Operating Plan
2007-08

Public Forum
Lisbon
26 March 2007
ICANN Planning Cycle

Issue draft Operating Plan: annual plan describing work to be accomplished during fiscal year toward meeting the objectives set out in the Strategic Plan

↓ Community consultation

Costing and iteration of plan: annual expense budget

↓ Community consultation

Board approval of operating plan and budget

Strategic Planning (Jul – Jan)

Operating Planning (Jan – Jun)
Operating/Financial Planning Timetable (tent.)

- Build list of operating plan projects: February 23
- Board Finance Committee Update: March 9
- Complete charters / Dept metrics: March 10
- Create operating plan: March 17
- Post operating plan for comment: March 19
- Lisbon consultations: March 26-30
- Post final operating plan: April 10
- Departmental budgets: April 25
- Board Finance Committee Review: April TBD
- Post proposed budget: May 17
- Complete project planning: June 15
- Submit budget for approval: June 25
Background – Building on Last Year’s Plan

• The goals of the 2005-06 plan were to:
  – Define important activities in terms of projects
    • Independent of day-to-day work
    • Could be independently managed
  – Link projects to Strategic Plan
  – Define outcomes and budget for each project

• While an improvement over past plans, the 2005-06 plan:
  – Organised by Strategic Plan objective rather than function/service/customer
  – Ignored over half of the ICANN work: the business as usual activities of each area providing a service
  – Described 50+ projects to be independently managed with formal project controls
This year’s plan includes all ICANN work and was developed by identifying:

- the list of value-added activities provided by each function,
- the nature of metric(s) by which each activity is measured,
- areas for improvement / new service by describing the work necessary,
- the work to be done in the form of ‘continual improvement’ efforts and projects (i.e., fewer projects than last year)
Conceptual Operating Plan Model

ICANN’s base business

Functions
IANA
International Outreach
Policy Dev.
Registry/rar Relations

Activities
- change requests
- updates
- ccTLD agreements
- Timely policy development
- Compliance
- Registrar accreditation

New Work/Projects
Improve infrastructure
MoU’s
SO Review
Data escrow

Outcomes
- quantity, velocity and accuracy
- New agreements
- New PDP
- Secure bulk xfers

New Projects
1. Add efficiency/responsiveness to base business
2. Provide a one time activity/service result
3. Add ongoing services to base business

New Resources
1. Execute Projects
2. Scale base service business
### Operating Plan Template

<table>
<thead>
<tr>
<th>ACTIVITIES</th>
<th>STANDARD / METRIC</th>
<th>EXISTING WORK</th>
<th>NEW WORK</th>
<th>PROJECTS</th>
<th>ESTIMATED COST</th>
<th>STRAT PLAN REF</th>
</tr>
</thead>
</table>
| **Name Management**  
Root Zone Management: The IANA Root Zone Management function involves accepting requests for alteration of data that is stored in the DNS root zone. | Days to completion of request | Improve request processing tools:  
- Automated Root Zone Management  
- Automated Statistics Generation | Improve request processing tools:  
- Coordinated Delegation  
- Request Reporting | Complete the implementation of automated root zone management tools begun through relationship with NASK and use of mutually developed code and procedures. | Consulting – $50K  
Equipment – $30K | 1.1.2 |
| **Lead and conduct technical tests**  
Verify that IDN TLDs can be inserted in root zone with no stability and security issues. | Announcement that internationalized TLDs can be deployed safely with no security and stability issues | None | IDN Technical Tests demonstrate that internationalized TLDs can be inserted in the DNS with no damaging effect to current level of operation | Incremental staffing requirement  
Consulting – $30K  
Travel – $10K | 1.6 |
Name Management

Root Zone Management:
- The IANA Root Zone Management function involves accepting requests for alteration of data that is stored in the DNS root zone.

STANDARD / METRIC
ACTIVITIES

Table:

<table>
<thead>
<tr>
<th>ACTIVITIES</th>
<th>STANDARD / METRIC</th>
<th>EXISTING WORK</th>
<th>NEW WORK</th>
<th>PROJECTS</th>
<th>ESTIMATED COST</th>
<th>STRAT PLAN REF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Root Zone Management:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- The IANA Root Zone Management function involves accepting requests for alteration of data that is stored in the DNS root zone.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lead and conduct technical tests</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- IDN TLDs can be inserted in root zone with no stability and security issues.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

