

The background of the cover is a dark blue world map. Overlaid on the map is a complex network of light blue and white lines and dots, resembling a circuit board or a data network. The lines connect various points across the globe, with a higher density of connections in the Western Hemisphere.

ICANN OPERATING & FINANCIAL PLANS

for FY21-25 (Five-Year)
and FY21(One-Year)

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INTRODUCTION

- About ICANN
- Purpose of the FY21–25 Operating & Financial Plans
- FY21–25 Operating Plan Assumptions
- Relationship to the FY21–25 Strategic Plan

About ICANN

ICANN's mission is to help ensure the stable and secure operation of the Internet's unique identifier systems. Specifically, ICANN:

- Coordinates the allocation and assignment of names in the root zone of the Domain Name System (DNS) and coordinates the development and implementation of policies concerning the registration of second-level domain names in generic top-level domains (gTLDs). In this role, ICANN's scope is to coordinate the development and implementation of policies:
 - For which uniform or coordinated resolution is reasonably necessary to facilitate the openness, interoperability, resilience, security, and stability of the DNS, including, with respect to gTLD registrars and registries, policies in the areas described in the Bylaws' Annex G-1 and Annex G-2.
 - That are developed through a bottom-up consensus-based multistakeholder process and designed to ensure the stable and secure operation of the Internet's unique names systems.
- Facilitates the coordination of the operation and evolution of the DNS Root Server System.
- Coordinates the allocation and assignment at the top-most level of Internet Protocol numbers and Autonomous System numbers. In service of its mission, ICANN:
 - Provides registration services and open access for global number registries as requested by the Internet Engineering Task Force (IETF) and the Regional Internet Registries (RIRs).
 - Facilitates the development of global number registry policies by the affected community and other related tasks as agreed with the RIRs.
- Collaborates with other bodies as appropriate to provide registries needed for the functioning of the Internet as specified by Internet protocol standards development organizations. In service of its mission, ICANN's scope is to provide registration services and open access for registries in the public domain requested by Internet protocol development organizations.

ICANN's vision is to be a champion of the single, open, and globally interoperable Internet by being the independent, trusted, multistakeholder steward of the Internet's unique identifiers, and by providing an open and collaborative environment where diverse stakeholders come together in the global public interest to:

- Secure operational excellence in the stewardship of the IANA functions.
- Continuously improve the unique identifier systems.
- Strengthen the security of the Domain Name System (DNS) and the DNS Root Server System.
- Evolve ICANN's governance model to be increasingly effective, transparent, and accountable.
- Improve the effectiveness and inclusiveness of ICANN's multistakeholder policy development processes.
- Anticipate and manage the impact of legislation and regulation.
- Ensure that ICANN is technically robust and financially sustainable.

ROLES AND RESPONSIBILITIES WITHIN ICANN

ICANN provides a service to the world through the performance of a specific set of technical jobs that play a fundamental role in maintaining the stability and security of the Internet. ICANN is an ecosystem made up of three components: the ICANN community, the ICANN Board of Directors, and the ICANN org.

The **ICANN community** works together through a bottom-up process to give advice, make policy recommendations, conduct reviews, and propose implementation solutions for common problems within ICANN's mission and scope.

The fundamental responsibility of the **Board of Directors** is to act in the best interests of ICANN and for the benefit of the Internet community as a whole. It is the duty of the Board to oversee management's performance to ensure that ICANN operates with efficiency and effectiveness, in a fiscally responsible and accountable manner, and in a manner that is responsive to the needs of the global Internet community. The Board is also responsible for setting the strategy of ICANN and oversight of ICANN org's development of the Operating Plan for Board consideration.

The **ICANN organization** is the operational arm of ICANN. ICANN org:

- 1** Focuses personnel and resources on policy development support, event management, registrars and registries support, community support, contract compliance, IANA functions, outreach and capacity development, external services for the broader community (ICANN Managed Root Server, WHOIS, etc.), and internal personnel services.
- 2** Implements the community's recommendations at the direction of the Board within ICANN's mission and scope.
- 3** Accomplishes accountability through transparency, financial responsibility, operational excellence, and continuous improvement while acting in the global public interest in a continuously evolving global environment.

Purpose of the FY21–25 Operating and Financial Plan

The Operating and Financial Plan for Fiscal Years 2021–2025 defines and demonstrates how ICANN org will implement the Strategic Plan for Fiscal Years 2021–2025 (Strategic Plan) that was adopted by the ICANN Board in June 2019. The Strategic Plan enables ICANN to continue to fulfill its mission and meet new and continuously evolving challenges and opportunities.

The FY21–25 Operating & Financial Plan is intended to serve as an overarching, holistic view of the activities ICANN org is undertaking, or will undertake, in support of the Strategic Plan. It is not a replacement for ICANN org’s annual operating plans, but is meant to complement them by providing a comprehensive overview of how ICANN will carry out its mission in the public interest over the next five years. The FY21 Operating Plan is included within this document.

FY21–25 Operating Plan Assumptions

The FY21–25 Operating Plan is forward-looking and USES “base” scenario funding projections. In an effort to present a comprehensive view of projected ICANN org operations over the five-year period, the FY21–25 Operating Plan includes areas of work still under discussion within the community, such as the New gTLD Subsequent Procedures Policy Development Process, New gTLD Auction Proceeds, Organizational and Specific Reviews, and the work on Evolving ICANN’s Multistakeholder Model. (Please see [Appendix A](#), [Appendix C](#), and [Appendix D](#) for more information on these issues.)

APPROACH TO ICANN’S PLANNING PROCESS

ICANN org supports the community-based activities that lead to reviews, recommendations and cross-community working group recommendations, policy drafts, and advice recommendations. After the Board adopts these recommendations and policies, the implementation work of design, planning, scheduling, and delivery starts.

Recommendations and policies progress through various stages such as initiation, development, finalization, Board consideration, implementation planning, and implementation. ICANN begins designing the expected implementation work only as recommendations and policies move forward and reach the stage of Board consideration.

The resources supporting the implementation of these activities consist mainly of ICANN org resources contributing as required based on the nature of implementation work. Some additional specific resources may be required on a case-by-case basis. During the annual planning cycle, the implementation activities expected during the year are incorporated into the annual operating plan.

This approach applies to all the activities described below:

- **Reviews:**

- Reviews concluded with Board-approved recommendations for which an implementation plan is being designed.
- Reviews concluded with pending recommendations.
- Reviews ongoing, with future recommendations to be considered for approval and implementation.

- **Cross-Community Working Groups:**

- Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 (CCWG-Accountability WS2) recommendations have been approved by the Board. Implementation is being designed and will be scheduled for implementation.
- Cross-Community Working Group on New gTLD Auction Proceeds recommendations to be finalized and submitted for Board consideration.

- **Policy Work:**

- Policies in process of implementation.
- Policies development in progress.

More detail on these activities can be found in [Appendix A](#) and [Appendix D](#).

There is a parallel effort underway to address the fact that there are a large number of community recommendations coming out (in addition to recommendations from the Competition, Consumer Trust, and Consumer Choice Review), that will need to be prioritized and resourced for implementation. In June 2019, the Board began a conversation with the leadership of all Specific Review teams to share its thoughts on the need to enhance the effectiveness of review recommendations and their implementation, with a focus on resourcing and prioritization of community recommendations. This conversation led to a draft proposal titled “Resourcing and Prioritization of Community Recommendations,” which has been socialized with the community. This work is expected to evolve to reflect public input including from the third Accountability and Transparency Review, which is targeting to post their draft report for Public Comment in December 2019.

In the current draft proposal on *Resourcing and Prioritization of Community Recommendations*, the Board suggests an effectiveness framework that includes ideas to facilitate resourcing and prioritization of recommendations in the future. For example:

- Supporting review team efforts to understand resource requirements and implementation issues associated with recommendations as they are developed, not after.
- Securing community input on resource requirements and implementation issues.
- Prioritizing across community recommendations from various sources, including reviews and cross-community working groups.
- Budgeting for implementation of approved recommendations prior to recommendation finalization.
- Prioritizing, community-wide, and budgeting for recommendations.

As this work evolves, the outcomes will have an impact on the FY21–25 Operating & Financial Plan. The Board would like to reach consensus on improvements during or soon after the ICANN67 Public Meeting in March 2020.

ICANN org updates its five-year Operating Plan annually to include the latest activities that the org is responsible to implement. The majority of the work reflected in the Operating Plan recurs from year-to-year and is needed for the organization’s operations or to implement ICANN org’s mission. Any new activities or changes to existing ones are marked with a delta (Δ).

While the future is unpredictable, planning efforts help facilitate prioritization and provide a useful roadmap for the organization, the community, and all stakeholders who seek to hold ICANN accountable to its mission.

Relationship to the Strategic Plan

In developing the ICANN Strategic Plan for Fiscal Years 2021–2025, the ICANN community, Board, and org identified trends that are likely to impact ICANN.

The strategic plan sets out five strategic objectives that will enable ICANN to continue to fulfill its mission and achieve its new vision in light of these trends. These strategic objectives are:

- 1 Strengthen the security of the Domain Name System and DNS Root Server System.
- 2 Improve the effectiveness of ICANN’s multistakeholder model of governance.
- 3 Evolve the unique identifier systems in coordination and collaboration with relevant parties to continue to serve the needs of the global Internet user base.
- 4 Address geopolitical issues impacting ICANN’s mission to ensure a single and globally interoperable Internet.
- 5 Ensure ICANN’s long-term financial sustainability.

Every strategic objective has a set of strategic goals, that identifies the intended results. For each strategic goal, a related set of targeted outcomes provides more detail on how the goal will be reached.

For the purpose of illustration, one example of how the strategic objectives, strategic goals, and targeted outcomes work together follows:

- **Strategic objective:** Strengthen the security of the Domain Name System and DNS Root Server System.
- **Strategic goal:** Strengthen DNS root server operations governance in coordination with the DNS root server operators.
- **Targeted outcome:** Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.

Within the FY21–25 Operating Plan and the FY21 Operating Plan, each operating initiative and functional activity is linked to the strategic goals and supported by the targeted outcomes.

FIVE-YEAR OPERATING PLAN

- **FY21 – 25 Operating Initiatives**
- **FY21 – 25 Functional Activities**

FY21–25 Operating Plan

ICANN org’s FY21–25 Operating Plan includes descriptions of the major work ICANN org will undertake to achieve its Strategic Plan, operate the organization and implement its mission.

Within the FY21–25 Operating Plan, ICANN org describes 15 operating initiatives and 35 functional activities for the upcoming five-year period. Each entry within this document includes background on the purpose, scope, and activities related to each major workstream, as well as a description of needed resources, considerations, or risks that may impact the work.

Each operating initiative and functional activity is also cross-referenced against the targeted outcomes developed in the Strategic Plan so that readers can gain a comprehensive understanding of the strong interconnectedness of ICANN org’s work. Any new activities or changes to existing ones are marked with a delta (Δ).

The operating initiatives and functional activities provide what can be considered ICANN org’s statement of intention and outlines planned activities while acknowledging the challenges and dependencies that could impact ultimate delivery.

It is important for readers to consider that planning over a five-year horizon is quite different than budgeting for the next year. A five-year plan is much more high-level and relies on more assumptions and fewer facts than a budget does. This is simply because there is more unknown information in a longer horizon and therefore less specificity can be provided. This is particularly well illustrated in the lack of specificity that can be provided to the financial information supporting a five-year plan.

Operating Initiatives

FY21 – 25

Operating initiatives describe how ICANN org will achieve the objectives and goals set out in the Strategic Plan. The 15 operating initiatives listed here represent major areas of work that support the strategic objectives identified in the strategic plan. Draft operating initiatives were published for public comment and presented to the ICANN Board for feedback.

For each initiative, high-level financial estimates of possible expenses, with a low and a high range have been offered. A mid-point between the “low” and the “high” was used for financial modeling as described in the Financials section of this document.

- Support the Evolution of the Root Server System
- Facilitate DNS Ecosystem Improvements
- Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking
- Evolve and Strengthen the ICANN Community’s Decision-making Processes to Ensure Efficient and Effective Policymaking
- Develop Internal and External Ethics Policies
- Promote and Sustain a Competitive Environment in the Domain Name System
- Universal Acceptance
- Root Zone Management Evolution
- Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem
- Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN
- Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration with Others that May Impact the ICANN Mission
- Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers
- Implement New gTLD Auction Proceeds Recommendations as Approved by Board
- Planning at ICANN
- ICANN Reserves

Support the Evolution of the Root Server System

PURPOSE

As the Root Server System evolves with greater demand, new technologies, and governance models, ICANN will continue to support and collaborate with key stakeholders to ensure the stable, secure, and resilient operation of the Domain Name System (DNS) root zone for the global Internet community.

SCOPE

This initiative covers these work areas:

- Support the implementation of the Root Server System Advisory Committee (RSSAC) document RSSAC037 “A Proposed Governance Model for the DNS Root Server System” and RSSAC038 “RSSAC Advisory on a Proposed Governance Model for the DNS Root Server System,” both published on 15 June 2018.
- Support eventual outcome of RSSAC 037/038 that implies a planned coordinated emergency response to Root Server System incidents.
- Develop a Root Zone Scaling Early Warning System (EWS).
- Develop a prototype Root Server System Metric Monitoring System.
- Encourage hyperlocal root configuration in recursive resolvers and set up a Root Zone distribution service.
- Define and publish a Key Signing Key (KSK) Rollover Policy.
- Implement the next Root KSK Rollover.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.

Support the Evolution of the Root Server System, Cont'd.

- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable KSK management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used over the five-year period for this initiative:

- Monitor and report on the implementation of the Root Server System governance changes proposed in RSSAC 037/038.
- Deployment of items related to root zone distribution service.
- Measure the ease of enabling hyperlocal support in popular recursive resolver implementations.
- Occurrence of the Root KSK Rollover.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The progression of RSSAC 037/038, such as development of a coordinated emergency response, requires collaboration between ICANN org's Office of the Chief Technology Officer (OCTO) and Policy Development Support.
- Deployment of the root zone distribution service will require collaboration with ICANN org's Global Stakeholder Engagement and Government Engagement functions to reach audiences and coordinate messaging.

