

Initial Report & Preliminary Recommendations from the International Governmental Organizations (IGO) Work Track

Status of this Document

This is the Initial Report containing preliminary recommendations from the GNSO’s International Governmental Organizations (IGO) Work Track. This report is being posted for Public Comment in accordance with the ICANN Bylaws and the GNSO’s Policy Development Process Manual.

Preamble

This Initial Report is part of a broader approach to dealing with facilitating the protection of IGO identifiers in the DNS and is limited to a “curative” approach to enforcement of the same. It describes the IGO Work Track’s deliberations and preliminary recommendations on specific policy issues arising in cases where, following an initial decision in favor of an IGO in an administrative domain name dispute resolution process, the losing registrant seeks to file an appeal, whether by way of arbitration or in court, (and in the latter where the court declines to proceed, on the basis of IGO privileges and immunities ). Based on its review of all Public Comments received on this report, the IGO Work Track will finalize its policy recommendations and submit its Final Report to the GNSO Council, in accordance with a Motion proposed and carried during the Council teleconference meeting on 23 January 2020.

Table of Contents

Table of Contents

1 Executive Summary 3

2 Preliminary Recommendations 7

3 Summary of Deliberations 13

4 Conclusions and Next Steps 16

5 Relevant Process & Issue Background 17

6 Approach Taken by the Work Track 21

7 Annex A – Scope of Work (as approved by the GNSO Council) 22

# Executive Summary

## Introduction

On 23 January 2020, the GNSO Council approved an [Addendum](https://gnso.icann.org/sites/default/files/file/field-file-attach/rpms-charter-addendum-09jan20-en.pdf) to the Review of All Rights Protection Mechanisms (RPM) Policy Development Process (PDP) Charter that created the IGO Work Track. The GNSO Council initiated this work to consider *“whether an appropriate policy solution can be developed that is generally consistent with [the first four recommendations from the GNSO’s IGO-INGO Access to Curative Rights PDP] and:*

1. *accounts for the possibility that an IGO may enjoy jurisdictional immunity in certain circumstances;*
2. *does not affect the right and ability of registrants to file judicial proceedings in a court of competent jurisdiction;*
3. *preserves registrants' rights to judicial review of an initial [Uniform Domain Name Dispute Resolution Policy or Uniform Rapid Suspension decision; and*
4. *recognizes that the existence and scope of IGO jurisdictional immunity in any particular situation is a legal issue to be determined by a court of competent jurisdiction.”*

Following the Council’s [appointment](https://gnso.icann.org/en/council/resolutions/2020#20201217-1) of Chris Disspain as the IGO Work Track Chair and confirmation of their representatives by interested GNSO Stakeholder Groups, Constituencies, Advisory Committees, other Supporting Organizations and IGOs in accordance with membership requirements outlined in the Addendum, the IGO Work Track commenced its work in February 2021.

The GNSO Council’s decision to create the IGO Work Track followed from its 18 April 2019 [resolution](https://gnso.icann.org/en/council/resolutions/2020#202001) to approve only the first four recommendations from the IGO-INGO Access to Curative Rights PDP, which had submitted its [Final Report](https://gnso.icann.org/en/issues/igo-ingo-crp-access-final-17jul18-en.pdf) to the GNSO Council in July 2018. The Council had elected not to approve Recommendation #5 from the PDP, preferring to refer the matter at the time to the RPM PDP for its Phase 2 work; since then the Work Track has been moved to an EPDP per the [date] Council resolution.

Recommendation #5 from the IGO-INGO Access to Curative Rights PDP attempted to address a situation where an IGO has prevailed in a Uniform Domain Name Dispute Resolution Policy (UDRP) or Uniform Rapid Suspension (URS) proceeding, following which the losing registrant files suit in a court and the IGO asserts immunity from the jurisdiction of that court. Recommendation #5 provides that, in such event, the original UDRP or URS panel decision is to be set aside such that the effect will be to put the parties to the dispute in their original situations, as if the UDRP or URS proceeding in which the IGO had prevailed had never been commenced.

During the GNSO Council’s deliberations over the Final Report from the IGO-INGO Access to Curative Rights PDP, concerns were expressed as to whether Recommendation #5 will require a substantive modification to the UDRP and URS as well as result in a potential reduction of the existing level of curative protections – such as they are, i.e., at present IGOs must agree to waive privileges and immunities to even file a UDRP or URS case in the first place – currently available to IGOs (notwithstanding the fact that the PDP had been chartered to determine *“whether to amend the UDRP and URS to allow access to and use of these mechanisms by IGOs and INGOs …or whether a separate, narrowly-tailored dispute resolution procedure at the second level modeled on the UDRP and URS that takes into account the particular needs and specific circumstances of IGOs and INGOs should be developed”*). As a result, the Council decided that additional policy work needed to be done on the specific issue that Recommendation #5 had been intended to, but did not, resolve.

