GAC Scorecard on New gTLD Subsequent Rounds: Status of Substantive Areas of Interest to the GAC

Only reviewed by GAC Leadership

Last Edited: 4 June 2020

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Color-coding of General Status/Alignment for Each Policy Area of previous GAC input vis-à-vis the PDP Working Group Deliberations to Prioritize GAC Work:

Key to color-coding:	General Alignment / Low	Less Alignment /	Possibility of No Alignment / High
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Status Still To be determined

Lack of information on status of PDP WG deliberations prevent accurate evaluation at this stage.

General Alignment / Low Priority

GAC positions are generally aligned or are adequate enough to be incorporated by the PDP at this stage. Proactive participation and input may still be appropriate to ensure ultimate alignment of GNSO policy recommendations with GAC objectives

Less Alignment / Medium Priority

GAC members may need to monitor deliberations and plan to provide further input to PDP WG as there is a possibility that the group may not address some GAC concerns or may diverge on some policy objectives

Possibility of No Alignment / High Priority

GAC action is needed on this item. There is a possibility that the group may not address some GAC input. Action to either engage with the Sub Pro PDP WG (to clarify GAC positions, collaborate, review implementation, etc.) or revise GAC positions (to reflect the latest developments and proposals being considered in the PDP)

1. GAC Priority Topics Identified and Discussed during ICANN67

Applicant Support and Participation of Underserved Regions

Summary of Previous GAC Input

2017):

Comment on CCT Review Team Draft Report (19 May

- Establish clear measurable goals and indicators for applications from the Global South, linked to ICANN strategic objectives. Increase in number of delegated strings from underserved regions should be critical (Draft Rec. 43, Final Rec. 29)
- Expand and update work on outreach to Global South, starting with response to challenges identified to date (Draft Rec. 44, Final Rec. 30)
- ICANN to coordinate pro bono assistance (Draft R,. 45, Final Rec. 30)
- Revisit Application Support Program: reduction of fees, additional support, access to simple information in relevant language (Draft Rec. 46, Final Rec. 32)
- Not only should the application fee be reduced for all applicants but members from underserved regions should be offered additional support due to external issues [...] which should not prevent entities in those regions from applying

Comment on Sub Pro PDP Initial Report (8 October 2018)

 PDP Should consider the CCT Review recommendations in this area

<u>Comment</u> on <u>CCT Review Team Final Report</u> (11 Dec. 2018)

- o Reiterated comments on Draft Report
- Establishment of "clear, measurable goals for the Global South, including whether or when applications and even number of delegated strings should be objectives" of any New gTLD Application Round (Final Rec. 29)

GAC Response (20 Jan. 2020) to ICANN Board Clarification Questions on the GAC Montreal

Communique: GAC agree[s] that expanding and improving outreach should be an ongoing effort, and expects the Board to make a judgment, in good faith, as to whether it considers outreach has been expanded and improved enough to justify proceeding with the new round of gTLDs

GAC Compilation of Individual Input (9 May 2020):

The individual input by GAC members mostly supported draft final recommendations aligned with previous GAC advice.

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | PDP WG Deliberation Stage: <u>Draft Final Recommendation</u> - Section 2.5.4 | Last discussed 26 March 2020

Working Group Recommendations:

- Extend scope of the program beyond only economies classified by the UN as least developed (revision of implementation guidelines) and also consider the "middle applicant" ("struggling regions that are further along in their development compared to underserved or underdeveloped regions").
- Expand the scope of financial support to also cover costs such as application writing fees, attorney fees related to the application process., and [ongoing ICANN registry-level fees].
- ICANN org to continue facilitating non-financial assistance including the provision of pro-bono assistance where applicable
- Outreach and awareness-raising activities should be delivered well in advance of the application window opening, to help to promote more widespread knowledge about the program.
- Applicants who are not awarded Applicant Support, must have the option to transfer to the standard application process.

Issues to to be addressed during Implementation (Implementation Review Team):

- Define Global South by drawing from the ongoing work by ICANN org to define and standardize usage of terminology related to underserved and underrepresented regions
- Draw on expertise including from the targeted regions, to develop appropriate program outreach, education, and application evaluation.

Possible Next Steps for the GAC

The GAC (and Underserved Regions Working Group in particular) may wish to review final recommendations to ensure that outcomes are compatible with GAC expectations and actual needs of prospective applicants in these regions.

Closed Generic TLDs

Summary of Previous GAC Input

Response to Sub Pro PDP CC2 (22 May 2017)

 Based on principles of promoting competition and consumer protection, exclusive registry access should serve the public interest goal (per Beijing GAC Communiqué Cat. 2 Safeguards Advice)

<u>Comment</u> on <u>Sub Pro PDP Initial Report</u> (8 October 2018)

 Re-affirms previous advice (Beijing Communiqué, Cat. 2 Safeguards): for strings representing generic terms, exclusive registry access should serve a public interest goal

ICANN67 Communique (16 March 2020)

 The GAC should conduct further work to identify criteria, examples and use-cases that may serve for assessing the public interest in the context of closed generics.

GAC Compilation of Individual Input (9 May 2020):

- Majority of GAC members contributing support previously articulated GAC Advice (GAC Beijing Advice): "exclusive registry access should serve a public interest goal".
- Individual members noted that public interest should be defined.

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | **PDP WG Deliberation Stage:** No Agreement as of 27 March 2020 in <u>Draft Final Recommendations</u> - Section 2.7.3 | Last discussed on 14 May 2020

- The WG has not been able to agree on how to treat this type of closed generic TLD applications in future rounds. Draft final recommendation reflects this status.
- In the 2012 round of the New gTLD Program, a <u>decision</u> was made by the ICANN Board to effectively ban exclusive use generic applications. The PDP WG has had numerous discussions and received extensive comments from the community, but was not able to agree.
- Previously, the PDP WG Leadership invited the GAC to clarify criteria for what would constitute serving the public interest.
 GAC advice or consensus input would still be timely.
- <u>Public Comments</u> to date indicate there appears to be a fair amount of support to allow closed generics in some capacity, but requiring that the closed generic serve the public interest, perhaps requiring a commitment to a code of conduct, and/or introducing an objection process. However, there are some strongly held views against closed generics altogether. The WG remains widely divergent on this topic.
- Key challenges in this discussion include:
 - o defining closed generics
 - o defining the public interest or public interest goals, and
 - evaluating whether the public interest may be served or harmed by an application.
 - diverging opinions on perceived benefits and harms of closed generics
- Latest efforts by PDP WG on qualifying public interest
 - PDP WG Members <u>discussed</u> a list of factors (or questions) that could be considered in developing a framework for a public interest TLD. <u>Specific questions</u> <u>are being</u> reviewed by PDP WG members for applicants to answer how/why it serves a public interest goal.
 - PDP WG may be able to answer the <u>ICANN Board's</u> <u>resolution</u> by providing factors/guidance for the evaluation process on closed generics.

