Policy Development at ICANN: An Introduction

Carlos Reyes, Strategic Policy Planning Director

ICANN

Agenda

1 Overview of Policy Development Processes

2 Examples of Policies

3 Current Policy Development Processes

4 Policy Development Support Department

5 Question and Answer Session

6 Resources

Overview of Policy Development Processes

Agenda Item 1

ICANN Ecosystem

The ICANN Multistakeholder Community

MAKING POLICY:

Three Supporting Organizations (SOs) in the ICANN community are responsible for developing policy recommendations in the areas they represent: IP addresses; generic top-level domains (gTLDs); and country code top-level domains (ccTLDs).

PROVIDING ADVICE:

Four Advisory Committees (ACs) give advice and make recommendations on ICANN topics. The ACs are made up of representatives from: governments and international treaty organizations; root server operators; Internet security experts; and Internet end users.

Supporting Organizations (SOs)

ASO
The ASO Address Council is composed of 15 volunteers — 3 from each of the Regional Internet Registries (RIRs)— who work on global Internet Protocol (IP) Address Policy.

ccNSO
The ccNSO (Council and members) works on global policies relating to country code top-level domain name (ccTLD) policies (e.g., .br, .uk).

GNSO
The GNSO Council is composed of 21 members — divided into 2 houses (contracted and non-contracted parties) — who work on generic top-level domain name (gTLD) policies (e.g., .com, new gTLDs).

Supporting Organizations (SOs)
Three SOs in the ICANN community are responsible for developing policy recommendations in the areas they represent.

Address Supporting Organization (ASO)

Country Code Names Supporting Organization (ccNSO)

Generic Names Supporting Organization (GNSO)

Advisory Committees (ACs)

Advisory Committees (ACs)

Four ACs give advice and make recommendations on ICANN topics.

At-Large Advisory Committee (ALAC)

Governmental Advisory Committee (GAC)

Root Server System Advisory Committee (RSSAC)

Security and Stability Advisory Committee (SSAC)

ALAC
The ALAC voices the interests of the individual Internet user and is composed of 15 members- 2 from each of the five Regional At-Large Organizations (RALOs) and 5 appointed by the ICANN Nominating Committee. It is supported by over 200 At-Large Structures (ALSes) and volunteers.

GAC
The GAC provides advice on public policy issues, particularly on interactions with policies and national laws or international agreements.

RSSAC
The RSSAC advises the ICANN community and Board on the operation, administration, security, and integrity of the Internet's Root Server System.
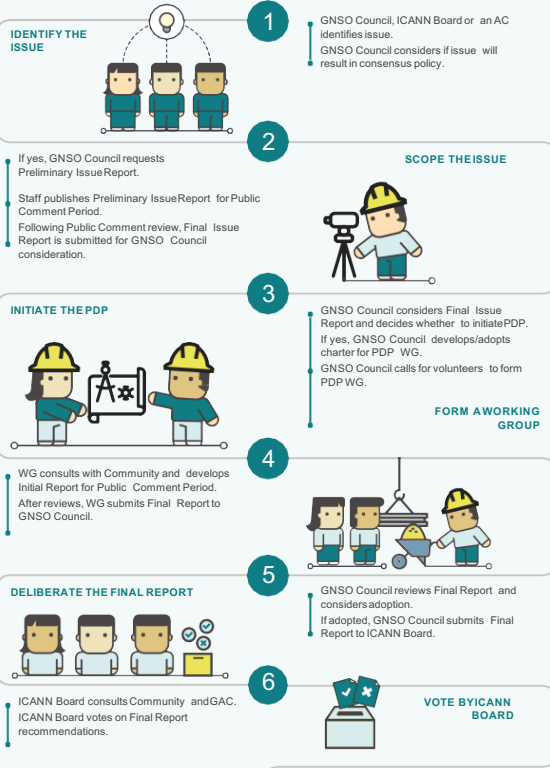
SSAC
The SSAC advises on matters related to the security and integrity of the Internet's naming and address allocation systems.

