

Internet Corporation for Assigned Names and Numbers (ICANN) Draft FY20 Operating Plan

17 December 2018



ICANN DRAFT FY20 PLANNING DOCUMENTS

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

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

Document Name	Description of Contents
FY20 Budget Introduction & Highlights	Overview of the key elements, cross-functional projects, and activities of the Draft FY20 plans
FY20 Total ICANN Budget	High-level review of the Draft 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, please read the Introduction and Highlights document first. Afterward, you can separately review each of the other standalone documents in no specific order, depending on your interest.

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1 Introduction

As in previous years, Section 2 of this document contains the entire Operating Plan for FY20, presenting the list of portfolios aggregated by Strategic Objective and Goal. For each portfolio, we indicate the needed resources, including the number of full-time equivalent personnel and a cost breakdown.

This document focuses on six ICANN activities that are of interest to the community and the public. Each activity is presented in a “Module” that aggregates information from the parts of ICANN organization that are involved in the activity. To illustrate, Module 1 reviews Engagement activities, and it includes information on the activities carried out by three different departments of ICANN (Global Stakeholder Engagement, Government Engagement, and Technical Engagement).

In response to feedback from previous years, we are providing easier access to Operating Plan information in the following two ways:

1. We reduced the number of portfolios and projects that are used to categorize the planned activities:
 - I. We have organized the work into approximately 100 fewer projects and activities than FY18. This makes it easier to see what we plan to do.
 - II. We have far fewer projects with a budget of \$100,000 or less, making it easier to build a complete picture of planned work.
2. We improved the distinction between projects that are for recurring activities and those projects that deliver new tools and improvements to existing activities:
 - III. About two thirds of our work includes projects for recurring activities. The rest are projects that deliver new tools and improvements to existing activities.
 - IV. Although recurring activities may have changed, this distinction permits community members to focus on the new projects.

Section 1: Six Modules of Work for FY20

The modules in this section include ICANN activities that may involve several ICANN organization departments. The portfolios supporting the activities described in the modules are displayed in the modules and also appear in Section 2 of this document, which contains all the portfolios included in the Operating Plan.

The modules do not describe all of the organization's planned work for FY20. They include only some of the activities that are of particular interest to the ICANN community.

Module 1 – Engagement Activities

Overview

Global Stakeholder Engagement (GSE) leads outreach and engagement with stakeholders about ICANN's worldwide mission. In particular, the team provides regional contact points for ICANN organization (ICANN org) and the ICANN community to accomplish the following:

- ⦿ Increase awareness and understanding of ICANN's role
- ⦿ Drive participation with ICANN policy development and technical activities

The team leads ICANN org to deliver on ICANN's commitment to foster broad, informed participation that reflects the functional, geographic, and cultural diversity of the Internet. The team consists of 32 positions across ICANN's regions.

GSE previously divided its work under:

Strategic Plan Objective 1	Further Globalize and Regionalize ICANN Functions
Goal 1.1	Further globalize and regionalize ICANN functions
Goal 1.2	Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders

In FY19, GSE began consolidating its planning by focusing on functions and activity areas; it will continue this effort throughout FY20. This consolidated planning encourages active stakeholder participation in ICANN's technical and policy work in the following regions:

- ⦿ Africa
- ⦿ Asia
- ⦿ Eastern Europe and Central Asia
- ⦿ Europe
- ⦿ Latin America and Caribbean
- ⦿ Middle East
- ⦿ North America
- ⦿ Oceania

Planning and coordination efforts now encompass five activity areas across the regions:

- ⦿ **GSE Administration**
 - a. Department administrative functions and costs including personnel training and development
- ⦿ **GSE Cross-Organizational Collaboration**
 - b. Includes all internal coordination and collaboration within ICANN org such as:
 - i. Support for legislative tracking,
 - ii. GSE contributions to Strategic and Operational Planning
 - iii. Participation in ICANN executive and senior management functions and work areas
 - iv. Participation in the implementation of regional office strategy
- ⦿ **Engagement Measurement and Planning**
 - c. Includes all functions and activities relating to the effective planning around departmental and regional strategies
 - i. Strategy development, planning, execution, and resource management
 - ii. Measuring strategy effectiveness and reporting
- ⦿ **Facilitation of Regional Participation in ICANN**
 - d. Regional and global engagement activities including:
 - i. Collaborations, sponsorships, and relevant regional events
 - ii. Supporting and advocating of active and effective participation in ICANN's technical and policy work
 - iii. Regional market studies
 - iv. Professional services
- ⦿ **Capacity Development Programs**
 - e. Regional technical trainings
 - f. Education, awareness building, and knowledge sharing regarding ICANN, DNS, current issues, and personal skill building
 - g. Regional partnerships

This activity and function-based structure improves regional planning, resource management, and continued improvement of GSE's reporting methods. The structure focuses on information sharing as well as outcome- and goals-based planning to reduce departmental and cross-functional silos. Improved internal communication is essential as GSE works closely with other community-facing departments, including:

- ⦿ Office of the Chief Technology Officer (OCTO) on technical community engagement
- ⦿ Government & IGO Engagement
- ⦿ Meetings and Travel Services
- ⦿ Public Responsibility Support
- ⦿ Global Communications
- ⦿ Policy Development Support
- ⦿ Global Domains Division

Regional goals and priorities are discussed with the regional communities throughout the year and executed in line with the Five-Year Strategic Plan. In addition, the following regions have ongoing community-driven regional engagement strategies:

- ⦿ Africa
- ⦿ Asia
- ⦿ Latin America and the Caribbean
- ⦿ Middle East and Oceania

These engagement strategies help to define the goals and priorities for the annual work plans in those regions.

For FY20, Strategic Objective 1 from the Strategic Plan will measure and reflect the majority of GSE's work:

Strategic Plan Objective 1	Evolve and Further Globalize ICANN
Goal 1.1	Improve cooperation among internal and external stakeholders to foster confidence in ICANN's Mission and improve engagement processes and methods
Goal 1.2	Ensure engagement efforts are geared toward enabling the meaningful participation of new and existing stakeholders

In addition to Strategic Objective 1 and goals 1.1 and 1.2, GSE work areas will be measured and reflected under Strategic Objectives 3 (Internal coordination and cooperation work) and Strategic Objective 5 (Capacity Development Programs):

Strategic Plan Objective 3	Advance Organizational, Technological, and Operational Excellence
Goal 3.1	Internal facing operations

Strategic Plan Objective 5	Develop and Implement a Global Public Interest Framework Bounded by ICANN's Mission
Goal 5.3	Supporting stakeholder participation

GOVERNMENT AND INTERNATIONAL GOVERNMENTAL ORGANIZATION (IGO) ENGAGEMENT

The Government and IGO Engagement (GE) department manages the global government and IGO engagement strategy. This global function collaborates and coordinates its activities with regional teams in the GSE department.

GE primarily falls under:

Strategic Plan Objective 4	Promote ICANN's Role and the Multistakeholder Approach
Goal 4.1	Encourage engagement with existing Internet Ecosystem at national, regional, and global levels
Goal 4.2	Clarify the role of governments in ICANN and work with them to strengthen their commitment to support the global Internet ecosystem
Goal 4.3	Participate in the evolution of a global, trusted, inclusive, multistakeholder Internet governance ecosystem that addresses Internet issues

The GE team will have nine positions in FY20. Most are in Geneva. Three are in Los Angeles, New York, and Brussels respectively.

In a demonstration of demand-driven community engagement, GE works with the following groups to design and deliver capacity building workshops on ICANN and other themes:

- ⦿ Regional GSE personnel
- ⦿ Members of the OCTO team
- ⦿ Governmental Advisory Committee (GAC) Underserved Regions Working Group (WG)
- ⦿ GAC Public Safety WG

TECHNICAL ENGAGEMENT

OCTO engages with the technical side of the ICANN community in four areas:

1. Research
2. Identifier Systems Security, Stability and Resiliency
3. Technical Engagement
4. Administration

At the start of FY19, the OCTO team had 12 members. A few are based in the Los Angeles and Washington, D.C., and the rest work remotely.

ICANN org Technical Engagement coordinates, mitigates abuse in, and builds capacity in identifier technologies by:

- ⦿ Training targeting specific segments of the ICANN community
- ⦿ Collecting, analyzing, and publishing data about the technical operation of the system of unique identifiers ICANN org coordinates
- ⦿ Facilitating discussions between stakeholders within the ICANN community and within the larger Internet community

Technical engagement activities are generally performed as part of:

ICANN Strategic Objective 2	Support a Healthy, Stable, and Resilient Unique Identifier Ecosystem
Goal 2.1	Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem
Goal 2.2	Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities
ICANN Strategic Objective 3	Advance Organizational, Technological, and Operational Excellence
Goal 3.3	Develop a globally diverse culture of knowledge and expertise available to ICANN’s Board, staff and stakeholders

Major Assumptions

GLOBAL STAKEHOLDER ENGAGEMENT

Expected Changes from FY19 to FY20

The GSE teams and activities expect to remain unchanged through FY19/FY20, with marginal adjustments as needed.

From all regions, ICANN receives important requests for technical capacity development and ongoing engagement from its GSE and OCTO. We also receive more requests for technical and policy training, general ICANN knowledge, and sponsorships.

To meet this demand while managing resources, GSE is working with OCTO to advance its own internal capacity development program to increase the technical training capability of existing GSE personnel in the regions. This enables regional engagement personnel to support

the increasing community demand for technical and policy knowledge on subjects within ICANN's mission. This also will enable regional personnel to offer these trainings and opportunities more broadly and in more languages.

This should reduce pressure on OCTO to respond to all training requests, and it will spread technical knowledge to more ICANN org personnel. By FY20 GSE team members will be able to speak more effectively in the regions on domain name system (DNS) and DNS security extensions (DNSSEC), DNS abuse/misuse, Internet Protocol version 6 (IPv6), and other technical topics.

Priorities During FY20

For FY20, GSE is focusing on:

- ⦿ Fostering confidence in ICANN's mission by increasing regional input into ICANN's processes through regular, interactive discussions
 - h. Outcome: Increase effective communication of initiatives and ongoing work at ICANN
 - i. Outcome: Increase effective stakeholder participation in, and contributions to, ICANN's technical and policy work
 - j. Outcome: Effective and mutually beneficial partnerships and trusted relationships with global, regional, and local stakeholders to help them improve their understanding of ICANN's mission and role
 - k. Outcome: Improve cooperation among internal and external stakeholders
- ⦿ Enabling meaningful participation among new and existing stakeholders
 - l. Outcome: Demonstrate that Stakeholder needs were identified and prioritized to correspond to available resources, regional need, and ICANN's mission
 - m. Outcome: Develop capacity for and maximizes the use of training resources to lower barriers to participation
 - n. Outcome: Improve understanding about gaps in regional Stakeholder participation, knowledge, and skills; then fill those gaps to enable more Stakeholder participation in ICANN processes

In FY20, GSE will continue to extend its Engagement Measurement and Planning function to provide insight and information to the regions on the availability and strategic use of business intelligence. This will enable GSE to effectively plan, measure, report, and contribute to the strategies and plans of the Organization and the Regional engagement plans.