- The GAC may consider reiterating GAC Advice from the Beijing Communique on Cat. 2 Safeguards, and potentially:
 - o review and refine safeguards applicable to closed generics
 - o assess proposed mechanisms in the PDP WG such as Application Criteria, Code of Conduct or a new Objection mechanism.
- GAC may wish to review <u>suggested factors that PDP WG drafted</u> in consideration of development of framework for public interest (specific questions in section 2.7.3 of <u>Draft Final Recommendations</u>).

Public Interest Commitments (PICs)

Summary of Previous GAC Input

<u>Comment</u> on <u>CCT Review Team Draft Report</u> (19 May 2017):

the GAC supports

 Improvement of definition, accessibility and evaluation of applicant's Public Interest Commitments (Draft Rec. 37-39, Final Rec. 25)

<u>Comment</u> on <u>Sub Pro PDP Initial Report</u> (8 October 2018)

- Actual adoption and implementation of the PICs differed in many respects from GAC advice (Toronto and Beijing Communiqués), most notably on the issue of safeguards applicable to highly regulated gTLDs (Cat. 1).
- Before making any final recommendations, the PDP should consider the GAC's prior safeguard advice and any recommendations in the CCT final report on these issues should be fully considered in the next stage of the PDP's work
- PICs should be effectively monitored by ICANN for compliance, with appropriate sanctions when breached

ICANN66 Communique Advice (6 November 2010)

 CCT-RT Recommendations to be implemented before a new round is launched per <u>GAC Montreal</u> <u>Advice</u>.

ICANN67 Communique (16 March 2020)

 concerns with intention to refer DNS Abuse to a separate PDP, in light of GAC Montreal Advice. despite

GAC Compilation of Individual Input (9 May 2020)

- GAC members mostly converged on noting that DNS abuse mitigation should be included in the SubPro PDP WG recommendations,
- Several GAC members questioned whether ccTLDs should fall within the remit of the Subpro PDP WG (rationale 8).
- A few GAC members mentioned the approach/effort to address DNS abuse should be holistic.

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | PDP WG Deliberation Stage: Draft Final Recommendations_- Section 2.3.2 | Last discussed 19 March 2020

On Mandatory Public Interest Commitments (PICs), the WG recommends that:

- No additional mandatory PICs are needed pending PDP WG recommendations on string similarity and private resolutions/auctions
- Existing practices confirmed as policy for the future, that is current PICs in RA Specification 11 3(a)-(d) to be maintained in future agreements
- Exempting single-registrant TLDs from compliance with in RA Spec. 11 3(a) and (b).

On Voluntary PICs, now Registry Voluntary Commitments (RVCs), the WG recommends:

- Allowing their use by applicants in response to public comments, GAC Early Warnings, and/or GAC
 Consensus Advice, specifying whether such commitment is limited in time, duration and/or scope to facilitate review by ICANN org, a possible objector and the GAC
- Inclusion in the applicant's Registry Agreement, as well as readily accessible and presented in a manner that is usable
- Transparency: RVCs must be readily accessible and presented in a manner that is usable, in line with GAC positions - alignment with GAC positions.

Consideration of relevant CCT Review recommendations by the Working Group:

- ICANN org should evaluate, in the implementation phase, CCT-RT recommendation 25 to develop an "organized, searchable online database" for Registry Voluntary Commitments - alignment with GAC positions.
- No policy recommendations expected with respect to mitigating DNS Abuse: As reported to the GNSO Council (21 May 2020) the WG deems that such future effort should be holistic and must apply to both existing and new gTLDs (and potentially ccTLDs)

- As a matter of high priority, the GAC may wish to consider the absence of policy recommendations on DNS Abuse. (Refer to <u>Safeguards</u> section due to overlap in content)
- The GAC may also wish to review the recommendation that no additional mandatory PICs are needed, as this may impact the flexibility and ability of the GAC to advise on public policy concerns that may emerge in the future
- GAC and PSWG may consider further work on existing mandatory PICs as identified by the WG.
- GNSO Council in light of WG letter is considering other avenues to address DNS Abuse holistically with community

Global Public Interest

Response to Sub Pro PDP CC2 (22 May 2017) Regarding mechanisms to be employed to serve the public interest, in addition to Public Interest Commitments, the GAC referred GAC Advice it believed were still current: • Beijing Communiqué on Cat. 1 Safeguards Advice (Closed Generics) • Los Angeles Communiqué Advice on PICDRP to ensure that non compliance with Public Interest Commitments is effectively and promptly addressed, and for Cat. 2 TLDs (restricted registration) to provide registrants an avenue to seek redress for discriminatory policies • Singapore Communiqué (2015) Advice to reconsider the PICDRP and develop a 'fast track' process for regulatory authorities, government agencies and law enforcement to work with ICANN contract compliance to effectively respond to issues involving serious risks of harm to the public • Singapore Communiqué (2015) Advice to recognise voluntary adoption of GAC advice on verification and validation of credentials as best practice.	Summary of Previous GAC Input	Status of PDP WG Deliberations
Possible Next Steps for the GAC	Regarding mechanisms to be employed to serve the public interest, in addition to Public Interest Commitments, the GAC referred GAC Advice it believed were still current: Beijing Communiqué on Cat. 1 Safeguards Advice (Closed Generics) Los Angeles Communiqué Advice on PICDRP to ensure that non compliance with Public Interest Commitments is effectively and promptly addressed, and for Cat. 2 TLDs (restricted registration) to provide registrants an avenue to seek redress for discriminatory policies Singapore Communiqué (2015) Advice to reconsider the PICDRP and develop a 'fast track' process for regulatory authorities, government agencies and law enforcement to work with ICANN contract compliance to effectively respond to issues involving serious risks of harm to the public Singapore Communiqué (2015) Advice to recognise voluntary adoption of GAC advice on verification	See discussion of <u>Safeguards</u> and <u>Public Interest</u>
See above.		

