

# **Strategic and Operational Planning Working Group**



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**ICANN's approved Strategic Plan identifies the following priorities:**

1. Implement IDNs and new gTLDs
2. Enhance security, stability and resiliency in the allocation and assignment of the Internet's unique identifiers
3. Monitor the depletion of IPv4 address space and provide leadership towards IPv6 adoption
4. Improve confidence in the gTLD marketplace
5. Strive for excellence in core operations
6. Strengthen processes for developing policy
7. Strengthen ICANN's multi-stakeholder model to manage increasing demands and changing needs
8. Globalize ICANN's operations
9. Ensure financial accountability, stability and responsibility

**From the approved Strategic Plan, the FY10 Operating Plan and Budget identifies 15 organizational activities which are summarized below:**

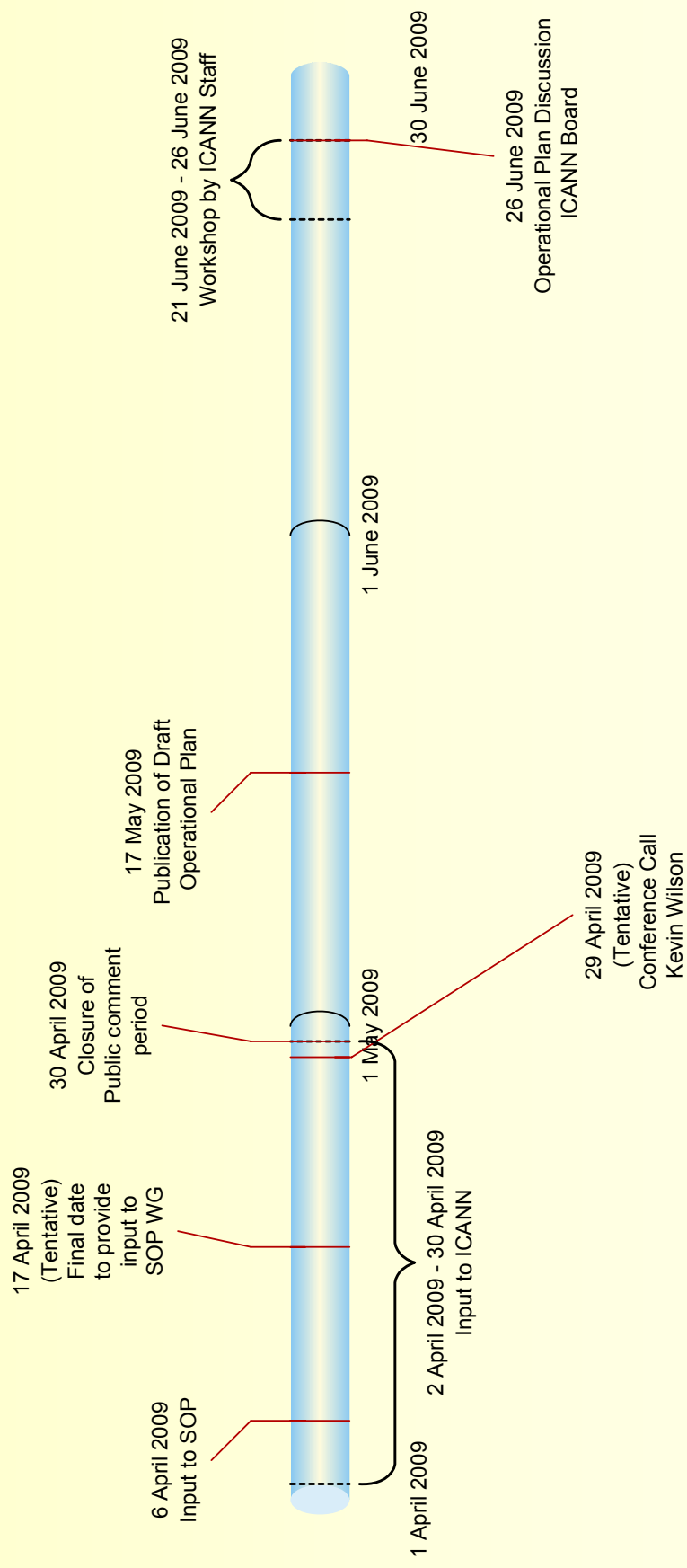
1. New gTLD Implementation and Delegation
2. IDN Implementation
3. IANA and Technology Operations
4. Security, Stability and Resiliency (SSR)
5. Contractual Compliance
6. Core Meeting Logistics
7. Constituency Support
8. Policy Development Support
9. Global Engagement and Increasing International Participation
10. Travel Support for ICANN Community
11. Ombudsman
12. Board Support
13. Nominating Committee (NomCom) Support
14. DNS Operations
15. Administrative Improvement

**Based on the feedback received from the ccCommunity, the SOP Committee identified five of these activities as most important and summarized them in the following pages:**

2. IDN Implementation;
3. IANA and Technology Operations;
4. Security, Stability and Resiliency (SSR);
8. Policy Development Support; and
14. DNS Operations.

