terminated or Non-Renewed Registrars *8	YTD	% of Total Registrars
Terminated	4	0.41%

"L" Root Service	Month	YTD
Uptime	100%	100%
Requests Served	32 Billion	130 Billion
Average Requests per second	12,000	12,000

*** Footnotes:**

- 1) Data is FY 11 Trimester 3 - ending 26 June 2011
 - a) Includes community working groups, work teams, committees, task forces only
 - b) Includes At-Large advisories and statements to Board and SOs only
 - c) ASO global policy proposals "in progress" are those being tracked by ICANN staff
- 2) Based on ICANN confidentiality restrictions, there is a 90 day lag of data available
- 3) Data as of 30 September 2011; Identifies the Number of unique IDN Fast Track applications received to date.
- 4) FY12 Data through 31 July 2011
- 5) From inception January 2010 through 30 September 2011
- 6) Data as of 30 June 2011, identifies the number of IANA Services requests during a given month
- 7) Data is from 1 January 2011 through 31 March 2011
- 8) This statistic is now calculated against the full ISO 3166-1 alpha 2 list of a total of 241 delegatd ccTLDs.
- 9) No change from last month. However, there was a significant increase in the overall amount of both IPv4 and IPv6 traffic to our web sites. So IPv6 traffic is increasing in proportion with IPv4 traffic

2011-10-28-01-Annex-IDNGuidelines-7Oct2011

ANNEX TO BOARD SUBMISSION NO. [To be assigned by Secretary]

SUBMISSION TITLE: IDN Guidelines Revision

- The Internationalized Domain Names (IDN) Implementation Guidelines were originally developed in 2003 by ICANN and gTLD registries (see <http://www.icann.org/en/topics/idn/implementation-guidelines.htm>). The Guidelines are a list of general standards for IDN registration policies and practices that are designed to minimize the risk of cybersquatting and consumer confusion, and respect the interests of local languages and character sets.
- The IDN Guidelines were updated in November 2005, February 2006, and April 2007. The current version of the IDN Guidelines (Version 2.2) is now four years old, and predates the publication of the IDNABIS revision (“IDNA2008”) of the initial IDNA protocol (“IDNA2003”).
- The Internationalized Domain Names for Applications (IDNA) protocol is the technical standard for the implementation of IDNs for TLD registries, registrars and software developers that make IDNs available for their customers. The IDNA protocol references, and further detail about the 2008 revision can be found here: <http://www.icann.org/en/topics/idn/rfcs.htm>.
- ICANN published a draft Version 3.0 prior to the ICANN meeting in Cartagena, Colombia in November 2010:
<http://www.icann.org/en/announcements/announcement-4-15nov10-en.htm>. This included a redline and clean draft of the proposed revision against the April 2007 version of the IDN Guidelines.
- ICANN staff met with participants in the IDN Guidelines Revision Working Group at the ICANN meeting in San Francisco in March 2011 to discuss the need for restarting the work on an updated Version 3.0. The participants in that meeting agreed to consult with the gTLD registry and ccNSO on whether any change in composition of the group would occur. Shortly after San Francisco, the Revision Working Group made plans to meet in Singapore in June 2011.

- At the ICANN meeting in Singapore, original members of the IDN Guidelines Revision Working Group met and discussed the steps needed for updating the Guidelines in order to reflect the substantial changes in the IDNA protocol. The group recognized the important need for doing this as many new IDN ccTLD registries are beginning to launch and ensure that this work was accomplished prior to the launch of the new gTLD process in January 2012.
- The IDN Guidelines Revision Working Group included the following participants: Cary Karp (MuseDoma), Jimmy Lam (Afilias), Will Shorter (Verisign), Mohammed El Bashir (Qatar Domains Registry/ICTQatar), Hiro Hotta (JPRS), and ICANN support staff (Naela Sarras, Francisco Arias, Patrick Jones).
- The IDN Guidelines Revision Working Group met during the ICANN meeting in Singapore in June 2011 and agreed to update the draft IDN Guidelines published in November 2010 for public comment. The working group conducted bi-weekly calls before commencing the public comment period to ensure that new areas had not been identified that may require substantial revision to the previously published version. The working group identified only minor changes were necessary, and initiated the comment period on 27 July 2011.
- The publication of Version 3.0 of the IDN Guidelines is the first complete update since the finalization of IDNA2008. A general transition between IDNA2003 and IDNA2008 is underway but it is not yet possible to foresee either its duration or all of the issues relevant to the Guidelines that may manifest themselves during its course.
- A Version 3.1 is already in preparation by the Working Group, but the group did not want to hold up consideration of this Version 3.0 until that work is done. Subsequent working group action will include consideration of the final report of the IDN Variant Project and any implications on the IDN Guidelines that the Variant Case Studies or Integration Phases may identify.

Now that the comment period has concluded, ICANN staff is requesting that the Board endorse Version 3.0 of the IDN Guidelines and agree that the CEO is authorized to implement the Guidelines by authorizing registration of IDNs on the basis of those Guidelines.

Consultations Undertaken

The Working Group consulted with the authors of the IDNA2008 protocol about its dependency on Unicode versions. During these discussions need for a few additional editorial clarifications became apparent, as did the unintentional omission of a numbered section that appears in the current Version 2.2 of the Guidelines. A final version of the IDN Guidelines Revision was published with the summary and analysis of comments, reflecting the received commentary and missing section. See <http://www.icann.org/en/topics/idn/idn-guidelines-discussion-clean-02sep11-en.pdf>.

Public Comment Summary - Potential objections and proposed responses

ICANN received two public comments during the comment period that ran from 27 July to 26 August 2011.

Inputs were received from Simon Josefsson and Hugo Salgado. The summary and analysis of the comments is posted at <http://www.icann.org/en/public-comment/report-comments-idn-guidelines-revision-02sep11-en.pdf>.

Josefsson noted that RFC 5895 was not listed in the proposed Version 3.0 among the cited components of IDNA2008. He also called attention to the need for stating the dependency of IDNA2008 on the Unicode version on which it operates, with specific regard to changes in the properties of a code point that determine if it is valid or disallowed by the protocol. These suggestions were incorporated into the revised Version 3.0 being provided to the ICANN Board for consideration.

The suggested disclaimer regarding global implementation made by Salgado has not been added. ICANN conducts separate action regarding universal acceptance of IDN domains and it presently appears more purposeful to avoid placing any constraint on that action in the IDN Guidelines.

Resource implications – **The IDN Guidelines do not provide additional resource implications.**

Submitted by:	Naela Sarras Patrick Jones
Position:	Manager, IDN Fast Track Sr. Mgr., Security
Date Noted:	7 October 2011
Email and Phone Number	naela.sarras@icann.org, Contact patrick.jones@icann.org, Contact

2011-10-28-02b-Annex-Greg Aaron SSAC SOI and bio

Greg Aaron

Applicant Information

BIOGRAPHICAL INFORMATION

Greg Aaron is President of Illumintel, which provides advising and security services to TLD registry operators. He is an authority on the malicious use of domain names, has managed registry operations for gTLDs and ccTLDs, and is an experienced editor and writer.

Greg was previously Director of Key Account Management and Domain Security at Afilias, where he managed .INFO operations from 2001-2005 and 2008 through June 2011. Greg oversaw the re-launch of the .IN TLD in 2004, and advised the Government of India regarding domain and related Internet policies from 2004-2008. In 2006, he directed the registry services rollout for .MOBI , and he directed the launch of .ME in 2008.

Greg created and ran Afilias' security program, designed to find and mitigate domain abuse. He has investigated all types of malicious activity, including major spamming operations, phishing gangs, malware distribution, child pornography cases, and fast-flux networks. He has participated in the takedown and sinkholing of several botnets (and was responsible for blocking Conficker in ten TLDs), and regularly liaises with law enforcement in North America and Europe. In 2010, Afilias received an OTA Excellence in Online Trust Award for the security program. Greg's new company provides similar services for several TLDs.

Greg is the co-author of the Anti-Phishing Working Group's ongoing Global Phishing Survey series, which is the major source of phishing metrics and analysis. [<http://www.apwg.org/resources.html#apwg>], and he serves on the APWG Steering Committee. At ICANN, Greg was the Chair of the GNSO's Registration Abuse Policy Working Group (RAPWG), and he is a member of the Joint DNS Security and Stability Analysis Working Group (DSSA-WG), where he was also on the chartering team. He was an active member of ICANN's Fast-Flux Working Group. He has provided advice to the SSAC team that has investigated orphan nameserver issues.

In his first career, Greg was the editorial director at a large publishing company. He has edited scores of books, is a published writer, and was one of the first bloggers to cover the Silicon Valley tech scene, back before the word "blog" existed. He lives in Philadelphia, and is a graduate of the University of Pennsylvania.

2011-10-28-02b-Annex-Lyman Chapin Statement of Interest and Bio

Lyman Chapin

Applicant Information

Biography

Lyman Chapin is a co-founder of Interisle Consulting Group, LLC, where he advises companies, non-profit organizations, and government agencies on Internet technology, policy, and governance; telecommunications network security and resilience; and critical infrastructure protection. Before starting Interisle in 2002 he was Chief Scientist at BBN Technologies. Mr. Chapin is a Fellow of the IEEE, and was a founding trustee of the Internet Society. He has served as a Director of the Internet Corporation for Assigned Names and Numbers (ICANN), where he currently chairs the Registry Services Technical Evaluation Panel (RSTEP) and the DNS Stability Panel for the IDN ccTLD Fast Track, and as chairman of the Internet Architecture Board (IAB), the ACM Special Interest Group on Data Communication (SIGCOMM), and the ANSI and ISO standards groups responsible for Network and Transport layer networking standards. Mr. Chapin was a principal architect of the Open Systems Interconnection (OSI) reference model and protocols, and is the co-author (with Dave Piscitello) of the book "Open Systems Networking—TCP/IP and OSI." He currently serves as the USA/ACM representative to the International Federation for Information Processing Technical Committee on Communication Systems (IFIP TC6) and recently completed a five-year term as the USA representative to the NATO Science Committee networking panel, which brought high-speed Internet access to the former Soviet republics of Central Asia and the southern Caucasus. His professional interests include Internet technology, particularly routing, traffic engineering, and the Domain Name System (DNS); Internet governance; and information security and personal privacy. Mr. Chapin holds a B.A. in Mathematics from Cornell University. As RSTEP chair, Mr. Chapin has participated in the meetings, retreats, and other activities of SSAC for the past 5 years as an invited guest.

**2011-10-28-03-Annex PEDNR PDP - Final - 10 October
2011**

ANNEX

GNSO Council Report to the ICANN Board

Post-Expiration Domain Name Recovery Policy Development Process

Executive Summary

On 21 July 2011, the GNSO Council unanimously approved the recommendations and Final Report of the Post-Expiration Domain Name Recovery (PEDNR) Policy Development Process (PDP) Working Group. The recommendations include, amongst others, the following¹:

1. Provide a minimum of 8 days after expiration for renewal by the registrant
2. An expired website must explicitly say that registration has expired and instructions on how to recover the registration
3. The registration agreement must include information on the fees charged for the post-expiration renewal of a domain name
4. Clear indication of methods used to deliver pre- and post-expiration notifications must be provided
5. At least three notices are required, two of which need to be sent prior to expiration at set time intervals and one after expiration,
6. Notifications must not solely be done by methods which require explicit action by the Registrant
7. All gTLDs and registrars must offer the Redemption Grace Period (RGP), with the exception of sponsored gTLDs
8. The transfer of a domain name during the RGP should not be allowed
9. ICANN should develop educational materials on how to properly steward a domain name and prevent unintended loss

In addition, the GNSO Council recommends the promotion by ICANN and the Registrar Stakeholder Group of best practice recommendations such as: post-expiration notifications should be sent to some other contact point than to the email address associated with the

¹ Please note that a detailed description of each of these recommendations can be found in section A of this report as well as the [PEDNR Final Report](#).

expired registration; provide notice of where notification emails will be sent from, and; encourage registrants to provide a secondary email point of contact.

Furthermore, the GNSO Council recommends that ICANN, in consultation with Registrars, ALAC and other interested parties, develops educational materials about how to properly steward a domain name and how to prevent unintended loss.

ICANN's Contractual Compliance Department is requested to provide updates to the GNSO Council on a regular basis in relation to the implementation and effectiveness of the proposed recommendations, either in the form of a report that details amongst others the number of complaints received in relation to renewal and/or post-expiration related matters or in the form of audits that assess if the policy has been implemented as intended.

Under the ICANN Bylaws, the Council's unanimous (supermajority) support for the motion obligates the Board to adopt the recommendation unless by a vote of more than 66%, the Board determines that the policy is not in the best interests of the ICANN community or ICANN.

The policy recommendations, if approved by the Board, will impose new obligations on certain contracted parties. The GNSO Council's unanimous vote in favor of these items exceeds the voting threshold required at Article X, Section 3.9.f of the ICANN Bylaws regarding the formation of consensus policies.

a. A clear statement of any Successful GNSO Vote recommendation of the Council

The GNSO Council unanimously approved at its meeting on 21 July the following recommendations:

1. Define "Registered Name Holder at Expiration" (RNHaE) as the entity or individual that was eligible to renew the domain name registration immediately prior to expiration. If the domain name registration was modified pursuant to a term of the Registration Agreement authorizing the modification of registration data for the purposes of facilitating renewal but not at the explicit request of the registrant, the RNHaE is the entity or individual identified as the registrant immediately prior to that modification.

2. For at least 8 consecutive days, at some point following expiration, the original DNS resolution path specified by the RNHaE, at the time of expiration, must be interrupted² by the registrar, to the extent that the registry permits such interruptions, and the domain must be renewable by the RNHaE until the end of that period. This 8-day period may occur at any time following expiration. At any time during the 8-day period, the Registered Name Holder at Expiration may renew the domain with the Registrar, and the Registrar, within a commercially reasonable delay, will restore the domain name to resolve to its original DNS resolution path prior to expiration. Notwithstanding, the Registrar may delete the domain at any time during the Autorenew grace period.
3. If at any time after expiration when the Registered Name is still renewable by the RNHaE, the Registrar changes the DNS resolution path to effect a different landing website than the one used by the RNHaE prior to expiration, the page shown must explicitly say that the domain has expired and give instructions on how to recover the domain. Wording in the policy must make clear that "instructions" may be as simple as directing the RNHaE to a specific web site.
4. The RNHaE cannot be prevented from renewing a domain name registration as a result of WHOIS changes made by the Registrar that were not at the RNHaE's request.
5. The registration agreement must include or point to any fee(s) charged for the post-expiration renewal of a domain name. If the Registrar operates a website for registration or renewal, it should state, both at the time of registration and in a clear place on its website, any fee(s) charged for the post-expiration renewal of a domain name or the recovery of a domain name during the Redemption Grace Period.
6. The registration agreement and Registrar web site (if one is used) must clearly indicate what methods will be used to deliver pre- and post-expiration notifications, or must point to the location where such information can be found. What destination address/number will be used must also be specified, if applicable.
7. Registrar must notify Registered Name Holder of impending expiration no less than two times. One such notice must be sent one month or 30 days prior to expiration (± 4 days) and one must be sent one week prior to expiration (± 3 days). If more than two alert notifications are sent, the timing of two of them must be comparable to the timings specified.

² DNS interruption is defined as total Internet service interruption except for an informational web page (only one IP on which only port 80 is active).

8. Unless the Registered Name is renewed or deleted by the Registrar, at least one notification to the RNHaE, which includes renewal instructions, must be sent after expiration.
9. Notifications of impending expiration must include method(s) that do not require explicit registrant action other than standard e-mail receipt in order to receive such notifications.
10. With the exception of sponsored³ gTLDs, all gTLD Registries shall offer the Redemption Grace Period (RGP). For currently existing unsponsored gTLDs that do not currently offer the RGP, a transition period shall be allowed. All new gTLDs must offer the RGP. As part of the implementation, ICANN Staff should consider the Technical Steering Group's Implementation Proposal (see <http://www.icann.org/en/meetings/bucharest/redemption-topic.htm>)
11. If a Registrar offers registrations in a gTLD that supports the RGP, the Registrar must allow the Registered Name Holder at Expiration to redeem the Registered Name after it has entered RGP.
12. A transfer of a domain name during the RGP should not be allowed.
13. In the event that ICANN gives reasonable notice to Registrars that ICANN has published web content as described in recommendation #15 below:
 - Registrars, who have a web presence, must provide a link to the ICANN content on any website it may operate for domain name registration or renewal clearly displayed to its Registered Name Holders at least as clearly as its links to policies or notifications required to be displayed under ICANN Consensus Policies.
 - Registrars may also host similar material adapted to their specific practices and processes.
 - Registrar must point to the ICANN material in a communication sent to the registrant immediately following initial registration as well as in the mandated annual WHOIS reminder.
14. The GNSO Council recommends the following best practices for promotion by ICANN and the Registrar Stakeholder Group:
 - If post-expiration notifications are normally sent to a point of contact using the domain in question, and delivery is known to have been interrupted by post-expiration actions,

³ An unsponsored TLD operates under policies established by the global Internet community directly through the ICANN process, while a sponsored TLD is a specialized TLD that has a sponsor representing the narrower community that is most affected by the TLD. It should be noted that this distinction is no longer used in the new gTLD program.

post-expiration notifications should be sent to some other contact point associated with the registrant if one exists.

- The notification method explanation should include the registrar's email address from which notification messages are sent and a suggestion that registrants save this email address as a 'safe sender' to avoid notification emails being blocked by spam filter software.
- Registrars should advise registrants to provide a secondary email point of contact that is not associated with the domain name itself so that in case of expiration, reminders can be delivered to this secondary email point of contact.

15. The GNSO Council recommends that ICANN, in consultation with Registrars, ALAC and other interested parties, develop educational materials about how to properly steward a domain name and how to prevent unintended loss. Such material may include registrant responsibilities, the gTLD domain life-cycle and guidelines for keeping domain name records current.

16. ICANN Contractual Compliance Department is requested to provide updates to the GNSO Council on a regular basis in relation to the implementation and effectiveness of the proposed recommendations, either in the form of a report that details amongst others the number of complaints received in relation to renewal and/or post-expiration related matters or in the form of audits that assess if the policy has been implemented as intended.

17. The GNSO Council shall convene a PEDNR Implementation Review Team to assist ICANN Staff in developing the implementation details for the new policy should it be approved by the ICANN Board. The Implementation Review Team will be tasked with evaluating the proposed implementation of the policy recommendations as approved by the Board and is expected to work with ICANN Staff to ensure that the resultant implementation meets the letter and intent of the approved policy. If the PEDNR Implementation Review Team identifies any potential modifications to the policy or new PEDNR policy recommendations, the PEDNR Implementation Review Team shall refer these to the GNSO Council for its consideration and follow-up, as appropriate. Following adoption by the ICANN Board of the recommendations, the GNSO Secretariat is authorized to issue a call for volunteers for a PEDNR Implementation Review Team to the members of the PEDNR Working Group.

Under the ICANN Bylaws, the Council's unanimous (supermajority) support for the motion obligates the Board to adopt the recommendation unless by a vote of more than 66%, the Board determines that the policy is not in the best interests of the ICANN community or ICANN.

- b. If a Successful GNSO Vote was not reached, a clear statement of all positions held by Council members. Each statement should clearly indicate (i) the reasons underlying each position and (ii) the constituency(ies) or Stakeholder Group(s) that held the position;**

Not applicable. (A successful GNSO vote was reached.)

- c. An analysis of how the issue would affect each constituency or Stakeholder Group, including any financial impact on the constituency or Stakeholder Group;**

The proposed recommendations are expected to require significant changes on the part of registrars and to a lesser extent registries, even though the proposed recommendations are considered to be in line with current registrar and registry practices. Such changes may include:

- Updates to the registration agreement
- Updates to information on the registrar web-site
- Offer Redemption Grace Period
- Ensure that notices are sent at certain times
- Technical adjustments to ensure compliance with the requirements

However, the GNSO Council anticipates that the benefits will outweigh the costs of adjusting existing practices as these proposed recommendations are expected to bring predictability and transparency to expiration and renewal related practices for gTLD registrants. As stated by the PEDNR Working Group 'these recommendations represent the compromise that has been found between the different viewpoints that existed amongst the WG members and the WG is confident that these recommendations will provide additional guarantees to registrants; will improve registrant education and comprehension, and; are in line with current registrar practices and will have minimal impact on most registrars and other affected stakeholders'.

d. An analysis of the period of time that would likely be necessary to implement the policy;

Taking into account the new requirements in the proposed recommendations, but also the obligation to provide a reasonable period of time to contracted parties to comply, it is the estimation that the implementation of these recommendations would take 6-18 months. ICANN Staff expects that the development of the implementation plan would take 2 to 3 months.

e. The advice of any outside advisors relied upon, which should be accompanied by a detailed statement of the advisor's (i) qualifications and relevant experience; and (ii) potential conflicts of interest;

Not applicable. (The GNSO did not rely on the advice of any outside advisors.)

f. The Final Report submitted to the Council

The Final Report of the Post-Expiration Domain Name Recovery Working Group can be found here: <http://gns0.icann.org/issues/pednr-final-report-14jun11-en.pdf>.

g. A copy of the minutes of the Council deliberation on the policy issue, including all opinions expressed during such deliberation, accompanied by a description of who expressed such opinions.

From the GNSO Council Meeting Minutes (21 July 2011):

Tim Ruiz, seconded by **Stéphane van Gelder** proposed a motion on the adoption of the PEDNR Final Report and Recommendations

Whereas on 7 May 2009, the GNSO Council launched a Policy Development Process (PDP) on Post-Expiration Domain Name Recovery (PEDNR) addressing the following five charter questions:

1. Whether adequate opportunity exists for registrants to redeem their expired domain names;

2. Whether expiration-related provisions in typical registration agreements are clear and conspicuous enough;
3. Whether adequate notice exists to alert registrants of upcoming expirations;
4. Whether additional measures need to be implemented to indicate that once a domain name enters the Auto-Renew Grace Period, it has expired (e.g., hold status, a notice on the site with a link to information on how to renew, or other options to be determined);
5. Whether to allow the transfer of a domain name during the RGP. Whereas this PDP has followed the prescribed PDP steps as stated in the ICANN Bylaws, resulting in a Final Report delivered on 14 June 2011;

Whereas the PEDNR WG has reached full consensus on the recommendations in relation to each of the five issues outlined above;

Whereas the PEDNR WG considers all the recommendations listed below as interdependent and has recommended that the GNSO Council should consider these recommendations as such;

Whereas the GNSO Council has reviewed and discussed these recommendations.

RESOLVED, the GNSO Council recommends to the ICANN Board of Directors:

(A):

- Define "Registered Name Holder at Expiration" (RNHaE) as the entity or individual that was eligible to renew the domain name registration immediately prior to expiration. If the domain name registration was modified pursuant to a term of the Registration Agreement authorizing the modification of registration data for the purposes of facilitating renewal but not at the explicit request of the registrant, the RNHaE is the entity or individual identified as the registrant immediately prior to that modification. (PEDNR Recommendation #1)
- For at least 8 consecutive days, at some point following expiration, the original DNS resolution path specified by the RNHaE, at the time of expiration, must be interrupted by the registrar, to the extent that the registry permits such interruptions⁴, and the domain must be renewable by the RNHaE until the end of that period. This 8-day period may occur at any time following expiration. At any time during the 8 day period, the Registered Name Holder at Expiration may renew the domain with the Registrar and the

⁴ DNS interruption is defined as total Internet service interruption except for an informational web page (only one IP on which only port 80 is active).

Registrar, within a commercially reasonable delay, will restore the domain name to resolve to its original DNS resolution path prior to expiration. Notwithstanding, the Registrar may delete the domain at any time during the Autorenew grace period. (PEDNR Recommendation #2)

- If at any time after expiration when the Registered Name is still renewable by the RNHaE, the Registrar changes the DNS resolution path to effect a different landing website than the one used by the RNHaE prior to expiration, the page shown must explicitly say that the domain has expired and give instructions on how to recover the domain. Wording in the policy must make clear that "instructions" may be as simple as directing the RNHaE to a specific web site. (PEDNR Recommendation #3)
- The RNHaE cannot be prevented from renewing a domain name registration as a result of WHOIS changes made by the Registrar that were not at the RNHaE's request. (PEDNR Recommendation #4)
- The registration agreement must include or point to any fee(s) charged for the post-expiration renewal of a domain name. If the Registrar operates a website for registration or renewal, it should state, both at the time of registration and in a clear place on its website, any fee(s) charged for the post-expiration renewal of a domain name or the recovery of a domain name during the Redemption Grace Period. (PEDNR Recommendation #5)
- The registration agreement and Registrar web site (if one is used) must clearly indicate what methods will be used to deliver pre- and post-expiration notifications, or must point to the location where such information can be found. What destination address/number will be used must also be specified, if applicable. (PEDNR Recommendation #6)
- Registrar must notify Registered Name Holder of impending expiration no less than two times. One such notice must be sent one month or 30 days prior to expiration (± 4 days) and one must be sent one week prior to expiration (± 3 days). If more than two alert notifications are sent, the timing of two of them must be comparable to the timings specified. (PEDNR Recommendation #7)
- Unless the Registered Name is renewed or deleted by the Registrar, at least one notification to the RNHaE, which includes renewal instructions, must be sent after expiration. (PEDNR Recommendation #8)

- Notifications of impending expiration must include method(s) that do not require explicit registrant action other than standard e-mail receipt in order to receive such notifications. (Recommendation #9)
- With the exception of sponsored⁵ gTLDs, all gTLD Registries shall offer the Redemption Grace Period (RGP). For currently existing unsponsored gTLDs that do not currently offer the RGP, a transition period shall be allowed. All new gTLDs must offer the RGP. As part of the implementation, ICANN Staff should consider the Technical Steering Group's Implementation Proposal (see <http://www.icann.org/en/meetings/bucharest/redemption-topic.htm>) (PEDNR Recommendation #13)
- If a Registrar offers registrations in a gTLD that supports the RGP, the Registrar must allow the Registered Name Holder at Expiration to redeem the Registered Name after it has entered RGP. (PEDNR Recommendation #14)
- A transfer of a domain name during the RGP should not be allowed. (PEDNR Recommendation #15)
- In the event that ICANN gives reasonable notice to Registrars that ICANN has published web content as described in PEDNR Recommendation #16:
 - Registrars, who have a web presence, must provide a link to the ICANN content on any website it may operate for domain name registration or renewal clearly displayed to its Registered Name Holders at least as clearly as its links to policies or notifications required to be displayed under ICANN Consensus Policies.
 - Registrars may also host similar material adapted to their specific practices and processes.
 - Registrar must point to the ICANN material in a communication sent to the registrant immediately following initial registration as well as in the mandated annual WHOIS reminder. (PEDNR Recommendation #17)

Note: Some of these recommendations may need special consideration in the context of existing provisions in the Uniform Dispute Resolution Policy (UDRP), the proposed Uniform Rapid Suspension System (URS) or exceptions due to fraud, breach of registration agreement or other

⁵ An unsponsored TLD operates under policies established by the global Internet community directly through the ICANN process, while a sponsored TLD is a specialized TLD that has a sponsor representing the narrower community that is most affected by the TLD. It should be noted that this distinction is no longer used in the new gTLD program.

substantive reasons and the GNSO Council, therefore, recommends that such considerations are taken into account as part of the implementation of these recommendations, once adopted.