Summary of Previous GAC Input

Response to Sub Pro PDP CC2 (22 May 2017)

- GAC Early Warning provided earliest possible notice of potential public policy concern and served the interests of both applicants and the GAC
- GAC Advised for commitments in response to Early Warning to be made contractually binding (Toronto)
- The GAC is interested in participating in any discussions to improve the Early Warning arrangements so that the legitimate concerns of governments, applicants and the wider community are met.

<u>Comment</u> on <u>Sub Pro PDP Initial Report</u> (8 October 2018)

- GAC Early Warning and GAC Advice were useful instruments to identify applications that raise public policy concerns and should be an integral part of any future rounds.
- GAC is Open to increasing transparency and fairness of these, including giving applicants an opportunity for direct dialogue with the GAC.
- However, the GAC does not consider that the PDP should make recommendations on GAC activities which are carried out in accordance with the ICANN Bylaws and the GAC's internal procedures

ICANN67 Communique (16 March 2020)

 Further GAC discussion needed on draft recommendations regarding the scope of the rationale of GAC Advice; and the limitation of GAC Advice issued after the application period to individual strings only "based on the merits and details of the applications for that string, not on groups or classes of applications."

GAC Compilation of Individual Input on Subpro PDP WG recommendations (May 2020):

- Most supported previous GAC positions supporting retention of the "will create a strong presumption for the ICANN Board that the application should not be approved".
- Converged on not limiting scope of GAC advice
- GAC Consultation took place prior to updated PDP WG recommendation language, so may be to some extent outdated since substantive changes were made to the draft recommendations (see Status of PDP WG deliberations column).

Status of PDP WG Deliberations

Confirmed with GNSO Support | **PDP WG Deliberation Stage:**<u>Draft Final Recommendations</u> - Section 2.8.1 | Last discussed: 7
May 2020

- WG recommendations contrast with GAC advice and GAC members input in relation to the expectation that GAC Advice "will create a strong presumption for the ICANN Board that the application should not be approved." as future versions of the AGB would omit this language to increase the Board's flexibility to facilitate a solution that both accepts GAC Advice and allows for delegation of a string if GAC concerns are addressed.
- Possible impact of WG Recommendations and Implementation Guidance on issuance of GAC Advice in future rounds:
 - GAC Advice is recommended to be limited to the scope set out in the applicable Bylaws provisions (see Section 12.2.a.i) and elaborate on any interaction between ICANN's policies and various laws and international agreements or where they may affect public policy issues, and if based on public policy considerations, well-founded merits-based public policy reasons must be articulated.
 - Regarding Advice on categories of TLDs: issuance by the GAC should happen before the Applicant Guidebook is published
 - PDP WG Implementation Guidance: If GAC Advice on categories is issued after the beginning of the application submission period, and whether the GAC Advice applies to categories, groups or classes of applications or string types, or to a particular string, the ICANN Board should take into account the circumstances resulting in such timing and the possible detrimental effect in determining whether to accept or override such GAC Consensus Advice as provided in the Bylaws.
- Possible impact of WG Recommendations on issuance of GAC Early Warning in future rounds:
 - Required to include a rationale and how the applicant may address the concerns
 - Application Guidebook to define the time period during which GAC Early Warnings can be issued, if beyond the application comment period
- Applicants to be allowed to change their application, including through PICs, to address GAC Early Warnings and GAC Advice
- Per WG Recommendations, GAC members would be strongly encouraged to make themselves available during a specified time period for direct dialogue with relevant applicants "to determine if a mutually acceptable solution can be found" in responding to Early Warning or Advice

- The GAC may wish to update GAC Advice/Positions as the updated final recommendations would establish new requirements on GAC Early Warnings and GAC Consensus Advice in future rounds and diverge from previous GAC positions. In particular the GAC may wish to:
 - O Consider whether the GAC accepts having to provide rationale for its advice;
 - \circ $\;$ Whether the omission of the language on "strong presumption" is acceptable.

Community Based Applications

Summary of Previous GAC Input

Status of PDP WG Deliberations

Comment on CCT Review Team Draft Report (19 May 2017):

 Conduct a thorough review of procedures and objectives for Community-based applications (Draft Rec. 48, Final Rec. 34)

Response to Sub Pro PDP CC2 (22 May 2017)

- Where a community which is impacted by a new gTLD application has expressed a collective and clear opinion, that opinion should be duly taken into account as part of the application. (Beijing Communiqué)
- Take better account of community views, regardless of whether those communities have utilised the ICANN formal community process or not (Durban Communique 2013)
- The GAC proposes the establishment of an appeal mechanism for community applications
- The GAC has recently referred to the PDP Working Group for consideration the recommendations of a <u>report on community</u> <u>applications</u> commissioned by the Council of Europe.

Comment on Sub Pro PDP Initial Report (8 October 2018)

- Supports proposal in the Initial Report
- o The study by the Council of Europe should be considered

Comment on CCT Review Team Final Report (11 Dec. 2018)

 a thorough review of procedures and objectives related
 Community-Based Applications be conducted prior to the launch of any future round of New gTLD Application (Final Rec. 34)

ICANN67 Communique (16 March 2020)

- evaluators should have necessary expertise and additional resources at their disposal to gather information about a CPE application and any opposition to it
- improved transparency and predictability, for greater consistency in the CPE process,
- o establishment of an appeals mechanism
- consideration to be given to providing support for non-profit community-based applications.

GAC Consultation on Subpro PDP WG recommendations (May 2020):

- Some GAC members agreed in principle with the draft recommendations, while expressing concerns about the Community Priority Evaluation Process (CPE) specifically due to lack of clear definition of "community".
- GAC members converged on the need for further clarification of the CPE Process per <u>ICANN67 Communique</u> and recalled the GAC consensus positions from the <u>ICANN67 Communique</u> on CPEs.

