

Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY20 Five-Year Operating Plan Update

3 May 2019



ICANN PROPOSED ADOPTED FY20 PLANNING DOCUMENTS

This is part of a series of documents that together form the ICANN Proposed Adopted Fiscal Year 2020 (FY20) Operating Plan and Budget.

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| FY20 Budget Introduction & Highlights | Overview of the key elements, cross-functional projects, and activities of the Proposed Adopted FY20 plans |
| FY20 Total ICANN Budget | High-level review of the Proposed Adopted FY20 budget |
| FY20 Operating Plan | Section 1: Summary of 6 modules of work planned for FY20 Section 2: Breakdown of the operating plan with the budget by strategic goal |
| FY20 Five-Year Operating Plan Update | High-level five-year perspective on the operations ICANN undertakes to implement its strategic plan |
| FY20 Operating Plan by Portfolio and Project | Detailed breakdown of the budget for each portfolio and project |

To get the most out of this document series, read the Introduction and Highlights document first. Each document stands alone and can be reviewed separately in no specific order, depending on your interest.

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1 Introduction

ICANN developed a multiyear planning framework based on extensive input from the ICANN community while developing its most recent Board Adopted Strategic Plan on 16 October 2014. The framework includes the following three elements:

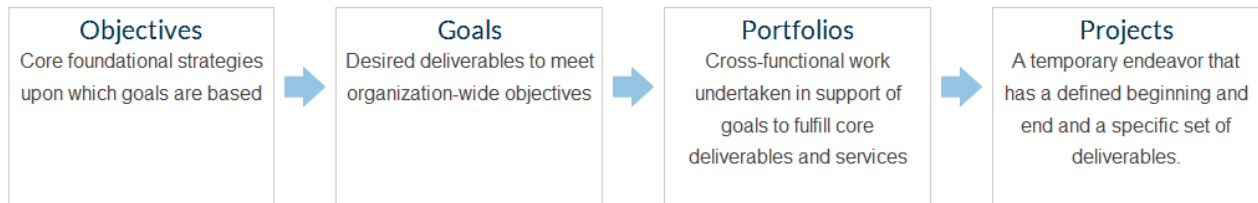
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| <p>1. Five-Year Strategic Plan</p> | <p>To be completed every five years or earlier if appropriate.</p> <p>It includes:</p> <ul style="list-style-type: none"> ⦿ Vision and mission ⦿ Strategic objectives ⦿ Goals ⦿ Key success factors ⦿ Strategic risks <p>ICANN’s Board adopted the current Strategic Plan on 16 October 2014.</p> |
| <p>2. Five-Year Operating Plan FY16-FY20</p> | <p>To be updated each year.</p> <p>It includes:</p> <ul style="list-style-type: none"> ⦿ A five-year planning calendar ⦿ Strategic goals with corresponding key performance indicators ⦿ Dependencies ⦿ Five-year phasing ⦿ A list of portfolios ⦿ A five-year financial management strategy <p>This is the fourth update to the Five-Year Operating Plan. ICANN’s Board adopted the initial version of the Plan on 28 April 2015.</p> |
| <p>3. Fiscal-Year Operating Plan and Budget</p> | <p>Developed from the ICANN Five-Year Operating Plan and structured community input. It includes activity portfolios designed to achieve the goals and objectives as measured by accountability indicators and corresponding dependencies, budgets, and projects.</p> |

ICANN organization acknowledges that the goals outlined in this update to the Five-Year Strategic Plan depend on stakeholder participation, bandwidth, and support.

2 Planning Structure

The Five-Year [Strategic Plan](#) defines ICANN's strategic objectives, goals, and strategic risks. This analysis informs an overall risk management approach. ICANN org systematically reviews and manages risks.

The following diagram shows the hierarchical structure of ICANN's Portfolio Management System, which turns the strategic plan into operational reality.



ICANN portfolios and projects have cross-functional application, which means that work on one goal often supports work on another.

ICANN Accountability Indicators (Metrics), previously called Key Performance Indicators (KPIs), are systematically refined to ensure that they remain useful measures of success.

The [ICANN online glossary](#) defines all of the terms that are used in this document.

3 Community Roles and Responsibilities

The planning process is part of the bottom-up, multistakeholder process. It requires the collaborative effort of the whole ICANN community, ICANN org and the ICANN Board.

For a detailed schedule for the process and the roles of each group, see the ICANN web page, [Planning – Community Roles and Responsibilities](#).

4 ICANN Operating Plan – Strategic Goal Level

This document is the fourth update to ICANN’s Five-Year Operating Plan FY16-FY20. ICANN’s Board adopted the initial version of the Plan on 28 April 2015.

ICANN updates this document each year to attain the following goals:

- ⦿ Take account of what has been achieved
- ⦿ Refine planned future work based on what has already been delivered and the changing environment

In each goal section, a status update box was added to note work completed and work planned for completion during the fiscal year ending in 2020 (FY20).

The list of Portfolios supporting the strategic objectives and goals may change throughout the five years of the Strategic Plan. The list of Portfolios for FY20 are described in the FY20 Operating Plan.

[Accountability Indicators](#) was launched early in FY18 to replace the KPI Dashboard. ICANN is now focused on measuring ICANN org’s accountability to the community. ICANN org has redesigned many measurements and is redesigning others while this document is being consulted. We encourage you to examine the Accountability Indicators.

Please use the feedback mechanism integrated into every page to let us know what you like and where you wish to see improvements.

The following section provides a high-level overview of changes from the third annual Five-Year Operating Plan Update (conducted as part of the FY19 Operating Plan and Budget planning process) to the fourth annual Five-Year Operating Plan Update (conducted as part of the FY20 Operating Plan and Budget planning process).

| Goal Number | Change Type | Change Summary |
|-------------|-----------------------------|--|
| All | Dependencies (requirements) | Availability of appropriate resources, including community bandwidth, is a dependency (requirement) for all ICANN work |
| All | Portfolios | Includes updates with the FY20 portfolios, which may have new labels and new numbers |
| All | Phasing | The phasing of what was completed during FY18 and is expected for FY19 has been updated |

ICANN's five strategic objectives are subdivided into 16 strategic goals. These are each divided into portfolios of projects.

5 Strategic Objectives | 16 Goals



- 1.1 Improve cooperation among internal and external stakeholders to foster confidence in ICANN's Mission and improve engagement processes and methods
- 1.2 Ensure that engagement efforts produce meaningful participation of new and existing stakeholders
- 1.3 Evolve policy development and governance processes, structures, and meetings to be more accountable, inclusive, efficient, effective, and responsive
- 2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem
- 2.2 Proactively plan for changes in the use of unique identifiers, and develop technology roadmaps to guide ICANN activities
- 2.3 Support the evolution of the domain name marketplace to be robust, stable, and trusted
- 3.1 Ensure ICANN's long-term financial accountability, stability, and sustainability
- 3.2 Ensure structured coordination of ICANN's technical resources
- 3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, organization, and stakeholders
- 4.1 Encourage engagement with the existing Internet governance ecosystem at national, regional, and global Levels
- 4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to support the global Internet ecosystem
- 4.3 Participate in the evolution of a global, trusted, inclusive, Multistakeholder Internet governance ecosystem that addresses Internet issues
- 4.4 Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest
- 5.1 Act as a steward of the public interest
- 5.2 Promote ethics, transparency, and accountability across the ICANN community
- 5.3 Empower current and new stakeholders to fully participate in ICANN activities

Strategic Goal 1.1: Improve Cooperation Among Internal and External Stakeholders to Foster Confidence in ICANN’s Mission and Improve Engagement Processes and Methods

FY20 PORTFOLIOS

1. Language Services
2. Raising Stakeholder Awareness of ICANN Worldwide
3. Internal Facing Operations (shared with 3.1.1)

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Percentage of sessions with live interpretation at ICANN Public meetings
- ⦿ Statistics on staff distribution at ICANN office locations and regions (Shared with Goal 3.3)

DEPENDENCIES

1. Stakeholder demand, participation, and dependencies for projects such as the Information Transparency Initiative (ITI) or ICANN Public meetings.
2. Global Stakeholder Engagement (GSE) function administration and cross-organizational collaboration among community-facing departments within ICANN org.
3. Implementation of International Office Strategy across ICANN org.
4. Completion of GSE structural consolidation from nine regional and functional sub-departments and a shift to reporting through its five main activities – yielding more transparency on GSE activities and highlighting cross-organizational collaboration.

