

# New gTLD Subsequent Procedures Operational Design Phase Community Status Update

28 March 2022



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# 1 Executive Summary

This Community Status Update summarizes the efforts of ICANN organization (org) in performing the New gTLD Subsequent Procedures (SubPro) Operational Design Phase (ODP). The period covered is from 3 January to 28 March 2022.

## 1.1 Operational

ICANN org launched the SubPro ODP on 3 January 2022. The ICANN Board of Directors asked ICANN org to provide the information resulting from the SubPro ODP by the end of October 2022. The last few months of 2021 were used for internal project organization activities to prepare for the ODP. During this time, ICANN org identified resources, set up teams, and outlined work tracks to perform the work of the ODP.

ICANN org further defined its scope of work and refined the list of needed resources. Work track leads began the task of organizing the work assigned to them. ICANN org's SubPro ODP Team established operating principles and began developing assumptions regarding the outputs of the Final Report on the new gTLD Subsequent Procedures Policy Development Process. The team also established a regular cadence of meetings with the GNSO Council liaison to the Operational Design Phase. ICANN org continues to support the SubPro Board Caucus in its discussion on the policy recommendations in the Final Report. A short list of initial assumptions was shared with the community during a session at ICANN73.

ICANN org continues to make progress in its review of the 300+ Outputs in the Final Report and in developing the information required for the Operational Design Assessment (ODA).

## 1.2 Financial

As of 28 February 2022, ICANN org expenses for the SubPro ODP are approximately \$389,000. These expenses represent staff and contractors currently working on the project. We expect that expenses will increase substantially in the next few months as more resources are assigned to complete a number of projects and activities within the SubPro ODP. Additionally, professional service expenses are expected to incur in upcoming months.

## 1.3 Resourcing

To date, 23 staff members and contractors are working on the SubPro ODP. This equates to approximately seven full-time equivalent (FTE) employees. These numbers are expected to increase over the next several months as work progresses on individual projects and activities. ICANN org also has a number of open positions both directly and indirectly in support of the ODP.

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## 2 Project Update

### 2.1 Operational Update

#### Overview

On 14 September 2021, ICANN org [announced](#) a Board decision that directed ICANN President and CEO to conduct an Operational Design Phase (ODP) for the recommendations contained in the [Final Report](#) on the new gTLD Subsequent Procedures Policy Development Process.

#### Background on the Operational Design Phase

The ODP is a period in which ICANN org develops and provides the ICANN Board with relevant information to facilitate the Board's determination of whether a set of recommendations is in the best interest of the ICANN community or ICANN. This ODP will provide the Board with an understanding of the operational impacts of accepting the recommendations, including potential obstacles, expected costs, and the timeline to implementation. During the ODP, the work includes testing and aligning on foundational assumptions about the recommendations and identifying issues that could be roadblocks to implementation. One of the primary benefits of this upfront work is to streamline the overall implementation timeframe by addressing critical requirements and interdependencies early on. To learn more about the ODP process, please visit the ODP webpage [here](#).

#### Preparatory Work to Support the Operational Design Phase

We began organizing ICANN org resources by assigning related work groups and leadership to manage the multiple projects required to deliver an ODA, the output of the ODP. The ODA, combined with other relevant materials such as the recommendations and the Public Comment proceedings on the recommendations, which are mandated by the Bylaws, will help the Board make its determination.