Support the Evolution of the Root Server System, Cont'd.

- The awareness about the implementation plan of RSSAC 037/038 will require collaboration with ICANN org’s Global Stakeholder Engagement and Government Engagement functions to reach audiences and coordinate messaging.
- OCTO will need support from ICANN org’s Communication team to develop tailored messaging for relevant stakeholders.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Support the Evolution of the Root Server System	\$3.0	\$4.5	\$6.0

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Political considerations surrounding root server operators.
- Continued unforeseen risks surrounding future Root KSK Rollovers.
- Ensuring the Root Server System continues to meet requirements as defined by the Internet community. ■

Facilitate DNS Ecosystem Improvements

PURPOSE

This initiative encompasses efforts to understand, document, and improve the emergency readiness of ICANN and other actors in the DNS ecosystem.

SCOPE

The scope of this initiative covers three main work areas:

- **Advocate and Promote Emergency Readiness**
 - Advocate for developers to enable Domain Name System Security Extensions (DNSSEC) validation by default.
 - Promote hyperlocal as an additional root zone distribution model and encourage resolver developers to enable the technology.
 - Support the implementation of DNS-based Authentication of Named Entities (DANE).
 - Work with the community to develop and promote commonly agreed norms for a secure DNS ecosystem.
- **Technical Engagement and Capacity Development**
 - Create and continue to deliver capacity-building training on key Internet technologies that support a secured DNS ecosystem aligned with ICANN’s technical remit, such as DNSSEC and DANE. Work internally to expand ICANN org’s training footprint.
 - Continue programs for DNS ecosystem security and technical engagement.
- **Research**
 - Research, report, and raise community awareness on Emerging Identifiers Technologies and how they impact or compare to DNS.
 - Research the use of artificial intelligence to enhance understanding and identification of abusive trends in DNS registration.

Facilitate DNS Ecosystem Improvements, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- The inherent security of the DNS and unique identifiers system measurably increases due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders.
- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Security threats leveraging the DNS measurably decline as a result of encouraging relevant hardware, software, and service vendors to incorporate key security measures.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.
- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established for ICANN to assess new technologies and, when appropriate, embrace them.

Facilitate DNS Ecosystem Improvements, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. These measures will be used over the five-year period for this initiative:

- Establishment of community agreement on the needs for the DNS Security Facilitation Center. The DNS Security Facilitation Initiative will investigate and promote activities with reach into the DNS community and other communities as appropriate. The goal would be to establish and promote best practices, facilitate communications between ecosystem participants, and implement processes to help the community handle threats.
- Formalization of the Special Interest Forum on Technology (SIFT) program.
- Implementation of data collection and gathering for various statistical analyses.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org’s work. Specific examples of collaboration needed for this initiative are:

- Training and outreach activities require collaboration with the ICANN community as well as ICANN org departments such as Global Stakeholder Engagement, Communications, and Government Engagement.
- Emergency preparedness efforts also support the work of teams such as Contractual Compliance.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Facilitate DNS Ecosystem Improvements	\$4.0	\$6.0	\$8.0

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Care must be taken not to exceed ICANN’s remit.
- Privacy considerations may impact activities.
- Lack of access to all the relevant data may impede activities.
- Key stakeholders may not agree with norms developed. ■

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking

PURPOSE

This initiative aims to ensure that participation in the policy development work of ICANN's three Supporting Organizations (SOs) and policy advice developed by the four Advisory Committees (ACs) are globally representative. The work of the SOs and ACs is carried out through the facilitation of informed participation in the policy process by diverse groups and interests, with clearly demonstrated levels of stakeholder support and commitment to reaching consensus.

SCOPE

The scope of this initiative covers these work areas:

- The regular cycle of Bylaws-mandated Organizational and Specific Reviews, which plays a key role in identifying any new participation gaps and challenges and developing and assessing possible short- and long-term solutions.
- The Bylaws-mandated reviews of stakeholder group and constituency charters ensure that the governance structures, membership, and other rules of these groups are analyzed and improved to maintain recognition with the ICANN Board.
- The forthcoming implementation of the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 recommendations will allow the community to inventory, document, and improve its processes and efforts to ensure diverse and inclusive participation in its work.
- Additional community, Board, and org work may be initiated to develop approaches and solutions to improve the effectiveness of ICANN's Multistakeholder Model (see [Appendix C](#)), including addressing the issue of representation and inclusivity as described in that work plan.
- Continuation of policy development support for the work of all the ICANN SOs and ACs, including stakeholder groups and constituencies, by providing subject matter and process expertise as well as day-to-day secretariat operations is essential to ensure progress is made and documented.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and ICANN org personnel equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.
- The ICANN community establishes mechanisms, such as an accurate measure of community participation, to equitably distribute workload among the pool of stakeholder representatives.
- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Continued efforts of the ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.
- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP) 3.0 or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms that ensure the cumulative workload is reasonable at any one time, and that ICANN priorities reflect the community's collective needs.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. These measures are examples of those that will be used over the five-year period for this initiative:

- Membership tracking by SOs, ACs, stakeholder groups, and constituencies and other metrics.
- Implementation of Board-approved recommendations from Organizational Reviews and Community Charter Reviews.
- Metrics related to Public Comment proceedings.
- Community activity indicators that track global participation in projects and activities as well as the translation and interpretation services required for those projects and activities.
- Reports and statistics for ICANN prep week and ICANN Public Meetings.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- ICANN org Language Services, Meetings, and Engineering & IT functions each provide services that facilitate diverse and inclusive participation and directly impact community service levels and work.
- ICANN org's Policy Development Support team collaborate with the ICANN Board and community on prioritization and planning for anticipated future work.
- Collaboration across Engineering & IT, Communications, Policy Development Support, and other ICANN org functions must occur to ensure a clear, early communications strategy and coordinated approach across related teams when transitioning to new technological tools.
- Increased understanding across ICANN org of the need for better data collection for use within the policymaking realm, such as through the GNSO Data Metrics for policymaking process.
- Increased collaboration with the Global Domains Division Operations and Policy Research team.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont’d.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking	\$3.0	\$4.3	\$5.5

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

Risks and considerations exist for this initiative and may impact its advancement:

- Community expectations for facilitation and other support from the Policy Development department must be balanced with robust discussions about costs and benefits. There is a connection between personnel levels and the ability to provide support to existing policy development and advisory work as well as the anticipated increase in projects and workload stemming from implementation of the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 (CCWG-Accountability WS2) recommendations and Board-approved recommendations from the recently concluded reviews.
- Generally, extended operations by the Policy Development Support department below the 35 full-time employee (FTE) level runs the risk of:
 - Lower levels of service to the community and regional disparity.
 - Delayed policy and advisory outputs.
 - Community frustration and loss of active participants.
 - Potential team member burnout.
- Cuts to or zero growth in the Policy Development Support budget may signal to the community:
 - A potential deprioritization of policy activities integral to ICANN’s mission.
 - De-emphasis of support for community operations central to ICANN governance processes.
 - A lack of organizational support for efforts to ensure global, diverse volunteer participation that provides legitimacy to ICANN’s multistakeholder model.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

- Newer community members need time to get used to ICANN's participation and working methods; veteran community members need to adjust to any new tools and platform changes.
- Ineffective participation due to the diverse nature of community groups, priorities, interests, and structural issues (e.g., lack of alignment between Board-community goals and priorities, need to factor in cadence of Bylaws-mandated review and Empowered Community timelines).
- As reliance on accurate and relevant data within the policymaking process increases, there is a need to develop capacity among community participants in data analysis and related skills. ■

Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking

PURPOSE

This initiative focuses on the facilitation of more efficient, timely, and effective policy development work by ICANN's three SOs and advice by the four ACs. Personnel support is provided for developing, documenting, and implementing changes, as well as improvements to community procedures and processes intended to reflect commitment to reaching consensus and effective policymaking.

SCOPE

The scope of this initiative covers these work areas:

- Periodic review by community groups of their internal procedures and requirements to address new challenges and gaps, such as improvements to membership outreach and participation requirements.
- Development and improvement of community templates and procedures in relation to the Empowered Community (EC) powers and Bylaws-mandated processes.
- Additional community, Board, and org work may be initiated to develop approaches and solutions to improve how consensus is achieved by addressing the issues identified in [Appendix C](#).
- Policy Development Support personnel support for community projects and activities that strengthen the consensus-building process by providing guidance and clarifications on existing procedural rules, alternative processes, and possible improvements for community decision-making and planning.
- Management of Public Comment proceedings, community consultations, and other processes for public input that are essential for ICANN's accountability and transparency.
- Organizational support for enhanced data collection and analysis, including legal or other types of expertise, surveys, and policy impact assessments.

Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making process ensures that input from all stakeholders is considered.
- Improved multistakeholder model process, such as Policy Development Process (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. Milestones and progress for this initiative are tracked through indicator metrics aimed at measuring ICANN org accountability and community activity. Among these indicators are metrics related to:

- Processes for Empowered Community actions.
- Public Comment proceedings.
- Milestone reporting by working groups.
- Tracking of hours spent on community deliberations.
- Meeting and report statistics.

RESOURCES

Effective cross-functional and community collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- Engagement with the ICANN Board and community on workload management and project and activity prioritization. This is critical to ensure shared realistic expectations regarding scope, timing, and resource allocation for current and anticipated projects and activities.

Evolve and Strengthen the ICANN Community’s Decision-making Processes to Ensure Efficient and Effective Policymaking, Cont’d.

- Collaboration with IT, Communications, and other ICANN org functions must occur to ensure a clear, early communications strategy and coordinated approach across related departments when transitioning to new technological tools.
- The GNSO PDP 3.0 Improvements Project may result in clearer roles for working group chairs and personnel that can be adapted for other SOs and ACs as appropriate. Implementing training and research opportunities for interested personnel may improve writing and analytical skills.
- Development of a proactive internal plan is needed to achieve the effective and successful implementation of policy outcomes across departments.
- Coordination with ICANN org’s Meetings and Board Operations teams is required to implement improvements to ICANN Public Meeting planning.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Evolve and Strengthen the ICANN Community’s Decision-making Processes to Ensure Efficient and Effective Policymaking	\$1.0	\$1.5	\$2.0

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Community expectations for facilitation and other support from the Policy Development Support team must be balanced with robust discussions about costs and benefits. There is a connection between personnel levels and the ability to provide support to existing policy development and advisory work, especially with the potential launch of several new PDPs within this five-year timeframe.

Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking, Cont'd.

- Generally, extended operations by the Policy Development Support team below the 35 FTE level runs the risk of:
 - Lower levels of service to the community and regional disparity.
 - Delayed policy and advisory outputs.
 - Community frustration and loss of active participants.
 - Potential team member burnout.
- Cuts or zero growth to the Policy Development Support budget may signal to the community:
 - A potential deprioritization of policy activities integral to ICANN's mission.
 - De-emphasis of support for community operations central to ICANN governance processes.
 - A lack of organizational support for efforts to ensure global, diverse volunteer participation that provides legitimacy to ICANN's multistakeholder model.
- Need to ensure that the introduction of new technological tools as well as platform changes is orderly and well-planned, and that community training and transition needs are accounted for.
- Traditional difficulty in engaging the community in prioritization exercises; lack of tools to engage in meaningful and effective prioritization.
- Lack of academic-quality policy research despite having qualified personnel, due to workload issues and inconsistent community expectations.
- Limited data collection to date means that data-driven policy work has been difficult and time-consuming, and that decision-making is done without reference to specific data or other factual evidence. ■

Develop Internal and External Ethics Policies

PURPOSE

This operating initiative focuses on the development of internal and external ethics policies to guide behavior within ICANN org and the community. The internal Ethics Policy will provide additional guidance and direction for ICANN org personnel. This will continue to improve the confidence that the ICANN community places in org personnel, by providing further transparency into how ICANN org expects personnel to conduct their work.

The ICANN Community Ethics Policy will provide transparency and guidance regarding how members of the ICANN community should approach their ICANN-related work and interact with one another.

SCOPE

The scope of this initiative covers these work areas:

- Develop an internal ICANN org Ethics Policy.
- Develop an ICANN community Ethics Policy.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following steps will be taken over the five-year period for this initiative:

- Gather all existing policies that will make up elements of the ethics policies and conduct a gap analysis.
- Conduct an assessment to understand the baseline ethics level as of FY20.

Develop Internal and External Ethics Policies, Cont'd.

- Develop a plan or policies to fill the gaps.
- Launch internal Ethics Page and Ethics Dashboard on ICANN org Intranet.
- Deliver ICANN Internal Ethics Policy.
- Deliver ICANN Community Ethics Policy.
- Launch Ethics Page and Ethics Dashboard on ICANN.org .

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org’s work. Specific examples of collaboration needed for this initiative are:

- The Legal team leads this initiative and coordinates with Human Resources.
- Collaboration with ICANN org’s Engineering and IT functions to help with mechanisms.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Develop Internal and External Ethics Policies	\$0.5	\$0.8	\$1.0

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The primary risks that may impact this initiative’s advancement are the lack of internal and external awareness of the work and resulting lack of buy-in to the effort. ■

Promote and Sustain a Competitive Environment in the Domain Name System

PURPOSE

This initiative includes preparations for the launch of additional rounds of new gTLDs, applying knowledge gained through the implementation of the 2012 round, and subsequent reviews aimed at evaluating different aspects of the program. ICANN org is in the pre-planning phase, monitoring community discussions, supporting Board and community work, and estimating anticipated resource requirements.

Though much of this work is still underway through processes such as the GNSO's New Generic Top-Level Domain Subsequent Procedures Policy Development Process Working Group, the possibility of an additional round of new gTLDs being launched within this five-year period exists. Each year the Operating and Finance Plan will be progressively updated to reflect the latest policy developments related to subsequent rounds of new gTLDs.