Multistakeholder Policy Development

Generic Names Supporting Organization (GNSO)

GNSO Council is composed of 21 members — divided into 2 houses (contracted and non-contracted parties) — who work on generic top-level domain name (gTLD) policies (e.g., .com, new gTLDs).
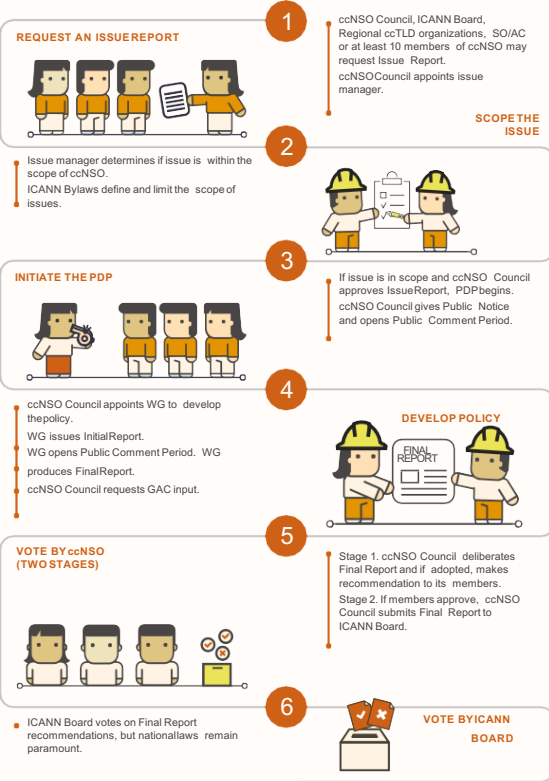
GNSO Policy Development Process

1 IDENTIFY THE ISSUE
- GNSO Council, ICANN Board or an AC identifies issue.
- GNSO Council considers if issue will result in consensus policy.

2 SCOPE THE ISSUE
- If yes, GNSO Council requests Preliminary Issue Report.
- Staff publishes Preliminary Issue Report for Public Comment Period.
- Following Public Comment review, Final Issue Report is submitted for GNSO Council consideration.

3 INITIATE THE PDP / FORM A WORKING GROUP
- GNSO Council considers Final Issue Report and decides whether to initiate PDP.
- If yes, GNSO Council develops/adopts charter for PDP WG.
- GNSO Council calls for volunteers to form PDP WG.

4
- WG consults with Community and develops Initial Report for Public Comment Period.
- After reviews, WG submits Final Report to GNSO Council.

5 DELIBERATE THE FINAL REPORT
- GNSO Council reviews Final Report and considers adoption.
- If adopted, GNSO Council submits Final Report to ICANN Board.

6 VOTE BY ICANN BOARD
- ICANN Board consults Community and GAC.
- ICANN Board votes on Final Report recommendations.

Learn more about the GNSO
gnso.icann.org

ICANN | GNSO
Generic Names Supporting Organization

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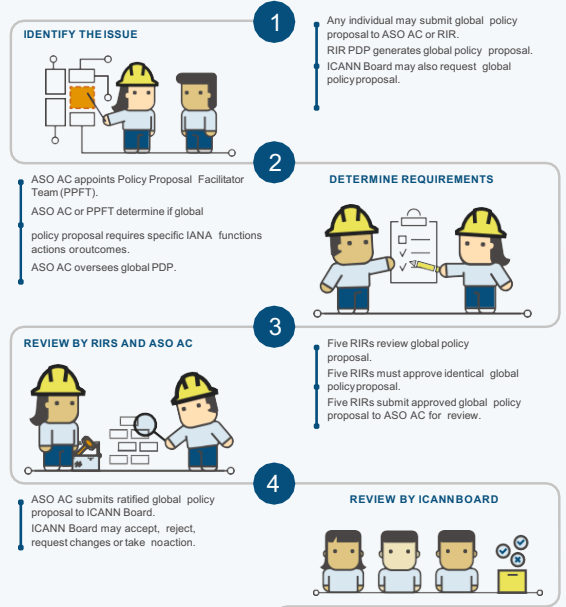
ccNSO Policy Development Process

1 REQUEST AN ISSUE REPORT
- ccNSO Council, ICANN Board, Regional ccTLD organizations, SO/AC or at least 10 members of ccNSO may request Issue Report.
- ccNSO Council appoints issue manager.