Operational Activities	Proposed FY10 Budget (US\$000)	FY09 Budget (US\$000)	Change from FY09 (US\$000)	Change from FY09 (%)
New gTLD Implementation and Delegation	7,448	8,671	(1,223)	-14.1%
● IDN Implementation	1,250	1,375	(125)	-9.1%
<b>New gTLD / IDN efforts</b>	<b>8,698</b>	<b>10,046</b>	<b>(1,348)</b>	<b>-13.4%</b>
● IANA and Technology Operations	5,079	4,310	769	17.8%
● Security, Stability and Resiliency (SSR)	5,483	4,944	539	10.9%
Contractual Compliance	3,219	2,457	762	31.0%
Core Meeting Logistics	5,289	5,128	161	3.1%
Constituency Support	6,272	5,855	417	7.1%
● Policy Development Support	5,280	5,152	128	2.5%
Global Engagement and Increasing International Participation	6,781	6,348	433	6.8%
● DNS Operations	1,242	1,033	209	20.2%
Community Travel Support	1,467	1,451	16	1.1%
Board Support	2,418	2,389	29	1.2%
Nominating Committee (NomCom) Support	790	785	5	0.6%
Ombudsman	451	450	1	0.2%
Administrative improvement	1,878	1,466	412	28.1%
<b>ICANN Core (w/o new gTLD)</b>	<b>45,649</b>	<b>41,768</b>	<b>3,881</b>	<b>9.3%</b>
	<b>54,347</b>	<b>51,814</b>	<b>2,533</b>	<b>4.9%</b>

# SOP WG Timelines



## IDN IMPLEMENTATION

### Strategic Element in ICANN Strategic Plan: (From Strategic Plan)

1. Implement IDNs and new gTLDs

### Operating Issue: (From Operating Plan)

2. IDN Implementation

The introduction of IDN TLDs at the top level, as well as the launch of IDN ccTLDs within the fast track process, remain a priority for ICANN, with the intent to fulfill a global need for domain names in the scripts and languages of the world. The IDN ccTLD fast track implementation plan will be completed in accordance with the recommendation from the IDNC working group, and when executed, will result in the delegation of IDN ccTLDs in the root zone. **The IDN implementation portion of the FY10 budget as proposed is \$1.25 million (vs. \$1.38 million in FY09, a 9.1% decline).** As with the new gTLD program, this cost is projected to decline in FY10 because the implementation program will end. Some of the FY09 expense will be underrun, and deferred into FY10.

### Issues for Consideration

#### Recommended Topics:

- IDN ccTLD approval at the top-level
- Security and Stability (DNSSec, phishing, malware)
- Conducting workshops and increasing awareness amongst cc communities
- Devising and submitting script and language tables from all interested cc communities

#### Discussion:

The core outcome of this element is to approve the delegation of the IDN ccTLD at the root zone level. The introduction of IDN TLDs at the top level and the launch of IDN ccTLDs within the fast track process remains one of ICANN's top priorities. **ICANN has devoted \$1.25 million of the FY10 budget for this element.** The devising and submission of script and language tables from all interested communities must take the fast track lane

#### Recommendations:

1. Creating various cc working groups that share the same alphabets to devise genuine language and script tables. For example, Arabic speaking/writing communities such as the Arab nations, Iran, Pakistan, and Malaysia have formed a working group named the Arabic Script IDN Working Group (ASIWG) to discuss language and script issues
2. Increase awareness amongst cc communities via the help of the government
3. Conducting various workshops to encourage cc communities to implement IDNs
4. Studying various security issues that could be related to IDNs such as the impact of phishing

## IANA AND TECHNOLOGY OPERATIONS

### **Strategic Element in ICANN Strategic Plan: (From Strategic Plan)**

Implement IDNs and new gTLDs

Enhance security, stability and resiliency in the allocation and assignment of the Internet's unique identifiers.