GSE supports the delivery of the International Office strategy. Three GSE Vice Presidents are Managing Directors of the following regional offices:

- ⦿ Singapore
- ⦿ Montevideo
- ⦿ Brussels

Each Managing Director is now responsible for separate regional office budgets that are separate from the GSE regional budgets.

GOVERNMENT AND IGO ENGAGEMENT

Expected Changes from FY19 to FY20

Government and IGO Engagement (GE) team members, locations, and activities are currently expected to remain unchanged through FY19/FY20, with marginal adjustments as needed. In FY18, GE hired and placed team members. FY19 will implement the engagement strategy using the structures and positions established at the end of FY18. We placed a senior team member in Brussels to address European Union and European Commission regulatory decisions and to serve in the European arena. This change responded to the General Data Protection Regulation (GDPR), its ongoing impact, and future regulations, such as those related to e-privacy. In FY18 GE also added a new junior hire in Geneva to help with IGO outreach and other activities. We anticipate no additional hires in FY19 or FY20

Areas for increased activity in the change from FY19 to FY20 are:

- ⦿ An FY19 High Level Governmental Meeting (HLGM) held in conjunction with the ICANN63 in Barcelona; each HLGM increases awareness of ICANN among governments and opens avenues of engagement to be followed up in FY19 and FY20. ITU PP-18 is another focus in FY19. Both the HLGM held in Barcelona and ITU PP-18 involve global governmental engagement and will have follow-up requirements in FY20.
- ⦿ Further development of the legislative tracking and reporting project
- ⦿ More support of the GAC through the GAC information facilitation process

Demand-driven requests for capacity-building workshops and thematic and technical skills will increase in FY20. In FY18, GE developed a mechanism to receive and define these requests and work collaboratively with regional GSE team members and OCTO to design and deliver these workshops. Pre-workshop surveys defined the content, and post workshop evaluations refined the model. Evaluation of the first round of capacity-building workshops will be completed in FY19. The capacity-building workshops for GAC members have already increased the knowledge of GAC and ICANN working principles, multistakeholder and policy development processes, and issues facing ICANN org. The workshops also made the recipients more interested in participating in ICANN and in the policy development process.

Priorities During FY20

GE collaborates with GSE using the Salesforce platform to integrate information management, reporting, and Accountability Indicators. In FY19 and FY20 we shall track legislative initiatives that may affect ICANN's mission. We will collaborate with GSE regional teams in this effort.

The transition from the FY16-FY20 strategic plan to the FY21–FY25 strategic plan may require realignment of portfolios and projects to reflect community-recommended priorities and long-term planning and any evolution of metrics that these changes necessitate.

GE also supports the international office strategy. The Senior Advisor to President and Senior Vice President, Government and IGO Engagement is also the Managing Director of the Geneva Engagement Center. The Geneva budget is separate from the GE department budget. The Geneva budget includes the budget for the rent and administrative expenses for the office in Geneva. The Geneva personnel are part of the GE team and personnel and other expenses are included in the global GE department budget. The lease for the Geneva Engagement Center will be up for renewal in September 2019. According to Facilities Management, the operating principle used for rent expenses is to plan for a 3% increase. The negotiations over the space will begin in January 2019 after the FY20 budget has been submitted. As the FY20 template directly informs the FY21 budget, the rent change has been included in the budget template for Geneva.

TECHNICAL ENGAGEMENT

Expected changes from FY19 to FY20

As the OCTO Research department is the lead on the Open Data Initiative pilot project, additional personnel will be needed as the pilot moves into production. An additional Data Scientist was budgeted to support this project.

Because the collection of root server system query data from the L-Root server is equivalent to collecting similar data from other root servers, the Research team will discontinue obtaining data from the B, D and F-Root servers. This will reap savings.

The primary goal for Security, Stability and Resiliency (SSR) in FY20 is moving the DNS Abuse Analytics and Reporting (DAAR) system to production and releasing monthly reports from that system. The SSR team will also build its capacity to address public safety-related organizations and improve community understanding of DNS abuse and its implications. These activities will require additional personnel, which was budgeted for in FY18 and should be filled before FY20.

The primary focus for Technical Engagement in FY20 is development of a technical narrative for ICANN org. A secondary focus is development of an ICANN “think tank” to analyze data to assist the community with policy development. The key budgetary for these efforts relates to greater use of external publication-related content services.

Priorities During FY20

OCTO Research area priorities for FY20 include:

- ⦿ Continuing to identify internally curated data sets and moving those data sets into the Open Data Initiative pilot
- ⦿ Moving the Open Data Initiative pilot to production status

- ⦿ Expanding ongoing work in health metrics associated with the Internet’s system of unique identifiers and achieving a better understanding of how the Internet’s system of unique identifiers, particularly domain names, are being used on the Internet today

The priority for work in the Identifier Systems Security, Stability and Resiliency area will be continuing enhancement of the DAAR platform, to make the data from the platform more trusted and available for the community’s use.

Technical Engagement will prioritize development of an ICANN org “think tank” and continue to develop and promote ICANN’s technical narrative.

Risks and Opportunities

GLOBAL STAKEHOLDER ENGAGEMENT

Stakeholders frequently ask the GSE team to represent ICANN at events, assist with technical training, and to build stakeholder understanding of ICANN’s technical and policy-making work. Where possible, GSE works with other ICANN departments to fulfill these requests because direct engagement with stakeholders drives participation in ICANN’s work. Excluding costs for 32 personnel, most of the team’s budget is either travel or administrative costs, which includes a limited pool of funds for sponsorships and contributions. Sponsorships and contributions have been reduced in FY20 and are being centrally managed based on team priorities.

Differences in regional interests do not always allow for a cohesive global strategy for communicating organization-wide issues and collaborative responses. Likewise, regional diversity has an impact on which engagement methodologies are effective, not just in GSE but across the organization. It also affects how community dialog platforms are established.

Regional participation gaps are often measured by sector or community involvement, and these gaps should be examined so that they can be filled. Filling knowledge and skill gaps – especially by sharing subject-matter expertise – may help alleviate some of the work burden.

GOVERNMENT ENGAGEMENT

GAC members, via the GAC Underserved Regions WG and the GAC Public Safety WG, are increasingly requesting GE to provide technical training. FY19 will also see increasing international activity due to the ITU PP-18. A series of regional events to develop regional proposal resolutions for the global ITU PP-18 began in FY18 and spanned part of FY19. During the preparatory process, GE and GSE colleagues assessed which resolutions would make it to ITU PP-18.

In addition to ITU PP-18, GE will note the GDPR ongoing implementation and navigation in the sensitive international arena. GE's Senior Director in Brussels will address the increasing activity on issues such as e-privacy regulation and public policies that may affect ICANN's mission.

Finally, GE will work with the GSE team to identify regional regulatory and legislative initiatives that may affect ICANN, and will integrate management of those issues into department work plans.

GE also reduced sponsorships and contributions in FY20 and therefore reduced the assistance it previously provided to regional GSE team events.

TECHNICAL ENGAGEMENT

The primary risks associated with the OCTO FY20 budget are related to the sustainability of the work undertaken for:

- ⦿ The Open Data Initiative pilot:

Identification of data sets to be made available by the selected open data platform has been difficult, and the removal of non-public data within those sets is labor intensive – posing a significant challenge.

- ⦿ The Domain Abuse Analytics and Reporting platform:

There is a risk that the community may not accept the DAAR platform and its information. This would undermine the effort because the analytics and reports generated by the platform are intended for use as input into community policy decisions.

FY20 Budgeted Portfolios

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 1: Engagement Activities						
1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	17	3.1	0.2	0.6	0.0	3.9
1.2.1 Meeting Services	8	1.7	5.6	3.1	0.8	11.2
1.2.2 Enhance cooperation and partnerships regionally to lower barriers and increase regional engagement with ICANN	26	5.0	0.9	1.8	0.2	8.0
2.2.1 Security, Stability and Resiliency of Internet Identifiers	0	0.0	0.3	0.1	0.3	0.7
4.1.1 Coordination of ICANN participation in Internet Governance	2	0.7	0.1	0.0	0.2	1.1
4.2.1 Working with Governments and Intergovernmental Organizations	1	0.4	0.0	0.0	0.0	0.5
4.3.1 Support Internet Governance Ecosystem	5	1.4	0.1	0.2	0.1	1.7
Total	60	12.4	7.2	5.7	1.6	26.9

Module 2 – Direct Community Activity Support

Overview

POLICY DEVELOPMENT SUPPORT

ICANN's global policy development support team provides support to three Supporting Organizations and four Advisory Committees (SOs/ACs). Personnel are located in nine countries covering seven time zones; team members can communicate in 11 languages, four of which are United Nations official languages.

Under the leadership of the Senior Vice President for Policy Development Support, most members of the policy team facilitate policy/advice development activities for a specific SO or AC.