2 SCOPE THE ISSUE
- Issue manager determines if issue is within the scope of ccNSO.
- ICANN Bylaws define and limit the scope of issues.

3 INITIATE THE PDP
- If issue is in scope and ccNSO Council approves Issue Report, PDP begins.
- ccNSO Council gives Public Notice and opens Public Comment Period.

4 DEVELOP POLICY
- ccNSO Council appoints WG to develop the policy.
- WG issues Initial Report.
- WG opens Public Comment Period. WG produces Final Report.
- ccNSO Council requests GAC input.

5 VOTE BY ccNSO (TWO STAGES)
- Stage 1. ccNSO Council deliberates Final Report and if adopted, makes recommendation to its members.
- Stage 2. If members approve, ccNSO Council submits Final Report to ICANN Board.

6 VOTE BY ICANN BOARD
- ICANN Board votes on Final Report recommendations, but national laws remain paramount.

Learn more about the ccNSO
ccnso.icann.org

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Country Code Names Supporting Organization

Address Supporting Organization (ASO)

ASO Address Council (AC) is composed of 15 volunteers — 3 from each of the Regional Internet Registries (RIRs)* — who work on global Internet Protocol (IP) Address Policy.

ASO Global Policy Development Process

1 IDENTIFY THE ISSUE
- Any individual may submit global policy proposal to ASO AC or RIR.
- RIR PDP generates global policy proposal.
- ICANN Board may also request global policy proposal.

2 DETERMINE REQUIREMENTS
- ASO AC appoints Policy Proposal Facilitator Team (PPFT).
- ASO AC or PPFT determine if global policy proposal requires specific IANA functions actions or outcomes.
- ASO AC oversees global PDP.

3 REVIEW BY RIRS AND ASO AC
- Five RIRs review global policy proposal.
- Five RIRs must approve identical global policy proposal.
- Five RIRs submit approved global policy proposal to ASO AC for review.

4 REVIEW BY ICANN BOARD
- ASO AC submits ratified global policy proposal to ICANN Board.
- ICANN Board may accept, reject, request changes or take no action.

*Regional Internet Registries
(RIRs) AFRINIC   Africa
APNIC   Asia and Pacific region
ARIN   Canada, parts of the Caribbean and North Atlantic islands, and the U.S.
LACNIC   Latin America and parts of the Caribbean
RIPE NCC   Europe, the Middle East and parts of Central Asia

Learn more about the ASO
aso.icann.org

ICANN | ASO
Address Supporting Organization

GAC Governmental Advisory Committee | **PDP** Policy Development Process | **SO/AC** Supporting Organizations/Advisory Committees | **WG** Working Group

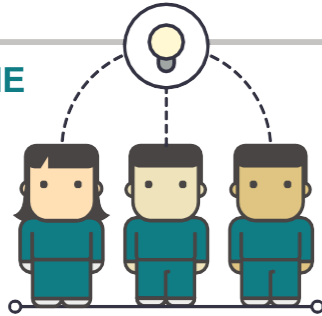# Generic Names Supporting Organization (GNSO)