Strive for excellence in core operations

### **Operating Issue: (From Operating Plan)**

The IANA department will need to grow to accommodate process development and execution associated with new gTLDs and ccIDNs. ICANN's internal organization is adapting to address the expectation of additional operational requirements accompanying new services, including: DNSSEC, scaling the number of TLDs, and other online services such as the Interim Trust Anchor Repository. At one time software and computer operations resources were decentralized across ICANN (in IANA and elsewhere). This capability is now being centralized, with additional people and resources invested in expertise in DNS operations and high-availability computer and network operations. **The proposed FY10 budget for IANA and Technology Operations is \$5.08 million (vs. \$4.31 million in FY09, a 17.8% increase)** most of which is for new hires and consultants to develop required software applications as well as to improve processes to anticipate the impact of the new gTLD and IDN programs.

### **Issues for Consideration**

#### **Summary of proposed actions:**

Test and implement RZM software to facilitate accurate, reliable, timely handling of root zone change requests submitted by ccTLD and gTLD registries.

Manage root zone request processing and continue to refine process to improve efficiency and reliability.

Draft and execute operational readiness plan to accommodate the delegation of new gTLDs and ccTLDs, including IDNs

Assess software development needs 3x a year

Manage and improve reporting to different types of clients

Manage and maintain policy documentation

Support DNSSEC signing for Root Zone, continue present signing activities, facilitate introduction in reports to USG and other stakeholders.

Make improvements to IANA infrastructure to support major activities (e.g., root zone change management) by facilitating monitoring and a quality assurance function.

## IANA AND TECHNOLOGY OPERATIONS

### **Recommended Topics:**

Do the actions cover what needs to be done during FY 2010 to maintain and improve operational quality and readiness of IANA while IANA is accommodating for introduction of:

- new gTLDs and ccIDNs and
- additional new services like DNSsec?

Is there anything missing?

What needs to have priority: Maintaining current quality and level of service or introduction of new services?

### **Discussion:**

### **Recommendations:**



## SECURITY, STABILITY AND RESILIENCY (SSR)

### **Strategic Element in ICANN Strategic Plan: (From Strategic Plan)**

Enhance security, stability and resiliency in the allocation and assignment of the Internet's unique identifiers.

Strive for excellence in core operations

### **Operating Issue: (From Operating Plan)**

Ensuring Security, Stability and Resiliency (SSR) of the DNS and other unique identifiers in a changing global environment is a core part of ICANN's mission. It requires ICANN to work effectively with other Internet stakeholders to enhance and protect the security and stability of the Internet, especially with the expected growth due to increased number of IDNs and TLDs in the root and the signing of DNSSEC. **The proposed FY10 budget for SSR is \$5.48 million (vs. \$4.94 million in FY09, A 10.9% increase) and includes funds for technical support systems and professional services for DNSSEC and other initiatives.**

### **Issues for Consideration**

#### **Recommended Topics:**

- Provide technical expertise
- Serve as a center of excellence in DNS operational matters
- Establish minimum standards for DNS infrastructure of a TLD
- Start efforts to formalize relations with Root Server Operators
- Support strategies to geographically diversify the existence of multiple instances of every root server entity. (ref. <http://www.root-servers.org/> ).
- Continue the support of ACRP training courses in coordination with cc RO's

#### **Discussion:**

#### **Recommendations:**

## POLICY DEVELOPMENT SUPPORT

### **Strategic Element in ICANN Strategic Plan: (From Strategic Plan)**

"Strengthen processes for developing policy"

### **Operating Issue: (From Operating Plan)**

ICANN has continued to invest in processes to ensure policies are developed as fairly, effectively and expeditiously as possible to meet community needs. There has been significant increase in the volume of policy support work over the past fiscal year and this level of work is expected to continue in FY10. In addition, the Board has asked the community and Staff to implement numerous improvement initiatives for ICANN's policy structures. **The proposed FY10 budget for policy development support is \$5.28 million (vs. \$5.15 million in FY09, a 2.5% increase) and includes funds for converting efforts from GNSO policy development to implementation as well as funds for services, programs, and tools to train future leaders in policy.**

This section has 16 actions, half of which are about GNSO improvements. The remainder cover improvements across the whole ICANN community, including the ccNSO and a summary of these is below.

### **Issues for Consideration**

#### **Summary of proposed actions:**

- 2 new staff (dept secretariat & Policy Director)
- Education & training programmes to encourage involvement and develop skilled chairs and facilitators
- Introduction of a document handling system
- Revamp of process for gathering and addressing public comments
- Translation of policy documents
- Programs to increase SO involvement
- Develop process for informing SOs of industry trends and identifying policy issues

#### **Recommended Topics:**

Do the actions cover what needs to be done during 2010 on improving ccNSO policy development support?

Is there anything missing?