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|--|--|
| | <ul style="list-style-type: none"> ⦿ Map community to regional engagement ⦿ Implement recommendations resulting from examination of ICANN regional offices in support of ICANN globalization ⦿ Begin work on ITI, a multiyear project to improve content governance and access on ICANN.org ⦿ Communicate in six United Nations (U.N.) languages to raise awareness of ICANN worldwide, including social media content, newsletters, | <ul style="list-style-type: none"> ⦿ Mapped community participation at the regional level, continuing work into FY19 ⦿ Implemented recommendations at ICANN regional offices to support ICANN globalization ⦿ Audited and tagged content for ITI initiated in FY18; audit and tagging to continue into FY19 ⦿ Communicated in six United Nations (U.N.) languages to raise awareness of ICANN worldwide, including social media content, newsletters, crisis planning, Quarterly |

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| | <p>crisis planning, Quarterly Stakeholder Updates, etc. (ongoing)</p> | <p>Stakeholder Updates, etc. (ongoing)</p> <ul style="list-style-type: none"> ⦿ Identified and published new accountability indicators and metrics |
| <p>FY19</p> | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Implement more streamlined data-driven decision making processes in regional planning and to implement international regional office strategies using identified accountability indicators, and use the GSE measurement and planning function ⦿ Implement improvements for GSE, based on community mapping conducted in FY18 ⦿ Continue implementing ITI ⦿ Communicate in six U.N. languages to raise awareness of ICANN worldwide (ongoing), including: <ul style="list-style-type: none"> • Social media content • Newsletters • Crisis planning • Quarterly Stakeholder Updates | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Continued implementing the International Office Strategy ⦿ Implemented data-driven regional planning and office strategies within the GSE measurement and planning function ⦿ Continued implementation of ITI and ICANN CRM services ⦿ Communicated in six U.N. languages to raise awareness of ICANN worldwide through regular newsletters, crisis planning, publications, and stakeholder updates (ongoing) ⦿ Improved cross-organizational collaboration in community-facing departments at ICANN org ⦿ Implemented a consolidated department structure for GSE |
| <p>FY20</p> | <ul style="list-style-type: none"> ⦿ Implement improvements on review of GSE web and stakeholder relationship management tools from 2019 (ongoing) ⦿ Deliver a consolidated GSE function using improved reporting and metrics from GSE measurement and planning ⦿ Recognize efficiencies across regions from the consolidated GSE structure and more transparent reporting on GSE activities ⦿ Communicate in the six U.N. languages to raise awareness of ICANN worldwide, including: <ul style="list-style-type: none"> • Social media content • Newsletters • Crisis planning | |

Strategic Goal 1.2: Ensure Engagement Efforts Are Geared Toward Meaningful Participation of New and Existing Stakeholders

FY20 PORTFOLIOS

1. Meeting services
2. Enhance Cooperation and Partnerships Regionally to Lower Barriers and Increase Regional Engagement With ICANN
3. Support Stakeholder Participation (shared with 5.3.2)

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Show a balanced, proactive approach to global/regional engagement activities
- ⦿ Provide new metrics on regional capacity development programs

DEPENDENCIES

1. Implement tools and community/org buy-in to measure participation at differing levels
2. Consolidate the Global Stakeholder Engagement (GSE) function to deliver improved data on regional stakeholder participation and increase participation in ICANN technical and policy work
3. Improve delivery and coordination of capacity development functions within ICANN org

PHASING

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|-------------|---|--|
| FY18 | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Conduct initial mapping of stakeholder journey to enhance regional engagement ⦿ Review the effectiveness of ICANN web tools to support globalization and regionalization for the community | <p>Status at End of FY18</p> <ul style="list-style-type: none"> ⦿ Identified new Accountability Indicators ⦿ Identified common high-level journey elements (common entry points and barriers to participation) ⦿ Identified mechanisms to measure and identify other journey elements (community participation, engagement levels, and stakeholder group gaps) |
| FY19 | <ul style="list-style-type: none"> ⦿ Planned ⦿ Identify and implement mechanisms to measure participation levels consistently ⦿ Measure and map common entry points and barriers to | <ul style="list-style-type: none"> ⦿ Intended Status at End of FY19 ⦿ Continued collaboration with GSE and ICANN Office of the CTO on technical training and capacity development in the regions to support more active and informed participants in ICANN |

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| | <p>participation to enhance the stakeholder experience</p> <ul style="list-style-type: none"> ⦿ Map regional engagement to lower barriers and enhance stakeholder experience and meaningful participation across sectors and regions | <ul style="list-style-type: none"> ⦿ Mapped common entry points and barriers to participation for regional stakeholders ⦿ Delivered ICANN org Sponsorship Strategy ⦿ Implemented a consolidated structure for GSE, enabling improved reporting on regional stakeholder engagement and global engagement activity |
| <p>FY20</p> | <ul style="list-style-type: none"> ⦿ Begin mapping all regional engagement to all identified stakeholder journeys to enhance individual stakeholder experiences ⦿ Enhance stakeholder experiences from end-to-end across all sectors and regions ⦿ Boost participation from stakeholders at multiple levels of engagement in all sectors and regions ⦿ Improve reporting on regional sponsorship and contributions with documented expectations from partnerships and sponsorships | |

Strategic Goal 1.3: Evolve Policy Development and Governance Processes, Structures, and Meetings to Be More Accountable, Inclusive, Efficient, Effective, and Responsive

PORTFOLIOS

1. Support Policy Development, Policy Related, and Advisory Activities
2. Reinforce Stakeholder Effectiveness, Collaboration, and Communication Capabilities

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Level of representation and active participation in the policy development and governance processes
- ⦿ “Tracking of activity” index (e.g., tracking of Supporting Organization/Advisory Committee (SO/AC) policy projects and status, teleconferences, email collaboration, and face-to-face sessions supported by the policy department)
- ⦿ “Tracking of productivity” index (e.g., tracking the quantity of completed projects, resolutions, advice, and publications)

DEPENDENCIES

1. Community collaboration

Successful identification and measurement of Accountability Indicators (Metrics) are challenging as multiple factors affect the policy development workload and work progress. This requires further engagement between ICANN org and the community to refine the deliverables and determine the development of shared metrics in future policy development activities.

2. Collaboration with the Information Technology (IT)/Online Community Services (OCS) team is needed to ensure that improved tools and mechanisms reach and can be used by our global stakeholders.

Successful tool development depends on the availability of OCS resources.

3. Dedicated communication strategies and services are required to ensure successful outcomes.

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|---|---|
| | <ul style="list-style-type: none"> ⦿ Complete a comprehensive assessment of the delivery of all resources that are provided to the stakeholders (every two years) ⦿ Evaluate and plan how to balance resource capabilities among stakeholders (every two years) ⦿ Assess progress toward five-year goals, wide use of improved tools, and mechanisms for global participation and representation, including remote participation to engage stakeholders in emerging regions ⦿ Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement ⦿ Conduct a final SO/AC special request process (likely to continue in FY18 and FY20) ⦿ Assess effectiveness and value of telecom vendors ⦿ Continue implementation of Empowered community related procedures and mechanism ⦿ Begin the GNSO PDP 3.0 initiative to enhance the efficiency and effectiveness of the GNSO Policy Development Process | <ul style="list-style-type: none"> ⦿ Continued to inventory the resources and capabilities provided to stakeholders ⦿ Consulted on the resultant community travel support and potential updates to the ICANN Travel Guidelines ⦿ Substantially improved the availability and breadth-of-use of various participation tools at ICANN (over the last three years). For example: <ul style="list-style-type: none"> ○ Adobe Connect rooms were in use by all communities ○ Live interpretation was available on a number of community calls ○ Live captioning capabilities being explored (and utilized on a pilot basis for a number of community calls) ○ Video feeds were being provided in Adobe Connect rooms for face-to-face community meetings ○ Audiocast provided for certain meetings to enable live broadcast of meetings ⦿ Conducted longer-than-anticipated community reviews: <ul style="list-style-type: none"> • Generic Names Supporting Organization (GNSO) Review Implementation Final Report submitted to the ICANN Board for consideration • ICANN Board considered the At-Large Review on 23 June 2018 (the Board Resolution noted that ICANN's Board received the At-Large Review Final Report from the independent examiner while accepting the Final At-Large Review Recommendations) |

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| | | <p>Feasibility Assessment & Implementation Plan and the At-Large Review Implementation Overview Proposal; the At-Large Review Implementation Working Group started work)</p> <ul style="list-style-type: none"> ⦿ Held assemblies (over the past two years) for: <ul style="list-style-type: none"> ○ African Regional At-Large Organization (AFRALO): FY17 ○ North American Regional At-Large Organization (NARALO): FY17 ○ Asia-Pacific Regional At-Large Organization (APRALO): FY18 ○ Latin American and Caribbean Regional At-Large Organization (LACRALO): part 1 in FY17; part 2 in FY18 ⦿ Conducted the community additional budget request process again for FY19 ⦿ Monitored the use and capabilities of all three major ICANN telecom vendors through FY19 (ICANN org) ⦿ Selected ATRT3 team members (SO/AC leader task) by the end of FY19 ⦿ Implemented initial EC related processes and procedures, developed the SO/AC accompanying processes and procedures, and completed the CSC charter review ⦿ Published the GNSO PDP 3.0 Discussion Paper outlining proposed incremental changes to the GNSO PDP |
| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Analyze, evaluate, and plan how to balance resource capabilities among stakeholders (first year of every two year cycle) | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Used improved tools and mechanisms for global participation, representation, and collaboration by stakeholders and ICANN org (includes use of remote |