## Preliminary Recommendations

The IGO Work Track has arrived at several conclusions and preliminary recommendations to address the issues within the scope of its work, in accordance with the GNSO Council’s instructions as documented in the Addendum.

The IGO Work Track reached initial agreement on the following points: (1) adding a definition of “IGO Complainant” to the current Rules applicable to the UDRP and URS, to facilitate an IGO’s demonstration of rights to proceed against a registrant (in the absence of a registered trademark); and (2) including an option for voluntary arbitration following the initial UDRP [or URS] panel decision, to resolve the issue of how to recognize an IGO’s jurisdictional immunity while preserving a registrant’s right to choose to go to court.

However, the Work Track has not come to an agreed conclusion on the specific questions of (1) whether the parties to a UDRP or URS case should have any appeal decided solely under arbitration, and in contrast where a registrant prefers to try to file a case in court in lieu of arbitration (2) whether a registrant should continue to be able to avail itself of the arbitration option after a court has declined jurisdiction over the registrant’s case based on an IGO’s jurisdictional immunity from legal process.

The Work Track also seeks input on what the applicable substantive law should be where the parties have agreed to proceed to arbitration.

Please refer to Section 2 for the full text, rationale, and additional details for the specific recommendation on an amended definition of an “IGO Complainant” and the options under consideration by the Work Track for a means to address appeals to a UDRP or URS decision on which the Work Track has not yet reached agreement.

Where the text for a potential recommendation has yet to be finalized or does not represent an agreed position within the Work Track, square brackets have been used to indicate this to be the case.

The IGO Work Track welcomes Public Comments on its preliminary recommendations; in particular, on those elements where the group has not yet reached agreement and where the various options under consideration have been specifically included for community feedback.

### Proposed Recommendation regarding UDRP and URS Eligibility Requirements for IGOs

The first recommendation from the IGO Work Track (Recommendation #1) addresses an initial challenge that IGOs face under the current UDRP and URS requirement that a complainant must have trademark rights to proceed against a domain name registrant. In this regard, the IGO Work Track is proposing specific modifications to the Rules applicable to the UDRP and URS that will add a definition clarifying the criteria for “IGO Complainants”. The Work Track believes that adding this definition will provide clearer eligibility requirements for IGOs in relation to the need to demonstrate that they have adequately demonstrated rights to proceed with a UDRP or URS complaint.

The current recommendation (see Section 2.1.1) includes square bracketed text indicating that while the Work Track has reached agreement on the principle and on the majority of the proposed definition, it has not yet reached agreement on a particular detail concerning the precise scope of the proposed definition – specifically, the narrow issue of whether the definition should expressly include references to the work of the United Nations General Assembly’s standing committees and the Specialized Agencies within the United Nations system.

To facilitate Public Comments on this specific narrow point, relevant links to additional resources about the United Nations have been included in Section 3.

### Proposed Recommendations to Address IGO Immunities While Preserving a Registrant’s Right to Appeal a UDRP or URS Decision Against It

Recommendation #2 from the IGO Work Track comprises a set of three related, interdependent recommendations (#2A, #2B & #2C – note here there are two bracketed options being considered by the Work Track). This set of recommendations is intended to achieve an appropriate policy balance between respect for an IGO’s privileges and immunities (specifically, immunity from process) and maintaining a registrant’s right to file an appeal against a decision against it.

The current Recommendation #2C includes square bracketed text indicating that the Work Track has not yet reached agreement on two specific issues:

(i) whether a losing registrant should be able to maintain the option to proceed to arbitration after the court in which they filed a proceeding declines to assume jurisdiction in the case, due to the IGO Complainant’s jurisdictional immunity from process ; and

(ii) what substantive law should apply in a case where the parties have agreed to arbitration.

The current alternative formulations for each are noted in brackets in Section 2.1.2.

## Work Track Deliberations to Date

Section 3 of this report outlines the IGO Work Track’s deliberations regarding how it considered and developed the proposed preliminary recommendations and options under consideration.

## Next Steps

This Initial Report will be posted for Public Comment for a minimum of forty (40) days. Following its review of all comments received to this report, the IGO Work Track will prepare its draft final recommendations and conduct a formal consensus call in accordance with the GNSO’s Working Group Guidelines. Based on the outcomes of the formal consensus call, the Work Track will document its final recommendations in a Final Report for submission to the GNSO Council.

# Preliminary Recommendations

The IGO Work Track has kept the GNSO Council’s instructions regarding consideration of an appropriate policy solution for Recommendation #5 from the IGO-INGO Access to Curative Rights PDP at the forefront in its work. However, the IGO Work Track concluded early on that a feasible and appropriate policy solution cannot be crafted simply by looking at that recommendation in isolation. Although Recommendation #5 is concerned with the outcome of a dispute resolution process where the affected IGO asserts immunity from jurisdiction, the IGO Work Track agreed that it should first determine how and which IGOs are able to file a complaint under the relevant dispute resolution mechanism. In this regard, Work Track members noted that, due to national State obligations under the Paris Convention for the Protection of Industrial Property (and, strictly speaking, that IGOs do not engage in a “trade”), IGOs may not own hold registered trademarks in their names, acronyms, or other identifiers.