ICANN | GNSO
Generic Names Supporting Organization

GNSO Council is composed of 21 members – divided into 2 houses (contracted and non-contracted parties) – who work on generic top-level domain name (gTLD) policies (e.g., .com, new gTLDs).
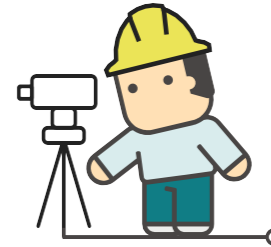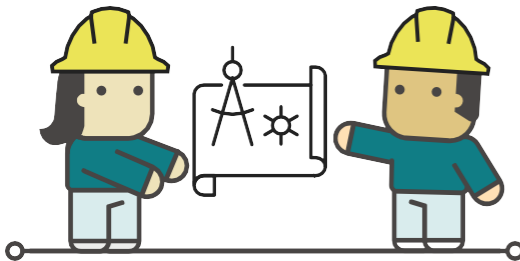
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- If yes, GNSO Council develops/adopts charter for PDP WG.
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ICANN

GNSO Policy Development Process

4 FORM A WORKING GROUP

WG consults with Community and develops Initial Report for Public Comment Period.
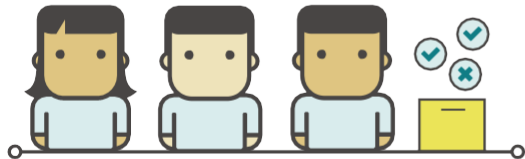
After reviews, WG submits Final Report to GNSO Council.

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DELIBERATE THE FINAL REPORT

GNSO Council reviews Final Report and considers adoption.

If adopted, GNSO Council submits Final Report to ICANN Board.

6 VOTE BY ICANN BOARD

ICANN Board consults Community and GAC.

ICANN Board votes on Final Report recommendations.

Learn more ▶ **gnso.icann.org**

ICANN | GNSO
Generic Names Supporting Organization

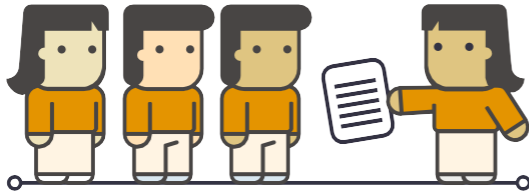# Country Code Names Supporting Organization (ccNSO)

ICANN | ccNSO
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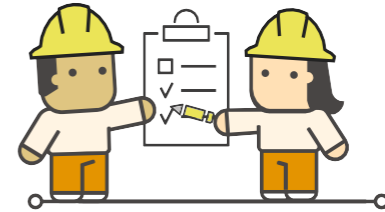# ccNSO Policy Development Process

REQUEST AN ISSUE REPORT

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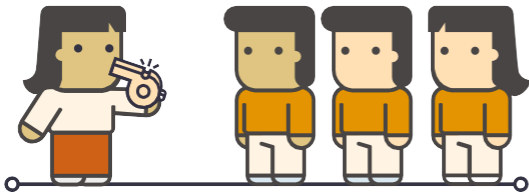ccNSO Council appoints issue manager.

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Issue manager determines if issue is within the scope of ccNSO.

ICANN Bylaws define and limit the scope of issues.

SCOPE THE ISSUE

3

INITIATE THE PDP

If issue is in scope and ccNSO Council approves Issue Report, PDP begins.

ccNSO Council gives Public Notice and opens Public Comment Period.

ccNSO Policy Development Process

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DEVELOP POLICY

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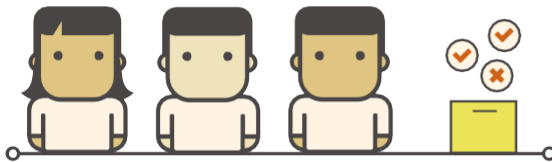- ccNSO Council requests GAC input.

FINAL REPORT

5

VOTE BY ccNSO (TWO STAGES)

Stage 1. ccNSO Council deliberates Final Report and if adopted, makes recommendation to its members.

Stage 2. If members approve, ccNSO Council submits Final Report to ICANN Board.

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VOTE BY ICANN BOARD

- ICANN Board votes on Final Report recommendations, but national laws remain paramount.