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| | <ul style="list-style-type: none"> ⦿ Assess progress toward the five-year goal of wide use of improved tools and mechanisms for global participation and representation, including remote participation to engage stakeholders in emerging regions ⦿ Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement ⦿ Conduct the SO/AC special request process for FY20 ⦿ Continue to assess effectiveness and value of different telecom vendors ⦿ Start implementation of Draft WS 2 Accountability recommendations for the SO/ACs ⦿ Continue implementation of the Empowered community-related procedures and mechanism ⦿ Implement improvements for the GNSO 3.0 initiative | <p>participation to engage stakeholders in emerging regions)</p> <ul style="list-style-type: none"> ⦿ Implemented improvements resulting from ICANN Reviews of continuous accountability enhancement ⦿ Implemented procedural improvements resulting from internal review and policy activities ⦿ Completed SO/AC special request processing FY20 ⦿ Implemented WS 2 Accountability recommendations for the SOs and ACs ⦿ Completed implementation of Additional EC related processes and procedures and complete first CSC Effectiveness Review ⦿ Implemented improvements to the GNSO 3.0 initiative |
| FY20 | <ul style="list-style-type: none"> ⦿ Analyze, evaluate and plan for how to balance resources and capabilities among stakeholders (second year of every two-year cycle) ⦿ Continue to assess progress toward the five-year goal of wide use of improved tools and mechanisms for global participation and representation, including the use of remote participation to engage stakeholders in emerging regions ⦿ Continue to implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement ⦿ Continue implementation of Draft WS 2 Accountability recommendations for the SO/ACs ⦿ Continue implementation of Empowered Community related procedures and mechanisms ⦿ Conclude the At-Large Review Implementation by the end of FY20 ⦿ Plan the third At-Large summit during ICANN66 in FY20 | |

Strategic Goal 2.1: Foster and Coordinate a Healthy, Secure, Stable, and Resilient Identifier Ecosystem

FY20 PORTFOLIOS

1. FY20: Registration Directory Services (RDS aka WHOIS)
2. FY20: Global Domains Division (GDD) Strategic Programs
3. PTI Operations
4. PTI Technical System Enhancements
5. Global Domains Division (GDD) Operations

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Percentage of Service Level Targets (SLTs) met across multiple departments including but not limited to Internet Assigned Numbers Authority (IANA), GDD Operations and Global Customer Support

DEPENDENCIES

1. Engineering & IT resource availability

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|---|--|
| | <ul style="list-style-type: none"> ⦿ Deliver services to the ICANN community according to service level targets ⦿ Monitor and manage service delivery against targets; identify opportunities for improvement and efficiency ⦿ Implement process improvements for increased operational efficiency and customer satisfaction ⦿ Implement system enhancements for increased operational efficiency and effectiveness, including: <ul style="list-style-type: none"> • Registry services automation launched and in production • Registrar services and Compliance • CZDS improvements launched and in production | <ul style="list-style-type: none"> ⦿ Consistently delivered services to the ICANN community at or above published Service Level Targets ⦿ Continued to monitor and manage service delivery to identify areas for improvement and implement various process enhancements to improve service delivery ⦿ Implemented the following system enhancements for operational efficiency: <ul style="list-style-type: none"> • Completed registry services improvements • Launched registrar services v3 • Completed CZDS 2.0 improvements • Launched compliance v1 • Issued Request for Proposals (RFP) for a Technical Compliance Monitoring system • Incrementally enhanced SLA monitoring system ⦿ Developed comprehensive capability for customers to perform self-service |

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| <ul style="list-style-type: none"> • Develop Technical Compliance Monitoring system • Incremental SLA monitoring system enhancement <ul style="list-style-type: none"> ⦿ Enhance workflow management systems that support the IANA functions (ongoing) ⦿ Monitor implementation progress of variant top-level domains, and develop support systems as appropriate ⦿ Study operational requirements related to implementing the Root Zone KSK with an alternative cryptographic algorithm ⦿ Continue to lead and support RDS activities to promote trust and confidence of stakeholders in the Internet: <ul style="list-style-type: none"> • As appropriate, implement Board-adopted policy recommendations resulting from the Temporary Specification for gTLD Registration Data Expedited Policy Development Process • Implement the model and technology for access to non-public registration data • Implement Board-adopted advice relating to RDS • Continue to lead implementation of RDS-related policy and review recommendations Draft by the ICANN Board • Continue to provide updates to the Board and community on the status of RDS-related initiatives • Support community's work on RDS activities • Update and maintain RDS-related materials and | <p>for IANA functions, with request workflows managed in an automated fashion</p> <ul style="list-style-type: none"> ⦿ Identified scope of issues to implement variant TLDs and a root zone Key Signing Key (KSK) with an alternative algorithm in IANA operations. ⦿ RDS (WHOIS): <ul style="list-style-type: none"> • Led and supported RDS (WHOIS) activities to promote trust and confidence in the Internet for stakeholders • Implemented Board-adopted policy/review recommendations • Implemented model and technology needed for access to non-public registration data • Implemented Board-adopted advice related to RDS • Regularly updated the Board and community on the status of RDS-related activities • Supported the community's work on RDS activities • Updated RDS-related materials and information on ICANN websites • Performed outreach to communities outside of ICANN to improve understanding of RDS • Met service level agreements for WHOIS query tool • Supported the IANA Naming Function Review |
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| | <p>information on ICANN websites</p> <ul style="list-style-type: none"> • Continue outreach efforts to communities outside of ICANN to improve understanding of RDS <p>⊙ Support the IANA Naming Function Review</p> | |
| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⊙ Deliver services to the ICANN community according to service level targets ⊙ Monitor and manage service delivery against targets ⊙ Implement system enhancements to increase operational efficiency and effectiveness, including: <ul style="list-style-type: none"> • Provide registrar services • Make CZDS improvements launched and in production • Develop Technical Compliance Monitoring system • Enhance RDAP Client and Server • Offer mobile friendly GDD services • Implement other system enhancements defined by registries and registrars • Improve technical compliance and SLA monitoring systems • Enhance registry reporting interfaces and legacy systems to increase functionality ⊙ Develop RZMS v3 - multi-phase and multiyear project (PTI) ⊙ Continue to lead and support RDS (WHOIS) activities to promote stakeholder trust and confidence in the Internet: <ul style="list-style-type: none"> • Support the EPDP Team and RDS Review Team | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⊙ Completed registry services improvements ⊙ Launched registrar services v1 and v2 ⊙ Launched CZDS 2.0 ⊙ Launched RDAP Client and Server ⊙ Provided briefings and information to RDS2 Review Team to inform its work ⊙ Assessed implementation feasibility of RDS2 Review Team recommendations ⊙ In the ICANN org GDD liaison role, supported the Expedited Policy Development Process on the Temporary Specification for gTLD Registration Data ⊙ Continued to implement RDS (WHOIS) related policies and recommendations ⊙ Updated the Board and community on the status of RDS related activities ⊙ Reached communities beyond ICANN to improve understanding of RDS ⊙ Updated RDS-related materials and information on ICANN websites ⊙ Reviewed IANA Naming Function |

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| | <ul style="list-style-type: none"> • Continue to implement various RDS (WHOIS) related policies and requirements ⊙ Review Customer Standing Committee (CSC) Effectiveness and IANA Naming Function required by ICANN Bylaws ⊙ Execute root zone KSK key rollover | |
| FY20 | | <ul style="list-style-type: none"> ⊙ Deliver services to the ICANN community according to SLTs ⊙ Monitor and manage service delivery against targets; identify opportunities for improvement and efficiency ⊙ Implement process improvements for increased operational efficiency and customer satisfaction ⊙ Implement system enhancements for increased operational efficiency and effectiveness, including: <ul style="list-style-type: none"> ○ Monitor Domain Name Health indicators and define a plan with systems enhancements and improvements in support of a healthy domain name marketplace ○ Simplify, and make less burdensome, contracted party interaction with ICANN systems and services through improved retrievable, broadcast and syndicated methods ⊙ Completion of project for the Registry Workflow System (multiyear project) ⊙ Continued development of RZMS v3 – multi-phase and multiyear project ⊙ Continue to lead and support RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders: <ul style="list-style-type: none"> ○ Support the work of RDS PDP WG and RDS Review Team ○ Continue implementation work on various RDS (WHOIS) related policies and requirements ⊙ Continue to support CSC Effectiveness and IANA Naming Function reviews |

Strategic Goal 2.2: Proactively Plan for Changes in the Use of Unique Identifiers and Develop Technology Roadmaps to Help Guide ICANN Activities

FY20 PORTFOLIOS

1. Security, Stability, and Resiliency of Internet Identifiers
2. Identifier Evolution

ACCOUNTABILITY INDICATORS (METRICS)

- ⊙ ICANN Interaction with the Technical and Public Safety Communities
- ⊙ Progress of Domain Abuse Activity Reporting, which is a system for studying and reporting on domain name registration and security threat (domain abuse) behavior across top-level domain (TLD) registries and registrars.
- ⊙ Progress of the Identifier Technologies Health Index, which will measure ICANN's contribution to health of identifiers in both the ICANN and broader Internet communities.