This presents a challenge for such IGOs, as there is a specific requirement under the UDRP and URS that a complainant *“must demonstrate that the domain name at issue is identical or confusingly similar to a trademark in which the complainant has rights”*. As a result of its discussion of this initial problem, the IGO Work Track proposes Recommendation #1, which it believes will clarify eligibility requirements for IGOs to demonstrate (unregistered) rights under the UDRP and URS.

To address the specific issue under Recommendation #5 from the IGO-INGO Access to Curative Rights PDP, the IGO Work Track proposes a single package of recommendations (Recommendation 2) that are intended to be “interdependent” (as contemplated by Section 13 of the GNSO’s PDP Manual[[1]](#footnote-2)); this package of recommendations is represented in two different options bracketed below. The IGO Work Track believes that this set of recommendations is responsive to the GNSO Council’s directions that the proposed policy solution be *“generally consistent”* with the GNSO Council’s previous approval of the first four recommendations from the IGO-INGO Access to Curative Rights PDP.

## Preliminary Recommendations

### Proposed Recommendation regarding UDRP and URS Eligibility Requirements

**Recommendation #1:**

The IGO Work Track recommends that the UDRP Rules and URS Rules be modified in the following two ways.

(i) Add a description of “IGO Complainant” to section 1 (i.e., the definitions section of both sets of Rules):

‘IGO Complainant’ refers to:

(a) an international organization established by a treaty and which possesses international legal personality; or

(b) an ‘Intergovernmental organization’ having received a standing invitation to participate as an observer in the sessions and the work of the United Nations General Assembly*;* ***[including the work of its standing committees and any of its Specialized Agencies (as the case may be)]*** or

(c) a distinct entity, organ or program of the United Nations.

(Added emphasis to highlight that in addition to feedback on the entire Initial Report, the Work Track is specifically seeking public comment on this element.)

AND

(ii) Add the following explanatory text to UDRP Rules Section 3(b)(viii), URS Section 1.2.6 and URS Rules Section 3(b)(v):

“Where the Complainant is an IGO Complainant, it may show rights in a mark by demonstrating that the identifier which forms the basis for the complaint is used by the IGO Complainant to conduct public activities in accordance with its stated mission (as may be reflected in its treaty, charter, or governing document).”

### Proposed Recommendations to Address IGO Immunities While Preserving a Registrant’s Right to Appeal a UDRP or URS Decision Against It

**Recommendation #2A:**

If the GNSO Council approves the recommendations set out below, then the IGO Work Track recommends that the original Recommendation #5 from the IGO-INGO Access to Curative Rights Protections PDP be rejected.

**Recommendation #2B:**

The IGO Work Track recommends that IGO Complainants (as defined under Recommendation #1, above) be exempt from the requirement to agree to submit to Mutual Jurisdiction when filing a complaint under the UDRP or URS.

**Recommendation #2C**:

The IGO Work Track recommends that the following be added to the UDRP and URS to accommodate a review of an initial determination under the UDRP [or URS].

*\*\* A Note from the IGO Work Track on Recommendation #2C:*

*The Work Track continues to deliberate on the text and final concept for Recommendation #2C. While the Work Track is in general agreement that arbitration is an appropriate solution, it has not yet reached agreement on two specific aspects relevant to such an option (viz., (i) whether the option to arbitrate will remain available to a registrant following the outcome of an attempt by a registrant to initiate a court proceeding in the face of an IGO’s jurisdictional immunity from process, and (ii) what should be the applicable choice of law for any arbitration that the parties may agree to). As such, the text that follows reflects proposals submitted by Work Track members on these specific issues, as indicated by the square brackets around the relevant proposals and their text (see #2C(ii) and #2C(v), below.)*

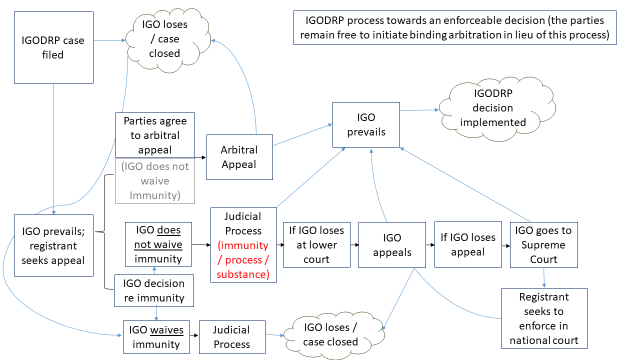
**Binding Arbitration Following the Initial UDRP [or URS] Panel Determination**

1. When submitting its complaint, an IGO Complainant shall also indicate whether it agrees that final determination of the outcome of the UDRP [or URS] proceeding shall be through binding arbitration, where the registrant also agrees to arbitration.
2. As provided in Paragraph 4(k) of the UDRP, the relevant registrar shall wait ten (10) business days (as observed in the location of its principal office) before implementing a UDRP [or URS] panel decision rendered in the IGO Complainant’s favor, and will stay implementation if, within that period, it receives official documentation that the registrant has initiated proceedings in court or arbitration, as per below.
3. **Option for consideration:** [In communicating a UDRP [or URS] panel decision to the parties where the complainant is an IGO Complainant, the UDRP [or URS] provider shall also request that the registrant indicate whether they agree that any review of the panel determination will be conducted via binding arbitration. The request shall include information regarding the applicable arbitral rules, which shall be determined by the Implementation Review Team. Existing arbitral rules like ICDR, WIPO, UNCITRAL should be considered.]