Policy team members, currently consisting of 34 facilitation and support professionals (down two FTEs due to departures from the FY18 level of 35 FTEs), offer a broad range of support to the SO/AC community, including:

- ⦿ Support for and facilitation of policy and advice development activities
- ⦿ Subject matter expertise including General policy/advice related research
- ⦿ Planning and management of internal SO/AC activities
- ⦿ Cross community interactions and cooperation
- ⦿ Stakeholder/constituency elections and governance
- ⦿ Support for the Empowered Community Administration
- ⦿ Assistance with Decisional Participants procedures under the Bylaws requirements established in October 2016
- ⦿ Planning and logistics for ICANN public meetings
- ⦿ Engagement programs
- ⦿ Outreach activities

The team's main objective is to support effective and productive policy/advice development by the SOs/ACs. This results in:

- ⦿ Stronger levels of support by community participants and observers
- ⦿ Increased community commitment to reaching consensus;
- ⦿ More tangible and measurable outputs
- ⦿ More effective policies from the ICANN multistakeholder model

The following is a summary of policy team support activities:

Address Supporting Organization (ASO)

- Further integrate the ASO and Regional Internet Registries (RIRs) into core ICANN activities, including assisting in regular working calls and ICANN meeting sessions
- ⦿ Country Codes Names Supporting Organization (ccNSO)
 - Continued progress on the ccNSO PDP on retirement of country code name and operators
 - Use of Emoji Study Group
 - Facilitation and assistance in more than 11 working groups/committee efforts including:
 - ccNSO Internal Guideline Review Committee (GRC)
 - Strategic and Operating Plan Committee (SOPC)
 - TLD-OPS Committee
- ⦿ Generic Names Supporting Organization (GNSO)
 - Continued progress toward policy recommendations in major GNSO Policy Development Processes (PDPs):
 - Expedited PDP on Temporary Specification for GDPR Compliance
 - Rights Protection Mechanisms (RPMs)
 - New Generic Top-Level Domain (gTLD) Subsequent Procedures
 - Submission of Final Report to GNSO Council by GNSO PDP on IGO-INGO (International Governmental and Non-Governmental Organizations) Curative Rights Protections
 - Resolution of outstanding issues concerning protection for Red Cross National Society and International Movement names
 - Facilitation and assistance in over 10 working group/committee efforts, including:
 - GNSO Review Implementation
 - GNSO Standing Selection Committee (SSC)
 - GNSO Standing Committee on Budget and Operations (SCBO)

- ⦿ At-Large Advisory Committee (ALAC)
 - Support ALAC and At-Large policy advice development
 - Support the activities of the five Regional At-Large Organizations
 - Support At-Large outreach and engagement activities to ensure the continuous growth of policy advice contributors within At-Large
 - Support approximately 20 At-Large working groups focusing on policy, process, technical, outreach, and engagement working groups
 - Manage leadership elections
 - Support review and review implementation activities
 - Support the organization and implementation of At-Large activities at ICANN public meetings, RALO general assemblies, and At-Large summits

- ⦿ Governmental Advisory Committee (GAC)
 - Support information sharing and dialogue between the GAC and ICANN org
 - Support the ongoing activities and operations of GAC leadership team
 - Support for overall GAC administrative and operational activities
 - Management of GAC Advice consideration and implementation for the Board and ICANN org, including support of the Board-GAC Recommendation Implementation (BGRI) effort
 - Ongoing support for current GAC working groups

- ⦿ Root Server System Advisory Committee (RSSAC)
 - Major work by RSSAC Advice on restructuring the governance of the root server system
 - RSSAC Review Implementation
 - RSSAC Caucus Work on:
 - Improving the Service Coverage of the Root Server System
 - Studying Modern Resolver Behaviors

- ⦿ Security and Stability Advisory Committee (SSAC)
 - Major Board-mandated study by SSAC on Name Collisions
 - Following through with current work program, including six work parties
 -

- ⦿ Empowered Community & Post IANA Stewardship Transition Committees
 - Support for the activities of the Empowered Community administration and related work of the five Decisional Participants in the Empowered Community
 - Support of the activities of the Customer Standing Committee (CSC)
 - Support of the activities of the Root Zone Evolution Reform Committee (RZERC)
- ⦿ GNSO Non-Contracted Parties
 - Support for the regular activities of the two stakeholder groups and five constituencies making up the Non-Contracted Parties House, including assistance with managing governance matters such as elections and charter revisions
- ⦿ Other Activities
 - Evolve and deepen community recognition programs, including the management of the Multistakeholder Ethos Award and other events and milestones
 - Manage and support the ongoing Community Regional Outreach Program and annual Additional Budget Request process
 - Improve the management of the ICANN public comment process to provide clearer guidance, greater regional, and more targeted reach for community inputs
 - Conduct analysis of all policy-related documents and materials on public ICANN websites as part of the Information Transparency Initiative (ITI) to improve search, accessibility, and references for community policy activities
 - Complete the review of the constituency travel guidelines and related improvements
 - Coordinate collaboration between ICANN org and the community on projects of general interest, such as cross-community sessions at ICANN public meetings and requests for community action regarding the new Fellowship Program, strategic planning process, and other community consultation efforts
 - Support Tech Day at ICANN public meetings

CONSTITUENCY TRAVEL

ICANN provides travel support for selected community members to:

- ⦿ Advance the work of ICANN
- ⦿ Provide support for those who might otherwise not be able to afford to attend ICANN meetings
- ⦿ Broaden participation in ICANN's processes

The ICANN website publishes travel guidelines and regular reports that form the basis for making travel allocations.

Travel Guidelines

The guidelines clarify the level and processes required to provide travel support for community members to ensure:

- ⦿ Effective and efficient administration of travel support
- ⦿ Accountability for and transparency of ICANN's principles

The Travel Support Guidelines:

- ⦿ Describe the policies and processes for using travel support for community members
- ⦿ Detail the level of support provided to each community

ICANN org periodically posts the guidelines to solicit community feedback through online fora, stakeholder conference calls, and workshops at ICANN public meetings. Alternatively, if no separate guidelines review is planned before budget approval, the level of support provided to community members is addressed through the annual budget process. ICANN posts the Travel Support Guidelines for each fiscal year in alignment with the Board-approved annual budget.

Travel Summary

Each supported traveler to ICANN public meetings receives a summary that describes travel administration, itinerary booking, and adhering to deadlines. After each ICANN Public Meeting, ICANN org posts a travel summary for the next ICANN Public Meeting to allow sufficient time to apply for visas, book itineraries, and obtain cost-effective pricing.

Travel Reports

Reports for each ICANN Public Meeting are [published](#) and provide the following information:

- ⦿ Names of community groups
- ⦿ Names of individual travelers
- ⦿ Cost of travel including airfare, hotel, per diem/stipend, visas and miscellaneous
- ⦿ The level of support, whether full or partial

Major Assumptions

Expected Changes from FY19 to FY20

- ⦿ Change some SO/AC processes to enhance the empowered community capabilities
- ⦿ Implement ALAC review
- ⦿ Implement RSSAC review
- ⦿ Implement SSAC review
- ⦿ Complete an SSAC study on name collisions
- ⦿ Possible reduced funding of the GAC independent secretariat

Priorities During FY20

- ⦿ Implement the third At-Large Summit (ATLAS III)
- ⦿ Complete the At-Large Review Implementation
- ⦿ Implement RSSAC Advice on restructuring the root server operators
- ⦿ Refine the consultation/information-sharing mechanism with the GAC and ICANN org
- ⦿ Conduct a new workshop for the President, CEO, and SO/AC Chairs at each ICANN Public Meeting for problem solving and priority setting
- ⦿ Achieve milestones in major GNSO PDPs on RDS, RPMs, and New gTLD Subsequent Procedures
- ⦿ Possibly create a new WHOIS/GDPR temporary policy
- ⦿ Transition to implementation (assuming Board approval) of IGO-INGO Curative Rights PDP recommendations
- ⦿ Finalized solutions to protect Red Cross and IGO names/acronyms
- ⦿ Support Empowered Community forums and SO/AC implementation of new procedures under the ICANN Bylaws
- ⦿ Implement ALAC review
- ⦿ Implement RSSAC review
- ⦿ Implement SSAC review
- ⦿ Major study by SSAC on Name Collisions

Expected Changes from FY19 to FY20 in Constituency Travel

SO/AC:

- ⦿ The number, cost, and support of funded seats for SO/AC constituent travel remains at FY19 levels:

- The FY20 net allocation by group:

SO/AC	# of seats per meetings in FY20
ALAC	28
ccNSO	16
GAC	40
GNSO	48
RSSAC	4
SSAC	15
*Others unchanged	21

Fellows/Next Gen:

- ⦿ The number of travel seats funded at each of the three ICANN public meetings are:

Program	# of seats in FY20
Fellowship	45 per meeting
NextGen	15 per meeting

In FY20 the SO/AC Additional Budget Requests estimate of \$300K will remain the same as in FY19. See Document #2 page 25 for information on the FY20 Additional Budget Requests (ABRs)

FY20 Budget – Constituent travel				Total	\$ 2,633,375
Project ID		Rates	Total Trip:	Total Amount	
Travel Support for ICANN 66 – Montreal	188202		233	\$ 654,030	
		ALAC	2582	28	\$ 72,296
		ccNSO	2582	16	\$ 41,312
		Fellow	2582	45	\$ 116,190
		GAC	2582	40	\$ 103,280
		GNSO	2582	48	\$ 123,936
		RSSAC	2582	4	\$ 10,328
		SSAC	2582	15	\$ 38,730
		Nom Com Selectees	2582	4	\$ 10,328
		Six Chairs	4898	6	\$ 29,388
		Technical Experts	4898	8	\$ 39,184
		NextGen	2582	15	\$ 38,730
		Incoming Traveler	2582	4	\$ 10,328
		Visa Services	20000		\$ 20,000
Travel Support for ICANN 67 – Cancun	188203		225	\$ 741,227	
		ALAC	3115	28	\$ 87,220
		ccNSO	3115	16	\$ 49,840
		Fellow	3115	45	\$ 140,175
		GAC	3115	40	\$ 124,600
		GNSO	3115	48	\$ 149,520
		RSSAC	3115	4	\$ 12,460
		SSAC	3115	15	\$ 46,725
		Six Chairs	5283	6	\$ 31,698
		Technical Experts	5283	8	\$ 42,264
		NextGen	3115	15	\$ 46,725
		Visa Services	10000		\$ 10,000
Travel Support for ICANN 68 – Kuala	188204		225	\$ 750,383	
		ALAC	3129	28	\$ 87,612
		ccNSO	3129	16	\$ 50,064
		Fellow	3129	45	\$ 140,805
		GAC	3129	40	\$ 125,160
		GNSO	3129	48	\$ 150,192
		RSSAC	3129	4	\$ 12,516
		SSAC	3129	15	\$ 46,935
		Six Chairs	5726	6	\$ 34,356
		Technical Experts	5726	8	\$ 45,808
		NextGen	3129	15	\$ 46,935
		Visa Services	10000		\$ 10,000
OTHER SO-AC Events				\$ 487,735	
Placeholder for SO-AC Budget Requests	160505	FY20 SO/AC Requests - Placeholder			\$ 212,735
ATLAS Summit III	189052	ATLAS Summit III	3750	60	\$ 225,000
CROP Program	151188	Ongoing SO-AC Regional Outreach - CROP	1667	30	\$ 50,000

Please reference Document #2, section 2.5.2 for additional details regarding FY20 Additional Budget Requests.

Risks and Opportunities

The ICANN community, ICANN Board, and ICANN org will prioritize critical issues and the use of staff to obtain efficiencies.

FY20 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 2: Direct Community Activity Support						
1.3.1 Support Policy Development, Policy Related and Advisory Activities	35	4.9	0.6	0.7	0.1	6.3
1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	2	0.1	2.8	0.0	0.0	2.9
Total	36	5.0	3.4	0.7	0.1	9.3

Module 3 – Domain Name System (DNS) Marketplace and Identifier Ecosystem

Overview

ICANN implements domain name policies through contracts and services. The Global Domains Division (GDD) of ICANN org is the unit that engages with the Internet community to implement such policies; it also oversees and delivers Internet Assigned Numbers Authority (IANA) services.