SCOPE

The scope of this initiative covers these work areas:

- Implementation of community-developed recommendations that the Board adopts and then directs ICANN org to implement prior to opening the next application window.
- Implementation of an operational infrastructure (systems, processes, and people) to support ongoing operations of the New gTLD Program.
- Development and execution of a global communications and awareness campaign.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and availability of measures to support sustained operations of new gTLDs in the namespace.

Promote and Sustain a Competitive Environment in the Domain Name System, Cont'd.

HOW PROGRESS IS TRACKED

Work within this initiative is expected to occur in three distinct areas, dependent on ICANN Board and community actions:

- **Planning and Preparation:** As per the Consensus Policy Implementation Framework, in parallel to PDP discussions, ICANN org prepares for the eventual implementation of policy recommendations. Activities include monitoring community discussions, considering preliminary implementation options, assessing implementation feasibility, and estimates of resource requirements.
- **Policy Implementation:** This track of activity commences once the Board adopts community-developed recommendations and directs ICANN org to implement. During this phase, ICANN org works with the community to implement recommendations adopted by the Board. Activities may include a detailed assessment of the recommendations, drafting and development of documentation to support the execution of an application process, and building on work done in the planning and preparation phase.
- **Operational Readiness:** To bring the organization to operational readiness, ICANN org onboards and trains vendors and internal resources, tests systems and tools, conducts exercises of the defined processes and tools, and continues executing the communications and awareness-building campaign. Opening the application window marks the end of this phase and beginning of application acceptance.

Once the application window opens, the program is operational. Once the application window closes, ICANN org begins processing applications according to the procedures defined during the implementation phase. If an application successfully completes the required evaluation and other relevant phases, the applicant will then move to a process to execute an agreement with ICANN, and then pass technical testing of its infrastructure prior to delegation of a new top-level domain (TLD) into the DNS root zone.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. This project will likely require significant cross-functional collaboration and support from functions such as Legal, Communications, Global Stakeholder Engagement, Human Resources, Finance, Global Domains Division, Office of the Chief Technology Officer, IANA, and Engineering & IT.

Promote and Sustain a Competitive Environment in the Domain Name System, Cont'd.

Based on the initial reports issued by the New gTLD Subsequent Procedures (SubPro) Policy Development Process Working Group, the processing of applications received through future application rounds for new gTLDs is expected to remain subject to the principle of cost recovery, meaning that funding the necessary preparatory and development expenses (as well as future processing fees) comes from fees paid by applicants. Two implications should be noted: First, application fees may need to be set at levels that are appropriate for the repayment of the preparatory and development expenses to be incurred to launch the next round. Second, an alternative and temporary source of funds will need to be used to cover these expenses, which will be incurred before application fees are received. This source of funding will need to be identified and approved by the Board.

Resources for this initiative are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- This initiative is highly dependent upon community-developed recommendations, and subsequent approval and direction by the Board to ICANN org regarding what needs to be implemented prior to launching the next round of new gTLDs. The number of changes and new things that need to be implemented will determine the scope, level of effort, and timeline of the implementation.
- Given the scale of the anticipated implementation work, planning and preparation before implementation begins is essential to ensure successful implementation. The timing of such planning and preparatory work is dependent upon completion of community activities and Board action on community-developed recommendations.
- This project requires an upfront commitment to design and build the operational infrastructure (people, processes, and systems) without precise knowledge of and insight into the demand and the number of applications in the next and future rounds. Determining the scope and level of investment will need to be based on certain assumptions. ICANN org has developed a set of operational planning assumptions that has been shared with the Board and community. The assumptions may be refined over time based on input received and additional information that becomes available such as the policy recommendations from the New gTLD Subsequent Procedures (SubPro) Policy Development Process. ■

Universal Acceptance

PURPOSE

This program encompasses ICANN org’s Universal Acceptance (UA) efforts to ensure that Internet applications and systems treat all top-level domains (TLDs) in all scripts and email addresses based on those domains in a consistent manner. UA promotes consumer choice and provides broader access to end users.

SCOPE

The current scope of this initiative covers these work areas:

- Outreach to providers of standards, programming language, tools, and platforms to support UA.
- Raise awareness and capacity of technology developers to develop or update applications to be UA-ready.
- Raise awareness and capacity of email tool and service providers to support internationalized email addresses.
- Raise awareness in the public sector for governments to require UA readiness in their tendering processes.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN engages in greater cooperation with stakeholder groups and different policy and standards development bodies locally, regionally, and globally, to raise awareness about Universal Acceptance, Internationalized Domain Name (IDN) implementation, and Internet Protocol version 6 (IPv6).
- UA readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.

Universal Acceptance, Cont'd.

HOW PROGRESS IS TRACKED

The timing of work within this initiative is:

- Document a broader state of implementation in FY21 and its progress until FY25.
- Undertake remediation of technology over FY21 to FY23.
- Develop training for UA readiness in FY21–FY22.
- Train technical stakeholders on developing and deploying UA-ready software from FY21 to FY24.
- Create public sector awareness from FY21–25. This may be a slow and consistent effort.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org’s work. Specific examples of collaboration needed for this initiative are:

- The ICANN community, particularly the At-Large Advisory Committee (ALAC) and Governmental Advisory Committee (GAC), and ICANN org functions including Communications, Global Stakeholder Engagement, and Government Engagement will need to help raise awareness of UA.
- Support is also needed for the new community-based working groups addressing UA at a global level as well as for local initiatives focusing on specific geographies through Universal Acceptance Steering Group (UASG).

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Universal Acceptance	\$1.5	\$2.0	\$2.5

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Efforts to increase UA readiness means reaching and activating stakeholders beyond the conventional ICANN community that may have different priorities.
- Raising awareness and encouraging UA as a mainstream design consideration may require considerable effort and time. ■

Root Zone Management Evolution

PURPOSE

This initiative supports the continued advancement of the technology platform used to provide root zone management services. This system manages the workflow of change requests from customers, automates many aspects of the processing, and ensures quality, accuracy, and timeliness of the business process.

As originally designed, the technology supporting root zone management was based on a small number of TLDs that remained relatively static, with a roughly one-to-one mapping between parties and the TLDs they manage. Today, entities operate significant portfolios of TLDs that need to be managed in unison. This shift was not a consideration during the original design of the root zone's management and is addressed through this initiative.

SCOPE

The scope of this initiative covers these work areas:

- Identify features and enhancements that will improve operations while ensuring accuracy, quality, and timeliness of business processes.
- The evolution of requirements from the New gTLD Subsequent Procedures Policy Development Process and technological developments related to Internationalized Domain Names.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.
- ICANN collaborates with relevant parties and effectively leverages partnerships in the IETF, Regional Internet Registries, and naming communities to develop and integrate new technologies with existing Internet protocol structures, including the DNS.
- ICANN org continues to provide reliable delivery and continuous improvement of the IANA functions, consistent with community service level agreements.
- ICANN promotes and supports awareness of the IANA functions, including among stakeholders, to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.

Root Zone Management Evolution, Cont'd.

- The expansion of the DNS root zone attracts continued investment and innovation, as indicated by market developments and new registry services.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following milestones will be used over the five-year period to track progress for this initiative:

- Launch of a significant new version of the Root Zone Management System with rearchitected backend.
- Launch of a new authorization model to allow additional appropriate parties to be authorized as TLD managers with associated user management improvements.
- Launch of customer application programming interface (API) access.
- Implementation of approved policy recommendations on International Domain Names.
- Implementation of approved policy recommendations on Subsequent Procedures for New gTLDs.
- ICANN org's Operations team needs to be trained.
- Audit criteria of the Root Zone Management System needs to be updated, documented, and managed.

Root Zone Management Evolution, Cont'd.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org’s work. This initiative is accomplished through:

- Personnel who are assigned a percentage of their time to this project, along with minor additional ad-hoc resources for things like security testing of the applications prior to deployments.
- Approximately 1.5 FTEs within ICANN org’s Engineering and IT function perform software development and 1 FTE on the IANA team provides product management, design and requirements-setting.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
	Low	Mid-point	High
Root Zone Management Evolution	\$3.0	\$4.5	\$6.0

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Success is heavily dependent on the stability and commitment of engineering resources. In the past year there has been a more predictable cadence of development which helped ICANN org bring enhancements to the community in a timely fashion.
- The greatest risks are the loss of development resources that are prioritized to other objectives.
- The inability for IANA to provide sufficient designs and requirements settings to inform development.
- Policy development work being done in the ICANN community, such as in the New gTLD Subsequent Procedures Policy Development Process and for Internationalized Domain Names, must be monitored to ensure RZMS will meet those emerging requirements. ■

Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem

PURPOSE

Increasingly, governments and intergovernmental organization forums develop policies, legislation, and regulations that impact the Internet. In some cases, this may also impact ICANN's ability to develop policies, run its operations, and fulfill its mission. To address this and to ensure a single, globally interoperable Internet, ICANN plans to identify where these discussions and initiatives are taking place and determine where ICANN has or should engage to address these initiatives. This work follows the issues identified through the trend assessment work conducted by ICANN as part of the strategic planning process. This process also will identify any activities ICANN org's Government Engagement team will need to reduce or stop as well as where targeted engagement must increase.

SCOPE

The scope of this initiative covers these work areas:

- Reviewing trends, existing agreements and relationships, conducting an analysis of the relationship between ICANN and these organizations, and developing an approach to align engagement.
- Identifying bodies within the Internet ecosystem that are relevant to ICANN's remit and analyzing others to assess whether ICANN org should be more involved with them or in other arenas.
- Considering other opportunities for influencing global Internet issues.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge building about ICANN and its mission continues.
- ICANN is engaged, its role acknowledged, and its presence valued in the arenas where topics within its remit are discussed.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission and the effect of various regulatory and other proposals on the Internet ecosystem.

Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following milestones will be used over the five-year period for this initiative:

- FY21: Complete a cross-functional inventory of relationships in the Internet ecosystem.
- FY21 to FY22: Assess the current mechanisms and identify gaps.
- FY22 to FY25: Build relationships in gap areas as an ongoing activity. In conjunction with legislative and regulatory tracking, this will give ICANN org another layer of insight and help to prioritize targeted engagement.
- Ongoing annual review of alliances based on emerging issues or changes in other organization focuses.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. While the Government Engagement team will lead global strategy and political and environmental assessments of global intergovernmental organizations and initiatives, collaboration will be needed as follows:

- Political assessment input from ICANN org's regional engagement offices regarding activities in the national capitals, regional trends, and influences.
- Communications team to develop narratives to ensure consistent messaging.
- Legal analysis of reports on the potential impact of legislative or regulatory activity.

Resources for this initiative are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Possible increased resources needed to cover new venues with additional technical resources for legislative analysis.
- Possibility of forging an alliance with an organization that takes the contrary position to ICANN's on a common issue.
- Political sensitivities to reducing some participation that the community relies on. ■

Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN

PURPOSE

This operating initiative focuses on two areas: working with governments and IGOs engaged with ICANN and the policy development process through the GAC, and more broadly working with governments and IGOs on issues beyond those being addressed through policy development processes.

Governments and IGOs participate in the ICANN policy development process through the GAC. The GAC considers and provides advice on the activities of ICANN as they relate to concerns of governments, particularly matters where there may be an interaction between ICANN's policies and various laws and international agreements or where they may affect public policy issues.

The GAC has steadily grown in membership and participation, yet has more turnover among its representatives than other ACs. As a result, some GAC representatives are less familiar with ICANN's processes and issues, making it difficult for them to effectively engage. It is important, where possible, for governments to participate in ICANN rather than addressing potential issues through external legislative or regulatory activity.

Additionally, dialogues that will impact ICANN increasingly involve different aspects or ministries of national governments than those commonly participating in ICANN through the GAC. Therefore, activity has to be broader than government and IGO activity within ICANN's policy development process. This requires targeted engagement through global, regional, and national governmental events, including new structures and diversified venues where dialogue is conducted on topics such as cybersecurity, data protection, privacy, cultural and geographic identifiers, emerging technologies, and proposed new systems of unique identifiers.

Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN, Cont'd.

SCOPE

The scope of this initiative covers these work areas:

- Assessing the expectations of government participants within the GAC.
- Creating targeted information and capacity development materials to better equip government stakeholders around the world, enabling them to become more active participants in ICANN's policymaking processes.
- Assessing expectations of government participants in capacity-development activities
- Creating targeted materials as needed for government participants.
- Assessing and mapping the scope of global dialogue venues relevant to ICANN on topics such as cybersecurity and the unique identifiers.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN org continues to develop and evolve systems to detect and monitor legislative and regulatory initiatives and other governmental or IGO actions or initiatives that could impact ICANN's mission or operations.
- ICANN fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge-building about ICANN and its mission continues.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission as well as the effect of various regulatory and other proposals on the Internet ecosystem.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used over the five-year period as indicators of progress for this initiative:

- Delivery of High-Level Governmental Meetings in FY21, and potentially FY23 and FY25.
- Reports and statistics on participation in outreach, technical briefings, and capacity-development sessions for the GAC as well as through collaboration with other organizations in the ecosystem.

Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN, Cont'd.

- Comparison of before and after capacity-development event surveys to measure delivery of information against expectations and knowledge gained.
- Completed review of existing memorandums of understanding (MoUs) for continuing alignment with goals.
- Metrics related to the number of countries and intergovernmental organizations represented in the GAC as well as the number of countries and IGOs actively participating in GAC and ICANN policy processes.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- Regional Global Stakeholder Engagement teams to identify which countries are not part of the GAC.
- Government Engagement and Global Stakeholder Engagement teams to conduct gap analysis on IGOs that are not part of the GAC.
- Communications team to develop a consistent narrative for outreach messaging.
- Public Responsibility Support team to develop online courses.
- Office of the Chief Technology Officer to develop technical capacity-development curriculum to assist with trainings and capacity development through the GAC's Underserved Regions Working Group (USRWG) work plans and other collaborative initiatives in the Internet governance ecosystem.