Confirmed w/ GNSO Support | PDP WG Deliberation Stage: Draft Final

Recommendations - Section 2.9.1 | Last

discussed: 19 March 2020

- The PDP WG supports the overall approach used in the 2012 round for community-based applications, including the continued prioritization of applications in contention sets that have passed Community Priority Evaluation.
- The WG believes its work is in line with the CCT-RT recommendation 34.
- With a view to making the Community Priority Evaluation (CPE) processes efficient, transparent and predictable as possible, the WG recommends:
 - Amended <u>CPE Guidelines</u> (still in progress) should be considered a part of the policy adopted by the PDP WG.
 - ICANN org to consider efficiency improvements, costs and timing.
 - All CPE procedures and dispute provider rules must be published before the application submission
- Regarding the improvement of information gathering by CPE evaluators:
 - in addition to clarifying questions to CPE applicants, written dialogue should be enabled
 - clarifying questions or similar methods should also be available to engage those who submit letters of opposition to community-based applications
- Regarding the definition of "Community", the WG does not appear to be seeking to establish a broader definition instead relying on the existing criteria for the CPE review.

- Consider the WG outcome in considering CCT Review Recommendation 34 and consider providing specific input on expectations in connection with the "thorough review" the GAC has called for
- GAC members should consider keeping track of ongoing work on the <u>CPE Guidelines</u>, in light of some members' concerns with the Priority Evaluation Process, which is still a pending document for the PDP WG.

Subsequent Rounds of New gTLDs: Reviews, Policy Development and Prerequisites

Policy Development Process

Summary of Previous GAC Input Status of PDP WG Deliberations Response to Sub Pro PDP CC1 (29 July Confirmed w/ GNSO Support | PDP WG Deliberation Stage: Draft Final 2016) <u>Recommendation</u> Section 2.2.1 | Last discussed 6 Feb. 2020 GAC Notes range of ongoing interconnected reviews and policy According to the GNSO Review of the GAC Kobe Communiqué (18 development processes relevant to April 2019), all CCT Review recommendations directed at the PDP new gTLDs either by the Review Team (in the course of its work) or by the ICANN Take a comprehensive and Board <u>resolution</u> (1 March 2019) were considered in the course of the measured approach to new gTLD PDP WG's deliberations policy in a sequential and The PDP WG flagged a review of GAC Advice contained in the coordinated way rather than through Montréal Communiqué and understands that it is required to too many parallel and overlapping consider all CCT-RT recommendations directed to it via the 01 March efforts 2019 ICANN Board resolution at it, but is not required to agree with all o Cross-community working outcomes and suggested solutions. environment essential to the The PDP WG final report will describe the manner in which all relevant development of workable policies CCT-RT recommendations were considered and how they were or that maximise benefits to all relevant were not integrated into any final recommendations. Specific CCT-RT stakeholders recs were not addressed in this context, but as an overarching GNSO process to be complemented response to the Montreal Communique Advice, which might be by the input from other SOs/ACs, and inconsistent with GAC expectations. The WG will describe its ICANN Board when not appropriately consideration of the CCT-RT recommendations in its Final Report in reflected in the outcome each relevant section (this item was last discussed in December 2019 o Experience suggests conclusion of a - to be revisited by PDP WG) PDP on such a wide-ranging set of PDP WG discussed whether the program should only utilize "rounds", issues unlikely to be end-point and recommends a "systematized manner of applying for gTLDs be agreed by all stakeholders. GAC will developed in the long term" make every effort to participate in The PDP WG took note of GAC Advice contained in the Montréal agreed post-PDP policy processes.

- Consider metrics to support both policy development and ongoing
- implementation as a specific stream of work

Comment on CCT Review Team Final Report (11 December 2018)

o Increased data collection on consumer trust, DNS abuse, domain wholesale and retail pricing, reseller information, WHOIS accuracy [...] will allow for more informed decision and policy [...] particularly with regard to future standard registry and registrar contract provisions and any subsequent rounds of gTLDs (Final Rec. 1, 8, 11, 13, 17, 18)

- Communiqué, that future rounds should not begin until the prerequisite and high priority recommendations of the CCT-RT are implemented.
- The PDP WG sought to try and identify metrics for success but ultimately determined that this exercise is more appropriately completed during the implementation phase, in accordance with Board-approved recommendations of the CCT-RT, and that an implementation review team should determine the appropriate metrics, and the data required, to measure such metrics on a regular basis to help evaluate the New gTLD Program.
- Of the recommendations flagged by the GAC in the CCT-RT recommendations regarding increased data collection, only Rec. 17 of the CCT-RT was directly assigned to the Subpro PDP WG by the ICANN Board and is not yet being addressed in final report, "ICANN should collect data about and publicize the chain of parties responsible for gTLD domain name registrations.'

Possible Next Steps for the GAC

GAC may wish to provide input on the CCT-RT Recs not addressed per communication to GNSO Council and subsequent discussion at GNSO Council Meeting (21 May 2020)

Summary of Previous GAC Input

Status of PDP WG Deliberations

Response to Sub Pro PDP CC1 (29 July 2016)

- Reiterated GAC Helsinki Communiqué Advice on this matter
- Lack of clarity on realization of the expected benefits of new gTLDs (per pre-2012 economic analysis)
- Development and collection of metrics far from complete
- ICANN, registries and registrars should commit to gathering appropriate data on security and consumer safety issues in a transparent manner
- Preventing or restricting further release of new gTLDs could be seen as a windfall gain for existing gTLD owners. However, competition is only one factor in terms of assessment of costs and benefits.

Comment on CCI Review Team Draft Report (19 May 2017)

 CCT-RT's contribution is critical in evaluating the overall impact of the new gTLD Program and identifying corrective measures and enhancements

<u>Comment</u> on <u>Sub Pro PDP Initial Report</u> (8 October 2018)

- Reiterates GAC Helsinki & Hyderabad Communiqué and previous input that costs and benefits of new gTLDs should be reviewed before any further rounds, noting it does not seem addressed directly by PDP
- Further expansion should take into account the CCT
 Review recommendations identified as prerequisites

<u>Comment</u> on <u>CCT Review Team Final Report</u> (11 December 2018)

 the GAC endorses recommendations in the final report that encourage the collection of data to better inform policy making before increasing the number of new gTLDs (Need for data)

GAC Advice <u>Montreal Communique</u> (9 November 2019)

 Advised not to proceed with a new round of gTLDs until after the complete implementation of the recommendations in the CCT Review that were identified as "prerequisites" or as "high priority".