The purpose of GDD is to serve the global public interest, registrants, and end users of the Internet by ensuring a secure and stable domain name system (DNS), while promoting trust, choice, and competition in the trusted domain name service industry.

GDD achieves its purpose by adhering to high standards of conduct, enforcing them with contracted parties, and providing high-quality secure services that scale to support global expansion.

GDD's ultimate goal is to provide operational excellence within a trusted global market for domain name services.

GDD DOMAIN NAME SERVICES & INDUSTRY ENGAGEMENT (REGISTRAR SERVICES & ENGAGEMENT, REGISTRY SERVICES & ENGAGEMENT, INTERNATIONALIZED DOMAIN NAME (IDN) PROGRAMS, GDD TECHNICAL SERVICES)

The departments identified above manage Domain Name Services and Industry Engagement (DNS&IE) within GDD, the policy implementation lifecycle, services, contracts, and provision of subject matter expertise across the ICANN community.

DNS&IE strives to foster trust, innovation, diversity in the global marketplace, and a stable and secure DNS ecosystem through strong relationships, thought leadership, training, outreach, policy development, and excellent service development and policy implementation.

Overview of major activities of DNS&IE:

- ⦿ Define and implement plans and processes related to compliance with the GDPR
 - Plan and execute the GDD Industry Summit
 - Implement policies that will go into operation
 - These significant undertakings are conducted cross functionally inside the organization and externally through Implementation Review Teams.

- ⦿ Operate and support a variety of services including:
 - Registry Services Evaluation Process (RSEP)
 - Registry and registrar contract management, amendments, and renewals
 - Specification 13 annual certifications

- ⦿ Track the domain name market place dynamics by collecting market intelligence and providing regularly updated projections of ICANN org's funding for budgeting purposes
- ⦿ Process fast track IDN country code top-level domain (ccTLD) applications
- ⦿ Expand Label Generation Rules via generation panels and embark on the implementation phase of the IDN Variant program
- ⦿ Coordinate ICANN org's relationships with contracted parties by maintaining regular contact with registry and registrar stakeholder groups as well as other contracted parties throughout the world
 - DNS&IE leverages the GSE team in engagement activities to provide outreach and training and support contracted parties during escalated compliance issues

- ⦿ Publish the gTLD Marketplace Health Index in cooperation with a community advisory group, as a part of ICANN's Five-Year Operating Plan
- ⦿ Track and manage technical specifications for the domain name system and pertaining to ICANN's contracts. Examples include:
 - Data escrow, using the Registry Reporting Interface format
 - Trademark Clearinghouse (TMCH) interfaces
 - Registry and registrar interface specifications
 - Registration data access protocol
 - Centralized zone data
 - ICANN's service level agreement (SLA) monitoring system
 - Across-field address validation
 - Emergency back-end registry operator (EBERO)

- ⦿ Design and execute research and study projects arising from community work
- ⦿ Support analysis, issue resolution, and problem-solving on implementation and operational questions in the gTLD space
- ⦿ Provide subject matter expertise across the domain name space within and outside of ICANN org

GDD OPERATIONS (GLOBAL IMPLEMENTATION, SERVICE OPERATIONS, GLOBAL SUPPORT CENTER (GSC))

This group of departments delivers a variety of services to ICANN's contracted parties and applicants, registrants, rights-holders, general Internet users, and ICANN org. GDD Operations incorporates continuous improvement in pursuit of operational excellence, efficiency, cost-effective service, and extraordinary customer satisfaction.

Overview of major activities of GDD Operations:

⦿ New gTLD Program Operations

GDD Operations operates and manages the services associated with the 2012 Round of the New gTLD Program. This includes all evaluation, contracting, and transition to delegation processes as well as the objections and contention resolution processes (Auction and Community Priority Evaluation)

⦿ Action Request Register (ARR)

Provides a centralized system supporting a consistent and repeatable process for tracking and managing advice received by the Board. GDD Operations manages the ARR and facilitates the processes that it supports:

⦿ Correspondence Process

Provides a centralized, consistent system to accept, process, and respond to letters received from external sources and track outgoing letters. GDD Operations facilitates this process by coordinating the efforts of other executives and subject matter experts (SMEs) and performing administrative support.

- Board Advice Register

Provides a standardized, consistent process for tracking and managing advice received by the Board. Board Advice refers to the subset of Action Requests from ALAC, RSSAC and SSAC. GDD Operations facilitates this process by coordinating and performing administrative support for the efforts of other executives and Subject Matter Experts (SMEs).

- GAC Advice Process

GAC Advice is tracked and managed via the ARR. GDD Operations facilitates this process by coordinating and providing administrative support for the efforts of other executives and SMEs.

- ⦿ **Registrar Services Delivery**

GDD Operations delivers services to registrars and applicants for registrar accreditation. These services include processing a variety of transaction types such as name changes, primary contact updates, terminations, and assignments. GDD Operations also optimizes delivery over time when opportunities for efficiency are identified or there are changes in a service.

- ⦿ **Registry Services Delivery**

GDD Operations also delivers service to registry operators. These services include processing a variety of transaction types including RSEP requests, assignments, Material Subcontracting Arrangement changes, and terminations. Additionally, GDD Operations optimizes delivery over time when opportunities for efficiency are identified or there are changes in a service.

- ⦿ **TMCH operations and service evolution**

GDD Operations supports (ongoing) operations of the Trademark Clearinghouse (TMCH), comprising both validation functions and operations that support contracted parties. It also provides vendor management and general oversight of support functions and operations. As needs evolve, GDD Operations guides the development process and interactions with involved vendors.

- ⦿ **EBERO operations and service evolution**

The EBERO function is a safety net for all TLDs that fail to adhere to the uptime and performance requirements in the Registry Agreement. GDD Operations provides overall administrative support for the program and is part of the on-call team that administers emergency functions for fail-over to a new backup operator. GDD Operations identifies areas for improvement as part of exercises or events and implements them as needed.

- ⦿ **Privacy/Proxy Accreditation Program**

The Privacy/Proxy Accreditation Program ensures that providers of privacy/proxy services for domain registrants' WHOIS (or RDS) data are accredited through ICANN to ensure the security and availability of the underlying registrant data for legitimate purposes. The Global Implementation Department develops and manages the program's implementation, after which the GDD Operations Department supports the application process for accreditation for privacy/proxy service providers. Additionally, GDD Operations delivers service for transactional requests from accredited providers, such as name changes, mergers and acquisitions, terminations, and other related requests. GDD Operations optimizes delivery over time when opportunities for efficiency are identified or there are changes in a service.

- ⦿ **WHOIS Accuracy Reporting System (ARS)**

The ARS was created in response to recommendations delivered by the 2012 WHOIS Review Team. The Global Implementation Department manages the creation and publication of the semi-annual WHOIS ARS report. This team also manages the vendors associated with the process and coordinates the cross functional involvement of other departments within ICANN org.

⦿ **Global Support Center (GSC)**

The GSC provides 5 x 24 tier one support and inquiry management via telephone, email, portal, and web form submissions. Using a follow-the-sun approach, support centers are in Singapore, Istanbul, and Los Angeles to provide uninterrupted first level support for inquiries. This support consists of triage, case management, and resolution of routine inquiries as well as escalation throughout ICANN org and management for resolution of complex inquiries. Each interaction is logged in Salesforce for tracking and reporting, and the GSC maintains a comprehensive knowledge base to furnish consistent, accurate, high-quality responses and resolutions to inquiries. This knowledge base is maintained real-time and accessible to the entire team regardless of location. In the interest of continuous service improvement, the GSC will continue to enhance and evolve the knowledge base to support a broadened scope of customer cases.

⦿ **Service Level Target (SLT) Management**

Many services have contractual or policy defined SLTs. For those that do not, we created a comprehensive matrix of SLTs. GDD Operations is accountable to these SLTs, reporting on them regularly and publishing the results.

PRODUCT MANAGEMENT

Product Management straddles the intersection of customer, business, engineering, and service within operational constraints.

New projects:

- ⦿ Group Enrollment
- ⦿ Working Group Document Co-Authoring
- ⦿ Collaboration and Asynchronous Community Collaboration
- ⦿ Naming Services Portal (NSp):
 - Registrar functions
 - Application function (privacy/proxy, registrar, etc.)
 - Compliance functions

Continuing projects:

- ⦿ ICANN.org enhancements
- ⦿ Naming Services Portal – Registry enhancements
- ⦿ GSE contact management
- ⦿ Action Request Registry (ARR)
- ⦿ Technical Services (all applications and services)
- ⦿ Mobile and accessibility work
- ⦿ GAC website
- ⦿ ALAC website

GDD STRATEGIC PROGRAMS

The primary responsibility is managing key programs and projects to support GDD's mission. Key departmental activities include: Registration Directory Services (RDS), registrant education, raising awareness of issues that affect registrants, ensuring that ICANN org meets Bylaws and contractual obligations relating to PTI and other post-transition entities, and subsequent procedures for gTLDs.

- **Registration Directory Services (RDS)** – To ensure a holistic view and coordination of activities across all discrete RDS initiatives, the GDD Strategic Programs team coordinates the entire RDS portfolio. This includes supporting the Expedited PDP on the Temporary Specification and the RDS Review 2. The goals are: implementation; identification of synergistic opportunities across initiatives; exploring ways to leverage that synergy to achieve cost-saving, maximum benefit, and effective implementations;

activity coordination to ensure alignment with overall direction and strategy; management of interdependencies across activities to ensure efficient execution; and following GDPR related activities to address any impacts to RDS.

- **Registrant Program** – This program helps registrants become more informed participants in the DNS, and it provides data and information to inform work by the ICANN community to advance the interests of registrants. Current efforts include creation and dissemination of educational content for registrants, collection and reporting of registrant issues and information, and engagement with much of the ICANN community to inform future work.
- **PTI and Post-Transition Entities** – These entities ensure that ICANN meets its post-transition contractual and Bylaws obligations. This includes monitoring performance reports to ensure timely delivery and SLA compliance; ensuring that contract deliverables are on-time and in accordance to requirements; providing guidance on contract requirements (with assistance from ICANN legal as appropriate); working closely with the ICANN Policy team; and supporting the CSC and RZERC as needed.
- **Subsequent Procedures for gTLDs** – Consistent with the Consensus Policy Implementation Framework, the GDD Strategic Programs team monitors the subsequent procedures for gTLDs PDP with an eye toward implementation. The team works closely with the ICANN Policy team to provide subject-matter expertise as appropriate to inform PDP deliberations. Upcoming work will include an implementation feasibility analysis of the initial recommendations (once published) and internal cross-functional preparations and planning for implementation of PDP recommendations.