(B)

The GNSO Council recommends the following best practices for promotion by ICANN and the Registrar Stakeholder Group:

- If post-expiration notifications are normally sent to a point of contact using the domain in question, and delivery is known to have been interrupted by postexpiration actions, post-expiration notifications should be sent to some other contact point associated with the registrant if one exists. (PEDNR Recommendation #10)
- The notification method explanation (see recommendation #9) should include the registrar's email address from which notification messages are sent and a suggestion that registrants save this email address as a 'safe sender' to avoid notification emails being blocked by spam filter software. (PEDNR Recommendation #11)
- Registrars should advise registrants to provide a secondary email point of contact that is not associated with the domain name itself so that in case of expiration reminders can be delivered to this secondary email point of contact. (PEDNR Recommendation #12)

(C)

The GNSO Council recommends that ICANN, in consultation with Registrars, ALAC and other interested parties, will develop educational materials about how to properly steward a domain name and how to prevent unintended loss. Such material may include registrant responsibilities and the gTLD domain life-cycle and guidelines for keeping domain name records current. (PEDNR Recommendation #16).

(D)

ICANN Compliance is requested to provide updates to the GNSO Council on a regular basis in relation to the implementation and effectiveness of the proposed recommendations, either in the form of a report that details amongst others the number of complaints received in relation to renewal and/or post-expiration related matters or in the form of audits that assess if the policy has been implemented as intended. (PEDNR Recommendation #18)

(E)

The GNSO Council shall convene a PEDNR Implementation Review Team to assist ICANN Staff in developing the implementation details for the new policy should it be approved by the ICANN Board. The Implementation Review Team will be tasked with evaluating the proposed implementation of the policy recommendations as approved by the Board and is expected to work with ICANN Staff to ensure that the resultant implementation meets the letter and intent of the approved policy. If the PEDNR Implementation Review Team identifies any potential modifications to the policy or new PEDNR policy recommendations, the PEDNR Implementation Review Team shall refer these to the GNSO Council for its consideration and follow-up, as appropriate. Following adoption by the ICANN Board of the recommendations, the GNSO Secretariat is authorized to issue a call for volunteers for a PEDNR Implementation Review Team to the members of the PEDNR Working Group.

The motion carried unanimously by voice vote.

Action Item:

GNSO Secretariat will issue call for volunteers for a PEDNR Implementation Review Team when the new policy is approved by the Board.

ADDITIONAL INFORMATION

h. Consultations undertaken

External

Public comment forums were held on the initiation of the policy development process, the Initial Report, the Proposed Final Report and the recommendations adopted by the GNSO Council, in addition to regular updates to the GNSO Council as well as workshops to inform and solicit the input from the ICANN Community at ICANN meetings (see for example, the ICANN Meeting in Brussels and San Francisco). Constituency statements were submitted (see <https://community.icann.org/display/gnsopednr/Constituency+Statements>). All the comments received were reviewed and considered by the PEDNR Working Group (see section 7 of the PEDNR Final Report).

Internal

Regular input was received from different ICANN Departments in relation to the recommendations under consideration and potential issues raised with the PEDNR Working Group (see, for example, <http://forum.icann.org/lists/gnso-pednr-dt/msg00691.html> and <http://forum.icann.org/lists/gnso-pednr-dt/msg00802.html>).

i. Summary and Analysis of Public Comment Forum to provide input on the PEDNR Recommendations adopted by the GNSO Council prior to ICANN Board consideration

A public comment forum was held from 15 August to 15 September (see <http://www.icann.org/en/public-comment/pednr-board-recommendations-15aug11-en.htm>). Seven comments were received: four from Organizations and Groups (Registries Stakeholder Group, the Business Constituency, the At-Large Advisory Committee and the Intellectual Property Constituency), and three from individuals (Serj, Vijaya Sree Nidadhavolu and Alan Greenberg).

Summary

Serj's comment relates to a specific practice from Serj's host/registrar, which is called 'extended expiration' during which the expired domain name registration is available for renewal for an additional 2-3 months at an additional cost. In Serj's view, there should be 'a ban of this practice altogether or perhaps a cap on the amount one may charge'.

The Registries Stakeholder Group (RySG) expresses its support for the recommendations and supports their consideration by the ICANN Board. The Business Constituency (BC) also expresses its support for the proposed recommendations and has provided its rationale for supporting the recommendations in its submission. Only with regard to recommendation #2, which recommends that at a minimum 8 consecutive days need to be provided during which the DNS resolution path must be interrupted, the BC notes that it would support a 30 day, instead of 8 day period.

Vijaya agrees that 'reasonable opportunity should be given for the owner of the domain to recover his domain name'. As such, Vijaya suggests that the registrant should be notified on a

different email address than the one that is associated with the registration; a free text message should be sent at least five days before expiration, and; once the registrant has indicated its intention to renew the registration, the domain name should remain in its original state.

The At-Large Advisory Committee (ALAC) points out some of the challenges the PEDNR Working Group faced such as 'active and continued participation', but notes that despite that it is 'pleased that some progress was made in advancing gTLD registrant rights and that ICANN will be taking positive action to educate, inform and support gTLD registrants' and therefore encourages the ICANN Board to adopt the recommendations.

In its contribution, the Intellectual Property Constituency (IPC) expresses its concern 'with the lack of feedback from the PEDNR Working Group on our comments of April 21, 2011 regarding the Proposed Final Report'. In addition, the IPC comment provides feedback on each of the recommendations proposed, most of which are supported, but reiterating its comments that were made on the proposed Final Report. In response to the submission by the IPC, Alan provides a detailed analysis of how the comments of the IPC have been reviewed and addressed by the PEDNR WG, noting that 'the WG did carefully consider all of the comments and fully debated them'.

Analysis

Serj's comment does not relate to any specific recommendation from the PEDNR Working Group, and although the proposed recommendations do not 'ban' or 'cap the amount one may charge', they are intended to provide additional guarantees to registrants and intended to improve registrant education and comprehension of post-expiration and renewal related practices.

With regard to the BC comment to provide a 30, instead of 8 day consecutive period during which the DNS resolution path must be interrupted following expiration, it should be noted that the recommended 8 days is a minimum not a maximum period. It should also be noted that the PEDNR Working Group discussed the proposed timeframe extensively and the 8 day period is the consensus position that was found between the different viewpoints in the Working Group. In relation to the comments from the IPC, Alan's analysis and response provides an accurate

overview of how the PEDNR Working Group reviewed and addressed the comments made by the IPC. The PEDNR Working Group developed a public comment review tool in which it responded to the different comments received and provided details of how the comments would be addressed, if it was determined that a change to the report was warranted. A link to this public comment review tool was also provided in the Final Report. Following further discussions on the PEDNR mailing list, it is worth pointing out that the majority of active WG members felt that AG's response fairly represents the views of the WG.

j. Impact / Implementation Considerations from ICANN Staff

- As recognized by the PEDNR Working Group, some of the recommendations may need special consideration in the context of existing provisions in the Uniform Dispute Resolution Policy (UDRP), the proposed Uniform Rapid Suspension System (URS) or exceptions due to fraud, breach of registration agreement or other substantive reasons. Such considerations will be taken into account by ICANN Staff as part of the development of the implementation plan for these recommendations, once adopted.
- It should be noted that several of the recommendations propose minimum requirements, such as: for a minimum of 8 days the original DNS path needs to be interrupted and the registrant may renew the registration during that period, and; at a minimum two notices need to be sent prior to expiration to remind the registrant of the upcoming expiration. Currently many registrars offer far beyond 8 days and/or send more than two notices. It is the expectation of the PEDNR Working Group that this will not change as a result of the adoption of these recommendations.
- The PEDNR WG noted that ‘the implementation timeline for some of the recommendations may be different from others. The recommendations should be implemented as quickly as practicable without introducing delays simply to keep the implementations synchronized’.
- In relation to the recommendation that ICANN Contractual Compliance Department is requested to provide regular updates to the GNSO Council and report on the ‘effectiveness’ of the proposed recommendations, Staff would like to receive input from the PEDNR Implementation Review Team concerning what is meant with ‘effectiveness’ and how such ‘effectiveness’ is expected to be measured. The ICANN Compliance Department is more than happy to provide reports and data on complaints received by ICANN and related

compliance/enforcement activities but evaluation of whether this policy is effective should be up to the community and the information and data to be used for the evaluation should not be limited to data available from Compliance.

- Additional implementation considerations might be raised once implementation gets underway, but Staff expects that such issues can be addressed by working together with the recommended PEDNR Implementation Review Team.

2011-10-28-04-ALAC-Improvements-Paper_Exhibit A

ALAC/At-Large Improvements Project Milestone Report

09 October 2011

Executive Summary

A. Introduction

The purpose of this report is to describe the substantial amount of work completed thus far on the ALAC/At-Large Improvements Project. In particular, it lists the specific proposals being used by the ALAC to implement 12 of the recommendations outlined in the [Final Report of the ALAC Review Working Group on ALAC Improvements](#), along with the extent to which each proposal is already completed.

As the next step, the ALAC plans to assign the proposals not yet completed to already-existing At-Large Working Groups, establish timelines for their completion and determine their potential resource implications.

B. At-Large Improvements Work Teams

All of the implementation proposals have been developed by four Improvements working teams (WTs), each focused on a thematically related group of ALAC Review recommendations:

- [WT A](#), focused on the ALAC's continuing purpose;
- [WT B](#), focused on ALS participation;
- [WT C](#), focused on ALAC planning processes; and
- [WT D](#), focused on ALAC's policy advice development.

These WTs are truly a bottom-up endeavor. Each includes members from ALSes in all five of At-Large's RALOs, and the majority of WT co-chairs are *not* on the ALAC.

C. Use of Simplified Improvements Implementation Outline

Specifically, the WT proposals are aimed at implementing a list of constituent tasks into which the At-Large staff divided each recommendation. These tasks are found in the [Simplified Improvements Implementation Outline](#) (26 April 2010). (A few tasks, no longer relevant due to changes within ICANN, do not have proposals assigned to them.)

D. Implementation Proposals

At this point, some of the WTs' implementation proposals are completed, others are in progress and still others must be begun. Example key aspects of these proposals include:

- Amendments to ICANN's Bylaws regarding the ALAC's role (WT A; completed);
- The ICANN Academy to train new At-Large members (WT B; in progress);
- Increased input from the RALOs and ALSes in the ALAC/At-Large's planning processes (WT C; in progress); and
- Extensions of various lengths to Public Comment periods (WT D; in progress).

A. Introduction

The At-Large staff is submitting this ALAC/At-Large¹ Improvements Project Milestone Report, a status report on the ALAC/At-Large Improvements Project, to the ICANN Structural Improvements Committee (SIC) and Board for review during ICANN's 42nd Meeting in Dakar.

Purpose of this report

The purpose of this status report is to describe the substantial amount of work completed thus far on the ALAC/At-Large Improvements Project.

In particular, the report lists the complete set of specific proposals being used by the ALAC to implement 12 of the recommendations outlined in the [Final Report of the ALAC Review Working Group on ALAC Improvements](#) (9 June 2009; ALAC Review Final Report). These proposals were developed by the Project's four At-Large Improvements Working Teams (WTs; see below).

Furthermore, this report identifies the extent to which each of these proposals has already been successfully put into effect by the ALAC.

While the At-Large Improvements WT's proposals address 12 of the recommendations in the ALAC Review Final Report, there are actually 13 recommendations in total. The one that is *not* addressed by the WT's proposals concerns voting Board members selected by At-Large. The implementation of this recommendation has, of course, already been completed. Its implementation was separated from that of the other recommendations by the Board's [Resolution 2009.06.26.30](#) (26 June 2009).

ALAC endorsement of this report

This status report was developed collaboratively by the ALAC, the four At-Large Improvements Work Teams, the At-Large community and the At-Large Staff.

The ALAC Executive Committee (ExCom) unanimously states its support for this report, which is currently undergoing a full ALAC ratification vote, begun on 9 October 2011 at the request of ALAC Chair Olivier Crépin-Leblond. The results of this vote will be reported to the ICANN SIC and Board.

Next steps

As the next step in this Project, the ALAC plans to discuss the implementation of those Improvements WT proposals not yet completed in Dakar. Specifically, the ALAC is planning to assign the remaining proposals to already-existing At-Large Working Groups, establish timelines for their completion and determine their potential resource implications.

¹ Throughout, "ALAC/At-Large" is used to indicate that certain of the recommendations in the [Final Report of the ALAC Review Working Group on ALAC Improvements](#) refer to the ALAC, while others refer to the At-Large community (ALAC, RALOs and ALSes).

The At-Large staff, in collaboration with the ALAC, will provide the next status update on this Project to the SIC and Board, at the latest, in time for their March 2012 meetings in Costa Rica.

B. At-Large Improvements Work Teams

The 12 recommendations outlined in the ALAC Review Final Report and addressed by the ALAC/At-Large Improvements Project fall into four thematic categories. Therefore, the ALAC established four At-Large Improvements Working Teams (WTs), each assigned to the recommendations within one of these categories:

- [WT A](#), assigned to the ALAC's continuing purpose within ICANN;
- [WT B](#), assigned to increasing participation by At-Large Structures (ALSes);
- [WT C](#), assigned to improving ALAC and At-Large strategic, operational and financial planning processes; and
- [WT D](#), assigned to enhancing the ALAC's policy advice processes.

The mandate of each WT has been to develop specific proposals – listed in this report – that the ALAC could use to implement the recommendations to which the WT was assigned. To accomplish this, each WT met regularly once every two weeks from September 2010 through March 2011.

Bottom-up endeavor

The ALAC/At-Large Improvements Project has truly been a bottom-up endeavor. Each WT is comprised of members from At-Large Structures (ALSes) in all five of At-Large's Regional At-Large Organizations (RALOs). Furthermore, the majority of WT co-chairs are, in fact, At-Large members who do *not* serve on the ALAC.

All in all, members of the WTs include ALS members and officers from every RALO, ALAC members and officers, and non-ALAC members. The At-Large Improvements WTs have, therefore, truly benefited from global At-Large community involvement.

The members of each WT, organized by RALO, are listed in Appendix 1.

C. Use of the Simplified Improvements Implementation Outline

On 4 August 2009, the ALAC adopted a [resolution](#) (AL.ALAC/RES.0809/1) endorsing specific steps toward the implementation of the recommendations outlined in the ALAC Review Final Report. In accordance with this resolution, the At-Large staff divided each recommendation into a list of smaller constituent tasks, listed in the [Simplified Improvements Implementation Outline](#) (26 April 2010; Simplified Outline).

The At-Large Improvements WTs have used these Simplified Outline tasks as a guide in developing the implementation proposals contained in this report.

Since submission of the ALAC Review Final Report in June 2009, however, much within the ALAC, At-Large and ICANN has evolved. Consequently, not all of the Simplified Outline tasks are still relevant – that is, not all still warrant implementation proposals by the ALAC/At-Large Improvements WTs.

For these reasons, in the “Implementation Proposals” section of this report below, along with each WT’s actual proposals, two types of additional information have been included:

- For each WT proposal, the Simplified Outline tasks to which it applies are indicated using the task numbers assigned in the Simplified Outline; and
- For any Simplified Outline task for which no WT proposal has been made, the specific reason that no proposal has been made is indicated. (In short, only a small number of tasks have not been assigned proposals because those tasks are no longer relevant.)

D. Implementation Proposals

In the tables below are listed the actual implementation proposals for the ALAC that have been developed by the At-Large Improvements WTs.

The proposals are organized by Working Team, and, within each Working Team, they are listed in the order of the ALAC Review Final Report recommendations to which they apply.

For each WT, the following information is included:

- A summary of the recommendations within the ALAC Review Final Report for which the WT is responsible;
- The proposals that the WT developed for the ALAC, aimed at implementing its assigned recommendations;
- The numbers of the recommendation(s) and the task(s), as listed on the Simplified Outline, to which each proposal applies;
- The status of each proposal at present – that is, the degree to which each proposal has already been implemented by the ALAC and At-Large; and
- Any Simplified Outline task for which no proposal has been made, along with the specific reason. (If any such tasks exist for a WT, they are listed in a table following its main table of proposals.)

The following key explains the status of each WT proposal in the tables below:

- “Must begin”: The ALAC and At-Large will begin implementing this proposal shortly after the Dakar meeting.
- “In progress”: The ALAC and At-Large have begun implementing this proposal, but some amount of work remains.
- “Completed”: The ALAC and At-Large have completed implementing this proposal.

Proposals by WT A on ALAC’s continuing purpose

Recommendation 1: The section of the ICANN Bylaws that deals with the ALAC should be changed to reflect its continuing purpose within the ICANN structure. This continuing purpose has four key elements:

- Providing advice on policy;
- Providing input into ICANN operations and structure;
- As part of ICANN’s accountability mechanisms; and
- As an organizing mechanism for some of ICANN’s outreach.

Recommendation 10: The ALAC, as the representative body for At-Large, is the primary organizational home for the voice and concerns of the individual Internet user in ICANN processes (although ICANN's multi-stakeholder model provides the opportunity for individual users to choose to participate in many other ways in the ICANN process).

Recommendation 11: A clear statement is needed from the Board that recognizes the place of At-Large as the primary organizational home for individual Internet users and that clarifies the relationship between the ALAC and the User Home currently being developed within the GNSO.

WT A proposes that the ALAC...	Recs addressed	Tasks addressed	Status
Submit to the Board the following revision to ICANN Bylaws XI.2.4.a, drafted in collaboration with Legal: The At-Large Advisory Committee (ALAC) is the primary organizational home within ICANN for individual Internet users. The role of the ALAC shall be to consider and provide advice on the activities of ICANN, insofar as they relate to the interests of the individual Internet users. This includes policies created through ICANN’s Supporting Organizations, as well as the many other issues for which community input and advice is appropriate. The ALAC, which plays an important role in ICANN’s accountability mechanisms, also coordinates some of ICANN's outreach to individual Internet users.	1,10, 11	1.1, 1.1.1, 1.1.2, 1.1.3, 1.2, 1.2.1, 1.2.2, 1.3, 1.3.1, 1.3.2, 1.3.3, 10.1, 11.1, 11.1.1, 11.1.2, 11.1.3	Completed
Submit to the Board the following revisions to ICANN Bylaws XI.2.4.j, drafted in collaboration with Legal: The ALAC is also responsible, working in conjunction with the RALOs, for coordinating the following activities:... Participating in the ICANN policy development processes and providing input and advice that accurately reflects the views of individual	1, 11	1.1, 1.1.1, 1.1.2, 1.1.3, 1.2, 1.2.1, 1.2.2, 1.3, 1.3.1, 1.3.2, 1.3.3, 11.1,	Completed

Internet users;...		11.1.1, 11.1.2, 11.1.3	
Form a Working Group (WG) to conduct a complete review of the ALAC's Rules of Procedure. This review should include consideration of the role, selection process and term length of the ALAC Chair and Vice Chairs. (Any change of the term length of the ALAC Chair, as suggest by recommendation task 1.4, would require a change to the ALAC's Rules of Proceure.)	1	1.4	Must begin

Tasks not addressed by WT A	Reason
None	

Proposals by WT B on ALS participation

Recommendation 3: The ALS-RALO-ALAC structure of At-Large should remain in place for now.

Recommendation 4: Educating and engaging the ALSes should be an immediate priority; compliance should be a longer-term goal.

Recommendation 7: The ALAC should be allowed to make its own choices of communication and other collaborative tools to best meet its needs – taking into account budgetary constraints and the technologies already used in other parts of the ICANN community.

Recommendation 9: ICANN should strengthen its translation and interpretation processes.

WT B proposes that the ALAC...	Recs addressed	Tasks addressed	Status
Establish a Working Group (WG) to ensure that the At-Large information already available is organized properly and easily accessible by end users.	3	3.1	In progress
Introduce to the ALSes selected information-dissemination, communication and collaboration tools (such as Posterous, Twitter Twibes, mobile-device compatibility) and provide training.	3, 7	3.1, 3.1.1, 3.1.2, 7.1, 7.2, 7.3, 7.5	In progress
Promote further use of the At-Large Calendar to the ALSes.	3	3.1, 3.1.1, 3.1.2	In progress
Create and distribute a brief orientation/instruction	3	3.1, 3.1.3	In progress

package about the information-dissemination, communication and collaboration tools introduced to the ALSes. (The ALS Starter Kit already includes some of this information.)			
<p>Establish the ICANN Academy, an annual training program for new At-Large ALS members, modeled after aspects of the ICANN Fellowship and Diplo Foundation.</p> <p>The intent is to begin this program during the ICANN Meeting in Toronto in October 2012.</p>	4	4.1, 4.1.1, 4.1.2, 4.1.3, 4.1.4, 4.6	In progress
<p>Establish an engagement program for existing At-Large ALS members, to be conducted year-round and modeled after certain aspects of the Diplo Foundation (specifically, this is the At-Large Capacity Building Program to begin in Dakar in Oct 2011).</p> <p>The intent is for this program to start (be funded for) FY2012.</p>	4	4.2, 4.2.1, 4.2.2, 4.2.3, 4.6	In progress
<p>Make available to each ALS a Confluence page for two-way communication with ICANN (for example, see AFRALO ALS Confluence pages).</p>	4	4.2, 4.2.1, 4.2.2, 4.2.3, 4.6	Completed
<p>Make available to each ALS the use of an Adobe Connect Room for meetings, etc. (for example, see AFRALO ALS Adobe Connect Room).</p>	4	4.2, 4.2.1, 4.2.2, 4.2.3, 4.6	Completed
<p>Request that selected At-Large members be funded to attend non-ICANN meetings (e.g., the IGF, the Consumer Electronics Show (CES), etc.).</p> <p>The ALAC made this request for FY11, but it was not approved.</p> <p>This request is supported by the fact that At-Large should constitute an essential part of ICANN's global outreach process.</p>	4	4.3, 4.3.1, 4.3.1.1, 4.3.2, 4.6	In progress
<p>Request that the ALAC be invited and funded to participate in all outreach programs launched by ICANN (including the New gTLD Program outreach road show).</p>	4	4.3, 4.3.1, 4.3.1.1, 4.3.2, 4.6	Must begin

<p>In accepting such invitations, the ALAC should be given the option to send At-Large members as representatives who are located within the region of the specific outreach event.</p> <p>This request is supported by the fact that At-Large should constitute an essential part of ICANN's global outreach process.</p>			
<p>Invite potential At-Large members from countries currently without any ALS to a series of outreach teleconferences aimed at reaching the goal of having at least one ALS in every country.</p>	4	4.3, 4.3.1, 4.3.1.1, 4.3.2, 4.6	Must begin
<p>Recommend that each RALO start an individual member program.</p> <p>This proposal is scheduled for further discussion in the Regional Leadership Meeting in Dakar.</p>	4	4.3, 4.3.1, 4.3.1.1, 4.3.2, 4.4, 4.6	In progress
<p>Continue collaborating with ICANN Communications on Beginner's Guides devoted to topics relevant to At-Large.</p> <p>The goal should be to produce one Guide for each ICANN Public Meeting.</p> <p>This Beginner's Guide series was initiated by At-Large. In close collaboration with ICANN Communications, At-Large has already co-produced a Beginner's Guide to Domain Names and Beginner's Guide to Internet Protocol (IP) Addresses. Two more are currently in the pipeline.</p>	4	4.3, 4.3.3, 4.6	In progress
<p>Recommend to the RALOs that they formalize their outreach/"inreach" role in whatever way each finds appropriate (e.g., by including in their Rules of Procedure).</p>	4	4.3, 4.3.4, 4.6	In progress
<p>Increase significantly the ALAC's creation of "inreach" materials aimed at leadership engagement and development throughout At-Large (including brochures, radio programs, podcasts, webinars, and online videos).</p> <p>For examples of work in progress, see At-Large and</p>	4	4.5, 4.5.1, 4.6	In progress

RALO Brochures.			
<p>Create job descriptions for ALAC members, liaisons and other At-Large leaders that include qualification requirements, responsibilities and objective criteria for performance evaluation.</p> <p>For work in progress, see Resolution on Position Description for ALAC Members and ALAC Liaisons.</p>	4	4.5, 4.5.1, 4.6	In progress
<p>Create and implement a transparent sanctions process for nonperformance of ALAC, RALO and ALS members.</p> <p>The relevant metrics and sanctions should be consistent across all RALOs. The sanctions should be progressive, including the withholding of travel support and ending with the replacement of the member.</p>	4	4.5, 4.5.2, 4.5.3, 4.5.5, 4.6	In progress
<p>Create, in collaboration with ICANN’s Nominating Committee (NomCom), a process for the midterm replacement both of NomCom appointments to the ALAC and of ALAC appointments to the NomCom.</p>	4	4.5, 4.5.4, 4.5.4.1, 4.5.5, 4.6	Must begin
<p>Conduct a survey of ALSes regarding communication & collaboration tools</p>	7	7.1, 7.2, 7.2.1,	Completed
<p>Establish a Technology Task Force (TTF) of community members that would periodically review the appropriateness of available technology, help train RALOs/ALSes in new technologies introduced and possibly staff a help desk.</p>	7	7.2.2, 7.2.3, 7.2.4, 7.3, 7.3.1, 7.3.2, 7.3.3, 7.3.4, 7.4, 7.4.1, 7.5, 7.6, 7.6.1	Must begin
<p>Build into At-Large’s consideration of ICANN policy issues (open Policy Forums) more and earlier translation of relevant materials.</p>	9	9.1, 9.1.1	In progress
<p>Review ICANN’s new Language Services Policy (once available) and request that At-Large staff do the same, focusing on At-Large needs, particularly related to ICANN policy issues.</p>	9	9.2, 9.2.1, 9.3	Must begin

Tasks not addressed by WT B	Reason
9.1 Interim measures (near term)	This task is no longer relevant due to improvements in ICANN’s translation services since the ALAC Review Final Report and the imminent release of ICANN’s new Language Services Policy.

