# ICANN Strategy Panels & the Planning Process
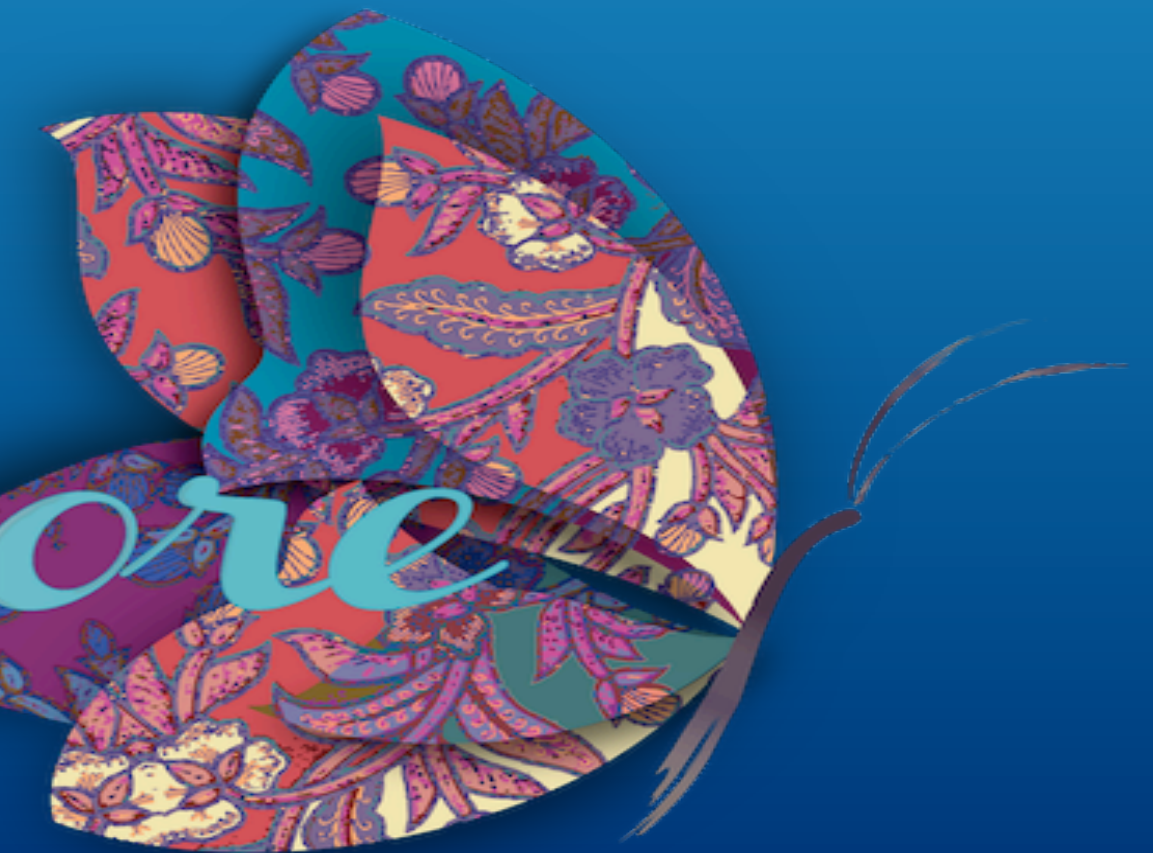
24 March 2014

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# Agenda

- Strategic Planning Process & Schedule (10 min)

- Identifier Technology Innovation (Presentation 10 min – Q&A – 5 min)

- Public Responsibility Framework (Presentation 10 min – Q&A – 5 min)

- ICANN Multistakeholder Innovation (Presentation 10 min – Q&A – 5 min)

- ICANN's Role in the Internet Governance Ecosystem (Presentation 10 min – Q&A – 5 min)

- Q&A (20 min)

# Strategic Planning Process & Schedule

# Strategic Planning Process & Schedule

**Mission**

**Vision**

**Focus Areas**

**Strategic Plan**

- Collaborative and multistakeholder planning process

- 5 years: FY 2016 - 2020

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# Strategic Planning Process & Schedule

| Milestones | Date |
|---|---|
| Public Comment period – Strategy Panel Reports | Through 30 April 2014 |
| Public Comment period – Draft Strategic Plan | April – May 2014 |
| Finalize Strategic Plan based on public comments and relevant input from Strategy Panels | June 2014 |
| Review and approval of the Final Strategic Plan by the Board | June 2014 |

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# People

Panelists:

- Jari Arkko

- Rick Boivie

- Anne-Marie Eklund Löwinder

- Geoff Huston

- Paul Mockapetris, Chair

- James Seng

- Paul Vixie

- Lixia Zhang

# Darwin Drivers (for DNS)

## Expansion

- Organic Growth / Legacy Base / Universality

- New TLDs

- New Capabilities

- New Data

- New .onion, .local, …

## Contraction

- UI accent on commerce, multimedia, portability

- Protocol & Process ossification

- Rise of commercial identifiers

- Rise of new systems from research

# Research Drivers

- Names are hot: Name Based Networking, Content based networking, Information Based Networking

- Common Themes: access by name, opportunistic caching

- Common ingredients:

  - Self certifying/flat names

  - PKI

  - User friendly Names

- How do we accelerate a DNS upgrade or replacement?

# The Roadmap Question for ICANN

- ICANN serves the Internet community by administering part of the DNS. The DNS is one of the most important building blocks of the present Internet and future open innovation.

- The present DNS is limited by:

  - operational (e.g. packet size, flawed DNS software in access points)

  - protocol (e.g. difficulty in defining new formats)

  - process (e.g. DNSOPS WG does "mechanisms" not "protocol" to avoid process, diverse WGs)

- Should ICANN try to preserve & enhance the DNS asset? How?

  - Breakthroughs for bottlenecks? Aka De-ossification

  - DNS2?

  - Evolution to research direction

  - New features, e.g. privacy, confidentiality

# Hardening the Root

Major opportunities:

- Generating the root file

  - Use of more robust/secure components

  - Globalization via Shared Zone Control

- Distributing the root file

  - Basic idea is to distribute copies of the root zone to any server that wants one, not just root servers

    ◇ Vixie version: 2 anycast addresses, variants

    ◇ Perhaps others, some fine points on delegation verification

# Shared Zone Control (SZC)

- Can we imagine a workflow language that allows multiple parties different rights for the same zone?

- For the root, can we make it possible to split control, and implement change in a distributed algorithm, and avoid the whole single authority issue?

- For other zones:

  - Coordinate glue, DNSSEC stuff, fwd & reverse

- Some limited history here e.g. N/M, 2 DNSOPs proposals

# Rethinking DNS Fundamentals

- Which parts need thought?

  - Abstract database (i.e. name & RR structure, matching rules, zone rules)

    ◇ E.g. why not define RR structure definitions in DNS

  - Query & other operations

    ◇ Asynchronous DNS work (Hoffman, Verisign, ?)

  - Replication

    ◇ Copies of root vs. root servers

- How to make the effort worth doing?

# Recommendations under consideration

- ICANN to publish more signed data for reserved labels, etc.

- A study to define a vision for DNS in 2020

- Prototype open root publication

- Prototype shared zone control

- Perform collision "practice exercises" to verify procedures

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# Q&A

# Strategy Panel on Public Responsibility Framework

Nii Quaynor

# Document Outline

- Framework Aims and Definitions

- ICANN's Current Public Responsibility Work

  - Departmental Work

  - Regional Engagement Strategies

- ICANN's Initial Public Responsibility Framework Areas of Focus
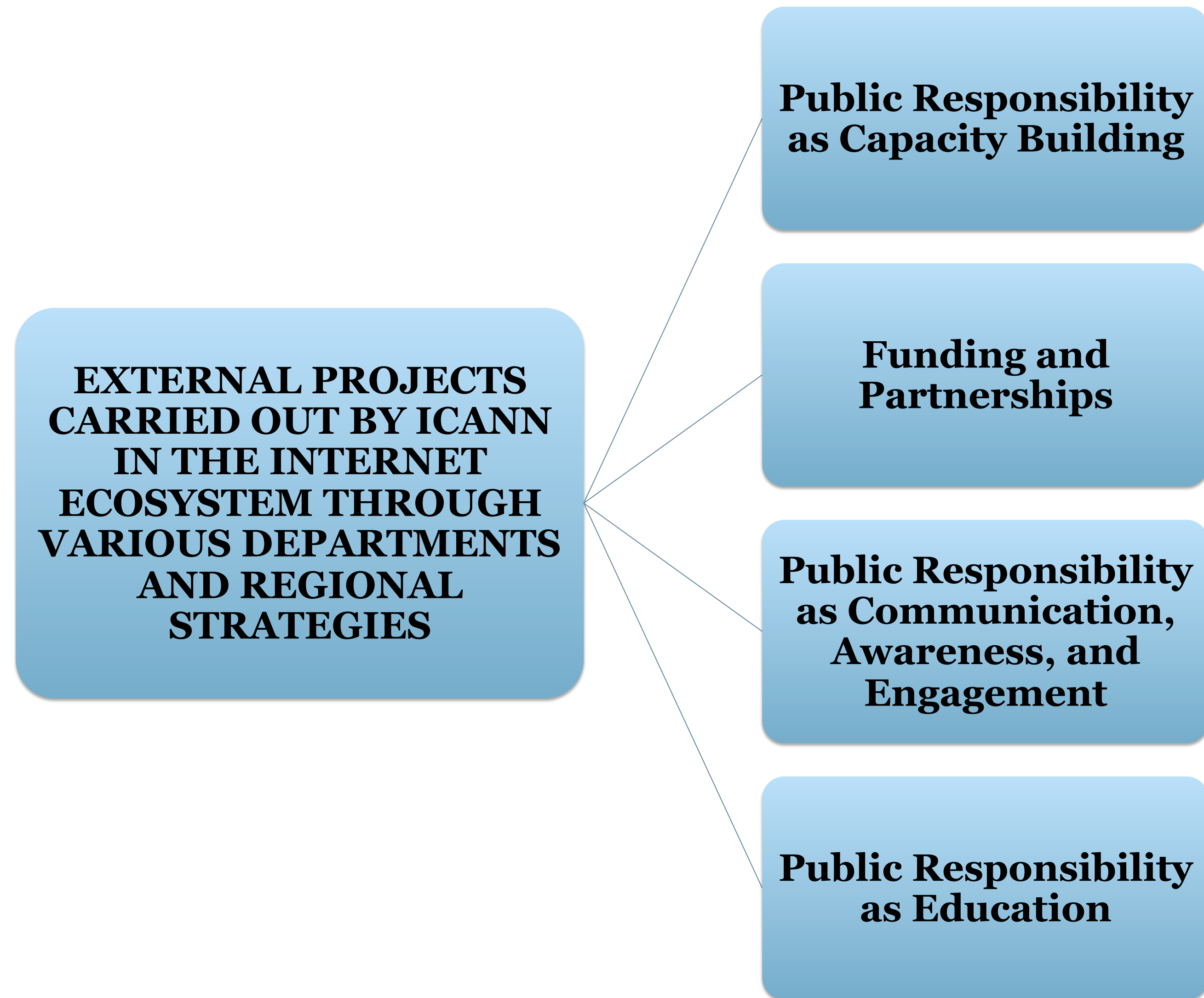
- Recommendations

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# Draft Framework Aims for Discussion

- Defining the public interest vis-à-vis ICANN's framework core mandate

- Detailing the target areas and audiences for ICANN's public responsibility approach

- Detailing how ICANN can promote the global public interest in relation to ICANN's mission and core values by building out the base of internationally diverse, knowledgeable, and engaged ICANN stakeholders