#### **Discussion:**

#### **Recommendations:**

## DNS OPERATIONS

### **Strategic Element in ICANN Strategic Plan: (From Strategic Plan)**

"Enhance security, stability and resiliency in the allocation and assignment of the Internet's unique identifiers"

"Strive for excellence in core operations"

### **Operating Issue: (From Operating Plan)**

Ensuring stability and security of the DNS and other Unique Identifiers remains a core function and a key priority for ICANN. The work in FY10 will be to maintain and improve communications with our global audience of stakeholders at all knowledge levels regarding how DNS works and ICANN's role in the DNS, particularly in light of the introduction of new gTLDs and the deployment of DNSSEC. **The FY10 proposed budget for DNS Operations is \$1.26 million about \$227k more than FY09 (16.8%~).** This includes funding for a new research team, to start in late FY10, and will focus on IANA/DNS topics. This small research group will be the subject of further consultation.

### **Issues for Consideration**

#### **Recommended Topics:**

- DNSSEC
  - o Assist ccTLDs with DNSSEC trials and deployment
  - o Continued operation of ITAR and robustness of the ITAR infrastructure
  - o Signing of the root

#### **Discussion:**

- What is the purpose of the new "DNS research team".
- Does ICANN have a role to play in threats to the DNS such as, but not limited to, Conficker C?
- If so, what role might it play to assist the CC community.

#### **Recommendations:**

## Operational Activity Detail

### 2. IDN Implementation

Complete the IDN ccTLD Fast Track implementation plan in accordance with the recommendation from the IDNC working group. Execute the plan, resulting in the delegation of IDN ccTLDs in the root zone during FY10. Implementation details include execution of a broad communications plan, developing and implementing an application and evaluation process, and resolving outstanding policy issues such as the form of agreements with ccTLDs, fee, and coordination with other root zone processes (such as gTLD introduction and DNNSEC).

- Technical standards: facilitate the completion of the IDNA protocol; and coordination / manage amendment to the IDN Guidelines
- Provide regional outreach and training in order to encourage participation in the opening of the top-level zone and understand and resolve regional concerns.

### 3. IANA and Technology Operations Improvements

Test and implement RZM software to facilitate accurate, reliable, timely handling of root zone change requests submitted by ccTLD and gTLD registries.

- Manage root zone request processing and continue to refine process to improve efficiency and reliability.
- Improve performance reporting against published commitments.
- Improve efficiency in protocol parameter request processing.
- Manage stakeholder relations in a measurable way by requesting feedback on IANA performance, making changes in accordance with the feedback, and publish metrics on changes and responses.
- Manage number resource requests and report on turnaround time performance against published commitments.
- Ongoing reporting of activities and performance: recommend improvements to the monthly DoC report (to the USG), meet each reporting deadline; publish complete set of performance metrics to ICANN dashboard in a timely manner.
- Draft and execute operational readiness plan to accommodate the delegation of new gTLDs and ccTLDs, including IDNs.
- Assess software development needs 3x a year.
- Manage and maintain policy documentation.
- Support DNSSEC signing for Root Zone, continue present signing activities, facilitate introduction in reports to USG and other stakeholders.
- Make improvements to IANA infrastructure to support major activities (e.g., root zone change management) by facilitating monitoring and a quality assurance function.

#### 4. Security, Stability and Resiliency (SSR)

- Enhance ICANN Efforts as Overall Contributor to Internet Security and Resiliency (SSR). Key activities will include:
  - Ensure approval by community and Board to ICANN Plan to Enhance Internet SSR by October 2009.
  - Coordinate ICANN SSR efforts with partners as identified in ICANN Plan, establish specific joint work plans by fall 2009 and begin implementation of joint efforts between October 2009 and Feb 2010.
  - Work with key global cyber security leadership organizations including Software Engineering Institute, DNS-OARC, European Network and Information Security Agency (ENISA) and Forum for Incident Response Teams (FIRST) to establish metrics for ICANN SSR programs by December 2009 and conduct initial program evaluations by June 2010.
  - Investigate a mechanism to enhance involvement in SSR activities from stakeholders based in developing countries to include potentially leveraging ICANN Fellowships program. Develop program proposal by Jan 2010 for consideration in 2011 operating plan and budget
  
