

Document 5:

Internet Corporation for Assigned Names and Numbers (ICANN) Draft Five-Year Operating Plan Update - FY19

19 January 2018



DRAFT ICANN FY19 PLANNING DOCUMENTS

This is part of a series of documents that together form the ICANN annual update to the fiscal Operating Plan and Budget.

You are currently reading the document highlighted in light blue in the table below.

Document Number	Document Name	Description of Contents
1	FY19 Budget Introduction & Highlights	Overview of the key elements of the draft FY19 plans
2	FY19 Total ICANN Budget	High-level review of the draft FY19 budget
3	FY19 Key Projects & Activities	Information on key cross-functional projects and activities planned for FY19
4	FY19 Operating Plan	Section 1: Summary of 6 modules of work planned for FY19 Section 2: Breakdown of the operating plan with the budget by strategic goal
5	FY19 Five-Year Operating Plan Update	High-level five-year perspective on the operations ICANN undertakes to implement its strategic plan
6	FY19 Excel Spreadsheet	Detailed breakdown of the budget for each project

To get the most out of this document series, please make sure you first read the Introduction and Highlights document. Then, each document is standalone and can be reviewed separately in no specific order, dependent on your interest.

TABLE OF CONTENTS

1 INTRODUCTION	4
2 PLANNING STRUCTURE	5
3 COMMUNITY ROLES AND RESPONSIBILITIES	6
4 ICANN OPERATING PLAN – STRATEGIC GOAL LEVEL	7
Strategic Goal 1.1: Further Globalize and Regionalize ICANN Functions	9
Strategic Goal 1.2: Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders	11
Strategic Goal 1.3: Evolve Policy Development and Governance Processes, Structures and Meetings to be More Accountable, Inclusive, Efficient, Effective and Responsive	13
Strategic Goal 2.1: Foster and Coordinate a Healthy, Secure, Stable and Resilient Identifier Ecosystem	17
Strategic Goal 2.2: Proactively Plan for Changes in the Use of Unique Identifiers and Develop Technology Roadmaps to Help Guide ICANN Activities	22
Strategic Goal 2.3: Support the Evolution of the Domain Name Marketplace to be Robust, Stable and Trusted	25
Strategic Goal 3.1: Ensure ICANN's Long-Term Financial Accountability, Stability and Sustainability	28
Strategic Goal 3.2: Ensure Structured Coordination of ICANN's Technical Resources	31
Strategic Goal 3.3: Develop a Globally Diverse Culture of Knowledge and Expertise Available to ICANN's Board, Organization and Stakeholders	33
Strategic Goal 4.1: Encourage Engagement with the Existing Internet Governance Ecosystem at National, Regional and Global Levels	36
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	38
Strategic Goal 4.3: Participate in the Evolution of a Global, Trusted, Inclusive Multistakeholder Internet Governance Ecosystem that Addresses Internet Issues	40
Strategic Goal 4.4: Promote Role Clarity and Establish Mechanisms to Increase Trust Within the Ecosystem Rooted in the Public Interest	43
Strategic Goal 5.1: Act as a Steward of the Public Interest	45
Strategic Goal 5.2: Promote Ethics, Transparency and Accountability across the ICANN community	46
Strategic Goal 5.3: Empower Current and New Stakeholders to Fully Participate in ICANN Activities	51
5 A FINANCIAL MANAGEMENT STRATEGY	53
5.1 Introduction	53
5.2 Principles	53

1 Introduction

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

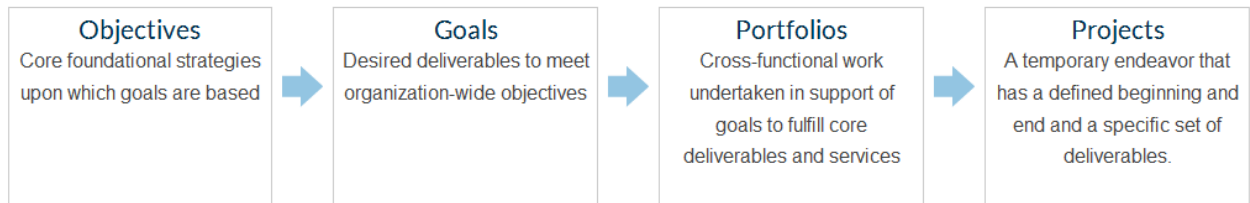
1.	Five-Year Strategic Plan FY16-FY20	To be updated every five years or earlier if appropriate. It includes: <ul style="list-style-type: none">⦿ Vision and mission⦿ Strategic objectives⦿ Goals⦿ Key success factors⦿ Strategic risks ICANN's Board adopted the current Strategic Plan on 16 October 2014.
2.	Five-Year Operating Plan FY16-FY20	To be updated each year. It includes: <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 This is the third update to the Five-Year Operating Plan. ICANN's Board adopted the initial version of the Plan on 28 April 2015.
3.	Fiscal-Year Operating Plan and Budget	Developed from the ICANN Five-Year Operating Plan and structured community input. It includes portfolios of activities that support the achievement of the goals and objectives with corresponding key performance indicators, dependencies, budgets, and projects.

ICANN org acknowledges that stakeholder bandwidth and support remains a key dependency to meeting the goals outlined in this plan.

2 Planning Structure

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

The diagram below shows the hierarchical structure for ICANN's [Portfolio Management System](#), which turns the strategic plan into operational reality.



ICANN portfolios and projects are planned cross-functionally, which means that work in one goal often supports work in another goal.

ICANN Accountability Indicators (Metrics), previously called Key Performance Indicators (KPIs), are reviewed and refined systematically to make sure that they remain useful measures of our success. They typically start with one of the following:

- \$ = Value of
- # = Number of
- % = Percentage of

The [ICANN online glossary](#) defines all 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.

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 third 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:

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

In each goal section, a status update box has been added to note the work completed and planned to be accomplished during the 2019 fiscal year (FY19).

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 FY19 are described in the fiscal year Operating Plan.

The [Accountability Indicators](#) was launched as a replacement for the KPI Dashboard early in FY18. ICANN is now focusing on measuring the ICANN organization’s (ICANN org’s) accountability to the community. ICANN org has redesigned many measurements and is redesigning others while this document is being consulted on. We encourage you to look at the Accountability Indicators.

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

This section below provides a high-level overview of changes from the second annual Five-Year Operating Plan Update (being conducted as part of the FY18 Operating Plan and Budget planning process) to the third annual Five-Year Operating Plan Update (being conducted as part of the FY19 Operating Plan and Budget planning process).