🌐 Learn more ▶   **ccnso.icann.org**

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Country Code Names Supporting Organization

ICANN

Address Supporting Organization (ASO)

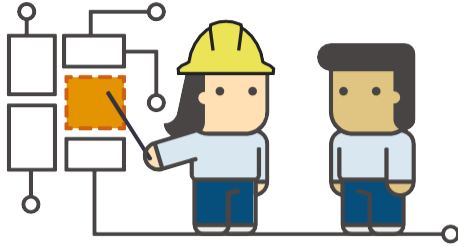**ICANN | ASO**
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ASO Policy Development Process

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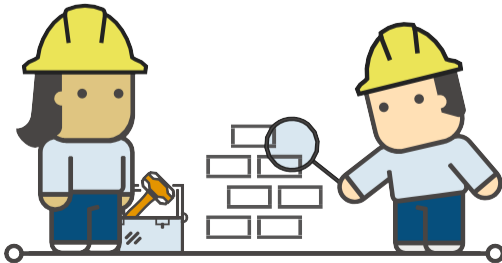ICANN Board may accept, reject, request changes or take no action.

REVIEW BY ICANN BOARD
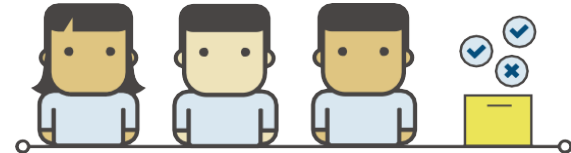
*Regional Internet Registries (RIRs)

AFRINIC	Africa
APNIC	Asia and Pacific region
ARIN	Canada, parts of the Caribbean and North Atlantic islands, and the U.S.
LACNIC	Latin America and parts of the Caribbean
RIPE NCC	Europe, the Middle East and parts of Central Asia

Learn more ▶ **aso.icann.org**

ICANN | ASO
Address Supporting Organization

Multistakeholder Advice Development

At-Large Advisory Committee (ALAC)

ALAC voices interests of Internet end users and advises ICANN Board on policies within ICANN's mission and scope.

ALAC Advice Development Process

1 IDENTIFY THE ISSUE
- Any community member can bring up emerging issues to ALAC.

2 SCOPE THE ISSUE
- ALAC discusses its relevance to end users and decides if it needs to respond.
- ALAC determines if issue is in scope.

3 DEVELOP ADVICE
- ALAC appoints At-Large community member to lead small team to write draft statement and begin consultation.
- Anyone may contribute to draft statement.

4 RATIFY ADVICE
- ALAC reviews and calls for consensus or votes on final statement.
- If ratified, ALAC sends advice to ICANN Board, ICANN org, SOs/ACs, or other ICANN community members for consideration.

Learn more about the ALAC
alac.icann.org

Governmental Advisory Committee (GAC)

GAC advises ICANN Board on public policy issues, particularly in areas where ICANN policies intersect with national laws and international agreements.
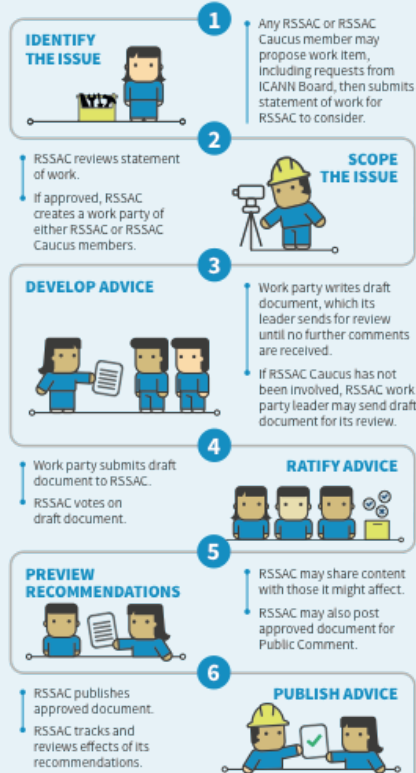
GAC Advice Development Process

1 IDENTIFY THE ISSUE
- Any GAC member or observer may raise issues for discussion.
- ICANN Board may also seek GAC advice.