- Advising on the operational activities and funding approaches to ICANN's public responsibility programming and outreach
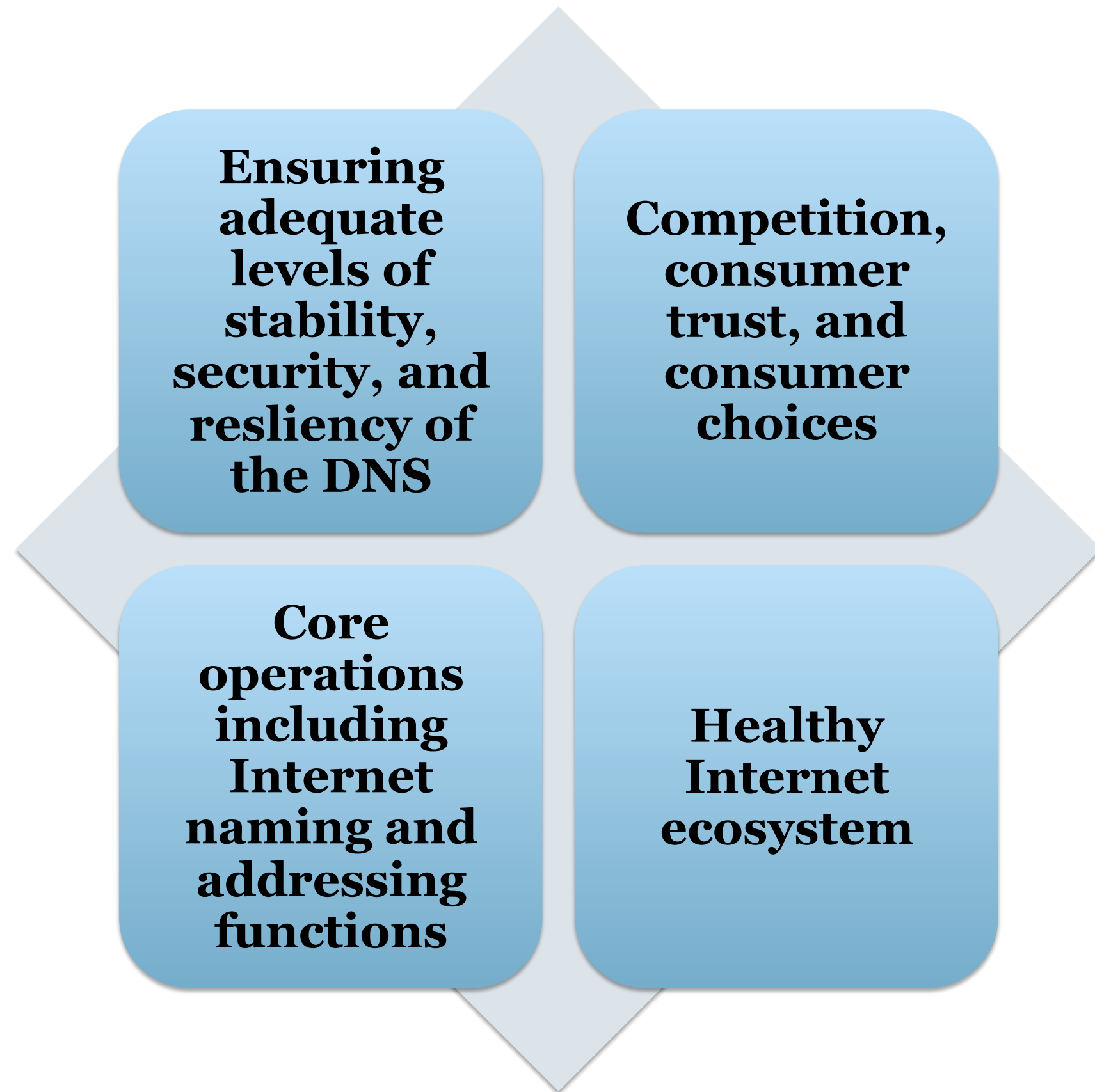
# Definitions

- As an independent, global organization, ICANN is one of the organizations charged with responsibility for an increasingly important shared global resource: The Internet. As one of the stewards of this resource, ICANN recognizes it has a responsibility to protect and promote the global public interest, both throughout its work, and in collaboration with other entities. ICANN's public responsibility permeates all areas of its work and is at the core of its operations.

- ICANN defines the global public interest in relation to the Internet as ensuring the Internet becomes, and continues to be, stable, inclusive, and accessible across the globe so that all may enjoy the benefits of a single and open Internet. In addressing its public responsibility, ICANN must build trust in the Internet and its governance ecosystem.

- This vision is central to ICANN's public responsibility framework; however, there is a need to define particular areas of focus and target topics, regions, and stakeholders that need to be addressed in relation to ICANN's responsibility to serve the global public interest. This framework document further defines these focus areas, and prioritizes where ICANN needs to eliminate friction to ensure greater Internet openness and accessibility.
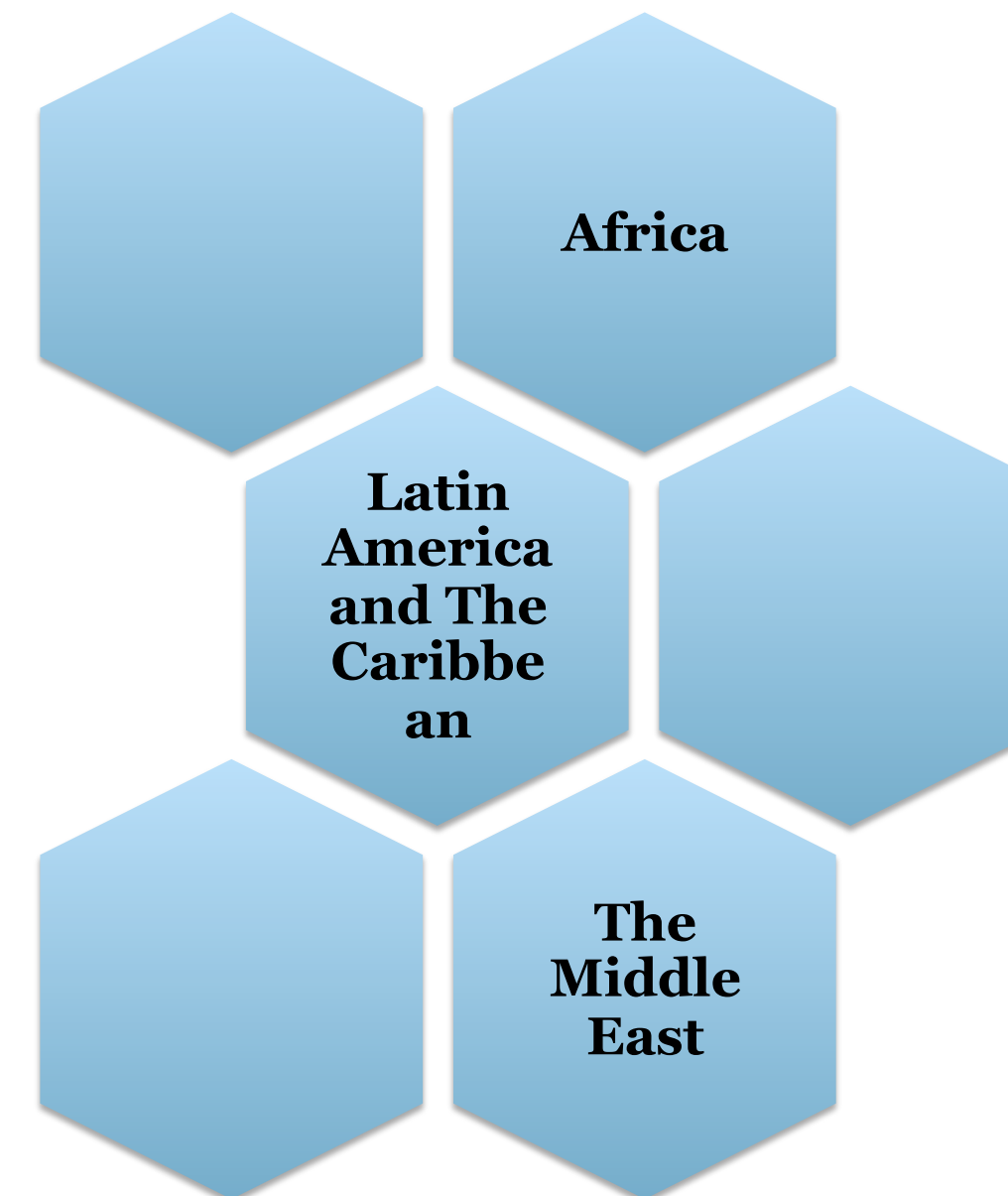
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# Current Activities: Departmental

**EXTERNAL PROJECTS CARRIED OUT BY ICANN IN THE INTERNET ECOSYSTEM THROUGH VARIOUS DEPARTMENTS AND REGIONAL STRATEGIES**

**Public Responsibility as Capacity Building**

**Funding and Partnerships**

**Public Responsibility as Communication, Awareness, and Engagement**

**Public Responsibility as Education**

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# Current Activities: Regional Strategies

**Ensuring adequate levels of stability, security, and resliency of the DNS**

**Competition, consumer trust, and consumer choices**

**Core operations including Internet naming and addressing functions**

**Healthy Internet ecosystem**

Common Themes:

- Capacity Building;

- Funding and Partnerships;
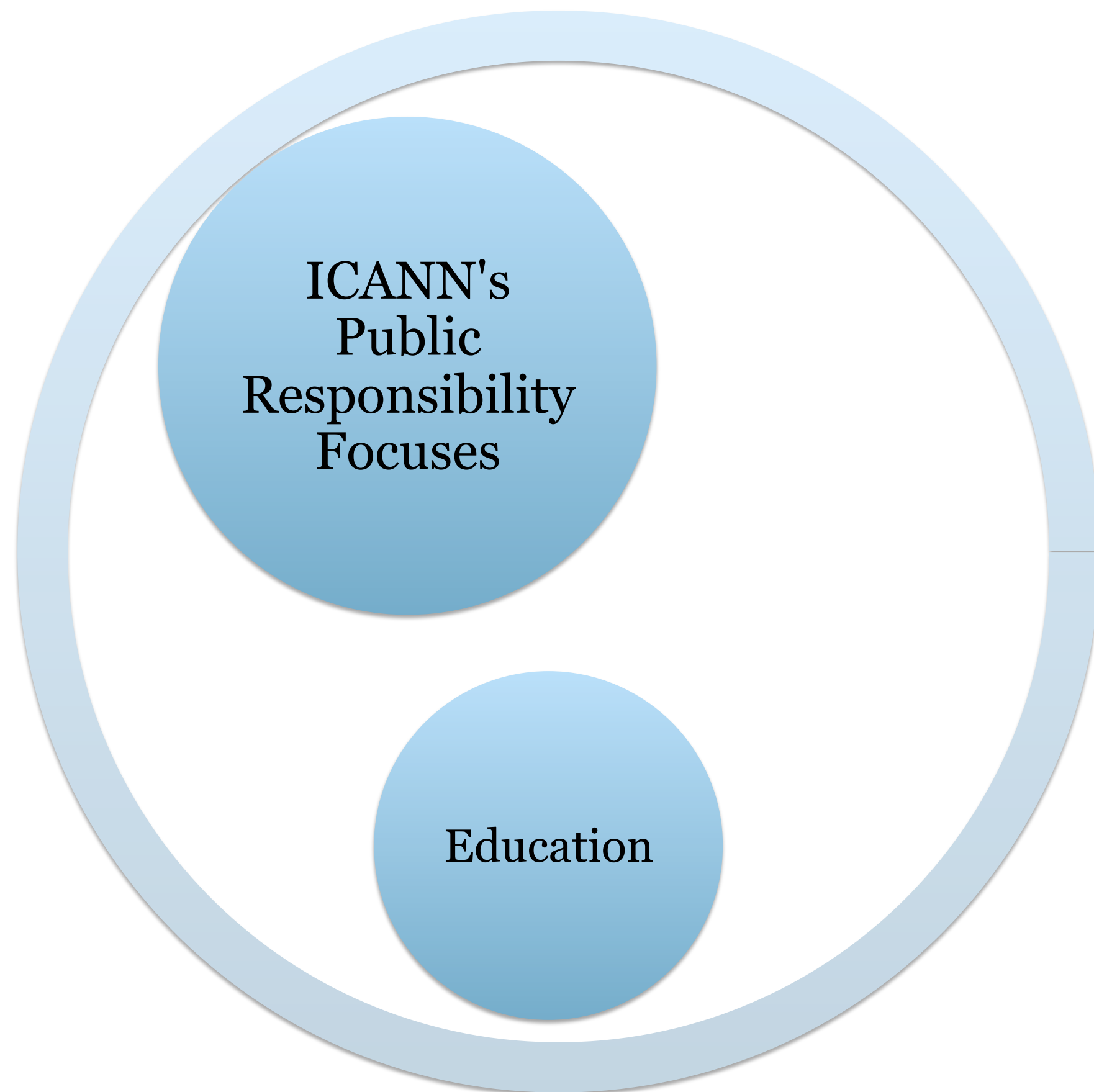
- Communication, Awareness, and Engagement;

- Education.