Goal Number	Change Type	Change Summary
All	Dependencies	Availability of appropriate resources, including community bandwidth, is a dependency for all ICANN’s work
All	Portfolios	The document has been updated with the FY19 portfolios which may have new labels and new numbers
All	Phasing	The phasing of what has been completed during FY17 and expected for FY18 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 Further globalize and regionalize ICANN functions
- 1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with 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 help 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 supporting 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: Further Globalize and Regionalize ICANN Functions

FY19 PORTFOLIOS

1. Language Services
2. Raising Stakeholder Awareness of ICANN Worldwide

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ # of remote participation session hours and number of remote participants at ICANN meetings
- ⦿ % of sessions with live interpretation at ICANN Public meetings

DEPENDENCIES

1. Stakeholder demand and participation, and specific dependencies for projects such as the Information Transparency Initiative (ITI) or ICANN meetings

PHASING

FY17	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Examine how hubs and engagement offices are supporting ICANN globalization ⦿ Conduct gap analysis of stakeholders in the regions ⦿ Conduct review of engagement activities against the ICANN mission 	<p>Status at the end of FY17</p> <ul style="list-style-type: none"> ⦿ Completed review of ICANN regional offices and delivery of services to the community, and rolled out International Office Strategy ⦿ Completed gap analysis of stakeholders in the regions and started mapping exercises ⦿ Conducted organizational-wide review of engagement activities against the ICANN mission
FY18	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Conduct mapping of community to regional engagement ⦿ Implement recommendations resulting from examination of ICANN regional offices in support of ICANN globalization ⦿ Begin work on ITI, which is a multiyear project to improve content governance and access on ICANN.org 	<p>Intended Status at the end of FY18</p> <ul style="list-style-type: none"> ⦿ Conduct mapping of community to regional engagement ⦿ Implement recommendations resulting from examination of ICANN regional offices in support of ICANN globalization ⦿ Complete content audit and tagging for the ITI ⦿ Ongoing communications in the six United Nations (U.N.) languages to raise awareness

	<ul style="list-style-type: none"> ⦿ Ongoing communications in the six United Nations (U.N.) languages to raise awareness of ICANN worldwide, including social media/content, newsletters, crisis planning, Quarterly Stakeholder Updates and more 	<ul style="list-style-type: none"> of ICANN worldwide, including social media/content, newsletters, crisis planning, Quarterly Stakeholder Updates and more ⦿ Identification and publication of new accountability indicators and metrics
FY19	<ul style="list-style-type: none"> ⦿ Implement a more streamlined data driven decision making process in regional planning and implementation of international regional office strategies by using identified accountability indicators and leveraging the Global Stakeholder Engagement (GSE) measurement and planning function ⦿ Implement improvements for GSE based on community mapping conducted in FY18 ⦿ Continue implementing ITI ⦿ Ongoing communications 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 ⦿ Quarterly Stakeholder Updates 	
FY20	<ul style="list-style-type: none"> ⦿ Implement improvements on review of GSE web, stakeholder relationship management tools from 2019 ⦿ Ongoing communications 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 ⦿ Quarterly Stakeholder Updates 	

Strategic Goal 1.2: Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders

FY19 PORTFOLIOS

1. Meeting Services
2. Engage Stakeholders Regionally

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Global/regional engagement activities to show a balanced and proactive approach to regional engagement

DEPENDENCIES

1. Tools and community/org buy-in on measurement of participation at differing levels

PHASING

FY17	Planned	Status at the end of FY17
	<ul style="list-style-type: none"> ⦿ Examine # of community participants in ICANN programs to enable measurement of the stakeholder journey ⦿ Complete first cycle of regional work plans with scalable metrics, goals and deliverables 	<ul style="list-style-type: none"> ⦿ Continue working with the community and internally on data collection mechanisms and reporting ⦿ FY17 regional work plans have run their full lifecycle by the end of FY17
FY18	Planned	Intended Status at the end of FY18
	<ul style="list-style-type: none"> ⦿ Conduct initial mapping of stakeholder journey to enhance regional engagement ⦿ Review effectiveness of ICANN web tools for supporting globalization and regionalization for community 	<ul style="list-style-type: none"> ⦿ Identify and publish new accountability indicators ⦿ Identify common high-level journey elements (identify common entry points and common barriers to participation) ⦿ Identify mechanisms for measurement of and identification of other journey elements (community participation, engagement levels and stakeholder group gaps)
FY19	<ul style="list-style-type: none"> ⦿ Identify and implement mechanisms to measure participation levels in a consistent way ⦿ Measure and map common entry points and barriers to participation to enhance the stakeholder experience 	

	<ul style="list-style-type: none">⦿ Map regional engagement to lower barriers and enhance stakeholder experience and meaningful participation across sectors and regions
FY20	<ul style="list-style-type: none">⦿ Begin mapping all regional engagement to all identified stakeholder journeys to enhance individual stakeholder experiences⦿ Enhanced stakeholder experiences from end-to-end across all sectors and regions⦿ Meaningful participation from stakeholders at multiple levels of engagement from all sectors and regions⦿ Reduced barriers to participation

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)

- ⊙ Increased representation and participation in the policy development and governance processes
- ⊙ Increased “quantity of activity” index (e.g., tracking of Supporting Organization/Advisory Committee (SO/AC) policy projects and status, teleconferences and email collaboration, etc.)
- ⊙ Increased “quantity of productivity” index (e.g., tracking of 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 impact policy development workload and work progress. This will require further engagement between ICANN org and the community to refine the intended deliverables and perhaps determine the development of shared metrics in future policy development activities.

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

Successful tool development depends on availability of OCS resources.

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

PHASING

FY17	Planned <ul style="list-style-type: none"> ⦿ Complete assessment of language services capabilities for proficiency, accuracy, consistency and reliability ⦿ Review ICANN's Language Services Policy ⦿ Conduct final SO/AC special request process ⦿ Assess effectiveness and value of telecomm vendors ⦿ Assess implementation of relevant accountability provisions resulting from final plans to transition stewardship of the Internet Assigned Numbers Authority (IANA) functions ⦿ Begin multiyear planning for At-Large general assemblies and summits 	Status at the end of FY17 <ul style="list-style-type: none"> ⦿ Language services continued to be expanded in various ways in FY17 <p>A complete assessment was not completed in FY17 but will be initiated in the future. Due to the priority focus on the community services inventory effort in FY17, a comprehensive assessment of the current language services policy was not completed.</p> ⦿ The special request budget process was conducted again in FY17 <p>Plans have not been finalized to phase out the program at this time and a decision will be made in FY18 whether to continue the program for FY19.</p> ⦿ Remote participation capabilities are critical to effective community work. ICANN org teams continue to collaborate on maximizing the effectiveness and capabilities of the organization's telecomm vendors to achieve the best value and results for each community. This is an ongoing effort <p>Due to the timing of the accountability work currently being conducted by the community, an implementation assessment at this time would be premature. This effort is likely to begin this year as planned.</p>
	FY18	Planned <ul style="list-style-type: none"> ⦿ Complete a comprehensive assessment of delivery of all resources and capabilities that are provided to the stakeholders (every two years) ⦿ Analyze, evaluate and plan for how to balance resource

abilities and capabilities among stakeholders (every two years)

- ⦿ Assess progress towards five-year goal – toward wide use of improved tools and mechanisms for global participation and representation, including the use of remote participation to engage stakeholders from emerging regions
- ⦿ Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work
- ⦿ Support one or more At-Large general assemblies
- ⦿ Conduct final SO/AC special request process (likely continuing for FY18 and FY19)
- ⦿ Assess effectiveness and value of telecomm vendors
- ⦿ Initiate Third Accountability and Transparency Review Team (ATRT3)

updates to the ICANN Travel Guidelines.