Resources for this initiative are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

CONSIDERATIONS

The following risk and consideration exists for this initiative and may impact its advancement over the FY21–25 period:

- Allocation of adequate resources to sufficiently monitor global dialogue and alignment with the Strategic Plan.. ■

Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission

PURPOSE

This initiative builds on the work begun by ICANN org in 2018 to identify and report on legislative and regulatory developments around the world that could have an impact on ICANN's ability to fulfill its mission. Part of ICANN's work within this initiative is providing educational information to governments on those issues in order to help ensure that lawmakers have the full benefit of ICANN's technical expertise.

SCOPE

The scope of this initiative covers these work areas:

- Examine existing processes and further develop the mechanisms to capture community feedback and input.
- Creation of an internal assessment mechanism. ICANN org will also review its experience in FY20 to inform the determination of the criteria for escalation from monitoring to activity of a use case. This will act as a resource in outreach and engagement efforts.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN org continues to develop and mature systems to detect and monitor legislative initiatives and other governmental or IGO actions or initiatives that could impact ICANN's mission or operations.
- ICANN org proactively engages with the community to develop common awareness of ICANN's contribution to early warning system.
- ICANN has effective processes in place to receive and act on input from the community.
- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.

Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following milestones will be used over the five-year period for this initiative:

- FY21: Assess and refine the legislation monitoring process. This includes developing criteria for when an item that is being monitored should be escalated to educational action.
- Development of community dialogue mechanism with support of ICANN org's Policy Development Support function.
- Ongoing performance measurements.
 - Publication of reports to community on legislative or regulatory events being tracked.
 - Publication of technical assessments and use cases.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- Regional Global Stakeholder Engagement teams to provide analysis of upcoming regional legislation that might impact ICANN.
- Government Engagement team to provide data collection and analysis, awareness raising, and technical briefings.
- Office of the Chief Technology Officer to assess the impact of proposed legislation on the DNS and to conduct use case analysis as applicable.
- Legal to review reports on legislative and regulatory activity.
- Communications to develop a narrative to ensure consistent messaging on key issues.

Resources for this initiative are included within the functional activities of the financial plan core budget and no incremental resources are needed.

Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Resources are needed to monitor and compare information across various venues to detect the “weak signals” early enough to identify trends and evaluate actions to address possible challenges.
- Political judgment is crucial in determining when to move from monitoring to active educational engagement efforts.
- Limited ability to provide briefings, technical trainings, and other engagement efforts in some political structures. ■

Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers

PURPOSE

The domain name marketplace has matured over the past five years following the 2012 round of the New gTLD Program. To provide a solid foundation for future funding projections, ICANN org must analyze its funding model within the context of the marketplace, reviewing key market enablers and challenges to domain name industry growth over the same period. This initiative brings together those activities.

SCOPE

The scope of this initiative covers these work areas:

- Review and analyze trends and driving forces of the domain name industry marketplace.
- Seek to validate and improve forecasting accuracy through review of data including zone files, registry transaction reports, contracted party family affiliation, corporate disclosures, market intelligence, and more.
- As ICANN org formalizes its funding model, it plans to evaluate the migration of the forecast model to a platform that will provide a robust system for preparing and analyzing future funding projections.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The ICANN Strategic Plan is supported by a five-year Operating and Financial Plan. All plans are updated as and when necessary to take into account relevant changes in ICANN's environment.
- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or strategic plan.

Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers, Cont'd.

- ICANN has reliable and predictable five-year funding projections, based on a sound understanding of the evolution in the domain name marketplace and realistic assumptions.
- ICANN utilizes data about the directions and trends in the market to effectively guide the organization.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used over the five-year period for this initiative:

- Build and establish a process to develop the funding model during FY21.
- Explore options for a new tool or platform.
- Annual delivery of funding assumptions and projections for the next five fiscal years.
- Continued enhancement of funding model tool and an increase in the GDD team's domain market intelligence in relation to the forecasting process.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The skills of ICANN org's Global Domains Division, Finance, and Engineering and IT teams to evaluate and migrate the current forecast model to a more robust platform.
- The skills of ICANN org's GDD, Finance, Office of the Chief Technology Officer and Global Stakeholder Engagement teams to collect and contextualize market intelligence in relation to the forecast.
- Processes and tools are in place to effectively prioritize and periodically reprioritize work.

Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers, Cont'd.

OPERATING INITIATIVE	FIVE-YEAR FINANCIAL ESTIMATE		
Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers	Low	Mid-point	High
	\$0.5	\$1.0	\$1.5

Note: The Five-Year Financial Estimate (mid-point) is the scenario ICANN proposes.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- It is not clear how threats to the DNS might impact ICANN’s funding. ICANN org must expand its understanding and knowledge of the impact these threats may have. ■

Implement New gTLD Auction Proceeds Recommendations as Approved by Board

PURPOSE

This initiative relates to preparations for the implementation of the Board decisions following the recommendations arising from the Cross-Community Working Group on New gTLD Auction Proceeds.

SCOPE

The scope of this initiative covers these work areas:

- ICANN org will facilitate a review of the specific roles of the Board and ICANN org in this initiative. The specific roles of the Board and ICANN org in the various stages of the operational and review stage are yet to be determined. However, regardless of the eventual processes or structures needed or the use of external entities, the Board remains ultimately accountable for the actions related to the proceeds.
- ICANN org will provide feasibility assessments and costs for the ICANN Board's consideration of the CCWG-AP recommendations.
- ICANN org to implement the Board decisions following the recommendations, including coordination with a community implementation review team.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Funding, expenses, and reserves are addressed in each plan in a manner consistent with policies, Board decisions, strict financial responsibility, and conservatism.
- ICANN prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.
- ICANN has processes and tools in place to effectively manage and control costs.
- Financial accountability and responsibility guide how decisions are made prior to committing ICANN's resources, how expenses are managed once approved, and those commitments.
- Key cost drivers are clearly defined and understood.

Implement New gTLD Auction Proceeds Recommendations as Approved by Board, Cont'd.

HOW PROGRESS IS TRACKED

Work within this initiative will happen in distinct stages, dependent on ICANN Board and community actions. The specific milestones guiding next steps are:

- Submission of the CCWG-AP Final Report to the Chartering Organizations for approval.
- Chartering Organization approval.
- Submission to the ICANN Board for consideration.
- Board consideration of recommendations.
- Implementation plan development.
- Board approval of implementation plan.
- Implementation.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The final recommendations approved by the Board and the design of the implementation plan will drive costs, which will be funded out of the auction proceeds.
- The recommendations will need to be reviewed from a resourcing standpoint in order to understand practicalities, including estimated workload, potential new hires, and needed skills.
- As implementation progresses, the internal ICANN resources supporting this work will be reimbursed to ICANN's operations from the auction proceeds.

Resources for this initiative are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

CONSIDERATIONS

This work is dependent on the submission of the Final Report of CCWG-AP to the Board for consideration and the subsequent Board action on the recommendations. ■

Planning at ICANN

PURPOSE

Careful planning of ICANN activities helps safeguard ICANN's long-term financial sustainability and ensure that ICANN org is accountable to the public in its stewardship of ICANN's mission. This initiative encompasses ICANN org planning activities.

SCOPE

As part of its planning efforts, ICANN org strives to improve the quantification of resources, evaluation of needs, prioritization, flexibility, and transparency of the management of ICANN's resources and activities over FY21–25.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN org prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.
- ICANN org has processes and tools in place to effectively manage and control costs.
- Financial accountability and responsibility guide how decisions are made prior to committing ICANN's resources and how expenses are managed once approved in order to stay within those commitments.
- Key cost drivers are clearly defined and understood.
- Risk assessments are periodically reviewed to determine the adequacy of ICANN's Reserve Fund level to address potential mitigation needs.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance.

All aspects of this initiative are expected to be the subject of progress throughout the period of the FY21–25 Operating Plan, through various activities, some of which are displayed in [Appendix A](#) and [Appendix B](#).

Planning at ICANN, Cont'd.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative:

- Planning involves all stakeholders of the ICANN ecosystem, including the ICANN Board, community, org, and the public.
- The number of ICANN org resources involved over the five-year plan period are expected to increase as compared to the previous five-year plan period. This is to accommodate the need for operational alignment, prioritization, increased number and quality of plans, and increased communication. Limited external resources will be needed to help with education, skills, and facilitation at the beginning of the period as internal capabilities ramp up.

Resources for this initiative are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- A lack of organizational support for cross-collaboration efforts may delay an effective planning process.
- Newer community members need time to get used to ICANN's planning process and may not fully engage in Public Comment proceedings. ICANN will need to provide information and engagement opportunities to ensure that the Bylaws-mandated review and Empowered Community timelines are achievable. ■

ICANN Reserves

PURPOSE

To safeguard ICANN's long-term financial sustainability and ensure that ICANN org is accountable to the public in its stewardship of ICANN's mission, the level of ICANN reserves must be continuously set, reached, and maintained consistent with the complexity and risks of ICANN's environment.

SCOPE

The scope of this initiative covers these work areas:

- Ensure implementation of the October 2018 Board resolution to replenish the Reserve Fund.
- Advance the adopted replenishment strategy which states that the Reserve Fund should be replenished to its minimum target level within eight years of the resolution's adoption date.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Financial accountability and responsibility guide how decisions are made prior to committing ICANN's resources and how expenses are managed once approved in order to stay within those commitments.
- Replenishment strategy for ICANN's Reserve Fund is adhered to and implemented successfully.
- Risk assessments are periodically reviewed to determine the adequacy of ICANN's Reserve Fund level to address potential mitigation needs.

ICANN Reserves, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used over the five-year period for this initiative:

- The replenishment strategy suggests that approximately USD \$32 million be allocated to the Reserve Fund over eight years. On average, the Reserve Fund must increase by a minimum of \$4 million every year. Future increases in operating expenses may trigger an increase to the Reserve Fund target level, and more funds would need to be added.
- The level of the Reserve Fund is expected to be approximately \$121 million at the beginning of FY21 and \$148 million by FY25.

RESOURCES

Resources for this initiative are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

CONSIDERATIONS

The success of the replenishment strategy is dependent upon:

- Stability of ICANN's funding.
- That there are no events requiring Board-approved withdrawals from the Reserve Fund during the period.
- Stability of the minimum target level for the Reserve fund. ■

● Functional Activities

FY21–25

Functional activities are those necessary to operate the organization, such as Human Resources or Finance, or implement ICANN’s mission, such as Contractual Compliance or the IANA department. These 35 functional activities describe ICANN’s ongoing work for the period of FY21–25.

The 35 functional activities have been placed into five service groups. These service groups were selected because they represent the broad categories of work that ICANN org conducts in fulfillment of its mission and express the functional activities at a high level.

FIVE SERVICE GROUPS:

TECHNICAL & DNS SECURITY

POLICY DEVELOPMENT & IMPLEMENTATION SUPPORT

COMMUNITY ENGAGEMENT & SERVICES

ICANN ORG GOVERNANCE

ICANN ORG SHARED SERVICES



● Functional Activities

FY21-25

Technical & DNS Security

- Office of the Chief Technology Officer
- ICANN Managed Root Server
- Internationalized Domain Names and Universal Acceptance
- IANA Functions
- Contractual Compliance

Technical & DNS Security

Office of the Chief Technology Officer

PURPOSE

ICANN org's Office of Chief Technology Officer (OCTO) aims to constantly improve knowledge about the identifiers ICANN helps coordinate, disseminate this information to the Internet community, improve the technical operation of the Internet's system of unique identifiers, and improve ICANN's technological stature.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Support the evolution of the Root Server System.
- Lead: Facilitate DNS ecosystem improvements.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Support: Through targeted engagement improve Governments and Intergovernmental Organizations (IGOs) engagement and participation in ICANN
- Support: Monitor legislation, regulation, norms, principles, and initiatives in collaboration with others that may impact the ICANN mission.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.
- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.

Technical & DNS Security

Office of the Chief Technology Officer, Cont'd.

- The inherent security of the DNS and unique identifiers system measurably increases, due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders.
- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Security threats leveraging the DNS measurably decline as a result of encouraging relevant hardware, software, and service vendors to incorporate key security measures.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.
- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.

ACTIVITIES

- **External Operations:** Activities that have an external impact, such as creating the DNS Security Facilitation Center and prototyping the Emergency Warning System.
- **Technical Engagement and Outreach:**
 - Support and provide training, engagement, and outreach to the technical community on current and upcoming technologies.
 - Support other ICANN org teams such as Global Stakeholder Engagement and Government Engagement.
- **Research:** Activities centered around the analysis of the impact of new and existing technologies to the Internet's unique identifier systems as well as the investigation of new technologies and how they may impact the unique identifier ecosystem.

Technical & DNS Security

Office of the Chief Technology Officer, Cont'd.

- **Reporting:**

- Providing tools and platforms in which to report on various aspects of the unique identifier ecosystem, such as Domain Abuse Activity Reporting (DAAR) and Identifier Technologies Health Indicators (ITHI).
- Leading or supporting other work such as the Contractual Compliance Registrar Audit Study or verifying ICANN’s contracted parties are meeting their contractual obligations related to IPv6 deployment.

- **Internal Operations:**

- Activities that have an internal impact or recurring activities such as support of the Action Request Register (ARR) and implementation of recommendations from Specific Reviews and policy development processes.
- Collaboratively working with ICANN’s Public Responsibility Support team on online learning development.
- Project management.
- Team meetings and planning.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- **External Operations:** Much of the progress and milestones will be tracked via the operating initiatives, such as:
 - The progression of recommendations within the Root Server System Advisory Committee document RSSAC037 “A Proposed Governance Model for the DNS Root Server System” and RSSAC038 “RSSAC Advisory on a Proposed Governance Model for the DNS Root Server System,” both published on 15 June 2018.
 - Formalization of the Special Interest Forum on Technology (SIFT) program.
 - Establishing community agreement on the DNS Security Facilitation Center
 - Root Key Signing Key Roll.
 - Items related to root zone availability service being deployed.