- Enhance Overall Domain Name System Security Stability and Resiliency (SSR). Key activities will include:
  - Work with partners, establish an initiative and work plan to enhance collaborative responses to threats to or that abuse the DNS by October 2009 and initiate sustained collaborative approaches by January 2010.
  - Enhance and sustain DNS Security & Resiliency Best Practices Portal established in collaboration with OARC with full range of planned capabilities in place by Dec 2009.
  - Coordinate and partner in conducting DNS Security & Resiliency Symposium in early 2010 to identify key risks to the DNS and opportunities for community-based collaboration to improve DNS SSR.
  - Actively participate in root server operators and technical forums and lead collaborative planning and executing root server system contingency response exercise by spring 2010
  
- Enhancing Top Level Domain Security, Stability and Resiliency. Key activities will include:
  - Enhance and continue execution of TLD security and resiliency capacity building program in conjunction with Regional TLD Associations, ISOC and Network Startup Resource Center (NSRC) Key activities will include:
  - Continue conduct of Attack and Contingency Response Program with 5 workshops in coordination with regional TLD organizations integrating DNS/TLD security lessons-learned and best-practices into the curriculum. Ensure training & materials available in Spanish and English by end of 2009.

- In conjunction with ISOC and NSRC develop a hands-on, technical Registry Operations Curriculum combining existing / emerging training for registry operators with DNS security-focused content. Integrate existing technical security workshop content with evolving community efforts focused on training ccTLD operations staffs in three workshops.
- Conduct three tabletop exercise (TTX) workshops in coordination with regional TLD organizations. Provide support to TLD and regional organizations in planning and conducting tabletop exercises targeting one event by end 2009 and one by June 2010.
- Support continued enhancement of TLD Continuity Program to include working with the community to refine the gTLD registry contingency plan, conducting a live data escrow procedures drill in fall 2009 and holding another collaborative exercises with key partners in Jan 2010
- Program: Enhance security of ICANN programs to implement new gTLD and IDN programs. Key activities will include:
  - Ensure software applications developed to support programs, particularly the TAS are secure. Conduct TAS initial code review and vulnerability testing by September 2009 and initiate program for on-going security assessment of all new applications associated with these programs by end 2009.
  - Establish and implement security and resiliency focused evaluation process for new gTLD/IDN application process integrated with overall applicant application process, initiating in fall 2009.
- Conduct and enhance ICANN's corporate information, personnel and facilities security programs in accordance with benchmarked international standards. Key activities will include:
  - Ensure annual update ICANN security plans occurs and monitor effective implementation of security controls and procedures.
  - Coordinate ICANN corporate security risk management and business continuity planning. Conduct a business continuity related drill in spring 2009.
  - Conduct physical security assessment of ICANN facilities by Oct 2009.
  - Conduct external audit of ICANN security program in Spring 2010.
  - Ensure ICANN security staff has strong skills appropriately tools and maintains currency with security threats and best practices.

## 8. Policy Development Support

- Retain 2 additional staff members: Dept. secretariat and Policy Director to improved support;
- Implement working groups and PDP structure as directed by ICANN Board; effort expected to result in more efficient and effective policy process with increased involvement by all aspects of GNSO community;
- Develop implementation plan and support implementation of improvement initiatives – if directed by the Board – for the ALAC, SSAC, RSSAC, ccNSO and ASO;
- Create education and training programs and other systems to encourage direct involvement in ICANN SOs and ACs, and to develop a group of skilled chairs and facilitators familiar with ICANN issues and able to assist with policy development;
- Support development and implementation of benchmarking and self-assessment processes for GNSO PDP working groups, the GNSO Council, and the ALAC to evaluate the effectiveness of their work and identify opportunities for improvement;
- Support development and implementation of operational improvements for the GNSO Council;
- Develop and implement a formal document handling system that will allow easy tracking of all policy development documents;
- Revamp the process for gathering and addressing public comments on policy issues;
- Develop and implement a plan for translation of documents associated with policy development;
- Support implementation of the GNSO's new Stakeholder Group structure;
- Develop and implement a revised "Statement of Interest" process for the GNSO;
- Revise bylaws to accommodate GNSO Improvements and Restructuring
- Develop and implement education and training curriculum for GNSO and At-Large participants and community members;
- Support of targeted programs to increase direct involvement in SOs and ACs;
- Develop and maintain a database of GNSO participants;
- Develop and implement a process for regularly informing the SOs and ACs of developing industry trends that will help them proactively identify important policy issues and make well-informed policy decisions.

## 14. DNS Operations

- Certify DNSSEC-signing facility designs meet community requirements
- Deploy production-quality DNSSEC services
- Deploy L-root test lab
- Finalize new L-root global node design
- Finalize L-root local node design
- Separate secondary's for DNS Group-managed zones from IT-managed zones
- Start small research group late in FY10. Engage community in plan for this effort. Staff this effort.