

**ccNSO SOP Working Group / ICANN Strategic Planning Session  
11 March 2012  
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[DRAFT]

**CCNSO SOP WORKING GROUP / ICANN STRATEGIC PLANNING SESSION  
AGENDA  
SUN, 11 MARCH 2012 - 12:15 - 15:00**

Overview: The ccNSO SOP Working Group is meeting with ICANN staff to discuss issues related to ICANN's Strategic Plan from a ccTLD perspective.

**1. Introductions and Overview – 10 minutes**

Goal: Set the expectations for the session. Explore and identify what is important to the ccTLD community and ICANN as a whole.

- a. Discuss objectives for the session
- b. Review of significant emerging issues and trends during fiscal year 2012.

**2. ICANN Strategy Discussion – 60 minutes**

Goal: Get input from ccNSO on their view of the strategic direction of ICANN.

- a. Given recent changes and developments, what should ICANN be in 3 to 5 years?
- b. Review ICANN Vision
- c. Review ICANN Mission

**3. Planning for the Four Pillars – 80 minutes**

Goal: Provide an update of progress made during the past year toward 2012-2015 Strategic Objectives. Get input from ccNSO on their view of the strategic objectives for the next 3-5 years, considering threats, opportunities, strengths and weaknesses for each pillar.

- a. DNS stability and security
- b. Competition, consumer trust and consumer choice
- c. Core operations, including IANA
- d. A healthy internet governance eco-system

**4. Strategic and Operational Planning Process and Wrap Up – 15 minutes**

Goal: Invite comments on process and plan changes that were put in place last year, new concerns and suggestions and other thoughts on the process itself. Provide a roadmap for the strategic planning process.

- a. Document content
- b. Strategic metrics
- c. Planning timeline and next steps

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**MISSION** (*Source: Section 1 of the Bylaws for ICANN*)

The mission of The Internet Corporation for Assigned Names and Numbers ("ICANN") is to coordinate, at the overall level, the global Internet's systems of unique identifiers, and in particular to ensure the stable and secure operation of the Internet's unique identifier systems. In particular, ICANN:

1. Coordinates the allocation and assignment of the three sets of unique identifiers for the Internet, which are
  - a. Domain names (forming a system referred to as "DNS");
  - b. Internet protocol ("IP") addresses and autonomous system ("AS") numbers; and
  - c. Protocol port and parameter numbers.
2. Coordinates the operation and evolution of the DNS root name server system.
3. Coordinates policy development reasonably and appropriately related to these technical functions.

**CORE VALUES** (*Source: Section 2 of the Bylaws for ICANN*)

In performing its mission, the following core values should guide the decisions and actions of ICANN:

1. Preserving and enhancing the operational stability, reliability, security, and global interoperability of the Internet.
2. Respecting the creativity, innovation, and flow of information made possible by the Internet by limiting ICANN's activities to those matters within ICANN's mission requiring or significantly benefiting from global coordination.
3. To the extent feasible and appropriate, delegating coordination functions to or recognizing the policy role of other responsible entities that reflect the interests of affected parties.
4. Seeking and supporting broad, informed participation reflecting the functional, geographic, and cultural diversity of the Internet at all levels of policy development and decision-making.
5. Where feasible and appropriate, depending on market mechanisms to promote and sustain a competitive environment.
6. Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest.
7. Employing open and transparent policy development mechanisms that (i) promote well-informed decisions based on expert advice, and (ii) ensure that those entities most affected can assist in the policy development process.
8. Making decisions by applying documented policies neutrally and objectively, with integrity and fairness.
9. Acting with a speed that is responsive to the needs of the Internet while, as part of the decision-making process, obtaining informed input from those entities most affected.
10. Remaining accountable to the Internet community through mechanisms that enhance ICANN's effectiveness.

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11. While remaining rooted in the private sector, recognizing that governments and public authorities are responsible for public policy and duly taking into account governments' or public authorities' recommendations.