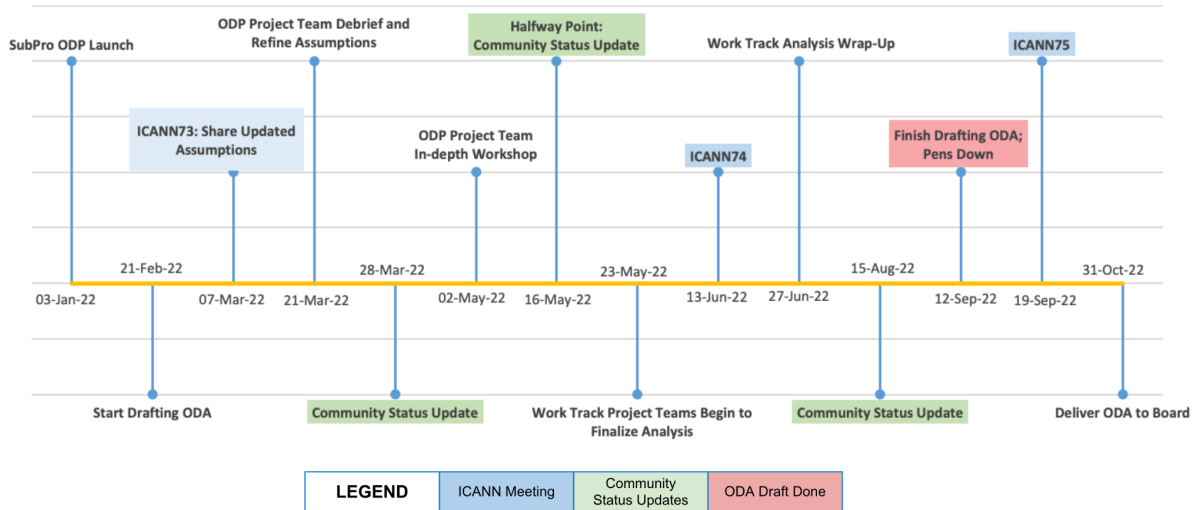
#### Milestones

- 3 January 2022: Launch of the SubPro ODP ([blog](#))
  - ICANN org spent several months at the end of 2021 preparing to launch the ODP. This included the establishment of work tracks to divide the project work as well as identifying necessary resources. The ODP launched at the beginning of January.
- 18 January 2022: Published a [blog](#) introducing the work tracks.
- 14 February 2022: The high-level timeline (see graphic below) was published on the [SubPro ODP webpage](#)
- 28 February 2022: Published a [blog](#) highlighting the Project Governance Work Track
- 7 March 2022: ICANN73 community update [New gTLD Subsequent Procedures ODP session](#).
  - ICANN org gave a brief overview of the ODP work and shared a number of initial assumptions with the community for questions and discussion.
- 23 March 2022: [Initial & Overarching Assumptions](#) posted
  - ICANN org posted a list of assumptions that the ICANN org SubPro ODP team has developed. The list included overarching and topic-specific

assumptions. Development of assumptions is ongoing and additional lists will be posted as they become available.

- 28 March 2022: Community Status Report posted
  - This report is the first Community Status Report for the SubPro ODP.

### SubPro ODP High-Level Timeline



Resolved (2021.09.12.01), ...The Board requests regular updates on the progress of the work and delivery of the Operational Design Assessment (ODA), the expected output of the ODP, within ten months from the date of initiation, provided that there are no unforeseen matters that could affect the timeline, of which any such matters are to be communicated to the Board immediately upon identification.

### Key Achievements and Activities

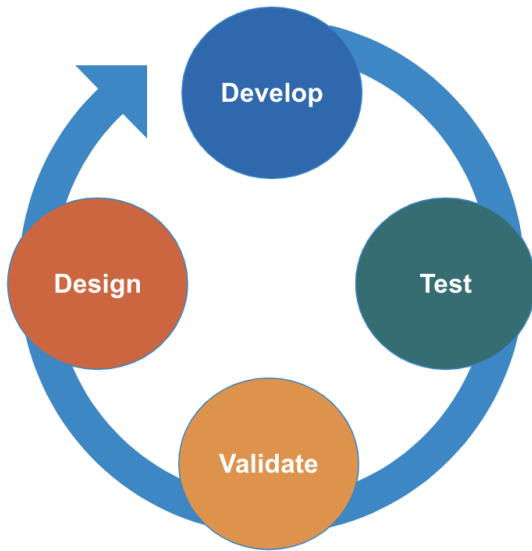
1. **Work Tracks:** ICANN org established nine separate work tracks centered around specific functions to manage the work of the SubPro ODP. During this time, the ICANN org SubPro ODP team began:
  - a. Identifying resources required for each work track.
  - b. Defining the scope for each work track (see diagram below).
  - c. Drafting a set of guiding and operational principles to help set a collective vision across work tracks, in line with the aims of the project.
  - d. Developing a set of processes and tools for project management and work track collaboration.
  - e. Establishing weekly meetings and monthly workshops for the work track leads, as well as individual work track meetings, to begin analyzing the Final Report outputs.