Proposals by WT C on ALAC planning processes

Recommendation 5: The ALAC should develop strategic and operational planning processes (including performance criteria and cost information) as part of ICANN’s planning process.

Recommendation 6: More effort needs to be put into developing accurate cost models for At-Large activities.

WT C proposes that the ALAC...	Recs addressed	Tasks addressed	Status
<p>Ratify the strategic planning process reflected in the flowchart titled “Figure C-1: Proposed At-Large Strategic Planning Process” (see Appendix 2), by which the ALAC could contribute to ICANN’s strategic planning.</p> <p>This flowchart depicts the strategic planning process used by the ALAC and At-Large for planning FY2012. If ratified by the ALAC, it would formally replace the ALAC/At-Large’s previous process, depicted in “Figure C-2: Previous At-Large Strategic Planning Process” (see Appendix 2).</p>	5	5.1, 5.1.1, 5.1.1.1, 5.1.2, 5.1.3	Must begin
<p>Ratify the operational and financial planning process reflected in the flowchart titled “Figure C-3: Proposed At-Large Operational and Financial Planning Process” (see Appendix 2), by which the ALAC could contribute to ICANN’s operational and financial planning.</p> <p>This flowchart depicts the operational and financial planning process used by the ALAC and At-Large for planning FY2012. If ratified by the ALAC, it would formally replace the ALAC/At-Large’s previous process, depicted in “Figure C-4: Previous At-Large Operational and Financial Planning Process” (see Appendix 2).</p>	5	5.2, 5.2.1, 5.2.1.1, 5.2.2, 5.2.3	Must begin

Review and amend the ALAC's strategic planning process yearly, in line with annual amendments to ICANN's overall strategic planning process.	5	5.1, 5.1.1	In progress
Conduct periodic "SWOT" (strengths, weaknesses, opportunities and threats) analyses of the At-Large strategic planning process, in conjunction with the RALOs (as WT C did), and compare the results of these analyses to identify areas that have improved or deteriorated. In the first SWOT analysis conducted by WT C, the main barriers to strategic planning were identified as a lack of a high level strategy for At-Large, lack of mechanisms to identify skills shortages, lack of skill transfer, lack of inclusion metrics (geographic, societal, gender) and lack of funding.	5	5.1, 5.1.1, 5.1.1.1	In progress
Articulate ALAC's and At-Large's vision and mission. WT C suggests the following wording: "The mission of the ALAC is to facilitate the voice of the individual end users of the Internet within the policy development and other activities of ICANN."	5	5.1, 5.1.2, 5.1.3, 5.2.3	In progress
Use appropriate metrics to ensure that the ALSes are diverse, effective and well-informed. These measures could gauge, for example, the production of Beginner's Guides and podcasts.	5	5.1, 5.1.2, 5.1.3, 5.2.3	In progress
Initiate, develop and maintain an institutional knowledge management and retention system for At-Large.	5	5.1, 5.1.2, 5.1.3, 5.2.3	In progress
Encourage the five RALOs to coordinate their outreach and "inreach" policies in order to facilitate the search for new skill sets needed within At-Large.	5	5.1, 5.1.2, 5.1.3, 5.2.3	In progress
Continue actively pursuing At-Large growth, for the overall benefit of ICANN. The goal is to have at least one ALS in every country. (At-Large has continued to increase its number of ALSes ; as of 27 September 2011, there were 136.)	5	5.1, 5.1.2, 5.1.3, 5.2.3	In progress

<p>In attempting to get the ALAC's outreach projects funded, emphasize their role not only as a strategic resource benefiting the ALAC and RALOs but also as part of a wider ICANN legitimacy process.</p>	<p>5</p>	<p>5.1, 5.1.2, 5.1.3, 5.2.3</p>	<p>In progress</p>
<p>Acknowledge and encourage a continuation of the better collaboration between the ALAC and ICANN's Finance staff seen in preparing the FY2012 Budget.</p> <p>This proposal is in addition to the fact that most At-Large operational planning is done by ICANN staff.</p>	<p>5</p>	<p>5.2, 5.2.1</p>	<p>Completed</p>
<p>Conduct periodic "SWOT" (strengths, weaknesses, opportunities and threats) analyses of the At-Large operational and financial planning process, in conjunction with the RALOs (as WT C did), and compare the results of these analyses to identify areas that have improved or deteriorated.</p> <p>In the first SWOT analysis conducted by WT C, the main barriers to operational and financial planning were identified as the ALAC's being slow to react; translation processes being slow, and translations not being available for all documents; ALAC members' potential conflicts of interest; a lack of travel funding, putting At-Large in a second-class tier; and not enough informational materials for the ALSes.</p>	<p>5</p>	<p>5.2, 5.2.1, 5.2.1.1</p>	<p>In progress</p>
<p>Formalize the process by which the ALAC collects operational demands from the RALOs and includes them in its operational plans.</p>	<p>5</p>	<p>5.2, 5.2.2</p>	<p>In progress</p>
<p>Clearly estimate and document the time required for the ALAC's operational processes (e.g., responding to a call for Public Comments) and use these estimates to formalize its operational processes.</p>	<p>5</p>	<p>5.2, 5.2.2</p>	<p>In progress</p>
<p>Continue requesting face-to-face funded general assemblies (GAs) for each RALO every three years and an At-Large Summit.</p>	<p>5</p>	<p>5.2, 5.2.2</p>	<p>In progress</p>
<p>Continue to monitor its level of needed staff support and ICANN's commitment to and progress in filling open staff positions.</p> <p>As of September 2011, all allotted At-Large staff</p>	<p>5</p>	<p>5.3</p>	<p>In progress</p>

positions had been filled.			
Encourage the same high level of input into ICANN's annual financial planning from the ALSes and RALOs as was demonstrated in the planning for FY2012.	6	6.1	In progress
Continue to encourage ICANN to increase its level of detailed disclosure regarding the process of financing the ALAC and At-Large. The ALAC acknowledges that this level significantly improved for FY2012.	6	6.1	In progress
Continue to monitor the accommodations given to At-Large representatives at ICANN Meetings to ensure they are equal to those of other funded communities.	6	6.2	In progress
Continue to encourage ICANN to prioritize and increase funding for outreach activities.	5	5.1, 5.2, 5.2.1	In progress
Continue to assist the RALOs in completing their annual ICANN requests for funding, as needed, in terms of writing, packaging and advocacy.	5, 6	5.2, 6.1	In progress

Tasks not addressed by WT C	Reason
5.3.1 ALAC and staff should develop an annual support agreement	<p>This task is no longer relevant due to the following changes within ICANN in recent years (i.e., since submission of the ALAC Review Final Report):</p> <ul style="list-style-type: none"> - An increase in staff resources dedicated to At-Large (as of September 2011, all allotted At-Large staff positions had been filled); - Closer collaboration between At-Large and both the At-Large staff and other ICANN staff; - The ALAC's (and other communities') more effective and proactive inclusion in ICANN's strategic, operational and budgetary planning processes (exemplified by the development of ICANN's 2009–2010 Operational Plan and 2011–2013 Strategic Plan); and - An increased acceptance across ICANN's communities and staff of the purpose of the ALAC within ICANN's multi-stakeholder model.

Proposals by WT D on ALAC’s policy advice development

REC 8: The Public Comment period should remain 30 days, except in the case of special circumstances, for which ALAC may request an extension to 45 days.

REC 12: ICANN should develop a mechanism that allows bodies recognized as representing consumer interests to be heard at critical points in key decisions and to provide input into policy processes. (As this recommendation affects recruitment across two communities, development of an integrated outreach program for this stakeholder group will be developed centrally. Upon completion, it will be provided to At-Large for review and comment.)

REC 13: The ALAC should strive to provide policy advice on any issues that affect individual Internet users. To this end, the following should be strengthened:

- The processes within ALAC for developing and providing policy advice;
- The processes within the SOs for requesting input from the ALAC on policy issues; and
- The processes within the SOs, ACs, and Board for providing ALAC with feedback about how its policy advice has been used.

WT D proposes that the ALAC...	Recs addressed	Tasks addressed	Status
<p>Ratify the process reflected in the flowchart titled “Figure D-1: How the ALAC Should Request an Extension to a Public Comment Period” (see Appendix 2), by which the ALAC could request that a Public Comment period be extended.</p> <p>This proposed process includes the following steps (see Figure D-1 in Appendix 2):</p> <ul style="list-style-type: none"> - The ALAC’s deciding on the number of days needed for the extension; - The ALAC’s submitting an extension request; and - If the request is denied, the ALAC’s deciding on next steps (i.e., whether to submit a comment or not). 	8, 13	8.1, 8.1.1, 8.2, 8.2.1, 13.1, 13.1.1	In progress
Request that extensions to Public Comment periods be allowed of any length up to 30 additional days (see “A” on Figure D-1 in Appendix 2).	8, 13	8.1, 8.1.1, 8.2, 8.2.1, 13.1, 13.1.1	In progress
Request that any extension request to a Public Comment period be granted or denied within 24 hours (see “B” on Figure D-1 in Appendix 2).	8, 13	8.2, 8.2.1, 13.1, 13.1.1	In progress
Recommend the establishment of a Policy Scheduling Team (PST), consisting of ICANN staff, to coordinate the opening of Public Comment periods.	8, 13	8.3, 8.3.1, 8.3.1.1, 8.3.1.2,	Must begin

<p>The PST should:</p> <ul style="list-style-type: none"> - Be comprised of an ICANN staff member assigned to each SO and AC and the Language Services Manager; and - Maintain a publicly available Policy Comment Schedule (PCS), which tracks upcoming Public Comment periods, in order to (a) avoid many such periods opening around the same time, (b) allow the ACs and SOs to better plan their time and (c) allow better planning for needed translations. (For each upcoming Public Comment period, the PCS should include the policy name, a synopsis, the responsible AC or SO, and tentative opening date.) 		<p>8.4, 13.1, 13.1.1, 13.1.2, 13.1.3</p>	
<p>Establish a standing committee, the ALAC/At-Large Policy Review Committee (PRC), responsible for advising the ALAC of actions needed regarding upcoming PCS policy issues, as well as policy issues not on the PCS but of At-Large interest.</p> <p>The working of the PCS is depicted in the flowchart titled “ALAC/At-Large Policy Review Committee (PRC)” (see Figure D-2 in Appendix 2).</p> <p>The specific responsibilities of the PRC should include advising the ALAC as early as possible of:</p> <ul style="list-style-type: none"> - ALAC comments needed in response to upcoming Policy Comment periods; - At-Large community briefings, documentation or translations needed for upcoming Policy Comment periods; - The degree of interest that the RALOs and ALSes have in the ALAC’s submitting comments during Policy Comment periods; and - Policy issues (and other concerns) relevant to end users that are <i>not</i> on the PCS but that the RALOs and ALSes are interested in bringing to ICANN’s attention. <p>In order to perform its function, the PRC should be comprised of:</p> <ul style="list-style-type: none"> - The Chair and Secretariat of each RALO; - At least two additional representatives from each RALO; - The ALAC Rapporteur; and - The ALAC liaisons to the various ACs, SOs and 	<p>8, 13</p>	<p>8.3, 8.3.1, 8.3.1.1, 13.1, 13.1.1, 13.1.2</p>	<p>Must begin</p>

cross-constituency WGs.			
<p>Create and maintain a consumer outreach document for use by At-Large in its outreach efforts aimed at getting consumer organizations involved in ICANN.</p> <p>See WT D’s proposed consumer recruitment document, Defending Consumers on the Internet.</p>	12	12.1, 12.1.1, 12.2, 12.2.1	In progress
<p>Ratify the process reflected in the flowchart titled “ALAC/At-Large Policy Advice Development (PAD) Process” (shown in Figures D-3, D-4 and D-5 in Appendix 2), by which the ALAC could systematically respond to Public Comment periods.</p> <p>This flowchart represents a comprehensive, flexible, systematic process that would replace the At-Large Policy Advice Development process currently in use.</p> <p>The proposed process is divided into five stages, made up of the following steps:</p> <ul style="list-style-type: none"> - Stage 1: Policy is available for comment (see Figure D-3, Stage 1, in Appendix 2) <ul style="list-style-type: none"> - The ALAC notifies At-Large that the policy for Public Comment is available in English, Spanish and French. - Stage 2: Within 10 calendar days after the policy is available (see Figure D-3, Stage 2, in Appendix 2) <ul style="list-style-type: none"> - The ALAC decide whether or not to submit a comment; - The ALAC decides if, at this stage, it needs an extension of the deadline and, if so, requests one; - The ALAC assigns a standing or ad hoc Working Group (WG) to create a first draft of the comment; and - The ALAC decides if a community briefing call is needed and, if so, requests one. - Stage 3: At least 9 calendar days before the deadline (see Figure D-4, Stage 3, in Appendix 2): <ul style="list-style-type: none"> - The assigned WG informs the ALAC whether or not an extension of the deadline is needed at this stage (if considered needed, the ALAC can request the extension); 	13	13.1, 13.1.1, 13.1.2, 13.1.3, 13.1.4	In progress

<ul style="list-style-type: none"> - The WG makes its draft ALAC comment available for review and comments by At-Large; and - Incorporating relevant discussions and comments, the WG produces the final ALAC comment. - Stage 4: At least 7 calendar days before the deadline (see Figure D-5, Stage 4, in Appendix 2): <ul style="list-style-type: none"> - The ALAC starts an ALAC ratification vote on the final comment. - Stage 5: At least 1 calendar day before the deadline (see Figure D-5, Stage 5, in Appendix 2): <ul style="list-style-type: none"> - If the final comment is ratified, the ALAC requests the At-Large staff to transmit the comment to the ICANN staff person responsible for the Public Comment period. 			
<p>Request that all Public Comment period Web listings and related documentation be required to be available in at least English, French and Spanish from the <i>start</i> of every Public Comment period.</p>	13	13.1, 13.1.3, 13.1.4	Must begin
<p>Strongly encourage the RALOs and ALSes to give increased input into the ASO’s Policy Development Process (PDP), via the ASO’s Regional Internet Registries (RIRs).</p> <p>The ASO’s PDP already allows for input, via the Regional Internet Registries (RIRs), before ASO-proposed policies reach ICANN’s Board for approval.</p>	13	13.6	In progress

Tasks not addressed by WT D	Reason
<p>13.2 Strengthen policy-development processes within the SOs and ACs for requesting and considering ALAC input</p>	<p>This task is no longer relevant for the following reasons:</p> <ul style="list-style-type: none"> - As part of the GNSO’s review and revision of its Policy Development Process (PDP) during the last year, it now regularly requests and considers ALAC input; - The standing ALAC liaison to the ccNSO and the ccNSO liaison to the ALAC now ensure that ALAC input is regularly sought and considered in the ccNSO’s PDP.; and - The ASO PDP, via the RIRs, is already open to public input.

13.2.1 Review current process in each AC/SO.	See reason in 13.2 above.
13.2.2 Develop recommendations to make relevant changes for community consideration	See reason in 13.2 above.
13.3 "Processes between SOs, ACs and the Board need to be developed/strengthened to provide feedback on how ALAC advice has been considered and used within their processes."	This task is already specifically addressed by Recommendation 7 of the Final Recommendations of the Accountability and Transparency Review Team (ATRT) (31 Dec 2010).
13.4 Ensure the GNSO PDP incorporates measures that guarantee input from ALAC is requested, included, and considered integral to the process	The task is no longer relevant because, as part of the GNSO's review and revision of its Policy Development Process (PDP) during the last year, it now regularly requests and considers ALAC input.
13.5 Ensure the ccNSO PDP incorporates measures that guarantee input from ALAC is requested, included, and considered integral to the process	This task is no longer relevant, since the standing ALAC liaison to the ccNSO and the ccNSO liaison to the ALAC now ensure that ALAC input is regularly sought and considered in the ccNSO's PDP. These liaisons allow for significant collaborative input into each other's policy and other work.

E. Appendices

Attached are the following appendices:

- Appendix 1: Members of the ALAC/At-Large Improvements Working Teams; and
- Appendix 2: Flowcharts Accompanying the Proposals of Improvements Working Team C and Working Team D.

Appendix 1:

Members of the ALAC/At-Large Improvements Working Teams

Improvements Working Team A on the ALAC's continuing purpose

AFRALO members

Pastor Peters Omoragbon
Baudouin Schombe

APRALO members

Cheryl Langdon-Orr
Sivasubramanian Muthusamy

EURALO members

Yrjö Länsipuro – WT A Co-Chair

LACRALO members

Carlos Aguirre
Matías Altamira
Sylvia Herlein Leite
Daniel Monastersky
Dev Anand Teelucksingh

NARALO members

Eric Brunner-Williams
Evan Leibovitch – WT A Co-Chair

Improvements Working Team B on ALS participation

AFRALO members

Yaovi Atohoun
Baudouin Schombe
Moataz Shaarawy
Michel Tchonang

APRALO members

Fouad Bajwa – WT B Co-Chair
Cheryl Langdon-Orr

EURALO members

Sandra Hoferichter
Wolf Ludwig

LACRALO members

Carlos Aguirre
Jean Marie Altema
Antonio Medina Gómez
Sergio Salinas Porto
Dev Anand Teelucksingh

NARALO members

Gordon Chillcott
Annalisa Roger – WT B Co-Chair
Darlene A. Thompson

Improvements Working Team C on ALAC planning processes

AFRALO members

Shaarawy Abd Elbaky
Tijani Ben Jemaa – WT C Co-Chair
Dave Kissoondoyal
Fatimata Seye Sylla

APRALO members

Fouad Bajwa
Cheryl Langdon-Orr
Charles Mok

EURALO members

Olivier MJ Crepin-Leblond – WT C Co-Chair
Rudi Vansnick

LACRALO members

Jessel Ackbarali
James Corbin
Sylvia Herlein Leite
Sergio Salinas Porto
Cintra Sooknanan
Dev Anand Teelucksingh
Freddy Linares Torres

NARALO members

Gareth Shearman
Darlene Thompson

Improvements Working Team D on the ALAC's policy advice development

AFRALO members

Dave Kissoondoyal

APRALO members

Cheryl Langdon-Orr

Charles Mok

Hong Xue

EURALO members

Jean-Jacques Subrenat

Rudi Vansnick – WT D Co-Chair

LACRALO members

Antonio Medina Gómez

Dev Anand Teelucksingh – WT D Co-Chair

Carlos Vera

NARALO members

Beau Brendler

Chris Grundemann

Appendix 2: Flowcharts Accompanying the Proposals of Improvements Working Team C and Working Team D

On the following pages are the flowcharts referred to in the specific implementation proposals by Improvements Working Teams C and D. These flowcharts illustrate both the details and combined results of various (though not all) of these WTs' proposals.

Below is the complete list of the flowcharts appearing on the following pages.

Work Team C flowcharts

Figure C-1: Proposed At-Large Strategic Planning Process

Figure C-2: Previous At-Large Strategic Planning Process

Figure C-3: Proposed At-Large Operational and Financial Planning Process

Figure C-4: Previous At-Large Operational and Financial Planning Process

Work Team D flowcharts

Figure D-1: How the ALAC Should Request an Extension to a Public Comment Period

Figure D-2: ALAC/At-Large Policy Review Committee (PRC)

Figure D-3: ALAC/At-Large Policy Advice Development (PAD) Process – Stages 1 and 2

- Stage 1: Policy is available for comment
- Stage 2: Within 10 calendar days after the policy is available

Figure D-4: ALAC/At-Large Policy Advice Development (PAD) Process – Stage 3

- Stage 3: At least 9 calendar days before the deadline

Figure D-5: ALAC/At-Large Policy Advice Development (PAD) Process – Stages 4 and 5

- Stage 4: At least 7 calendar days before the deadline
- Stage 5: At least 1 calendar day before the deadline

(Note that Figures D-3, D-4 and D-5 above together make up the "ALAC/At-Large Policy Advice Development (PAD) Process" flowchart.)