- ⦿ The last three years have seen substantial improvement in the availability and breadth-of-use of a variety of participation tools at ICANN

For example:

- ⦿ Adobe Connect rooms are now in use by all communities
- ⦿ Live interpretation is now available on many community calls
- ⦿ Live captioning capabilities are being explored for community calls
- ⦿ Video feeds are provided in Adobe Connect rooms for face-to-face community meetings
- ⦿ While several community reviews have taken longer than anticipated:
 - ⦿ Progress on implementation of the Generic Names Supporting Organization (GNSO) review recommendations should be realized by the end of the fiscal year
 - ⦿ Implementation efforts for the ALAC review recommendations should be under way by the end of FY18.
- ⦿ Over the past two years, assemblies have been held for:
 - ⦿ African Regional At-Large Organization (AFRALO): FY17
 - ⦿ North American Regional At-Large Organization (NARALO): FY17
 - ⦿ The 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
- ⦿ The community additional budget request process was conducted again in FY18

	<ul style="list-style-type: none"> ⦿ Throughout FY18, ICANN org has been carefully monitoring the use and capabilities of all three major ICANN telecomm vendors ⦿ By the end of FY18, the members of the ATRT3 team will likely have been selected by SO/AC leaders
FY19	<ul style="list-style-type: none"> ⦿ Analyze, evaluate and plan for how to balance resource abilities and capabilities among stakeholders (every two years) ⦿ Assess progress toward 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 from emerging regions
FY20	<ul style="list-style-type: none"> ⦿ Stakeholders and ICANN org use improved tools and mechanisms for global participation and representation to collaborate <p>This includes the use of remote participation to engage stakeholders from emerging regions.</p> <ul style="list-style-type: none"> ⦿ Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work ⦿ Support an At-Large Summit

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

FY19 PORTFOLIOS

1. Registration Data Services (WHOIS)
2. Global Domains Division (GDD) Strategic Programs
3. Public Technical Identifiers (PTI) Operations
4. PTI Technical System Enhancements
5. Global Domains Division (GDD) Operations

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ % of Service Level Targets (SLAs) met across multiple departments including but not limited to IANA, GDD Operations and Global Customer Support departments

DEPENDENCIES

1. IT department support

PHASING

FY17	Planned	Status at the End of FY17
	<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	<ul style="list-style-type: none">⦿ GDD has consistently delivered services to the ICANN community at or above published service level targets⦿ GDD continued to monitor and manage service delivery to identify areas for improvement and implemented various process enhancements for improved service delivery⦿ GDD implemented operational improvements to enhance efficiency and customer satisfaction scores improved by over 3% for the year⦿ Multiple enhancements were implemented to support operational effectiveness including:<ul style="list-style-type: none">⦿ Registry services v1 planning completed⦿ Centralized Zone Data Service (CZDS) 2.0 planning completed⦿ PTI Operations:

		<ul style="list-style-type: none"> ○ Established ongoing operations of PTI including incorporation of PTI, execution of contracts between ICANN and PTI for the delivery of the IANA services and updates to IANA services processes, procedures and systems to reflect the conclusion of the National Telecommunications and Information Administration (NTIA) IANA contract ○ Implemented and deployed real-time customer facing performance dashboard ○ PTI Technical System enhancements: <ul style="list-style-type: none"> ○ Key Roll of Root Zone Key Signing Key (KSK) deferred for further study ○ Enhanced physical security features of the Key Management Facility ○ Implemented recommendations by Framework of Interpretation Working Group ○ Registration Directory Services (WHOIS): <ul style="list-style-type: none"> ○ Led and supported RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders ○ Completed implementation of the 2012 WHOIS Review Team's recommendations ○ Launched Registration Data Access Protocol (RDAP) pilot ○ Published WHOIS Data Accuracy Report
FY18	Planned	Intended Status at the end of FY18

- Deliver services to the ICANN community according to service level targets
- Monitor and manage service delivery against targets;

- GDD has:
- Consistently delivered services to the ICANN community at or above published service level 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:
 - ⊙ Registry services automation launched and in production
 - ⊙ Registrar services and Compliance in beta.
 - ⊙ CZDS improvements launched and in production
 - ⊙ Develop Technical Compliance Monitoring system
 - ⊙ Incremental SLA monitoring system enhancement
 - ⊙ First phase of redesign and implementation of the Protocol Parameter Registry Workflow System (multiyear project)
 - ⊙ Modernization and enhancements of the IANA website
 - ⊙ Enhancements to Root Zone Management System (RZMS)
 - ⊙ Continue to lead and support RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
 - ⊙ Initiate the next review of the effectiveness of the procedures to address WHOIS conflicts with privacy laws
 - ⊙ Support the work of the RDS Policy Development Process (PDP) Working
 - ⊙ Continued to monitor and manage service delivery to identify areas for improvement and implemented various process enhancements for improved service delivery
 - ⊙ Implemented operational improvements to enhance efficiency and customer satisfaction scores improved by over 3% for the year
 - ⊙ Implemented the following system enhancements for operational efficiency:
 - ⊙ Registry services were launched
 - ⊙ Registrar services v1 was launched
 - ⊙ CZDS 2.0 was launched
 - ⊙ Issued Request for Proposals (RFP) for a Technical Compliance Monitoring system
 - ⊙ Incremental SLA monitoring system enhancements
- In addition:
- ⊙ First phase (data model) of the Protocol Parameter Registry Workflow System will be completed by the end of FY18
 - ⊙ The migration of the content of IANA website will have been completed to a more modern architecture by the end of FY18
 - ⊙ In collaboration with Verisign, development has been completed to automate processing of the last two request types that previously had been manually processed
- Design for new API to RZMS will have been defined and implementation will have begun.
- ⊙ RDS (WHOIS):
 - ⊙ Lead and support RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders
 - ⊙ Publish WHOIS Data Accuracy Report

	<p>Group (WG) and RDS Review Team</p> <ul style="list-style-type: none"> ○ Continue implementation work on various RDS (WHOIS) related policies and requirements ○ Complete analysis of the impact of root zone KSK key rollover on resolvers and determine date for root zone KSK key rollover
FY19	<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"> ○ Offer mobile friendly GDD services ○ Implement other desired system enhancements as defined by registries and registrars ○ Improvements to technical compliance and SLA monitoring systems ○ Registry reporting interfaces and other legacy system enhancements to increase functionality ○ Continuation of project for the Registry Workflow System (multiyear project) ○ Development of RZMS v3 - multi-phase and multiyear project (PTI) ○ 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 the RDS PDP WG and RDS Review Team ○ Continue implementation work on various RDS (WHOIS) related policies and requirements ○ Begin Customer Standing Committee (CSC) Effectiveness and IANA Naming Function reviews 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 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"> ○ 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 (PTI)
 - ⦿ Continue to lead and support Registration Directory Services (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
 - ⦿ Support the work of RDS PDP WG and RDS Review Team
 - ⦿ Continue implementation work on various Registration Directory Services (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