Technical & DNS Security

Office of the Chief Technology Officer, Cont'd.

- **Technical Engagement and Outreach:**

- More DNS resolver developers enabling hyperlocal technology.

- **Reporting:**

- Data or reports published as relevant to the various efforts underway such as DAAR and ITHI reporting, publication of technical papers, etc.
- Implement data collection and gathering for various statistical analyses.

RESOURCES

FY21–25: Resource requirements expected to increase.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Bandwidth constraints or competing demands on the available personnel resources due to the resource acting as a subject matter expert for internal and community efforts.
- Assumptions regarding community interest in security and stability could be reduced, which may cause a reprioritization of personnel time and effort.
- Community appetite for technical outreach, training, and engagement is strong but this could change, which may lead to a reprioritization. ■

Technical & DNS Security

ICANN Managed Root Server

PURPOSE

Through the ICANN Managed Root Server (IMRS) program, ICANN org provides trusted technical expertise and solutions to support the global Internet by building and maintaining a sustainable, stable, and resilient root server that is able to respond to identified and vetted technical needs.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.
- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.

ACTIVITIES

- Deliver and maintain a highly secure, stable, and resilient root server.
- Respond to defined strategic initiatives and vetted community expectations of the Root Server System.
- Maintain a low total cost of operations while building capacity, good engineering practices, and RSS community engagement.

Technical & DNS Security

ICANN Managed Root Server, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Tracking the number of ICANN Managed Root Server (IMRS) instances deployed every 12 months.
- Tracking the number of IMRS service outages every 12 months.
- Financial: measuring actual expenses against planned budget.

RESOURCES

FY21–25: Resource requirements expected to increase.

- ▲ Additional locations of IMRS large “clusters” will require additional year-on-year funding to cover connectivity, colocation, and power costs.
- ▲ Additional locations of IMRS large clusters will require year-zero capital expenses funding followed by year-two maintenance and hardware upgrades to maintain stability and resiliency.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Hiring and retaining expert-level personnel continues to be challenging in the current economic climate.
- Personnel may leave if clear paths for professional development are not implemented. ■

Technical & DNS Security

Internationalized Domain Names and Universal Acceptance

PURPOSE

This functional activity supports community-based work and leads internal work for Internationalized Domain Names and Universal Acceptance (UA) efforts.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Universal Acceptance.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN engages in greater cooperation locally, regionally, and globally, with stakeholder groups and different policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.

ACTIVITIES

- Support the development of Root Zone Label Generation Rules (RZ-LGR) for Chinese, Greek, Japanese, Korean, Latin, and Myanmar scripts.
- Support policy development work on Internationalized Domain Names (IDNs), including IDN variant top-level domains.
- Develop messaging and undertake communication to reach out to technical and other stakeholders to promote UA readiness in applications.
- Develop and undertake training for technology developers and email tools for service providers to promote UA readiness.
- Reach out to the public sector to promote UA readiness awareness and demand.

HOW PROGRESS IS TRACKED

Technical & DNS Security

Internationalized Domain Names and Universal Acceptance, Cont'd.

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones will be used over the five-year period for this functional activity:

- For the scripts identified in Maximal Starting Repertoire, proposals currently underway are finalized and integrated in subsequent versions of RZ-LGR.
- Continued community progress on Universal Acceptance based on its annual action plans which are developed with the support of UA Program at ICANN org, through both global working groups and local initiatives.
- Continued progress of ICANN org in making its own systems UA ready.
- IDN guidelines are implemented based on input from the Generic Names Supporting Organization (GNSO) and approval by the ICANN Board.
- IDN variant TLDs for gTLDs and ccTLDs are implemented based on the policies finalized by GNSO and ccNSO and approved by the ICANN Board.

RESOURCES

FY21–25: Resource requirements expected to increase.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The work on implementation of IDN variant TLDs depends on the finalization of the respective policies by the GNSO and ccNSO. The ICANN Board has asked the SOs to develop a consistent set of policies for variant TLDs.
- Implementation of IDN guidelines depends on the direction provided by GNSO and its eventual approval by the ICANN Board.
- Work on UA is based on influencing technology developers and policymakers who may have other priorities. ■

Technical & DNS Security

IANA Functions

PURPOSE

The IANA functions' purpose is to assign unique identifiers for the Internet in accordance with relevant policies and to be the registry of record for those allocations. This is administered through contracts covering domain names, number resources, and protocol parameters with their respective communities.

ICANN's affiliate Public Technical Identifiers (PTI) performs these functions on behalf of ICANN, delivering services within service level agreements defined in the contracts. PTI has a separate operating plan and budget process through the PTI Board of Directors. Read the [Draft FY21 PTI and IANA Operating Plans and Budgets](#).

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Root Zone Management Evolution.
- Support: Support the evolution of the Root Server System.
- Support: Facilitate DNS ecosystem improvements.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Universal Acceptance.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.
- ICANN collaborates with relevant parties and effectively leverages partnerships in the IETF, Regional Internet Registries, and naming communities to develop and integrate new technologies with existing Internet protocol structures, including the DNS.
- ICANN org continues to provide reliable delivery and continuous improvement of the IANA functions, consistent with community service level agreements.
- ICANN promotes and supports awareness of the IANA functions, including among stakeholders, to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.

Technical & DNS Security

IANA Functions, Cont'd.

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- ICANN engages in greater cooperation locally, regionally, and globally, with stakeholder groups and different policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- New stakeholder services are defined, delivered, and effectively supported.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.
- IPv6 usage measurably increases.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.

ACTIVITIES

- Operations: Perform the IANA functions in accordance with contractual obligations.
- Operational Improvement: Monitor and improve operations through regular analysis and review, including third-party audits and operational excellence activities.
- System enhancement: Evolve the technical systems that manage the workflow of change requests from customers, and publish registry data to customers, ensuring quality, accuracy, and timeliness of the business processes.
- Cryptographic Business Operations: Perform key ceremonies and improve key management facilities to mitigate security threats and maintain facility quality.

Technical & DNS Security

IANA Functions, Cont'd.

- △ System enhancements: Root Zone Management System (RZMS).
- △ System readiness for a subsequent round of new gTLDs when ICANN org is ready to implement Board-approved policy recommendations.
- △ Continue to invest in the current key signing facilities.
- △ Further streamlining and automation of business processes.
- △ Evolve business excellence capabilities across the function.

HOW PROGRESS IS TRACKED

- Operations: Continue to report on IANA performance against its service level agreements.
- Operational Improvement: Continue to analyze customer feedback received through surveys as well as areas for improvement identified through external audits and use results to drive operational improvements.
- System enhancement: Publish registry data to customers, ensuring quality, accuracy and timeliness of the business processes.
- Cryptographic Business Operations: Maintain the transparency of ceremony administration practices and continue to engage with key stakeholders to ensure suggested improvements are implemented to the systems, processes and facilities.

Metrics include:

- Performance service level agreements.
- Customer satisfaction through surveys.
- Audit reports.

Technical & DNS Security

IANA Functions, Cont'd.

RESOURCES

FY21–25: Modest incremental increases annually unless there is a significant scope change in the underlying IANA functions (e.g., new requirements driven by community-developed policies).

See [Draft FY21 Operating Plan and Budget](#) for details.

PTI Shared Services and Direct Shared Services: See [PTI FY21 Ops Plan and Budget](#).

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Ongoing customer satisfaction relies on evolution of IANA systems. Meeting growing customer volume while adhering to service level agreements is dependent on increasing advancement of the systems, and customer expectations on the level of sophistication in those systems grows over time.
- Increased demands relating to the operating envelope around the Key Signing Key (KSK) management. This includes more regular hardware replacement cycles, more frequent key replacement cycles (rollovers), and new secure facilities.
- Losing personnel can significantly impact the function. Most roles in the team lack redundancy and filling positions when personnel depart has often proved challenging.
- A higher number of gTLDs may impact the root zone. ■

Technical & DNS Security

Contractual Compliance

PURPOSE

The Contractual Compliance functional activity ensures that ICANN's contracted parties (registries and registrars) demonstrate and are held in compliance with the applicable agreements and consensus policies.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.

ACTIVITIES

- Conduct monitoring, outreach, and audits to proactively ensure contracted parties are in compliance with agreements.
- Receive, analyze, respond, and resolve complaints regarding potential compliance issues with contracted parties.
- Support policy development processes (PDPs), Organizational and Specific Reviews, and the Registrar Accreditation Agreement (RAA) and Registry Agreement (RA) contracting process by providing input from the contractual compliance perspective. Implement recommendations arising from Specific Reviews and PDPs as necessary and appropriate.
- To enhance operational excellence, the Contractual Compliance team plans to improve business operations, methods, and processes, including looking to increase automation in FY21–25.
- The team also plans to reduce professional services by migrating to the Naming Services Portal, as well as increasing headcount to support Contractual Compliance audit and reporting activities.

Technical & DNS Security

Contractual Compliance, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Number of low-complexity complaints processed.
- Number of high-complexity complaints processed.
- Turn-around time for processing low-complexity complaints.
- Closure rate of high-complexity complaints processed.
- The number of elevated-risk registrars or top-level domain operators audited.
- High-risk issues mitigated through audit.
- Contracted parties and reporter satisfaction level measured via perception survey.

RESOURCES

FY21–25: Resource requirements expected to be stable.

- Migration to Naming Services Portal (NSp) can potentially save approximately USD \$50,000 annually.
- Adding personnel to perform audits can potentially save up to USD \$430,000 annually by reducing services from external sources.
- Adding personnel to provide in-house performance and metrics reporting rather than relying on third-party professional vendors can potentially save almost USD \$100,000 annually.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Complaints may increase in volume, type, and complexity as Registry Directory Services (RDS) obligations are implemented. This may lead to a reallocation of existing resources among ticket queues. At this point, no additional personnel are considered necessary to address this consideration. ■

● Functional Activities

FY21-25

Policy Development & Implementation Support

- Policy Development and Advice
- Policy Research
- Contracted Parties Services Operations
- Technical Services
- Global Domains Division Strategic Programs
- Constituent and Stakeholder Travel

Policy Development & Implementation Support

Policy Development and Advice

PURPOSE

The Policy Development Support functional activity facilitates the policy development and advisory work of the ICANN community. It provides process management, subject matter expertise, and administrative and professional secretariat support to ICANN's Supporting Organizations (SOs), Advisory Committees (ACs) and other community structures recognized under the Bylaws.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Lead: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes, and committed to cooperating in global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and personnel equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.
- The ICANN community establishes mechanisms, such as an accurate measure of community participation, to equitably distribute workload among the pool of stakeholder representatives.
- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time and that ICANN priorities reflect the community's collective needs.

ACTIVITIES

- Facilitate policy deliberations and consensus-building by managing the policy process from start to end for all community-driven policy-related projects. This work includes:
 - Conducting research, drafting reports, tracking recommendations, preparing briefing papers, and updating working drafts as policy work progresses.
 - Providing secretariat and administrative services such as meeting organization and record keeping.
 - Providing neutral advice on procedural and strategic approaches for successful consensus-building and effective policy outcomes.
 - Drafting briefing papers, conducting webinars and presentations, and producing other informational materials to inform community members and others about policy initiatives.
 - Managing community governance processes and relationships across multiple and diverse global stakeholders.
- Manage Public Comment proceedings, a key mechanism for obtaining public feedback on all pending policy proposals before the ICANN Board considers and adopts them.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

- Support the management and oversight work performed by the various SO/AC councils and community leadership teams by providing process guidance, neutral advice, and briefings on the progress of all community-managed efforts.
 - Support ICANN's various community structures in their work to implement Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 recommendations.
 - Improve effective organizational management and tracking of community activities, including milestones, work plans, and records, by migrating and transitioning existing tools into ICANN org's central Customer Relationship Management (CRM) platform.
- △ Implement CRM to transition the following functions in support of SOs and ACs:
- Group enrollment and event management.
 - Membership management.
 - Council or advisory council management.
 - Project management and status reporting.
 - Initiative vs. activity management.
 - Engagement management.
 - Action requests for community support.
 - Business intelligence.
 - Centralize historical records.
- △ Transition of SO and AC websites to the new platform and improve reporting and tracking using new features.
- △ Improvements to Public Comment proceedings and (if funded) more effective data collection in support of PDPs.
- △ Evaluate potential realignment of the Policy Development Support teams and functions to optimize policy development and advisory support services in response to outcomes of the Evolving ICANN's Multistakeholder Model or GNSO PDP projects.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- ICANN org reporting.
 - Membership tracking and reporting by community structures (including any diversity and other reporting as part of implementation of Work Stream 2).
 - Implement all Decisional Participants' reviews of and amendments to internal processes to handle Empowered Community actions.
 - Implementation of recently-concluded Organizational Reviews and community charter review efforts.
 - Documenting and tracking improvements to Public Comment proceedings.
 - Progress on migration and transition to CRM platform.

- Metrics.
 - Number of active projects and recurring activities.
 - Extent of community deliberations measured by preparation, conference calls, webinars and meeting hours.
 - Milestone reporting by working groups and documenting of timelines.
 - Issuance of reports, resolutions, and other documented decisions.

- ICANN Public Meetings and report metrics.
 - ICANN Prep Week reports and statistics (including, where available, geographic distribution and SO/AC affiliation).
 - ICANN Public Meetings reports and statistics.
 - Annual ICANN Public Comment proceedings reports.
 - ICANN Public Meeting Pre- and Post-Meeting briefings.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to increase.