Figure C-1
Proposed At-Large Strategic Planning Process

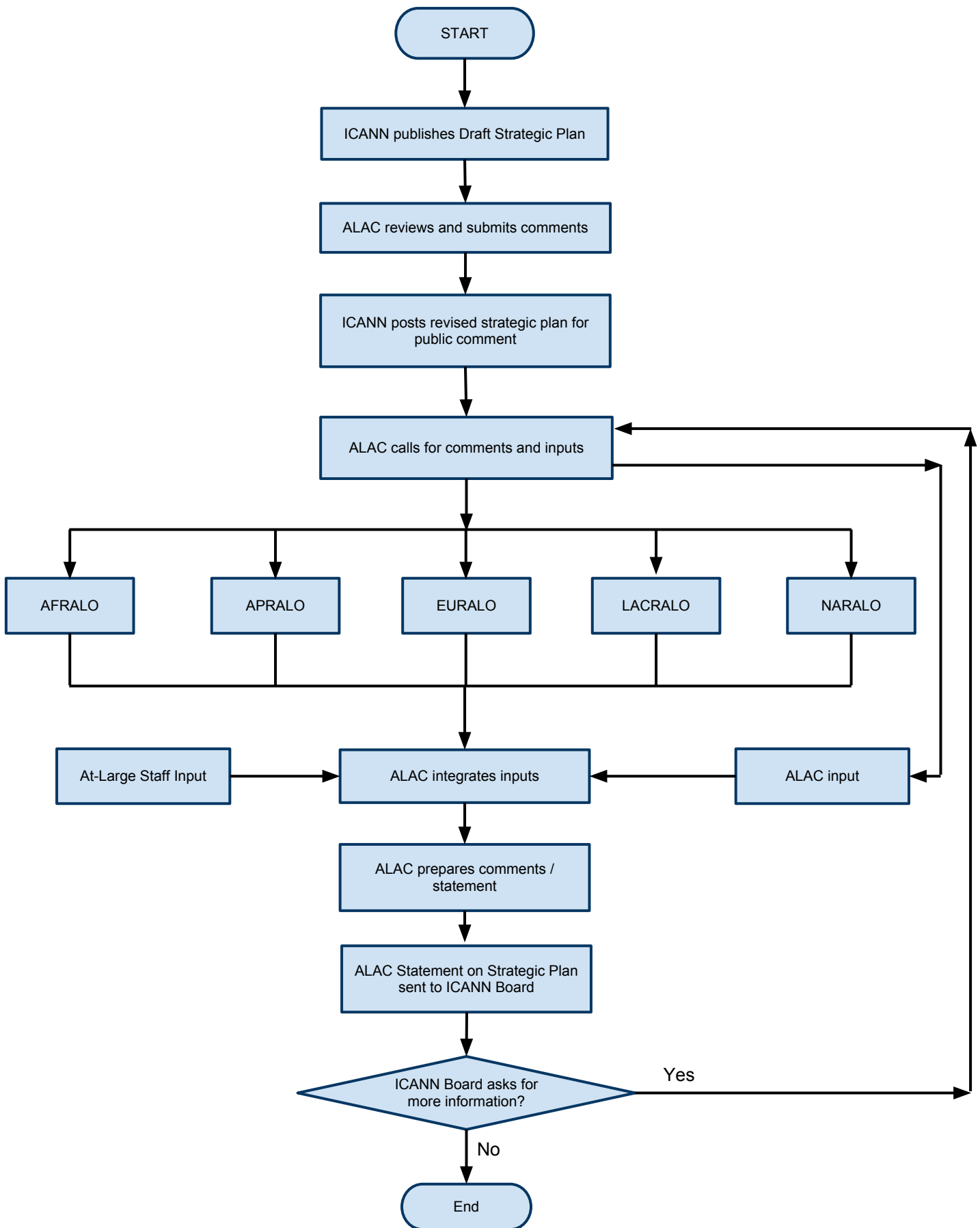


Figure C-2
Previous At-Large Strategic Planning Process

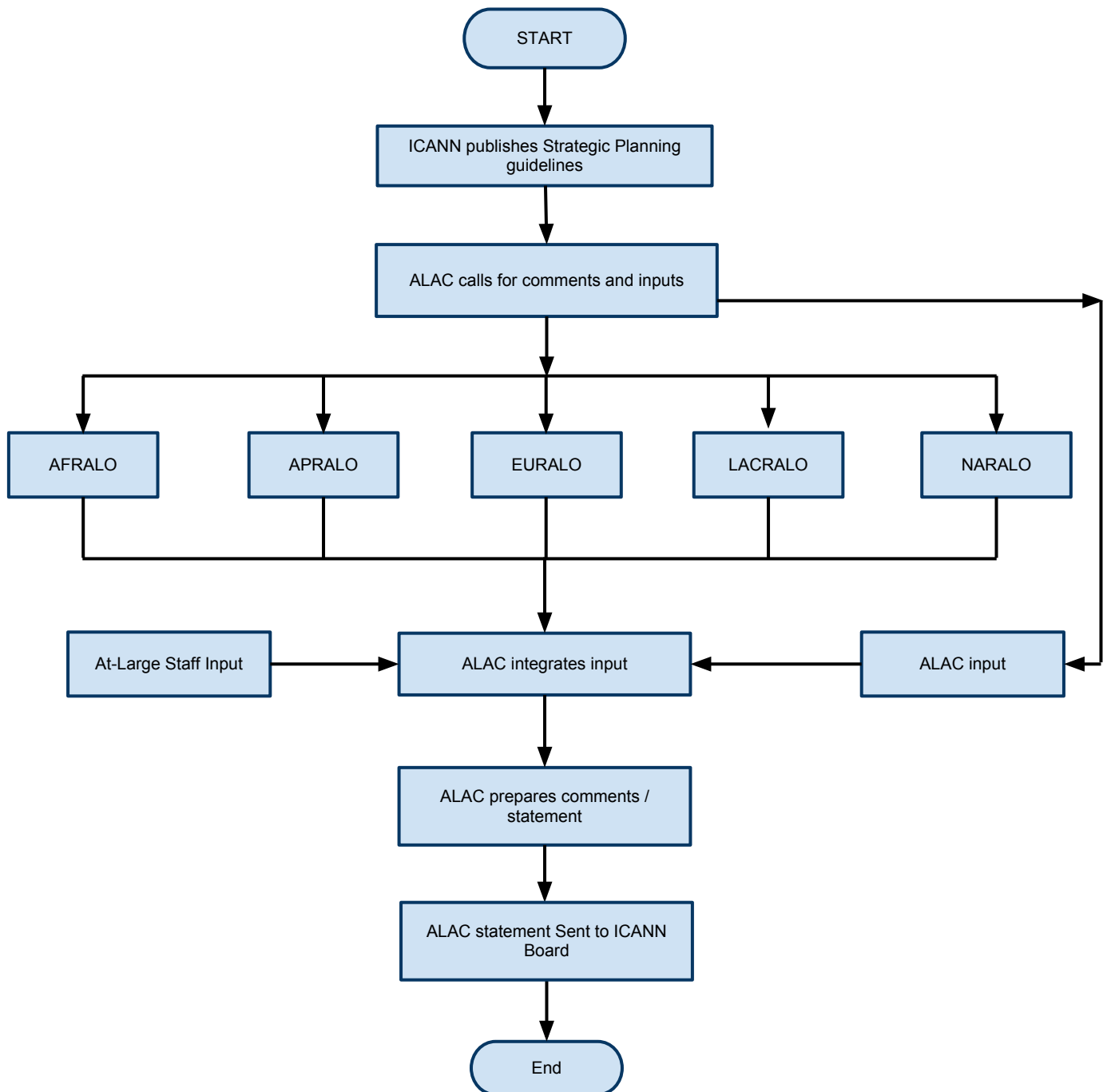


Figure C-3

Proposed At-Large Operational and Financial Planning Process

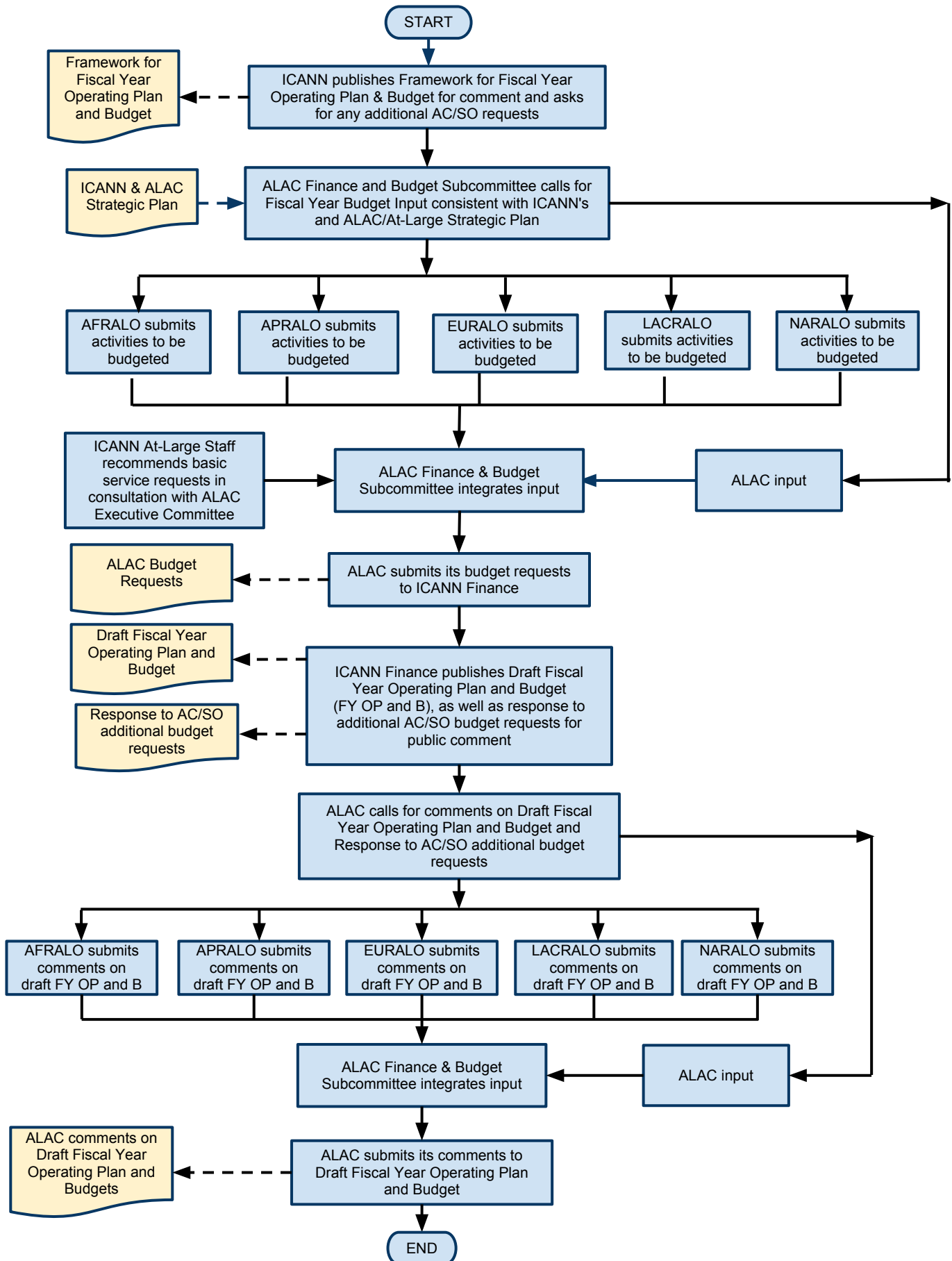


Figure C-4
Previous At-Large Operational and Financial Planning Process

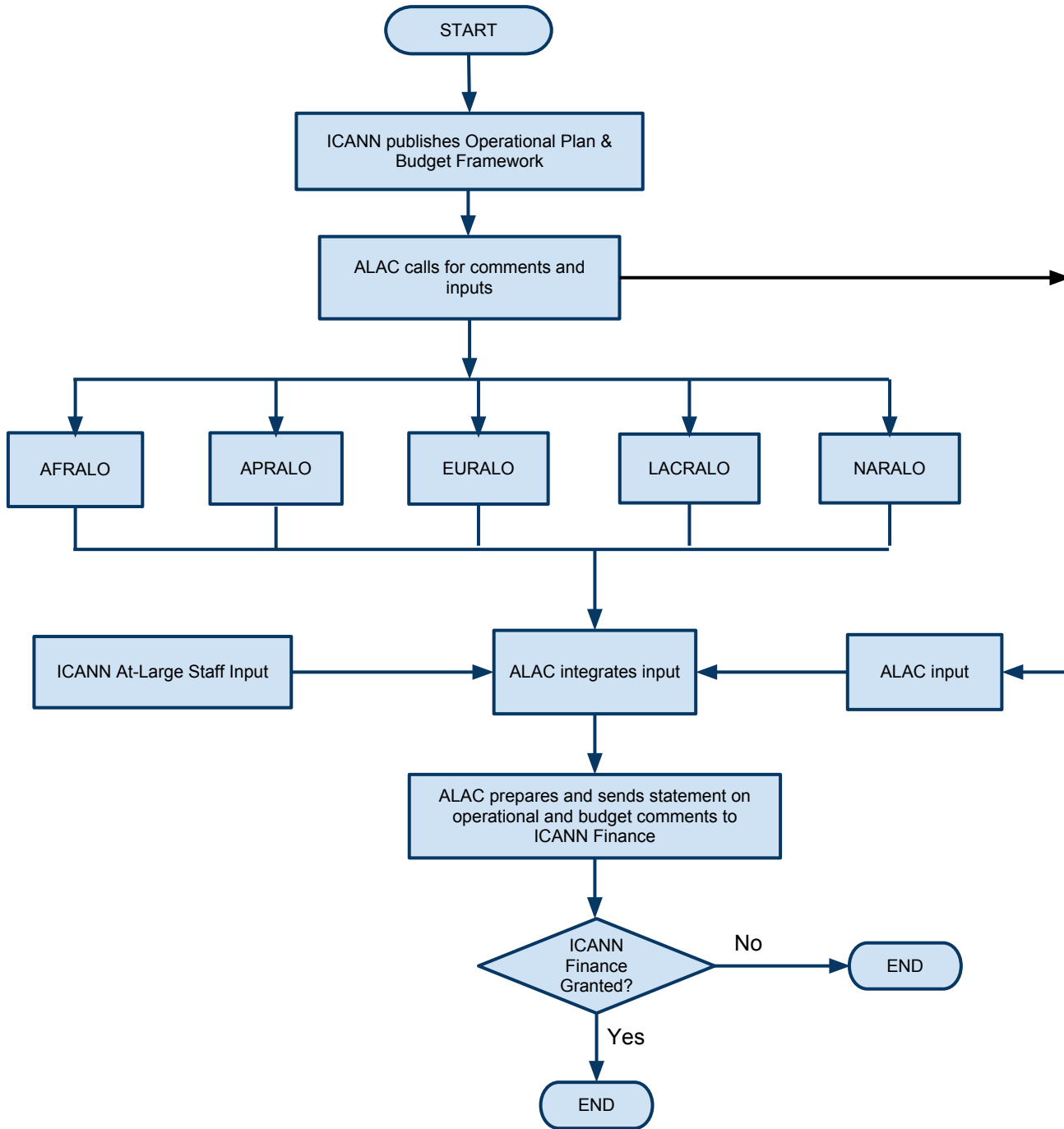


Figure D-1

How the ALAC Should Request an Extension to a Public Comment Period

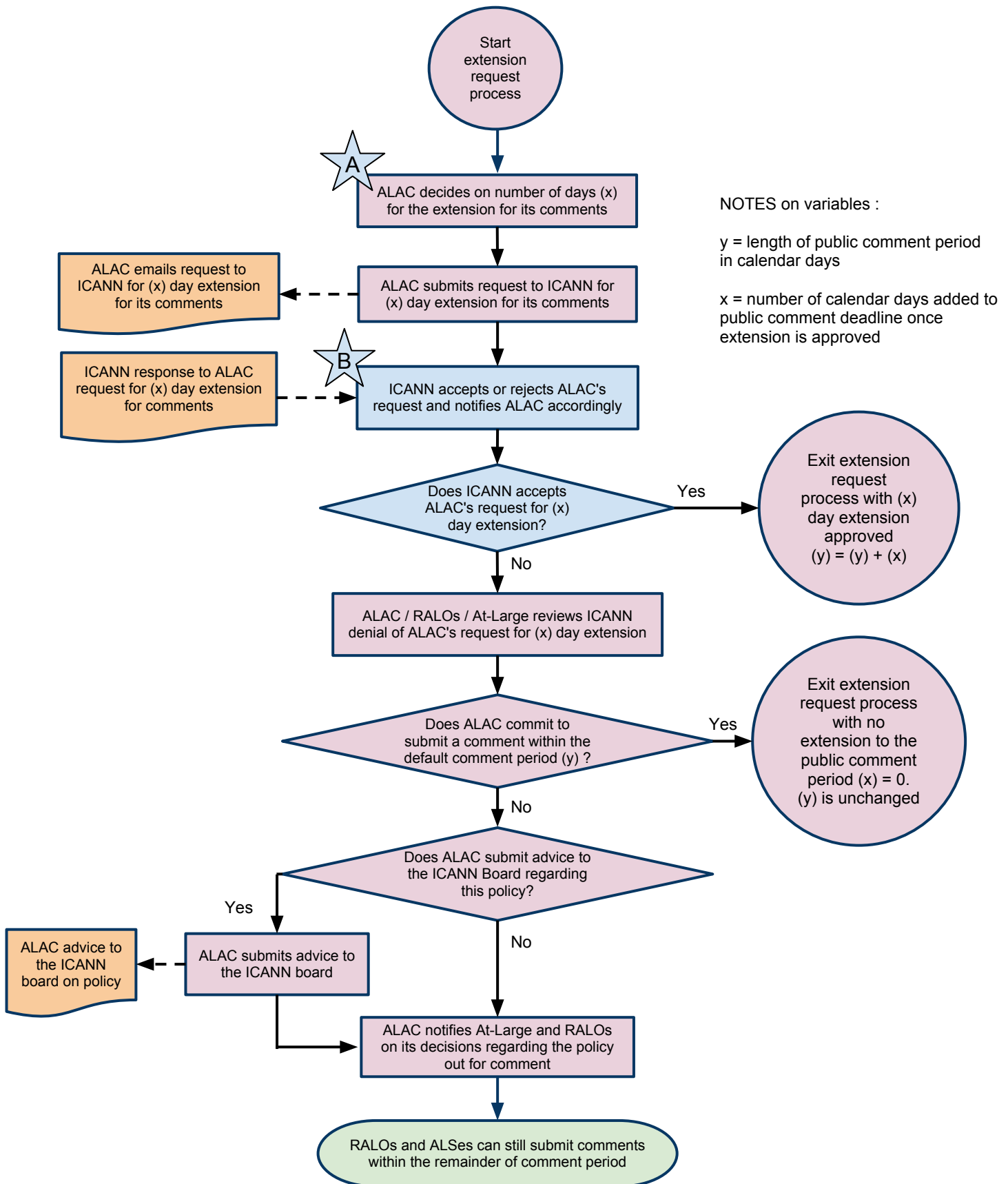


Figure D-2

ALAC/At-Large Policy Review Committee (PRC)

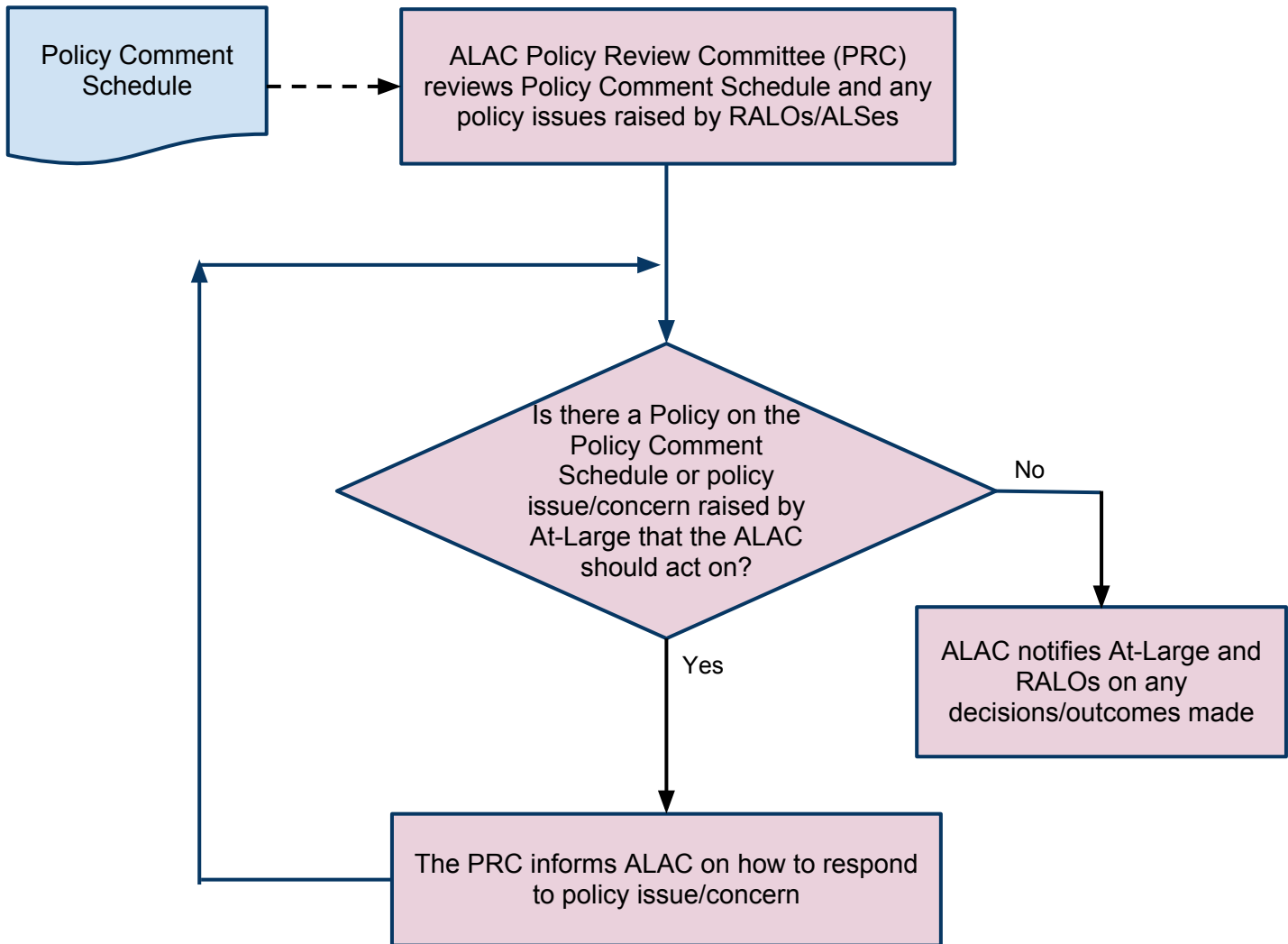
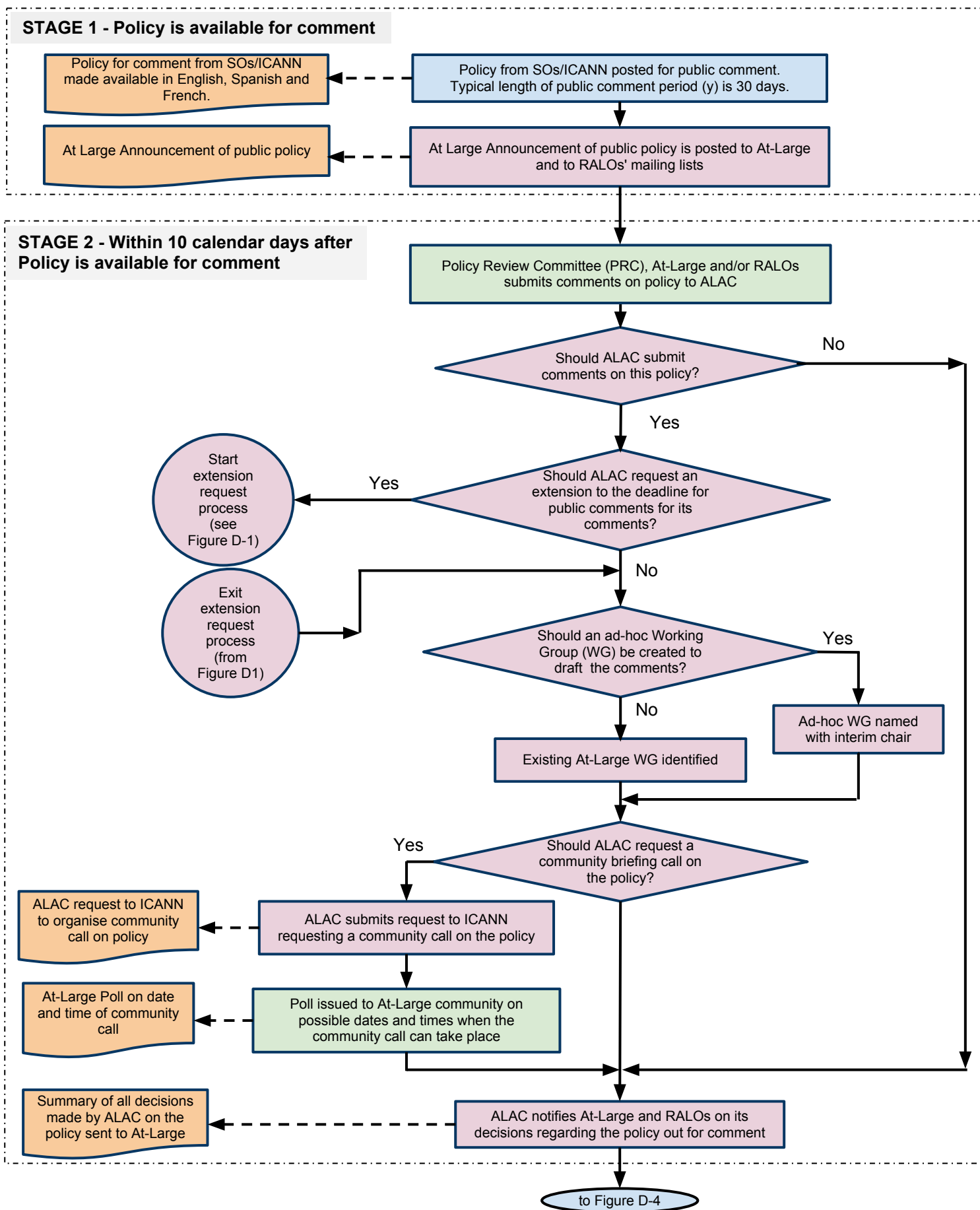


Figure D-3
ALAC/At-Large Policy Advice Development Process - Stage 1 and 2



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2011-10-28-10-Final Report of the Joint SO_AC New gTLD Applicant Support Working Group



Final Report of the Joint SO/AC New gTLD Applicant Support Working Group

13 September 2011

THIS DOCUMENT

This is the Final Report of the Joint SO/AC New gTLD Applicant Support Working Group (JAS WG or WG). The main objective of this working group is to develop a sustainable approach to providing support to entities requiring assistance in applying for and operating new gTLD Registries.

This Final Report is submitted for consideration to the GNSO, ALAC, ICANN Board and ICANN community.

Table of Contents

Executive Summary	iv
Introduction.....	1
Support Should Be Offered from the First Round Onward	3
Types of Support Available	5
Financial Support.....	6
<i>Cost Reductions.....</i>	<i>6</i>
<i>Staggered Fees.....</i>	<i>6</i>
<i>Funds and Foundations.....</i>	<i>6</i>
<i>Fee Reduction and Self-Funding Requirement.....</i>	<i>12</i>
<i>Financial Support Distributed by External Funding Agencies.....</i>	<i>14</i>
Non-Financial Support	14
<i>Necessary Non-Financial Support.....</i>	<i>14</i>
<i>Other Non-Financial Assistance.....</i>	<i>15</i>
<i>Support From Third Parties Facilitated by ICANN</i>	<i>16</i>
<i>How Should Non-Financial Support be Made Available?.....</i>	<i>18</i>
<i>Capacity Building: Enabling Support-Approved Candidates to Provide Innovative Approaches to the Provision of Registry Services.....</i>	<i>20</i>
Support Candidate Eligibility Requirements.....	22
Service in the Public Interest.....	22
Demonstrated Financial Capabilities and Need.....	24
Ineligibility Criteria.....	25
Information and Documentation Required From Candidates	26
Support Evaluation Process.....	27
What is the SEP Process?.....	27
<i>Initial Framework.....</i>	<i>28</i>
<i>Maintaining or Losing Eligibility.....</i>	<i>29</i>
Support Application Review Panel (SARP).....	30

Support Recovery32

Appendix 1: Members of the Joint SO/AC New gTLD Applicant Support Working Group (JAS WG)34

Appendix 2: Levels of Agreement Referred to Within This Final Report37

Appendix 3: JAS WG Background38

JAS WG Overview..... 38

JAS WG Objectives and Operations..... 39

Key Records and Interim Reports by the WG *Overview of Records* 40

Interim Reports of the JAS WG..... 40

Key Milestones of the JAS WG..... 42

Appendix 4: Glossary45

Executive Summary

The Joint SO/AC New gTLD Applicant Support Working Group (JAS WG or WG) has reached a Full or Near Consensus on the following recommendations regarding the Developing Economies Support Program that it is proposing ICANN develop in conjunction with ICANN's New gTLD Program.

