Draft ICANN gTLD Registry Failover Plan

**High-level Overview**

- **Initiating Event Occurs**: ICANN Quick Look, decision to contact registry
- **ICANN contacts registry or registry operations provider**
- **ICANN initiates internal communications plan**
- **ICANN consultations with experts & follows plans based on type of event**
- **ICANN consults with Board and Advisory Groups**
- **Decision on external communications**
- **Community informed of event & measures taken**
Initiating Event Occurs

ICANN Quick Look, decision to contact registry

ICANN contact w/ registry or registry operations provider

ICANN initiates internal communications plan

ICANN consultations with experts & follows plans based on type of event

ICANN consults w/ Board and Advisory Groups

Decision on external communications

Community informed of event & measures taken

Yes, registry confirms contact & describes event

No, registry cannot be contacted

Seek alternative confirmation of event

Type of Event

Non-event, registry is ok

Temporary Event (certainty of recovery in reasonable period of time)

Long-term Event (rendering registry or critical function inoperable for unacceptable period of time)

Determination of Event

Technical Failure

Business Failure

Other Failure
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Can registry continue operations?

Initiating Event Occurs → GC & Registry Liaison Quick Look, decision to contact registry

ICANN contact w/ registry or registry operations provider → ICANN initiates internal communications plan → ICANN consults w/Board and Advisory Groups

Decision on external communications → Community informed of event & measures taken

Registry should have failover plan; communicates plan & timeline → ICANN offers to provide or locate technical assistance, if appropriate

Provide notice to community and timeframe to return to normal operations

Determination of Event

Technical Failure → Business Failure → Other Failure

Is registry capable of continuing operations?

Yes → Continue to Registry Cannot Continue Operations

No

Can registry continue operations?
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Initiating Event Occurs

GC & Registry Liaison Quick Look, decision to contact registry

ICANN contact w/ registry or registry operations provider

ICANN initiates internal communications plan

ICANN consults w/ Board and Advisory Groups

Decision on external communications

Registry Cannot Continue Operations

Information provided to Board

Type of Event

Technical Failure

Business Failure

Other Failure

Registry should have failover plan in place

Has registry identified a backup registry operations provider?

Yes, does backup meet ICANN requirements?

No

ICANN invokes emergency procedure to ensure continuity of service

Emergency Procedure

If yes, ICANN, registry consult on voluntary transition

Is registry cooperative?*

No, meeting scheduled to determine whether to invoke non-voluntary transition

ICANN follows voluntary transition process

Registry cannot continue operations

Has registry identified a backup registry operations provider?

No

ICANN follows voluntary transition process

Yes, does backup meet ICANN requirements?

No

ICANN invokes emergency procedure to ensure continuity of service

Emergency Procedure

If yes, ICANN, registry consult on voluntary transition

Is registry cooperative?**

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Registry cannot continue operations

Community informed of event & measures taken

ICANN consults w/ experts & follows plans based on type of event

Type of Event

Technical Failure

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Registry cannot continue operations

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Type of Event

Technical Failure

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Other Failure

Registry cannot continue operations

Has registry identified a backup registry operations provider?

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ICANN invokes emergency procedure to ensure continuity of service

Emergency Procedure

If yes, ICANN, registry consult on voluntary transition

Is registry cooperative?**

No, meeting scheduled to determine whether to invoke non-voluntary transition

ICANN follows voluntary transition process

Registry cannot continue operations

Community informed of event & measures taken

ICANN consults w/ experts & follows plans based on type of event
Registry cannot continue operations & agrees to voluntary transition

Consultation w/ Registry on voluntary transition

Registry agrees to voluntary transition TLD to successor

Seek sponsored community input on successor, applicants must meet certain criteria

sTLD Process

Registry locates buyer

Buyer must meet ICANN criteria to operate TLD

If buyer meets criteria, ICANN confirms buyer as successor registry

Transition complete following notification & testing

ICANN receives proposals to operate TLD

ICANN recommendation based on evaluation of proposals

Recommendation posted for comment and referred to ICANN Board

Board consideration of successor recommendation

gTLD Process

RFP posted for at least 21 days unless urgent need for shorter period

Applicants submit proposals & pay application fee

Review of applications based on evaluation criteria

Recommendation posted for comment and referred to ICANN Board

Board consideration of successor recommendation

ICANN does not receive proposals to operate TLD

Publication of notice period to registrants & community

IANA process for removal of TLD

Retirement of TLD from root zone
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Non-Voluntary Transition Process

- Registry cannot continue operations & does not agree to voluntary transition
- Legal determination on whether to proceed with non-voluntary process
- ICANN invokes breach process & provides notice to registry
- Registry has 30 days to cure or initiate arbitration
- Registry fails to cure
- Registry files for arbitration or court action
- ICANN follows next steps depending on terms of agreement
- Notice to community of status
- Next steps depend on arbitration/litigation

Community informed of event & status of registry

ICANN invokes breach process & provides notice to registry

Registry has 30 days to cure or initiate arbitration

Registry fails to cure

Registry files for arbitration or court action

ICANN recommends transition of TLD to successor

ICANN follows process for selection of successor depending on TLD

ICANN proceeds under arbitration and/or litigation

Notice to community of status

Next steps depend on arbitration/litigation