## SubPro Work Tracks and Topics

<p><b>Work Track 1</b></p> <p><b>Project Governance</b></p> <p><b>Overall Governance</b></p> <ul style="list-style-type: none"> <li>Project Management</li> <li>Reporting</li> <li>SteerCo Support</li> <li>Board Caucus Support</li> <li>ODP</li> <li>Planning Assumptions</li> <li>Continuing SubPro (1)</li> <li>Program Success Metrics               <ul style="list-style-type: none"> <li>-Usability (applicant &amp; community)</li> <li>-Functionality (staff &amp; vendor)</li> </ul> </li> </ul>	<p><b>Work Track 2</b></p> <p><b>Policy Dev &amp; Impl. Materials</b></p> <p><b>Policy Support</b></p> <p><b>Policy Implementation</b></p> <ul style="list-style-type: none"> <li>Predictability (2)</li> <li>TLD types (4)</li> <li>RSP Pre-Eval (6)</li> <li>Metrics/Monitoring (7)</li> <li>COIs (8)</li> <li>PIC/RVCs (9)</li> <li>Applicant Freedom of Expression (10)</li> <li>UA (11)</li> <li>App. Guidebook (12)</li> <li>Terms &amp; Conditions(18)</li> <li>Change Requests (20)</li> </ul>	<ul style="list-style-type: none"> <li>Reserved Names (21)</li> <li>Registrant Protections (22)</li> <li>Closed Generics (23)</li> <li>String Similarity (24)</li> <li>Applicant Reviews (27)</li> <li>App Comments (28)</li> <li>GAC Advice/EW (30)</li> <li>Objections (31)</li> <li>Appeals Mech. (32)</li> <li>Dispute Resolution (33)</li> <li>Community Apps (34)</li> <li>Auctions (35)</li> <li>Registrar Non Discrimination (37)</li> <li>Registrar Support for New gTLDs (38)</li> <li>Ry System Testing (39)</li> <li>Compliance (41)</li> <li>IDNs (25)</li> <li>Geographic Names (21.1)</li> </ul>	<p><b>Work Track 3</b></p> <p><b>Operational Readiness</b></p> <p><b>Functional Capacity Building</b></p> <ul style="list-style-type: none"> <li>Preparation of day-to-day procedures</li> <li>Re-engineering existing operations to manage more parties</li> <li>Training of ops staff</li> <li>Apps Assessed in Rounds (3)</li> <li>Application Queuing (19)</li> <li>TLD Rollout (40)</li> </ul>	<p><b>Work Track 4</b></p> <p><b>Systems and Tools</b></p> <p><b>System Strategy and Planning</b></p> <ul style="list-style-type: none"> <li>System Development and Maintenance</li> <li>Applicant Comments</li> <li>Application Submission Limits (5)</li> <li>Systems (14)</li> </ul>
<p><b>Work Track 5</b></p> <p><b>Vendors</b></p> <p><b>Vendor Strategy and Planning</b></p> <ul style="list-style-type: none"> <li>Procurement (RFI &amp; RFP processes)</li> <li>Vendor Management</li> <li>Contract Management</li> </ul>	<p><b>Work Track 6</b></p> <p><b>Comms and Outreach</b></p> <p><b>Comms Strategy and Planning</b></p> <ul style="list-style-type: none"> <li>Awareness Campaigns</li> <li>Define Audience</li> <li>Website page</li> <li>Narrative</li> <li>Communications (13)</li> <li>Application Submission Period (16)</li> </ul>	<p><b>Work Track 7</b></p> <p><b>Resources, Staffing &amp; Logistics</b></p> <p><b>Resourcing Strategy and Planning</b></p> <ul style="list-style-type: none"> <li>Cost and time estimates</li> <li>Recruitment of new staff and backfill</li> <li>Training</li> <li>Planning and obtaining resources needed to support staff</li> </ul>	<p><b>Work Track 8</b></p> <p><b>Finance</b></p> <p><b>Financial Strategy and Planning</b></p> <p><b>Management of program financial resources</b></p> <ul style="list-style-type: none"> <li>Cost model</li> <li>Application Fees (15)</li> <li>Refunds</li> <li>Request for initial funding</li> </ul>	<p><b>Work Track 9</b></p> <p><b>Overarching</b></p> <p><b>Issues that impact SubPro but are not part of the Final Report or simultaneously cross multiple worktracks</b></p> <ul style="list-style-type: none"> <li>Applicant Support (17)</li> <li>IDN EPDP</li> <li>Security and Stability (26)</li> <li>Name Collision (NCAP) (29)</li> <li>New Base RA (36)</li> <li>Global Public Interest Framework</li> </ul>