Major Assumptions

Expected changes until the end of FY19

- ⦿ Privacy/Proxy Provider Program becomes operational and requires additional resources
- ⦿ All contracted parties use NSp, enabling streamlined support
- ⦿ Resolution of most remaining new gTLD applications
- ⦿ GDPR compliance work (internally and with contracted parties) has major resource implications for ICANN through FY19
- ⦿ Board action on Competition, Consumer Trust and Consumer Choice Review Team final report will create additional work to implement Board-approved recommendations
- ⦿ Outcome of Expedited PDP on the Temporary Specification for gTLD Registration Data may create implementation-related work
- ⦿ Commencement of the first IANA Naming Function Review

Expected changes during FY20:

- ⦿ Workload increases (PTI-related functional reviews, Applicant Guidebook drafting, proxy/privacy provider support, etc.)
- ⦿ NSp becomes the system of record for supporting all contracted parties
- ⦿ GSC provides level 0 support to compliance
- ⦿ Scope for the ARR expands to include the addition of review team and policy recommendations
- ⦿ Pressure increases for technical compliance monitoring as registries' business models fail
- ⦿ Subsequent implementation planning procedures trigger a new round of negotiations for the registry and registrar agreements
- ⦿ Board action on the RDS Review Team 2 final report would create additional work to implement Board-approved recommendations
- ⦿ Completion of subsequent procedures for New gTLD PDP would lead to implementation-related work

Priorities during FY20

- ⦿ Lead implementation of Board-approved policy recommendations from the expedited PDP
- ⦿ Lead implementation of Board-approved recommendations from the CCT and RDS reviews
- ⦿ Support ICANN Bylaws-mandated, community-led reviews
- ⦿ Ensure that PTI and Verisign meet their contractual obligations
- ⦿ Support subsequent procedures for gTLDs activities
- ⦿ Make NSp the support system of record for all contracted parties
- ⦿ Support Universal Acceptance Steering Group (UASG) and Registrant Program activities
- ⦿ Train and ramp up GSC personnel and processes to manage, resolve, and escalate compliance inquiries
- ⦿ Improve AAR SLAs and add functionality
- ⦿ Drive the current round of the New gTLD Program to closure
- ⦿ Evolve the Registrar Data Escrow service and WHOIS ARS as the GDPR drives changes in RDS
- ⦿ Support GDPR implementation and other privacy laws
- ⦿ Address required changes to contracts and services in response to GDPR
- ⦿ Improve service level quality to contracted parties
- ⦿ Enhance outreach efforts and relationships with contracted parties
- ⦿ Support ICANN.org and transition to the ITI

Risks and Opportunities

Risks

- ⦿ More work as the new gTLD Subsequent Procedures PDP WG converges on recommendations; this affects departmental resources across ICANN org
- ⦿ Continued cancellations of drop catching registrars
 - FY18 has seen a loss of a group of 447 registrars
- ⦿ Unknown scalability due to complexity of processing in NSp
- ⦿ Fewer personnel with firsthand knowledge as the timeline for the New gTLD Program lengthens
- ⦿ GDPR's impact on the Data Escrow Program and Privacy/Proxy Provider Accreditation process
- ⦿ Turnover and attrition if the work load continues to increase without adding personnel
- ⦿ Engineering's inability to deliver the systems as ICANN org scales operations without resources to deliver on prioritized projects

Opportunities

- ⦿ Expand services
- ⦿ Improve cross training of services among team members
- ⦿ Evolve Data Escrow Program
- ⦿ Evolve the EBERO Program
- ⦿ Improve SLT commitments for registrants and contracted parties
- ⦿ Improve customer satisfaction and compliance scalability at lower cost
- ⦿ Improve scalability and Customer Relationship Management (CRM) through NSp enhancements
- ⦿ Improve visibility of advice and recommendations
- ⦿ Enable ITI personnel to post status to ICANN.org
- ⦿ Standardize criteria for privacy/proxy service providers
- ⦿ Enhance other services by leveraging the cost reductions in the WHOIS ARS toolset

Projects and Activities NOT Included in the Budget Submission

gTLD Subsequent Procedures PDP Working Group

This Working Group reviews existing policies to introduce new gTLDs and recommends changes or new policies for subsequent procedures for new gTLDs. In accordance with the Consensus Policy Implementation Framework, GDD planned in FY19 and FY20 to support the PDP Working Group (see GDD Strategic Programs section above). This support includes providing data and information to inform the PDP Working Group's deliberations, including feasibility analysis of recommendations. When the recommendations are submitted to the Board, ICANN org will provide a cost assessment and work with the Board to identify resources and funds to implement the adopted recommendations. Until then, no implementation resources are included in the budget.

Technical Compliance Monitoring

Technical compliance monitoring (internal) automates the technical requirement monitoring included in the registry agreements. Responses to a request for proposals (RFP) issued in late 2017 are under review, but no path forward has been set. Depending on the RFP results, ICANN org will develop a plan (and work with the Board if needed) to identify resources and funds to implement the project.

GDPR

Since the scope of GDPR requirements is not finalized, there may be unforeseen program costs. Any changes to business practices as a result of the GDPR are considered part of the normal course of business. In this case, contingency dollars will be allocated to GDPR.

Address Field Accuracy Validation (AFAV)

As this program has not reached a definitive outcome, there may be additional unforeseen costs and resources associated with its implementation. Once it is agreed upon and settled, ICANN org will provide a cost assessment for implementation and work with the ICANN Board to identify resources and funds to support implementation of the program. Until then, no resources are included in the budget for implementation.

FY20 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 3: DNS Marketplace and Identifier Ecosystem						
2.1.1 Registration Directory Services (WHOIS)	0	0.0	0.0	0.4	0.0	0.4
2.1.2 Global Domains Division (GDD) Strategic Programs	6	1.1	0.0	0.0	0.0	1.2
2.1.3 PTI Operations	29	5.9	0.4	1.0	0.3	7.5
2.1.4 Global Domains Division (GDD) Operations	36	5.3	0.2	2.6	0.3	8.4
2.3.1 GDD Technical Services	5	1.2	0.0	0.5	0.0	1.7
2.3.3 Registrar Services	4	0.7	0.0	0.1	0.0	0.9
2.3.4 Registry Services	10	1.7	0.0	0.2	0.0	1.9
2.3.5 Domain Name Services	5	1.1	0.1	0.2	0.1	1.6
2.3.6 Internationalized Domain Names and Universal Acceptance	2	0.3	0.1	1.5	0.0	1.8
Total	97	17.5	0.8	6.5	0.7	25.5

Module 4 – Technology and DNS Security

Overview

RESEARCH

ICANN Office of the Chief Technology Officer (OCTO) Research department falls under:

ICANN Strategic Plan Objective 2	Support a Healthy, Stable, Resilient, and Unique Identifier Ecosystem
Goal 2.1	Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem
Goal 2.2	Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities

The OCTO Research department supplies facts to the ICANN community, Board, and organization to inform policy development discussions that affect management of the Internet’s system of unique identifiers that ICANN helps coordinate. To create and disseminate information, we engage in the following tasks:

- ⦿ Explore how the Internet’s system of unique identifiers is used
- ⦿ Create presentations, white papers, blogs, etc., that publish findings and analyses of those explorations
- ⦿ Work directly with community members, Board members, and others to improve the understanding of how the Internet works, particularly in areas directly involving ICANN

IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCE

The Identifier System Security, Stability and Resiliency (SSR) department’s activities fall under:

ICANN Strategic Plan Objective 2	Support a Healthy, Stable, Resilient, and Unique Identifier Ecosystem
Goal 2.1	Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem
Goal 2.2	Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities

To serve these goals, the SSR department facilitates community understanding of the misuse of the identifier systems within ICANN's mission scope.

Major activities include training and capacity building events to educate the community and stimulate discussions about abuse and misuse of the Internet's system of unique identifiers. Personnel often provide subject matter expertise to mitigate identifier system abuse.

Major Assumptions

RESEARCH

Expected changes from FY19 to FY20:

- ⦿ After demonstrating that the collection of root server system query data from the L-Root server is equivalent to collecting similar data from other root servers, the Research team will discontinue obtaining data from the B, D and F-Root servers
- ⦿ We shall further define the Identifier Technologies Health Indicators (ITHI) metrics and systematically collect those metrics

Priorities during FY20:

- ⦿ Complete the transition of the Open Data Initiative to Operations
- ⦿ Supporting Operations efforts to publish additional data sets in the Open Data Initiative
- ⦿ Further define and refine the Identifier Technology Health Indicators
- ⦿ Support the Name Collision Analysis Project (NCAP)
- ⦿ Expand the ICANN DNS Symposium and bring new developments and innovations in DNS technologies to the community
- ⦿ Improve community understanding of the Internet's system of unique identifiers

IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCY

Expected changes from FY19 to FY20:

- ⦿ Move the DAAR system to production and release monthly reports
- ⦿ Study the abuse eco system and data as presented by DAAR and other projects to inform the community and policy development processes (the SSR department is responsible for increasing understanding of abuse and other threats to the Identifier system)

Priorities during FY20:

- ⦿ Expand the ICANN DNS Symposium to communicate developments in DNS security and abuse
- ⦿ Improving community understanding of DNS abuse and its implications
- ⦿ Publish data through the Open Data Initiative

Risks and Opportunities

RESEARCH

- ⦿ Sensitivity about the implications of health indicators delays or reduces the usefulness of the Identifier Technologies Health Indicators

IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCY

- ⦿ Failure to understand DNS abuse statistics provided by the DAAR system impedes their usefulness in policy discussions
- ⦿ Lack of capacity-building resources undermines understanding of identifier system abuse and its mitigation

FY20 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 4: Technology & DNS Security						
2.2.2 Identifier Evolution	16	4.4	0.5	0.5	0.5	6.0
Total	16	4.4	0.5	0.5	0.5	6.0

Module 5 – Contractual Compliance and Consumer Safeguards

Overview

CONTRACTUAL COMPLIANCE

ICANN Contractual Compliance department falls under:

ICANN’s Strategic Plan Objective 4	Promote ICANN’s Role and Multistakeholder Approach
Goal 4.4	Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest

The Contractual Compliance department ensures that ICANN-contracted parties (registries and registrars) demonstrate compliance with agreements and community policies. To accomplish this, the team proactively monitors, reaches out, audits, and responds to complaints filed with ICANN (reactive). In addition, the department contributes to community policy development and reviews.

CONSUMER SAFEGUARDS

The Consumer Safeguards department facilitates community education and discussions on ICANN-related safeguards and topics concerning Internet-related consumer protection efforts by others (e.g., registries, registrars, government organizations, etc.).