GAC Response (20 Jan. 2020) to ICANN Board Clarification Questions on GAC Montreal Communique which clarified its positions on "pre-requisites" and "high priority" CCT RT Recs, clarifying that the Board should remain respectful of the advice received from its advisory committees and on topics which encompass high priority/pre-requisite CCT RT recs which were not adopted by the Board the GAC asked for clarification from the Board on how it intends to proceed and when it will make its decision.

Confirmed w/ GNSO Support | **PDP WG Deliberation Stage:**<u>Draft Final Recommendations</u> - Section 2.2.1 | Last discussed 6 February 2020

Status:

- The PDP WG final recommendations note that an "orderly, timely and predictable New gTLD Program is universally supported".
- The PDP WG recommends that prior to the commencement of the next Application Submission Period, ICANN shall publish either (a) the date in which the next subsequent round of new gTLDs will take place or (b) the specific set of criteria and/or events that must occur prior to the opening up of the next subsequent round.
- The Sub Pro PDP WG has not conducted cost/benefit
 analysis of further releases of new gTLDs. This is based in
 part on the fact that "It is the policy of ICANN that
 there be subsequent application rounds, and that a
 systemized manner of applying for gTLDs be developed
 in the long term" (New gTLD Applicant Guidebook,
 section 1.1.6).
- The PDP WG recommends that a "systematized manner of applying for gTLDs be developed in the long term" be maintained as per the 2012 Applicant Guidebook.
- In terms of data collection, the Sub Pro PDP WG draft final recommendations note that "metrics collected to understand the impact of New gTLD Program should [...] focus on the areas of trust, competition, and choice. Work related to the development of metrics should be in accordance with CCT-RT recommendations currently adopted by the Board, as well as those adopted in the future"
- More specifically the PDP WG recommends that "to review metrics, data must be collected at a logical time to create a basis against which future data can be compared."
- No current objections within PDP WG to the New gTLD Program continuing, nor to the collection of data and metrics for assessing the impact of the program.

Possible Next Steps for the GAC

• Determine whether the status of work in the Sub Pro PDP requires revisiting GAC's expectations, in particular in the GAC <u>Montreal Communique</u>, where GAC's advice was not to proceed with a new round of gTLDs until the complete implementation of recommendations in the CCT-RT that were identified as "prerequisites" or as "high priority" is achievable.

3. New gTLD Applications Process

Clarity and Predictability of Application Process

Summary of Previous GAC Input

Response to Sub Pro PDP CC1 (29 July 2016)

- "Continuous delegation" could provide long-term certainty, reduce opportunities for gaming the system and enable more efficient allocation of resources by ICANN, the community and applicants.
- Need for process flexibility to respond to emerging issues
- Need mechanism to alert, allow application by and giving a say to parties interested in name applied for
- GAC Appreciates importance of predictability at the pre-application, application and ongoing post-application stages, However, this should not be the prime or only consideration
- The GAC needs a degree of flexibility to respond to emerging issues at the global level, as dealt with in ICANN processes, since national laws may not be sufficient to address them. The need for such flexibility continues after the conclusion of a GNSO PDP

Response to Sub Pro PDP CC2 (22 May 2017)

- The GAC supports any reasonable measures that streamline application procedures (thereby reducing compliance costs) but that also enable due consideration of public policy issues raised by GAC
- Reiterates response to Sub Pro PDP CC1 regarding flexibility to respond to emerging issues, including after conclusion of PDP

<u>Comment</u> on <u>Sub Pro PDP Initial Report</u> (8 October 2018)

 Reiterates response to Sub Pro PDP CC1 on need for flexibility to respond to emerging issues

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | **PDP WG Deliberation Stage:** <u>Draft Final</u> <u>Recommendations</u> Section 2.2.2 | Last Discussed: 26 May 2020

- The Sub Pro PDP WG recommends that ICANN establish
 predictable, transparent, fair processes and procedures for
 managing issues that arise in the New gTLD Program after the
 Applicant Guidebook is approved which may result in changes
 to the Program and its supporting processes.
- To do so, the PDP WG advises ICANN to use a new <u>Predictability Framework</u>, along with a new <u>Standing Predictability Implementation Review Team ("SPIRT")</u> The Predictability Framework will be used for issues or proposed program changes in various categories as outlines in the Predictability Framework:
 - Operational changes
 - Minor: change to ICANN Org's internal processes with no material impact on applications, applicants, other community members, or AGB procedures.
 - <u>Non-Minor:</u> changes to ICANN Org's internal processes that have (or are likely to have) a material effect.
 - New Process New processes that are likely to have a material impact on applicants or community members
 (SPIRT involved see below) OR changes to ICANN Org's internal processes that have (or likely to have) a significant impact on applicants (still being reviewed by PDP WG)
 - Possible Policy Level Changes potential changes to implementation that may materially differ from the original intent of the policy and could be considered creation of new policy (SPIRT involved)
 - Possible Policy Level New Proposals new mechanisms that may be considered to be within the remit of policy development (SPIRT involved)
- The Standing Predictability Implementation Review Team ("SPIRT") is a new GNSO structure to advise its Council, and with which ICANN org would be required to consult when it considers a change/modification to the New gTLD program after its launch (that is after new applications have been received). The Sub Pro PDP WG recommends it be advisory in nature (and overseen by the GNSO Council) and would not impact the ability of the GNSO and other SO/ACs from performing their roles assigned under the ICANN Bylaws.

- Review the proposed Predictability Framework, its associated SPIRT and the guidelines for ICANN org, and **assess** the impact on GAC need for "flexibility to respond to emerging issues"
- Consider how the GAC would approach and prepare for both the policy implementation phase (once policy
 development is complete and before the new round of application is launched) and for the operational phase
 of a next round (administration of the Program) under the envisioned Predictability Framework.