**Option for consideration:** [If the registrant attempts to initiate proceedings in court and if the IGO Complainant does not waive its privileges and immunities (and [ if ] the court is unable to proceed further), [the registrar shall implement the initial UDRP [or URS] decision] – OR – [the registrant may submit the dispute to binding arbitration within within 10 days from the court order declining jurisdiction over the IGO, by submitting a Request for/Notice of Arbitration [ \* ] to the competent arbitral institution with a copy to the registrar and the IGO Complainant. If it receives such Request for/Notice of Arbitration, the registrar shall continue to stay implementation of the UDRP [URS] panel decision until it receives official documentation concerning the outcome of an arbitration or other satisfactory evidence of a settlement or other final resolution of the dispute. If the registrant does not submit a Request for/Notice of Arbitration [ \* ] to the competent arbitral institution (with a copy to the registrar and the IGO Complainant) within 10 days from the court order declining jurisdiction over the IGO, the original UDRP decision will be implemented by the registrar.]

*\* Note that to signal formal commencement of arbitral proceedings the ICC and WIPO use the term “Request for Arbitration” and UNCITRAL uses the term “Notice of Arbitration”.]*

\* \* \* Note that with respect to the second option above, IGOs have provided the following illustrative high-level potential court flow chart to explain the preference – in terms of added time and cost and legal uncertainty – for arbitration at first instance:



1. If the UDRP [or URS] provider receives notice that an arbitration proceeding has been initiated, it shall promptly inform both parties and the relevant registrar. The relevant registrar shall stay the implementation of the initial UDRP [or URS] panel decision until it has received official documentation concerning the outcome of the arbitration or other satisfactory evidence of a settlement or other final resolution of the dispute.
2. The Registrar shall continue to maintain the Lock on the disputed domain name during the pendency of any [judicial proceedings and] arbitration, as applicable.
3. [The arbitration will be conducted in accordance with the law as mutually agreed to by the parties.]

-- OR --

[At the election of the Complainant, the arbitration will be conducted in accordance with the law of the relevant registrar’s principal office or where the respondent is resident. If either party raises concerns to the arbitral tribunal that the law of the registrar’s principal office or the respondent’s place of residence does not have a satisfactory cause of action related to the parties’ dispute, the arbitral tribunal may request submissions from the parties as to the suggested applicable law or principles of law (which may include UDRP case precedent) to be applied.]

\* \* \* Note that with respect to the second sentence in the immediately above bracketed option, concerns have been raised that some jurisdictions may not have a substantive cause of action for the parties to invoke.

1. In addition, the following non-exhaustive general principles (which can be further developed by the expected Implementation Review Team) shall govern all arbitral proceedings conducted through this process:
   1. The arbitration shall be conducted as a de novo review; i.e., the parties are permitted to restate their case completely anew, including making new factual and legal arguments and submit new evidence;
   2. The arbitral tribunal should consist of one or [three] neutral and independent decision makers, who cannot be the panelist(s) who rendered the initial UDRP [or URS] decision; and
   3. Both parties should be able to present their case in a complete manner. The arbitral tribunal should, for example, have the authority within reasonable discretion to allow for, or request, additional written submissions, and it should be possible to hold hearings (which may be conducted online).
2. Either party has the right to file proceedings in a court, up to the point in time when an arbitration proceeding is commenced (if any).

## Policy Change Impact Analysis

The IGO Work Track believes that its recommendations, if approved and adopted, will facilitate access to and use of the UDRP and URS by IGOs while preserving existing registrant rights. In addition, the IGO Work Track has developed specific rationale for its recommendations that it believes demonstrates how its proposed solutions are appropriate and proportionate to the problem it was tasked to solve, without modifying the essential structure or scope of the UDRP or URS, both of which have been or will be reviewed by the GNSO’s RPM PDP in Phases 2 work.