Major activities include:

- ⦿ Hold webinars
- ⦿ Create podcasts and other content to educate community members and foster discussions on consumer safeguards
- ⦿ Facilitate sessions at ICANN meetings as requested and supported by the community

Major Assumptions

CONTRACTUAL COMPLIANCE

Expected changes from FY19 to FY20:

- ⦿ Change contractual compliance reviews and procedures due to GDPR impact

- ⦿ Potentially change enforcement of the Temporary Specification
- ⦿ Enhance audits with additional resources for Transparency in Infrastructure Abuse
- ⦿ Generate narratives and reports to support ICANN org initiatives
- ⦿ Replace existing tools due to changes in IT solutions
- ⦿ Support the different ICANN org initiatives (e.g., Open Data Initiative, ITHI data requests)
- ⦿ Respond to increased demand on compliance resources to support policy, reviews, etc.
- ⦿ Potential change contractual compliance ticketing system

Priorities during FY20:

- ⦿ Manage the impact of GDPR compliance
- ⦿ Support the outcome of the ePDP
- ⦿ Take on ITI responsibilities for web related work
- ⦿ Monitor and enforce DNS infrastructure abuse
- ⦿ Continue to address external complaints
- ⦿ Continue to address internal referrals to compliance from departments such as Technical Services, Finance, etc.
- ⦿ Conduct ongoing audits
- ⦿ Conduct audits that are particularly related to DNS infrastructure abuse
- ⦿ Improve compliance transparency
- ⦿ Continue to develop the compliance team
- ⦿ Conduct ICANN org initiatives that affect compliance

CONSUMER SAFEGUARDS

Priorities during FY20:

- ⦿ Facilitate transparent community-wide discussions on consumer safeguard-related topics and educate the Empowered Community through webinars, meetings, podcasts, and blogs
- ⦿ Support consensus-based PDPs that originate from within community discussions about consumer safeguards
- ⦿ Partner with OCTO to educate the community and engage with contracted parties to facilitate DNS abuse remediation
- ⦿ Represent ICANN org in the Internet & Jurisdiction DNS Abuse Working Group and participate in meetings and the sub-working group on Transparency

Risks and Opportunities

CONTRACTUAL COMPLIANCE

- ⦿ Community demand for contractual compliance resources is increasing in the following areas:
 - ⦿ Transparency in reporting, data, and detailed explanations of compliance actions
 - ⦿ Complexity of issues
 - ⦿ Expanding scope of work (e.g., GDPR, Temporary Specification and/or ePDP and DNS infrastructure abuse)
 - ⦿ Support for third-party demand activities (e.g., review teams, policy working groups, etc.), internal cross-functional projects and ICANN-specific projects like the NSp and ITI
- ⦿ GDPR and Temporary Specification; ePDP impact on the Contractual Compliance department
- ⦿ Increased demands of issue complexity (e.g., DNS infrastructure abuse, requirements of and/or conflicts with local law, creativity of contracted parties and their business models)
- ⦿ Increased dependency on the legal department as a result of the GDPR and Enforcement of Temporary Specification/ePDP
- ⦿ Increased contract interpretation challenges (e.g., whether and when an RSEP is required)
- ⦿ Ability to respond to the ICANN community’s demands for data transparency
- ⦿ Support requirements to implement on-going requirements of the Privacy/Proxy Accreditation Program

CONSUMER SAFEGUARDS

- ⦿ A lack of community input and participation poses a risk to department goals and objectives
- ⦿ With sufficient community support, and cooperation from ICANN departments, there is an opportunity to address and reduce abuse within the DNS

FY20 Budgeted Portfolios

Modules	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 5: Contractual Compliance and Consumer Safeguards					0.0	
4.4.1 Contractual Compliance and Safeguards	1	0.5	0.0	0.0	0.0	0.5
4.4.2 Contractual Compliance Function	27	3.9	0.1	0.6	0.1	4.7
Total	29	4.4	0.1	0.6	0.1	5.2

Module 6 – Reviews

Overview

Reviews are a key to ICANN accountability. [Organizational Reviews](#) and [Specific Reviews](#) enable independent assessment of ICANN’s performance of its commitments. The reviews result in progress reports that:

1. Demonstrate how ICANN org, the ICANN community, and the ICANN Board fulfill their commitments
2. Identify areas for improvement

Previously, the Multistakeholder Strategy and Strategic Initiatives (MSSI) department set a baseline assumption for standard review costs for Specific Reviews and Organizational Reviews. The number of review team members who need travel support directly affects Specific Review costs, but there difficult accurately estimate this number. To predict review expenditures and exercise fiscal responsibility, ICANN org plans to:

- ⦿ Implement a new standard assumption of 10 supported travelers for each review
- ⦿ Encourage remote participation options and other cost effective travel options (i.e.; leveraging ICANN public meetings) while also enabling each review team to decide how to best use the travel budget to meet its needs

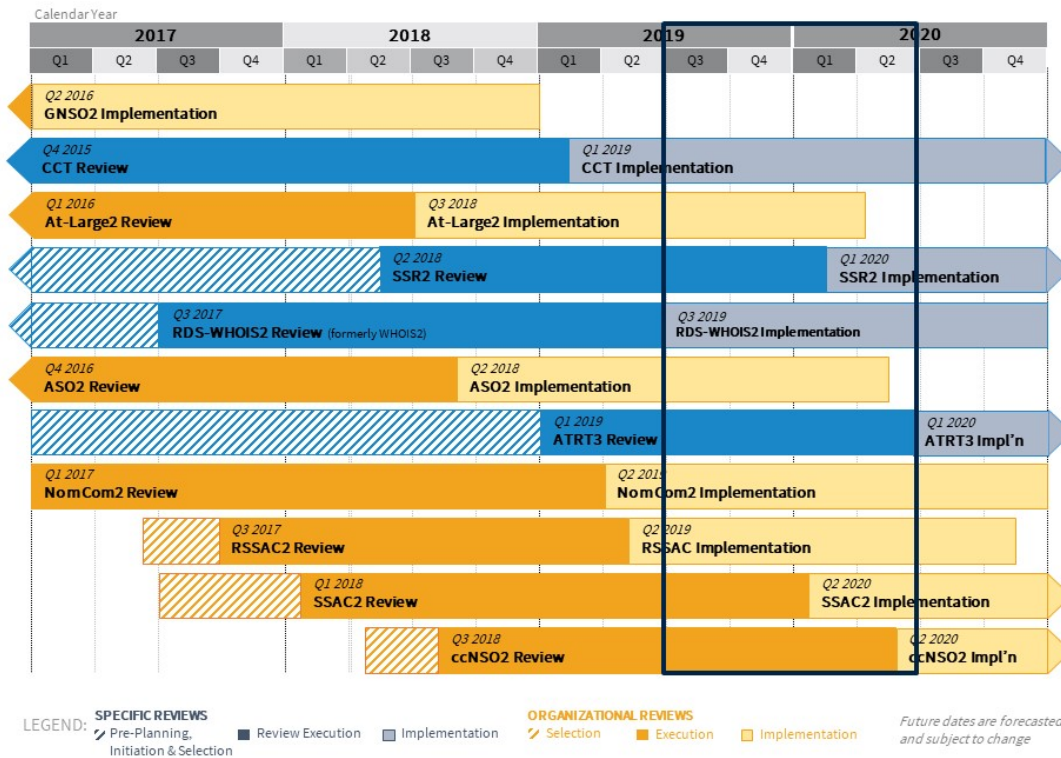
SPECIFIC REVIEW

(Baseline Assumptions)	Planning (USD)	Conduct Review (USD)	Implementation (USD)
Travel & Meetings	0	195,000	0
Professional Services	0	350,000	100,000
Total Cost per Review	0	545,000	100,000

ORGANIZATIONAL REVIEW

(Baseline Assumptions)	Planning (USD)	Conduct Review (USD)	Implementation (USD)
Travel	0	\$0.02M	0
Professional Services	0	\$0.205M	0
Total Cost per Review	0	\$0.225M	0

Reviews Timeline



The boxed area in the preceding chart depicts the review phases that will occur in FY20. Ten reviews will be in various stages of work during the upcoming fiscal year. The darker shading in the schedule indicates the review is underway; the lighter shading indicates the review is in the implementation phase. For example, the Second Security, Stability and Resiliency of the Domain Name System Review (SSR2) will still be underway during the first half of FY20, and implementation will begin during the second half of FY20.

- Because specific reviews are a community-led process, several key drivers of the review budget are not within MSSSI’s control and are often difficult to predict. These include the number of review team members that require travel support, the time required by the review team to complete their work and draft a report, and whether external contractors will be needed to fill the skill/knowledge gap. Some of these factors affect the overall budget for the review, and others affect the timing of expenses.
- Operating Standards for Specific Reviews (targeted for Board adoption in April 2019) may provide useful guidance and improve consistency, predictability, and efficiency in future reviews – and consequently future budgeting for these reviews.
- ICANN org cannot reasonably estimate the implementation cost associated with Board-approved recommendations from specific reviews until a detailed feasibility assessment and implementation planning are completed. Once these costs are estimated, budgeting will fall into the routine cycle of ICANN operating planning and budgeting.

Major Assumptions

MSSSI will transition from managing 11 reviews in FY19 to overseeing implementation of a significant number of recommendations in FY20.

There is an additional impact because volunteer-led review teams will be accountable to their communities and have a greater role in reviews after the transition mentioned earlier. Using input from the community, ICANN org has been developing Operating Standards for Specific Reviews which the Board is expected to adopt in April 2019. This will bring clarity and consistency to the review process.

To enhance the capabilities of the community-led review teams, ICANN org is developing review-support services as a management discipline that follows industry standards, best practices, and the benefits of the Project Cost Support Team (PCST) model. This includes:

- ⦿ Enhanced tracking and reporting capabilities that support fact-based decisions (by ICANN org, the Board and the community)
- ⦿ Real-time reporting of progress and key performance indicators

To respond to increasing review-related demands and address review-streamlining discussions within the community, ICANN org proposed a series of next steps, including public comment period that closed on 5 October. This proposal and the community response will influence streamlining of the review process, which will continue in FY20.

Operating Standards will be finalized with community support in April 2019, and they will be operationalized consistently for all specific reviews. This will improve the predictability of reviews in FY20.

SPECIFIC REVIEWS

The uncertain timing of Specific Reviews and resultant delays pushed much of the original FY19 travel and professional services budget into FY20, specifically ATRT3 and SSR2. Such timing differences are an integral part of reviews; a multiyear cost evaluation provides the most insight, as shown in the Review Fact Sheets.