DEPENDENCIES

1. Identifier evolution, including:
 - a. Disruptive new technology
 - b. Change of business models
 - c. Governmental regulation
 - d. Market acceptance
 - e. Technological failure, such as catastrophic risks associated with technology
2. [Technical Reputation](#) (see page 13 of linked document), including:
 - a. Recognition of ICANN's technical expertise
 - b. Perceptions about a security incident or cyberattack against ICANN's infrastructure or interests
 - c. Intentional misrepresentation of ICANN's technical expertise
3. Security, stability, and resiliency of Internet identifiers, such as:
 - a. Cyberattack against and/or using unique identifiers
 - b. Introduction of disruptive technologies
 - c. Change of business models
 - d. Governmental regulation
 - e. Market acceptance
 - f. Technological failure, such as catastrophic risks associated with technology

PHASING

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|--------------------|---|--|
| <p>FY18</p> | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Implement year one of technology roadmaps ⦿ Publish at least two more identifier technology-related white papers ⦿ Demonstrate growth in ratios in developing regions | <p>Status at End of FY18</p> <ul style="list-style-type: none"> ⦿ Worked with the community to ensure a secured Key Signing Key (KSK) rollover ⦿ Conducted and analyze DNS traffic measurements that suggest an issue with resolvers that are not properly configured with the new KSK ⦿ Postponed signing of a new KSK due to DNS resolver ⦿ Began to understand issue that Digital Object Architecture (DOA) addresses and investigated on how the current identifier system may accommodate the need ⦿ Began research on blockchain's impact on identifiers and their management ⦿ Consulted with the community about Identifier Technology Health Indicators (ITHI) data publication (ongoing) ⦿ Completed infrastructure setup to measure authoritative server behavior (middlebox DNS behavior) ⦿ Completed first phase of research on registries/registrar IPv6 compliance ⦿ Continued to build capacity of security and DNS abuse awareness around the world with over 25 events conducted by end of FY18 ⦿ Launched DNS abuse scoreboard through the Domain Abuse Activity Report (DAAR) project ⦿ Worked with Internet Protocol Journal and United States Telecommunications Training Institute; continued to strengthen and streamline partnerships and collaborations with key stakeholders for better exposure of ICANN technical work ⦿ Launched first iteration of a dedicated page for ICANN technical activities |
| <p>FY19</p> | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Lead the root KSK rollover project | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Successfully rolled out root KSK |

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| | <ul style="list-style-type: none"> ⦿ Continue to lead the Open Data Initiative ⦿ Make continued progress on the ITHI project ⦿ Update technology roadmaps, including a strategy for the L-root server that covers how ICANN can improve root server system security ⦿ Continue research into the Internet's system of unique identifiers coordinated by ICANN, including emerging identifiers, to track developing trends ⦿ Support technical research and analysis by ICANN's Advisory Committees ⦿ Continue participation in the IETF to guide development of both existing and emerging identifier technology standards ⦿ Publish at least two white papers on identifier technology | <ul style="list-style-type: none"> ⦿ Launched open data and publish a selection of the community's highest-priority data sets ⦿ Published a document describing the evolution of the L-root server and how ICANN can increase the security of the root server system ⦿ Published metrics from the ITHI project; establish more partnerships with network operators to collect data for these metrics ⦿ Created at least one research testbed to support major projects by RSSAC and SSAC ⦿ Published at least two white papers on identifier technology ⦿ Conducted detailed research on DOA, which was promoted within ITU as a new identifier system; write a paper on the topic ⦿ Launched the CTO office project to propose an extension enabling the DNS to store information related to connected devices beyond IP mapping and Mail routing information ⦿ Contributed to new standards around the DNS and identifier system in general ⦿ Organized two Emerging Identifier sessions during ICANN Meeting; also interacted with some emerging Identifier initiatives such as Application of blockchain to domain name and IP address management, The DOA, and Ethereum Name Service |
| FY20 | <ul style="list-style-type: none"> ⦿ Update the technology roadmaps ⦿ Continue research into the Internet's system of unique identifiers coordinated by ICANN, including focus on emerging identifiers, to track developing trends ⦿ Continue participation in the IETF to guide development of existing and emerging identifier technology standards ⦿ Publish more white papers on identifier technology ⦿ Publish more of ICANN work on its IPv6 initiative ⦿ Publish DAAR data through ODI platform (ongoing) ⦿ Publish roadmaps for implementation of SSR review recommendations relevant to our group | |

Strategic Goal 2.3: Support The Evolution of The Domain Name Marketplace to Be Robust, Stable, and Trusted

FY20 PORTFOLIOS

1. GDD Technical Services
2. New gTLD Program
3. Registrar Services
4. Registry Services
5. Domain Name Services
6. Internationalized Domain Names and Universal Acceptance

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Domain Name Marketplace Indicators

DEPENDENCIES

1. Engineering & IT resources availability

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|---|--|
| | <ul style="list-style-type: none"> ⦿ Develop and monitor (ongoing) the domain name marketplace indicators ⦿ Consider opportunities to fine-tune initiatives based on inputs received from the community ⦿ Form a voluntary advisory group for needed iteration of marketplace metrics (version 2.0) ⦿ Complete New gTLD Program to 98% ⦿ Support the Subsequent Procedures PDP Working Group (ongoing) ⦿ Execute activities to better inform, educate, service, and support registrants (ongoing) | <ul style="list-style-type: none"> ⦿ Launched public comment period on domain name marketplace indicators release version 1.0 to obtain community feedback and evaluate opportunities for future improvement (e.g., data coverage, format, and release schedule) ⦿ Identified required revisions with the support of Advisory Group for domain name marketplace indicators (version 2.0) ⦿ Evaluated and acquired relevant datasets, tapping into internal and external sources (publication schedule, format, and data coverage of version 2.0 of the report will be contingent on data acquisition) ⦿ Showed stable healthy year-over-year growth in domain name industry ⦿ Completed New gTLD Program to 98% ⦿ Updated and create new content for registrants |

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| | | <ul style="list-style-type: none"> ⦿ Published data related to issues affecting registrants ⦿ Implemented Board-adopted policy recommendations from the Subsequent Procedures PDP |
| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Develop and monitor domain name marketplace health indicators (ongoing): <ul style="list-style-type: none"> • Fine-tune the report's coverage, format, and release schedule based on input from the advisory group and the market research firm ⦿ Show stable healthy year-over-year growth in the domain name industry ⦿ Complete the New gTLD Program to 99% ⦿ Support the Subsequent Procedures PDP Working Group ⦿ Inform, educate, service, and support registrants (ongoing) | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Evaluated and acquired relevant datasets, tapping into internal and external sources ⦿ Generated and published the chosen metrics for tracking the health status of the domain name marketplace, leveraging (if applicable) datasets made publicly available via the Open Data Initiative (publication schedule, format, and data coverage of version 1 of the report will be contingent on data acquisition) ⦿ Completed new gTLD program to 99% ⦿ Implemented feasibility assessment on draft recommendations from the Subsequent Procedures PDP Working Group ⦿ Updated and created new content for registrants ⦿ Published data and metrics relating to issues affecting registrants |
| FY20 | <ul style="list-style-type: none"> ⦿ Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: <ul style="list-style-type: none"> ○ Identification of any revised indicators expected with the support of advisory group for version 2 of the report. ○ Evaluation and acquisition of relevant datasets, tapping into both internal and external sources. Publication schedule, format and data coverage of version 2 of the report will be contingent on data acquisition ⦿ Show stable healthy year over year growth in the domain name industry ⦿ Drive completion of the New gTLD Program to 99% ⦿ Continue to execute activities to better inform, educate, service and support registrants | |

Strategic Goal 3.1: Ensure ICANN's Long-Term Financial Accountability, Stability and Sustainability

PORTFOLIOS

1. Internal Facing Operations (shared with 1.1)
2. Finance and Procurement
3. Strategic and Operating Planning

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Financial accountability, stability, and sustainability indices (composite index of ratios and metrics) including but not limited to:
 - Actual to budget Reserve Fund balance and utilization, as well as financial performance metrics
 - Percentage of project completion indices (major projects)
 - Percentage turnover compared to market benchmark
 - Percentage comparisons of actual to target risk management roadmap achievements
- ⦿ Security Operations showing type of support provided to events by risk category, region and time.
- ⦿ On-time delivery and quality index of the ICANN planning process