2. **SubPro Board Caucus Support:** Members of the ICANN org SubPro ODP team have provided subject matter support to the SubPro Board Caucus in its discussion on the outputs of the Final Report.
3. **Resourcing:** Work track leads have assessed the amount of resources needed based upon the scope of work. Nineteen positions have been approved to directly and indirectly support the ODP. Three positions have been filled. Additional positions or professional services may be required in the coming months.
4. **GNSO Council Liaison Meetings:** The ICANN org SubPro ODP team has met with the GNSO Council liaison several times, sharing two sets of questions regarding the outputs of the Final Report. ICANN org has received responses to the first set of questions and is incorporating the responses in our analysis and planning. All exchanges are publicly available in the SubPro ODP mailing list [archives](#).
5. **Development of Assumptions:** The work track leads worked collectively to discuss and develop a number of assumptions around the outputs of the Final Report and operational approach. The purpose of these assumptions is to ensure that there is a shared understanding of the meaning and implications of the outputs.
  - a. Created the Assumptions Development Lifecycle (see figure below).
  - b. Collaboratively drafted more than 200 assumptions.
  - c. A subset of [initial assumptions](#) was shared with the community at [ICANN73](#) and posted on the [SubPro ODP](#) webpage. A second set of [overarching assumptions](#) was posted on 23 March 2022.

## Assumptions Development Lifecycle



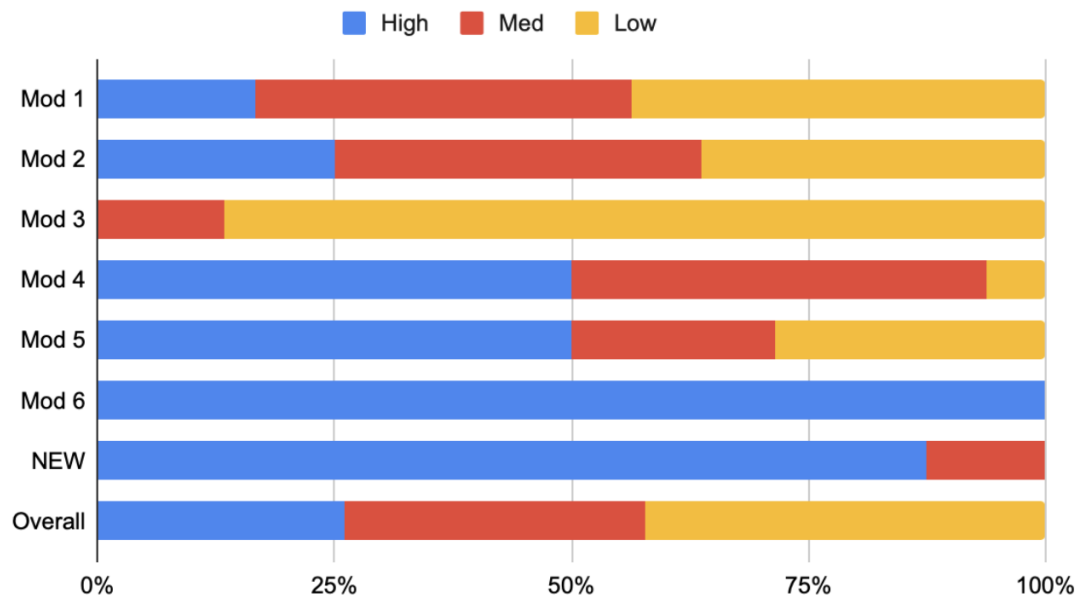
<b>Develop</b>	Work Tracks work cross functionally and with Subject Matter Experts to develop draft assumptions
<b>Test</b>	Org shares assumptions with the community and GNSO liaison
<b>Validate</b>	Work Tracks update the assumptions based upon feedback and clarification
<b>Design</b>	Project teams incorporate validated assumptions in their planning