Timing of Support

The full array of financial and non-financial support to be offered to Support-Approved Candidates should be available in the first and all subsequent rounds of new gTLD applications.

Financial Support

a) Types of financial support should include:

- Primarily, a reduction of the application fee to USD47,000 from USD185,000 (as also suggested by GAC and ALAC);
- The staggering of application fees (installment payments);
- The relaxing or deferring of the upfront costs of the required "continuity instrument"; and
- The possible creation of a development fund.

b) The financial support should be funded via various sources, including the USD2 million allocated by the ICANN Board, solicited third parties and auction revenues.

c) The creation of a foundation to collect and distribute the financial support to Support Recipients should be investigated by a Board-appointed planning committee.

d) Support Recipients should be required to pay back financial support (not including any fee reductions) received, thereby helping to make the Support Program sustainable.

Non-Financial Support

a) Types of non-financial support should include but not be limited to:

- Assistance with the preparation of gTLD applications;

- Facilitation of IPv6 compliance;
- Consulting and education regarding DNSSEC implementation;
- Outreach and education efforts regarding the New gTLD Program;
- Logistical, translation and technical support; and
- Establishment of Registry Service Providers in regions where none or few exist.

b) ICANN should serve as a facilitator for this non-financial support by matching Support-Approved Candidates with third-party donors.

Support Candidate Eligibility Requirements

a) The specific support eligibility criteria should include:

- Service to the public interest; and
- Both a level of financial need and of financial capability.

b) Various criteria should disqualify a Support Candidate, such as the application for a gTLD string that is not a generic word and is intended to reference a specific commercial entity (commonly referred to within ICANN as a “dot-brand”). However, applications for community names that may be subject to legal trademark protection are not necessarily disqualified from receiving support.

Support Evaluation Process (SEP)

a) The SEP should take place before the standard gTLD application review.

b) Each support application should be evaluated by a Support Application Review Panel (SARP). The SARP should be composed of volunteers from the ICANN community and outside experts, all with knowledge of the existing new gTLD processes, potential gaming patterns and the general needs and capabilities of Support Candidates from developing economies.

c) When the SARP rejects a Support Candidate, the SARP should explain its reasons. The Support Candidate may then work to improve its application and reapply for support or may apply for a gTLD without support.

d) Support Candidates are still responsible for paying the USD5,000 gTLD application deposit.

e) The ICANN Staff should produce a Support Candidate Guide.

Introduction

1. This Final Report of the Joint SO/AC New gTLD Applicant Support Working Group (JAS WG or WG) outlines the WG's final recommendations regarding a Developing Economies Support Program (Support Program or DESP) to be created by ICANN in conjunction with its New gTLD Program. The goal of this Support Program will be to provide financial and non-financial assistance to new gTLD applicants that are approved for support.
2. This Support Program is being proposed as a response to Resolution 2010.03.12.47 passed by the ICANN Board in March 2010 in Nairobi: "Resolved (2010.03.12.47), the Board requests stakeholders to work through their SOs and ACs, and form a Working Group to develop a sustainable approach to providing support to applicants requiring assistance in applying for and operating new gTLDs."
3. This Final Report contains the complete final recommendations and conclusions of the JAS WG. This Final Report stands alone as the complete work product of the WG and, as such, can be read on its own.
4. For those readers who happen to be familiar with the WG's earlier Milestone Report or Second Milestone Report, it will be obvious how this Final Report builds on those earlier works. Specifically, this Final Report clarifies and details areas in the Second Milestone Report that needed further explanation. It does this by including detailed descriptions of the support application process, eligibility requirements, and

evaluation process. However, readers of this Final Report do not require any knowledge of the WG's earlier interim reports.

5. In short, this Final Report answers the following primary questions:
 - a) When should support be provided?
 - b) Who should be approved to receive support (Support-Approved Candidate or SAC)?
 - c) How should a candidate for support (Support Candidate or SC) be evaluated?
 - d) What support specifically should be offered?
 - e) How should the overall support process work?
 - f) How should the support process relate to the gTLD Applicant Guidebook (AG) process?
6. The recommendations made in this Final Report represent the Full Consensus of the JAS WG, except where otherwise indicated, in certain cases, within the text. For an explanation of the specific terms used to describe the levels of agreement within the WG in the cases in which a Full Consensus did not exist, kindly see Appendix 3: Levels of Agreement within this Final Report.
7. Further background regarding the JAS WG can be found in the Appendices at the end of this Final Report.
8. In addition, as a supplement to this Final Report, a wiki page addressing Frequently Asked Questions (FAQs) has been established here:
<https://community.icann.org/display/jaswg/Frequently+Asked+Questions+%28FAQs%29>. The questions addressed on this wiki page were asked by the ICANN community, Board and staff during the preparation of this Final Report. The wiki

page will be maintained by ICANN staff and WG members through the ICANN Dakar Public Meeting as a resource to facilitate further discussion about the WG's recommendations.

Support Should Be Offered from the First Round Onward

9. The WG has determined that the recommendations presented in this Final Report should be put into immediate effect to enable Support-Approved Candidates registered or residing in developing economies to participate in the first round, as well as all subsequent rounds, of New gTLD Program applications. The first round is currently scheduled to start in January 2012. There are five clear reasons for this determination.
10. First, [Board Resolutions 2010.03.12.46 and 2010.03.12.47](#) clearly express the need to ensure that the New gTLD Program is inclusive – a decision welcomed by members of ICANN's global community, particularly from developing economies. Indeed, this decision has raised the hopes and expectations of ICANN's global community. Of course, it has also increased the scrutiny with which this community – and beyond – will be observing ICANN's implementation of its New gTLD Program.
11. Plans for support, along with the expectations that accompany such plans, have been part of the New gTLD Program from the start. Preceding the Board decision, the prospect of support was introduced in the GNSO's Policy Implementation Guideline

N, stating that “ICANN may put in place a fee reduction scheme for gTLD Candidates from economies classified by the UN as least developed.”¹

12. Second, with every new gTLD application round in which support is *not* offered, the competitive disadvantage in the market of under-served communities would increase.
13. ICANN should not allow the New gTLD Program to expand the gap in gTLD Registry representation across regions. Since the Internet is a global resource that belongs to all, the diversity, competition and innovation made possible by the New gTLD Program should be an opportunity open to all around the world. ICANN has the obligation to fulfill its responsibility to serve the global public interest by ensuring worldwide accessibility to, and competition within, the New gTLD Program.
14. Third, there is no indication that, in subsequent rounds, application fees will be reduced (or, if they are reduced, by how much). Therefore, there is no benefit necessarily gained by waiting to provide support until after the first application round.
15. Fourth, informal market research by some WG members indicates that there is built-up demand for new gTLDs, including IDN gTLDs. As a result, the expectation exists that a considerable number of applications will be submitted in the first round. Consequently, there is a serious concern that, if support is not available to eligible

¹ The referenced Guideline is part of the New gTLD Program Policy developed by the GNSO that served as the basis of the New gTLD Program. The Policy text can be found here: <http://gns0.icann.org/issues/new-gtlds/pdp-dec05-fr-part-a-08aug07.htm>. This policy was finalized in September 2007 and approved by the ICANN Board in June 2008.

applicants in the first round, the most obvious and valuable names (ASCII and IDNs) would be taken solely by wealthy investors.

16. Of course, this would limit the opportunities in developing economies, for local community institutions and for developing-country entrepreneurs. Of the existing 21 gTLD Registries, 18 are located in the US and 3 in Western Europe (with only 1 of these having a sales and marketing presence in Asia). None are located elsewhere.
17. Fifth and finally, although ICANN plans a second round of new gTLD applications, this is, at best, uncertain at this point. Indeed, past experience adds to this uncertainty. For example, the 2002 round was also expected to be followed quickly by additional rounds, which have, to date (almost a decade later), still not materialized.
18. Given the uncertainty regarding further rounds of new gTLD applications following the round planned for January 2012, it is necessary to make support available in the initial January 2012 round. The alternative would create the impression that those who cannot afford to participate in the New gTLD Program during this initial round (due to the level of required fees) are subject to unfair and non-inclusive treatment.

Types of Support Available

19. The WG recommends that several different kinds of support be made available for Support-Approved Candidates. This support can be either financial or non-financial. Following are the specific categories of support proposed.

Financial Support

Cost Reductions

20. The WG recommends that the new gTLD application fee be reduced to USD47,000 from USD185,000 for all Support-Approved Candidates. (This reduction would be consistent with the recommendation of the GAC and ALAC; see <https://community.icann.org/download/attachments/21135982/Joint+GAC-ALAC+Statement+on+Joint+applicant+Support+-+Final+-+August+2011+-+Rev+2.pdf>.)
21. Further adjustments to financial requirements might include, for example, a reduction in basic registry-service-related expenses through modifications to certain guidelines such as the continuity instrument or other adjustments.

Staggered Fees

22. The WG recommends that gTLD fees for Support-Approved Candidates be staggered. Instead of paying the entire fee upon acceptance of the application, a Candidate meeting the criteria established for support could pay the fee incrementally.

Funds and Foundations

23. The chartered objectives of the JAS WG, as adopted by the ALAC and GNSO Council, include the instruction to identify “appropriate mechanisms to enable support provisioning” (see JAS WG Charter, Objective 4).
24. Additionally, the Final Applicant Guidebook contains the following language:

“Possible uses include formation of a foundation with a clear mission and a transparent way to allocate funds to projects that are of interest to the greater Internet community, such as grants to support new gTLD applications or registry operators from communities in subsequent gTLD rounds, the creation of an ICANN-administered/community-based fund for specific projects for the benefit of the Internet community, the creation of a registry continuity fund for the protection of registrants (ensuring that funds would be in place to support the operation of a gTLD registry until a successor could be found), or establishment of a security fund to expand use of secure protocols, conduct research, and support standards development organizations in accordance with ICANN’s security and stability mission.”

25. Two elements are common to both these concepts – (1) obtaining funds² that can be used to offset the costs for Support-Approved Candidates and (2) establishing a framework for managing and distributing those funds.³ These two important objectives are inextricably linked – it is hard to imagine one of them happening without the other. For example, without funds, there is no purpose in a framework that has been institutionally instantiated; yet, without a framework, it is impossible to collect and distribute funds.

² Funds could be accumulated from auction income as identified in the WG Charter, but also by other means, such as donations from third parties or other mechanisms.

³ In addition to managing the initially expected auction funds for the uses recommended by the WG in this Final Report, where appropriate, the WG recommends that the foundation structure also provide the flexibility for the creation of additional funding and support mechanisms.

Foundation Frameworks

26. The WG recommends that the Board immediately set up a planning committee to investigate the various possibilities for funds and/or a foundation and, after consultation with the community, make recommendations on the formation of such a fund. The specific work items of this planning committee (the Board Foundation Recommendation WG) should include but not be limited to:

- a) Work with ICANN staff to investigate and understand the legal structures that are available to and required of ICANN, a California 501(c) corporation, for creating a foundation;⁴
- b) Draft a document defining the core responsibilities and activities of the fund or foundation;
- c) Define methods of work for the fund or foundation, including, inter alia, investment guidelines, fundraising and grant making;
- d) Suggest membership for the first board of the foundation and clarify the relationship between ICANN's corporate structure and the new fund or foundation; and
- e) Start obtaining pledges of funding for the foundation, to augment the USD2 million already committed by the ICANN Board at its Singapore meeting in Resolution 2011.06.20.01 (see Resolution here: <http://www.icann.org/en/minutes/resolutions-20jun11-en.htm>).

27. To insure that the interests and concerns of all segments of the community are taken into account, the WG recommends that the members of this Board Foundation Recommendation WG be drawn from (but not be limited to) all of the ICANN Supporting Organizations (SOs) and Advisory Committees (ACs).

⁴ WG members believe that the domicile of any prospective foundation should not be limited to the United States. There may be useful and valid practical reasons for creating a foundation in other countries or regions.

28. To assist in obtaining pledges of funding for the foundation, the WG recommends that ICANN obtain the support of appropriate fundraising experts to work with the Board Foundation Recommendation WG.
29. The WG also recommends that feasibility studies be initiated to explore creation of a foundation or fund to handle any auction funds that are not used in the manner described in this Final Report. In the case that such a fund or foundation can be set up in time to provide further funding opportunities for Support-Approved Candidates in the later stages of the process, this should be documented at a later stage.

Funding Sources

30. Funds for the foundation to manage and distribute can come from a variety of sources:
 - a) Budget allocation from ICANN, including the USD2 million already committed by the ICANN Board;
 - b) Solicitation of funds to at least match the initial allocation made by the ICANN Board;
 - c) Auction proceeds beyond the cost of running the auctions;
 - d) Voluntary allocation of funds from ccTLDs;
 - e) Voluntary allocations of funds from incumbent gTLD registries and registrars;
 - f) External funding sources (e.g., grants from government or other inter-governmental organizations); and
 - g) Other sources yet to be determined

Potential Donors

31. Various ICANN stakeholders (e.g., some contracted parties and independent consulting firms) have indicated that, if procedures were implemented that reduced or eliminated gaming, they would be interested in donating both financial and non-financial resources to help support eligible Support Candidates. A well-formed fund or foundation should provide an opportunity for such generosity from any interested parties – particularly those who practice or otherwise have in place corporate responsibility philosophies and mechanisms.
32. The domain name system has created and will likely continue to create significant revenues for some ICANN stakeholders. Therefore, it is possible that a suitable fundraising campaign targeting organizational stakeholders may find some interested in providing support to qualified Support Candidates.

Auctions

33. Since the GNSO first identified auctions as a possible method of resolving gTLD name contention, there has been the intent that these funds be applied to worthy causes – such as assisting Support-Approved Candidates. Granted, the quantity of these funds is unknown, and such funds would certainly not be available in the 2012–13 new gTLD application rounds. Still, auction-based funding might be available to fill the reserve and risk funds if those funds were deferred to cover the costs for application fee reductions for Support-Approved Candidates (as recommended by the WG in its Milestone Report and Second Milestone Report). In addition, auction funds could also be added to the resources available to the foundation.

Availability of Funds

34. The WG has identified:
- a) An immediate need to obtain funds sufficient to help a significant number of Support-Approved Candidates participate in the first application round in 2012;⁵
 - b) An intermediate goal of assisting the Support-Approved Candidates in setting up their Registries in 2013; and
 - c) A long-term goal of ensuring that the second and subsequent rounds will have a stable source of funding available for assisting Support-Approved Candidates.

Use of Funds

35. Funds collected can be used for various purposes in assisting Support-Approved Candidates. These uses in the first application round should include:
- a) Application assistance (beyond the JAS WG's recommended reduction in fees);
 - b) The relaxing or deferring of the upfront costs of the required continuity instrument;
 - c) The possible creation of a development fund for Support-Approved Candidates;
 - d) The possible creation of a regional non-profit Registry Service Provider (RSP) service to support multiple applicants for new gTLDs in developing economies; and
 - e) Overcoming technical requirement gaps, such as the IPv6 and other technical requirements, that may require technical upgrades not obtainable through the non-financial support offered to Support-Approved Candidates.
36. The WG recommends that mechanisms for receiving and evaluating these types of proposals also be created.

⁵ The WG is recommending that this financial support be in addition to the fee reductions (to USD47,000) recommended above.

37. Eligibility for support could be variable but should focus on qualified Support-Approved Candidates. For example, if an individual applicant were to apply to the foundation for funding based solely on its application for a new gTLD, it would need to show that it was approved for support by the Support Application Review Panel (SARP; defined below). SARP approval should not be necessary, however, in cases in which a candidate sought support for a service or institution (like a Registry Service Provider or a Registrar) that could be shown to support or benefit a larger number of those applicants.⁶

Fee Reduction and Self-Funding Requirement

38. There are two fundamental factors to be considered in terms of funding the New gTLD Program:
- a) There must be sufficient cash flow for ICANN to support application processing as the program goes forward; and
 - b) In the final project accounting, the overall New gTLD Program expenses must conform to the budgeted revenue targets and expectations established by the ICANN Board.
39. Cash Flow: In terms of the cash flow for processing applications, the [ICANN Budget](#) refers to the [New gTLD Budget](#), which explains that USD100,000 of each string application fee paid is budgeted for processing the application, including any refunds that might be made for applications that are withdrawn. If each Support-Approved Candidate is only required to provide a reduced USD47,000 fee amount (as recommended by this WG, the GAC and the ALAC), then the remaining balance

⁶ These parameters should not preclude the foundation from establishing capabilities and mechanisms to support other programs or initiatives that may be of broader community benefit.

needed to cover the immediate application costs would be USD53,000. One way to bridge this gap would be by applying the risk cost contingency fees (USD60,000) paid by a single non-Support-Approved Candidate (i.e., each Candidate paying the full USD185,000 fee). This means that as many as half of the Candidates could, theoretically, be processed as Support-Approved Candidates (via a partial fee waiver) without affecting the overall cash flow of the application process.⁷

40. Final Accounting: Some basic arithmetical assumptions give the WG confidence that the final accounting will match the established budget. First, since ICANN is receiving all of the fees at the start, there is no cash flow issue until the very end of the process. Second, the WG presumes that no more than 18% of the new gTLD applications will be determined to be eligible for support.⁸ At that threshold, for every 100 applications, those applicants paying the full fee (82%) will contribute a total amount of USD2.050 million toward sunk cost repayment – almost exactly matching the fee support figures.⁹

41. Thus, it appears that, with this approach, there should be enough money coming into ICANN in the short term to cover ICANN expenses in the 2012–13 budgets. And, with use of expected auction proceeds to make up the difference, the ICANN coffers would

⁷ No one, however, expects that half of the Candidates would be eligible for a partial fee waiver; an upper-limit estimate would be that 10–20% of the applications might be able to meet the JAS WG support eligibility requirements, since those requirements are rather narrow.

⁸ The only challenge would be to limit the funded applicants to 18%. But if this were really a problem, ICANN would have more problems with its New gTLD Program than this one.

⁹ The maximum fee reduction is $18 \times \text{USD}138 = \text{USD}2.484$ million, of which only USD2.034 million would go to offset actual costs ($18 \times (138-25)$). Assuming there are, indeed, auction proceeds as expected, they will be used to repay the initial funded amount (up to USD2.034 million). If there are insufficient auction proceeds, ICANN can defer the repayment of sunk costs.

be balanced. As a result, when the final project accounting is done (as required by the GNSO Policy recommendations), the New gTLD Program would pay for itself.¹⁰

Financial Support Distributed by External Funding Agencies

42. The WG recognizes that third-party organizations and groups may independently choose to provide assistance to Support Candidates that qualify for it under the eligibility requirements established by those third parties themselves. This external third-party activity should be promoted and encouraged. Upon request, ICANN should release information on Support-Approved Candidates to those external entities, but ICANN should not actively participate in these third parties' independent evaluation processes.

Non-Financial Support

43. Two of the fundamental objectives of the WG are:
- a) To identify the kinds of support (e.g., technical assistance, organizational assistance, financial assistance and fee reduction) and the time period of the support (e.g., support for the application period only, continuous support, etc.) that are appropriate for Support-Approved Candidates; and
 - b) To identify potential providers of the identified kinds of support, as well as appropriate mechanisms to enable support provisioning.

Necessary Non-Financial Support

44. The WG has identified the following types of non-financial support as necessary for Support-Approved Candidates:

¹⁰ This rationale assumes the appropriateness of including recovery of development costs and risk contingency costs as part of the application cost, which the GNSO required be program neutral. There are many who would not accept this assumption, but that argument did not prevail in any WG discussions.

- a) Assistance in application writing and throughout the application process;
 - b) Registry services – outsourced or assistance with local operations;
 - c) DNS services;
 - d) For Registries located in areas where IPv6 connectivity is limited or unavailable, the promotion of support from IPv6 providers to provide IPv6 gateways into the Registry IPv4 services;
 - e) Infrastructure IPV6 compatible hardware/networks;
 - f) Consulting and education regarding DNSSEC implementation;
 - g) Support to cover legal costs and/or document processing;
 - h) Translation support, as necessary (e.g., the translation of the Applicant Guidebook into all the languages and scripts allowed for by the application of IDNs, as needed);
 - i) Training in areas such as building sustainability plans, marketing and operations;
 - j) Facilitating contact with granting agencies and foundations; and
45. The above list is not comprehensive. Support Candidates may certainly require other types of non-financial assistance.

Other Non-Financial Assistance

46. The following are additional types of non-financial assistance that ICANN should also strongly consider providing to Support-Approved Candidates:
- a) Logistical assistance;
 - b) Technical assistance;
 - c) Legal and application-filing support;
 - d) Awareness and outreach efforts, including those to ensure more people in under-served markets are aware of the New gTLD Program and what they can do to participate in it; and
 - e) Deferred requirement of DNSSEC.

Support From Third Parties Facilitated by ICANN

47. The WG believes that ICANN can play an important role in helping connect Support Recipients with willing third-party donors of goods and services, such as those identified above. The WG recommends that ICANN establish a collaborative central directory or clearinghouse-type infrastructure that is capable of “matching” Support Recipients and potential third-party donors. Collecting (or pooling) in one place both those needing these services and those interested in donating these services would increase the likelihood that Support Recipients will have access to the tools they need to be successful.

Pool of Collected Resources and Assistance

48. A number of types of potential donor resources and assistance are fungible enough that they can be pooled in one place. The types of services that lend themselves to pooling include:

- a) Translation support;
- b) Logistical assistance;
- c) Technical support;
- d) Awareness and outreach;
- e) Infrastructure for providing IPv6 compatibility;
- f) DNSSEC consulting;
- g) IDN implementation support; and
- h) Possible technical setups.

Directory and Referral Service only for Support-Approved Candidates

49. Directory and referral services should also be made available to Support-Approved Candidates. For example, these services should include listing and facilitating contacts with granting agencies and foundations. While ICANN would facilitate relationship building between donors of services and Support-Approved Candidates requiring such services, ICANN would *not* be expected to provide nor warranty any of the services offered through such a referral system.

IPv6 Support

50. For Registries located in areas where IPv6 connectivity is limited or unavailable, ICANN will need to facilitate support from IPv6 providers to provide IPv6 gateways into the Registry IPv4 services.
51. The current Applicant Guidebook requirement for IPv6 is tremendously burdensome on gTLD applicants in developing economies. Most applicants face one or more of the following substantial hurdles:
- a) A lack of local technical expertise and know-how regarding IPv6;
 - b) A lack of access to the appropriate IPv6 infrastructure; and
 - c) A lack of funds to address either of the first two hurdles.
52. Faced with these obstacles, all new Registries in developing economies would either need to rely on incumbent Registries in developed regions or would need to find some way to establish a tunnel to IPv6 access on their own.
53. The GAC has recommended that the IPv6 requirement be eliminated for Support-Approved Candidates. Short of adopting this recommendation, other approaches

exist. One would be for the ASO to arrange for a region's RIR, along with local ISPs, to guarantee Support-Approved Candidates in the region have IPv6 access, through an IPv4 tunnel or other means.¹¹ Such guarantees, plus an ICANN willingness to accept these guarantees on an application, could be a solution to this problem that might obviate the need to waive the IPv6 requirements for Support-Approved Candidates. At the very least, it should be acceptable for a Support-Approved Candidate to indicate on its application that it will obtain help with IPv6 access via a tunnel.

How Should Non-Financial Support be Made Available?

54. The main proposal from the WG for managing non-financial support was accepted by the ICANN Board in Trondheim in September 2010. In Resolution 2.2, the Board allocated financial resources and directed staff to develop a list that would match Support Candidates with self-identifying providers:

“Support to Candidates will generally include outreach and education to encourage participation across all regions....”

“Staff will publish a list of organizations that request assistance and organizations that state an interest in assisting with additional program development, for example pro-bono consulting advice, pro-bono in-kind support, or financial assistance so that those needing assistance and those willing to provide assistance can identify each other and work together.”

¹¹ The WG believes ASO assistance is critical here. While it is clear that the RIRs cannot provide access, they may have influence over local infrastructure providers.

55. The WG recommends that the list serve multiple functions beyond the identification of providers and Support Candidates. It could also, for example, be an information resource pointing Candidates to Web sites and other sources offering information on template application answers or best practices on how to build a successful Registry.
56. The WG further recommends that ICANN staff notifies service providers of the list directly and asks them to consider providing any of the support functions for Support Candidates for free, on a cost recovery basis or for reduced rates.
57. The WG concurs that ICANN would publish this list without recommendation or prejudice, on a dedicated Web page. It was also agreed that there would be no vetting or certification of providers; each Candidate should operate under the “buyer beware” principle and perform due diligence before accepting an offer from a provider.
58. To ensure transparency of the ICANN process, the WG recommends that non-financial contributors publicize the general parameters, terms and conditions that go with any offer of support. Those contributors should not be precluded from offering different levels and types of support to Candidates with differing levels of need¹² – for example, providing a description of licensing for services (Is the Registry software proprietary or open source? Can it be run locally, or must it be run in-house by the provider?) and the terms that the Candidate must accept (Will the Candidate be tied to the provider for 10 years? Is the service free the first year and then at a

¹² Indeed, those contributors, not ICANN, are solely responsible for establishing the criteria and evaluating the eligibility of candidates for their support services.

cost the second year?). The general parameters, terms and conditions would be posted on the list, as well as the provider's contact information.

59. One concern raised was that Support Candidates from developing economies could become beholden to northern, developed-region providers, since these are best positioned to offer assistance. Such a situation would risk undermining the principal objectives of the Support Program. If the non-financial support aspect of the Support Program is embraced, it must be done with full knowledge of this risk. One suggested remedy is for the ccTLD operators in these under-served regions to be notified by ICANN of the opportunity to assist and, if interested, self-identify as providers willing to allocate resources to assist Support Candidates.
60. Finally, the WG recognizes that ICANN staff will facilitate connecting Support Candidates with providers but cannot commit to finding providers for every necessary requirement.