Africa

Latin America and The Caribbean

The Middle East

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# Proposed Initial Areas of Focus

Having reviewed the current work ICANN carries out in support of its public responsibility, it is recommended that the public responsibility framework takes focus on four initial key areas to further strengthen ICANN's commitment to the global public Internet.

These could consist of projects carried out by ICANN independently, with International and Intergovernmental organizations, or in partnerships with other foundations.

Localization and Inclusion

ICANN's Public Responsibility Focuses

Education

Next Generation Projects

Inclusive Internet Governance Ecosystem

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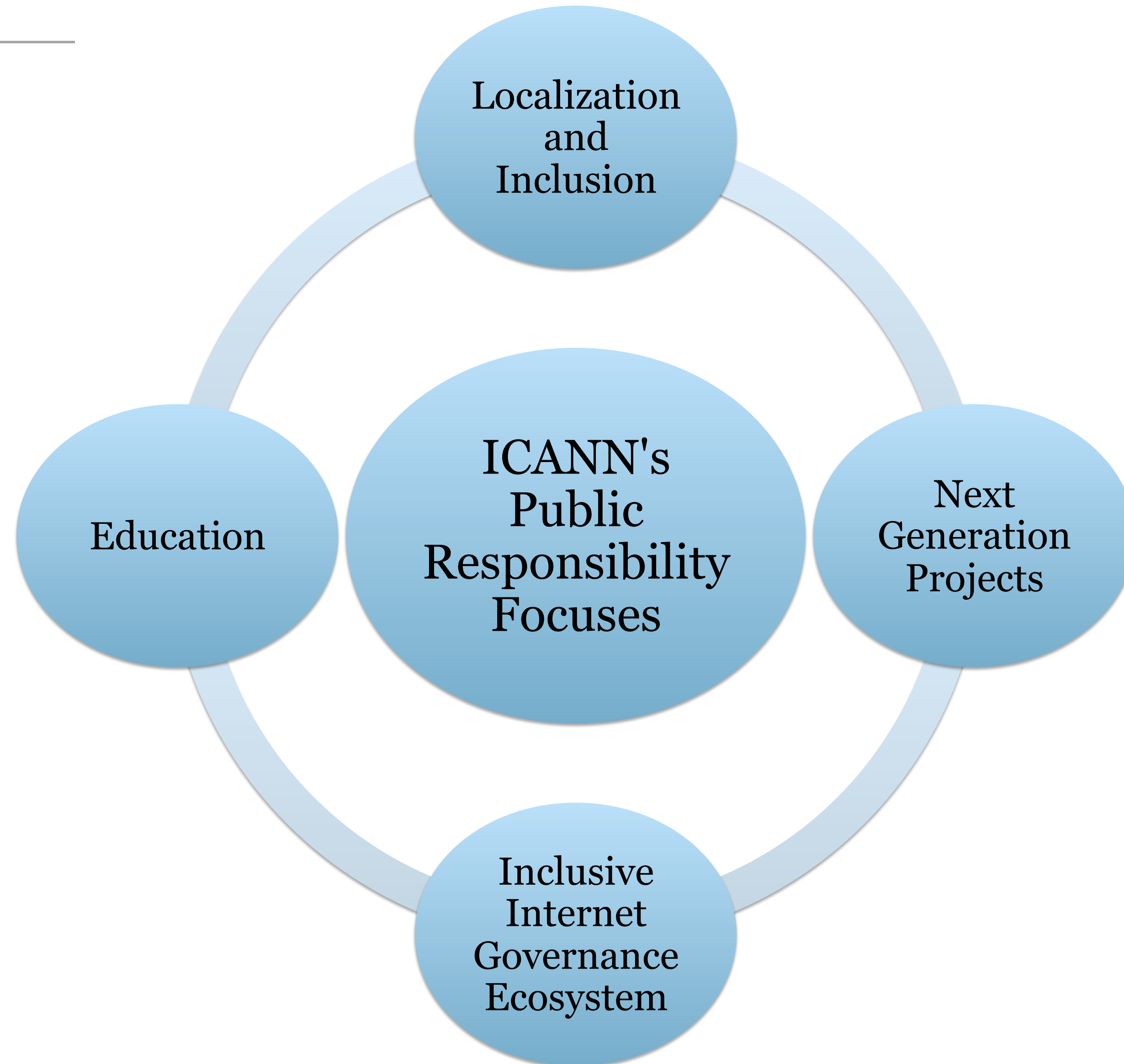
# Proposed Initial Areas of Focus

Education

**Strategic Public Responsibility Objective:**

ICANN should address its public responsibility through programs and projects which will i) more effectively communicate ICANNs role and mandate through awareness raising and educational efforts, ii) increase accessibility to ICANN work through technical education and capacity building workshops and initiatives (both online such as the OLP, and offline, locally), and iii) engagement with academia, research facilities, and educational institutes.

ICANN's Public Responsibility Focuses

Education

# Proposed Initial Areas of Focus

Localization and Inclusion

**Strategic Public Responsibility Objective**:

ICANN should continue efforts to make information about the organization and its work accessible to those who speak languages other than English, in ways that enhance participation in and the effectiveness of the multistakeholder model. This allows stakeholders to understand, and participate in ICANN activities, as well as fulfilling ICANN's public responsibility to communicate its work effectively in an inclusive and accessible manner. This also is important to ICANN's commitment to delivering all documents in Plain English to ensure accessibility and enhance speed in translation. ICANN should also explore how it can better serve the Internationalization of the web through encouraging and promoting the visibility of languages and scripts other than English and the Latin alphabet.
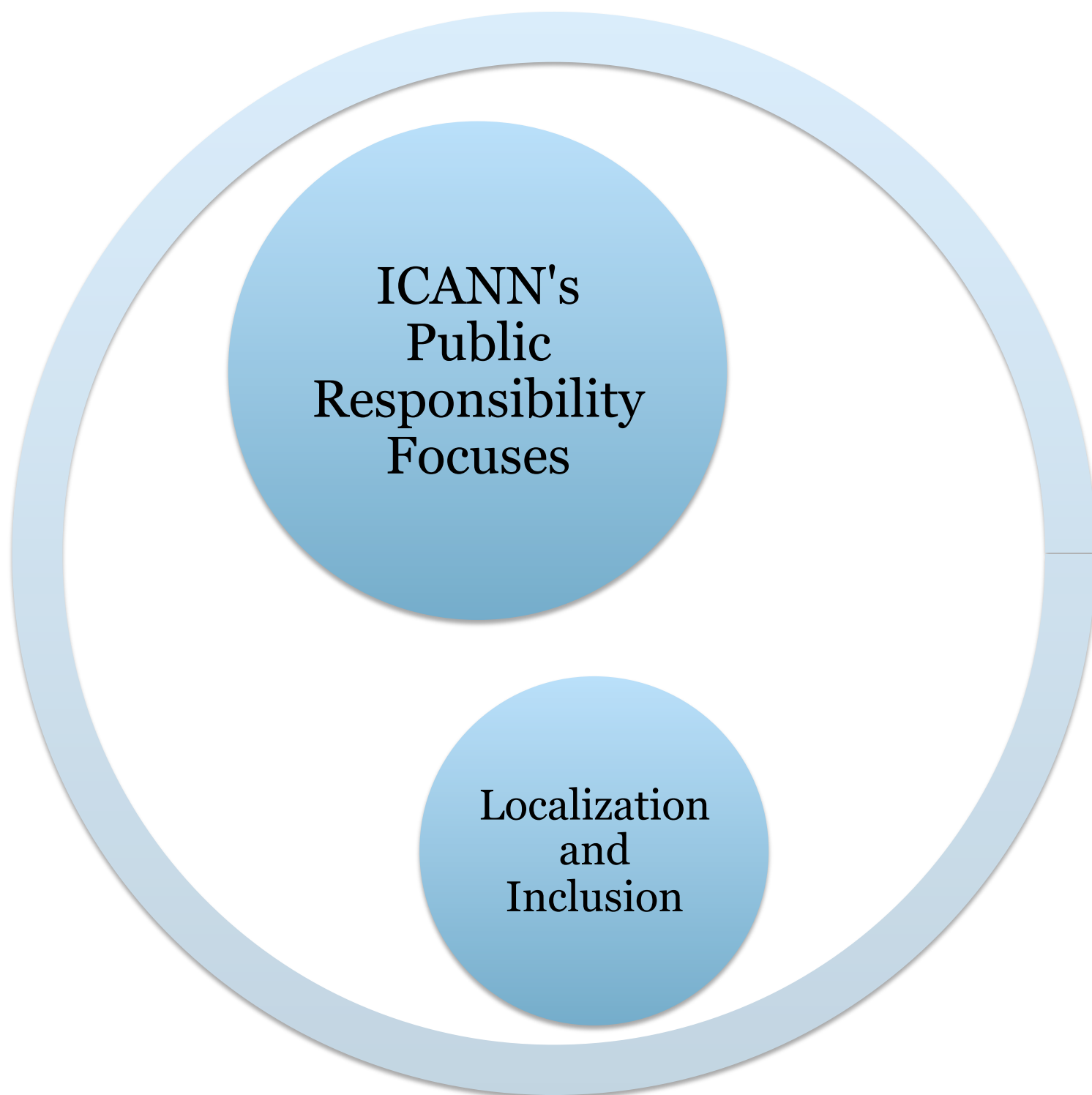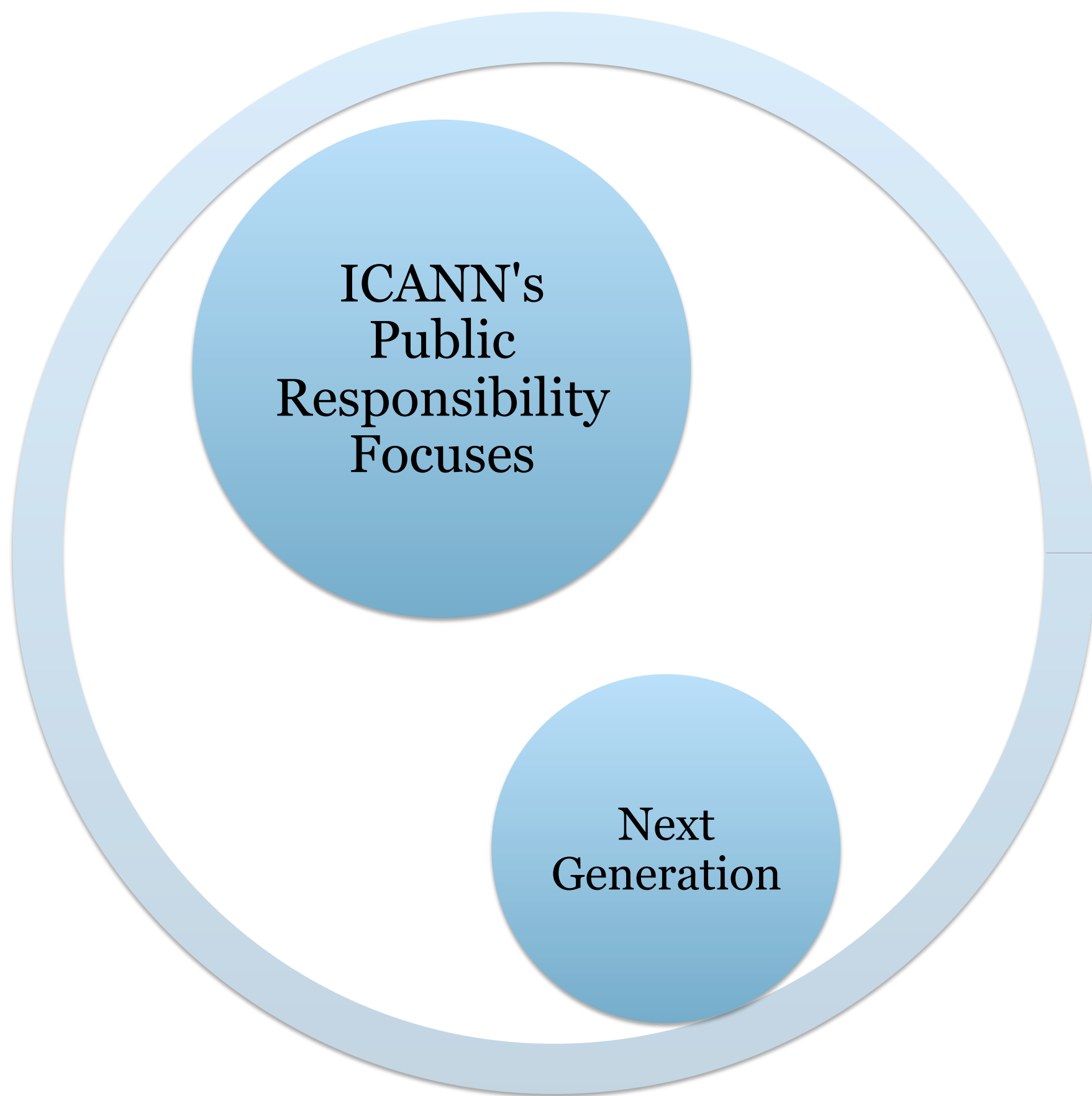
# Proposed Initial Areas of Focus