Application Procedures

Summary of Previous GAC Input

Response to Sub Pro PDP CC2 (22 May 2017)

- Critical assessment should be made on whether Applicant Guidebook or single place on ICANN's website should be preferred in future
- If Applicant Guidebook is retained, partitioning in different audience-driven sections or by type of application has merit

Comment on Sub Pro PDP Supplemental Initial Report (19 Dec. 2018)

- Concurs that better guidance provided by ICANN
 would be helpful regarding possible changes in
 applications once submitted and their
 consequences in terms of publication and
 evaluation.
- Care is required so as not to allow changes that could undermine the role of Application comments
- A change to the likely operator of the new gTLD would constitute a material change and require notification (AGB 1.2.7) and possibly re-evaluation as well as public comments for competition and other concerns.

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | **PDP WG Deliberation Stage:**<u>Draft Final Recommendations</u> - Section 2.2.1 | Last discussed on: <u>6 February 2020</u>

Status:

- The Applicant Guidebook is expected to be retained and made available in the 6 UN Languages.
- The WG is leaning towards requiring that the translations must all be available a certain period of time before the application window can open. See section 2.4.1 Applicant Guidebook.
- The PDP WG Recommendation for ICANN org to provide better guidance to the Applicant is also expected to be retained.
- The Working Group recommends focusing on the user when drafting future versions of the Applicant Guidebook and prioritizing usability, clarity, and practicality in developing the AGB for subsequent procedures. The AGB should effectively address the needs of new applicants as well as those already familiar with the application process. It should also effectively serve those who do not speak English as a first language in addition to native English speakers.

Possible Next Steps for the GAC

 Consider providing specific implementation guidance to ICANN once policy development is complete and ICANN begin implementation work, including editing the New gTLD Applicant Guidebook

Freedom of Expression

Summary of Previous GAC Input

Comment on Sub Pro PDP Initial Report (8 October 2018)

- No clear evidence of infringement of an applicant's freedom of expression rights in the recent gTLD round
- Freedom of expression, especially from commercial players, is important but not absolute.
- As in any fundamental rights analysis all affected rights have to be considered, including, inter alia, intellectual property rights, applicable national laws on protection of certain terms etc.
- Procedures have to be inclusive of all parties whose interests and rights are affected by a specific string application, and all need to be given a fair say in the process

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | PDP WG Deliberation Stage: <u>Draft Final Recommendation</u> - Section 2.3.3 | Last discussed on: 2 April 2020

Status:

- The string evaluation process must not infringe the applicant's freedom of expression rights that are protected under internationally recognized principles of law
- WG notes that as ICANN incorporates human rights into ICANN's processes in line with the recommendations of Work Stream 2, it may want to consider elements of the New gTLD Program as they relate to applicant freedom of expression.
- The Working Group understands the challenges of ensuring that freedom of expression is incorporated into the implementation and operation of the new gTLD program, and recommends a proactive approach to ensuring that these rights are taken into account in the development of program rules, processes, and materials.
- While the Working Group did not agree to specific recommendations in this regard, it encourages ICANN org to give additional consideration to this issue in the implementation phase

PDP WG updated language to cross reference the <u>Framework of Interpretation (FOI)</u> for the human rights core value as part of the CCWG Accountability <u>WS2</u> recommendations adopted by the ICANN Board in Nov. 2019

Possible Next Steps for the GAC

• The GAC may wish to monitor WG draft final recommendations, in particular might be of interest to the HRIL WG due to mention of human rights and WS2 implementation.

TLD Categories (or Types)

Summary of Previous GAC Input

Response to Sub Pro PDP CC1 (29 July 2016)

- Reiterates GAC Nairobi Communiqué Advice calling for further exploration of categories
- Limited geographic and category diversity of 2012 application should inform discussions
- GAC 2007 Principles and Durban Communiqué suggest certain types of TLDs which may deserve a differential treatment, including sensitive strings and highly regulated sectors
- Differential treatment may require different tracks for application and different procedures, rules and criteria.
 To be confirmed with data gathering.

Response to Sub Pro PDP CC2 (22 May 2017)

 Reiterates GAC Nairobi Communiqué Advice in relation to possible variable fee structure per type of application

<u>Comment</u> on the <u>Statistical Analysis of DNS Abuse in New aTLDs</u>

(19 September 2017)

- There is still significant scope for the development and enhancement of current mitigation measures and safeguards, taking into account the specific risk levels associated with different categories of New gTLD (Standard or generic gTLD,Community gTLD, Geographic gTLD and Brand gTLD)
- Fisk levels also varies depending on the strictness of the registration policy (bad actors prefer to register domains in standard new gTLDs, which are generally open for public registration, rather than in community new gTLDs, where registries may impose restrictions on who can register domain names)

Comment on Sub Pro PDP Initial Report (8 October 2018)

 Reiterates GAC Nairobi Communiqué Advice calling for further exploration of categories and addressing fees

Status of PDP WG Deliberations

Confirmed w/ GNSO Support | PDP WG Deliberation Stage: Draft Final Recommendation 2.5.1 & 2.5.2 Last discussed on: 23 April 2020

Status:

- PDP WG considered GAC Advice in Nairobi Communique, relative to exploring the benefits of further categories.
- Working Group concluded that it is challenging to implement additional categories in a simple, effective, and predictable manner.
- PDP WG notes that the establishment of additional types should be done under exceptional circumstances only and should be done via community processes.
- PDP WG considering including Category 1 GAC Safeguards in different string types. Further discussions warranted.
- PDP WG recommends maintaining existing categories and to not create additional categories, with the exception of formally adopting the .Brand category..
- The PDP WG recommends maintaining the single base fee charged in the 2012 application round, with the exception of Applicant Support.

- The GAC may wish to provide GAC advice on additional categories which should be considered and why they should be given a different treatment.
- Allowing for a variable fee structure may need to be pursued specifically

Community Engagement

Summary of Previous GAC Input	Status of PDP WG Deliberations
Ensure/empower participation from all relevant stakeholders from affected communities (as applicants or to have a fair say when legitimate interests affected by TLD applications)	Confirmed w/ GNSO Support PDP WG Deliberation Stage: Draft Final Recommendations - Section 2.4.2 PDP WG Last discussed this topic on: 23 Jan 2020 Status: • The PDP WG agreed that the New gTLD Program's communications plan should serve the goals of raising awareness about the New gTLD Program to as many potential applicants as possible around the world and making sure that potential applicants know about the program in time to apply. • To serve this objective, the WG determined that the focus should be on timeliness, broad outreach, and accessibility. • As a result, the PDP WG focused on specific suggestions that would further those high-level goals. • Public comment received was largely supportive of the Working Group's preliminary outcomes and accordingly, they have been carried forth as Implementation Guidance in this report
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Possible Next Steps for the GAC

 Consider monitoring and contributing specific input on the New gTLD Communication Strategy as well as other areas of WG deliberations such <u>Comments</u> and <u>Objections</u> on Applications.