Capacity Building: Enabling Support-Approved Candidates to Provide Innovative Approaches to the Provision of Registry Services

61. The WG has discussed the possibility of existing companies providing resources to Support-Approved Candidates to enable them to establish Registry Service Providers (RSPs) in those regions where no RSPs exist or where there are just a few. Currently, most existing RSPs are located in developed areas of Europe, North America, Australia and Asia. Rather than forcing any new Support-Approved Candidate to use an incumbent RSP, the JAS WG recommends that non-financial services be provided, where appropriate, to assist Support-Approved Candidates in creating their own

RSPs. This assistance could be combined with a developing economy application for funds to create a regional or local RSP.

62. One way of achieving this involves the use of a mechanism that matches Support-Approved Candidates with those who are qualified and willing to provide assistance (see above). But the WG thinks more can be done. What is needed is a program that encourages companies with practical technical and financial capabilities to assist Support-Approved Candidates in creating an RSP that could, where appropriate, serve the needs of several Support-Approved Candidate Registries. Among the resources that might be made available are:

- a) Accounting assistance;
- b) Legal assistance;
- c) Contract drafting and review assistance;
- d) Negotiation assistance;
- e) Drafting assistance for Registrar and Registrant agreements;
- f) Software licensing for the required Registry software functions;
- g) Creation of free and open source (FOSS) registry software;
- h) Providing grant of “Registry in a box” type of offering; and
- i) On-site consultations and assistance in setting up RSPs.

63. An important part of such assistance would be firm public assurances by providers of such capabilities, which could be referenced and affirmed by Support-Approved Candidates’ in their applications.

Support Candidate Eligibility Requirements

64. The WG has determined a number of criteria to be used in the determination of whether a candidate for support (Support Candidate or SC) should, in fact, be approved for support and/or cost relief (a Support-Approved Candidate or SAC).
65. For a Support Candidate (or, as applicable, the proposed registry or character string) to be approved for support, it must demonstrate the following characteristics.

Service in the Public Interest

66. The Support Candidate must demonstrate service to the public interest. This includes one or more of the following characteristics:
- a) Support by and/or for distinct cultural, linguistic or ethnic communities;
 - The “.cat” Catalanian TLD is seen by many linguistic, ethnic and cultural communities as a success story that has helped to preserve and indeed to grow the language and culture. Many such groups – especially those with geographically dispersed diasporas – see a TLD as a unifying icon that can facilitate Internet use while encouraging community growth. In this regard, we especially note linguistic minorities protected by treaties such as the European Charter for Regional or Minority Languages and the Council of Europe Framework Convention for the Protection of National Minorities. The WG agrees that applications by such communities, if they meet all other support requirements, should be eligible for support (putting diaspora cultures into the set of “developing economies” even though they are not part of those three main categories).
 - b) Service in an under-served language, the presence of which on the Internet has been limited;
 - A number of WG members have advocated support for the build-out of TLD strings in non-Latin scripts by communities that use these scripts and have, to date, been un-served or under-served on the Web.
 - As a part of this, the WG has identified two groups of Support Candidates that might receive support – smaller script communities

whose scripts are very limited on the Web and communities that regularly use more than one script but might otherwise be unable to afford the full-price build-out of two scripts.

- The WG did decide, with a Near Consensus, that, as long as a Support Candidate applying for a single string in a single script is providing build-out of a language whose Web presence is limited and meets the other criteria, it should receive support.
- There was rough consensus in the WG *against* recommending that bundling – that is, reducing the application fee for Support-Approved Candidates seeking multiple TLD strings in an under-served language script – be included as a way to address the needs of these two groups. At the same time, there was strong minority support in the WG to include bundling. The recently submitted GAC/ALAC Joint Statement describes bundling as a means of lowering fees “for a string in multiple IDN scripts, particularly where simultaneous IDNs are required in countries of great linguistic diversity” (see <https://community.icann.org/download/attachments/21135982/Join+GAC-ALAC+Statement+on+Joint+applicant+Support+-+Final+-+August+2011+-+Rev+2.pdf>).

c) Operation in a developing economy in a manner that provides genuine local social benefit;

- The WG achieved Full Consensus in agreeing that the criteria offered to judge applications give preference to those originating within the world’s developing economies.¹³ Rather than having ICANN undertake the distracting task of determining where such economies are located, the WG recommends that it instead use the internationally agreed-upon UN Department of Economic and Social Affairs list:

Least Developed Countries: category 199;

Landlocked Developing Countries: category 432;

Small Island Developing States: category 722;

Indigenous Peoples, as described in Article 1 of Convention No. 169 of the International Labour Organization and the UN Declaration on the Rights of Indigenous Peoples.

¹³ By itself, originating from one of these developing areas is neither sufficient nor mandatory to qualify for support.

- d) Advocated by non-profit, civil society and non-governmental organizations in a manner consistent with the organizations' social service mission(s); and
- e) Operation by a local entrepreneur(s), providing demonstrable social benefit in those geographic areas where market constraints make normal business operations more difficult.
 - While for-profit companies, private-public partnerships and hybrid entities can be eligible for support, the WG agrees that the Developing Economies Support Program must not be used as a substitute for conventional business risk. The Support Program should be used to enable new gTLDs that would, without this Program, be impossible.
 - In the case of operating in a developing economy (see bullet "c," paragraph 66, immediately above) and local entrepreneurial operations, the WG agreed that other forms of social benefit – including but not limited to increasing skills, investment in the skill base of a target community, fostering gender balance and the presence of minorities, and/or a positive contribution to regional or national economies – must be considered.

AND

Demonstrated Financial Capabilities and Need

67. The Full Consensus of the WG is that the financial need and capabilities of a Support Candidate should be the crucial criteria for determining whether or not support is approved. Both this need and capability of the Candidate should be demonstrated through the following criteria:

- a) Support Candidates must be capable of contributing at least USD47,000 toward the New gTLD Program's evaluation fee.
- b) In cases in which scheduled fees are anticipated (for example, in the case of an extended evaluation), the Support Candidate must be capable of contributing one-quarter of the scheduled fees.
- c) If the Support Candidate proposes to operate its own Registry platform, it must be capable of contributing USD45,000 toward Registry operational costs. If the Support Candidate proposes to share Registry operational costs with other qualified Support Candidates or new gTLD applicants, the Support Candidate must be capable of contributing the pro-rated proportional share of this cost.

- d) The acceptable lower threshold of a Support Candidate’s financial capability has been defined in “a,” “b” and “c” of this paragraph; this is to avoid offering support to Candidates so poor that they are not able to run a Registry. The acceptable upper threshold should also be defined to avoid giving support to rich applicants. This upper threshold is to be defined by the JAS WG together with ICANN staff and external advisors in the implementation phase of the Program, before starting the evaluation of applications.
- e) To demonstrate need, Candidates should be required to submit materials to the Program administrators, detailing the various constraints which negatively affect their ability to acquire and implement a gTLD without assistance. Candidates should provide background on economic, technical, administrative, legal and/or socio-cultural factors within their environment that cause their constraints. Also, Candidates will be requested to detail any applicable constraints on their management, human resources, IT infrastructure and technical capabilities.¹⁴

BUT

Ineligibility Criteria

68. The candidate must *not* be:

- a) An applicant for a gTLD string that is not a generic word intended to reference a specific commercial entity (commonly referred to within ICANN as a “dot-brand”);
- However, applications for community names that may be subject to legal trademark protection are not necessarily disqualified from receiving support;
- b) A governmental or para-statal institution;
- Initially, with a Near Consensus, the WG considered purely governmental or para-statal Support Candidates to not be entitled to receive support. However, at the ICANN San Francisco Meeting, the WG received a request from the GAC to consider including government applications from developing economies for support. The WG will work to obtain a mutually acceptable definition and criteria to fit government applications with the GAC WG but recognizes the difficulty in measuring a government’s need and the concern regarding the appropriateness of offering support to one government over another if resources are limited. The GAC WG has offered to

¹⁴ See the “Information and Documentation Required From Candidates” section below.

review the JAS criteria and provide its recommendations on a formulation of a solution for possible support to developing economy government applications.

- c) A gTLD string that is a geographic name or is based on one;
 - d) Affiliated with sponsors or partners that are bankrupt or under bankruptcy protection;
 - e) Affiliated with sponsors or partners that are the subject of litigation or criminal investigation;
 - f) Incapable of meeting any of the Applicant Guidebook's due diligence procedures.
69. All Candidates should be required to provide a self-declaration stating that they are eligible to receive support under the aforementioned criteria.

Information and Documentation Required From Candidates

70. In addition to the self-declaration noted above, all Candidates for financial support are required to provide the information and documentation described here, as well as abide by the Support Evaluation Process described below.
71. The WG recommends that the information and documentation produced by Support Candidates at least include the following:
- a) Annual reports or equivalent;
 - b) Evidence of any previous project fund, especially if successfully completed;
 - c) Financial reports showing need;
 - d) Recommendations regarding the ability to form a sustainable operation; and
 - e) Documentation showing evidence of all qualifying circumstances.

Support Evaluation Process

72. Candidates seeking support must be subject to an additional level of review and assessment to evaluate the bona fides of their request. This Support Evaluation Process (SEP) should be separate and distinct from the standard gTLD applicant review defined in the new gTLD Applicant Guidebook (AG) to which all other applicants are subject.¹⁵
73. Because the standard AG application review requires an applicant to demonstrate a number of specific plans and fundamental capabilities that a Support Candidate may need to arrange with or secure from other parties (in either the form of funds, knowledge or other expertise, experience or support), the WG recommends that this SEP review take place BEFORE the standard application review takes place and perhaps even BEFORE the formal application is submitted to the TAS system.
74. The WG discussed and reviewed a wide variety of potential evaluation criteria and mechanisms that can be incorporated into the SEP.

What is the SEP Process?

75. The following broad steps within the SEP did not achieve Full Consensus in the WG discussions but have been suggested as an initial framework for the SEP and can be further refined by ICANN staff as the process is implemented.

¹⁵ If the concept of candidate support had been originally included as part of the standard application review process, this separate process might not have been necessary.

Initial Framework

- a) The ICANN Staff produces a Support Candidate Guide that explains the process and criteria for seeking Candidate support.
- b) Candidates seeking support prepare their support application and submit it to ICANN. This is done BEFORE the candidate files its formal gTLD application.¹⁶
- c) The support application is assigned to a Support Application Review Panel (SARP) for assessment.
- d) The support application is assessed by the SARP, using the eligibility criteria described in this Final Report. This support assessment takes place BEFORE the candidate files its formal application consistent with the AG process;
- e) The SARP renders a decision. If the support application is rejected, the SARP explains why. The Candidate can then either improve its support application and reapply for support OR can choose to proceed with a formal gTLD application without support.
- f) If the support application is accepted, then the approved support is made available to the candidate, and the candidate can proceed to file its formal gTLD application as a Support-Approved Candidate.
- g) A Support-Approved Candidate will be held to the representations it made in its support application and the Candidate must maintain its support eligibility throughout the formal application process.
- h) The Support-Approved Candidate's formal gTLD application is submitted according to the formal AG process with a clear indication that it has been granted support. The Support-Approved Candidate pays the USD5,000 application deposit and is registered in the TAS. The application undergoes the standard checks for completeness, is posted; is subject to the standard objection period; background screening; etc.
- i) In addition to the standard application checks, the application is tagged as a support-approved application and the original representations made in the support application are checked and verified as still in place. This review is necessary to ensure that the Support-Approved Candidate is still eligible for support. The WG recommends that this review occurs at four points: (1) upon initial evaluation of the application, (2) at an appropriate point during the AG

¹⁶ Alternatively, Candidates would present all of the necessary documentation to the SARP at the same time as applying for the partial fee waiver and other assistance. The SARP would be responsible for reviewing the applications before the end of the application period. In cases in which the application for fee reduction is rejected, the Candidate could receive a refund of the USD5,000 TAS fee.

process, (3) after the initial evaluation results are posted and (4) after there is no string contention.

- j) If there is a string contention, then the application will go through normal ICANN channels with the Support-Approved Candidate funding this additional step of the AG;
- k) Once there is no string contention, the application progresses to the contract execution, pre-delegation check and delegation stages.
- l) There is a Sunset Period for support with a cut-off of five years, after which no further support will be available.
- m) If the new gTLD is granted, the Support-Approved Candidate will fall under the safeguards provided by ICANN for all gTLD operators. The process should ensure that Support-Approved Candidates are aware of all these requirements and are able to fulfill them.

Maintaining or Losing Eligibility

- 76. The Support-Approved Candidate must maintain its eligibility for support throughout this process. In certain circumstances, support may need to be stopped or could be withdrawn.
- 77. The WG has reviewed the following scenarios that might result in support being withdrawn or stopped during the application process.:
 - a) The Support-Approved Candidate does not provide, in a timely fashion, information about itself and/or its partners when requested by ICANN staff;
 - b) The Support-Approved Candidate's and/or its partners' financial and other circumstances change such that the Candidate is no longer eligible;
 - c) The Support-Approved Candidate withholds information about itself and/or its partners regarding its financial or other circumstances; or
 - d) It is discovered that the Support-Approved Candidate and/or its partners are no longer eligible for support for any other reason.

78. If during any one of the four verification reviews described above, one of the aforementioned scenarios is triggered, then support may be stopped. Other than withdrawal of the Support-Approved Candidate's application by the Candidate itself, stopping of support can be exercised in two ways – by discharge or by revocation/cancellation.
79. In the discharge scenario, the Support-Approved Candidate's circumstances may have changed, and aid would stop upon notification from ICANN to the Candidate. In that case, the Candidate and/or its partners may have to repay some or all of the funds already spent on the application. The Candidate may proceed with its gTLD application at this point without support.
80. The revocation/cancellation scenario may arise in cases in which the Support-Approved Candidate was wrongly granted support (for example, granted support as a result of giving false information about finances). In such cases, the Support-Approved Candidate and/or its partners will have to pay back all the funds already spent on the application, and the application will be revoked/discarded at that point.¹⁷

Support Application Review Panel (SARP)

81. The WG recommends that a Support Application Review Panel (SARP) should be established to review applications for the partial fee waivers and financial grants.

¹⁷ Unlike the discharge scenario, where circumstances change, cases of revocation or cancellation suggest that new information is brought to light that was misinterpreted, hidden or not previously available. These cases could be identified during any one of the four regular reviews described above or could be initiated at any other time by credible reports coming from other sources.

The SARP should be composed of volunteers (from the ICANN community and outside experts) knowledgeable regarding the existing new gTLD processes, potential gaming patterns¹⁸ and the general needs and capabilities of Support Candidates from developing economies.

82. The WG recommends that the core of the SARP consist of a combination of community volunteers. One-fourth of the voting members of the panel would come from At-Large community volunteers, one-fourth from GNSO community volunteers and one-fourth from volunteers within ICANN's other SOs and ACs.
83. The final one-fourth of the voting panelists would consist of outside experts identified by ICANN staff and selected for their general expertise, as outlined above.¹⁹ These experts would serve for the entire term of the SARP and provide a sense of general experience, consistency and longevity on the panel.
84. The WG recommends that the voting panel members be supported by an additional group of non-voting specialized experts. These experts would be called upon as needed by the SARP to offer expert information on particular countries or regions, to provide advice and perspective regarding certain business models or practices, to offer specific insight on particular technical questions, etc.

¹⁸ The ICANN community is rightly concerned about the possibility that a fee waiver or grant support program would be prone to gaming by Candidates. Experience has shown that, if there is a loophole to be exploited for profit, someone in the ICANN community will find a way to do so. This is the case with any set of criteria, though some criteria may make this easier than others. Gaming experts would be able to evaluate the process and suggest how to recognize, avoid or otherwise close any potential gaming behaviors or loopholes.

¹⁹ Some WG members support the idea of having contracted experts play a voting role on the SARP, but the WG did not reach consensus on this matter.

85. WG members have pointed out that it is critical that SARP volunteers be aware of and able to make firm time commitments regarding their availability for SARP work.²⁰
86. The WG recommends that any expenses required by this panel for its operations (including face-to face meetings when necessary and compensation of outside experts and advisors) be covered by the contingency portion of the fees paid and repaid using auction fees.

Support Recovery

87. The WG has Full Consensus behind its recommendation that Support Recipients have an obligation to pay back into the Program financial support received not in the form of fee reductions as soon as possible, and that such payback should go into a sustainable revolving fund used to assist future Support Candidates. The form and timing of this payback should be dependent on the new gTLD operator's financial success and could take the form of any of the following:
- a) A capital contribution (e.g., a specifically agreed-to lump sum); or
 - b) An income contribution (e.g., a fixed-term installment schedule administered until the lump sum is covered); or
 - c) Repayment of all or a percentage of the reduced base cost fee expended by the Developing Economies Support Program.

²⁰ WG members discussed but reached no consensus on the ICANN staff's suggestion that the Registry Services Evaluation Process (RSEP) would provide a useful model for the work of the SARP, given that it has proven effective in ameliorating panelist workload and is effective for targeted shorter-term projects. Several members favored a committee as a whole approach, where the entire SARP would be involved in all decisions, rather than breaking the larger panel into specific application teams.

88. The SARP could determine the appropriate form or level of potential payback at the time that the original support is granted.

#

Appendix 1: Members of the Joint SO/AC New gTLD Applicant Support Working Group (JAS WG)

The members of the JAS WG, as determined by the WG mailing list, follow.

In addition, the number of meetings each member attended – out of the total 88 meetings held by the WG from 29 April 2010 through 13 September 2011 – is listed.

A complete attendance log can be found on the JAS WG wiki at

<https://community.icann.org/display/jaswg/JAS+WG+Member+Attendance+Log>.

	Number of meetings attended through 13 Sep 2011
At-Large:	
Fouad Bajwa – APRALO	0
Eric Brunner-Williams ²¹ – NARALO	41
Edmon Chung – APRALO	1
Olivier Crépin-Leblond – ALAC Chair, EURALO	37
Alan Greenberg – ALAC, NARALO	77
Tijani Ben Jemaa – ALAC Executive Committee, AFRALO	75
Dave Kissoondoyal – AFRALO	29
Cheryl Landon-Orr – ALAC Vice-Chair, APRALO	58
Evan Leibovitch – ALAC Vice-Chair, NARALO	72
Carlton Samuels – <u>JAS WG Co-Chair</u> ; ALAC Rapporteur, NARALO	35
Baudouin Schombe – AFRALO	34
Cintra Sooknanan – LACRALO	32
Dev Anand Teelucksingh – LACRALO	17
Rudi Vansnick – EURALO	0

²¹ Address withdrawn from mailing list at member request 16 August 2011.

GNSO:

Carlos Aguirre – GNSO Council Nominating Committee Appointee; ALAC, LACRALO	63
Alain Berranger – Non-Commercial Stakeholder Group	5
Olga Cavalli – GNSO Council Nominating Committee Appointee	1
Rafik Dammak – <u>JAS WG Co-Chair</u> ; Non-Commercial Stakeholder Group	81
Avri Doria – Non-Commercial Stakeholder Group	69
William Drake – Non-Commercial Stakeholder Group	0
Alex Gakuru – Non-Commercial Stakeholder Group	37
Stéphane van Gelder – GNSO Council Chair	1
Chuck Gomes – former GNSO Council Chair	1
Anthony Harris – Internet Service and Connectivity Providers Constituency	16
Jordi Iparraguirre – Registry Stakeholder Group	0
Zahid Jamil – Commercial and Business Users Constituency	0
Andrew Mack – Commercial and Business Users Constituency	72
Jeff Neuman – GNSO Council Vice-Chair	0
Michele Neylon – Registrar Stakeholder Group	6
Michael Palage – Commercial and Business Users Constituency	1
Krista Papac – Registrar Stakeholder Group	9
Mary Wong – GNSO Council Vice-Chair	0

Individuals:

Fabien Betremieux – AFNIC	13
Matthieu Credou	0
Dr. Govind – GAC, India	0
Tracy Hachshaw – GAC, Trinidad and Tobago	1

John Rahman Khan	25
Alice Munya – GAC, Kenya	0
Elaine Pruis – Minds and Machines	49
Annalisa Roger – DotGreen	0
Vanda Scartezini	0
Richard Tindal	12
Alioune Traore	0
Chris Tshimanga	1
 ICANN Board Observers:	
Sébastien Bachollet	49
Mike Silber	1
Katim Touray	2

Appendix 2: Levels of Agreement Referred to Within This Final Report

1. Throughout this Final Report, the JAS WG has used the following conventions to describe the levels of agreement within its own ranks behind each recommendation:
 - a) Unanimous or Full Consensus: All WG members were in favor of a recommendation in its last review.
 - b) Rough or Near Consensus: A large majority, but not all, WG members back a recommendation.
 - c) Strong Support but with Significant Opposition: A majority of WG members support a recommendation, but a significant number do not support it.
 - d) No Consensus or a Divergence: The existence of many different points of view on a topic with no preponderance of support for any one position. This may be due to irreconcilable differences of opinion or to the fact that no WG member has a particularly strong or convincing viewpoint. Nonetheless, the WG members have agreed that it is worthwhile to mention the topic in the Final Report.
 - e) Minority Opinion: A recommendation supported by only a small number of WG members. This can coincide with a Near Consensus, Strong Support but with Significant Opposition, or No Consensus. Similarly, it can occur in cases in which there is neither support nor opposition to a suggestion by a small number of WG members.
2. In cases of a Near Consensus, Strong Support but with Significant Opposition, and No Consensus, an effort has been made in this Final Report to document the variance in viewpoints and to present any Minority recommendation (including any text offered by the proponent of the Minority recommendation).

Appendix 3: JAS WG Background

JAS WG Overview

1. At the ICANN Board meeting on 12 March 2010 in Nairobi, the Board recognized the importance of an inclusive New Generic Top-Level Domain Program (New gTLD Program). To this end, it issued the following Resolution:

“Resolved (2010.03.12.47), the Board requests stakeholders to work through their SOs and ACs, and form a Working Group to develop a sustainable approach to providing support to applicants requiring assistance in applying for and operating new gTLDs.”

2. In response to this Resolution, the Generic Names Supporting Organization (GNSO) and At-Large Advisory Committee (ALAC) organized the Joint Working Group on Applicant Support (JAS WG or WG) in late April 2010. The goal of the WG is to recommend a comprehensive plan to implement the Board Resolution.
3. The GNSO and ALAC have each issued a separate Charter for the JAS WG. While similar in many respects, these Charters are not identical. A comparison of the two Charters can be found at <https://community.icann.org/download/attachments/9405724/ALAC-JAS-Charter-ProposedRevised-23Feb2011.doc?version=1&modificationDate=1298545040000>.
4. The WG includes members from both the GNSO and the ALAC; furthermore, these members are from a variety of backgrounds and geographic regions. Despite this diversity, all members avidly support the Board Resolution and are committed to

lowering the barriers to ICANN's New gTLD Program so that it becomes open to participation by a truly global and inclusive community – in particular, to applicants from developing economies.

5. The result of the WG's efforts is the Developing Economies Support Program and Support Evaluation Process proposed in this Final Report.

JAS WG Objectives and Operations

6. The primary objective of this WG is to develop a set of recommendations for the ICANN staff that embody a sustainable approach to assisting needy Support Candidates – particularly from select developing economies – applying to operate new gTLD Registries.
7. Since April 2010, the WG has met twice each week to identify and discuss the needs of these Candidates requiring support, as well as the recommendations it could make to support them, in as much detail as possible. A complete schedule of the WG's meetings, along with transcripts and recordings, can be found at <http://gns0.icann.org/calendar>.
8. In order to assure that its work has been entirely transparent and representative of the majority opinions within the ICANN volunteer community, the WG has:
 - a) Published an interim Milestone Report and Second Milestone Report for public comment before submission to the GNSO, ALAC, ICANN Board and community; and
 - b) Arranged public presentations during various International ICANN Meetings.

Key Records and Interim Reports by the WG

Overview of Records

9. Numerous key records and publications relevant to the JAS WG can be found at the following url locations.
 - a) E-mail archives: <http://forum.icann.org/lists/soac-newgtldapsup-wg/>
 - b) WG main wiki: <https://community.icann.org/display/jaswg/SO-AC+New+gTLD+Candidate+Support+Working+Group+%28JAS-WG%29>
 - c) Frequently Asked Questions (FAQs) related to the JAS WG's Final Report (to be maintained through ICANN's Dakar Meeting in October 2011):
<https://community.icann.org/display/jaswg/Frequently+Asked+Questions+%28FAQs%29>
 - d) Second Milestone Report (MR2): <http://www.icann.org/en/topics/new-gtlds/jas-second-milestone-report-09may11-en.pdf>
 - e) Second Milestone Report (MR2) public forum comments:
<http://www.icann.org/en/public-comment/second-milestone-report-10jun11-en.htm>
 - f) Milestone Report: <http://www.icann.org/en/topics/new-gtlds/jas-milestone-report-11nov10-en.pdf>
 - g) Milestone Report public forum comments: <http://www.icann.org/en/public-comment/public-comment-201012-en.htm#jas-milestone-report>

Interim Reports of the JAS WG

10. Before releasing this Final Report, the WG released two interim reports – its Milestone Report on 11 November 2010 (see <http://www.icann.org/en/topics/new-gtlds/jas-milestone-report-11nov10-en.pdf>) and its Second Milestone Report on 9 May 2011 (see <http://www.icann.org/en/topics/new-gtlds/jas-second-milestone-report-09may11-en.pdf>), both of which recommended directions for community discussion.