ACTIVITIES

<table>
<thead>
<tr>
<th>ACTIVITIES</th>
<th>STANDARD / METRIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name Management</td>
<td></td>
</tr>
<tr>
<td>Root Zone Management:</td>
<td></td>
</tr>
<tr>
<td>- The IANA Root Zone Management function involves accepting requests for alteration of data that is stored in the DNS root zone.</td>
<td>Days to completion of request</td>
</tr>
</tbody>
</table>
## Work and Projects

<table>
<thead>
<tr>
<th>ACTIVITIES</th>
<th>STANDARD / METRIC</th>
<th>EXISTING WORK</th>
<th>NEW WORK</th>
<th>PROJECTS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IANA</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Name Management</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Root Zone Management</strong></td>
<td>Days to completion of request</td>
<td>Improve request processing tools: - Automated Root Zone Management - Automated Statistics Generation</td>
<td>Improve request processing tools: - Coordinated Delegation Request Reporting</td>
<td>Complete the implementation of automated root zone management tools begun through relationship with NASK and use of mutually developed code and procedures.</td>
</tr>
<tr>
<td><strong>IDN</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Lead and conduct technical tests</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Verify that IDN TLDs can be inserted in root zone with no stability and security issues</td>
<td>Announcement that internationalized TLDs can be deployed safely with no security and stability issues</td>
<td>IDN Technical Tests demonstrate that internationalized TLDs can be inserted in the DNS with no damaging effect to current level of operation</td>
<td>Incremental staffing requirement Consulting - $30K Travel - $10K</td>
<td></td>
</tr>
</tbody>
</table>

### Existing Work

- Improve request processing tools:
  - Automated Root Zone Management
  - Automated Statistics Generation

### New Work

- Improve request processing tools:
  - Coordinated Delegation Request Reporting

### Projects

- Complete the implementation of automated root zone management tools begun through relationship with NASK and use of mutually developed code and procedures.
### Projects, Budget and Strategic Plan Reference

<table>
<thead>
<tr>
<th>Activities</th>
<th>Standard / Metric</th>
<th>Existing Work</th>
<th>New Work</th>
<th>Projects</th>
<th>Estimated Cost</th>
<th>Strat Plan Ref</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Root Zone Management:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- The IANA Root Zone Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management function involves</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>accepting requests for</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>alteration of data that is</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>stored in the DNS root zone</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Days to completion of request</td>
<td>Improve request processing tools:</td>
<td>Improve request processing tools:</td>
<td>Complete the implementation of automated root zone management tools begun through relationship with NASK and use of mutually developed code and procedures.</td>
<td>Consulting - $50K, Equipment - $30K</td>
<td>1.1.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Automated Root Zone Management</td>
<td>- Coordinated Delegation Request Reporting</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Automated Statistics Generation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lead and conduct technical tests</td>
<td></td>
<td>Announcement that</td>
<td>Incremental staffing requirement Consulting - $30K, Travel - $10K</td>
<td>IBN Technical Tests demonstrate that internationalized TLDs can be inserted in the DNS with no damaging affect to current level of operation</td>
<td></td>
<td>1.6</td>
</tr>
<tr>
<td>Verify that IBN TLDs can be</td>
<td></td>
<td>Internationalized TLDs can be deployed safely with no security and stability issues</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>inserted in root zone with no</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>stability and security issues</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Projects**

- Complete the implementation of automated root zone management tools begun through relationship with NASK and use of mutually developed code and procedures.
  - Consulting - $50K
  - Equipment - $30K

Based on published 2007-2010 ICANN Strategic Plan
## Organising the Work by Customer:

<table>
<thead>
<tr>
<th>ICANN Function</th>
<th>Customer</th>
</tr>
</thead>
<tbody>
<tr>
<td>IANA</td>
<td>Registries, IETF, applicants</td>
</tr>
<tr>
<td>Policy Development Support</td>
<td>Volunteer organisations</td>
</tr>
<tr>
<td>Global Partnerships</td>
<td>Stakeholders/participants</td>
</tr>
<tr>
<td>Registrar &amp; Registry Liaison</td>
<td>gTLD community</td>
</tr>
<tr>
<td>Contractual Compliance</td>
<td>gTLD community</td>
</tr>
<tr>
<td>IDN</td>
<td>Global registrants</td>
</tr>
<tr>
<td>Communications &amp; Meetings</td>
<td>Internet community</td>
</tr>
<tr>
<td>Tech Ops, L-Root, &amp; Project Mgt</td>
<td>Users, ICANN organisation</td>
</tr>
<tr>
<td>Admin, HR, Finance, Security</td>
<td>ICANN internal organisation</td>
</tr>
</tbody>
</table>

*Users and registrants are the ultimate customers of each function*
IANA work:

- Improve address request processing (days to complete) through online tools
- Improve root, ARPA and INT request processing (days to complete), deploy root zone management tool
- Improve protocol parameter request processing (days to complete); integrating IESG & IANA ticketing,
- Implement escalation procedures to appropriately focus management
- Improve reporting in accordance with customer interests
- Improve internal administration to gain efficiencies
Policy Development Support work:

- Implement regular reviews of important organisations (ALAC, NomCom, Board)
- Implement improvements in organisations based on reviews and other inputs (GNSO, ALAC, NomCom)
- Provide expertise (economic and market) to facilitate meaningful policy development support
- Improve participation with selected constituency travel support
- Support major PDPs:
  - IDN
  - Whois
  - New gTLDs
- Support At-Large, facilitate formation of RALOs, improve recruitment
Global Partnership work:

- Improve information dissemination to ccTLD managers and regional organisations, improve participation
- Facilitate President’s Strategy Committee work in assisting development toward independent organisation
- Liaise with GAC to increase participation and improve GAC effectiveness
- Engage with relevant organisations: sign agreements with ccTLDs and NGO partners;
- Engage in relevant fora: IGF, OECD, ITU
gTLD Registrar and Registry Liaison work:

• Improve accreditation functions (days to complete and level of scrutiny) through on-line tools and collaborative development of standards

• Improve customer service (timeliness, quality) to registrars, registries, Board and other organisations:
  – New registry services process
  – Contract amendment requests
  – Communications

• Provide timely access to accreditation and financial information through databases

• Plan and conduct regional workshops

• Provide guidance to policy developments to facilitate implementation

• Support constituency related security & stability work:
  – Data escrow
  – Registry failover
Contractual Compliance work:

- Analyze complaint data to assess trends and determine if compliance action is needed
- Investigate, research and address compliance issues to ensure appropriate action is taken by ICANN
- Consistently apply standards for considering and potentially escalating complaints and claimed compliance issues
- Conduct registrar and registry audits to determine if parties are in compliance with ICANN agreements
- Manage compliance related communications and reporting to ensure that the Internet community is informed
IDN work:

- Information management: collect from and disburse to regional technical, policy, government and other organisations; conduct regional workshops & outreach
- Facilitate, support, and coordinate the revision and development of technical documents (IDN Guidelines & protocol revision)
- Lead and conduct technical tests
- Support IDN policy development
- Manage the development of the IDN repository
- Synthesize all the work into the deployment of IDN TLDs
Communications & Meetings work:

Develop mechanisms to report on ICANN's openness, transparency, inclusiveness and its multilateral and multi-stakeholder environment by:

- Providing access to ICANN discussions and processes by improving ICANN's web site and other on line access points
- Developing on line tools and manage for increased community dialogue
- Improving public participation at ICANN meetings and improve meeting effectiveness
- Production of fact sheets on topics requested by community and identified by ICANN staff  Virtual Town hall meetings
- Internal communications among ICANN staff through mechanisms that take account of ICANN's global mission
Project Management work:

• Create a centralized and coordinated Project Portfolio within ICANN

• Manage project governance process to ensure that:
  – scope, schedule and budget criteria are met before execution of a project begins
  – project management techniques are implemented only where they will increase efficiency

• Provide consistent and accurate monthly review of project progress on cost, scope and schedule

• Implement change management system incorporating cost, risk and change management
Technical Operations and L-Root work:

- Ensure that ICANN’s server farm is current and supports ICANN’s business needs
- Ensure that WANs, LANs, and Internet networks are current and available to support ICANN’s business needs
- Storage Area Network - Provide for improved data backup to ensure business continuity
- Build redundancy into L-Root infra-structure: establish regional and anycast locations
- Support the implementation of systems that facilitate ICANN efficiency in operation, transparency, and reporting including dashboards, ticketing and workflow systems
HR, Security & Finance work:

- Performance expectations and results communicated to all employees; create/enhance results-oriented culture
- Ensure cost effective and timely recruiting as measured by cost/hire
- Provide security information and crisis management to travelers and relevant ICANN meetings;
- Provide security assessments and remediation plans to ICANN's system infrastructure
- Prepare timely and accurate financial reports, project cost reports and departmental management reports
Conclusion

• Benefits of the amended planning process:
  – Incorporates and links all ICANN work: business-as-usual, continuous improvement efforts, and projects
  – Limits the number of projects to those (20 or so) efforts that can benefit from formal project planning methodology and can be effectively managed
  – Maintain tight linkage to strategic plan objectives
• Plan for consulting on this plan before approval
  – Constituency consultations
  – Multi-lingual consultations
• Plan for managing the plan going forward, including reporting to community