Includes:

- Five-Year Operating Plan
- Fiscal-Year Operating Plan and Budget
- Achievements and progress reporting

DEPENDENCIES

1. Availability of financial resources
2. Engineering & IT system implementation roadmap enabling:
 - a. Efficiency and advancement in analytics
 - b. Metric tracking/reporting/review
 - c. Process improvement implementation
 - d. Mitigation assessment and implementation
3. Community bandwidth and focus to provide direction and feedback
4. Improved reporting on cross-organizational collaboration and delivery on implementation of international office strategy

PHASING

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| FY18 | Planned <ul style="list-style-type: none"> ⦿ Continue to improve and achieve elevated target performance levels as per roadmap ⦿ Develop long term financial planning processes for alignment on strategic priorities and effective use of ICANN resources ⦿ Stabilize security operations to effectively continue to safeguard ICANN's resources ⦿ Continue to improve risk management by implementing the risk management framework | Status at End of FY18 <ul style="list-style-type: none"> ⦿ Confirmed Reserve Fund target and initiate a process for replenishment ⦿ Implemented long term financial planning and initiate development of the next Five-Year Strategic Plan ⦿ Continued a timely planning process as per established calendar ⦿ Continued compliance with financial responsibility to maintain a balanced budget ⦿ Completed milestones of risk management roadmap ⦿ Initiated a project to evaluate and improve internal controls |
| FY19 | Planned <ul style="list-style-type: none"> ⦿ Continue to improve and achieve elevated target performance levels as per roadmap ⦿ Modify roadmap as needed ⦿ Initiate strategic planning process | Intended Status at End of FY19 <ul style="list-style-type: none"> ⦿ Completed Security Operations roadmap for FY19 ⦿ Maintained and optimize core Security Operations tracks ⦿ Implemented a Regional Security Manager (RSM) model |
| FY20 | <ul style="list-style-type: none"> ⦿ Complete roadmap as planned ⦿ Evolve RSM model ⦿ Reassess and plan for future years ⦿ Conclude strategic planning process and develop Five-Year Operating Plan | |

Strategic Goal 3.2: Ensure Structured Coordination of ICANN’s Technical Resources

FY20 PORTFOLIOS

1. IT Infrastructure, Cybersecurity Hardening and Control
2. Root Systems Operations
3. IT Service Scaling and Product Management

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Percentage of global IT infrastructure uptime
- ⦿ Scaling from 99.9% in FY16 to 99.999% in FY20 for ICANN community engagement and information web services.
- ⦿ Universal Acceptance Readiness
- ⦿ IPv6 Deployment status: Anycast instances of the ICANN Managed Root Server (IMRS)
- ⦿ Cybersecurity: Overall [CIS 20](#) Scores

DEPENDENCIES

None

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|---|--|
| | <ul style="list-style-type: none"> ⦿ Drive IT Services up-time for Tier 1 towards 99.99% availability ⦿ Measure and compare metrics for the IANA services against baseline for year-over-year improvement ⦿ Report metrics for on-time, on-budget IT projects delivery to improve year-over-year performance | <ul style="list-style-type: none"> ⦿ Reported monthly on 30-day, 90-day, and 365-day rolling availability metrics <ul style="list-style-type: none"> • Reported discrepancies from 99.99% uptime for Tier 1 services to Engineering and Information Technology (E&IT) management and the root cause • Assigned high level corrective actions to appropriate E&IT team and obtain completion timeline • Tracked availability corrections to completion ⦿ Reported monthly on IT infrastructure projects that enable our desired highly available services to achieve on-time and on-budget delivery |

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| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Drive IT Services uptime for Tier 1 to 99.999% availability ⦿ Drive uptime for Tier 2 towards 99.99% availability ⦿ Measure and compare metrics for IANA services against baseline for year-over-year improvement ⦿ Report metrics for on-time, on-budget IT projects delivery, to improve year-over-year performance | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Moved tier 1 uptime to 99.996% for any 12-month period ⦿ Maintained tier 2 services above the goal of 99.99% ⦿ Internally published project metrics showing performance to budget and promised delivery dates |
| | <p>FY20</p> <ul style="list-style-type: none"> ⦿ Maintain IT Services uptime for Tier 1 to 99.999% availability ⦿ Maintain uptime for Tier 2 to 99.99% availability or better ⦿ Drive uptime for Tier 3 towards 99.9% availability or better ⦿ Measure and compare metrics for the IANA services against baseline for year-over-year improvement ⦿ Report metrics for on-time, on-budget IT project delivery to improve year-over-year performance | |

Strategic Goal 3.3: Develop a Globally Diverse Culture of Knowledge and Expertise Available to ICANN's Board, Organization, and Stakeholders

FY20 PORTFOLIOS

1. People Management
2. Global Operations

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Achievement for ICANN's global diverse culture and knowledge levels of Board, ICANN organization, and stakeholders
- ⦿ Nominating Committee Composition

DEPENDENCIES

1. Engineering & IT system implementation roadmap enabling:
 - a. Efficiency and advancement in analytics
 - b. Metric tracking, reporting, review
 - c. Process improvement implementation
 - d. Mitigation assessment and implementation
2. Community bandwidth and focus to provide direction and feedback

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|---|---|
| | <ul style="list-style-type: none"> ⦿ Identify gaps and continue to improve ⦿ Advance application of systems to refine measurements ⦿ Collaborate with stakeholders on progress evaluation and improvements | <ul style="list-style-type: none"> ⦿ Continued Board Operations to improve strategically focused quality of services to the ICANN and PTI Boards; improve integration with other teams that support both Boards ⦿ Integrated Global Operations work with the new international regional office strategy <p>Identified and delivered the specific needs in each region and worked with functional teams to enable delivery:</p> <ul style="list-style-type: none"> ⦿ Human Resources: |

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| | | <ul style="list-style-type: none"> • The new Enterprise Resource Planning system improved efficiency by automating key processes, providing organizational efficiencies • The HR Business Partner program helped meet the organization's people needs <ul style="list-style-type: none"> ⦿ Organizational Assessment and Improvement: <ul style="list-style-type: none"> • Continued to use audits and other continuous improvement frameworks to drive improvement across the organization • Accountability Indicators improved the nature and presentation of key measurements ⦿ Security Operations deployed an integrated set of approaches to protect ICANN org, its people, assets, information, and reputation. |
| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Our key objective in FY20 is to improve integration between teams and services so that people within the org, Board, and community experience continuous improvement in all services being managed and delivered. ⦿ We plan to achieve this by using measurements that help us understand the links between what we do and achieve. We will then review our work methods and refine them to deliver future improvements. | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Building on the work of previous years, deployed service updates to ERP platform so that it continues to meet people and finance needs ⦿ Continued to improve existing Accountability Indicators charts and roll out new ones ⦿ Started operationalizing ICANN org's Open Data service ⦿ Continued implementing the strategically focused improvement roadmaps including structures, processes, and communications with a focus on cross-functional and org-wide collaboration |
| FY20 | <ul style="list-style-type: none"> ⦿ Identify gaps and continue to improve ⦿ Advance the application of systems to refine measurements ⦿ Collaborate with stakeholders on progress evaluation and improvements | |

Strategic Goal 4.1: Encourage Engagement with the Existing Internet Governance Ecosystem at National, Regional, and Global Levels

FY20 PORTFOLIOS

1. Coordination of ICANN Participation in Internet Governance (IG)

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ A trended composite index measuring interactions between ICANN and national governments, regional governmental entities, intergovernmental organizations (IGOs), and international organizations

DEPENDENCIES

1. Changes in individual government compositions reflected in changes in individual or regional policies
2. Changes in economic conditions that lead to a reduction in government engagement in IGF meetings and activities
3. Perception of ICANN as an independent entity due to the successful IANA stewardship transition

PHASING

| | | |
|-------------|--|--|
| FY18 | Planned <ul style="list-style-type: none"> ⦿ Evolve the strategy as needed based upon regional engagement office strategic and FY17 work ⦿ Evolve global and regional work plans if needed to reflect outcome of strategy review and revision | Status at End of FY18 <ul style="list-style-type: none"> ⦿ Achieved consistent engagement rates built on FY17 outcomes and engagement activity ⦿ Documented the participation rate ⦿ Defined a model for Government engagement capacity-building sessions ⦿ Successfully tracked proposals and resolutions from countries and regional preparatory meetings to prepare for ITU Plenipotentiary Conference 2018 (PP-18) in October 2018 (FY19) |
| FY19 | Planned <ul style="list-style-type: none"> ⦿ Bolster ICANN's stakeholder community role in the DNS at the ITU PP-18 through education and negotiation to prevent resolutions that negatively affect ICANN's mission | Intended Status at End of FY19 <ul style="list-style-type: none"> ⦿ Successfully completed ITU PP-18 (for ICANN) by collaboration with ICANN colleagues to address misconceptions about the DNS |