**Assumptions will be revisited and revised as the ODP progresses in its work and gains a better understanding of the interdependencies of the Final Report Outputs.**

6. **Communications:** The ICANN org SubPro ODP team continues to communicate the status of the project and key information with the community. Visit the [SubPro ODP](#) webpage for blogs, announcements, and documents about the ODP. Comments, questions, and feedback may be directed to [subpro-odp@icann.org](mailto:subpro-odp@icann.org).
7. **Development of ODP Deliverables:** The ICANN org SubPro ODP team has worked to define the deliverables of the ODP.
  - a. Assumptions (see item 5 above: Development of Assumptions)
  - b. Development of the ODA: We began work on the ODA template in February 2022. The template will continue to evolve as we move through the project.
  - c. An assessment of the effort to update the [Applicant Guidebook](#) was shared with the community at ICANN73. The chart below reflects the expected level of effort.

## Revising the Modules of the Applicant Guidebook (AGB)

### Level of Effort Required to Update AGB



8. New gTLD Subsequent Procedures Steering Committee: The steering committee continues to meet on a bi-weekly basis.

## 2.2 Financial Update

### Financial Overview

In its 12 September 2021 Board [resolution](#), the Board directed the ICANN President and CEO to conduct an ODP by addressing the questions outlined in the [New gTLD Subsequent Procedures Operational Design Phase Scoping Document](#). ICANN org estimated that the resources needed to perform the ODP would be between 32-49 staff and contractors, at a total cost of between US\$7 and 9 million dollars. The ICANN Board approved the expenditure of up to US\$9 million dollars in order to perform the ODP.

### Estimated Resources Required to Complete the ODP

Estimated ODP Expenses	Staff/Contractors (estimated range)	USD\$ in millions (estimated range)
Full-Time Equivalent (FTE)	22-34	\$2.8M-\$3.3M
Temporary Resources	10-15	\$1.7M-\$2.2M
External Support and Expertise		\$2.5M-\$3.5M
<b>Total</b>	<b>32-49</b>	<b>\$7.0M-\$9.0M</b>



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ICANN org began tracking resource costs in January 2022. As of 28 February 2022, ICANN org estimates expenses to be approximately US\$389,000. The bulk of these expenses reflect the staff and contractors working on the project.