Next Generation

**Strategic Public Responsibility Objective:**

To raise awareness and encourage participation of the next generation and offer opportunities to get involved in ICANN activities and raise awareness about in Internet governance, supporting participation where applicable. ICANN should also engage with capacity building and training within this target group.
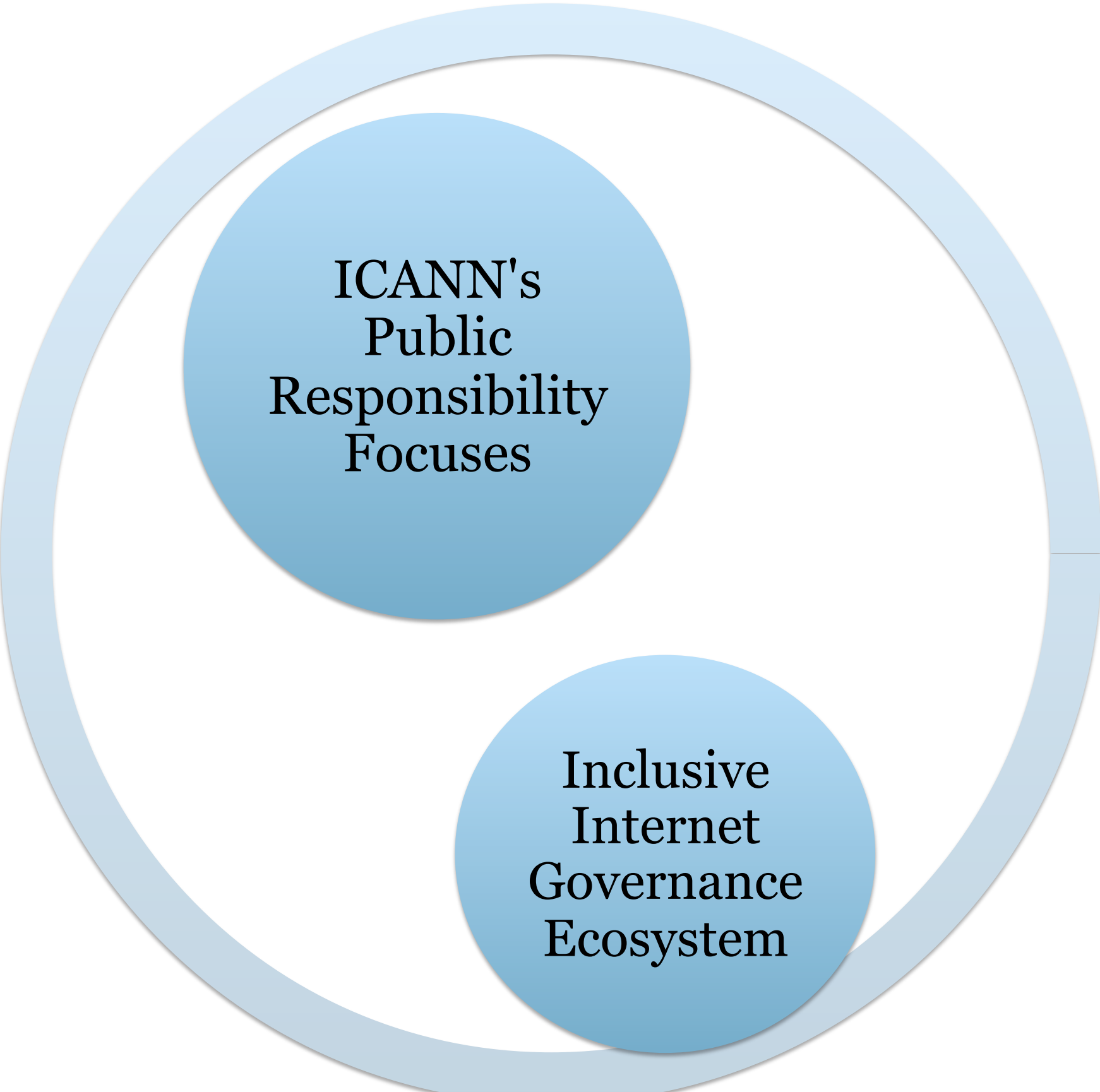
# Proposed Initial Areas of Focus

Inclusive Internet Governance Ecosystem

**Strategic Public Responsibility Objective:**

ICANN should interact with governments from developing or underdeveloped countries, to build trust and encourage participation with the ICANN model (GAC). ICANN should also encourage and guide the evolution of private sector and civil society players in these countries and work in collaboration with their governments on national Internet governance challenges, recognizing that not all Internet Governance issues may be solved using a global approach. ICANN should seek out collaboration with other institutions and organizations that seek to ensure the stability of an open and single Internet, and who focus on ensuring the Internet increases in its global accessibility.

ICANN's Public Responsibility Focuses

Inclusive Internet Governance Ecosystem

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# Overall Recommendations

- Strengthen current Regional Engagement Strategies

- Commission research to enhance the understanding of the links between Internet Governance and development

- Continue to both strengthen existing platforms in the Internet Governance ecosystem and promote global collaboration with a wide variety of organizations that ensures the Internet remains stable, inclusive, and accessible

- Support the internationalization of the web for increasing global accessibility, and promoting local content creation

# Strategic Recommendations

- Explore establishing an external foundation that can operate in the philanthropic space and further work to fulfil ICANN's responsibility and obligations in relation to its mission

- Recognizing both that less than 40% of the world's population is connected to the Internet and the important link between the Internet and development, especially on economic growth, ICANN should link Internet policymaking to development, particularly in developing and emerging countries and regions

- Streamline all public responsibility efforts currently undertaken internally

# Structural Recommendations

ICANN should establish Establish a Public Responsibility Department (PRD) tasked with guiding ICANN's approach to fulfilling its public responsibility obligations, with an operational plan ready by mid-2014

The PRD should:

- Review, and where appropriate formalize the approaches, programing, and projects serving the public interest undertaken throughout ICANN departments

- Seek out partnerships in the Internet ecosystem that will strengthen and support ICANN's work in serving the global public interest

- Create specific public responsibility programs which fall within the scope of the focus areas outlined in this framework

- Continually review how best ICANN can engage and communicate with the public in relation to serving the public interest

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# Structural Recommendations

The PRD operational plan should include:

- A clear and concise vision, mission, and mandate for the new PRD developed in consultation with all relevant ICANN departments

- A 5-year timeline, including organizational structure, key objectives, targets, milestones and benchmarks, indicators of success. This should also include research and information that will lead to the generation of action plans and targets for the four focus areas

- A detailed work plan for the first year of PRD operations, including outcomes and outputs, key activities and inputs, as well as budget and human resource allocations. Potential pilot programs, best practice research, indicators and monitoring mechanisms for the new department should also be identified and developed

- Conducting and collating research on best practices for partnerships and collaboration, outlining criteria for establishing and strengthening partnerships, including funding information. This should result in well-founded criteria for the department moving forward

# Strategy Panel on ICANN Multistakeholder Innovation

Beth Noveck

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# Distributed and Networked Yet Coordinated Governance

We need to deepen our understanding of **how to decide who decides what, when and how?**

To begin answering that question, we need to have a better grasp of the options for *how* to make decisions and *how* to work in this networked, collaborative space.

This premise lays the groundwork for the work of the MSI Panel.

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# MSI Panel Members

**Beth Simone Noveck**
*Panel Chair, Co-founder & Director, The Governance Lab @ NYU*

**Alison Gillwald**
*Executive Director, Research ICT Africa*

**Joi Ito**
*Director, Massachusetts Institute of Technology Media Lab*

**Guo Liang**
*Director, China Internet Project*

**Geoff Mulgan**
*Chief Executive, National Endowment for Science Technology and the Arts*

**Bitange Ndemo**
*Former PS of the Ministry of Communications*

**Karim Lakhani**
*Lumry Family Associate Professor of Business Administration, Harvard University*

# MSI Panel Charter

- Propose new models for international engagement, consensus-driven policymaking and institutional structures to support such enhanced functions; and

- Design processes, tools and platforms that enable the global ICANN community to engage in these new forms of participatory decision-making.

# Panel Outputs

In open conversation with the global public and ICANN community, the MSI Panel has worked to:

- Make 16 concrete proposals to ICANN President & CEO, which lay out experimental pilot projects that ICANN could run and test over the course of the next year.