Status of Specific Reviews:

⦿ Competition, Consumer Choice and Consumer Trust Review Team (CCT)

The CCT review team began its work on 13 January 2016 and published a draft report for public comment on 7 March 2017. Supplementary sections were added to the draft report on 27 November 2017, and the review team received input from the ICANN Board. The team submitted a final report to the ICANN Board on 8 September 2018. Based on Bylaws requirements, the final report was posted for public comment. Board action on the final report and recommendations is required within six months from delivery of the final report by the review team.

The CCT review will enter the implementation phase during FY20, and work will shift from providing project-management support for the CCT-RT, to streamlined management of the cross-functional implementation efforts for as many as 35 recommendations that have been submitted to the Board for consideration.

⦿ Second Security, Stability and Resiliency of the Domain Name System Review (SSR2)

The Board paused SSR2 so that SOs/ACs could consider adjusting the scope, terms of reference, work plan, skill set, and resources allocated to the review. In response to the SO/AC chairs' [15 February letter](#) and [13 March request](#) to the Organizational Effectiveness Committee of the ICANN Board (OEC), ICANN org engaged an external professional to assist in the transition process and help the review team recommence its work. On 7 June 2018, SSR2 was restarted, and new review team members were added as well as a facilitator to assist with the transition. As a result of the seven-month pause in FY18, the review team will complete work during the first half of FY20.

⦿ Registration Directory Service-WHOIS 2 Review Team (RDS-WHOIS2)

RDS-WHOIS2 published its draft report and recommendation for Public Comment on 4 September 2018. The public comment closed on 4 November 2018. The review team plans to submit a final report to the Board in December 2018. The Board will have up to six months to take action, after which the implementation planning and work will begin in FY20.

⦿ **Accountability and Transparency Review Team 3 (ATRT3)**

ATRT3 was officially launched in January 2017 with a call for volunteers. To date, five out of the seven SOs and ACs nominated people to serve on ATRT3. SO/AC chairs have yet to make the final selection. Community input was sought on ATRT3 as part of the [Short-Term Options To Adjust the Timeline for Specific Reviews](#) public comment period, which closed on 31 July 2018. Three options were suggested: (1) no change; (2) limit review to implementation of prior recommendations; and (3) commence work upon Board action on CCWG-WS2 recommendations. The Public Comment proceeding garnered few comments, and the community is not unanimous on when ATRT3 Review should start. There was some support for all three options – with no clear path forward. In coordination with the ICANN Board through the Organizational Effectiveness Committee, ICANN org generated a consultation paper on next steps, which has been being reviewed. This paper was published for a 30-day [public comment](#) period on 5 September 2018, seeking to confirm the way forward with the community, based on the public comments. The consultation paper proposed that SOs/ACs and the Board should complete their nominations by 30 November 2018, with the goal of starting ATRT3 Review Team’s work in January 2019 and continuing in to FY20.

ORGANIZATIONAL REVIEWS

The ccNSO review will conclude its review phase in FY20. The ccNSO review and remaining four active organizational reviews will go through the implementation phase in FY20, with some expected to conclude during FY20 and some in FY21.

⦿ **SSAC Review**

The SSAC Review was delayed due to Board concerns over the selection of an independent examiner. The independent examiner began work in February 2018 and submitted a final report December 2018. During FY20 the implementation work will take place.

⦿ **ccNSO Review**

The start of the ccNSO review was deferred from FY18 to FY19 at the request of the ccNSO due to community bandwidth limitations. The independent examiner began the review work in August 2018. During FY20 the final report will be submitted for Board consideration of next steps. FY20 will also see the start of the implementation work.

⦿ **NomCom Review**

Subject to the forthcoming Board approval in FY19, the NomCom review implementation will start in FY20, with an expected completion date in FY21.

⦿ **RSSAC Review**

Subject to forthcoming Board approval in FY19, the RSSAC review implementation will start in FY20, with an expected completion date in FY21.

⦿ **At-Large Review**

Following Board approval in FY19, the At-Large review implementation started in FY19 and is expected to continue throughout FY20.

Risks and Opportunities

Risks

The following items were identified as potential impasses on the review [process flowcharts](#):

- ⦿ Uncertainties about how specific review teams will be monitored by the communities that appoint them
- ⦿ Uncertainty about how the ICANN Board will handle potentially problematic final recommendations and what the community's reaction will be if a large number of recommendations are rejected by the Board

Review teams receive a budget envelope for the entire review at the start of their work. Therefore, it is important to provide them with clear updates and compelling justifications for changed budgeting assumptions that have an impact on their work. The change to a “standard” number of 10 supported travelers is an example of this.

Opportunities

- ⦿ Efficiency gains, including operationalizing the Operating Standards
 - Streamlining and improving processes to align with the operationalization of operating standards
 - Implementing process improvements from lessons learned

- ⦿ Improved departmental work with the community and improved Specific Review processes
- ⦿ Reduced need for a requested expenditure to implement Specific and Organizational Reviews (MSSI plans to manage and coordinate this task using the existing MSSI personnel and will assess the need for external resources based on the number and nature of approved recommendations and the pace and phasing of implementation work)
- ⦿ Establishing a shared understanding (between the Board, the community, and ICANN org) to move forward with improvements to reviews

Currently, the Bylaws require reviews every five years from the date that the previous review team was convened, except for CCT, which begins after a new gTLD round has been in operation for one year. Specific Reviews streamlining and long-term improvements will continue during FY20. Based on public comments and [Next Steps on Reviews](#), ATRT3 can formulate guidance on how to streamline Specific Reviews by July 2019 and issue a final report (including guidance) in December 2019, with the Board taking action in June 2020.

FY20 Budgeted Portfolios

Modules	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 6: Reviews						
5.2.2 Organizational Reviews	1	0.2	0.0	0.0	0.0	0.2
5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	2	0.4	0.2	0.3	0.0	0.9
Total	4	0.6	0.2	0.3	0.0	1.1

Section 2: Operating Plan by Objectives, Goals and Portfolios

Management System

ICANN's Five-Year Operating Plan informs the FY20 Operating Plan and Budget. The FY20 Operating Plan and Budget is aligned to the Five-Year Operating Plan in phasing and Accountability Indicators. This allows us to map all activities and resources back to the five main Strategic Objectives developed by a community driven bottom up process.

Five Objectives	These were reviewed and revised during the development of ICANN Strategic Plan for fiscal years 2016–2020, which was Draft by the Board in October 2014.
16 Goals	Owned by the President and CEO's executive team. Each goal has defined Key Success Factors to clarify what constitutes progress towards achieving a goal.
41 Portfolios	Each goal contains a set of portfolios, which are groups of related projects. Portfolios also have defined success metrics.
Over 220 Projects	Projects reflect ongoing work. Expenses are budgeted at the project level. A breakdown of all projects is linked from the Appendix. The budgeted amounts in this document are inclusive of capital expenditures and multiyear projects.

The budget amounts for each portfolio in the following sections are provided by cost category:

Meaning	Abbreviation
Personnel	Pers
Travel and Meetings	T&M
Administration	Admin
Capital	Capital
Full Time Equivalent	FTE

Values are shown in millions, USD. The term FTE refers to the full-time personnel equivalent dedicated to each portfolio.

The next page shows how 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

1.1 Further Globalize and Regionalize ICANN Functions

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

1.1.1 – Language Services

Work to provide translation and interpretation services to the community. This includes work to support community-led translations.

1.1.2 – Raising Stakeholder Awareness of ICANN Worldwide

Work to raise awareness of ICANN’s mission, its multistakeholder model and its work. This work is related to other work measuring communications activities including social and traditional media monitoring and measurement, global newsletter open rates and reach of speaking engagements.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.1.1 Language Services	8	0.8	0.1	1.9	0.1	2.9
1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	17	3.1	0.2	0.6	0.0	3.9
Total	25	\$3.9	\$0.2	\$2.5	\$0.1	\$6.7

1.2 Bring ICANN to the World by Creating a Balanced and Proactive Approach to Regional Engagement with Stakeholders

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

1.2.1 – Meeting Services

Work associated with planning and running the three annual ICANN public meetings.

1.2.2 – Enhance cooperation and partnerships regionally to lower barriers and increase regional engagement with ICANN

Facilitation of Regional Engagement in ICANN and Engagement Measurement & Planning. Includes work supporting regional and functional engagement strategies, regional and functional area work plans, stakeholder engagement participation in ICANN.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.2.1 Meeting Services	8	1.7	5.6	3.1	0.8	11.2
1.2.2 Enhance cooperation and partnerships regionally to lower barriers and increase regional engagement with ICANN	26	5.0	0.9	1.8	0.2	8.0
Total	35	\$6.7	\$6.5	\$4.9	\$0.9	\$19.1

1.3 Evolve Policy Development and Governance Processes, Structures and Meetings to be More Accountable, Inclusive, Efficient, Effective and Responsive

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

1.3.1 – Support Policy Development, Policy Related and Advisory Activities

Work to optimize the efficiency and effectiveness of community policy development and advice efforts.

1.3.2 – Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities

Work to help ICANN Supporting Organizations and Advisory Committees increase their effectiveness through structured measurement and reporting.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.3.1 Support Policy Development, Policy Related and Advisory Activities	35	4.9	0.6	0.7	0.1	6.3
1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	2	0.1	2.8	0.0	0.0	2.9
Total	36	\$5.0	\$3.4	\$0.7	\$0.1	\$9.3

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

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

2.1.1 – Registration Data Services (RDS aka WHOIS)

Work related to enhancing and evolving RDS aimed at promoting trust and confidence in the Internet for all stakeholders.

2.1.2 – Global Domains Division (GDD) Strategic Programs

Work related to GDD strategic programs in support of a healthy, secure, stable and resilient identifier ecosystem.

2.1.3 – PTI Operations

Work relating to operational responsibilities for maintaining registries for protocol parameters, IP numbers, Autonomous System Numbers, and root zone changes. Maintenance of relationship with Internet Engineering Task Force (IETF), Internet Architecture Board (IAB), five Regional Internet Registries (RIRs), and TLD operators. Work to improve and develop software, tools, and other discrete projects to improve delivery of the IANA services.

2.1.5 – Global Domains Division (GDD) Operations

Work to support the implementation and delivery of services to contracted parties by GDD. This includes continuous improvement work for service design and delivery.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.1.1 Registration Directory Services (WHOIS)	0	0.0	0.0	0.4	0.0	0.4
2.1.2 Global Domains Division (GDD) Strategic Programs	6	1.1	0.0	0.0	0.0	1.2
2.1.3 PTI Operations	29	5.9	0.4	1.0	0.3	7.5
2.1.4 Global Domains Division (GDD) Operations	36	5.3	0.2	2.6	0.3	8.4
Total	71	\$12.4	\$0.6	\$4.0	\$0.6	\$17.6

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

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

2.2.1 – Security, Stability and Resiliency of Internet Identifiers

Work to observe, assess and improve the security, stability, and resiliency of the Internet’s Identifier systems. This work includes a range of activities including risk awareness and preparedness, measurement and analysis of identifier system behaviors or performance, and cooperative outreach that emphasizes coordination, capability building, and knowledge transfer.