The IGO Work Track proposes the following metrics as useful starting points for measuring the effectiveness of its recommendations over time:

* Number of UDRP [and URS] complaints filed by IGOs, showing whether IGOs that may previously have had difficulty using the UDRP or URS due to the requirement to have (registered) trademarks are able to fulfill the requirement to demonstrate unregistered rights through the Work Track’s proposed eligibility requirements
* Number of UDRP [and URS] panel decisions in favor of IGO Complainants: (i) implemented by a registrar after ten (10) business days, without a court or arbitral proceeding; and (ii) stayed (i.e., not implemented) by a registrar as a result of the commencement of arbitration proceedings
* Number of UDRP [and URS] panel decisions involving IGO Complainants where there was no response from the registrant, and their outcomes
* If the final recommendation includes the possibility of a losing registrant filing a request for arbitration following an unsuccessful attempt to file a court proceeding against an IGO Complainant: number of court proceedings filed and their outcomes (e.g., whether the court assumed or declined jurisdiction)
* Number of arbitration proceedings between an IGO Complainant and losing registrant, the applicable law in all cases, and their outcomes

The IGO Work Track recognizes that while some of these suggested metrics may be obtained from the relevant UDRP [and URS] service providers and ICANN-accredited registrars, it will likely be very difficult to obtain accurate counts and reports regarding post-UDRP/URS court proceedings. Similarly, obtaining accurate numbers and outcomes of arbitration proceedings will be extremely difficult. In these cases, it may be necessary to attempt to obtain illustrative data via registrant and IGO surveys, although the IGO Work Track acknowledges that the data obtained via such means are likely to be incomplete.

# Summary of Deliberations

This Section provides an overview of the deliberations of the IGO Work Track to date. The points outlined below are meant as brief, relevant background information on the Work Track’s discussions that provide the context for its proposed outcomes. They should not be read as either final recommendations or as representing the entirety of the deliberations of the Work Track. The Work Track will not finalize its recommendations to the GNSO Council until it has conducted a thorough review of the comments received during the Public Comment period on this Initial Report.

## Initial Fact-Finding and Research

Under the Addendum establishing the IGO Work Track, the Work Track *“is expected to take into account the review of the relevant historical documentation and prior community work conducted by the IGO-INGO Access to Curative Rights Protection Mechanisms PDP Working Group (see Sections 3.1 and 3.2 of the PDP Final Report), relevant GAC Advice, the 31-October-2016 letter from IGO Legal Counsels to Council Leadership, the external legal expert opinion commissioned by the PDP Working Group (Annex F), and the IGO Small Group Proposal (Annex D).”* Work Track members were provided with these documents and a [Briefing Paper](https://community.icann.org/download/attachments/155191789/IGO%20Work%20Track%20Briefing%20Paper%20-%20DRAFT%20-%2027%20Jan%202021.docx?version=1&modificationDate=1628626744106&api=v2) to clarify the expected scope of work and to highlight the previous deliberations that took place in the IGO-INGO Access to Curative Rights PDP.

Notably, the Addendum provides that *“[i]n order to avoid, to the extent possible, re-opening or re-visiting the policy recommendations, the GNSO Council instructs the IGO Work Track to base its recommendations on its analysis of the materials cited in this paragraph, and its deliberations as to whether there is a need to develop appropriate policy recommendations to address identified IGO needs in respect of the specific issue that was referred to the RPM PDP by the GNSO Council.”* In this context, the IGO Work Track also reviewed a limited number of [prior materials](https://mm.icann.org/pipermail/gnso-igo-wt/2021-June/000096.html) that the IGO-INGO Access to Curative Rights Protections PDP had considered relating to its discussions of an appeal process and possible elements of an arbitration process.

## Deliberations Regarding IGO Eligibility under the UDRP and URS

As noted in Section 2 above, the IGO Work Track agreed that, to develop an appropriate policy solution for the problem it was created to solve, it was necessary to first consider the challenges which IGOs face with the current UDRP and URS requirement that a complainant have trademark rights. The GNSO Council had previously approved Recommendation #2 from the IGO-INGO Access to Curative Rights Protections PDP, which would allow IGOs to attempt to satisfy this requirement through reliance on the protections afforded by Article 6ter of the Paris Convention for the Protection of Industrial Property. In this regard, the Work Track noted that, while Article 6ter requires member states at minimum to protect IGO identifiers against potentially confusing third-party trademark registrations or use as a mark, it does not in and of itself confer a recordation of substantive trademark rights to IGOs. The Work Track also observed that Recommendation #2, as approved, leaves the decision as to whether Article 6ter protections would suffice for eligibility to file a UDRP and URS complaint to the relevant panelist(s) in each case thereby creating uncertainty for all potential case parties.

To supplement the applicability of and to remain consistent with Recommendation #2, the Work Track discussed and developed a proposed definition including a demonstration of their public activities for an “IGO Complainant” that would allow an IGO to demonstrate the rights that would be functionally equivalent to unregistered trademark rights a.

The Work Track’s initial conclusions, including potential text for a definition, can be found in Section 2.1.1, above. While the Work Track is in general agreement on the need for such a definition as well as its basic outlines, it has yet to reach agreement as to the narrow specific issue of whether those IGOs that are invited or admitted as observers to the work of the United Nations’ various Standing Committees as well as its Specialized Agencies should also be included within the scope.