4. New gTLD Applications Requirements

Applicant Evaluation and Accreditation Programs

Status of PDP WG Deliberations **Summary of Previous GAC Input** Comment on Sub Pro PDP Initial Report (8 October Confirmed w/ GNSO Support | PDP WG Deliberation Stage: Draft Final Recommendations - Section 2.2.6 | Last discussed: 10 Feb. 2020 Applicant evaluation and Registry Service Provider pre-approval process should include Status: consideration of potential security threats Accreditation Programs renamed RSP Pre-Evaluation by Such consideration should include using tools PDP WG. such as ICANN's DAAR to identify any potential • PDP WG recommends establishing a program in which security risks (and affiliated data) associated Registry Service Providers ("RSPs") may receive with an application pre-evaluation by ICANN if they pass the required technical evaluation by ICANN or their selected third party provider. The only difference between a pre-evaluated RSP and one that is evaluated during the application evaluation process is the timing of when the evaluation and testing takes place • PDP WG recommends that all criteria for evaluation and testing (if applicable) must be the same. The WG is unsure of how to integrate data such as DAAR, which provides data for an already delegated TLD, into the evaluation process.

- The GAC and PSWG particularly may wish to consider GAC advice/comment in this area as to ensure outcomes
 compatible with GAC expectations and threat landscape, consistent with previous GAC Advice¹
- The GAC may want to consider providing specific guidance on how tools like DAAR can benefit the evaluation process.

¹ In particular Annex 1 of <u>GAC Hyderabad Communiqué</u>, and follow-up exchange with ICANN Board and ICANN Org. For more information: https://gac.icann.org/activity/dns-abuse-mitigation (section Ongoing Work > Effectiveness of DNS Abuse Safeguards in Registries and Registrars Contracts)

Reserved Names

Summary of Previous GAC Input Status of PDP WG Deliberations Comment on Sub Pro PDP Initial Report (8 October Confirmed w/ GNSO Support | PDP WG Deliberation Stage:: <u>Draft Final Recommendations</u> - Section 2.7.1 | Last discussed on 2018) 23 April 2020 o Existing reservations of names at the top level substantially reflect the GAC Principles • Reserved Names ["Unavailable Names," referred to in Regarding New gTLDs. 2012 AGB as "Reserved Names"] at the Top Level: the PDP The GAC would expect that any changes WG affirms Recommendation 2 from the 2007 policy, **should be consistent** with these Principles which states "Strings must not be confusingly similar to an o The GAC wishes to draw the attention of the existing top-level domain or a Reserved Name" PDP to its most recent advice on certain PDP WG recommends the standard used in the String 2-character codes at the second level (GAC) Similarity Review from the 2012 round to determine an Panama Communiqué) applied-for string is "similar" to any existing TLD, any other applied-for strings, reserved names, and in the case of 2-character IDNs, any single character or any 2-character ASCII string. • PDP Recommends prohibiting plurals/singulars of the same word within the same language/script to reduce consumer confusion. • PDP WG supports continuing to reserve as unavailable for delegation those strings at the top level that were considered Reserved Names and were unavailable for delegation in the 2012 round. • PDP WG recommends updating Specification 5 of the Registry Agreement (Schedule of Reserved Names) to include the measures for second-level Letter/Letter Two-Character ASCII Labels to Avoid Confusion with Corresponding Country Codes adopted by the ICANN Board on 8 November 2016 The Working Group notes that recommendation 2.3.b from the Program Implementation Review Report states: "Consider any additional policy guidance provided to ICANN on the topic of string similarity." The Working Group anticipates that ICANN org will leverage the above recommendations in the development of String Similarity review processes for subsequent procedures.

5. New gTLD Applications Requirements - Safeguards and Public Interest Commitments

Safeguards (Highly regulated sectors, Registration Restrictions, DNS Abuse)

Summary of Previous GAC Input

Status of PDP WG Deliberations

<u>Comment</u> on <u>CCI Review Team Draft Report</u> (19 May 2017): the GAC supports:

- Incentives for registries to meet user expectations regarding content, registrants in TLD, safety of personal data (Draft Rec. 14, Final Rec. 12)
- Further gathering of data related to WHOIS Accuracy and related complaints (Draft Rec. 17-18, Final Rec. 18)
- Regular gathering, analysis by ICANN of data pertaining to abuse rates in new gTLDs (Draft Rec. 19, Final Rec. 16)
- Review of Registry Security Framework (Draft Rec. 20, Final Rec. 19)
- Assessing whether mechanisms to report and handle complaints have led to more focused efforts to combat abuse and improving awareness of Registries points of contact to report abuse (Draft Rec. 21-22, Final Rec. 20)
- Collection of additional information in complaints to assess effectiveness of highly regulated strings Cat. 1 safeguards (Draft Rec. 23-24, Final Rec. 21)
- More data and information required for an objective assessment of the effectiveness of safeguards for highly regulated strings (Draft Rec. 25-30, Final Rec. 23)
- Survey registrant and ICANN compliance on enforcement of Safeguards related to New gTLDs with Inherent Governmental Functions and Cyberbullying (Draft. Rec 31-32, Final Rec. 24)
- Additional collection of data to assess effects of restricted registration policies on TLD trustworthiness, DNS Abuse, competition, and costs of compliance (Draft Rec. 33-36, Final Rec. 13)

<u>Comment</u> on the <u>Statistical Analysis of DNS Abuse in New gTLDs</u> (19 September 2017)

- There is still significant scope for the development and enhancement of current mitigation measures and safeguards, taking into account the specific risk levels associated with different categories of New gTLD (Standard or generic gTLD,Community gTLD, Geographic gTLD and Brand gTLD)
- Risk levels also varies depending on the strictness of the registration policy (bad actors prefer to register domains in standard new gTLDs, which are generally open for public registration, rather than in community new gTLDs, where registries may impose restrictions on who can register domain names)

Comment on Sub Pro PDP Initial Report (8 October 2018)

 Verified [TLD] Consortium and the National Association of Boards of Pharmacy recommendations on applications for strings linked to highly regulated sectors should be supported.