2 COLLECT MEMBER VIEWS
- GAC chair solicits input from GAC members, observers, or working groups.

3 ACHIEVE CONSENSUS
- GAC chair summarizes comments with aim of reaching GAC consensus.

4 DRAFT ADVICE
- GAC members, observers, or working groups contribute to draft advice.
- GAC reviews advice.

5 ISSUE ADVICE
- If consensus is reached, GAC chair issues communiqué or other formal written statement to ICANN Board.

Learn more about the GAC
gac.icann.org

ICANN | GAC
Governmental Advisory Committee

Root Server System Advisory Committee (RSSAC)

RSSAC advises ICANN Board and community on matters relating to the operation, administration, security, and integrity of the Internet's Root Server System.
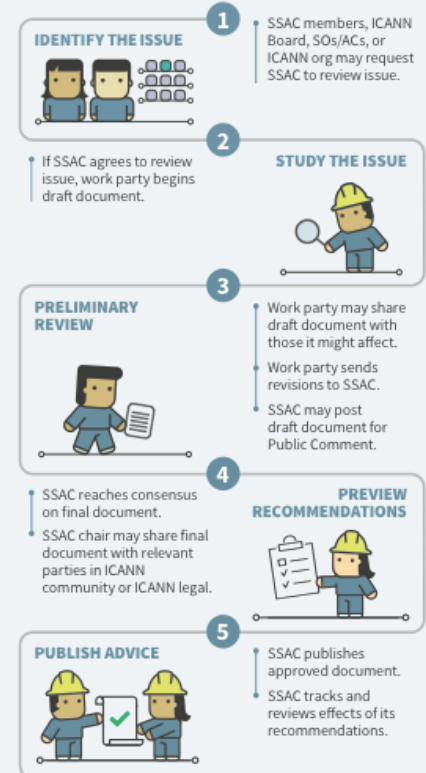
RSSAC Advice Development Process

1 IDENTIFY THE ISSUE
- Any RSSAC or RSSAC Caucus member may propose work item, including requests from ICANN Board, then submits statement of work for RSSAC to consider.

2 SCOPE THE ISSUE
- RSSAC reviews statement of work.
- If approved, RSSAC creates a work party of either RSSAC or RSSAC Caucus members.

3 DEVELOP ADVICE
- Work party writes draft document, which its leader sends for review until no further comments are received.
- If RSSAC Caucus has not been involved, RSSAC work party leader may send draft document for its review.

4 RATIFY ADVICE
- Work party submits draft document to RSSAC.
- RSSAC votes on draft document.

5 PREVIEW RECOMMENDATIONS
- RSSAC may share content with those it might affect.
- RSSAC may also post approved document for Public Comment.

6 PUBLISH ADVICE
- RSSAC publishes approved document.
- RSSAC tracks and reviews effects of its recommendations.

Learn more about the RSSAC
rssac.icann.org

ICANN | RSSAC
Root Server System Advisory Committee

Security and Stability Advisory Committee (SSAC)

SSAC advises ICANN Board and community on issues relating to the security and integrity of the Internet's naming and address allocation systems.

SSAC Advice Development Process

1 IDENTIFY THE ISSUE
- SSAC members, ICANN Board, SOs/ACs, or ICANN org may request SSAC to review issue.

2 STUDY THE ISSUE
- If SSAC agrees to review issue, work party begins draft document.

3 PRELIMINARY REVIEW
- Work party may share draft document with those it might affect.
- Work party sends revisions to SSAC.
- SSAC may post draft document for Public Comment.

4 PREVIEW RECOMMENDATIONS
- SSAC reaches consensus on final document.
- SSAC chair may share final document with relevant parties in ICANN community or ICANN legal.