- ▲ There is a clear upward trend in the number and scope of policy initiatives across the ICANN community, as well as a continuing increase in the number of community members participating in these initiatives. Current strategic objectives and strategic goals further call for increased, diverse, and meaningful participation. Without deliberately capping the number of active policy efforts in concurrent operation, these trends will require a correlated increase in resources (e.g., personnel, travel, and professional services). Based on current trends and expected workload, it is anticipated that an additional three FTE policy specialists or managers will be required to adequately support the community work, in addition to 2 FTEs for SO and AC secretariat and community operations and one dedicated Project or Program Manager for the Policy Development Support team.
- ▲ Professional services are a cost-effective, flexible way to supplement full-time personnel resource requirements and allow for organizational efficiencies in driving improvement efforts and should be considered along with additional hiring.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Community expectations for facilitation and other support from the Policy Development Support team must be balanced with robust discussions of costs and benefits. There is a connection between personnel levels and the ability to provide support to existing policy development work, especially given the potential launch of several new PDPs within this five-year timeframe.
- Generally, extended operations by the Policy Development Support function below the 35 FTE level run the risk of:
 - Lower levels of service to the community and regional disparities.
 - Delayed policy and advisory outputs.
 - Community frustration and loss of active participants.
 - Potential team member burnout.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

- Cuts or no growth to the Policy Development Support budget may signal to the community:
 - A potential deprioritization of policy activities integral to ICANN's mission.
 - De-emphasis of support for community operations central to ICANN governance processes.
 - Lack of organizational support for efforts to ensure global, diverse volunteer participation that provides legitimacy to ICANN's multistakeholder model.
- Need to ensure that the introduction of new technological tools as well as platform changes is orderly and well-planned, and that community training and transition needs are accounted for.
- Traditional difficulty in engaging the community in prioritization exercises; lack of tools to engage in meaningful and effective prioritization.
- Lack of academic-quality policy research despite having qualified personnel, due to workload issues and inconsistent community expectations.
- Limited data collection to date means that data-driven policy work has been difficult and time consuming, and that decision-making is done without reference to specific data or other factual evidence. ■

Policy Development & Implementation Support

Policy Research

PURPOSE

The Policy Research functional activity supports implementation of consensus policy recommendations as well as relevant review team recommendations and advice developed in the stakeholder community. This function also includes execution of data, research, and study project requests from internal and external stakeholders, and coordinating issue resolution within the Global Domains Division.

Activities in FY21–25 are primarily expected to support implementation work for the Competition, Consumer Trust, and Consumer Choice Review Team (CCT-RT) recommendations on data collection, phases 1 and 2 of the [Temporary Specification for gTLD Registration Data Expedited Policy Development Process Team](#) (EPDP), and the anticipated policy recommendations on New gTLD Subsequent Procedures.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Promote and sustain a competitive environment in the Domain Name System.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN’s mission and Bylaws.
- New gTLD awareness increases, as measured in surveys of Internet users.
- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and the availability of measures to support sustained operations of new gTLDs in the namespace.

Policy Development & Implementation Support

Policy Research, Cont'd.

ACTIVITIES

- Executing research and study requests from stakeholder community.
 - Providing subject matter support to internal and external stakeholders.
 - Coordinating implementation and Board review of GNSO consensus policies.
 - Managing implementation of relevant review team recommendations.
- ▲ Developing data functions model for the organization.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones will be used to track progress on the data model:

- Model definition.
- Model implementation plan.
- Model implementation.
- Function launch.

The timing depends on community comment (to close), and Board consideration and direction.

The following milestones will be used to track progress related to the New gTLD Subsequent Procedures Policy Development Process:

- Completion of GNSO policy recommendations (by PDP WG) (targeted Q2 in 2020 calendar year).
- Board consideration of GNSO policy recommendations.
- Formation of the Implementation Review Team (IRT).
- Public Comment period on draft implementation plan.

The timing of these milestones depends on community comment and Board consideration and direction.

Policy Development & Implementation Support

Policy Research, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to increase.

Increased resources will likely be needed to deliver this work, based on new initiatives such as Subsequent Procedures for New gTLDs, implementation work, and review work. Existing personnel will collaborate with other functions including:

- ▲ Support from multiple functions across ICANN org, including: Legal, Contractual Compliance, Multistakeholder Strategy and Strategic Initiatives, Communications, Office of the Chief Technology Officer, Policy Development Support, Global Stakeholder Engagement, and Operations.
- ▲ Development and execution of data functions model may require procurement of specialized expertise.
- ▲ Particular study and research requests may require procurement of professional services, e.g., consumer or registrant surveys, extension of statistical analysis of DNS abuse in gTLDs, or economic analysis.

CONSIDERATIONS

- Resolution of pending CCT recommendations is expected in FY20; however, outcomes and priorities for resource allocation are unknown .
- A defined set of prerequisites to subsequent New gTLD Program rounds has not been agreed on in the community. ■

Policy Development & Implementation Support

Contracted Parties Services Operations

PURPOSE

Contracted Parties Services Operations delivers and evolves defined, high quality, repeatable services and processes to applicants and contracted parties in a timely, consistent, and predictable manner. ICANN org's Global Implementation team leads the transformation of a program or service from concept to reality, taking point on service delivery development and preparation activities.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- New stakeholder services are defined, delivered, and effectively supported.

ACTIVITIES

- Process contracted party service requests.
- Manage contracted party contracts.
- Facilitate execution of contracted party agreements.
- Generate and execute contract amendments as a result of service requests.
- Process agreement terminations.
- Manage registrar application and evaluation process.
- Monitor conditions required by contracted party agreements and execute outbound communications to facilitate contracted party compliance with agreements.
- Manage procurement, negotiation, contracting, onboarding, and oversee accountability of vendors that provide contracted party capabilities and evaluation functions needed to process service requests.
- Develop business systems requirements and provide management functions for GDD Operations platforms.

Policy Development & Implementation Support

Contracted Parties Services Operations, Cont'd.

- Manage Action Request Register (ARR) functions for Correspondence and Advice to the Board.
- Deliver WHOIS ARS functions when and if unpaused.
- Support all New gTLD Program services and functions for remaining applicants of the 2012 round:
 - Application Processing (evaluation, objections, contention resolution, application change requests, etc.).
 - Contracting (Registry Agreement execution, Specification 13, and Code of Conduct Exemption Amendments).
 - Predelegation activities (predelegation testing, onboarding, and transition to delegation).
 - Vendor management of new gTLD services including service development and contract renewals.
 - Support GDD initiatives and projects related to the New gTLD Program.
 - Support for ICANN org's Legal team on New gTLD Program-related Accountability Mechanisms and litigation.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones will be used over the five-year period for this functional activity:

- Service Level Targets will continue to be monitored and modified as per operational needs.
- Reporting of service delivery against Service Level Targets will continue.
- Transactional reporting of Service Level Targets.
- Monitor contracted party transactional survey responses.

Policy Development & Implementation Support

Contracted Parties Services Operations, Cont'd.

RESOURCES

- Stable in FY21 and FY22.
- Expand in FY24 and FY25 to provide services to additional contracted parties as a result of implementation of recommendations from New gTLD Subsequent Procedures Policy Development Process.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Services defined by contracts and policies are varied, complex and difficult to automate. Critical thinking and human judgment are required to complete transactions.
- Global amendments offer an opportunity to reduce operational complexity, clarify language, and increase efficiency.
- Board action to initiate work on Subsequent Procedures for New gTLDs readiness will require resources from this group to be realigned to support readiness activities.
- GDD Operations resources are in high demand both internally and outside the organization. Providing development opportunities and career growth to retain personnel is critical to successful ongoing operations.
- Tapping current personnel to fill positions related to implementation of Board-approved recommendations from the New gTLD Subsequent Procedures Policy Development Process will increase load on Human Resources to fill current positions so as not to negatively impact operational continuity.
- New gTLD Program support activities are currently projected to run through FY24. Changes to that timeline would impact resources and activities.
- Changes to service strategy and objectives could impact the service delivery approach in several key areas such as Registry Services Testing (RST) and data escrow.
- Accountability Mechanisms and litigation pertaining to the New gTLD Program typically require significant and unplanned support from the team and may require significant expenditure of resources to manage. ■

Policy Development & Implementation Support

Technical Services

PURPOSE

The Technical Services functional activity provides technical knowledge and data regarding domain name space inside ICANN org, working to maintain the security and stability of the Domain Name System.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.

ACTIVITIES

- Manage systems such as the Service Level Agreement Monitoring (SLAM), Technical Compliance, Registry Reporting Interface (RRI), Technical Onboarding, Monitoring System Application Program Interface (MoSAPI), Zone File Access (ZFA), Bulk Registration Data Access (BRDA), Controlled Interruption (CI) monitoring, and Registration Data Access Protocol (RDAP) response validation.
- Coordinate and support ICANN community technical initiatives RDAP development and Trademark Clearinghouse (TMCH) specifications development.
- Manage services such as the Emergency Back-end Registry Operation (EBERO) and Registry System Testing (RST).
- Develop and maintain technical specifications used by the contracted parties, such as data escrow, TMCH, RRI, and MoSAPI.
- Engage with the technical community.
- Support other teams within ICANN org.

Policy Development & Implementation Support

Technical Services, Cont'd.

HOW PROGRESS IS TRACKED

- Deliver new and updated systems.
- Update services as needed.
- Maintain up-to-date technical specifications.

RESOURCES

FY21–25: Resource requirements expected to increase marginally.

- No additional resources expected until new work is assigned (e.g., new round of gTLDs is launched or if the Unified Access Model is adopted and implemented).

CONSIDERATIONS

- A potential increase of resources is needed when unbudgeted projects are assigned or delegated to the team. ■

Policy Development & Implementation Support

Global Domains Division Strategic Programs

PURPOSE

The Global Domains Division Strategic Programs functional activity manages and supports cross-functional work on programs and projects in support of the division's goals and objectives.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Promote and sustain a competitive environment in the Domain Name System.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and availability of measures to support sustained operations of new gTLDs in namespace.
- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.

Policy Development & Implementation Support

Global Domains Division Strategic Programs, Cont'd.

ACTIVITIES

- Subsequent Procedures for New gTLDs.
 - Support for the implementation of recommendations developed through the New gTLD Subsequent Procedures Policy Development Process when adopted by the Board.
- Registrant program.
 - Development of materials to educate registrants about their rights and responsibilities as well as their roles within the DNS.
 - Raise awareness about issues and challenges impacting registrants.
 - Ensure that registrants' perspectives are represented in ICANN org's work when implementing policies and services.
- Registration Directory Services (RDS) and WHOIS.
- Support RDS and WHOIS-related activities for GDD.
 - Support implementation of RDS and WHOIS2 Review Team recommendations when adopted by the Board.
 - Continued support for the implementation of Expedited Policy Development Process (EPDP) on Temporary Specification for gTLD Registration Policy Phase 1 recommendations and of EPDP Phase 2 recommendations when adopted by the Board.
 - Evolve and enhance the ICANN look-up tool.
 - Migrate whois.icann.org to icann.org.
- IANA-related activities.
 - Support the first IANA Naming Function Review through completion and implement Board-adopted recommendations.
 - Support contract renewals.
 - Support the Customer Service Committee, including ongoing activities and the next CSC effectiveness review.

Policy Development & Implementation Support

Global Domains Division Strategic Programs, Cont'd.

HOW PROGRESS IS TRACKED

For IANA Naming Function Review:

- Publication of Initial Report.
- Publication of Final Report.
- Board action on recommendations.
- Completion of implementation activities.

For CSC:

- Regular monthly reporting.
- Fulfillment of charter requirements.
- Convening of review team.
- Publication of Initial Report.
- Publication of Final Report.
- Implementation of recommended changes.

RESOURCES

FY21–25: Resource requirements expected to increase.

It is anticipated that the New gTLD Subsequent Procedures Policy Development Process will drive any additional resource needs in FY21–25. The FY21 budget is expected to marginally increase due to the addition of one additional project management resource to support activities related to planning for implementation and related operational readiness activities pending adoption of policy recommendations on subsequent procedures for new gTLDs.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Activities related to recommendations from the New gTLD Subsequent Procedures Policy Development Process are expected to be a major effort in FY21–25. Ongoing project planning will inform when additional resources are necessary to support required activities in this time period. ■

Policy Development & Implementation Support

Constituent and Stakeholder Travel

PURPOSE

The purpose of Constituent and Stakeholder Travel is to provide travel support for community members selected through appropriate processes and broaden participation in ICANN's processes.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

ACTIVITIES

- Provide travel support for community members selected through appropriate processes following Travel Support Guidelines.
- Update Travel Support Guidelines as needed and solicit public comment on updates.

Policy Development & Implementation Support

Constituent and Stakeholder Travel, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Publication of reports following each ICANN Public Meeting with details of travel support provided.

RESOURCES

FY21–25: Resource requirements expected to be stable.

The number, cost, and support of funded seats for Supporting Organization and Advisory Committee constituent travel is stable.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Allocating limited travel funding among ICANN community members requires prioritization.
- Advance planning is needed to ensure cost-effective pricing. ■

● Functional Activities

FY21-25

Community Engagement & Services

- Global Stakeholder Engagement
- Regional Offices
- Public Responsibility Support
- Government and Intergovernmental Organization Engagement
- gTLD Accounts and Services
- Consumer Safeguards
- Global Communications and Language Services
- Global Meetings Operations
- Ombudsman

Community Engagement & Services

Global Stakeholder Engagement

PURPOSE

ICANN org's Global Stakeholder Engagement (GSE) team leads engagement and outreach around the world with stakeholders about ICANN and its mission. Through local coverage in eight GSE regions, the team is a point of contact for ICANN org and the ICANN community. Its purpose is:

- Raising awareness and understanding of ICANN's role and remit.
- Encouraging participation in ICANN policy development and technical activities.
- Enhancing ICANN org's operating model across all regional offices and ensuring alignment of regional engagement efforts with ICANN org strategic and operational priorities.

OPERATING INITIATIVE CONTRIBUTIONS

As GSE's role is to lead engagement and outreach for ICANN org, it provides direct and indirect support to many of the operating initiatives which have outreach components that contribute to success.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of GSE function, all strategic goals' targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Ongoing cross-functional regional engagement related to technical and policy work, participation in relevant national and regional discussions, and delivery of regional engagement strategies.
- Capacity development to increase understanding of ICANN's mission and diversify participation in ICANN's core activities.
- Engagement measurement, planning, and administration.
- Support cross-organizational collaboration for legislative tracking, government engagement, operational and strategic planning, and other functions.