## 2.3 Resourcing Update

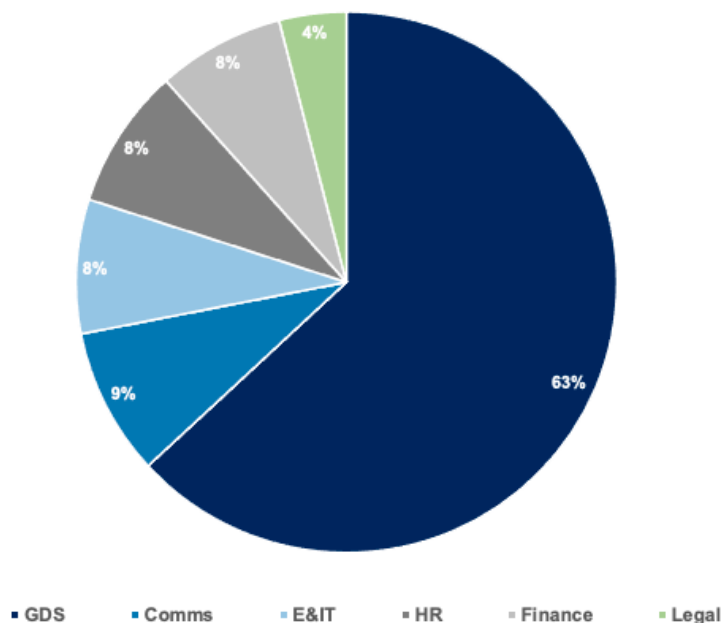
### Resourcing Overview

As of 28 February 2022, 23 ICANN staff and contractors have worked on the project. These resources are allocating a portion of their time to the project, translating to an average of seven full-time equivalent (FTE) employees. The total efforts of the staff translates to approximately 1,900 hours from January to February.

To date, ICANN has approved a total of 19 positions to be hired to either work on the ODP or free up existing staff to work on the ODP. Three of these positions have been filled to date.

### Resourcing (Avg FTE) Overview By Function

This chart provides an overview of the resources supporting the project by ICANN function. GDS is currently the primary contributor to the project, representing 63% of the total time spent on the project.



While the work on the ODP is supported by the different functions within ICANN, the tasks and deliverables are managed according to nine work tracks. These worktracks were introduced in our [18 January blog](#). The chart below reflects the breakdown of work performed to date according to these work tracks.

## Resource and Costs Overview By Work Track

SubPro ODP Work Track	Project-to-Date (January February 2022)	
	FTE (avg)	Total Expenses*
Project Governance	2.5	\$89
Policy Development and Implementation Materials	1.7	\$60
Operational Readiness	0.1	\$3
Systems and Tools	0.4	\$14
Vendors	0.1	\$3
Communications and Outreach	0.8	\$27
Resources, Staffing, and Logistics	0.8	\$27
Finance	0.5	\$17
Overarching	0.4	\$14
Shared Services Support**	NA	\$136
<b>Total</b>	<b>7.3</b>	<b>\$389</b>
<i>*Expenses presented in \$US thousands</i>		
<i>**Shared Services Support is not a work track and represents allocated costs from ICANN org for general administrative costs</i>		
<i>Any arithmetic inconsistencies are due to rounding</i>		

## 2.4 Next Steps

**Operational Update:** ICANN org is continuing to progress its work on the ODP. The team continues to:

- Analyze the outputs of the Final Report and provide the information required for the ODA.
- Evolve the assumptions and share with the community as new assumptions are developed.
- Provide subject matter support to the SubPro Board Caucus in its further discussions regarding the Final Report outputs.
- Interact with the GNSO Council liaison, sharing additional clarifying questions as they arise.

ICANN org continues to hire resources for its open positions. The fulfillment of these roles is an essential part in completing the SubPro ODP project.

Upcoming Milestones during the next few months:

- Additional blogs introducing specific work tracks
- Halfway Point - Community Status Report
- ICANN74 - ODP update and discussion

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## 2.5 Project Forecast

**Operational Update:** The ODP is scheduled to deliver an Operational Design Assessment (ODA) in October 2022 per the high-level timeline (in 2.Operational Update). ICANN org continues to work toward this date.

The work track leads will be holding several internal workshops to discuss the interdependencies of the topic assessments and proposed implementation approaches. This is a critical step in ensuring that the complexities and associated risks of the overall ODA proposed approach are understood and acknowledged.

**Financial Update:** At this point, ICANN org continues to project the ODP costs to align with the Board Approved budget of US\$7-\$9 million dollars. As we progress through the project, more specifics on the costs and efforts will be better understood.

**Resourcing:** At this point, ICANN org continues to project the ODP resource estimate to align with the Board-approved budget of 22-34 full-time-equivalent (FTE) employees.