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

- ⊙ Identifier Technologies Health Index 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. 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

FY17	Planned <ul style="list-style-type: none"> ⦿ Additional technology roadmaps approved by community ⦿ At least five identifier technology-related white papers are published ⦿ Demonstrate growth in ratios in developing regions 	Status at the end of FY17 <ul style="list-style-type: none"> ⦿ Root KSK roll project plans developed and published, and the roll was publicized to the technical community at many events ⦿ Domain Name System (DNS) traffic analysis environment deployed with one petabyte of storage ⦿ Small Office/Home Office (SOHO) middlebox lab expanded, allowing testing the impact of these devices on network traffic, particularly DNS traffic ⦿ Open Data Initiative project kicked off and multi-vendor pilot started ⦿ Internet Technologies Health Indicators (ITHI) project underway with health indicator metrics under development ⦿ Significant standards development activity through Internet Engineering Task Force (IETF) participation, including publishing two Requests for Comments (RFCs) and many Internet-Drafts
FY18	Planned <ul style="list-style-type: none"> ⦿ Implementation of year one of technology roadmaps done ⦿ At least two more identifier technology-related white papers are published ⦿ Demonstrate growth in ratios in developing regions 	Intended Status at the end of FY18 <ul style="list-style-type: none"> ⦿ Working with the community to ensure a secured KSK rollover ⦿ We have conducted and analyzed measurements of DNS traffic which has confirmed an issue with resolvers that are not properly picking the new Key Signing Key (KSK) <p>This DNS resolver behavior led to the decision to postpone the signing of a new KSK.</p> <ul style="list-style-type: none"> ⦿ Digital Object Architecture (DOA) white paper has been finalized and will be published soon ⦿ We have begun work on understanding the underlying issue that DOA addresses and are investigating how the current identifier system may accommodate such need ⦿ Research has begun on blockchain's impact on identifiers and their management. A white paper to be published before the end of the current FY

	<ul style="list-style-type: none"> ⦿ Ongoing consultations with the community regarding Identifier Technology Health Indicators (ITHI) data publication ⦿ Completion of infrastructure set-up to measure authoritative server behavior (middlebox DNS behavior) ⦿ First phase of research on registries/registrars IPv6 compliance is completed, second phase underway and expect to publish report before the end of FY18 ⦿ Security and DNS abuse awareness capacity building has continued around the world with more than 25 events to be conducted by the end of FY18 ⦿ Launched the DNS abuse scoreboard through the Domain Abuse Activity Reporting (DAAR) project ⦿ Working with Internet Protocol Journal and United States Telecommunications Training Institute (USTTI), we continue to strengthen and streamline our 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>Work is underway to streamline content and improve access.</p>
FY19	<ul style="list-style-type: none"> ⦿ Update the technology roadmaps, including the architecture of the L-Root server ⦿ Continue research into the Internet's system of unique identifiers coordinated by ICANN, including a focus on emerging identifiers, to track developing trends ⦿ Continue participation in the IETF to help guide the development of both existing and emerging identifier technology standards ⦿ Publish at least two white papers on identifier technology
FY20	<ul style="list-style-type: none"> ⦿ Update the technology roadmaps, including the architecture of the L-Root server ⦿ Continue research into the Internet's system of unique identifiers coordinated by ICANN, including a focus on emerging identifiers, to track developing trend ⦿ Continue participation in the IETF to help guide the development of both existing and emerging identifier technology standards ⦿ Publish at least two white papers on identifier technology

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

FY19 PORTFOLIOS

1. GDD Technical Services
2. New Generic Top-Level Domain (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 Health Index

DEPENDENCIES

1. IT resources availability and prioritization

PHASING

FY17	Planned	Status at the end of FY17
	<p>We will continue to support the development of a robust, stable and trusted domain marketplace by:</p> <ul style="list-style-type: none">⦿ Ongoing development and monitoring of the Domain Name Marketplace Health Index⦿ Improving customer satisfaction by reducing survey gap by at least 10% year over year⦿ Showing stable healthy year over year growth in the domain name industry⦿ Finishing the current round of the New gTLD Program and a committed plan toward the start of a subsequent round year over year	<ul style="list-style-type: none">⦿ Domain Name Marketplace Indicators initiative:<ul style="list-style-type: none">⦿ Iteration of beta report released in December 2016 and subsequent updates published bi-annually⦿ The community advisory panel support helped the identification of revised indicators and an RFP was drafted to be issued in early FY18⦿ Evaluation and acquisition of relevant datasets, tapping into both internal and external sources. Publication schedule, report format and data coverage of version 1 report will be contingent on data acquisition⦿ A satisfaction survey of contracted parties was conducted and the results tabulated and published.<ul style="list-style-type: none">⦿ A subsequent survey is planned for later in FY18 to help track

	<ul style="list-style-type: none"> ⦿ Concluding policy work on WHOIS improvements and the Next Generation RDS ⦿ Developing implementation plans for new WHOIS policies or Next Generation Registration Directory Services as appropriate 	<p>improvements based on the feedback received from the survey</p> <ul style="list-style-type: none"> ⦿ ICANN org is working with an advisory group to determine the appropriate metrics and indicators for tracking the health of the domain name marketplace <p>We have engaged in a process to identify a market research firm to assist in this undertaking.</p> <ul style="list-style-type: none"> ⦿ At the end of FY17, the New gTLD Program was more than 95% complete with 103 applications remaining ⦿ WHOIS/RDS portfolio moved to Goal 2.1 <p>Additional Items completed as of FY17:</p> <ul style="list-style-type: none"> ⦿ Activities related to new portfolio, Registrant Services: <ul style="list-style-type: none"> ⦿ Defined activities and plan to better inform, educate, service and support registrants ⦿ Defined activities, work plan, key success factors and metrics
FY18	Planned	Intended Status at the end of FY18
	<ul style="list-style-type: none"> ⦿ Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: <ul style="list-style-type: none"> ⦿ Evaluate expansion of the initial report version's data coverage, format and release schedule by continuing to evaluate and acquire relevant datasets that can present indicators suggested by the Advisory Group ⦿ Collaborate with the Advisory Group for 	<ul style="list-style-type: none"> ⦿ A detailed RFP has been drafted and published to identify and retain domain name marketplace expertise to help define the expanded criteria and datasets for a more accurate illustration of marketplace health indicators <ul style="list-style-type: none"> ⦿ The marketing firm will be in place by the end of FY2018 ⦿ ICANN will be working with the advisory group and a market research firm to determine and publish the appropriate metrics and indicators for tracking the status of the health of the domain name marketplace ⦿ Activities related to new portfolio, Registrant Services:

	<p>inputs on the direction of the Version 1 report</p> <ul style="list-style-type: none"> ⦿ Show stable healthy year over year growth in the domain name industry ⦿ Continue to execute activities to better inform, educate, service and support registrants 	<ul style="list-style-type: none"> ⦿ Create landing page on icann.org for registrants ⦿ Update or create new educational materials for registrants ⦿ Adapt registrant educational materials for registrars' use ⦿ Publish data and metrics on registrant services
FY19	<ul style="list-style-type: none"> ⦿ Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: <ul style="list-style-type: none"> ⦿ Continue to fine-tune the report's coverage, format and release schedule, based on inputs received from the advisory group and the market research firm ⦿ Show stable healthy year over year growth in the domain name industry ⦿ Drive completion of the New gTLD Program to 98% ⦿ Implement policy recommendations related to subsequent procedures for new gTLDs ⦿ Continue to execute activities to better inform, educate, service and support 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
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
- ⦿ % project completion indices (with emphasis on major projects)
- ⦿ % turnover compared to market benchmark
- ⦿ % comparisons of actual to target enterprise risk management roadmap achievements

- ⦿ Security Operations

Seven core tracks are monitored:

- ⦿ Event Security Program (ESP)
- ⦿ Travel Security Program (TSP)
- ⦿ Security Intelligence Program (SIP)
- ⦿ Response Planning Program (RPP)
- ⦿ Global Physical Security Program (GPSP)
- ⦿ Internal Threat Management Program (ITMP)
- ⦿ Knowledge Management Program (KMP)

- ⦿ 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. 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

PHASING

FY17	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Achieve financial roadmap targets ⦿ Review operational processes and implement improvements ⦿ Modify roadmap as needed 	<p>Status at the end of FY17</p> <ul style="list-style-type: none"> ⦿ Met the financial roadmap targets ⦿ Made improvements to our operational processes: <ul style="list-style-type: none"> ⦿ Implemented integrated workflows across our Enterprise Resource Planning system <p>This new system replaced multiple legacy systems, simplifies processes, and is designed to deliver efficient and integrated Finance and Procurement functions.</p> ⦿ Measured and managed risk for the ICANN organization
FY18	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Continue to improve and achieve elevated target performance levels as per roadmap ⦿ Develop long term financial planning processes allowing for alignment on strategic priorities and effective use of ICANN's resources ⦿ Stabilize security operations to ensure continued and effective safeguard of ICANN's resources ⦿ Continue improvement of risk management through continued progress in the implementation of the risk management framework 	<p>Intended Status at the end of FY18</p> <ul style="list-style-type: none"> ⦿ Confirmed Reserve Fund target and initiated a process for replenishment ⦿ Implemented long term financial planning process and initiated the development of the next 5-year strategic plan ⦿ Continued timeliness of planning process as per established calendar ⦿ Continued compliance with financial responsibility principle to maintain a balanced budget ⦿ Completed milestones of risk management roadmap ⦿ Initiated a project of evaluation and improvements of internal controls
FY19	<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 	

FY20

- ⦿ Complete roadmap as planned
- ⦿ 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

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ % of global IT infrastructure uptime

Scaling from 99.9% in FY 2016 to 99.999 % in 2020 for ICANN community engagement and information web services.

DEPENDENCIES

None

PHASING

FY17	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Measure and record a baseline for IT Services up-time by tier ⦿ Reflective of Post-Transition IANA, measure and record a new baseline of capabilities and costs for IANA functions year over year ⦿ Report on metric for on-time, on-budget IT projects delivery 	<p>Status at end of FY17</p> <ul style="list-style-type: none"> ⦿ All 85+ business services have baseline monitoring data from eight geographic locations ⦿ History of IANA support has been developed; IANA service consumption and charge back algorithm being devised ⦿ Monthly metrics for IT services are all posted internally Status of major community-supporting projects is posted to ICANN.org for consumption
FY18	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Drive IT Services up-time for Tier 1 towards 99.99% availability ⦿ Measure and compare metric for the IANA services against baseline 	<p>Intended status at end of FY18</p> <ul style="list-style-type: none"> ⦿ Monthly report of 30-day, 90-day and 365-day rolling availability metrics ⦿ Report discrepancies from 99.99% uptime for Tier 1 services to Engineering

	<p>for year over year improvement</p> <ul style="list-style-type: none"> ⦿ Report on metric for on-time, on-budget IT projects delivery, driving to improvement year over year on performance <p>and Information Technology (E&IT) management along with root cause</p> <ul style="list-style-type: none"> ⦿ Assign high level corrective actions to appropriate E&IT team and obtain completion timeline ⦿ Track availability corrections to completion <ul style="list-style-type: none"> ⦿ Monthly report of IT infrastructure projects that facilitate our desired highly available services to effect on-time and on-budget delivery
<p>FY19</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 metric for the IANA services against baseline for year over year improvement ⦿ Report on metric for on-time, on-budget IT projects delivery, driving to improvement year over year on performance
<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 metric for the IANA services against baseline for year over year improvement ⦿ Report on metric for on-time, on-budget IT project delivery, driving to improvement year over year on performance

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

FY19 PORTFOLIOS

1. People Management
2. Global Operations

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ % of achievement in comparison to best practice benchmark metrics of global diverse culture, and knowledge levels of Board, ICANN org and stakeholders

DEPENDENCIES

1. 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

FY17	Planned	Status at the end of FY17
	<ul style="list-style-type: none"> ⦿ Develop and perform regular reporting of performance metrics against key benchmark metrics ⦿ Identify gaps and implement mitigation 	<ul style="list-style-type: none"> ⦿ Deployed v2 of ICANN's KPI Dashboard earlier in FY17 <p>We developed a new approach the measurement, which focuses on accountability. This was deployed internally late in FY17 ahead of a public Beta early in FY18.</p> <ul style="list-style-type: none"> ⦿ Major HR systems improvements have been delivered through ICANN's Enterprise Resource Planning system <p>The first phase of the implementation was completed in December 2016.</p> <p>Human Resources has been developing and deploying change management and a</p>

	<p>strategic Human Resources partnership function to better support the organization's needs.</p> <ul style="list-style-type: none"> ⦿ How It Works sessions continue to be provided at ICANN and other meetings and are supported by the improved ICANN Learn platform and targeted training activities <p>ICANN org-focused informational sessions are provided through lectures from ICANN org, and an invited guest speaker series.</p> <ul style="list-style-type: none"> ⦿ To identify both strengths and areas for improvement across the organization and drive the prioritized improvements, we have continued to use: <ul style="list-style-type: none"> ⦿ Comprehensive and non-prescriptive continuous improvement models ⦿ EFQM Excellence Model ⦿ SOC/2 and SOC/3 ⦿ 20 Critical Security Controls Framework ⦿ Board Operations has improved its structure and systems to elevate the strategically focused quality of services to both the ICANN and PTI Boards ⦿ Global Operations work in the hubs is being synchronized with the globalization strategy, especially for local team building, improvement initiatives and organization-wide best practice programs
--	---

FY18

Planned

Intended Status at the end of FY18

- ⦿ Identify gaps and continue to improve
- ⦿ Advance on applying systems to refine measurements
- ⦿ Collaborate with stakeholders on progress evaluation and improvements

- ⦿ Board Operations has continued to improve the strategically focused quality of services to both the ICANN and PTI Boards, while improving integration with other teams involved in supporting both boards
 - ⦿ Global Operations work has been integrated with the new international regional office strategy
- A key focus is to identify and deliver the specific needs in each regional and work with functional teams to enable their delivery.