2.2.2 – Identifier Evolution

Work to support the evolution of the Internet’s system of unique identifiers through venues such as the IETF, DNS Operations, Analysis, and Research Center (DNS-OARC), World Wide Web Consortium (W3C), the RIRs and other relevant bodies.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.2.1 Security, Stability and Resiliency of Internet Identifiers	0	0.0	0.3	0.1	0.3	0.7
2.2.2 Identifier Evolution	16	4.4	0.5	0.5	0.5	6.0
Total	16	\$4.4	\$0.8	\$0.5	\$0.9	\$6.6

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

In FY20, ICANN will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

2.3.1 – GDD Technical Services

Work to enhance systems, services and technical subject matter expertise related to a safe, secure and reliable operation of the DNS.

2.3.2 – New gTLD Program

Work to support all aspects of the New gTLD Program.

2.3.3 – Registrar Services

Work to support managing the contracts, defining new services and building a strong relationship with current and future registrar operators.

2.3.4 – Registry Services

Work to support managing the contracts, defining new services and building a strong relationship with current and future registry operators.

2.3.5 – Domain Name Services

Work to support the Domain Name Services and Industry Engagement team.

2.3.6 – Internationalized Domain Names and Universal Acceptance

Work to support the introduction and universal acceptance and adoption of Internationalized Domain Names.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.3.1 GDD Technical Services	5	1.2	0.0	0.5	0.0	1.7
2.3.2 New gTLD Program	0	0.0	0.0	2.0	0.0	2.0
2.3.3 Registrar Services	4	0.7	0.0	0.1	0.0	0.9
2.3.4 Registry Services	10	1.7	0.0	0.2	0.0	1.9
2.3.5 Domain Name Services	5	1.1	0.1	0.2	0.1	1.6
2.3.6 Internationalized Domain Names and Universal Acceptance	2	0.3	0.1	1.5	0.0	1.8
Total	26	\$5.1	\$0.2	\$4.4	\$0.1	\$9.9

3.1 Ensure ICANN’s Long-Term Financial Accountability, Stability and Sustainability

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

3.1.1 – Internal Facing Operations

Work supporting the full range of internal-facing operations. The work includes managing the Action Request Register, Risk Management, and all organizational improvement activities. This includes GSE Cross-Organizational Collaboration and GSE Administration.

3.1.2 – Finance and Procurement

Work to deliver all Finance and Procurement functions for the entire organization, in all locations. This includes accounting, reporting and analysis, planning, tax, audit, procurement and sourcing.

3.1.3 – Strategic and Operating Planning

Work to review and update all ICANN's strategic and operating planning documents, as required by the Bylaws.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.1.1 Internal Facing Operations	16	3.6	0.3	0.6	0.3	4.8
3.1.2 Finance and Procurement	19	5.4	0.4	0.9	1.6	8.2
3.1.3 Strategic and Operating Planning	1	0.3	0.0	0.1	0.0	0.5
Total	36	\$9.4	\$0.8	\$1.6	\$1.8	\$13.5

3.2 Ensure Structured Coordination of ICANN’s Technical Resources

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

3.2.1 – IT Infrastructure, Cybersecurity Hardening and Control

Work to maintain performance of the systems supporting all ICANN operations.

3.2.2 – Root Systems Operations

Work to support the continued development of the root server system to ensure its ongoing security, stability, and resiliency as DNS technology and operations change over time. This includes maintaining relationships with the Root Server Operators, RSSAC and related stakeholders.

3.2.3 – IT Service Scaling and Product Management

Work towards a top-tier global IT infrastructure performing at 99.999% uptime. Have ICANN recognized by the global community as having technical excellence and thought leadership.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.2.1 IT Infrastructure, Cybersecurity Hardening and Control	9	1.4	0.1	0.1	0.8	2.3
3.2.2 Root Systems Operations	10	1.8	0.3	0.3	0.9	3.3
3.2.3 IT Service Scaling and Product Management	42	8.7	0.3	1.9	4.9	15.8
Total	62	\$11.9	\$0.6	\$2.2	\$6.6	\$21.4

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

In FY20, ICANN will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

3.3.1 – People Management

Work to establish and develop the right mix of skills to accomplish critical business needs at both leadership and organization level. This includes talent acquisition, leadership development, team effectiveness, learning and skill development and organizational change management.

3.3.2 – Global Operations

Work to support the globalization of operations functions, such as Human Resources (HR) and Finance.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.3.1 People Management	15	3.0	0.0	0.2	0.4	3.7
3.3.2 Global Operations	13	3.6	0.5	0.2	6.5	10.8
Total	29	\$6.6	\$0.5	\$0.3	\$6.9	\$14.5

4.1 Encourage Engagement with the Existing Internet Governance Ecosystem at National, Regional and International Levels

In FY20, ICANN org will deliver work described in this portfolio of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolio

4.1.1 – Coordination of ICANN Participation in Internet Governance

Work coordinating ICANN's support for and participation in the Internet governance ecosystem and collaboration with other entities in the ecosystem on projects and initiatives of shared interest.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.1.1 Coordination of ICANN participation in Internet Governance	2	0.7	0.1	0.0	0.2	1.1
Total	2	\$0.7	\$0.1	\$0.0	\$0.2	\$1.1

4.2 Clarify the Role of Governments in ICANN and Work with them to Strengthen their Commitment to Supporting the Global Internet Ecosystem

In FY20, ICANN org will deliver work described in this portfolio of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolio

4.2.1 – Working with Governments and Intergovernmental Organizations

Work supporting the activities of the Governmental Advisory Committee and supporting outreach to increase participation in its work.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.2.1 Working with Governments and Intergovernmental Organizations	1	0.4	0.0	0.0	0.0	0.5
Total	1	\$0.4	\$0.0	\$0.0	\$0.0	\$0.5

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

In FY20, ICANN org will deliver work described in this portfolio of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolio

4.3.1 – Support Internet Governance Ecosystem

Work within the Internet Governance ecosystem to support multistakeholder distributed approaches in various fora.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.3.1 Support Internet Governance Ecosystem	5	1.4	0.1	0.2	0.1	1.7
Total	5	\$1.4	\$0.1	\$0.2	\$0.1	\$1.7

4.4 Promote Role Clarity and Establish Mechanisms to Increase Trust within the Ecosystem Rooted in the Public Interest

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

4.4.1 – Contractual Compliance and Safeguards

Work relating to the full set of Contractual Compliance activities, measurements and engagement. This also includes work done in cooperation with the Consumer Safeguards team.

4.4.2 – Contractual Compliance Function

Work to ensure compliance by registrars and registries with their contractual obligations to ICANN org and to report back to the community.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.4.1 Contractual Compliance and Safeguards	1	0.5	0.0	0.0	0.0	0.5
4.4.2 Contractual Compliance Function	27	3.9	0.1	0.6	0.1	4.7
Total	29	\$4.4	\$0.1	\$0.6	\$0.1	\$5.2

5.1 Act as a Steward of the Public Interest

In FY20, ICANN will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

5.1.1 – Legal Support and Advice

Legal support for all functions at ICANN.

5.1.2 – Support ICANN Board

Work to support the ICANN and PTI Boards of Directors.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.1.1 Legal Support and Advice	9	2.7	0.0	2.0	0.1	4.8
5.1.2 Support ICANN Board	12	2.4	1.0	1.3	0.2	4.8
Total	21	\$5.1	\$1.0	\$3.2	\$0.3	\$9.6

5.2 Promote Ethics, Transparency and Accountability Across the ICANN Community

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

5.2.1 – Enhancing ICANN Accountability - WS2

Work relating to the CCWG-Accountability, which is able to produce recommendations that provide assurance that ICANN is accountable in the absence of its historical contractual relationship with the U.S. Government.

5.2.2 – Organizational Reviews

Work to conduct Organizational Reviews as required by the ICANN Bylaws. This includes all aspects of the review process, including project management and community engagement.

5.2.3 – Specific Reviews (Bylaws Article 4, Section 4.6)

Work to conduct Specific Reviews as required by the ICANN Bylaws. This includes all aspects of the review process, including project management and community engagement.

5.2.4 – Strategic Initiatives

Work to develop an Institutional Confidence Index (long-range) while assembling and refining Accountability-related Key Performance Indicators (KPIs), in line with the Accountability Framework proposed by One World Trust (short-range).

5.2.6 – Accountability and Transparency Mechanisms

Work to support compliance with ICANN's Accountability and Transparency Mechanisms framework.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.2.1 Enhancing ICANN Accountability - WS2	1	0.3	0.0	0.4	0.0	0.7
5.2.2 Organizational Reviews	1	0.2	0.0	0.0	0.0	0.2
5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	2	0.4	0.2	0.3	0.0	0.9
5.2.4 Strategic Initiatives	15	3.2	0.4	0.5	0.1	4.2
5.2.5 Accountability and Transparency Mechanisms	3	0.9	0.0	0.3	0.0	1.3
Total	22	\$5.0	\$0.7	\$1.5	\$0.1	\$7.3

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

In FY20, ICANN org will deliver work described in these portfolios of activities and projects and will measure success through the [Accountability Indicators](#) published on ICANN.org.

Portfolios

5.3.1 – Supporting Public Interest Initiatives

Work to broaden and support the multistakeholder model through initiatives related to strengthening diversity, supporting the public interest and human rights within ICANN's remit.

5.3.2 – Supporting Stakeholder Participation

Work to broaden and support the multistakeholder model through the Fellowship Program, NextGen@ICANN, Newcomer Program, and Community Onboarding. This includes capacity development programs (in collaboration with GSE, supporting Strategic Goal 1.2).

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.3.1 Supporting Public Interest Initiatives	1	0.1	0.0	0.2	0.0	0.4
5.3.2 Supporting Stakeholder Participation	12	2.0	0.5	0.5	0.2	3.2
Total	13	\$2.2	\$0.5	\$0.7	\$0.2	\$3.6

Appendix A: FY20 Budget by Project

The FY20 Budget by Portfolio and Project document is linked from the ICANN's [financial web pages](#). The documents include the detail of the costs by category for each project, and the full-time equivalent number of allocated personnel. They are provided in both PDF and Excel formats. The Excel includes both sets of information while the PDFs break it out into separate files.

- ⦿ FY20 Budget by Project
- ⦿ FY20 Budget by Portfolio