Community Engagement & Services

Global Stakeholder Engagement, Cont'd.

- Ongoing engagement activities related to the implementation of Board-approved recommendations from Specific and Organizational Reviews' implementation and community work on New gTLD Subsequent Procedures Policy Development Process recommendations.
- Support of other ICANN org team initiatives, including OCTO Government Engagement, and the Global Domains Division.
- Global Stakeholder Engagement participates in internal subject matter expert teams on the implementation of the various Organizational and Specific Reviews.
- ▲ GSE will update community-driven regional strategies against the Strategic Plan, and ensure these activities align with the new strategic objectives for ICANN org.
- ▲ GSE will evaluate the regional events ICANN org currently supports to determine effectiveness and modify if needed.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones and metrics will be used over the five-year period for GSE:

- Update and alignment of regional engagement strategies with the Strategic Plan.
- Data on ICANN's geographical presence and services to regional stakeholders.
- Number of capacity development and training events and analysis of community feedback.
- Incorporation of stakeholder journeys data into ICANN org Open Data Initiative.
- Metrics related to cross-functional work on DNS ecosystem security, DNSSEC deployment, Universal Acceptance and IDNs, and ICANN Managed Root Server instances.
- Engagement reporting for Competition, Consumer Trust, and Consumer Choice (CCT) Review and Registration Directory Service (RDS-WHOIS2) Review Team recommendations implementation.
- Support of community prioritization effort at regional level to participate in Public Comment periods.
- DNSSEC statistics from regional trainings and local adoption levels by top-level domains, Internet service providers, and others.

Community Engagement & Services

Global Stakeholder Engagement, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to increase.

- ▲ Increased funding needed for GSE team to support the demand for engagement stemming from operating initiatives, Organizational Reviews, a potential next round of new gTLDs, and regional capacity development requests.
- ▲ Increased funding needed to support regional DNS Forum events in Asia, Oceania, and Europe.
- ▲ Each regional office needs one team member added to support its work.

CONSIDERATIONS

The following risks and considerations exist for the GSE team and may impact its advancement:

- Full deployment of software tools through the ICANN CRM is needed to enable cross-functional collaboration, request management, and performance tracking.
- Greater cross-organizational collaboration is needed between L.A. and the regional offices.
- Budget pressures may impact personnel retention and performance to meet org and community expectations for engagement.
- The organizational priority on legislative tracking is resource intensive and requires engagement.
- Community prioritization effort may highlight need to recruit new stakeholders, which will involve Global Stakeholder Engagement team efforts to target new active participants.
- Travel costs should keep pace with inflation and growth of personnel costs so that the Global Stakeholder Engagement team can deliver on requested regional engagements in support of targeted outcomes without decreasing ICANN org's sponsorship and partnership budget. ■

Community Engagement & Services

Regional Offices

ICANN has regional offices in Brussels, Belgium; Istanbul, Turkey; Montevideo, Uruguay, and Singapore.

PURPOSE

The primary purpose of the regional offices is stakeholder engagement. Besides bringing ICANN's functions closer to stakeholders, the offices facilitate the functions housed in the region to achieve the goals set out in the Strategic Plan.

OPERATING INITIATIVE CONTRIBUTIONS

As each regional office leads stakeholder engagement in its region and collaborates with other ICANN functions at a regional level, each regional office directly or indirectly supports all operating initiatives.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Effective regional stakeholder engagement underpins the success of many of targeted outcomes in the strategic plan and reflects the regional offices' ongoing collaboration with other ICANN functions.

ACTIVITIES

ICANN's regional offices work with the community to help them obtain the support and services they need from ICANN org. Each office provides a broad range of localized services to the community. The regional offices are often a first point of contact for stakeholders in the area, and serve as the regional interface for ICANN org.

Community Engagement & Services

Regional Offices, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. Key measures for the regional offices in the five-year period are:

- Facilitate collaboration to achieve identified cross-functional goals based on the Strategic Plan. The success of this collaboration will be tracked against the goals and targeted outcomes of agreed-upon goals.
- Collaborate to address engagement gaps, develop an engagement gaps matrix, and incorporate into an org-wide platform.
- Evaluate options for Singapore office expansion or relocation prior to current lease expiration on 30 September 2021.

RESOURCES

Brussels: Resources are expected to increase.

- △ Personnel increase to support increased engagement around technical and legislative issues and new initiatives such as the possible next round of new gTLDs.
- △ Support for community and engagement meetings.

Istanbul: Resources are expected to remain stable.

- △ One new team member for Middle East and Africa region.
- △ Upgrade audio-visual equipment in support of community and engagement meetings.

Montevideo: Resources are expected to increase.

- △ Increase funding for regional personnel to attend annual capacity development week and office-wide meeting.
- △ Add administrative support in FY20–21.
- △ Add contracted parties account manager in FY24.
- △ Add Contractual Compliance personnel member in region in FY25.

Singapore: Resources are expected to increase.

- △ Increased budget to expand space or relocate. Extra space to be used for hosting community meetings and workshops.
- △ Support for community and engagement meetings.

Community Engagement & Services

Regional Offices, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for the success of the regional offices and may impact their progression:

- Work depends on other functions who may have other priorities.
- Functional teams should have region-specific plans and goals in place.
- Use of new Customer Relationship Management platform to better coordinate regional requests and assign resources.
- Allocation of adequate budget for Global Stakeholder Engagement personnel and regional support.
- Willingness of the community to use the regional offices for ICANN-supported face-to-face meetings.
- The Istanbul office may need to be expanded if the demand for larger face-to-face meetings in that region increases. ■

Community Engagement & Services

Public Responsibility Support

PURPOSE

The Public Responsibility Support (PRS) team provides the community with the necessary support and tools to carry out public responsibility activities that support ICANN’s mission. Increasing diversity and lowering barriers to participation at ICANN is central to these efforts.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Implement New gTLD auction proceeds recommendations as approved by Board.
- Support: Facilitate DNS ecosystem improvements.
- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Evolve and strengthen the ICANN community’s decision-making processes to ensure efficient and effective policymaking.
- Support: Through targeted engagement improve Governments and Intergovernmental Organizations (IGOs) engagement and participation in ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN’s mission and Bylaws.
- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and personnel equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.
- Representation across all stakeholders continues to reflect the evolving functional,

Community Engagement & Services

Public Responsibility Support, Cont'd.

geographic, and cultural diversity of the Internet.

- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.
- ICANN prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.

ACTIVITIES

- Research and expertise: Support for public responsibility initiatives within ICANN's remit in the areas of diversity, human rights, anti-harassment, public interest, and continue to support preparation for implementation of Board-adopted recommendations from the New gTLD Auction Proceeds CCWG Cross-Community Working Group.
 - Diversity programs: Fellowship Program, NextGen@ICANN, Newcomer Day at ICANN Public Meetings, the Newcomer Portal on icann.org, and the ICANN Community Childcare Grants Pilot.
 - Capacity-development initiatives: ICANN Learn, Leadership Program, Chairing Skills Program, and the ICANN History Project.
- △ Establish ICANN Learn as the main capacity-development tool across ICANN, featuring a robust catalogue of technical and skill building courses.
 - △ Improve linkages between newcomers and individuals and groups who perform policy development and advice work.
 - △ Establish a more data-driven approach to diversity issues, program management, and evaluation.
 - △ Evaluate and improve PRS programs on a rolling basis; conduct community consultation for the Fellowship Program in FY23 and for NextGen@ICANN in FY25.
 - △ Phase out ICANN History Project work beginning in FY21 and reduce to minimal maintenance levels in FY25.

HOW PROGRESS IS TRACKED

Community Engagement & Services

Public Responsibility Support, Cont'd.

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Research and expertise:
 - A diversity dashboard is expected to be implemented in FY22.
 - A procedural Public Interest Framework developed by FY25.
 - New gTLD Auction Proceeds CCWG: Support coordination efforts leading up to Board approval of recommendations.
- Diversity programs: Fellowship Program, NextGen@ICANN, Newcomer Day at ICANN Meetings, the Newcomer Portal on icann.org, and the ICANN Community Childcare Grants Pilot.
 - ICANN Community Childcare Grants Pilot will be evaluated in FY21 to determine whether the program will continue as a recurring activity.
 - Evaluations of diversity programs will start five years after the previous review (Fellowship in FY23 and NextGen@ICANN in FY25).
 - Fellowship and NextGen@ICANN:
 - Number of participants by region and sector.
 - Number of pen holders on policy reports and documents.
 - Number of mailing list contributors.
 - Number of public comment contributors.
 - Number of alumni in leadership positions.
- Capacity-development initiatives:
 - Other capacity development delivery will be evaluated and improved on a rolling basis.
 - Phasing out ICANN History Project work will begin in FY21 and reduced to minimal maintenance levels in FY25.
 - Online Learn (ICANN Learn):
 - Number of active users.
 - Number of new courses.
 - Number of multilingual courses.

RESOURCES

Community Engagement & Services

Public Responsibility Support, Cont'd.

FY21–25: Resource requirements expected to be stable.

- PRS resources will remain at FY21 levels (adjusted annually for inflation).

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Work depends on clear community and organizational public responsibility priorities and cross-functional collaboration.
- Reputational risk may arise from failure to provide sufficient transparency and ability to demonstrate impact and return on investment of programs. This includes failure to support educated and informed stakeholders and a perceived lack of diversity in PRS programs.
- Continued improvement to PRS operations is needed, increasing transparency and responsiveness to the community.
- ICANN Learn should be leveraged to improve scalability of capacity-development efforts. ■

Community Engagement & Services

Government and Intergovernmental Organization Engagement

PURPOSE

ICANN org's Government and Intergovernmental Organization Engagement (GE) team is responsible for outreach and engagement with national and regional governments and intergovernmental organizations to protect the remit and mandate of ICANN.

The GE team acts as a central point of contact to help government entities understand technology and its role in the problems they are seeking to solve. The GE team's goal in engagement is to provide information to make governments aware of or mitigate the sometimes unintended consequences of government action on areas within ICANN's remit or impacting policies developed through ICANN's multistakeholder processes. The GE team specifically provides information about the global Domain Name System.

GE works with the Governmental Advisory Committee as the constituency that is the home of governments and intergovernmental organizations (IGOs) within ICANN. GE also represents the mission of ICANN org with government ministries and IGOs.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Lead: Through targeted engagement, engagement and participation with ICANN by governments and intergovernmental organizations (IGOs).
- Lead: Monitor legislation, regulation, norms, principles, and initiatives that may impact the ICANN mission in collaboration with others.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN is engaged, its role acknowledged, and its presence valued in the arenas where topics within its remit are discussed.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission and the effect of various regulatory and other proposals on the Internet ecosystem.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.
- ICANN org continues to develop and mature systems to detect and monitor legislative initiatives and other governmental or intergovernmental actions or initiatives that could impact ICANN's mission or operations.
- ICANN org proactively engages with the community to develop common awareness of ICANN's contribution to early warning systems.
- The inherent security of the DNS and unique identifiers system measurably increases, due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders. (awareness raising related to DNS ecosystem security).
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system. (supporting OCTO efforts)
- Decision-making processes ensure that input from all stakeholders is considered.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant governmental organizations and institutions (supporting Communications and helping to educate and inform relevant organizations).
- ICANN org fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge building about ICANN and its mission continues.

ACTIVITIES

- Assessment of risks to ICANN org due to legislative or regulatory activity or through global action by IGOs.
- Facilitation of global, regional, and national government engagement strategies reflecting geopolitical changes and the changes in the strategic plan.
- Ongoing cross-functional regional engagement related to technical and policy work as well as participation in relevant national and regional discussions.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

- Capacity development.
- Support cross-organizational collaboration for legislative tracking, government engagement, operational and strategic planning, and other functions.
- Review and revision of the global government and IGO engagement strategies to align with the Strategic Plan, which expands the number of strategic objectives with engagement elements.

▲ GE will update demand-driven government capacity-building activities against the Strategic Plan and ensure these activities align with the new strategic objectives for ICANN org.

▲ GE will evaluate the government engagement events ICANN org currently supports, determine effectiveness, and modify engagement strategy as needed.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Delivery of High-Level Governmental Meetings in FY21, and potentially FY23 and FY25.
- Reports and statistics on participation in outreach, technical briefings, and capacity development sessions for the GAC and through collaboration with other organizations in the ecosystem.
- Comparison of surveys conducted before and after capacity development events to measure information learned and delivery of information against expectations.
- Completed review of existing memorandums of understanding (MoUs) for continuing alignment with goals.
- Metrics related to the number of countries and intergovernmental organizations represented in the GAC and the number of countries and IGOs actively participating in GAC and ICANN policy processes.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

RESOURCES

FY21–25: Increased resources will be needed to address:

- ▲ Growth in risks to ICANN org through intended and, more frequently, unintended consequences of the legislative and regulatory actions of governments and intergovernmental organizations.
- ▲ Growth in risks to the single, stable global Internet through new technologies, lack of government understanding of those technologies, or political initiatives to address challenges governments believe are posed by those technologies.
- ▲ Stakeholder demand for engagement and capacity development through the GAC's Underserved Regions Working Group and Public Safety Working Group.
- ▲ Increased regional capacity-building workshops and technical briefings and trainings to fulfill collaboration with other organizations within the Internet ecosystem.
- ▲ Increased activity in the cybersecurity areas reflecting growing governmental concerns and proactive and preemptive behavior to address or exploit possible vulnerabilities in the critical Internet infrastructure.
- ▲ Increased need for professional service contracts to cover specialized events and information gathering.
- ▲ Increased participation in arenas that ICANN has not previously engaged as the locus of political action that can impact ICANN shifts.
- ▲ Changes in personnel needs during FY21–25. Additional resources will be needed:
 - Likely need for additional resources in Brussels to address the role of the EU structures in creating legislation and regulation that have potential global impact on ICANN's mission and the operation of the DNS.
 - Likely need for additional resources in New York to address the roles of UN structures in creating resolutions that could impact ICANN's mission and remit; monitor the increasing activities of the various UN working groups and initiatives which have a potential global impact on ICANN's mission.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

- Likely need for additional resources in Geneva to address activities by IGOs and missions and resolutions which have a potential global impact on ICANN's mission.
- Increased global dialogue on cybersecurity in new venues will require additional bandwidth for coverage and analysis.
- Possible reduction in support for some other initiatives that are currently supported by GE, which may impact other functions, planning, and community expectations.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Changes in the assessment of risk environment.
- Change in functional resources and team allocation. Given limited resources and pressure on ICANN org budget, there will need to be ongoing, increased collaboration with GSE, OCTO, Communications and other community-facing functions in ICANN org. ■

Community Engagement & Services

gTLD Accounts and Services

PURPOSE

The generic Top-level Domain (gTLD) Accounts and Services functional activity is responsible for the effective implementation of Generic Names Supporting Organization consensus policy and contract-related services. Its team builds and maintains relationships with the ICANN-accredited registrars, gTLD registries, and their respective stakeholder groups.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.
- Support: Promote and sustain a competitive environment in the Domain Name System.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or Strategic Plan.
- ICANN has reliable and predictable five-year funding projections, based on realistic assumptions and a sound understanding of the evolution in the domain name marketplace.
- ICANN utilizes data about the directions and trends in the market to effectively guide the organization.