Additional Resources about the United Nations system:

* A list of the current (as of August 2020) states and organizations that have received standing invitations to be observers at the United Nations General Assembly: <https://undocs.org/A/INF/75/3>.
* A list of the United Nations’ various entities and programs, including its Specialized Agencies: <https://www.un.org/en/about-us/un-system>.
* A list of the United Nations’ subsidiary bodies, including its standing and ad hoc committees: <https://www.un.org/en/ga/about/subsidiary/index.shtml>.

## Deliberations Regarding IGO Immunity and Registrant Rights

The IGO Work Track noted the report that an external legal expert, Professor Edward Swaine, had provided to the IGO-INGO Access to Curative Rights Protections PDP, which included the conclusion that requiring a complainant to submit to Mutual Jurisdiction[[2]](#footnote-3), as is the case under the UDRP and URS, can amount to a waiver of jurisdictional immunity by an IGO. Relatedly, the IGO Work Track acknowledged that removing this requirement for IGO Complainants could prejudice a registrant’s right and ability to have an initial UDRP or URS determination reviewed judicially. In addition, the IGO Work Track recognized that a successful assertion of immunity by an IGO means that the court in question will decline to proceed with the case, with the result that the outcome of the initial UDRP or URS determination will therefore stand.

The IGO Work Track considered several proposals that could allow for the recognition of IGO privileges and immunities without adversely affecting a registrant’s right to file proceedings in a court: in particular, the benefits and risks of developing an appeal process internal to the UDRP and URS (i.e., where appeals from an initial UDRP or URS panel decision would be reviewed by a panel comprising experienced UDRP or URS panelists) compared with allowing for a voluntary arbitration process. The Work Track reviewed proposals concerning the required elements for either an appeal process or an arbitration option, covering matters ranging from the selection of an appeals panel or arbitral tribunal and how to ensure their neutrality, to the procedural rules that should apply to either process option[[3]](#footnote-4). While some members strongly believed that an internal appeals process, e.g., as is successfully used by Nominet in the “.uk” ccTLD was the most efficient path forward, ultimately, other members of the Work Track did not agree and preferred making the option of voluntary arbitration explicit in the UDRP [and URS].

Having accepted to work on an arbitration process rather than an internal appeal mechanism, the Work Track discussed what aspects of an arbitration proceeding would need to be incorporated into the UDRP [and URS] as requirements. The Work Track reached agreement on several elements, e.g., the arbitration must be conducted as a substantive review of the case, and the registrar’s lock on the disputed domain must be maintained for the duration of the relevant proceedings[[4]](#footnote-5). At this stage, however, the Work Track was not able to reach preliminary agreement on two specific questions:

* Whether a losing registrant should have the ability to preserve the option to go to arbitration if it decides to first file a case in court and the court does not allow the case to proceed on the grounds of the IGO’s jurisdictional immunity – some members felt this was an unfair second bite at the apple; and
* What the substantive law should apply in the arbitration proceeding.

The Work Track’s initial conclusions can be found in Section 2.1.2. The text includes the options for these two questions that are currently under consideration. The Work Track emphasizes that it intends for these recommendations to be interdependent, i.e., considered and adopted as a single package.

# Conclusions and Next Steps

## Preliminary Conclusions

As described more fully in Section 2, above, the IGO Work Track has reached preliminary agreement on the addition of a definition of “IGO Complainant” to the current Rules applicable to the UDRP and URS, which is intended to clarify how an IGO may demonstrate rights to proceed against a registrant in the absence of a (registered) trademark. The Work Track has also preliminarily agreed that providing for voluntary arbitration within the overall framework of the UDRP [and URS] is an appropriate approach toward resolving the issue of how to recognize an IGO’s jurisdictional immunity, provided that a registrant’s right to choose to go to court is also preserved.

However, the Work Track has not reached agreement on the following specific questions: (1) the precise scope of the definition of “IGO Complainant”; (2) whether a registrant should continue to be able to agree to voluntary arbitration after a court has declined to hear the case in consequence of the application of an IGO’s immunity; and (3) what the applicable substantive law should be where the parties have agreed to proceed to arbitration.

## Next Steps

The IGO Work Track will review and analyze all Public Comments received on this Initial Report, following which it will prepare its draft final recommendations for a formal consensus call in accordance with the GNSO’s Working Group Guidelines. The group’s final recommendations will be submitted to the GNSO Council as a Final Report.