**AFFIRMATION OF COMMITMENTS excerpts** *(Source: Affirmation Of Commitments By The United States Department Of Commerce And The Internet Corporation For Assigned Names And Numbers)*

This document affirms key commitments by DOC and ICANN, including commitments to: (a) ensure that decisions made related to the global technical coordination of the DNS are made in the public interest and are accountable and transparent; (b) preserve the security, stability and resiliency of the DNS; (c) promote competition, consumer trust, and consumer choice in the DNS marketplace; and (d) facilitate international participation in DNS technical coordination. *(Paragraph 3)*

DOC affirms its commitment to a multi-stakeholder, private sector led, bottom-up policy development model for DNS technical coordination that acts for the benefit of global Internet users. A private coordinating process, the outcomes of which reflect the public interest, is best able to flexibly meet the changing needs of the Internet and of Internet users. To ensure that its decisions are in the public interest, and not just the interests of a particular set of stakeholders, ICANN commits to perform and publish analyses of the positive and negative effects of its decisions on the public, including any financial impact on the public, and the positive or negative impact (if any) on the systemic security, stability and resiliency of the DNS. *(Paragraph 4)*

DOC recognizes the importance of global Internet users being able to use the Internet in their local languages and character sets, and endorses the rapid introduction of internationalized country code top level domain names (ccTLDs), provided related security, stability and resiliency issues are first addressed. *(Paragraph 5)*

DOC also affirms the United States Government's commitment to ongoing participation in ICANN's Governmental Advisory Committee (GAC). DOC recognizes the important role of the GAC with respect to ICANN decision-making and execution of tasks and of the effective consideration by ICANN of GAC input on the public policy aspects of the technical coordination of the Internet DNS. *(Paragraph 6)*

ICANN commits to adhere to transparent and accountable budgeting processes, fact-based policy development, cross-community deliberations, and responsive consultation procedures that provide detailed explanations of the basis for decisions, including how comments have influenced the development of policy consideration, and to publish each year an annual report that sets out ICANN's progress against ICANN's bylaws, responsibilities, and strategic and operating plans. In addition, ICANN commits to provide a thorough and reasoned explanation of decisions taken, the rationale thereof and the sources of data and information on which ICANN relied. *(Paragraph 7)*

ICANN affirms its commitments to: (a) maintain the capacity and ability to coordinate the Internet DNS at the overall level and to work for the maintenance of a single, interoperable Internet; (b) remain a not for profit corporation, headquartered in the United States of America with offices around the world to meet the needs of a global community; and (c) to operate as a multi-stakeholder, private sector led organization with input from the public, for whose benefit ICANN shall in all events act. ICANN is a private organization and nothing in this Affirmation should be construed as control by any one entity. *(Paragraph 8)*

Recognizing that ICANN will evolve and adapt to fulfill its limited, but important technical mission of coordinating the DNS, ICANN further commits to take the following specific actions together with ongoing commitment reviews specified below:

Ensuring accountability, transparency and the interests of global Internet users: ICANN commits to maintain and improve robust mechanisms for public input, accountability, and transparency so as to ensure that the outcomes of its decision-making will reflect the public interest and be accountable to all stakeholders.

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Preserving security, stability and resiliency: ICANN has developed a plan to enhance the operational stability, reliability, resiliency, security, and global interoperability of the DNS, which will be regularly updated by ICANN to reflect emerging threats to the DNS. ICANN will organize a review of its execution of the above commitments no less frequently than every three years.

Promoting competition, consumer trust, and consumer choice: ICANN will ensure that as it contemplates expanding the top-level domain space, the various issues that are involved (including competition, consumer protection, security, stability and resiliency, malicious abuse issues, sovereignty concerns, and rights protection) will be adequately addressed prior to implementation.