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| FY20 | <ul style="list-style-type: none"> ⦿ Complete the accreditation process with ECOSCO ⦿ Participate in IGF 2018 (November 2018) ⦿ Increase the baseline participation rates documented as the baseline in FY18 | <p>and ICANN's role expressed in member state resolutions</p> <ul style="list-style-type: none"> ⦿ Achieved recognition of ICANN for its role in the DNS through accreditation by ECOSOC; participate in the French government's Peace Forum High Level panels and IGF 2018 Paris |
| | <ul style="list-style-type: none"> ⦿ Achieve strong, fully structured working relationships with organizations and entities active in the IG ecosystem | |

Strategic Goal 4.2: Clarify the Role of Governments in ICANN and Work With Them to Strengthen Their Commitment to Supporting the Global Internet Ecosystem

FY20 PORTFOLIOS

1. Working with governments and intergovernmental organizations

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Increase number of Governmental Advisory Committee (GAC) members and attendance at ICANN Public meetings reported by region

DEPENDENCIES

1. Changes in government resource budgeting that affect participation rates in the face-to-face GAC sessions at ICANN public meetings

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|--|--|
| | <ul style="list-style-type: none"> ⦿ Conduct third-year review of strategy and implementation of changes developed by review and revisions brought forward to FY17 and the GAC capacity-development workshops ⦿ Revise global and regional work plans to reflect outcome of strategy review ⦿ Conduct two informational and technical skills workshops for regional GAC members as part of demand-driven engagement | <ul style="list-style-type: none"> ⦿ Established a model for a GAC capacity-building workshop process: <ul style="list-style-type: none"> • Managed demand and design workshop content based on GAC membership demand and needs identified by the GAC Public Safety WG and GAC Underserved Regions WG • Collaborated with the technical capacity building team and regional engagement teams ⦿ Completed at least two regional capacity building workshops in association with the ICANN Public meetings and two informational and technical regional workshops in response to GAC demand-driven engagement |

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| FY19 | Planned <ul style="list-style-type: none"> ⦿ Participate in High Level Governmental meeting (HLGM) at ICANN63 Barcelona ⦿ Evaluate the GAC Capacity Building initiative ⦿ Increase the number of governmental entities actively participating in ICANN processes and stakeholder groups ⦿ Follow up on outcomes of the HLGM | Intended Status at End of FY19 <ul style="list-style-type: none"> ⦿ Completed HLGM with Chairman's report reflecting outcomes of meeting and support for the MSM ⦿ Increased participation demonstrated by HLGM delegations and GAC attendance at ICANN 63, 64, and 65 ⦿ Completed the evaluation report on the regional capacity-building workshops ⦿ Created a framework for an ongoing capacity-building program that incorporates on-line courses through ICANN Learn, reference materials associated with ICANN meetings and two informational and technical regional workshops in response to GAC demand-driven engagement |
| FY20 | <ul style="list-style-type: none"> ⦿ Continue information and technical skills workshops to enhance relationships with governmental entities and encourage them to work collaboratively and support adoption of the Multistakeholder IG approaches on national, regional, and global levels | |

Strategic Goal 4.3: Participate in the Evolution of a Global, Trusted, Inclusive Multistakeholder Internet Governance Ecosystem that Addresses Internet Issues

FY20 PORTFOLIOS

1. Support Internet Governance (IG) Ecosystem Advancement

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Quarterly trend data showing cumulative participation in IG ecosystem evolution

DEPENDENCIES

1. Change in global participation due to changing political will reflected in trends away from globalization toward a national or internal focus by governments

PHASING

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| FY18 | Planned <ul style="list-style-type: none"> ⦿ Conduct a year-three review of the goals and delivery strategy for goals using the mission and mandate of the post-IANA stewardship transition of ICANN ⦿ Evolve and improve the global engagement work plan based on completed review ⦿ Define new measurements for activity if the work of goal 4.3 is still separate from goal 4.1 <ul style="list-style-type: none"> • If so, continue FY17 projects and work to reflect collaboration with respective Internet organizations | Status at End of FY18 <ul style="list-style-type: none"> ⦿ Integrated Goal 4.1 and 4.3 to a single engagement strategy to support engagement in and support for the IG ecosystem and ICANN's unique mission and mandate ⦿ Defined new measurements of key activity indicators to measure the engagement in and support for the evolution of the IG ecosystem |
| FY19 | Planned <ul style="list-style-type: none"> ⦿ Create legislative and regulatory tracking mechanism to monitor initiatives that may affect ICANN's scope (remit) ⦿ Revise global strategy and goals as shown in revised regional implementation strategies, regional | Intended Status at the end of FY19 <ul style="list-style-type: none"> ⦿ Established mechanism and sequence of reports addressing potential impact of proposed legislation and regulation on ICANN's scope ⦿ Aligned global and regional engagement strategies and work |

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| FY20 | <p>engagement office strategies, and work plans</p> <ul style="list-style-type: none"> ⦿ Develop program to socialize potential impact of possible legislative and regulatory initiatives on ICANN's scope with the ICANN community | <p>plans with the new draft of the five year Strategic plan</p> <ul style="list-style-type: none"> ⦿ Revised key metrics and measurements of key activity indicators to assess engagement in and support for evolution of the IG ecosystem |
| | <ul style="list-style-type: none"> ⦿ Build ICANN involvement, consistent with its mission and within its mandate, in a full implementation of a distributed, trusted, fully inclusive Multistakeholder IG ecosystem ⦿ Build the perception that technical and non-technical IG issues are successfully addressed using Multistakeholder model | |

Strategic Goal 4.4: Promote Role Clarity and Establish Mechanisms to Increase Trust Within the Ecosystem Rooted in the Public Interest

FY20 PORTFOLIOS

1. Consumer Safeguards
2. Contractual Compliance Function

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Percentage of Contractual Compliance service-level targets that are met
- ⦿ Ensure that the safeguard role becomes an important part of ICANN org’s portfolio of responsibilities and is fully integrated and active within the ICANN community

DEPENDENCIES

1. External:
 - a. ICANN community expectations
 - b. Understanding of contractual compliance and consumer safeguards scope
 - c. Ability to reach consensus
 - d. Developments in data privacy, data protection, and cross-border investigative regulations that may affect ICANN org and contractual compliance work
2. Internal:
 - a. Resources (people and systems)
 - b. Ability to clarify expectations and implement where applicable
 - c. ICANN org approach to DNS Infrastructure Abuse
3. Contracted parties:
 - a. Compliance with the contract and policies
 - b. Interpretation of the contract and policies
 - c. Impact of local laws and regulations
 - d. Efforts to address DNS abuse

PHASING

| FY18 | Planned | Status at End of FY18 |
|------|--|---|
| | <ul style="list-style-type: none"> ⦿ Conduct overall satisfaction survey (based on the feedback from Contractual Compliance requests, reporters, and contracted parties at the closure) | <ul style="list-style-type: none"> ⦿ Implemented Contractual Compliance Satisfaction Survey and report in Quarterly Reports (report title is Contractual Compliance Metrics) |

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| | <ul style="list-style-type: none"> of a complaint) and report the results and outcomes ⊙ Implement enhanced transparency in compliance reporting ⊙ Assess current practices in light of the changing environment, and adjust as needed ⊙ Integrate Consumer Safeguard role within ICANN organization and the community ⊙ Develop and execute Consumer Safeguard strategic outreach plan ⊙ Develop a report on the role of safeguards in the DNS market place, including successes and areas for improvement | <ul style="list-style-type: none"> ⊙ Rolled out enhanced monthly dashboard with information on the subject matter of complaints based on recommendations of the Competition, Consumer Choice, and Consumer Trust Review Team draft report and GAC's Copenhagen Communique; launched new quarterly metric reports and annual metric reports ⊙ Reviewed and updated the audit plan, including a comprehensive approach to DNS Infrastructure Abuse reporting and handling ⊙ Addressed contracted parties and stakeholders on consumer safeguard topics and DNS abuse |
| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⊙ Assess Temporary Specification Compliance Readiness ⊙ Continue to identify and implement enhanced transparency in compliance reporting ⊙ Implement agreed-upon plan and practices ⊙ Implement ongoing measurement, benchmarking, and reporting ⊙ Enhance consumer safeguards collaboration with Office of Chief Technology Officer to address DNS abuse. ⊙ Re-launch discussion of current safeguards within ICANN's remit to foster conversation about org's ability to address DNS abuse | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⊙ Assessed impact of the Temporary Specification on the current contractual compliance process, complaint handling procedures, communication templates, and personnel training ⊙ Published list of contracted parties under a current audit at the start of an audit program ⊙ Held meetings with contracted parties to discuss levels of abuse within operated TLDs ⊙ Conducted specific SO/AC conversations on current safeguards and abilities to address DNS abuse |
| FY20 | <ul style="list-style-type: none"> ⊙ Identify and implement additional enhanced transparency in Compliance ⊙ Be ready to support and enforce Privacy Proxy Accreditation Model, RDAP, Access Model, and Expedited PDP ⊙ Be ready to support and enforce DNS Infrastructure Abuse handling and reporting in light of the changing environment and adjust as needed ⊙ Facilitate mechanism to respond to DNS abuse referrals that investigate and potentially address abusive activity ⊙ Assess and adjust plan and practices as needed | |