5 PUBLISH ADVICE
- SSAC publishes approved document.
- SSAC tracks and reviews effects of its recommendations.

Learn more about the SSAC
ssac.icann.org

ICANN | SSAC
Security and Stability Advisory Committee

SO/AC Supporting Organizations/Advisory Committees

Examples of Policies

Agenda Item 2

ASO

- ⦿ Allocation of IPv6 Blocks to RIRs (2006)

- ⦿ Allocation of ASN Blocks to RIRs (2010)

- ⦿ Post-Exhaustion Allocation Mechanisms of IPv4 (2012)

ccNSO

- ⦿ Country Code Policy Development under the ICANN Bylaws (2005)

- ⦿ Internationalized Domain Names (2011)

GNSO

Most recently completed:

⦿ Privacy and Proxy Services Accreditation Issues (2016)

⦿ Translation and Transliteration of gTLD Registration Data (2015)

⦿ "Thick" WHOIS (2014)

Current Policy Development Processes

Agenda Item 3

ccNSO

⊙ **Retirement of ccTLDs**

"…recommend a policy for the retirement of the delegated top-level domains associated with the country codes assigned to countries and territories listed in the ISO 3166-1"

  ○ The high-level topics and issues:
- Consistency of terminology
- What triggers a retirement?
- Who triggers a retirement process?
- Additional conditions for retirement of a ccTLD
- Compliance with conditions

GNSO

- ⊙ **Rights Protection Mechanisms in All gTLDs**

  "…review all the RPMs that have been developed by ICANN in a two-phased PDP. By the end of its work, the working group will be expected to also have considered the overarching issue as to whether or not the RPMs collectively fulfil their purposes or whether additional policy recommendations will be necessary, including to clarify and unify the policy goals."

- ⊙ **New gTLD Subsequent Procedures**

  "…determine what, if any changes may need to be made to the existing 2007 Introduction of New Generic Top-Level Domains policy recommendations. Those policy recommendations will remain in place for subsequent rounds unless modified via a PDP."

GNSO

⊙ **Next-Generation Registration Directory Service to Replace WHOIS**

"…provide the GNSO Council with recommendations on the following two questions as part of phase 1: What are the fundamental requirements for gTLD registration data and is a new policy framework and next-generation RDS needed to address these requirements?"

⊙ **IGO and INGO Access to Curative Rights Protection Mechanisms**

"…provide the GNSO Council with recommendations as to whether to amend the Uniform Domain Name Dispute Resolution Policy (UDRP) and Uniform Rapid Suspension (URS) to allow access to and use of these mechanisms by IGOs and INGOs and, if so in what respects or whether a separate, narrowly-tailored dispute resolution procedure that takes into account the particular needs and specific circumstances of IGOs and INGOs should be developed."

How to Participate

1 **JOIN**
an open community
or working group

2 **OBSERVE**
a mailing list or calls

3 **SUBMIT**
a public comment

Policy Development Support Department

Agenda Item 4

Who We Are

11
Languages

Afrikaans
Chinese
Dutch
English
French
German
Italian
Japanese
Spanish
Swedish
Turkish

30+ Subject Matter and Support Service Experts

11 Countries
5 Time Zones

What We Do

Support Communities

Facilitation | Expertise | Research | Drafting | Advising

Manage Processes

Working Groups | Public Comment | Secretariat Services

Inform Stakeholders

Relationship Building | Communications Materials

How We Do It

The Policy Development Support department

Maintains a **balanced and impartial** approach

Provides **efficient and effective** support

Ensures **open and transparent** processes

Engages **all stakeholders** in community work

Promotes **strategic and thoughtful** participation

Bottom-up, consensus-driven policy development and advice development work is at the core of the ICANN mission.

Question and Answer Session

Agenda Item 5

Resources

Agenda Item 6

Resources

- ⊙ ASO
  - ○ aso.icann.org
  - ○ "Global Policies" tab

- ⊙ ccNSO
  - ○ ccnso.icann.org
  - ○ "Working Groups" sidebar

- ⊙ GNSO
  - ○ gnso.icann.org
  - ○ "Council Activities" tab → Projects List

One World, One Internet

ICANN

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