ICANN additionally commits to enforcing its existing policy relating to WHOIS, subject to applicable laws. Such existing policy requires that ICANN implement measures to maintain timely, unrestricted and public access to accurate and complete WHOIS information, including registrant, technical, billing, and administrative contact information. (*Paragraph 9*)

To facilitate transparency and openness in ICANN's deliberations and operations, the terms and output of each of the reviews will be published for public comment. Each review team will consider such public comment and amend the review as it deems appropriate before it issues its final report to the Board. (*Paragraph 10*)

The DOC enters into this Affirmation of Commitments pursuant to its authority under 15 U.S.C. 1512 and 47 U.S.C. 902. ICANN commits to this Affirmation according to its Articles of Incorporation and its Bylaws. This agreement will become effective October 1, 2009. (*Paragraph 10*)

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**PROPOSED DRAFT STRATEGIC PLAN 2012-2015: FOUR STRATEGIC FOCUS AREAS**

 <b>Strategic Plan 2012-2015: Four Strategic Focus Areas</b> <i>Supporting... One World. One Internet.</i>					
	DNS stability and security	Competition, consumer trust & consumer choice	Core operations including IANA	A healthy Internet governance eco-system	
Strategic Objectives	<ul style="list-style-type: none"> <li>Maintain &amp; drive DNS availability</li> <li>Enhance risk management &amp; resiliency of the DNS, IP addresses &amp; parameters</li> <li>Promote broad DNSSEC and IPv6 adoption</li> <li>Enhance international DNS cooperation</li> <li>Improve responses to DNS security incidents</li> </ul>	<ul style="list-style-type: none"> <li>Maintain single authoritative root</li> <li>Increase TLD options in more languages</li> <li>Rollout new gTLDs including IDNs</li> <li>Lower registration abuse</li> <li>Increase industry competition</li> </ul>	<ul style="list-style-type: none"> <li>Flawless IANA operations</li> <li>Continue long-term IANA functions responsibility</li> <li>Resilient L-Root operations</li> <li>Continual improvements (EFQM)</li> <li>Internationalization</li> <li>ICANN meeting evolution</li> </ul>	<ul style="list-style-type: none"> <li>Strive to be an exemplary international multi-stakeholder organization</li> <li>Increase stakeholder diversity and cross-stakeholder work</li> <li>World-class accountability, transparency &amp; corporate governance</li> <li>Act in global public interest</li> <li>Enhance trust in ICANN's stewardship</li> <li>Ease of global participation</li> </ul>	
Strategic Projects	<ul style="list-style-type: none"> <li>Promote DNSSEC training and adoption</li> <li>Facilitate work on DNS, IP address &amp; parameter security</li> <li>Implement best practices for DNS business continuity planning</li> <li>Facilitate IPv6 adoption</li> <li>Explore Internet Number Resource Certification</li> <li>Facilitate Whois evolution</li> </ul>	<ul style="list-style-type: none"> <li>Expand Internationalized Domain Name (IDNs)</li> <li>Implement new gTLDs &amp; measure impact</li> <li>Whois program improvements</li> <li>Improve policy development processes</li> <li>Enhance registrant protection</li> <li>Implement rights protection mechanisms</li> <li>Expand stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Define internationalization