	<ul style="list-style-type: none"> ⦿ Human Resources: <ul style="list-style-type: none"> ○ The new Enterprise Resource Planning system has improved efficiency by automating key processes thereby providing efficiencies to the organization ○ The new HR Business Partner program is helping us better meet the organization's people needs ⦿ Organizational Assessment and Improvement: <ul style="list-style-type: none"> ○ We have continued to use a selection of audit and other continuous improvement frameworks to drive improvement across the organization ○ The new Accountability Indicators improve the nature and presentation of key measurements ⦿ Security Operations has deployed an integrated set of approaches to protect ICANN org and its people, assets, information and reputation
FY19	<ul style="list-style-type: none"> ⦿ Our key objective in FY19 is to improve the integration between teams and services, so that people within the org, Board, and community experience continuous improvements in all of the services being managed and delivered. <p>We plan to achieve this by using the measurements we make to 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>
FY20	<ul style="list-style-type: none"> ⦿ Identify gaps and continue to improve ⦿ Advance on applying 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

FY19 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, and 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. Consolidate perception of ICANN as an independent entity due to the successful IANA stewardship transition

PHASING

FY17	Planned	Intended Status at the end of FY17
	<ul style="list-style-type: none"> ⦿ Continuation of FY16 activities to increase % participation rates documented as baseline established in FY16 ⦿ Continuation of FY16 activities to support the development of global acceptance by stakeholders of the IANA stewardship transition 	<ul style="list-style-type: none"> ⦿ Increased total participation rates for FY17 compared to the baseline established in FY16 ⦿ Successful defense of ICANN's multistakeholder community role in the DNS at the World Telecommunication Standardization Assembly (WTSA) through education and negotiation to prevent resolutions that would have assigned a role in delegation to the International Telecommunication Union (ITU) ⦿ Statements from governments and IGOs welcoming the IANA stewardship transition ⦿ Management decision to bring some FY18 work forward into second half of FY17 by reviewing and revising the IG engagement strategy and the Government Engagement strategy in preparation for submission to Board WG on IG

FY18	Planned	Intended Status at the end of FY18
FY19	<ul style="list-style-type: none"> ⦿ Evolve the strategy as necessary based upon regional engagement office strategic and FY17 work ⦿ Evolution of global and regional work plans if necessary to reflect outcome of strategy review and revision 	<ul style="list-style-type: none"> ⦿ Consistent engagement rates built upon FY17 outcomes and engagement activity Document the participation rate ⦿ Defined model for Government engagement capacity-building sessions ⦿ Successful tracking of proposals and resolutions from the countries and regional preparatory meetings to prepare for ITU Plenipotentiary Conference 2018 (PP-18) in October 2018 (FY19)
FY20	<ul style="list-style-type: none"> ⦿ Successful bolstering of ICANN's stakeholder community role in the DNS at the ITU PP-18 through education and negotiation to prevent resolutions that would negatively impact ICANN's mission ⦿ Increase from baseline participation rates documented as baseline established in FY18 	<ul style="list-style-type: none"> ⦿ 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

FY19 PORTFOLIOS

1. Working with Governments and Intergovernmental Organizations

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Increase number of 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

FY17	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Increase # of governmental entities actively participating in ICANN 	<p>Status at the end of FY17</p> <ul style="list-style-type: none"> ⦿ Completion of a regional capacity building workshop for regional GAC members as part of the demand driven engagement ⦿ Planning for FY18 events in support of GAC member participation and engagement ⦿ Completed a review and made revisions to the government engagement strategy as part of process of presentation of strategy to Board
FY18	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Third year review of strategy and implementation of any changes developed through review and revision brought forward to FY17 and the GAC capacity development workshops 	<p>Intended Status at the end of FY18</p> <ul style="list-style-type: none"> ⦿ Established model for GAC capacity building workshop process: <ul style="list-style-type: none"> ○ Management of demand and design of workshop content based upon GAC membership demand and needs identified by the GAC Public Safety WG and GAC Undeserved Regions WG

	<ul style="list-style-type: none"> ⦿ Revise global and regional work plans to reflect outcome of strategy review ⦿ Two informational and technical skills workshops for regional GAC members as part of demand driven engagement 	<ul style="list-style-type: none"> ⦿ Effective collaboration with technical capacity building team and regional engagement teams ⦿ Completion of at least two regional capacity building workshops in association with the ICANN meetings and two informational and technical regional workshops in response to GAC demand driven engagement
FY19	<ul style="list-style-type: none"> ⦿ Increase number of governmental entities actively participating in ICANN processes and stakeholder groups 	
FY20	<ul style="list-style-type: none"> ⦿ Continued information and technical skills workshops to enhance relationships with governmental entities that encourage them to work collaboratively and support the 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

FY19 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 changes in political will reflected in trends away from globalization toward more national or internal focus by governments

PHASING

FY17	Planned	Status at the end of FY17
	<ul style="list-style-type: none">⦿ Identification of potential best practices among national and regional multistakeholder IG approaches <p>These are to be highlighted in outreach work for further adoption of multistakeholder model IG mechanisms.</p> <ul style="list-style-type: none">⦿ Establish a baseline measurement of projects and work reflecting collaboration with respective Internet organizations	<ul style="list-style-type: none">⦿ A review of the metrics for Goal 4.3 in the strategic plan shows they have been broadly achieved: <ul style="list-style-type: none">⦿ ICANN is an effective contributor and supporter of a global and reliable IG ecosystem that addresses technical and non-technical issues for the global community⦿ There is recognition by decision-makers across stakeholder groups of the multistakeholder approach to govern the Internet <p>The global support for the IANA stewardship transition demonstrates the trust and endorsement of the multistakeholder model and the trust shown in the stakeholder community to undertake the oversight of ICANN.</p>

		<ul style="list-style-type: none"> ○ Demonstrate leadership by implementing best practices in multistakeholder mechanisms within the distributed IG ecosystem while encouraging all stakeholders to implement the principles endorsed at NETmundial <p>NETmundial principles have been endorsed globally and the platform has been retired at the request and in coordination with the global community.</p> <ul style="list-style-type: none"> ○ Proliferation of national and regional multistakeholder IG structures <p>The figures in ICANN Dashboard Chart 4.3 show a consistent increase year by year in FY15, FY16 and FY17 year to date.</p> <ul style="list-style-type: none"> ○ In light of the changes in requests from the global community and the demand-driven engagement, different reports have been implemented to reflect activity ○ As part of the IANA stewardship transition, all engagement activity is evaluated against ICANN's restated mission and Bylaws language <p>The global engagement strategy review and revision work was brought forward into FY17 to address this need</p>
FY18	Planned	Intended Status at the end of FY18
	<ul style="list-style-type: none"> ○ Year three review of the goals and delivery strategy for those goals with the mission and mandate of the post-IANA stewardship transition ICANN ○ Evolution and improvement of global engagement work plan based on completed review 	<ul style="list-style-type: none"> ○ Integration of 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 ○ Definition of new measurements of key activity indicators to measure the engagement in and support for the evolution of the IG ecosystem