# Relevant Process & Issue Background

## Process Background

In June 2014, the GNSO Council [chartered](https://gnso.icann.org/sites/default/files/filefield_45569/igo-ingo-crp-access-charter-24jun14-en.pdf) the IGO-INGO Access to Curative Rights PDP to develop policy recommendations as to whether *“to amend the UDRP and URS to allow access to and use of these mechanisms by IGOs and [International Non-Governmental Organizations (INGOs)] and, if so in what respects or whether a separate, narrowly-tailored dispute resolution procedure at the second level modeled on the UDRP and URS that takes into account the particular needs and specific circumstances of IGOs and INGOs should be developed.”* The PDP Working Group submitted its [Final Report](https://gnso.icann.org/en/issues/igo-ingo-crp-access-final-17jul18-en.pdf) containing five recommendations to the GNSO Council in July 2018. Following several months of deliberations over the PDP recommendations, during which several Councilors voiced concerns over the implications of Recommendation #5, in April 2019 the GNSO Council [voted](https://gnso.icann.org/en/council/resolutions#201905) to approve the first four recommendations, and to refer Recommendation #5 to the RPM PDP to consider during Phase 2 of its work.

As indicated in its April 2019 resolution, the GNSO Council [approved](https://gnso.icann.org/en/council/resolutions/2020#20200123-2) an Addendum to the RPM PDP Charter in January 2020 to initiate the necessary policy work on Recommendation #5. The Addendum reflects the outcomes of various discussions between the GNSO Council and the Governmental Advisory Committee (“GAC”) as well as interested IGOs, during which the GAC and IGO representatives had indicated that they would be willing to participate in a targeted policy effort that focuses on the issue of curative rights for IGOs and drawing on the community's recent experiences with the Expedited PDP on the Temporary Specification for gTLD Registration Data and Work Track 5 of the GNSO New gTLD Subsequent Procedures PDP.

In October 2020, the GNSO Council issued a call for [Expressions of Interest](https://www.icann.org/en/system/files/files/eoi-igo-work-track-chair-26oct20-en.pdf) to serve as the IGO Work Track Chair. Following the GNSO Council leadership team’s review of the applications it received, the GNSO Council [appointed](https://gnso.icann.org/en/council/resolutions/2020#202012) former ICANN Board Director Chris Disspain to the position in December 2020.

The [Addendum](https://gnso.icann.org/sites/default/files/file/field-file-attach/rpms-charter-addendum-09jan20-en.pdf) to the RPM PDP Charter laid out certain criteria for membership appointments to the IGO Work Track and specified its overall composition and representativeness across the ICANN community. The GNSO’s Business Constituency, Intellectual Property Constituency, Internet Service Providers and Connectivity Providers Constituency and the Non-Commercial Stakeholder Group, as well as the At Large Advisory Committee, the GAC and interested IGOs all appointed [members](https://community.icann.org/display/GNSOIWT/4.+WT+Members+and+mailing+list) in accordance with the requirements in the Addendum.

## Issue Background

The IGO-INGO Access to Curative Rights PDP (active from June 2014 to July 2018) had been preceded by an IGO-INGO Protections in All gTLDs PDP, which had taken place between October 2012 and November 2013. One of the recommendations from that prior PDP, which the GNSO Council approved, was for the Council to request an Issue Report to determine whether a separate PDP should be initiated to explore possible amendments to the UDRP and the URS that would enable access to and use of such curative rights protection mechanisms by IGOs and INGOs. The [Final Issue Report](https://gnso.icann.org/sites/default/files/filefield_45427/igo-ingo-crp-access-final-25may14-en.pdf) that the GNSO Council requested includes background on prior work within and outside the ICANN community on the issue of curative rights protections for IGOs and INGOs, and documented the challenges that these organizations face in using the existing UDRP and URS. Consequently, the GNSO Council initiated the IGO-INGO Access to Curative Rights PDP in June 2014, *“to evaluate: (i) whether the UDRP and/or URS should be amended (to enable their access and use by IGOs and INGOs whose identifiers had been recommended for protection by the IGO-INGO PDP WG) and if so, in what way; or (ii) whether a separate narrowly-tailored procedure modeled on these curative rights protection measures to apply only to protected IGO and INGO identifiers should be developed."*

Following four years of deliberations, the IGO-INGO Access to Curative Rights PDP proposed five recommendations to the GNSO Council, as follows:

*Recommendation #1:*

*1(a): For INGOs (including the Red Cross movement and the International Olympic Committee), no substantive changes to the UDRP and URS are to be made, and no specific new dispute resolution procedures are to be created.*

*1(b): For IGOs, no specific new dispute resolution procedures are to be created.*

*Recommendation #2:*

*The Working Group notes that an IGO may seek to demonstrate that it has the requisite standing to file a complaint under the UDRP or URS by showing that it has complied with the requisite communication and notification procedure in accordance with Article 6ter of the Paris Convention for the Protection of Industrial Property. An IGO may consider this to be an option where it does not have a registered trademark or service mark in its name and/or acronym but believes it has certain unregistered trademark or service mark rights for which it must adduce factual evidence to show that it nevertheless has substantive legal rights in the name and/or acronym in question.*

*In this regard, the Working Group recommends that specific Policy Guidance on this topic be issued by ICANN to clarify the following points:*

*(a) this alternative mechanism for standing is not needed in a situation where an IGO already holds trademark or service mark rights in its name and/or acronym, as the IGO would in such a case proceed in the same way as a non-IGO trademark owner;*