These proposals are all captured on:
- The GovLab Blog: thegovlab.org;
- The ICANN project webpage: thegovlab.org/icann2; and
- ICANN's MSI Panel Page: http://www.icann.org/en/about/planning/strategic-engagement/multistakeholder-innovation.
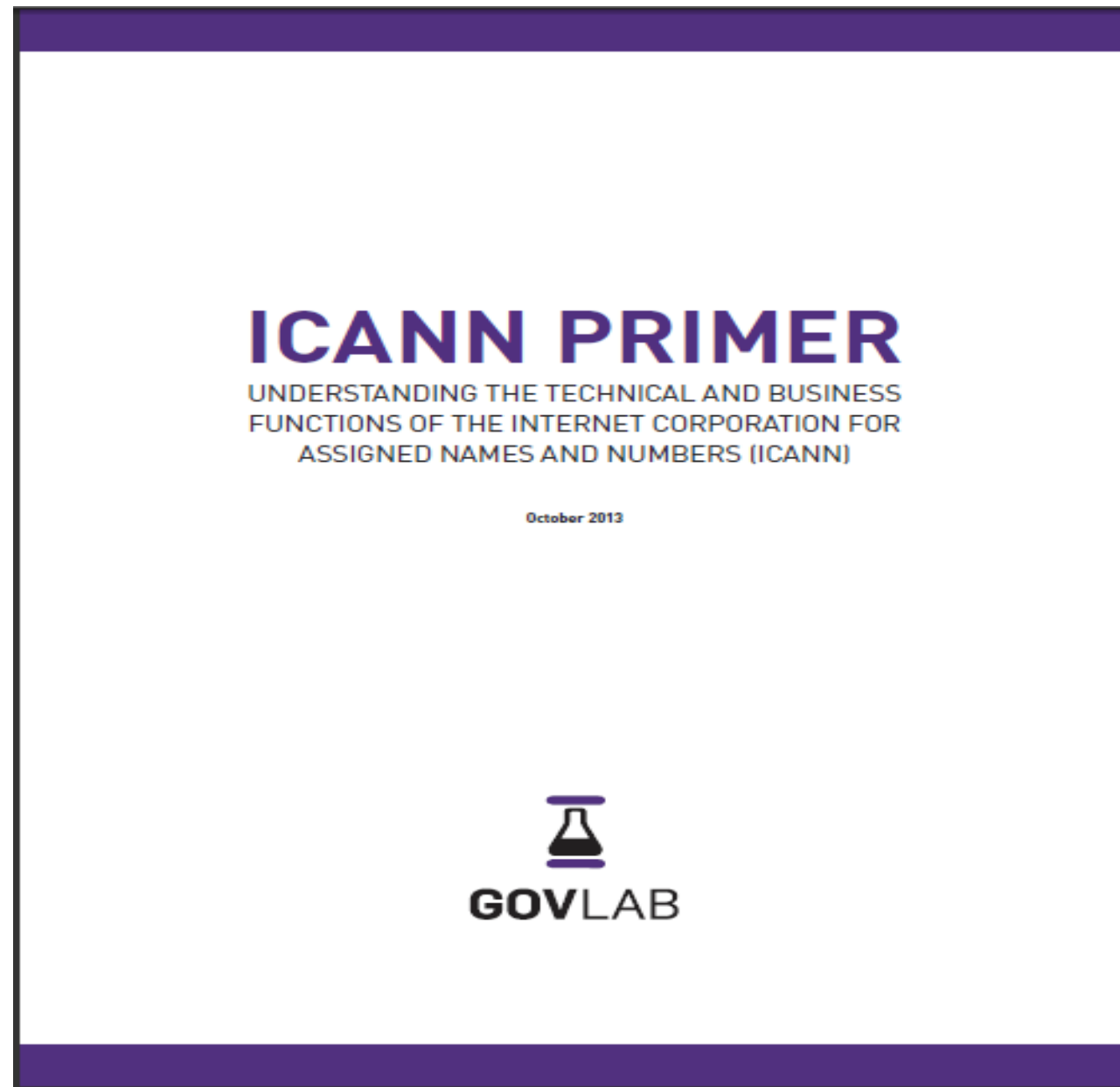
# GovLab's Role?

**GOV**LAB
The Governance Lab @ NYU

- The Governance Lab @ NYU is an institution working to improve people's lives by bringing together 21$^{st}$ century thinker-doers who design, implement and study technology-enabled solutions that advance a collaborative, networked approach to reinvent traditional institutions of governance.

- The GovLab has worked alongside the MSI Panel throughout its duration to provide research support.

# Getting Smart

**ICANN PRIMER**
UNDERSTANDING THE TECHNICAL AND BUSINESS
FUNCTIONS OF THE INTERNET CORPORATION FOR
ASSIGNED NAMES AND NUMBERS (ICANN)

October 2013

GOVLAB

ICANN Tech Primer

ICANN Primer

**ICANN PRIMER**
PRIMER ON THE INTERNET CORPORATION
FOR ASSIGNED NAMES AND NUMBERS

October 13, 2013

GOVLAB

GOVLAB SCAN

A selected curation of articles on net-governance - delivered to you weekly

The GovLab SCAN — Issue 10

By Antony Declercq on Jan 17, 2014 12:00 pm

Supporting the _ICANN Strategy Panel on Multistakeholder Innovation_.

As part of the GovLab's _Living Labs_ on Smarter Governance project, this is our tenth edition of The SCAN — Selected Curation of Articles on Net-Governance. Feel free to share your suggestions with us at _icannmsipanel@thegovlab.org_.

This week's highlights:

- Internet governance and digital rights organizations are preparing agendas and statements to be made at a series of upcoming high-level Internet governance meetings, including the Brazil Meeting and the next meeting of the International Telecommunications Union (ITU).
- Today, President Obama has announced reforms to strengthen oversight of U.S. intelligence activities. An NSA review panel report, submitted in December 2013, recommended that third parties (such as telecommunications companies) keep user records instead of the NSA, and that they not be released absent request. It also focused on "maintaining the ability of the intelligence-community to do what it needs to do." In his announcement, the President confirmed that
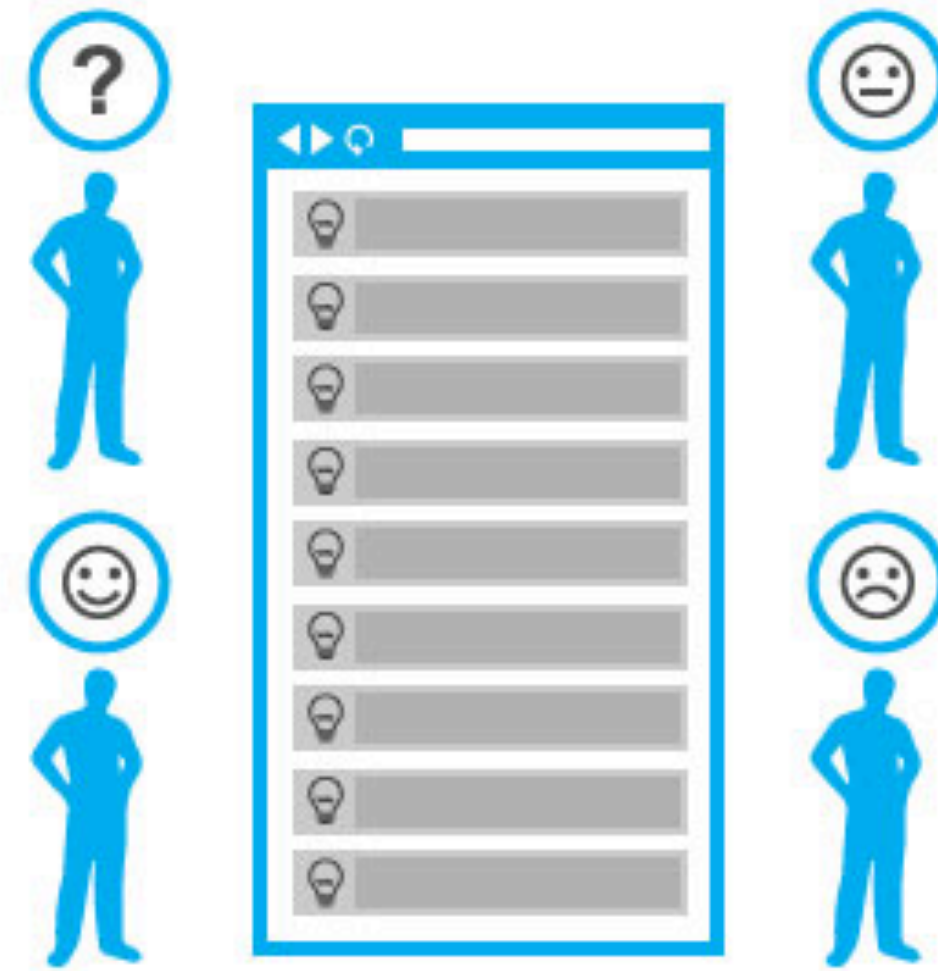
The GovLab
SCAN

# Panel Process



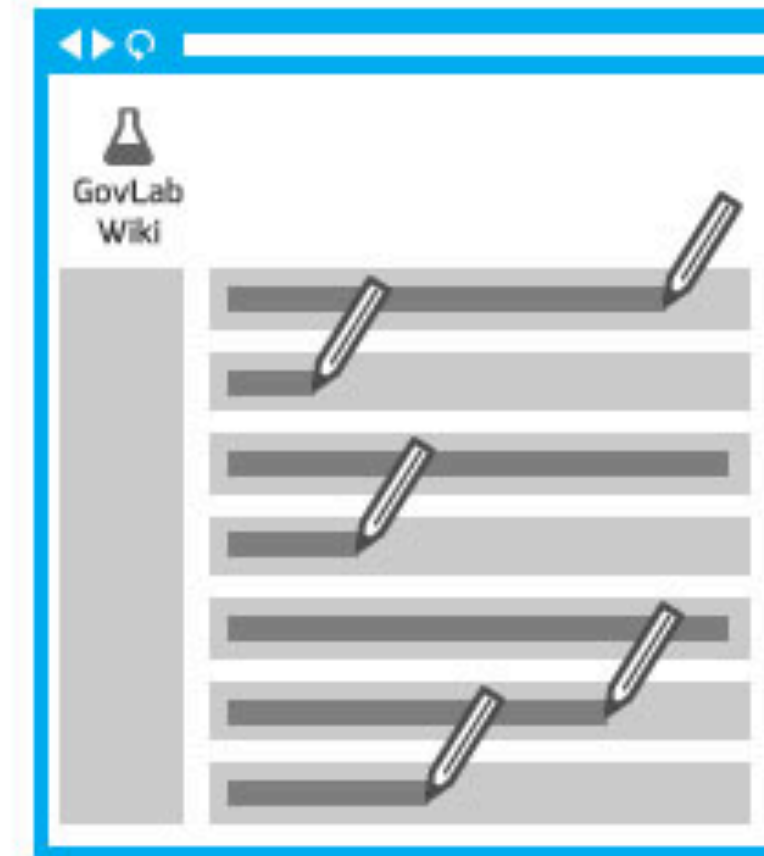**Idea Generation**
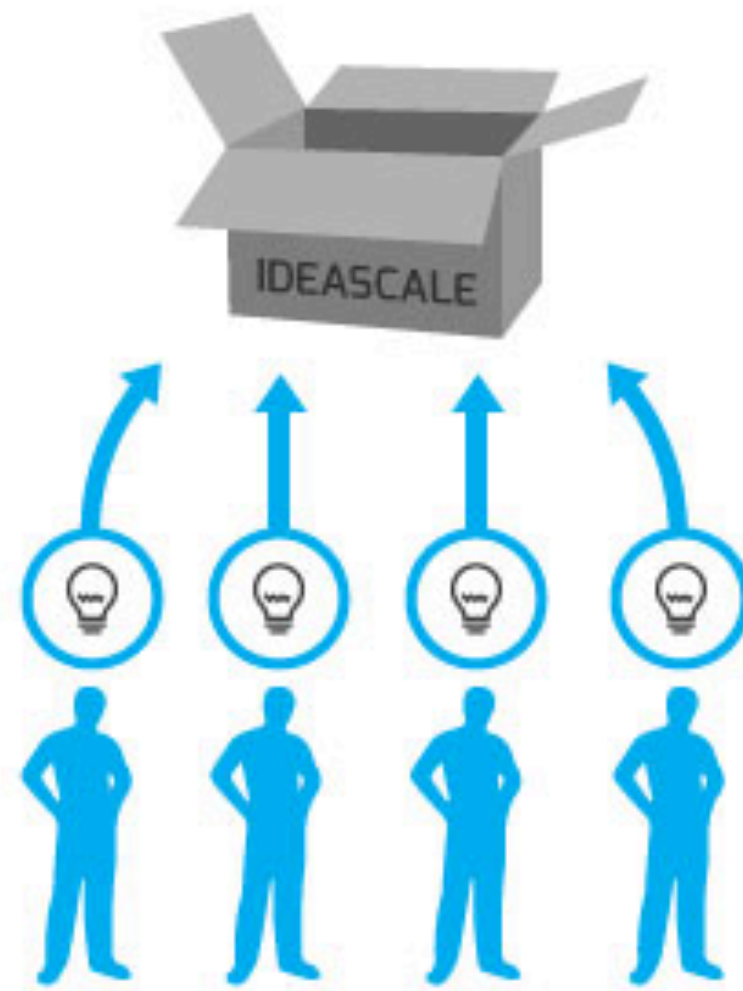
Submit, Vote, Rank, Discuss

