Agenda

1. Introduction & Background
2. Review Approach
3. Key Lessons Learned
4. Questions & Comments
Community Discussion

- Public comment period open from 23 September 2015 – 7 December 2015

- This session is intended as an opportunity for members of the community to share their ideas with ICANN and with each other

- Submit a comment via the forum for formal consideration

Program Implementation
Review Background
Section 9.3 of the Affirmation of Commitments states:

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

- **Who performed the review?**
  - An ICANN staff review team involved with executing the New gTLD Program

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

- **What main aspects were considered?**
  - Metrics and statistics *(of 31 July 2015)*
  - Feedback from participants
  - Staff and service provider observations
Review Dimensions

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

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

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

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

5. **Security and Stability**
   To what extent the process/procedure/framework supported the security and stability of the DNS.

6. **Alignment to Policy and Implementation Guidelines**
   To what extent the program execution adhered to GNSO policy recommendations and AGB.
Review Areas

1: Application Processing
2: Application Evaluation
3: Objection Procedures
4: Contention Resolution
5: Contracting & Transition to Delegation
6: Applicant Support Program
7: Continued Operations Instrument
8: Program Management
Key Lessons Learned
Considerations for future rounds of the New gTLD Program (many of which we recognize may be subject to policy development)

48 lessons learned identified in the report

May require varying levels of enhancement or redesign:

- Existing framework could be operationally adjusted for future rounds
- Improvements could be made, but further exploration is required
- Direction from the community suggested concerning implementation in future rounds
Chapter 1: Application Processing

Application Form
- More structured format
- Greater flexibility in user accounts

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

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

Change Requests
- Design process and criteria earlier in the process
- Consider multiple processes to support different types of changes
Chapter 2: Application Evaluation

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

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

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

Financial Evaluation
- Consider alternative approaches which may be more effective for evaluating all business models
Chapter 3: Objections Procedures

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

Explore potential review mechanism for future rounds
## Chapter 4: Contention Resolution

<table>
<thead>
<tr>
<th>Community Priority Evaluation</th>
<th>• Consider all dimensions of feedback received to revisit criteria as a basis for priority</th>
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</thead>
<tbody>
<tr>
<td>Community Considerations</td>
<td>• Identified by the ICANN Board as a topic that may be appropriate for policy discussion</td>
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<tr>
<td>Auction Effectiveness</td>
<td>• Very few ICANN auctions occurred; 94% resolved through application withdrawals</td>
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<tr>
<td>Withdrawals</td>
<td>• Consider defining a process for moving applications to a final state and providing refunds if not withdrawn</td>
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Chapter 5.1: Contracting

Registry Agreement Finalization:

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

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

Application Types and Contractual Obligations:

This round:
Base RA with different versions for qualified application types:

- **Community** – Obligated to Spec 12
- **.BRAND** – Could apply for Spec 13
- **Geographic** – No additional contractual obligations to ICANN

Explore whether additional applicant types could be defined fairly and objectively, and if they may qualify for different versions of the RA
Chapter 5.2: Transition to Delegation

Pre-Delegation Testing (PDT)

This round:
PDT performed for each TLD, individually
Neither evaluation nor PDT considered scalability of the provider
Some tests self-certifying and some operational

Registry Service Provider Accreditation + PDT:

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

+ Update PDT to review TLD-specific configuration items, and convert self-certifications to actual testing when feasible
Chapter 6: Applicant Support

**Underutilization**
- Study challenges in becoming registry operators

**Criteria and Processes**
- Research globally recognized procedures for providing financial assistance

**Panel**
- Leverage procedural practices used by other evaluation panels
Chapter 7: Continued Operations Instrument

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

Explore ways to:
- Fund EBERO more effectively and / or
- Implement COIs more efficiently
## Chapter 8: Program Management

<table>
<thead>
<tr>
<th>Systems</th>
<th>Service Provider Coordination</th>
<th>Financial Management</th>
<th>Communications</th>
<th>Customer Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Provide ICANN appropriate time for development</td>
<td>• Continue to enhance processes for training and publishing procedures in advance</td>
<td>• Before fees are defined for future rounds, conduct a review of program financials</td>
<td>• Consolidate information to a single website</td>
<td>• Leverage expanded Customer Service team and continue to support ongoing and future program activities</td>
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</table>
Questions and Comments
Thank You

Public Comment Forum:

Public Comment Period Closes 7 December 2015

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