*(b) whether or not compliance with Article 6ter will be considered determinative of standing is a decision to be made by the UDRP or URS panelist(s) based on the facts of each case; and*

*(c) the possibility that an IGO may seek to rely on its compliance with Article 6ter to demonstrate standing should not modify or affect any of the existing grounds which UDRP and/or URS panelists have previously found sufficient for IGO standing (e.g., based on statutes and treaties).*

*Recommendation #3:*

*ICANN shall create and issue Policy Guidance: (a) outlining the various procedural filing options available to IGOs, e.g. they have the ability to elect to have a complaint filed under the UDRP and/or URS on their behalf by an assignee, agent or licensee; and (b) advising IGOs and INGOs to, in the first instance and prior to filing a UDRP or URS complaint, contact the registrar of record to address the harms for which they are seeking redress. In addition, ICANN shall ensure that this Policy Guidance document is brought to the notice of the Governmental Advisory Committee (GAC) for its and its members’ and observers’ information and published along with the procedures and rules applicable to the UDRP and URS on the ICANN website.*

*Recommendation #4:*

*Notwithstanding GAC advice concerning access to curative rights processes for IGOs as well as the Charter language requiring the Working Group to consider “the need to address the issue of cost to IGOs and INGOs to use curative processes”, there was no support within the Working Group for a recommendation to provide subsidies to any party to use the UDRP or URS. Nevertheless, the Working Group recognizes that it has no authority to obligate the expenditure of ICANN funds, and it understands, further, that the feasibility of providing IGOs with access to the UDRP and URS at no or nominal cost to the IGOs is a question that must be addressed directly through discussions between the ICANN Board with the GAC and IGOs. The Working Group also notes that many Working Group members believe that a respondent should also be eligible to receive financial support for its defense in a case where ICANN has subsidized the complainant.*

*Recommendation #5:*

*Where a losing registrant challenges the initial UDRP/URS decision by filing suit in a national court of mutual jurisdiction and the IGO that succeeded in its initial UDRP/URS complaint also succeeds in asserting jurisdictional immunity in that court, the decision rendered against the registrant in the predecessor UDRP or URS shall be set aside (i.e. invalidated).*

As noted in Section 1, above, the GNSO Council’s review of the PDP Final Report revealed several concerns over the implications of Recommendation #5. The GNSO Council therefore decided not to approve this recommendation, electing instead to refer it to the RPM PDP and to create a separate IGO Work Track within that PDP framework that was to try to develop a policy solution that would nevertheless be *“generally consistent”* with the other four PDP recommendations that the GNSO Council approved.

The GNSO Council’s intentions and instructions as to the scope of work for the new IGO Work Track are documented in its resolution creating the Work Track and the Addendum laying out the problem statement, membership requirements and process methodology for the Work Track.

# Approach Taken by the Work Track

## Working Methodology

The IGO Work Track held its first meeting in February 2021. Recordings and transcripts of the group’s discussions can be found on the IGO Work Track [wiki space](https://community.icann.org/display/GNSOIWT/1.+WT+Meetings). It has conducted its work primarily through weekly conference calls, in addition to email exchanges on its mailing list.

As instructed by the GNSO Council, the Work Track prepared a [WORK PLAN LINK] which it reviewed on a regular basis. The IGO Work Track Chair and the GNSO Council liaison to the Work Track also provided regular reports to the GNSO Council regarding the status and progress of the group’s work.

### Work Track Membership and Attendance

The members of the IGO Work Track, and affiliation, are: [INSERT LIST]

The Statements of Interest of the Work Track members can be found at [INSERT LINK].

The group’s attendance records can be found at [INSERT LINK] and its email archives can be found at [INSERT LINK].

\* The following are the ICANN SO/ACs and GNSO Stakeholder Groups and Constituencies for which WG members provided affiliations:

\*\* This membership list was accurate as of the date of publication of this report.

# Annex A – Scope of Work (as approved by the GNSO Council)

[INSERT ADDENDUM TEXT]

1. See <https://gnso.icann.org/sites/default/files/file/field-file-attach/annex-2-pdp-manual-24oct19-en.pdf> (“Although the GNSO Council may adopt all or any portion of the recommendations contained in the Final Report, it is recommended that the GNSO Council take into account whether the PDP Team has indicated that any recommendations contained in the Final Report are interdependent. The GNSO Council is strongly discouraged from itemizing recommendations that the PDP Team has identified as interdependent”.) [↑](#footnote-ref-2)
2. This term in the UDRP and URS refers to the jurisdiction either of a court where the relevant registrar’s principal office is located, or of the registrant’s location. [↑](#footnote-ref-3)
3. See [INSERT RELEVANT EARLY GOOGLE DOC] for details of the proposed appeal process that the IGO Work Track considered. [↑](#footnote-ref-4)
4. See Section 2.1.2 for the full set of elements recommended by the Work Track for the arbitral option. [↑](#footnote-ref-5)