*Ideas*

**Proposal Development**

Annotate, Evaluate, Comment, Review

*Blog Posts*

**Collaborative Drafting**

GovLab Wiki

Fine-tune, Edit, Polish, Wordsmith

*Proposal Drafts*

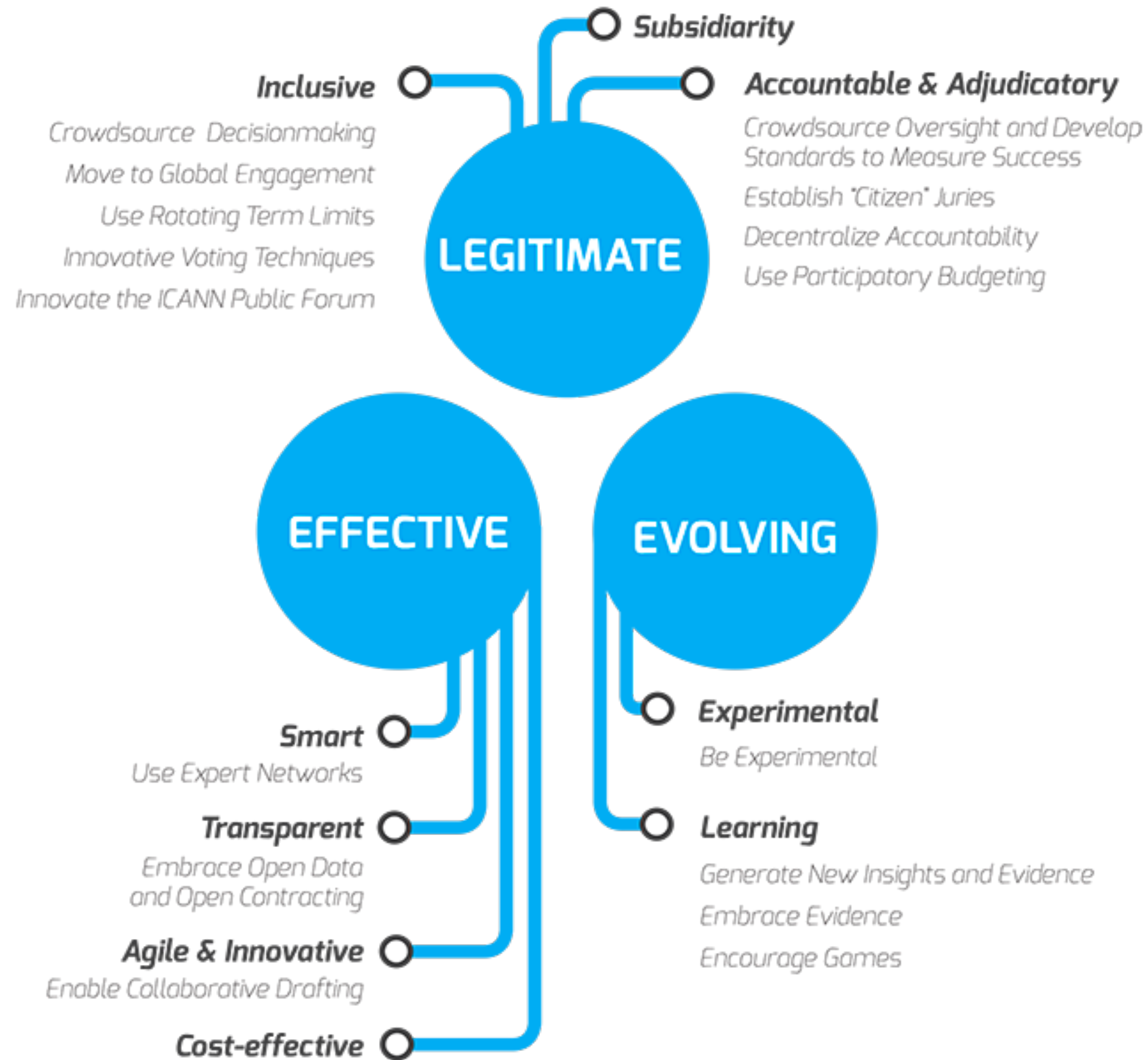Summarize ideas and topics into blog posts

Collect input and publish refined drafts to wiki

Submit experiment proposals to ICANN

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# Panel Recommendations

Quest for a 21st
Century ICANN

*Proposal Blueprint*

# Core Principles

*Effective* – Effective institutions are smart. They can solve problems well and in a timely fashion. They have the capacity to identify and implement approaches to tackle challenges while minimizing cost and unanticipated consequences.

*Legitimate* – Legitimate institutions operating in the public interest are inclusive in that they involve those affected by their decisions in the decision-making process. They are accountable as a consequence of procedural fairness before the fact and adjudicatory processes after the fact. They also embrace the principle of subsidiarity.

*Evolving* – Successful organizations are able to withstand unanticipated change as a result of their flexibility. They are evolving in how they make decisions and what they make decisions about. They are explicitly experimental.

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# 16 Proposals

| | | | |
|---|---|---|---|
| **Expert Networking** | **Open Data & Open Contracting** | **Collaborative Drafting** | **Crowdsource Decisionmaking** |
| **Global Engagement** | **Rotating Term Limits** | **Innovative Voting Techniques** | **Public Forum Innovations** |
| **"Citizen" Juries** | **Crowdsource Oversight & Develop Metrics** | **Decentralize Accountability** | **Participatory Budgeting** |
| **Experiment** | **Generate New Insights** | **Embrace Evidence** | **Games** |

# Effective

**Smart**

Use Expert Networks

ICANN should, together with the other Internet governance organizations, adapt expert networking technologies for identifying and making searchable technical expertise worldwide.

**Transparent**

Embrace Open Data and Open Contracting

ICANN could publish its data freely online in machine-readable, downloadable and structured formats.

**Agile and Innovative**

Enable Collaborative Drafting

In order to open itself to broad-based global participation, ICANN could leverage collaborative drafting tools.

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# Legitimate

**Inclusive**

Crowdsource Decision-making
ICANN could test a wide array of alternative mechanisms for getting broad-based input at each stage of decision-making.

Move from "Stakeholder" to Global Engagement
ICANN could pilot alternate or complimentary channels for global participation.

Use Rotating Term Limits
ICANN could experiment with imposing rotating term limits for all voting positions.

Innovative Voting Techniques
ICANN could experiment with innovative voting to allow the community to identify issues and individuals best suited to speaking on those issues.

Innovate the ICANN Public Forum
ICANN could innovate the Public Forum to create a more open and inclusive environment for participation.

# Legitimate

**Accountable and Adjudicatory**

Crowdsource Oversight and Develop Standards to Measure Success
ICANN could crowdsource oversight and develop metrics for success to enhance its legitimacy as a global organization operating effectively and in the global public interest.

Establish "Citizen" Juries
ICANN could pilot the use of randomly assigned small public groups as "citizen" juries.

Decentralize Accountability
ICANN could help map the Internet governance ecosystem, its layers, the issues, and its management.

Use Participatory Budgeting
Using participatory budgeting, ICANN could experiment with different methods for directly involving the global public in budgeting decisions.

# Evolving

**Experimental**

[Be Experimental](#)
ICANN could help to create a minimum or basic set of rules
for participating in the Internet governance ecosystem/
network.

**Learning**

[Generate New Insights and Evidence](#)
ICANN could collaborate on research that promotes change
and evolution in the Internet governance ecosystem.

[Embrace Evidence](#)
ICANN should develop the institutional capacity for
assessment as well as a systematic approach to monitor,
evaluate, learn from, and use evidence.

[Encourage Games](#)
ICANN could make its work more open, accessible, and
interesting by using games and game mechanics.

# In Depth – Global Stakeholder Engagement

*Goals*

- Improve Outreach (how people "find" ICANN)
- Improve Participation (how people "contribute" to ICANN)
- Improve Engagement (how participation in ICANN is sustained)

*Why*

- Create new channels for engagement in ICANN
- To welcome new talent
- To Lessen burden and reliance on incumbents (volunteers)

*How*

Supplementary and complimentary channels for participation could include:

- Topic-based
- Decision-making stage-dependent
- Channels that pay less attention to people's stakes as stakeholders per se and more attention to their specific interests in specific issue-areas, as well as how they can contribute their talents in ways that speak to their passions and abilities.

# In Depth: Embrace Evidence

*Goal*

- Use diverse evidence and data to support and inform decisions

- Develop metrics and indicators for success

- Support capacity building

*Why*

- To figure out what works, what doesn't and why so that ICANN can best respond to change

*How*

- Develop research/assessment function within ICANN

- Leverage different types of "evidence" and data (e.g., big data, policy development data, sentiment analysis)

# In Depth: Use Open Data & Open Contracting

*Goal*

- Increase level of shareable and accessible data on ICANN
- Advance research and understanding of ICANN and ICANN's decisions
- Provide developers, researchers and technologists the data in open, machine readable formats to enable them to find new insights about ICANN and create new services (e.g., data visualizations to enhance understanding).

*Why*

- To enhance transparency
- Build on trend toward data-driven and evidence-based decision-making

*How*

- Identify relevant data sets
- Identify techniques and characteristics of open ICANN data
- Develop open data policy
- Develop realistic implementation plan
- Operationalize through Open ICANN portal

# Next Steps

- Looking forward to discussions with ICANN community regarding proposals.

- Capturing learnings from MSI Panel process to be shared with ICANN and wider public.

# Panel Questions

- How should we prioritize piloting these proposals with ICANN?

- Which proposals may work best? Do any not make sense for ICANN? Why?

- How do all of the Strategy Panel reports relate to one another?

- How can various recommendations inform each other and how can they be taken together?

- Are there contradictions across the reports and why do they exist? How can we work together to resolve them?

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# Q&A

# Strategy Panel on ICANN's Role in the Internet Governance Ecosystem

## Vint Cerf

Presented by Pindar Wong

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# Themes

| 5C's: | 5R's: |
|---|---|
| Coordination | Reciprocity |
| Cooperation | Respect |
| Constellation | Robustness |
| Collaboration | Reasonableness |
| Consistency | Reality |

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# ICANN's Role

- **Coordinate** the allocation and assignment of the three sets of unique identifiers for the Internet [IANA]

- **Coordinate** the operation and evolution of the DNS root name server system;

- **Coordinate** policy development reasonably and appropriately related to these technical functions.

## Working Definition:

"Internet governance is the development and application by Governments, the private sector and civil society, in their respective roles, of shared principles, norms, rules, decision-making procedures, and programmes that shape the evolution and use of the Internet."