Strategic Goal 5.1: Act as a Steward of the Public Interest

FY20 PORTFOLIOS

1. Legal Support and Advice
2. Support ICANN Board

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Number of ICANN decisions and advice (Board, ICANN org and stakeholders) that are rationalized based on common consensus-based definition(s) and understandings of public interest within ICANN's remit

DEPENDENCIES

- ⦿ Community, Board and ICANN org involvement in the dialogue regarding the public interest understandings, definitions and framework to hold as an ICANN standard

PHASING

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| FY18 | Planned | Status at the end of FY18 |
| | <ul style="list-style-type: none"> ⦿ Increase from the baseline the % actions by ICANN Board in decision making and how rationales are including the public interest assessments as part of decision making | <ul style="list-style-type: none"> ⦿ Provided information on the number of rationales that included the public interest assessments as part of decision making |
| FY19 | Planned | Intended Status at the end of FY19 |
| | <ul style="list-style-type: none"> ⦿ Continue to report the number of decisions that are taken by the ICANN Board which includes public interest assessments in the rationales | <ul style="list-style-type: none"> ⦿ All decisions made by the ICANN Board included the assessment of public interest in the rationales. |
| FY20 | <ul style="list-style-type: none"> ⦿ Reach goal of all material ICANN Board actions including a consideration of decision making and how rationales are including the public interest assessments as part of decision making | |

Strategic Goal 5.2: Promote Ethics, Transparency, and Accountability Across the ICANN Community

FY20 PORTFOLIOS

1. Enhancing ICANN Accountability - WS2
2. Organizational Reviews
3. Specific Reviews (Bylaws Article 4, Section 4.6)
4. Strategic Initiatives (including GDPR)
5. Accountability and Transparency Mechanisms (including requirements for continuing accountability work under Work Stream 2 (WS2), which were incorporated into the ICANN Bylaws Section 27.1)

ACCOUNTABILITY INDICATORS (METRICS)

- ⊙ Implementation status of recommendations from prior Specific Reviews.
- ⊙ Metrics from Specific Reviews including attendance of review team members, costs associated with professional services and travel to attend face-to-face meetings, milestones, and community review team led milestones.
- ⊙ Compliance with mandatory ethics training for ICANN Board members and the ICANN organization, and the submission by the ICANN organization of required conflict-of-interest disclosure statements.
- ⊙ Compliance to post Board decision-making materials (agenda, resolutions, preliminary reports) within guidelines in Bylaws. Metrics also include data on redaction statistics.
- ⊙ Volume of Document Information Disclosure Policy (DIDP) requests that ICANN organization receives and its performance in responding to those requests within a 30-day period.
- ⊙ Compliance with Bylaws requirement to publish the annual audited financial statements on a timely basis.
- ⊙ Number of community comments and ICANN's responses to those comments on the annual Operating Plan and Budget process, including the number of comments by stakeholder group.
- ⊙ Timeliness of posting of Independent Review Process materials and reconsideration requests on icann.org, and the degree of compliance with the annual acknowledgment by the ICANN organization of the anonymous employee hotline policy.
- ⊙ Number of complaints handled by the Complaints Office.
- ⊙ GNSO's Expedited Policy Development Process Team reaches consensus on a policy to replace the Temporary Specification; policy recommendations are adopted by the GNSO Council and approved for implementation by the ICANN Board.
- ⊙ ICANN receives legal clarity from data protection authorities on a unified access model for access to non-public registration data.
- ⊙ Stakeholder community, Board, and ICANN organization reach agreement on a common framework for continued access to non-public registration data.

DEPENDENCIES

1. Agreement by stakeholder community, Board, and ICANN organization on a clear, actionable accountability and ethics framework.
2. Progress by community-led Specific Review teams relative to their adopted workplans
3. Prudent fiscal management by community-led Specific Review teams.
4. Ability of community-led Specific Review teams to issue recommendations that provide a clear view to the problem situation they aim to address and the desired outcome to be achieved through implementation.
5. Ability of the community and the ICANN organization to implement specific review recommendations within broader content of prioritized work and available resources
6. Timely adherence by ICANN organization staff and Board members to policies for conflicts of interest and ethics training.
7. Ability to reach consensus on a path forward to replace the Temporary Specification, including a unified access model for access to non-public registration data.
8. Legal clarity from data protection authorities to inform continued work relating to a possible unified access model.

PHASING

| FY18 | Planned | Status at End of FY18 |
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| | <ul style="list-style-type: none"> ⦿ Meet increased metrics developed in FY16-FY17 and show increase in acceptance and impact of Accountability and Ethical Framework ⦿ Streamline and recalibrate work for reviews, in consultation with the community ⦿ Coordinate operationalized output of CCWG-Accountability ⦿ Implement the recommendations from the first Specific Review on CCT ⦿ Conclude the second Specific Review on Security, Stability, and Resiliency and plan implementation ⦿ Conclude the second Specific Review on Registration Directory Services and plan implementation ⦿ Conclude the third Specific Review on Accountability and Transparency and plan implementation | <p>Accountability and Transparency Efforts:</p> <ul style="list-style-type: none"> ⦿ Expanded reporting within the Accountability Indicators dashboard as measured against targets ⦿ Approved CCWG-Accountability WS2 Final Report and sent for publication ⦿ Developed Fact Sheets for Specific Reviews, enhanced by input from community review team leaders and published on a quarterly basis ⦿ Streamlined and recalibrated work for reviews ⦿ Opened public comment forum on short-term options pertaining to specific reviews and addressed the current workload of the volunteer community and the impact on ICANN resources; comments received were limited in number, with support split across various options ⦿ Received scheduling feedback across ICANN reviews (Specific and Organizational) during Public Comment forum on long-term options, meeting ICANN's accountability and |

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| <ul style="list-style-type: none"> ⦿ Conclude organizational reviews of NomCom, commence Reviews of RSSAC, SSAC, and ccNSO and plan implementation ⦿ Evolve operating standards for reviews as a well-understood and accepted guide for conducting reviews | <p>transparency obligations in a more practical and sustainable manner; the long-term proposal garnered a number of comments, with general support for many of principles, but no clear agreement on how to implement improvement</p> <ul style="list-style-type: none"> ⦿ Specific Reviews: <ul style="list-style-type: none"> • CCT Review: CCT review team drafted Final Report • SSR2 Review: Paused in November 2017 and restarted-in June 2018 based on feedback from the SO/AC chairs • RDS-WHOIS2 Review: the review team progressed its work to finalize findings and adopt draft recommendations produced by subgroups. • ATRT3 Review: Pending community agreement on the timing of ATRT3, considering concerns about community bandwidth, and awaiting the selection of Review Team members by the SO/AC chairs • Completed public comment on first draft of Operating Standards ⦿ Organizational Reviews: <ul style="list-style-type: none"> • GNSO review: ongoing implementation of recommendations • At-Large review: completed; moved into implementation • NomCom review: completed; moved into implementation • ASO review: completed; moved into implementation • RSSAC review: draft final report published for public comment • SSAC review: started • ccNSO: Formed Review Working Party and initiated the procurement process to select an independent examiner |
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Strategic Initiatives Including GDPR

- ⦿ Temporary Specification for gTLD Registration Data adopted and continued engagement with community to develop consensus policy and a framework for access to non-public registration data
- ⦿ Revised on-line privacy policy, terms of service, cookies policy, and new gTLD Program Personal Data Privacy Statement posted on all ICANN-supported websites for both ICANN org and PTI
- ⦿ Developed and published new Notice of Applicant Privacy (relating to data processed for employment applications); to cover ICANN organization and PTI
- ⦿ Personnel Data Privacy Notice developed, distributed, and signed by all ICANN org and PTI personnel
- ⦿ Created data protection/privacy landing page for the preceding privacy policies and terms of service:
<https://www.icann.org/privacy>.
- ⦿ Placed links to new online Privacy Policy, Terms of Service, and Cookies Policy on every page of icann.org, the community Wiki, atlarge.icann.org, gac.icann.org, GAC Wiki, Naming Services portal, RADAR, iReg/Registration, whois.icann.org, Taleo applicant portal, iana.org, and pti.icann.org, with the goal of adding links on every page of the 38 ICANN supported websites
- ⦿ Deployed on the landing pages of the most visible/high traffic sites pop-ups/banners/hard coded text notifying users of the changes to privacy policies and terms of service
- ⦿ In process of placing acknowledgment or consent language to data processing practices and Terms of Service on every online fillable form and downloadable form across the 38 ICANN supported websites
- ⦿ Conducted organization-wide training webinar regarding data retention and deletion obligations under the GDPR;