11. The Milestone Report suggested several support mechanisms, including:
 - a) Cost reduction support;
 - b) Sponsorship and funding support;
 - c) Modifications to the financial continuity instrument obligation;
 - d) Logistical support;
 - e) Technical support in operating or qualifying to operate a gTLD; and
 - f) Exemption from the rules requiring separation of the Registry and Registrar functions.

12. Following submission of the Milestone Report, the ICANN Board (at its Trondheim meeting in September 2010) chose not to approve the WG's interim recommendation of differential pricing for (what are now being referred to as) Support-Approved Candidates. Next, however, the Government Advisory Committee (GAC) requested (in its Scorecard; see <http://www.icann.org/en/announcements/announcement-23feb11-en.htm>) that the Board reconsider this recommendation. Furthermore, the Board and GAC discussed the recommendation, along with other aspects of the GAC Scorecard, in a joint meeting in Brussels in June 2010. The result was that, during this joint meeting, the Board stated that ICANN could implement a differential fee schedule for Candidates in need of assistance – with the stipulation that appropriate criteria and mechanisms must be proposed in order for the Board to approve this differential pricing.

13. In May 2011, the WG published its interim Second Milestone Report, which described the WG's nascent recommendations and thought processes regarding:

- a) Why support should be provided;
 - b) During which new gTLD application rounds this support should be offered;
 - c) What gTLD applicants should qualify for support and how their support applications should be evaluated;
 - d) What this support should consist of; and
 - e) How the support process should related to the gTLD application process described in the Applicant Guidebook.
14. While the Second Milestone Report introduced the JAS WG’s recommendations on these topics, this Final Report adds needed details regarding these recommendations.

Key Milestones of the JAS WG

15. Following is a list of key actions and accomplishments of the JAS WG.

<i>Dates</i>	<i>Milestones</i>
29 Apr 2010	First conference call. Preparations for Chairs election, Charter drafting, work planning.
10 May 2010	Adoption of WG Charter by participating SOs and ACs.
5 May to 9 Jun 2010	Weekly conference calls. Drafting of Recommendations by WT1 and WT2.
Jun 14 2010	Posted a blog entitled “Call for Input: Support for New gTLD Candidates” http://blog.icann.org/2010/06/call-for-input-support-for-new-gtld-Candidates/
16-21 Jun 2010	Posting of “snapshot” on WG’s plans and progress for public comment in English. http://www.icann.org/en/public-comment/#wg-snapshot
23 Jun to 23 Aug 2010	Posting of “snapshot” on WG’s plans and progress for public comment in Spanish, French, Chinese, Arabic and Russian.
21-25 June 2010	ICANN Brussels Meeting - Community Public Session: “Reducing Barriers to New gTLD Creation in Developing Regions” http://brussels38.icann.org/node/12503

10 Jul 2010	Twice-per-week conference calls begin to prepare Milestone Report, incorporating public comments and September 2010 Board Resolution.
11 Nov 2010	Milestone Report posted for consideration by the Board, Chartering Organizations and At-Large Community. See Public Forum at http://www.icann.org/en/public-comment/#jas-milestone-report + http://www.icann.org/en/topics/new-gtlds/jas-milestone-report-11nov10-en.pdf + [http://www.icann.org/en/topics/new-gtlds/jas-milestone-report-addenda-10nov10-en.pdf]
9 Dec 2010	Cartagena ICANN Meeting Session: “Assisting gTLD Candidates from Developing Economies” http://cartagena39.icann.org/node/15499
Dec 2010 to Feb 2011	Charter renewal process by Chartering Organizations (ALAC and GNSO) See charters here: https://community.icann.org/display/jaswg/Charter
Jan 2011	Resumed conference calls. Preparations for election of new Chairs, Charter situation review, work planning – four subgroups formed.
Feb 2011	Posting of Summary Analysis of Milestone Report public comments in English http://www.icann.org/en/announcements/announcement-22feb11-en.htm New community wiki space available to JAS WG.
Mar 2011	Posting of Summary Analysis of Milestone Report public comments in Spanish, French, Chinese, Arabic and Russian.
Mar 2011	ICANN Silicon Valley Meeting: - Face-to-face meeting (Thursday, March 17 14:00-15:30; Victorian room). - Status update to GNSO and ALAC.
May 2011	- 7 May: Second Milestone Report received by the ALAC and GNSO. - 9 May: At-Large staff, on behalf of the ALAC, initially forwarded Second Milestone Report to the Board. - 7-13 May: Comments on the Second Milestone Report were collected from At-Large Community; these are basis for the Statement of the ALAC on the Joint Candidate Support Second Milestone Report. - 14 May: ALAC ratification process begins for Second Milestone Report and the ALAC Statement. - 19 May: GNSO decision to postpone its vote until meeting on 9 June. No consensus was reached about sending a letter to the Board. - 19-20 May: Board retreat in Istanbul. - Other activities: JAS WG discussion to answer GNSO, RyC questions. JAS WG preparing cost questions to submit to staff.
June 2011	- 3 June: ALAC invitation to GAC and Board to join JAS WG on 7 June to clarify Second

	<p>Milestone Report. GNSO Chair notified by ALAC Chair.</p> <ul style="list-style-type: none"> - 6 June: JAS WG meeting with GAC and Board postponed to 14 June. - 9 June: GNSO meeting on JAS WG's Second Milestone Report. - 10 June: Opening of public forum (for public comments) on Second Milestone Report (from 10 June through 29 July); see http://www.icann.org/en/public-comment/second-milestone-report-10jun11-en.htm - 14 June: JAS WG conference call with GAC and Board. - 23 June: JAS WG session "JAS WG proposal for support for New gTLD Candidates from Developing Countries" during ICANN Singapore Meeting; see http://singapore41.icann.org/node/24849
July 2011	<ul style="list-style-type: none"> - 5 July: JAS WG meeting with Kurt Pritz regarding WG's request for additional staff support. Four additional staff members assigned to help with meeting notes, drafting the Final Report and instructions manual and creating support process flowchart.
(Planned) September 2011	<ul style="list-style-type: none"> - 16 September: Webinar presenting to ICANN community (a) the JAS WG Final Report and (b) related Frequently Asked Questions Web site at https://community.icann.org/display/jaswg/Frequently+Asked+Questions+%28FAQs%29 - 22 September: GNSO meeting (for this meeting, Final Report must be submitted by 14 September). - 27 September: ALAC meeting (for this meeting, Final Report must be submitted by 15 September).
(Planned) October 2011	<ul style="list-style-type: none"> - 23-28 October: JAS WG face-to-face session during ICANN Dakar Meeting

Appendix 4: Glossary

1. The terms defined below are set forth throughout the Final Report. These definitions are supplied for consistency purposes.

Applicant

2. An entity that applies to ICANN for a new gTLD by submitting its application form through the online application system.

Developing Economies Support Program

3. The program being proposed in this Final Report by the JAS WG. It is not to be confused with the New gTLD Program.

Developing economy (also emerging market)

4. Although these terms are often used in this Final Report, the WG has not adopted its own specific definitions for them. Instead, it proposes that, within the Developing Economies Support Program, a classification be used that is internationally agreed upon – for example, the G-77, United Nations or World Bank classification. The WG notes that these organizations might update their classifications at times. Also, the WG acknowledges that agencies that, in the future, participate in the Developing Economies Support Program as funding agencies might also adopt their own classifications.

Evaluation Fees

5. The fee due from each Applicant to obtain consideration of its application for a new gTLD. The evaluation fee consists of a deposit and final payment per each string

application. A deposit allows the Applicant access to the secure online application system.

Internationalized Domain Name (IDN)

6. IDNs are domain names represented by local language characters or letter equivalents. These domain names could contain characters with diacritical marks (accents) as used in many European languages or characters from non-Latin scripts (for example, Arabic or Chinese). IDNs make the domain name label as it is displayed and viewed by the end user different from that transmitted in the DNS. To avoid confusion, the following terminology is used:
 - a) The A-label is what is transmitted in the DNS protocol; this is the ASCII-compatible (ACE) form of an IDNA string (for example, xn--11b5bs1di).
 - b) The U-label is what should be displayed to the user and is the representation of the IDN in Unicode.

Languages and Scripts

7. Scripts are a collection of symbols used for writing a language. There are three basic kinds of scripts:
 - a) An alphabetic script (Arabic, Cyrillic, Latin) has individual elements termed "letters."
 - b) An ideographic script (Chinese) has elements that are ideographs.
 - c) A syllabary script (Hangul) has individual elements that represent syllables.
8. The writing systems of most languages use only one script, but there are exceptions. For example, Japanese uses four different scripts representing all three categories. Scripts that do not appear in the Unicode code chart are completely unavailable for inclusion in IDNs.

New Generic Top-Level Domain (gTLD)

9. A gTLD is part of the Internet's global addressing system or Domain Name System (DNS). The term "gTLD" refers to the specific suffixes that appear at the end of Internet addresses and are used to route traffic through the Internet. There are different types of top-level domains, which help to identify specific types of organizations, associations or activities (see [RFC 1591](#)). Some gTLDs, such as .com or .info, are intended for general use. Others are intended for use by a specific community (such as .COOP for cooperative organizations). A complete list of existing gTLDs is available at <http://www.iana.org/domains/root/db/>.

New Generic Top-Level Domain Program (New gTLD Program)

10. The New gTLD Program is an initiative that will enable the introduction of new Generic Top Level Domains (gTLDs), including ASCII and IDN gTLDs, into the domain name space.

Non-financial support

11. The WG has identified the need for Support-Approved Candidates to be provided with financial and non-financial support through the Developing Economies Support Program. Financial support includes financial assistance and fee reduction. Non-financial support that the WG is proposing includes logistical assistance, technical help, legal and application filing support, outreach and publicity efforts regarding the New gTLD Program and consulting and education regarding DNSSEC implementation.

Public interest

12. For the purposes of this Final Report, the WG has defined the “public interest” as including the following:
- a) Support by and/or for distinct cultural, linguistic or ethnic communities;
 - b) Service in an under-served language, the presence of which on the Internet has been limited;
 - c) Operation in a developing economy in a manner that provides genuine local social benefit;
 - d) Sponsorship by non-profit, civil society and non-governmental organizations in a manner consistent with the organizations’ social service mission(s); and
 - e) Operation by a local entrepreneur(s) providing demonstrable social benefit in those geographic areas where market constraints make normal business operations more difficult.

Registrar

13. Domain names ending in .aero, .biz, .com, .coop, .info, .museum, .name, .net, .org, and .pro can be registered through many different companies (known as “Registrars”) that compete with one another. A listing of these companies appears in the [Accredited Registrar Directory](#).
14. The Registrar you choose will ask you to provide various contact and technical information that makes up the registration. The Registrar will then keep records of the contact information and submit the technical information to a central directory known as the “Registry.” This Registry provides computers on the Internet with the information necessary to send you e-mail or to find your Web site. You will also be required to enter into a registration contract with the Registrar, which sets forth the terms under which your registration is accepted and will be maintained.

Registry

15. The Registry is the authoritative, master database of all domain names registered in each Top Level Domain (TLDs). The Registry operator keeps the master database and also generates the zone file that allows computers to route Internet traffic to and from TLDs anywhere in the world. Internet users do not interact directly with the Registry operator; users can register names in TLDs (including .biz, .com, .info, .net, .name, and .org) by using an ICANN-accredited Registrar.

Registry fees

16. Under the ICANN Registry Agreement, there are two fees – a fixed fee per calendar quarter and a transaction fee on future domain registrations and renewals. These fees are primarily intended to cover ICANN’s recurring costs for Registry contract management.

Registry Service Provider (RSP)

17. A Registry Service Provider (RSP) is a company that runs the operations of a TLD on behalf of the TLD owner or licensee. The RSP keeps the master database and generates zone files to allow computers to route Internet traffic using the DNS. (Also known as a Registry Operator or a Registry Provider.) Currently, most existing RSPs are located in developed areas of Europe, North America, Australia and Asia.

Support Candidate (SC)

18. An entity that, in addition to applying for a new gTLD, applies to ICANN for financial or non-financial support in obtaining and/or maintaining that new gTLD.

Support Application Review Panel (SARP)

19. The WG recommends that a Support Application Review Panel (SARP) be established to review applications for the partial fee waivers and financial grants. The SARP includes volunteers (from the ICANN community and outside experts) knowledgeable about the existing new gTLD processes, potential gaming patterns and general needs and capabilities of support Candidates from developing economies. Other SARP members should include contracted outside experts identified by ICANN staff and selected for their general expertise as outlined above.

Support-Approved Candidate (SAC)

20. A Support Candidate that has been approved by the Support Application Review Panel (SARP) to receive financial and/or non-financial support.

Support Eligibility Criteria

21. The Support Eligibility Criteria are the standards that the WG is proposing the Support Application Review Panel (SARP) use to determine whether or not a Support Candidate is eligible for financial and/or non-financial support. These criteria include demonstrated service in the public interest and both a certain level of financial need and financial capability. There are also proposed criteria that disqualify a Support Candidate for support.

Support Evaluation Process

22. The process, proposed by the WG, by which the Support Application Review Panel (SARP) uses a set of Support Eligibility Criteria to determine which Support Candidates are actually approved for financial and/or non-financial support and which are not.

Support Recipient

23. A Support Recipient is an entity that is receiving any combination or amount of support, financial and/or non-financial, via the Developing Economies Support Program. This necessarily would be the result of the entity's having applied for and approved for both a new gTLD and associated support from ICANN.

Oct2011PolicyUpdate_vol_11_issue10_pdf



POLICY UPDATE

Internet Corporation for Assigned Names and Numbers

<http://www.icann.org/topics/policy/>

Volume 11, Issue 10 – October 2011

Special ICANN 42 Dakar Meeting Edition



Across ICANN

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GNSO

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[Summary and Analysis of Community Input on Post-Expiration Domain Name Recovery Final Report](#)

[Inter-Registrar Transfer Policy Update](#)

ASO

[Policy Proposal for Recovered IPv4 Address Blocks Passing Final Call in AfriNIC and RIPE](#)

Joint Efforts

[Internationalized Registration Data Working Group Seeks Comment on Draft Final Report](#)

[Review of ICANN Geographic Regions: Draft Final Report Published](#)

At-Large

[At-Large Community Prepares for Dakar, Welcomes African ALSes to Participate](#)

[ALAC/At-Large Improvements Project Milestone Report Submitted](#)

SSAC

[Whois Report and Activities Update Published](#)

[SSAC Annual Retreat Held Last Month](#)

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At-Large Advisory Committee	ALAC
Governmental Advisory Committee	GAC
Root Server System Advisory Committee	RSSAC
Security and Stability Advisory Committee	SSAC

Across ICANN

A Test of REST for Whois Data

At a Glance

Inspired by the Whois-RWS service now in production at the American Registry for Internet Numbers (ARIN), ICANN staff began experimenting with Representational State Transfer-based (REST) web services for domain name registration data. Engineers at the RIPE Network Coordination Centre have tested the service as well.

Recent Developments

ICANN, ARIN, and RIPE staff have published an article in the October issue of *USENIX ;login* to share their findings from this experimentation. The article

describes three implementations in sufficient detail to illustrate the benefits of the service and corroborate their findings. Specifically, through these implementations, ICANN, ARIN, and RIPE staff demonstrate that REST-based directory services are able to:

...support internationalized registration data (and, generally, structured and typed data), provide unambiguous signaling, and improve error reporting. We are able to leverage existing client and server infrastructures and provide security services, including transport confidentiality and integrity checking, authentication, and data filtering, in an extensible manner, again with the prospect of being able to leverage implementations and web infrastructure that makes use of security services today.

More Information

[“A RESTful Web Service for Internet Name and Address Directory Services”](#)
October 2011 article

[Executive summary with complementary information by Dave Piscitello](#)

Staff Tests Public Comment Reply Period for Phase II of Public Comment Process Enhancements

At a Glance

ICANN invites the community to provide feedback on improvements to the Public Comment process.

Recent Developments

The Initial Comment Period for "Phase II of Public Comments Process Enhancements" ended on 30 September 2011.

As an initial test of the "Reply Cycle" concept introduced within this solicitation, the comment forum on this topic has been extended for an additional 15 days (15 October). During this "Reply" period, contributors are asked to address only previously posted comments.

Staff hopes to receive community responses to the previously submitted comments in this proceeding. For each reply, Staff asked each contributor to cite the original poster's name, comment date, and any particular text that is pertinent.

Next Steps

At the conclusion of the Reply Cycle, Staff will produce a consolidated report that will incorporate all contributions in both the initial comment and subsequent reply periods.

In this solicitation ideas on technical public comment forum improvements are also incorporated. ICANN staff developed these improvements thinking that a threaded discussion environment will be complementary to the other proposed improvements. If by the end of the full comment period there is enough positive community interest on this issue, Staff plans to perform an additional limited community testing of such an environment during the October-November time period.

Background

Phase I activities to improve ICANN's Public Comment Process were implemented effective 30 June 2011, in response to recommendations #15, 16, 17 and 21 of the [Accountability and Transparency Review Team](#) (ATRT). In that first phase, staff completely redesigned web pages, added new navigation menus, streamlined Announcement and Public Comment Box formats, and introduced an "Upcoming Topics" feature. New standardized data fields were added across all solicitations (e.g., Originating Organization, Purpose, Current Status, Next Steps) and opening and closing dates and times were clarified. To support these improvements staff also created internal document templates to facilitate publication and ensure presentation consistency in these pages.

After the launch of the redesigned Public Comment web pages in June, the staff worked with a focus group of ICANN community volunteers identified by ICANN community leaders, to gather initial feedback on further improvements.

These further improvements are now available for wider community review and feedback though a [public comment period](#) as mentioned above until 15 October. The public comment includes a staff report where focus group feedback is referenced and linked for each relevant topic. The overall effort supports the implementation of the ATRT recommendations relating to how community members provide input on ICANN matters.

More Information

To view comments previously submitted and to submit a reply, please see the [Public Comment Box](#)

[Reply Period announcement](#)

[Original announcement](#)

Staff Contact

[Filiz Yilmaz](#), Senior Director, Participation and Engagement

Issues Currently Open for Public Comment

Numerous public comment periods are currently open on issues of interest to the ICANN community. Act now to share your views on such topics as:

- [Phase II of Public Comments Process Enhancements](#). Community feedback is requested concerning three of the Accountability and Transparency Review Team recommendations that affect the way ICANN publishes and manages Public Comments. Now in Reply Period. Closes 15 October 2011. See article above.
- [Variant Issues Project – Case Study Team Issues Reports](#). Case studies have been conducted for six individual scripts to investigate issues that need to be resolved to facilitate a good user experience for IDN variant TLDs. Closes 14 November 2011. Case Study Team Issues Reports:
 - [Arabic](#)
 - [Chinese](#)
 - [Cyrillic](#)
 - [Devanagari](#)
 - [Greek](#)
 - [Latin](#)
- [Community Input on Draft 2012-2015 Strategic Plan](#). In preparation for the next round of strategic planning, ICANN leadership is looking for input into this year’s amendment to the Strategic Plan. Closes 17 November 2011.
- [Draft Final Report of the Internationalized Registration Data Working Group](#). The Working Group has published its draft Final Report on how to deal with registration data in a broad range of languages and scripts, and seeks comments from the public. Closes 17 November 2011.
- [Geographic Regions Review – Draft Final Report](#). Outlines specific recommendations regarding how the present Geographic Regions Framework can be modified to ensure that organizational principles of geographic and cultural diversity are honored and maintained. Closes 19 December 2011.

For the full list of issues open for public comment, plus recently closed and archived public comment forums, visit the [Public Comment web page](#).

Iran joins ccNSO

At a Glance

A country code operator from the Middle East region was approved as a new ccNSO member in October 2011.

Recent Developments

The ccNSO Council approved the ccTLD operator of .ir (Iran) as a new ccNSO member. Iran is in the Middle East, bordering the Gulf of Oman, Persian Gulf and the Caspian Sea.

There are now a total of 120 ccNSO members.

More Information

- [Announcement](#)
- [List of ccNSO Members](#)
- [Membership Statistics](#) [PDF, 61 KB]

Staff contact

[Gabriella Schitteck](#), ccNSO Secretariat

Mike Silber Nominated for ICANN Board

At a Glance

The nomination period for ICANN Board Seat 12 has ended, resulting in one nomination.

Recent Developments

The ccNSO nomination period for Seat 12 on the ICANN Board closed on 6 October 2011. Only one candidate was nominated and seconded: Mr. Mike Silber, the currently seated Board member.

Next Steps

Mr. Silber will be invited to join a question and answer session at the ccNSO session in Dakar, where he will respond to questions from the ccTLD community

and will have the opportunity to explain his goals and missions. It is then expected that the ccNSO Council will confirm his nomination to the Board.

Background

ICANN Board Seat 12 is up for renewal in June 2012. According to the ccNSO guidelines, the nomination/election process is to start mid-September. In June 2012, Mr. Silber will have served one term of three years on the ICANN Board and he is eligible for re-election.

More Information

- [Call for nominations for a Director to the ICANN Board](#)
- [Election Procedure to Elect an ICANN Board Director](#)
- [ccNSO Board nominations/elections guidelines](#)

Staff Contact

[Gabriella Schitteck](#), ccNSO Secretariat

Elections Underway for ccNSO Councilor

At a Glance

Elections are being held in October in the African Region for one ccNSO Councilor.

Recent Developments

The ccNSO nomination period ended on 16 September. The African region had two candidates, Mr. Mohamed Ibrahim, .so (Somalia) and Mr. Vika Mpisane, .za (South Africa), necessitating an election in this region.

Next Steps

The elections run from 7 October to 21 October 2011.

Background

Nominations (and elections, if necessary) to the ccNSO Council are held once every year. The elected Councilor will take the seat after the ICANN Public Meeting in San Jose, Costa Rica in March 2012.

More Information

- [ccNSO Council Elections Guidelines](#) [PDF, 86 KB]

Staff Contact

[Gabriella Schitteck](#), ccNSO Secretariat

ccNSO Web Site Adds Restricted Wiki Space

At a Glance

A closed, or password-protected, wiki space will be added to the ccNSO web site.

Recent Developments

In response to requests for a space to share information within the ccTLD community, staff is adding a password-protected Confluence wiki space to be accessed through the ccNSO web site.

Next Steps

All qualifying parties will be invited to subscribe to receive a password for the new closed wiki space. A definition of who qualifies will be posted on the ccNSO web site.

A workshop on how to use the Confluence wiki will be held during the ICANN Public Meeting in Dakar and will be repeated on a regular basis.

Feedback will be sought from the users of the new space two months after its launch.

The closed section will undergo a trial period of six months. The idea will be revisited six months after the launch of the closed space, and the Council will then, based on community feedback, consider whether the closed space should continue or whether it should be discarded.

Background

In developing the new ccNSO web site, interviews with ccTLD representatives were conducted in order to find out what the community is expecting from the new pages.

Several respondents mentioned that it would be desirable to have a closed section of the web site, where information could be shared without making it available outside the ccTLD arena. In addition, the ccNSO Council had also expressed its wish to implement a message board tool, allowing for discussions outside email lists.

Based on this feedback, the ccNSO Secretariat researched various options for creating a closed space. Ultimately ICANN's Confluence wiki tool was chosen, as it supports all current requirements and could be implemented easily.

Offering a closed section on the ccNSO web site is a way to give the ccTLD community an additional platform where it can share information with fellow colleagues without making it publicly available.

The closed space will be open to ccNSO members as well as all ccTLD community members. A definition of community members will be posted on the ccNSO web site.

More Information

- [ccNSO web site](#)

Staff Contact

[Gabriella Schitteck](#), ccNSO Secretariat

Applications Accepted Soon for ccNSO Travel Funding For San Jose, Costa Rica

At a Glance

ccNSO community members will soon be able to apply for travel funding to attend the ICANN Public Meeting in Costa Rica.

Recent Developments

The call for applications will open on 31 October for the ccNSO travel funding program to the ICANN Public Meeting to be held in San Jose, Costa Rica from 11-16 March 2012.

Next Steps

Applications are welcome until 18 November 2011 12.00 noon UTC.

Background

The ccNSO travel funding is made available for those who actively contribute to the work of the ccNSO - in particular to its projects and meetings.

More Information

- [ccNSO Travel Funding Program Information](#)

Staff Contact

[Gabriella Schitteck](#), ccNSO Secretariat

Registration Abuse Practices Discussion Paper; Council Action

At a Glance

Registries and registrars lack uniformity when dealing with domain name registration abuse, and questions persist about what activities constitute "registration abuse." The GNSO Council launched the Registration Abuse Policies Working Group (RAP WG) to examine registration abuse policies. After reviewing the RAP WG's proposed approach, the GNSO Council is moving ahead with several RAP WG recommendations, including a request for a discussion paper on best practices to address registration abuse.

Recent Developments

Best Practices Discussion Paper: Building on input received at the [workshop at ICANN's Public Meeting in Singapore](#), ICANN staff has now finalized the [discussion paper on the creation of non-binding best practices to help registrars and registries address the abusive registration of domain names](#) and submitted it to the GNSO Council for its consideration. A [workshop](#) on the topic will be held during the ICANN Public Meeting in Dakar on Wednesday, 26 October. The discussion paper addresses issues such as:

- [What makes a practice a best practice](#)
- [Identification and/or creation of best practice](#)
- [Defining the non-binding nature of best practices](#)
- [What should be ICANN's role](#)
- [Resources and process](#)
- [Maintenance, review, promotion and dissemination of best practices](#)
- [Cost, benefit, funding, incentives](#)

In addition, the paper includes a preliminary inventory of current or proposed best practices and outlines a number of proposed next steps for the GNSO Council to consider including the creation of a GNSO Working Group to establish the framework for best practices and the creation of a Cross-Community Technical Group to propose candidate best practices to address the abusive registration of domain names.