<u>Comment</u> on <u>CCT Review Team Final Report</u> (11 December 2018)

 Considering the conclusion that "The new gTLD safeguards alone do not prevent DNS Security abuse in the DNS", consider more proactive measures to identify and combat DNS abuse, including incentives (contractually and/or Confirmed w/ GNSO Support | PDP WG

Deliberation Stage: Draft Final Recommendations
| Last Discussed: 9 April 2020

Status:

- There appears to be some support for the concept of a Verified TLD (TLDs implying trust and related to regulated or professional sectors that have implications for consumer safety and well-being)
- As indicated in the <u>Policy Development</u>
 <u>Process section</u> of this scorecard, the <u>PDP</u>
 WG believes that all CCT Review
 recommendations directed at the <u>PDP</u> are
 being considered in the course of the PDP
 WG's deliberations
- Per the PDP WG's working document, 4 of the <u>CCT Review recommendations</u> identified as important by the GAC in the area of safeguards (see Left) are being considered by the PDP (Rec. 12, 14, 16, 23). All of these are identified as requiring more consideration in PDP WG deliberations
- It should be noted that CCT Review Final Recommendations have been considered by the ICANN Board (1 March 2019). The Board's actions are currently subject to further community discussion, as tracked by the GAC in another dedicated scorecard.
- PDP WG is considering adopting within its final report GAC Category 1 Safeguards as per GAC Beijing Communique - to be revisited by PDP WG on 4 June 2020.

- financially) by ICANN to encourage contracted parties to adopt proactive anti-abuse measures (Final Rec. 14)
- Incentivize registries to meet expectations about who can register domains in sensitive or regulated industries and gathering data about complaints and rates of abuse in these gTLDs that often convey an implied level of trust (Final Rec. 12, 23)
- Endorses recommendation for an audit of highly regulated gTLDs to assess whether restrictions regarding possessing necessary credentials are being enforced (Final Rec. 23)
- ICANN Contractual Compliance to publish more details as to the nature of the complaints they are receiving and what safeguards they are aligned with, to enhance future policy making and contractual safeguards (Final Rec. 20, 21)

Possible Next Steps for the GAC

(Refer to <u>PICs</u> section since content overlaps)

Given the importance of this policy area for the GAC, and given the reduced scope of consideration of CCT Review Recommendations in the PDP WG (compared to GAC expectations), the GAC May wish to:

- track developments in relation to the Board consideration of the CCT Review recommendations, and possibly engage via other channels in complement to the PDP WG where appropriate.
- The GAC may wish to also monitor upcoming draft final recommendations on topics not yet addressed, of interest to the GAC:
 - o Consideration of existing safeguards and related CCT recommendations
- GAC may wish to monitor PDP WG discussion of adopting Cat. 1 Safeguards as per 9 April 2020 PDP WG discussion to be resumed 4 June 2020.

6. New gTLD Applications Evaluation, Objections and String Contention

String Similarity/String Confusion

Summary of Previous GAC Input	Status of PDP WG Deliberations		
Response to Sub Pro PDP CC2 (22 May 2017) Reference to the GAC Hyderabad Communiqué Advice regarding the proposed guidelines on the second IDN ccTLD string similarity review process Reference to GAC Prague Communiqué advice "to create a mechanism of appeal that will allow challenging the decisions on confusability"in relations to applied-for IDN ccTLDs Comment on Sub Pro PDP Initial Report (8 October 2018) Reaffirms previous advice (GAC Beijing and Singapore Communiqué) that singular and plural versions of the same string as a TLD could lead to consumer harm	Confirmed w/ GNSO Support PDP WG Deliberation Stage:: Draft Final Recommendation - Section 2.7.4 Status: Last discussed on 9 April 2020 Draft final recommendations include detailed guidance on the standard of confusing similarity as it applies to singular and plural versions of the same word, noting that this was an area where there was insufficient clarity in the 2012 round		
Possible Next Steps for the GAC			

Auctions Procedures

Summary of Previous GAC Input Status of PDP WG Deliberations Confirmed w/ GNSO Support | PDP WG Deliberation Stage: Draft Final Comment on Sub Pro PDP Initial Report (8 October 2018) Recommendations 2.1 & 2.2 | Last discussed on 4 May 2020 Auctions of last resort should There should be additional options for applicants to voluntarily resolve not be used in contentions contention sets by mutual agreement before being forced into an ICANN between commercial and non-commercial PDP WG recommends that if there is contention for strings, applicants may: applications resolve contention between them within a pre-established o **Private auctions** should be timeframe in accordance with the Application Terms & Conditions strongly disincentivised o if there is no mutual agreement, a claim to support a community by one party will be a reason to award priority to that application. Comment on Sub Pro PDP If there is no such claim, and no mutual agreement, contention Supplemental Initial Report (19 will be resolved through an auction of last resort and; Dec. 2018) the ICANN Board may use expert panels to make Community Reiterates comments made on the Initial Report Priority Evaluation determinations Applicants shall not submit applications for the purpose of financially benefiting from the resolution of contention sets. PDP WG recommends including a PIC incorporating a mandatory contractual warranty/representation that the Registry Operator did not participate in any of the Prohibited Application Activities into the registry agreement. The PDP WG recommends that auctions of last resort should take place using the second-price auction method, in which bidders submit a sealed-bid auction rather than the ascending clock auction used in 2012. The PDP WG discussed alternatives to auctions of last resort to resolve contentions, but did not come to any agreement on a better option to be widely supported by the community.

- Prepare to update GAC positions for the upcoming public comment proceeding from the WG to press on and bolster <u>existing support by some members of the WG</u> (section 2.1.d.2.1) for specific consideration of non-commercial applications in auctions, or alternatives thereof.
- Consider refining expectations and making proposals in terms of incentives for the avoidance of private auctions.
- GAC should review the final recommendations of Cross-Community WG on Auction Proceeds to inform thinking