	<ul style="list-style-type: none"> ⦿ Definition of new measurements for activity if the work of goal 4.3 is still separate from goal 4.1 ○ If so, continuation of FY17 projects and work to reflect collaboration with respective Internet organizations
FY19	<ul style="list-style-type: none"> ⦿ Revise global strategy and goals as reflected in revised regional implementation strategies, regional engagement office strategies and work plans ⦿ Develop measurement mechanism to assess perception of whether technical and non-technical IG issues are successfully addressed using multistakeholder model
FY20	<ul style="list-style-type: none"> ⦿ ICANN involvement, consistent with its mission and within its mandate, in a full implementation of a distributed trusted fully inclusive multistakeholder IG ecosystem ⦿ 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

FY19 PORTFOLIOS

1. Contractual Compliance and Safeguards
2. Contractual Compliance Function

ACCOUNTABILITY INDICATORS (METRICS)

- ⊙ Percent of Contractual Compliance service level targets that are met
- ⊙ Ensure safeguards 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 the contractual compliance and safeguards scope
 - c. Ability to reach consensus
2. Internal:
 - a. Resources (people and systems)
 - b. Ability to clarify expectations and implement where applicable
3. Contracted parties:
 - a. Compliance with the contract and policies
 - b. Interpretation of the contract and policies
 - c. Impact of local laws and regulations

PHASING

FY17	Planned	Status at the end of FY17
	<ul style="list-style-type: none"> ⊙ Implement ongoing measurement, benchmarking and reporting of accuracy rates ⊙ Identify and implement the Safeguard role 	<p>Several initiatives were launched for portfolios 1, 2 and 3, including:</p> <ul style="list-style-type: none"> ⊙ Increased monitoring and audits ⊙ Focused efforts on areas of non-compliance, e.g., WHOIS inaccuracy ⊙ Outreach to community members

		<ul style="list-style-type: none"> ⦿ Improved reporting on compliance activities ⦿ Increased engagement with working groups and policy teams <p>For more details, please see Reporting & Performance Measurement</p>
FY18	Planned	<p>Intended Status at the end of FY18</p> <ul style="list-style-type: none"> ⦿ Conduct overall satisfaction survey (based on the feedback Contractual Compliance requests from reporters and contracted parties at the closure 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 Consumer Safeguard strategic outreach plan and execute ⦿ 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"> ⦿ Compliance Satisfaction Survey is implemented and being reported in the Quarterly Reports. Report title is Contractual Compliance Metrics. ⦿ Compliance rolled out enhanced monthly dashboard; we added information on the subject matter of complaints based on recommendations from the Competition, Consumer Choice, and Consumer Trust Review Team draft report and the Governmental Advisory Committee's Copenhagen Communique. In addition, compliance launched new quarterly metric reports and new annual metric reports; ⦿ Ongoing effort to review current compliance practices based on community feedback and changing environment.
FY19		<ul style="list-style-type: none"> ⦿ Implement agreed-upon plan and practices ⦿ Implement ongoing measurement, benchmarking and reporting
FY20		<ul style="list-style-type: none"> ⦿ Assess and adjust plan and practices as needed

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

FY19 PORTFOLIOS

1. Legal Support and Advice
2. Support ICANN Board

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ # 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

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

PHASING

FY17	Planned	Status at the end of FY17
	<ul style="list-style-type: none"> ⦿ Measure and baseline the % of actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making 	<ul style="list-style-type: none"> ⦿ Work to provide a definition for “public interest assessment” resumed at ICANN57 and was completed and agreed on June 2017
FY18	Planned	Intended 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"> ⦿ Currently ICANN provides information on the number of rationales that include the public interest assessments as part of decision making
FY19	<ul style="list-style-type: none"> ⦿ Continue to access the number actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making 	
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

FY19 PORTFOLIOS

1. Enhancing ICANN Accountability - WS2
2. Organizational Reviews
3. Specific Reviews (Bylaws Article 4, Section 4.6)
4. Strategic Initiatives
5. Accountability and Transparency Mechanisms

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Public interest framework index (e.g., ICANN's Documentary Information Disclosure Policy and correspondence posted on time, compliance with the conflict of interest policy and compliance with the Board Code of Conduct)
- ⦿ Develop a framework for increasing trust in ICANN org's fulfilment of its commitments through efficient and effective reviews:
 - ⦿ Broad and diverse participation in ICANN reviews
 - ⦿ Community engagement in using ICANN reviews to drive continuous improvement in accountability, transparency and organizational effectiveness (such as community participation in public comments pertaining to reviews and other forms of engagement)
- ⦿ Transparent and timely reporting mechanisms on the progress of each review
- ⦿ Effective and timely support of the work of the Cross-Community Working Group on Enhancing Accountability Work Stream 2 (CCWG-Accountability WS2) to enable their timely development of consensus recommendations

DEPENDENCIES

1. Stakeholder community, Board and ICANN org agreement on a clear, actionable Accountability and Ethical Framework
2. The outcomes of work to enhance ICANN's accountability
3. Community participation in conducting reviews
4. Ability of the CCWG-Accountability WS2 to complete its work on a timely basis, in accordance with the deadlines agreed to by the Co-Chair and Board

PHASING

FY17	Planned	Status at the end of FY17
	⦿ Measure against the baseline metrics developed in FY16 and show increase in acceptance and impact of	⦿ Expanded reporting within the dashboard measuring against targets

Accountability and Ethical Framework

- ⦿ Continue to review for improvements and enhancements.
 - ⦿ Measure and baseline the % of actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making
- ⦿ Complete the first Affirmation of Commitments (AoC) Review on Competition, Consumer Choice and Trust in new gTLDs
- ⦿ Launch and conduct the second AoC Review on Security, Stability and Resiliency
- ⦿ Launch and conduct the second AoC Review on WHOIS
- ⦿ Preparation for and launch the third AoC Review on Accountability and Transparency
- ⦿ Successful completion of all community proposals that met NTIA criteria led to the successful transfer of stewardship of the IANA function on 1 October 2016
- ⦿ Support the completion of the work of CCWG-Accountability WS2
- ⦿ Review of Competition, Consumer Choice and Trust in new gTLDs (CCT) targeted for completion in FY18

CCT Review Fact Sheet developed and published on a quarterly basis.
- ⦿ Second Review of Security, Stability and Resiliency of the DNS (SSR2):
 - ⦿ Commenced June 2016
 - ⦿ Review Team convened in March 2017 and started its work in the second half of FY17
 - ⦿ Implementations of SSR1 recommendations were completed in the second half of FY17
 - ⦿ SSR2 Fact Sheet developed and published on a quarterly basis
- ⦿ Second Registration Directory Service (RDS-WHOIS2) Review (formerly WHOIS Review):
 - ⦿ Commenced in October 2016
 - ⦿ Review Team convened in June 2017 and started its work in the first half of FY18
 - ⦿ Implementation of WHOIS recommendations was completed in the second half of FY17
- ⦿ Third Accountability and Transparency Review Team (ATRT3):
 - ⦿ Commenced in January 2017 with a call for volunteers
 - ⦿ Pending completion of the selection of Review Team members by the SO/AC chairs, the Review Team is expected to be convened in the second half of FY18
 - ⦿ Vast majority of implementation work of ATRT2