principles</li> <li>Continue IANA infrastructure upgrade</li> <li>Publish reports on IANA services</li> <li>Monitor performance of root zone management</li> <li>IANA excellence (EFQM)</li> <li>OEI - Organizational Effectiveness Initiative</li> <li>Improve Enterprise Systems</li> </ul>	<ul style="list-style-type: none"> <li>Complete Affirmation of Commitments &amp; organizational reviews</li> <li>Retain &amp; support existing community while attracting new &amp; diverse community members</li> <li>Build global support for single authoritative root</li> <li>Enhance cooperation in Internet Governance</li> <li>Increase technical community communication &amp; collaboration</li> </ul>	
Community Work	<ul style="list-style-type: none"> <li>Local DNSSEC adoption</li> <li>IDN variant management</li> <li>Facilitate new DNS risk management working group &amp; initiate study</li> <li>Develop standards for DNS, &amp; IP address protocol</li> <li>Promote IPv6 deployment</li> <li>Facilitate law enforcement engagement</li> </ul>	<ul style="list-style-type: none"> <li>Promote IDNA protocol implementation</li> <li>Facilitate new gTLD &amp; IDN rollout</li> <li>Support Registrar Accreditation Agreement amendments</li> <li>Expand inclusion &amp; orientation of new stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen regional presence</li> <li>Engage with Staff on performance</li> <li>Increase participation on key committees</li> <li>Expand engagement within technical community</li> </ul>	<ul style="list-style-type: none"> <li>Increase multi-stakeholder participation</li> <li>Onboarding of participants</li> <li>Increase contributions to international forums</li> <li>Review SOs and ACs</li> <li>Promote continuing education/ orientation in ICANN programs</li> <li>Continue Root Zone Management</li> </ul>	
Staff Work	<ul style="list-style-type: none"> <li>Enhance business continuity &amp; risk management</li> <li>Increase collaboration with RIRs &amp; technical groups</li> <li>Promote DNSSEC operations &amp; education</li> <li>Facilitate IPv4 &amp; IPv6 engagement</li> <li>Advance cooperative capability building in developing countries</li> <li>Increase business outreach</li> </ul>	<ul style="list-style-type: none"> <li>Improve compliance</li> <li>Enhance SO &amp; AC support work</li> <li>Expand contracted party customer service</li> <li>Enhance global outreach</li> <li>Support IDN ccTLD Fast Track</li> <li>Facilitate new gTLD &amp; IDN TLD implementation</li> <li>Expand ICANN regional footprint</li> </ul>	<ul style="list-style-type: none"> <li>IANA request processing</li> <li>Root zone DNSSEC operations</li> <li>Facilitate Board support</li> <li>Enhance security and contingency operations</li> <li>Continue L-Root operations</li> <li>Improve enterprise systems/processes/controls</li> <li>Improve staff training, retention and engagement</li> </ul>	<ul style="list-style-type: none"> <li>Expand Thought leadership</li> <li>Widen international engagement</li> <li>Strengthen corporate, government &amp; other stakeholder partnerships</li> <li>Continue to improve decision impact analysis &amp; reporting</li> <li>Enhance communications, accessibility &amp; participation via improved tools</li> <li>Enhance multi-lingual strategy</li> </ul>	
<p align="center"><b>Multi-stakeholder – Collaborative – International – Transparent - Accountable</b></p>					