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# Governance Model and Concepts

- Multistakeholder Model
  - Affected parties participate in policy development
- Stewardship
- Globalization
- Layering
- Web of Relationships
- Affirmations of Commitments and Accountability

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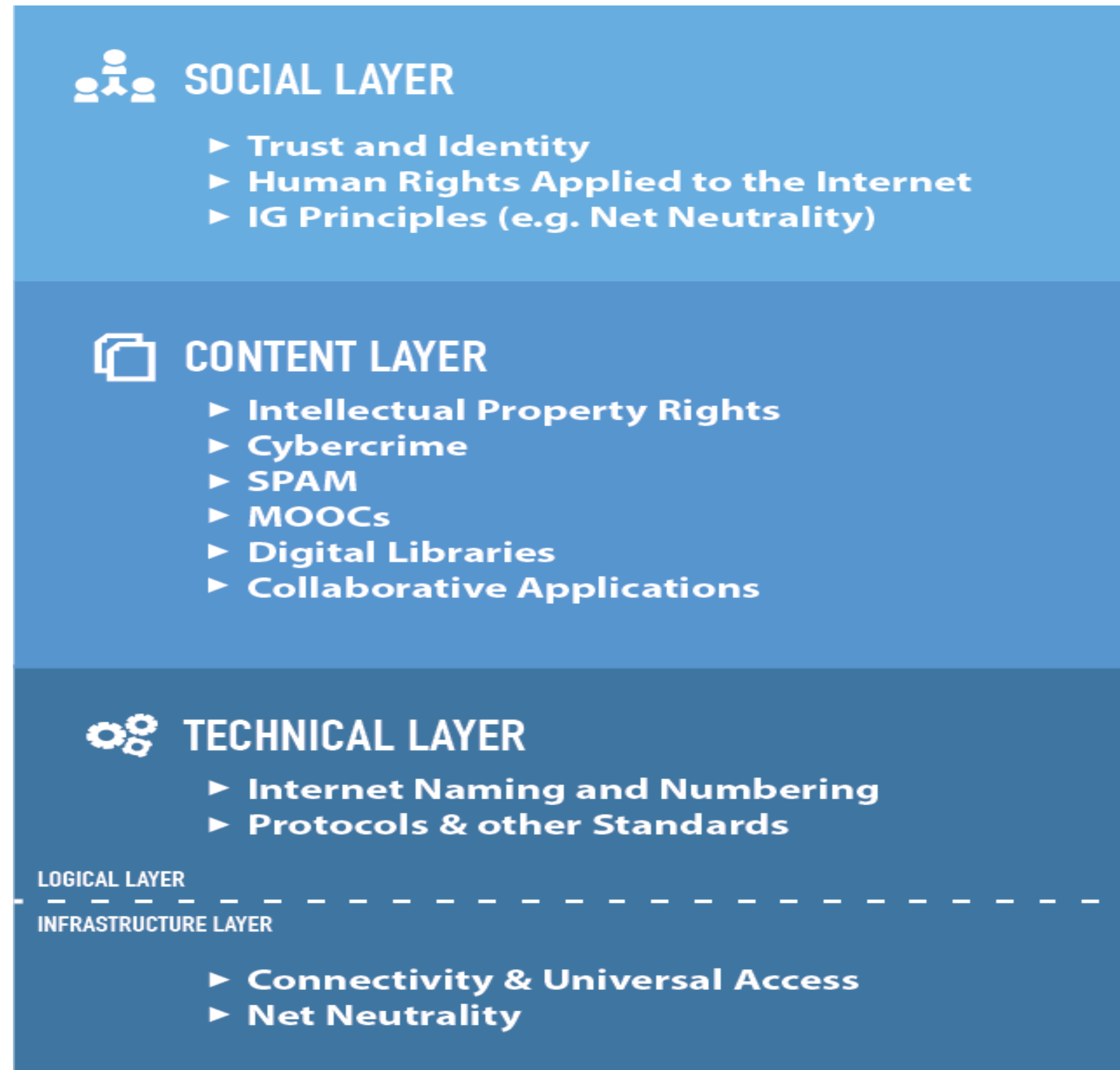
# Layered



Figure 3: Layered Model of the Internet — Issues

# Constellation
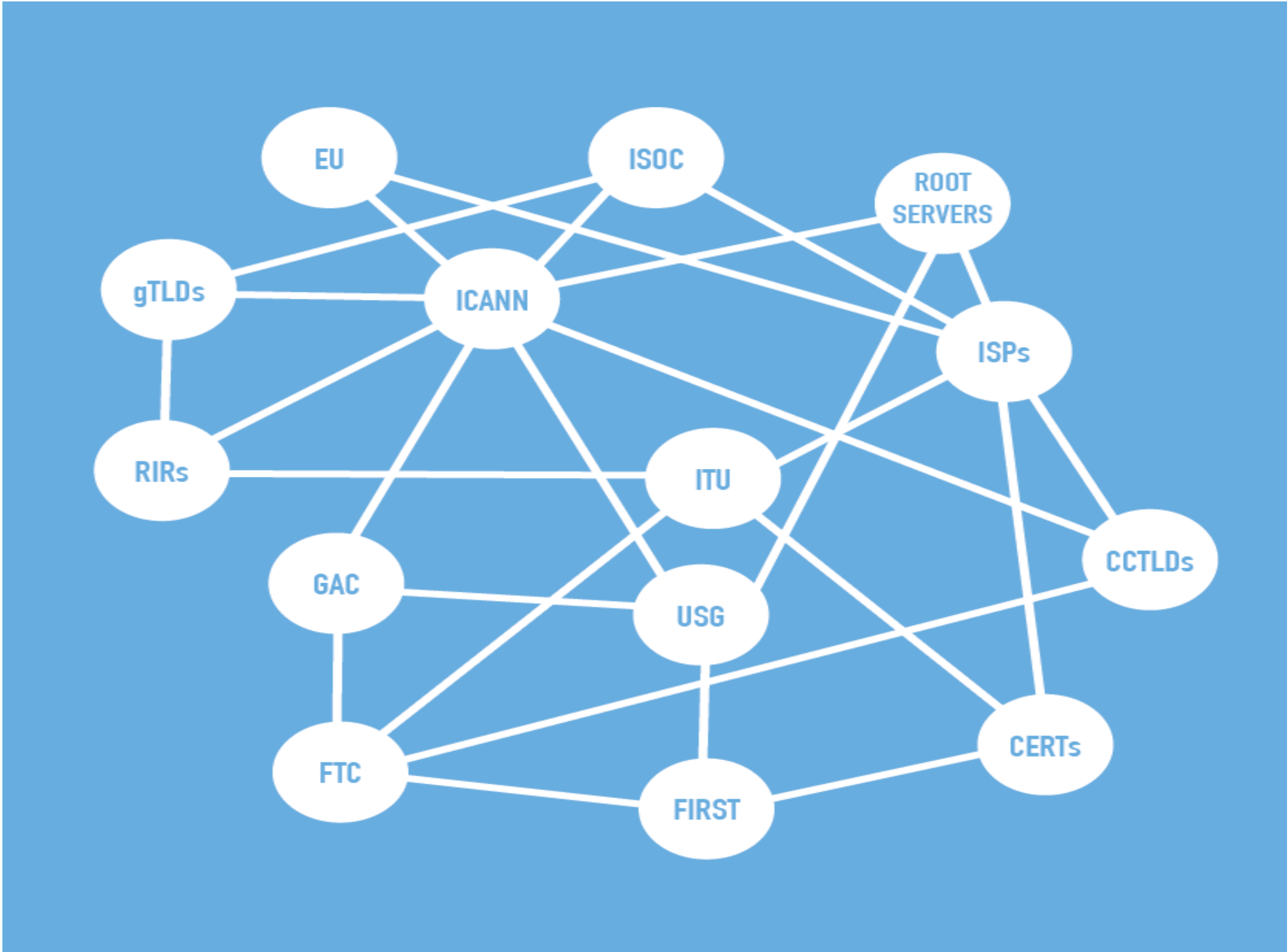


Figure 5: A Web of Relationships

# Stewardship

Stewardship means caring more for the good management, use and evolution of a shared resource than for any individual stake in it.

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# 5R's: Principles for Good Governance

1. **Reciprocity**: Do no harm nor threaten to harm
   - Golden Rule: do unto others...
2. **Respect:** Honor freedom of choice and diversity
   - Inclusion
   - Cooperation and Collaboration

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# 5R's: Principles for Good Governance

3. **Robustness**
   ○ "be conservative in what you send and liberal in what you accept" - Postel
   ○ Technical rationality
   ○ Loose Coupling
   ○ Evolvability and Business Excellence
   ○ Simplicity
   ○ Scaling

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# 5R's: Principles for Good Governance

4. **Reasonableness:** Avoid Capricious or Arbitrary Actions
   - Transparency
   - Accountability
   - Subsidiarity
   - Fairness

5. **Reality:** Persistent Testing of Theories in Practice
   - Form Follows Function
   - Effectiveness
   - Learn from History