		<p>recommendations has been completed, with the one remaining component of one recommendation scheduled for completion in FY18</p> <ul style="list-style-type: none"> ⦿ Organizational Reviews: <ul style="list-style-type: none"> ⦿ Review of the GNSO was completed in June 2016 and moved into implementation, which will continue through first half of FY19 ⦿ Review of the At-Large community was commenced, with Final Report of the Independent Examiner submitted in the second half of FY17 ⦿ Review of the Nominating Committee (NomCom) commenced in the second half of FY17 ⦿ Review of the Address Supporting Organization (ASO) commenced in FY17 and the final report was published in the first half of FY18 ⦿ Draft Operating Standards for reviews developed through community consultation, were developed during the second half of FY17 and posted for public comment during the first half of FY18
FY18	Planned	Intended Status at the end of FY18
	<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 ⦿ Streamlining and recalibration work for reviews, in consultation with the community ⦿ Coordinate the operationalization of the output of CCWG-Accountability ⦿ Implementation of the recommendations from the first Specific Review on CCT 	<ul style="list-style-type: none"> ⦿ Continue to expand reporting within the dashboard measuring against targets ⦿ CCT review targeted for completion in FY18 ⦿ CCT Review Fact Sheet developed and published on a quarterly basis ⦿ It is anticipated that implementation of the recommendations will begin in the first half of FY19 ⦿ SSR2 Review <ul style="list-style-type: none"> ⦿ Commenced June 2016 ⦿ Review Team convened in March 2017

- ⦿ 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
- ⦿ 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
- ⦿ SSR2 Fact Sheet developed and published on a quarterly basis
- ⦿ SSR2 is targeted for completion in the first half of FY19 (pending community action to un-pause the review; review was paused in November 2017)
- ⦿ RDS-WHOIS2 Review
 - ⦿ Commenced in October 2016 with a Call for Volunteers
 - ⦿ Review Team convened in June 2017
 - ⦿ RDS Fact Sheet developed and published on a quarterly basis
 - ⦿ Review is targeted for completion in the first half of FY19
- ⦿ ATRT3:
 - ⦿ Commenced in January 2017 with a Call for Volunteers
 - ⦿ Pending completion of the selection of Review Team members by the SO/AC chairs, the Review Team is expected to be convened in the second half of FY18
 - ⦿ Targeted for completion in the second half of FY19
 - ⦿ Vast majority of implementation work of ATRT2 recommendations has been completed, with the one remaining component of one recommendation scheduled for completion in FY18
- ⦿ Organizational Reviews:
 - ⦿ Review of the GNSO was completed in June 2016 and moved into implementation, which will continue through FY18
 - ⦿ It is anticipated that the review of the At-Large community will move into implementation and will continue through FY19
 - ⦿ Review of the NomCom will conclude in FY18 and will move into implementation through FY19

	<ul style="list-style-type: none"> ○ Review of the ASO will move into implementation through FY19 ○ Operating Standards further developed through community consultation are expected to be finalized by end of FY18 (June 2018)
FY19	<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 ○ Reviews 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
FY20	<ul style="list-style-type: none"> ○ Reach five-year goals in acceptance and impact on organization set out in the Accountability and Ethical Framework ○ Reviews Streamlining and Recalibration work in consultation with the community ○ Continue implementation of recommendations of Specific and Organizational Reviews, following project management best practices

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

FY19 PORTFOLIOS

1. Supporting Public Interest Initiatives
2. Supporting Stakeholder Participation

ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ # of stakeholders participating in development and public responsibility programs, tools, and collaborations

DEPENDENCIES

1. Clear understanding of the definition in relation to ICANN's mandate and mission
2. Engagement and support both with and for other ICANN internal departments
3. SO/AC buy-in and support for approach
4. Working relationships with governments in developing and underdeveloped regions as key points of access

PHASING

FY17	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Increase access, knowledge, and capability of priority groups through a fully operational Development and Public Responsibility Department (currently Public Responsibility Support) 	<p>Status at end of FY17</p> <p>A review of the Accountability Indicator for Goal 5.3 in the strategic plan shows they have been broadly achieved:</p> <ul style="list-style-type: none"> ⦿ ICANN's Development and Public Responsibility Department is fully operational ⦿ ICANN Learn was further enhanced by increasing the number of courses available in multiple languages and overall quality of content. ICANN History Project was launched in all six U.N. languages ⦿ The Fellowship Program's eligibility criteria were changed to lower barriers to participation ⦿ Collaborations were focused on education and capacity development efforts across regions, with youth and underrepresented groups as key targets
FY18	<p>Planned</p> <ul style="list-style-type: none"> ⦿ Continue improvement of increased access, 	<p>Intended Status at end of FY18</p> <p>Portfolios were updated to better reflect the nature of ICANN's activities in support of goal 5.3.</p>

	<p>knowledge and capability of target audiences</p>	<p>By the end of FY18 we expect that tools and programs have improved to better serve the community as follows:</p> <ul style="list-style-type: none"> ⦿ Supporting public interest initiatives: <ul style="list-style-type: none"> ⦿ Published survey report on gender diversity and participation at ICANN, offering insights into the community's support for initiatives to enhance gender diversity ⦿ Continued to engage in cross-community discussions on exploring the public interest within ICANN's remit ⦿ Selected an independent third-party to conduct an internal Human Rights Impact Assessment of ICANN's organizational operations ⦿ Supporting education: <ul style="list-style-type: none"> ⦿ Successfully deployed new e-learning platform to enhanced features on ICANN Learn ⦿ Continued to increase availability of courses/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 ⦿ Supporting stakeholder participation: <ul style="list-style-type: none"> ⦿ Conducted broad public consultation to define the vision for the future of the Fellowship Program ⦿ Community onboarding materials have been developed as part of the Community Onboarding Pilot Program to help facilitate newcomer integration into ICANN community structure
<p>FY19</p>	<ul style="list-style-type: none"> ⦿ Continue improvement of increased access, knowledge and capability of target audiences 	
<p>FY20</p>	<ul style="list-style-type: none"> ⦿ Assess efforts and impact on target audiences and plan for evolution of operations to continue to address evolving community needs 	

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 tool for management to plan the financial impact of organizational activities. As events and activities unfold, adjustments may become necessary and will naturally impact 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 a long time

5.2 Principles

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

- ⊙ Reflect a conservative approach
- ⊙ Plan based on ICANN org having balanced cash flow (incoming funds should equal or exceed outgoing funds)
- ⊙ Plan based on of the level of outgoing funds reflecting the costs of the resources required to achieve the Strategic and Operating Plans
- ⊙ Include an assumption on maintaining 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 to a baseline trend
- ⊙ Provide the sensitivity of fluctuations (for example, scenarios, high, mid, low)
- ⊙ Define aggregates (envelopes), not itemized components