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**PROJECT UPDATE**

DNS Stability and Security				
Strategic Objectives	Strategic Initiatives/Projects	Operational Projects	Project Status <sup>(1)</sup>	Comment
Maintain and drive DNS availability				Core activity
Enhance risk management & resiliency of the DNS, IP addresses & parameters	Facilitate work on DNS, IP address & parameter security			Core activity
	Facilitate IPv6 adoption	Advocate IPv6 Adoption	Continue	3+ years
	Explore Internet Number Resources Certification	RPKI (Resource Public Key Infrastructure)	Continue	2-3 years
Promote broad DNSSEC adoption	Promote DNSSEC training and adoption	DNSSEC Capacity Building	Continue	2-3 years
Enhance international DNS cooperation	Facilitate Whois evolution	Restful Whois	Continue	2-3 years
		DNS Security	Continue	2-3 years
Improve responses to DNS security incidents	Implement best practices for DNS business continuity planning	Information Security Plan	Continue	1 year

Competition, Consumer Trust & Consumer Choice				
Strategic Objectives	Strategic Initiatives/Projects	Operational Projects	Project Status <sup>(1)</sup>	Comment
Maintain single authoritative root	Improve policy development processes			Core activity
Increase TLD options in more languages	Expand Internationalized Domain Name (IDNs)	IDNA Protocol	Complete	
		IDN -Stability Review Team	Continue	2-3 years
		IDN Variant Management - Solutions Phase	New	2-3 years
		IDN Variant Mgmt.	Complete	
		IDN ccTLD Review	Core	Core activity
Rollout new gTLDs including IDNs	Implement new gTLDs & measure impact	New gTLD implementation	Complete	
		New gTLD Communications	Core	Core activity
		New gTLD Operations)	Continue	1 year
		Ops Readiness Impact	Continue	1 year
		Independent Objector	Continue	1 year
		TLD Delegation Acceptance	Continue	2-3 years
		New gTLD Applicant Support	Continue	1 year
	Implement rights protection mechanisms	URS (Uniform Rapid Suspension)	Continue	1 year
	Trademark Clearinghouse	Continue	1 year	
Lower registration abuse	Enhance registrant protection	EBERO (Emergency Back-End Registry Operator Request)	New	1 year
	Whois program improvements	Whois Studies	Continue	1 year
Increase industry competition	Expand stakeholders	Compliance improvements	Continue	1 year

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Core Operations Including IANA				
Strategic Objectives	Strategic Initiatives/Projects	Operational Projects	Project Status <sup>(1)</sup>	Comment
Flawless IANA operations	IANA excellence (EFQM)	IANA Business Excellence	Continue	1 year
Continue long-term IANA functions responsibility	Publish reports on IANA services	IANA Services Renewal	Continue	1 year
	Continue IANA infrastructure upgrade			Core activity
Resilient L-Root operations	Monitor performance of root zone management	L-Root Expansion of Operations	Continue	1 year
		Root Zone Scaling Monitoring	Continue	2-3 years
Continual improvements	OEI - Organizational Effectiveness Initiative	OEI - Organizational Effectiveness Initiative	Continue	1 year
	Improve Enterprise Systems	CRM (Customer Relationship Management)	New	2-3 years
		SLA Monitoring Development	Continue	1 year
		FSR (Financial syst)	Complete	
		Travel and Expense System	Complete	
		HRMS	Complete	
		DMS (Document Management Syst)	Continue	1 year
Internationalization	Define internationalization principles			Core activity
ICANN meeting evolution		Intersessional Meetings	New	1 year

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A Healthy Internet Governance Eco-System				
Strategic Objectives	Strategic Initiatives/Projects	Operational Projects	Project Status <sup>(1)</sup>	Comment
Strive to be an exemplary international multi-stakeholder organization	Enhance cooperation in Internet Governance			Core activity
		2013-2016 Strategic Plan Development	New	1 year
Increase stakeholder diversity and cross-stakeholder work	Retain & support existing community while attracting new &			Core activity
		Outreach	New	1 year
World-class accountability, transparency & corporate governance		ARTT Recommendations	Continue	1 year
		Enhancement of Measurable Metrics	New	1 year
Act in global public interest	Build global support for single authoritative root			Core activity
Enhance trust in ICANN's stewardship	Complete Affirmation of Commitments & organizational reviews	AoC Reviews	Continue	3+ years
Ease of global participation	Increase technical community communication & collaboration	icann.org Redesign	Complete	
		Enhance multi-lingual strategy	New	2-3 years
		Widen International Engagement	New	1 year

**Notes**

<sup>(1)</sup> **Status:**

- New - FY2013 funded effort
- Continue - multi-year funded effort
- Complete - effort completed within FY2012
- Core - project effort transitioned to core operations

**Comment:** reflects an assessment of duration to complete project effort based on scope.

- Core activity - ongoing operational funded effort
- 1 year - expected scope completed within FY2013
- 2-3 years - expected scope completed within FY2014-2015
- 3+ years - expected scope completed within FY2015 or thereafter

**Sources:**

- Strategic Objectives and Strategic Projects/Initiatives - Draft 2012-2015 Strategic Plan
- Operational Projects and Project Status - Operational activities

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