Remaining RAP Recommendations: At its meeting on 6 October, the GNSO Council adopted a motion addressing the remaining recommendations of the RAP WG (see below for further details). Among others, the GNSO Council resolved to:

- Request the Whois Survey Drafting Team to consider including the issue of Whois Access as part of the survey it has been tasked to develop.
- Request the ICANN Compliance Department to report on existing systems to report and track violations and/or complaints; improvements / changes made since the RAPWG Report or foreseen in the near future, and: identify gaps and any improvements that might be desirable but not foreseen at this stage
- Request an Issue Report to evaluate whether a minimum baseline of registration abuse provisions should be created for all in scope ICANN agreements, and if created, how such language would be structured to address the most common forms of registration abuse

[Complete details of the adopted motion.](#)

Next Steps

The GNSO Council is expected to consider the discussion paper in further detail at its meeting in Dakar.

Background

The RAP WG [presented its final report](#) [PDF, 1.7 MB] and recommendations to the GNSO Council in June 2010. The Council then formed a group of volunteers, the Registration Abuse Policies Implementation Drafting Team (RAP DT), to draft a proposed approach to implementing the report's recommendations. The RAP DT developed a matrix categorizing the RAP WG [final report](#) [PDF, 1.7 MB] recommendations in order of priority, expected complexity and required resources and submitted a [letter](#) [PDF, 184 KB] to the GNSO Council outlining a recommended approach for its consideration. See the web site for [further information](#).

A short history of the RAP WG is available on [ICANN's web site](#).

More Information

- [Discussion paper on the creation of non-binding best practices to help registrars and registries address the abusive registration of domain names](#)
- [Registration Abuse Policies WG Final Report](#) [PDF, 1.7 MB]
- [Registration Abuse Policies Issues Report, 29 October 2008](#) [PDF, 400 KB] and [translation of summary](#)

- [Registration Abuse Policies WG Charter](#)
- [Registration Abuse Policies WG Workspace \(wiki\)](#)
- [Registration Abuse Policies Implementation Drafting Team Workspace \(wiki\)](#)
- [RAP Implementation Drafting Team Letter to the GNSO Council](#) [PDF, 184 KB]

Staff Contacts

[Marika Konings](#), Senior Policy Director and [Margie Milam](#), Senior Policy Counselor

GNSO Improvements: PDP Updated Final Report Submitted

At a Glance

Members of the GNSO community are working to implement a comprehensive series of structural and operational changes designed to improve the effectiveness and accessibility of the organization. The effort is reaching an end and below is information on the most recent developments.

Recent Developments

As requested by the GNSO Council, the Policy Development Process Work Team (PDP-WT) reviewed the [public comments](#) received regarding its Final Report. Accordingly, the PDP-WT has revised its report and submitted the [Updated Final Report](#) to the GNSO Council for its consideration on 28 September. In addition to the report, a motion to adopt the report and its recommendations was submitted to the GNSO Council for consideration. The GNSO Council is expected to consider the report and its recommendations at its meeting in Dakar. Following approval by the GNSO Council, the ICANN Board will need to consider the new proposed PDP for adoption.

Background

The Updated Final Report contains 48 recommendations, an outline of the proposed new Annex A to the ICANN Bylaws and a supporting document that is envisioned to be included in the GNSO Council Operating Procedures as the PDP Manual.

The most substantial of the recommendations include:

- Recommending the use of a standardized Request for an Issue Report Template;
- The introduction of a Preliminary Issues Report which shall be published for public comment prior to the creation of a Final Issues Report to be acted upon by the GNSO Council;
- A requirement that each PDP Working Group operate under a Charter;
- Changing the existing Bylaws so that upon initiation of a PDP, public comment periods are optional rather than mandatory, at the discretion of the PDP Working Group;
- Changing the timeframes of public comment periods including (i) a required public comment period of no less than 30 days on a PDP Working Group's Initial Report and (ii) a minimum of 21 days for any non-required public comment periods the PDP WG might choose to initiate at its discretion;
- Maintaining the existing requirement of PDP WG producing both an Initial Report and Final Report, but giving the WG discretion to produce additional outputs;
- A recommendation allowing for the termination of a PDP prior to delivery of the Final Report;
- New procedures on the delivery of recommendations to the Board including a requirement that all are reviewed by either the PDP Working Group or the GNSO Council and made publicly available; and
- The use of Implementation Review Teams.

Further details and background on the different recommendations, the proposed Annex A and PDP Manual can be found in the [Updated Final Report](#) as well as in the overview of the [differences between the Final Report and the Updated Final Report](#).

More Information

- [GNSO Improvements Information Web Page](#) (which provides links to new procedures and processes as well as to the organizational charters of the various GNSO entities)
- [GNSO Home Page](#) (which provides links and information regarding GNSO Council operations and processes and the status and background documents for various ongoing Council initiatives)
- [PDP Work Team wiki](#)

- [Working Group Work Team wiki](#)
- [Constituency Operations Work Team wiki](#)
- [Commercial SG Charter](#) [PDF, 307 KB]
- [Non-Commercial SG Charter](#) [PDF, 182 KB]
- [New GNSO Constituency Recognition Process](#)

Staff Contact

[Robert Hoggarth](#), Senior Policy Director

Whois Studies Continue To Progress

At a Glance

“Whois” is the data repository containing registered domain names, registrant contacts and other critical information. The GNSO Council is proceeding with studies to provide current, reliable information for community discussions about Whois.

Recent Developments

Whois Misuse Study. This study is intended to discover to what extent public Whois information is used maliciously. The Carnegie Mellon University Cylab in Pittsburgh, PA, USA expects to have initial results from the study in late 2012.

Whois Registrant Identification Study. This study will examine the extent to which domain names registered by legal persons or for commercial activities are not clearly represented in Whois data. On 28 September, staff announced that [NORC at the University of Chicago was selected](#) to conduct this study.

Whois Proxy and Privacy Services Abuse Study. Staff is finalizing details of this study, slated to begin later this year. It will focus on the extent to which domain names used to conduct illegal or harmful Internet activities are registered via privacy or proxy services to obscure the perpetrator’s identity.

Whois Proxy and Privacy Services Reveal Study. A feasibility study started in July 2011 will determine whether enough willing participants can be found to conduct a larger study measuring proxy and privacy service responsiveness to registrant "identity reveal" requests. Expect to see initial findings later this year.

Whois Service Requirements Study - Volunteers Needed. On 6 October the GNSO Council approved a charter for a new Working Group to survey community members to estimate the level of agreement with the conclusions and

assumptions in the [Inventory of Whois Service Requirements – Final Report](#) [PDF, 636 KB]). A draft survey is due to be provided to the GNSO Council by March 2012, with a survey launch thereafter, and a final report targeted for completion by October 2012. Community volunteers, especially those with technical expertise in the technical aspects of gTLD Whois, survey development, and background on the history of gTLD Whois policy development, are invited to participate in this group by contacting the [GNSO Secretariat](#).

More Information

- [GNSO Whois policy development page](#)
- [Background on Whois Studies](#)
- [Inventory of Whois Service Requirements – Final Report](#) [PDF, 636 KB]
- [28 April Resolution on Whois Studies](#)

[Liz Gasster](#), Senior Policy Counselor

Final Report on Post-Expiration Domain Name Recovery Ready For Board Action

At a Glance

The ICANN community provided comments, which have been summarized and analyzed, on a report and recommendations related to what happens after domain names expire. The GNSO Council adopted the report in July, concluding a two-year process that examined current registrar policies regarding the renewal, transfer and deletion of expired domain names.

Recent Developments

The Final Report and Recommendations made by the Post-Expiration Domain Name Recovery Working Group is now ready for ICANN Board consideration. The GNSO Council approved the document in July. A public comment period was open from 15 August to 15 September 2011 to request [community input on the recommendations](#). A Staff [summary and analysis](#) of the community comments received is now complete. Among the recommendations that will now be considered by the Board are:

- Providing a minimum of eight days after expiration for renewal by a registrant;

- Having unsponsored gTLDs and registrars offer Redemption Grace Periods;
- Requiring posting of fees charged for renewal; requiring that at least two notices prior to expiration are sent at set times, one after expiration; that an expired web site must explicitly say that registration has expired, and offer instructions on how to redeem the domain; and
- Developing educational materials about how to prevent unintentional loss.

Next Steps

The ICANN Board is expected to consider the Final Report recommendations at its meeting in Dakar. If the ICANN Board adopts the recommendations, the GNSO Council will convene an Implementation Review Team to work with staff on developing an implementation plan.

Background

For a history of the ICANN community's policy development activities on this topic, please refer to the PEDNR [background page](#).

More Information

- [PEDNR Proposed Final Report](#) [PDF, 971 KB]
- Details on [PEDNR Public Consultation Session in Brussels](#)
- [GNSO Issues Report on Post-Expiration Domain Name Recovery](#) [PDF, 416 KB]
- [Translations](#) of the GNSO Issues Report on Post-Expiration Domain Name Recovery

Staff Contact

[Marika Konings](#), Senior Policy Director

Inter-Registrar Transfer Policy Review Continues - Thick WHOIs Added To Council Agenda

At a Glance

The aim of the Inter-Registrar Transfer Policy (IRTP) is to provide a straightforward procedure for domain name holders to transfer their names from one ICANN-accredited registrar to another. The GNSO Council is reviewing and considering revisions to this policy through a series of Working Groups it has established to conduct these efforts. The IRTP Part B PDP Recommendations

have been adopted by the ICANN Board and will now move forward to implementation. The IRTP Part C Policy Development Process has just begun and volunteers are being asked to sign up for the Working Group.

Recent Developments and Next Steps

IRTP Part B: Following the GNSO Council's adoption of the IRTP Part B PDP Recommendations and a [public comment period](#), the [ICANN Board adopted](#) the recommendations at its August meeting (read more in the August 2011 Policy Update [article](#)). ICANN Staff has started working on the implementation and is expected to provide a [status update](#) at the ICANN Public Meeting in Dakar.

IRTP Part C: Following the submission of the [Final Issue Report IRTP Part C](#) to the GNSO Council, the GNSO Council decided to initiate a Policy Development Process and [adopted a Charter](#) for a Working Group at its meeting in September. IRTP Part C will address the following three issues:

- "Change of Control" function, including an investigation of how this function is currently achieved, if there are any applicable models in the country-code name space that can be used as a best practice for the gTLD space, and any associated security concerns. It should also include a review of locking procedures, as described in Reasons for Denial #8 and #9, with an aim to balance legitimate transfer activity and security.
- Whether provisions on time-limiting Forms Of Authorization (FOAs) should be implemented to avoid fraudulent transfers out. For example, if a Gaining Registrar sends and receives an FOA back from a transfer contact, but the name is locked, the registrar may hold the FOA pending adjustment to the domain name status, during which time the registrant or other registration information may have changed.
- Whether the process can be streamlined by a requirement that registries use IANA IDs for registrars rather than proprietary IDs.

Those interested in participating in this effort are encouraged to review the [call for volunteers](#) and join the Working Group by sending an email to the [GNSO Secretariat](#).

'Thick' Whois Issue Report: As recommended by the IRTP Part B Working Group, the GNSO Council resolved at its meeting in September to request ICANN staff to prepare an Issue Report on the requirement of 'thick' Whois for all incumbent gTLDs. Such an Issue Report and possible subsequent Policy Development Process should not only consider a possible requirement of 'thick' WHOIS or all incumbent gTLDs in the context of IRTP, but should also consider any other positive and/or negative effects that are likely to occur outside of IRTP that would need to be taken into account when deciding whether a requirement of thick Whois for all incumbent gTLDs would be desirable or not.

Background

The IRTP is a GNSO consensus policy that was adopted in 2004 with the objective to provide registrants with a transparent and predictable way to transfer domain name registrations between registrars. As part of its implementation, it was decided to carry out a review of the policy in order to determine whether it was working as intended or whether there are any areas that would benefit from further clarification or improvement. As a result of this review, a number of issues were identified that were grouped together in five different policy development processes or PDPs titled A to E which are being addressed in a consecutive manner.

More Information

IRTP Part C:

- [Final Issue Report IRTP Part C](#) [PDF, 625 KB]

IRTP Part B:

- [IRTP Part B Final Report](#) [PDF, 972 KB]
- [IRTP Part B Proposed Final Report](#) [PDF, 733 KB]
- [IRTP Part B Issues Report](#) [PDF, 256 KB]
- *ICANN Start* podcast: [audio explanation of IRTP Part B](#) [MP3, 18 MB]

General Information:

- [Inter-Registrar Transfer Policy](#) web page
- [PDP Recommendations](#) [PDF, 124 KB]

Staff Contact

[Marika Konings](#), Senior Policy Director

Policy Proposal for Recovered IPv4 Address Blocks Passing Final Call in AfrinIC and RIPE

At a Glance

Now that IANA has allocated all the addresses in IPv4, Regional Internet Registries (RIRs) have discussed a number of proposed global policies for handling IPv4 address space returned from the RIRs to IANA. The RIRs are getting closer to adoption of a new policy.

Recent Developments

After failing to reach consensus on two preceding proposals, a third proposal on allocation of recovered IPv4 address space has been launched and introduced in the five RIRs. APNIC, the registry that originated the proposal, has adopted it, and so has LACNIC. The proposal has passed the final call stage in both AfrinIC and RIPE, and is still in the discussion stage in ARIN.

In this proposal, IANA would establish and administer a pool of returned address space to be allocated to all RIRs simultaneously in equal blocks of smaller size than the traditional /8. Pool size permitting, allocations would occur every six months.

Next Steps

If and when this policy proposal is adopted by all five RIRs, the Number Resource Organization Executive Committee and the Address Supporting Organization Address Council will review the proposal and forward the policy to the ICANN Board for ratification and implementation by IANA.

Background

IPv4 is the Internet Protocol addressing system used to allocate unique IP address numbers in 32-bit format. With the massive growth of the Internet user population, the pool of unique numbers (approximately 4.3 billion) has been depleted and a 128-bit numbering system (IPv6) is taking its place.

More Information

- A [Background Report](#) for the third proposal is posted on the ICANN web site and includes a comparison between the proposals so far on this theme.
- [Background Report](#) for the second proposal.

Staff Contact

[Olof Nordling](#), Director, Service Relations

Joint Efforts

Internationalized Registration Data Working Group Seeks Comment on Draft Final Report

At a Glance

The Internationalized Registration Data Working Group (IRD-WG) has published its draft Final Report on how to deal with registration data in a broad range of languages and scripts and seeks comments from the public.

Recent Developments

This final Draft Report is the IRD-WG's response to the ICANN Board request regarding the feasibility and suitability of introduction display specifications to deal with the internationalized registration data.

The IRD-WG interpreted the Board's request as two broad issues of suitability and feasibility, and related questions.

Suitability issues:

- Is it suitable (or desirable) to internationalize Domain Name Registration Data?
- If so, what data element is suitable to be internationalized?
- Is it suitable to introduce submission and display specifications to deal with the internationalization of Registration Data?

Feasibility issues:

- Is the current Whois system capable of handling the query and display of internationalized Domain Name Registration Data?
- Is it feasible to introduce submission and display specifications to deal with internationalized Domain Name Registration Data?

In the draft Final Report, the IRD-WG discusses terminology, background on Domain Name Registration Data, data elements, the Whois protocol, and current

practices by gTLD and ccTLD registries and registrars. In addition, the IRD-WG finds that it is feasible to introduce submission and display specifications to deal with internationalized Domain Name Registration Data. It recommends a series of next steps that could be undertaken to address further the technical and policy issues identified in the report, including a recommendation that the GNSO Council request an Issue Report on the policy questions raised by the working group. That Issue Report would consider whether it is desirable to translate contact information to a single common language or transliterate contact information to a single common script, and who should bear the burden and would be in the best position to address these issues.

Background

On 26 June 2009, ICANN's Board approved a [resolution](#) requesting that the GNSO and the SSAC, in consultation with staff, convene an Internationalized Registration Data Working Group comprised of individuals with knowledge, expertise, and experience in these areas to study the feasibility and suitability of introducing display specifications to deal with the internationalization of registration data. Without such specifications, domain registrants worldwide would enter Whois data in languages of their own choice. The result could turn Whois data into a wide variety of different scripts, and many individual users would not be able to read or understand most Whois query results. Display standards could bring helpful uniformity.

In November 2010 the IRD-WG produced an [Interim Report](#) [PDF, 686 KB] requesting community input on several questions relating to possible models for internationalizing Domain Name Registration Data.

Next Steps

ICANN staff is seeking [comments](#) on the findings and recommendations in the [draft Final Report](#) [PDF, 437 KB].

The IRD-WG will hold a [public session](#) at the ICANN meeting in Dakar, Senegal on 27 October from 10:00-11:00 local time to discuss the report and gather community comments.

More Information

- [Public Comment Announcement](#)
- [Draft Final Report](#) [PDF, 437 KB]

Staff Contact

[Julie Hedlund](#), Director, SSAC Support

Review of ICANN Geographic Regions: Draft Final Report Published

At a Glance

For the past two years a community-wide working group chartered by the ICANN Board has been working to: (1) confirm the history, underlying principles and goals of the current geographic regions framework, (2) analyze how those goals and principles have been applied by the Board, Staff and community and (3) consult with the community on how those principles and goals can be best maintained in the future. That working group is now reaching the end of its efforts.

Recent Developments

The Geographic Regions Review Working Group's Draft Final Report reflects the penultimate step of the group's research and consultation effort. The draft document outlines specific recommendations from the Working Group to the ICANN Board regarding how the present Geographic Regions Framework can be modified to ensure that the organizational principles of geographic and cultural diversity are honored and maintained. Those recommendations are based on thorough research, extensive community consultation and reflect the points of view of a wide range of the ICANN community.

Mindful of the potential implications even small changes to the framework could have on the wider community, the WG published its Draft Final report on 1 October, asking the community for review and comments on its draft recommendations. The Public Comment Forum will be open through 19 December 2011. The WG will closely review all submitted comments to determine if further modifications to the draft document are necessary.

Background

Geographic diversity is a fundamental component of the ICANN organization. The ICANN Bylaws (Article VI Section 5) currently define five geographic regions as Africa, North America, Latin America/Caribbean, Asia/Australia/Pacific and Europe.

The ICANN Geographic Regions were originally created to ensure regional diversity in the composition of the ICANN Board and were subsequently expanded in various ways to apply to the GNSO, ALAC and the ccNSO.

Next Steps

The Working Group will host a [public workshop](#) during the ICANN Public Meeting in Dakar to explain and discuss its recommendations with interested community members.

After the close of the Public Comment Forum on 19 December 2011, WG members will closely review all comments submitted and will determine whether to modify the recommendations in the Final Report. The WG expects to formally publish its Final Report early next year. At that time the various ICANN Supporting Organizations and Advisory Committees will be asked to formally comment on the recommendations in the Final Report before the ICANN Board's consideration.

More Information

- ICANN Board Resolution [authorizing the Working Group](#)
- [Geographic Regions WG Charter](#)
- Working Group [wiki page](#)
- [Initial Report](#) published in July 2009
- [Interim Report](#) published in November 2010
- [Announcement](#) of Draft Final Report availability
- Draft Final Report [Public Comment Forum](#) – open through 19 December 2011

Staff Contact

[Robert Hoggarth](#), Senior Policy Director

At-Large

At-Large Community Prepares for Dakar, Welcomes African ALSes to Participate

At a Glance

At-Large community representatives from around the world are preparing for a variety of meetings and events scheduled to take place during ICANN's Public Meeting in Dakar, Senegal. More than 20 representatives from each of the African At-Large Structures are expected to attend the AFRALO Dakar Events, which include a capacity building program, showcase, general assembly and an AFRALO/AfriCANN meeting.

Recent Developments

The AFRALO Dakar Events meetings, made possible in part through the agreement of several Regional At-Large Organizations to pool their FY12 meeting support for General Assemblies, has been two years in the planning. The scheduled events include:

- An AFRALO Capacity Building Program - A week-long series of capacity building sessions for African At-Large Structure representatives;
- An AFRALO Showcase – featuring two African Ministers as keynote speakers;
- An AFRALO General Assembly – an opportunity for AFRALO to discuss issues of fundamental importance to their Regional At-Large Organization; and
- An AFRALO/AfriCANN Meeting – a gathering of all the ICANN African community to discuss an issue of key importance to the region.

A highlight of this event is a series of Capacity Building sessions whose main objective is to build capacity and raise awareness of ICANN policies, organization and activities to increase the effectiveness of the participation of the African end-user representatives in ICANN's policy development process. Over five days, the program aims to provide representatives of AFRALO At-Large Structures with briefings on the key policies, issues, activities and structure of ICANN. These briefings will be conducted by ICANN officers and staff, and allow for open discussion.

At-Large Meetings scheduled for Dakar include:

- ALAC and Regional Leadership Working Sessions
- At-Large Meeting with the GAC
- An At-Large Meeting with the ICANN Board
- Two Policy Discussion Sessions
- An ALAC Meeting with ICANN Compliance Staff
- An ALAC Meeting with the NCSG
- A NARALO Monthly Meeting
- NARALO Task Force on Puerto Rico's ccTLD Controversy
- A meeting to discuss NARALO's North American Internet Users' Survey
- A LACRALO Monthly Meeting
- An APRALO Monthly Meeting
- An At-Large Regional Secretariats Meeting

- An At-Large Lunch Meeting with the ICANN Board
- An ALAC and Regional Leadership Wrap-Up Meeting
- An ALAC Executive Committee Meeting

In addition, the At-Large community members will also participate actively in many of the other meetings taking place that week either in person or using remote participation tools.

More Information

- The [schedule](#) of At-Large Meetings during ICANN's Public Meeting in Dakar, including agendas in English, French and Spanish and remote participation instructions has been posted. Check back frequently for updates.
- [AFRALO Dakar Event programs](#)

Staff Contact

[Heidi Ullrich](#), Director for At-Large

ALAC/At-Large Improvements Project Milestone Report Is Submitted to Structural Improvements Committee

At a Glance

The At-Large staff has submitted the next status report on the ALAC/At-Large Improvements Project to the Structural Improvements Committee (SIC). This report describes the significant work done recently by the At-Large Improvements WTs in developing a series of proposals aimed at completing the implementation of the ALAC Review recommendations.

Recent Developments

The four At-Large Improvements Working Teams (WTs), the ALAC and At-Large Staff have completed the next status report on the ALAC/At-Large Improvements Project. This is the extensive [ALAC/At-Large Improvements Project Milestone Report](#), submitted to ICANN's SIC and Board on 11 October.

The report describes the substantial amount of work done thus far within the ALAC/At-Large Improvements Project. In particular, it outlines the recently completed set of proposals being used by the ALAC to conclude its ongoing implementation of the project's improvements (defined by the 2009 [Final Report of the ALAC Review Working Group on ALAC Improvements](#)).

These implementation proposals were developed by the four At-Large Improvements Working Teams (WTs). Since September 2010, each WT has focused on a specific area within the Improvements Project:

- The ALAC's continuing purpose within ICANN ([WT A](#));
- Increasing participation by the At-Large Structures (ALSes) in all regions ([WT B](#));
- Improving ALAC/At-Large strategic, operational and financial planning processes ([WT C](#)); and
- Improving the ALAC's policy advice processes ([WT D](#)).

Next steps

Among the next steps in the At-Large Improvements Project, the ALAC plans to discuss the implementation of the remaining ALAC Review recommendations, as well as the WT proposals targeting them, in Dakar.

More information

For further details regarding the ALAC/At-Large Improvements Project, please see:

- [Main At-Large Improvements Workspace](#)
- [ALAC/At-Large Improvements Project Milestone Report Workspace](#)

Staff contact

[Seth Greene](#), Consultant for At-Large

SSAC Publishes Whois Report and Activities Update

At a Glance

The SSAC published two recent reports: one on Whois terminology and structure, and the second on its quarterly activities.

New Developments

The SSAC report on Whois is entitled [\[SAC051\]: SSAC Report on Whois Terminology and Structure \(19 September 2011\)](#). SAC051 proposes a taxonomy that disambiguates terminology that has been used in discussions related to domain name registration data. SSAC also identifies features that should be considered in future domain name registration data directory services. A section of the report summarizes four key observations related to the stalled progress on Whois thus far, and another offers recommendations for how to move the conversation forward to fulfill the commitment stated above.

The second report is the quarterly update on SSAC activities: [SSAC Activity Report, September 2011](#). This report is divided into two sections: Work Plan for 2011 and Work Completed in 2011. The first section, Work Plan for 2011, presents the ideas and preliminary work to develop specific project plans. The second section, Work Completed in 2011, briefly describes the publications that have been produced in 2011. The SSAC has published [five documents](#) in 2011 that include Advisories, Reports, and Comments.

More Information

- [\[SAC051\]: SSAC Report on Whois Terminology and Structure \(19 September 2011\)](#)
- [SSAC Activity Report, September 2011](#)

Staff Contact

[Julie Hedlund](#), Director, SSAC Support

SSAC Annual Retreat Highlights

At a Glance

SSAC members discussed complex security issues during in-depth and in-person meetings at the September 2011 Annual Retreat.

New Developments

During the retreat, the SSAC developed its annual work plan, discussed new security issues that may need to be addressed, and reviewed the status of ongoing actions. The outcomes from the 2011 retreat include consideration of security and stability issues relating to the following topics: Whois, Non-US-Centric DNS Filtering, Dotless Domains, Public interest (No Fee) Domain Holding Pen, New gTLDs, and IPv4 to IPv6 Transition.

Next Steps

Work Parties established by the SSAC will consider whether the topics listed above warrant the development of a report, advisory, or comment.

More Information

- [SSAC Work Plans and Activities](#)

Staff Contact

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