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| | | <p>distributed related training materials were to ICANN org personnel</p> <ul style="list-style-type: none"> ⦿ Conducted ICANN org-wide training program on GDPR program ⦿ Developed new Acknowledgement of Obligation to Maintain Confidential Information signed by contractors of ICANN org and PTI |
| FY19 | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Meet increased metrics developed in FY16-FY18 and show increase in acceptance and impact of Accountability and Ethical Framework ⦿ Review streamlining and recalibration work in consultation with the community, including a Review Impact Assessment ⦿ Continue implementation of recommendations of Specific and Organizational Reviews, following project management best practices | <p>Intended Status at End of FY19</p> <p>Accountability and Transparency Efforts:</p> <ul style="list-style-type: none"> ⦿ Board received and took action on CCWG-Accountability WS2 Report and recommendations; began implementation planning ⦿ Published proposal "Consultation Paper on Next Steps on Reviews" to confirm way forward with the community, based on ICANN org's understanding of public comments, and in coordination with the ICANN Board ⦿ Published first Annual Review Implementation Report ⦿ Refined and enhanced information incorporated in the Fact Sheets ⦿ Implemented Board-approved recommendations from Specific Reviews, coordinated with relevant subject matter experts to produce a detailed feasibility assessment and phasing based on resources in line with ICANN's operating plan and budget cycles; coordinated regular reporting of implementation progress ⦿ Consultation with the Board and the community to inform next steps for review streamlining and recalibration ⦿ Specific Reviews: <ul style="list-style-type: none"> • CCT Review: review completed; final report submitted to the Board and Board took action; began implementation on Board-approved recommendations • SSR2 Review: the review team made progress towards their workplan, finalized their findings, and adopted draft recommendations for public comment • RDS-WHOIS2 Review: final report submitted to Board; final report |

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| | | <p>published for public comment and ICANN organization conducted analysis of final recommendations to inform Board action</p> <ul style="list-style-type: none"> • ATRT3 Review: Review Team convened and work underway • Posted and adopted Operating Standards <p>⊙ Organizational Reviews:</p> <ul style="list-style-type: none"> • At-Large review: began implementation of recommendations • NomCom review: Board acted on final report; implementation planning has begun • ASO review: ongoing implementation of recommendations • RSSAC review: ongoing implementation of recommendations • SSAC review: concluded and implementation planning has begun • ccNSO review: concluded and implementation planning has begun <p>Strategic Initiatives including GDPR:</p> <ul style="list-style-type: none"> ⊙ Achieved stakeholder community consensus on a policy to replace the Temporary Specification for gTLD Registration Data ⊙ Stakeholder community, ICANN Board, and ICANN org developed a common framework for access to non-public registration data that diminishes the legal risks for ICANN’s contracted parties ⊙ Developed a new Procedures and Protocols for a Breach Incident (internal data privacy track) ⊙ Developed a new ICANN org Data Retention Policy ⊙ Updated and reviewed ICANN org Records of Processing ⊙ Updated, reviewed, and signed ICANN org Data Processing Amendments to vendor agreements |
| FY20 | <ul style="list-style-type: none"> ⊙ Reach five-year goals for acceptance and impact on organization set out in the Accountability and Ethical Framework ⊙ Continue assessment and implementation planning associated with the Board-adopted Cross Community Working Group – Accountability (WS2) Final Report recommendations to enhance ICANN’s accountability and transparency ⊙ Review Streamlining and Recalibration work in consultation with the community | |

- ⦿ Continue implementation of recommendations of specific and organizational reviews, following project management best practices
- ⦿ Continue monitoring and coordinating cross-departmental efforts related to data protection/privacy issues

Strategic Goal 5.3: Empower Current and New Stakeholders to Fully Participate in ICANN Activities

FY20 PORTFOLIOS

1. Supporting Public Interest Initiatives
2. Supporting Stakeholder Participation (shared with 1.2)

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Diverse representation in programs to support community participation by region, gender and language

DEPENDENCIES

1. Community support for and participation in public responsibility activities
2. Cross-departmental collaboration to enhance the provision of capacity development activities
3. Reliance on existing tools and platforms to respond to community demand in a timely fashion
4. Gains from training ICANN org departments to deliver capacity development programs at regional level

PHASING

| FY18 | Planned | Status at End of FY18 |
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| | <ul style="list-style-type: none"> ⦿ Continue improvement of access, knowledge, and capability of target audiences | <ul style="list-style-type: none"> ⦿ Published survey report on gender diversity and participation at ICANN, offered insights into the community's support for initiatives to enhance gender diversity ⦿ Continued to engage in cross-community discussions to explore public interest within ICANN's scope ⦿ Selected independent third-party to conduct an internal Human Rights Impact Assessment of ICANN's organizational operations ⦿ Successfully deployed new e-learning platform to enhance features on ICANN Learn ⦿ Increased availability of courses and content in multiple languages on ICANN |

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| | | <p>Learn and as part of the ICANN History Project</p> <ul style="list-style-type: none"> ⦿ Participated in 2018 Leadership Program (across the ICANN community) ⦿ Conducted broad public consultation to define a vision for the future of the Fellowship Program ⦿ Developed community onboarding materials as part of the Community Onboarding Pilot Program to help facilitate newcomer integration into the ICANN community structure ⦿ Delivered a training series for ICANN org staff by OCTO for Global Stakeholder Engagement and other ICANN departments in Los Angeles and Istanbul |
| <p>FY19</p> | <p>Planned</p> <ul style="list-style-type: none"> ⦿ Continue improvement of increased access, knowledge, and capability of target audiences | <p>Intended Status at End of FY19</p> <ul style="list-style-type: none"> ⦿ Published first Human Rights Impact Assessment (HRIA) of ICANN's organizational operations ⦿ Conducted two broad community surveys and publish reports on diversity and inclusion at ICANN ⦿ Launched ICANN's Diversity Dashboard ⦿ Continued to engage in cross-community discussions on exploring the public interest within ICANN's remit ⦿ Continued to increase availability of courses and content in multiple languages on ICANN Learn and as part of the ICANN History Project ⦿ Participants from across the ICANN community attended in the 2018 Leadership Program ⦿ Effectively managed ICANN Fellowship Program, NextGen@ICANN Program, and Newcomer Program ⦿ Improved processes and systems of Fellowship Program based on community input |

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| | | <ul style="list-style-type: none"> ⦿ Developed and published new content for Newcomers / Stakeholder Journey webpages ⦿ Consolidated reporting on capacity development programs in ICANN org |
| FY20 | <ul style="list-style-type: none"> ⦿ Assess overall efforts and their effect on target audiences and plan for evolving community needs ⦿ Support education by increasing availability of capacity development, content, and opportunities for ICANN community members; improve tools and information for ICANN org staff to deliver capacity-development programs ⦿ Support stakeholder participation through effective management of ICANN Fellowship Program, NextGen@ICANN Program, and Newcomer Program ⦿ Support public interest initiatives by continuing to engage in cross-community discussions that explore the public interest within ICANN's scope, as appropriate | |

5 A Financial Management Strategy

5.1 Introduction

The five-year financial management strategy provides a long-term perspective on ICANN org's high-level financial management trends. It is a forward-looking perspective based on strategic assumptions.

The benefit of evaluating the five-year financial management strategy is to raise strategic questions, suggest possible trends, and to provide a management tool to plan the financial impact of organizational activities. As events and activities unfold, adjustments may be necessary and will naturally affect the five-year financial management strategy.

The financial management strategy is not:

- ⊙ The result of a detailed budget-like exercise
- ⊙ A public position statement
- ⊙ Fixed for an extended time period

5.2 Principles

The five-year financial management strategy includes the following key principles:

- ⊙ Reflect a conservative approach
- ⊙ Plan based on ICANN org having a balanced cash flow (incoming funds should equal or exceed outgoing funds)
- ⊙ Plan based on of a level of outgoing funds that reflect the cost of resources required to achieve the Strategic and Operating Plans
- ⊙ Include an assumption to maintain the appropriate level of cash reserve
- ⊙ Include revenue and expense in line with the Strategic and Operating Plans assumptions
- ⊙ Include consideration of risks and opportunities against a baseline trend
- ⊙ Be sensitive to fluctuations (for example, scenarios, high, mid, low)
- ⊙ Define aggregates (envelopes), not itemized components