# Cooperation and Consistency
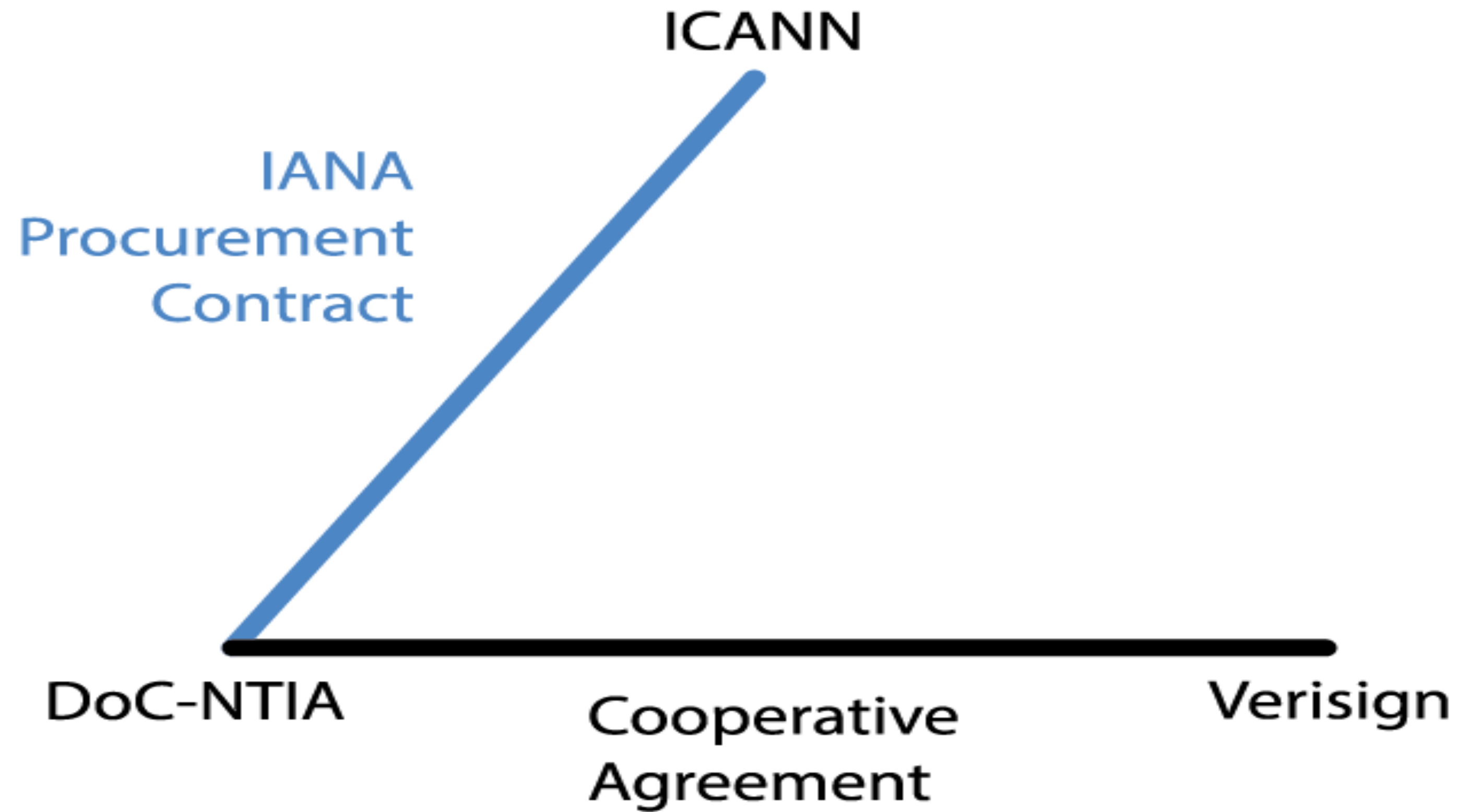


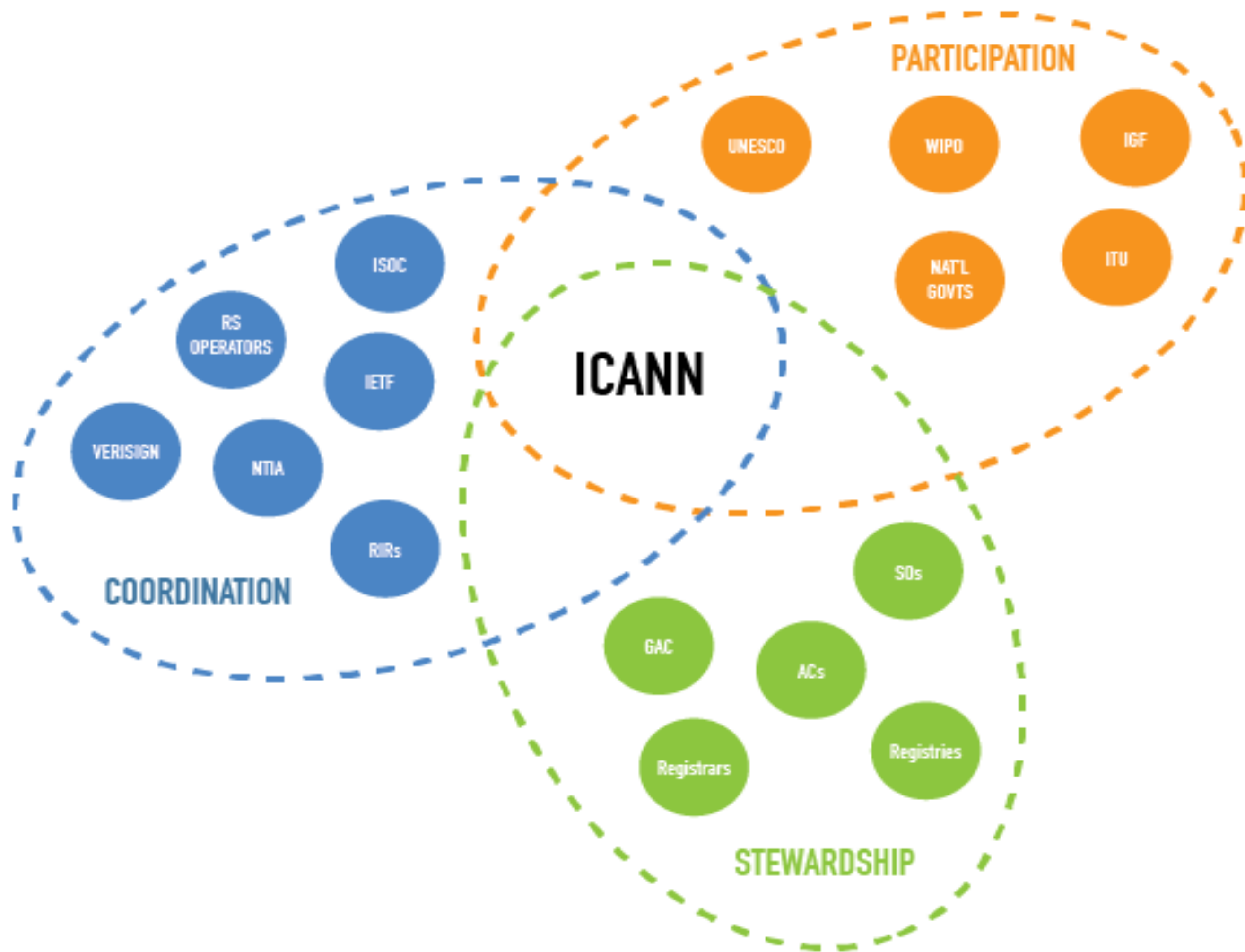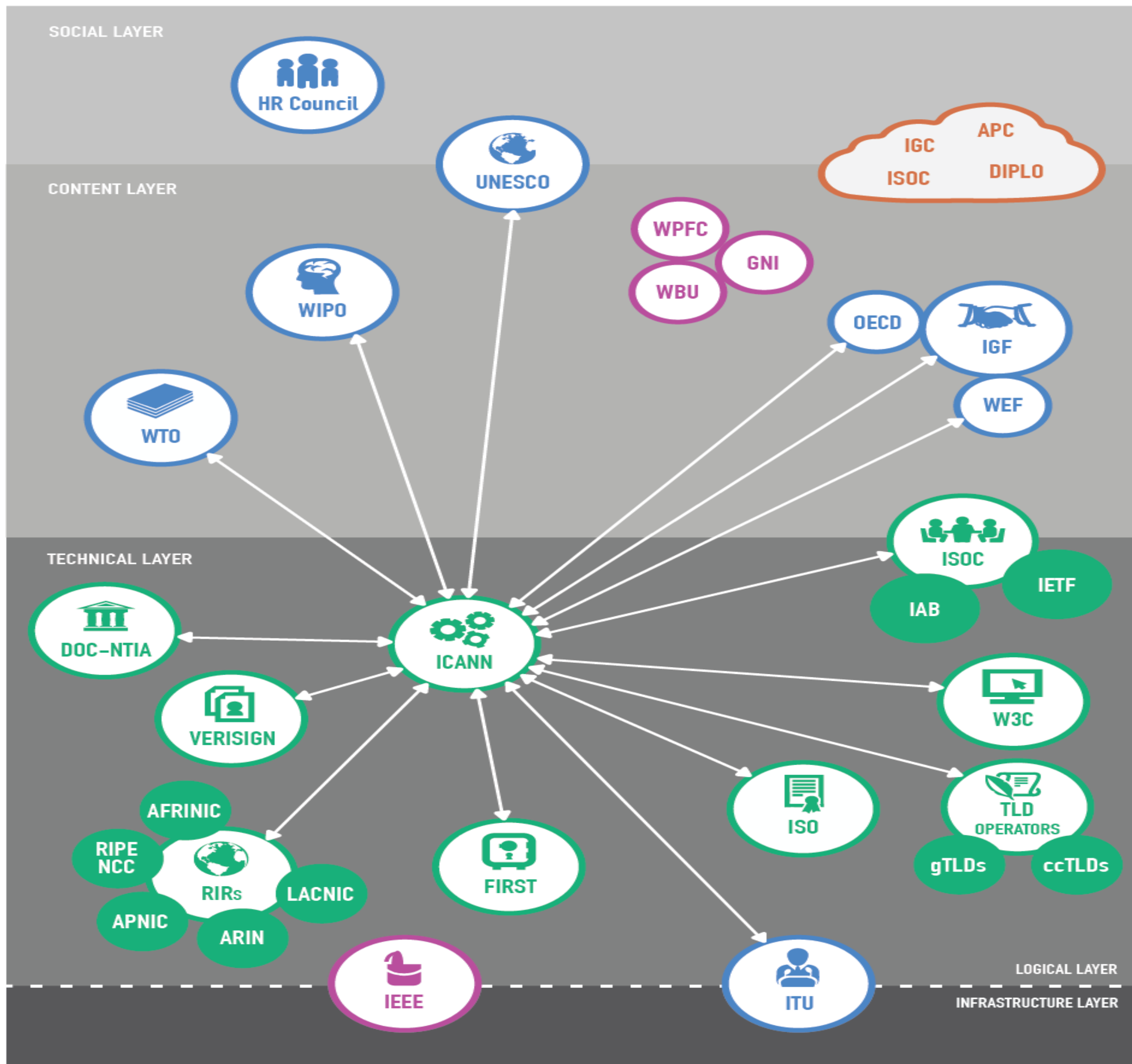Figure 1: Description of Root Zone Management Process Through IANA Functions

Figure 6: Expanding Web of ICANN Relationships

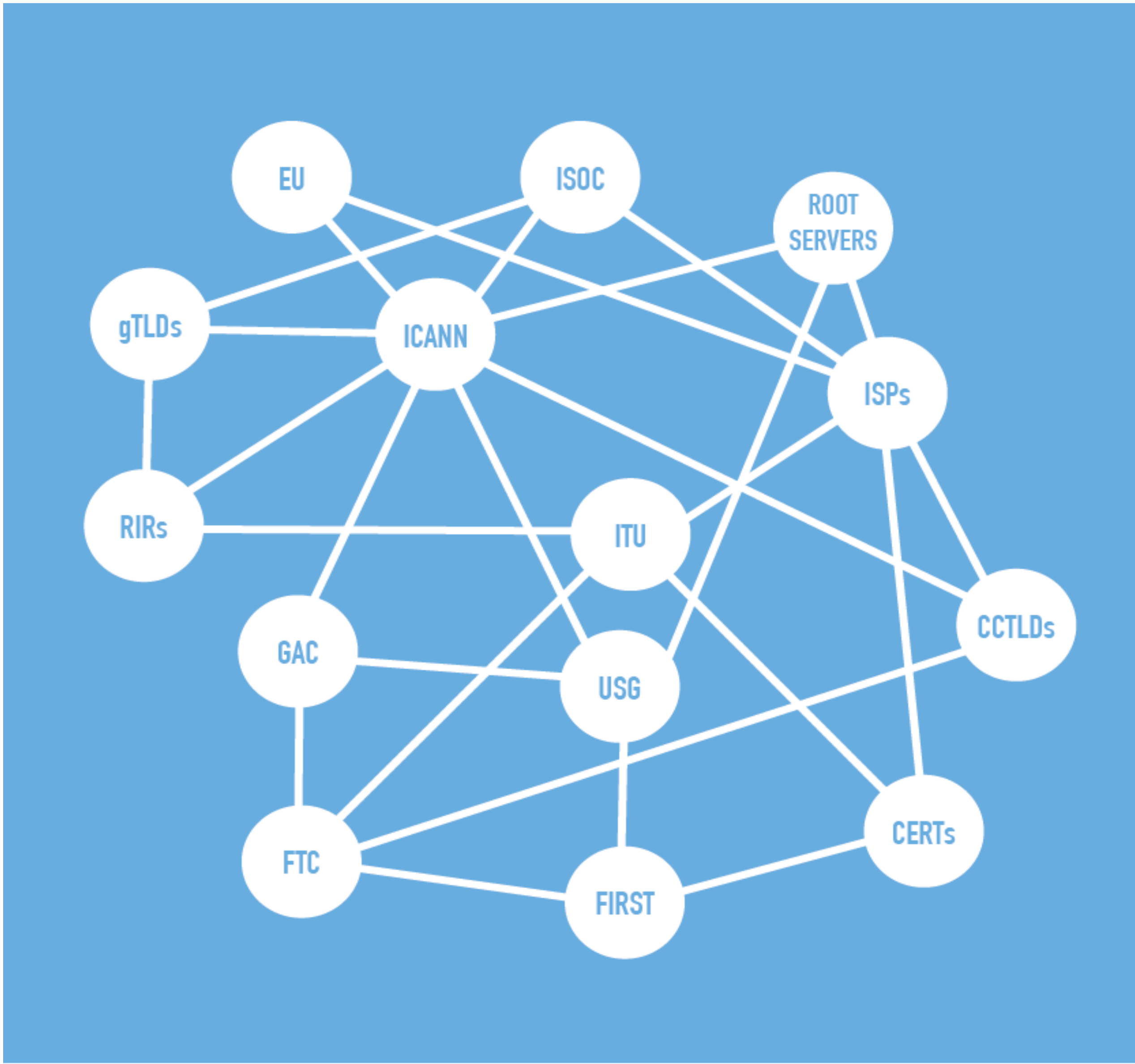Figure 7: Layered Model of the Internet — Organizations

Figure 5: A Web of Relationships

# Roadmap

- Globalize (not internationalize)
- Consolidate/Simplify Root Zone Mgmt.
- Create Documented Web of Affirmations
  - Mutual Commitments
  - Accountability Panels/Frameworks
  - ICANN+Governments AOCs [uniform]
  - ICANN+NGOs [Tailored]

# Q&A

# Additional Q&A

# Thank you!

ICANN

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*Singapore*