Community Engagement & Services

gTLD Accounts and Services, Cont'd.

ACTIVITIES

- Continue to build and maintain relationships with ICANN's contracted parties.
- Collect and contextualize market intelligence about the domain name industry ecosystem.
- Implement GNSO policy recommendations after adoption by the ICANN Board.
- Implement and enhance services for the contracted parties.
- Develop the annual and five-year funding forecast.
- Support the ICANN community transition from WHOIS to Registration Data Access Protocol (RDAP) for registration data directory services.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Renewal of Base gTLD Registry Agreements starting in 2023.
- Implementation of adopted consensus policies.
- Survey of contracted parties.

RESOURCES

FY21–25: Resource requirements expected to be stable.

- Overall the team is expected to be stable during this period with minor increases (0.5 to 1) FTE to support additional domain name market tracking and analysis.

CONSIDERATIONS

- The transition from WHOIS to RDAP depends on completion of amendments to gTLD Base Registry Agreement and 2013 Registrar Accreditation Agreement, expected in early FY21.
- Implementation of approved GNSO Council-developed policy recommendations partially depends on volunteer-based Implementation Review Team (IRTs). ■

Community Engagement & Services

Consumer Safeguards

PURPOSE

ICANN org's Consumer Safeguards team facilitates community-wide discussions to identify:

- Existing safeguards within ICANN's remit.
- Gaps in addressing DNS security threats within ICANN's remit and other issues negatively impacting DNS end users and domain name registrants.
- Potential means to address safeguard gaps and reduce DNS security threats.

The functional activity also contributes to org assessments of local and regional regulations that may impact the DNS, as well as community and broader public engagement.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.

ACTIVITIES

- Facilitate community-wide sessions at ICANN Public Meetings and in regional venues to discuss safeguard and DNS abuse topics.
- Partner with ICANN org teams in OCTO and GDD to educate contracted parties on DNS abuse issues and ways to reduce abuse.
- Engage with the public and community members on legal and regulatory efforts that may impact the DNS.

Community Engagement & Services

Consumer Safeguards, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Number of facilitated community discussions.
- Issue papers.

RESOURCES

FY21–25: Resource requirements expected to be stable.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Level of community interest and engagement may not be constant. There may be pressure on the Consumer Safeguards director to go beyond facilitator role to advocate in favor of a particular position or positions. ■

Community Engagement & Services

Global Communications and Language Services

PURPOSE

The primary purpose of ICANN org’s Global Communications and Language Services function is to ensure that ICANN is represented accurately and consistently in all forms of communication. This is accomplished in several ways:

- Demonstrate successes, knowledge, and thought leadership through compelling, clear, and consistent positioning.
- Continue to grow, globalize, and diversify communications efforts and channels for geographic and target-audience reach.
- Expand to and engage with new audiences by reaching outside of traditional forums.
- Leverage media and industry contacts to amplify key messages.
- Increase external understanding of and increase participation in ICANN’s policy development process and multistakeholder model.
- Explain the role of the IANA functions and ICANN’s technical remit.
- Educate internal audiences and support personnel activities.
- Facilitates access to ICANN by providing translations, interpretation, and transcription services in the six UN languages for ICANN Public Meetings and other events.

The secondary purpose is to provide communication tools to personnel and community to advance their work.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Facilitate DNS ecosystem improvements.
- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Evolve and strengthen the ICANN community’s decision-making processes to ensure efficient and effective policymaking.

Community Engagement & Services

Global Communications and Language Services, Cont'd.

- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Support: Through targeted engagement improve Governments and Intergovernmental Organizations (IGOs) engagement and participation in ICANN.
- Support: Monitor legislation, regulation, norms, principles, and initiatives in collaboration with others that may impact the ICANN mission.
- Support: Implement new gTLD auction proceeds recommendations as approved by Board.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN maintains a reputation as a source of unbiased, reliable, and factual information on DNS health.
- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed upon global public interest.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant organizations and institutions.
- ICANN engages in greater cooperation locally, regionally, and globally, with stakeholder groups and different policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.
- New gTLD awareness increases, as measured in surveys of Internet users.
- ICANN promotes and supports awareness, including among stakeholders, of the IANA functions, to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.

Community Engagement & Services

Global Communications and Language Services, Cont'd.

ACTIVITIES

- To ensure professional, consistent messaging that properly positions ICANN in the community, org, and externally through media and other sources. This team is responsible for brand and usage standards, website content, social media, graphic design, writing, proofing, and editing.
- Following the rollout of the Information Transparency Initiative (ITI), the team will continue the development and implementation of the Information Transparency Platform (ITP).
- The Global Communications function supports capacity-building efforts in the regional offices through public relations, media facilitation, and communication strategy.
- This function is part of the strategic communications planning and implementation (drafting, editing, content review, and scorecard development) for many of the functions within ICANN org, as well as Internal Communications, editing, writing, and communications planning support for internal functions such as Engineering and IT, Finance, and HR.
- **▲** In FY21–25, Global Communications anticipates adding writers and a graphic designer to the team pending an evaluation of how to best structure the resources to better support each function.
- **▲** In light of considerations, the Global Communications team plans to:
 - Evaluate and reduce the number and complexity of available tools.
 - Evolve ICANN Speakers Bureau Resources deck with new narratives on subjects such as “What is ICANN,” “Security of the DNS,” and “ICANN as a Technical Advisor.”

HOW PROGRESS IS TRACKED

The Global Communications team will utilize tools, such as social listening tools, media monitoring, and Google analytics to track content likes, retweets, shares, etc.

RESOURCES

FY21–25: Resource requirements expected to be stable.

Community Engagement & Services

Global Communications and Language Services, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Overall, unclear or inconsistent communications and messaging to stakeholders can negatively impact ICANN's reputation or put ICANN at legal risk.
- Advance notice of special projects or initiatives that will require communications support is key to ensuring that resources are available to provide assistance. Other functions are strongly encouraged to involve the team as early as possible.
- Promoting a shared understanding of key and current issues requires that personnel throughout ICANN org work with the Global Communications team to access accurate and consistent information on topics of interest.
- Translated materials, which are costly to produce, are not well used in some of the languages. ■

Community Engagement & Services

Global Meetings Operations

PURPOSE

Global Meetings Operations supports meetings hosted by ICANN globally. The team ensures that the selected cities, venues, meeting facilities, and services provide an environment conducive to the effective conduct of the meeting.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

ACTIVITIES

The team provides extensive pre-planning and on-site support to:

- Three ICANN Public Meetings a year.
- Three Board Retreats a year.
- Community face-to-face meetings. The number varies from year to year.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Meetings team: Number of meetings supported.
- Travel Support: Number of travelers supported.

Community Engagement & Services

Global Meetings Operations, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to increase.

▲ As face-to-face meeting demand continues to increase and consume available resources, this is negatively impacting our ability to complete work in a timely manner and causing indirect and direct cost increases due to reduced lead times. The team anticipates additional resources in FY21–25.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- There is a need to define the purpose of ICANN Public Meetings and work toward internal alignment within ICANN org.
- ICANN org is seeing an upward trend in the number of face-to-face meetings, even with flat funding. Between 2016 and 2018, ICANN org saw an increase of 74 percent for event travel.
- ICANN org has executed hotel contracts through 2023. Changes to the number or type of meetings could incur hotel penalties. ■

Community Engagement & Services

Ombudsman

PURPOSE

The Office of the Ombudsman is a neutral dispute resolution practitioner for the ICANN community. The principal function of the Ombudsman shall be to provide an independent internal evaluation of complaints by members of the ICANN community who believe that the ICANN staff, Board, or an ICANN constituent body has treated them unfairly. The Ombudsman serves as an objective advocate for fairness, and seeks to evaluate and resolve complaints about unfair or inappropriate treatment by ICANN org staff, the Board, or ICANN constituent bodies, clarifying the issues and using conflict resolution tools such as negotiation, facilitation, and “shuttle diplomacy” to achieve these results.

The Ombudsman also has a formal role in conducting a substantive review of Reconsideration Requests for the Board Accountability Mechanisms Committee. However, the Ombudsman recuses the office from such a review if the office has been previously involved in the subject matter of the Reconsideration Request.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN’s ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Continued efforts of ICANN Board, community, and org to facilitate the inclusion and participation of all stakeholders.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

The primary role of the Ombudsman includes:

- Complaint management.
- ▲ Raise awareness of expected standards of behavior and anti-harassment policies within the community, Board, and org. There is currently some awareness but plans over the next five years would increase visibility and activity.

Community Engagement & Services

Ombudsman, Cont'd.

- Ongoing education to empower leadership in community via ICANN Learn and providing training for community leaders to empower and educate on conflict resolution.
- Implementation of recommendations related to the Ombudsman from the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2.

HOW PROGRESS IS TRACKED

ICANN Bylaws require the Office of the Ombudsman to produce an annual report with consolidated analysis of the year's complaints and resolutions, documentation of adherence to confidentiality obligations and concerns, as well as recommendations for steps to minimize future complaints.

RESOURCES

FY21–25: Resource requirements expected to be stable.

The number of Reconsideration Requests affects resources required. The Ombudsman collaborates with several teams within the org including: Communications, Public Responsibility Support, Legal, Meetings, as well as the Board and the community.

CONSIDERATIONS

Work Stream 2 of the Cross-Community Working Group on Enhancing ICANN Accountability issued recommendations that have been accepted by the Board, relating to the Office of the Ombudsman. This portion of the plan will be updated as the planning work continues. ■

● Functional Activities

FY21–25

ICANN Org Governance

- Board Activities
- Office of the President and CEO
- Governance Support
- Nominating Committee Support
- Complaints Office
- Strategic Planning and Strategic Initiatives
- Accountability Reviews

ICANN Org Governance

Board Activities

PURPOSE

The Board Activities functional activity represents the work and responsibilities of the ICANN Board of Directors. Among its duties, the ICANN Board:

- Ensures that ICANN remains at all times true to its mission, vision, commitments and core values.
- Oversees ICANN org's performance to ensure it operates with efficiency and effectiveness, in a fiscally responsible and accountable manner and, where practicable and not inconsistent with ICANN's other obligations under the Bylaws, in a manner that is responsive to the needs of the global Internet community.
- Oversees development and periodic revisions of the Strategic Plan and Operating Plan.
- Ensures that ICANN operates pursuant to the highest ethical standards, complies with applicable laws, and considers adherence to best practices in all areas of operation.
- Ensures all policy development and decision-making processes are transparent, open, reflective of the public interest and accountable to all stakeholders.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. The Board supports ICANN's ongoing, business-as-usual activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The ICANN Board aligns its core FY21–25 activities with the FY21–25 Strategic Plan. At a high level the ICANN Board focuses on the following aims:
 - Strengthening the security of the Domain Name System and the DNS Root Server System.
 - Improving the effectiveness of ICANN's multistakeholder model of governance.
 - Evolving the unique identifier systems in coordination and collaboration with relevant parties to continue to serve the needs of the global Internet user base.
 - Addressing geopolitical issues impacting ICANN's mission to ensure a single and globally interoperable Internet.
 - Ensuring ICANN's long-term financial sustainability.

ICANN Org Governance

Board Activities, Cont'd.

ACTIVITIES

- Board Committees form a fundamental part of Board activities. Committees allow a smaller group of Board members to work together when a more focused approach is needed. The list of Committees as well as their charters defining the scope of their duties and activities can be found here: <https://www.icann.org/resources/pages/board-committees-2018-04-13-en>.
- When necessary, the Board may also establish working groups or caucus groups that are focused on a specific topic or issue.
- Board members focus on serving the global public interest.
- Board members participate in external events in order to develop effective relationships across the global Internet ecosystem. The Board advocates ICANN's mission and its multistakeholder model of governance within the Internet Governance ecosystem.

HOW PROGRESS IS TRACKED

The ICANN Board fulfills its objectives and outcomes by directing the ICANN org to implement work. The following measures will be used over the five-year period:

- **Outcomes.**
 - Successful implementation of the Strategic Plan and the Operations and Finance Plan.
 - Implementation of the work plan to improve the effectiveness of ICANN's multistakeholder model.
 - Strengthen DNS and DNS Root Server System security.
 - Evolution of unique identifier systems.
 - ICANN's long-term financial sustainability.
- **Performance metrics.**
 - Timely revision of the Strategic Plan and the Operating and Finance Plan.
 - Amount of funds transferred into the Reserve Fund, per [Board resolution](#) for replenishment.

ICANN Org Governance

Board Activities, Cont'd.

- Number of geopolitical issues impacting ICANN's mission identified on time and successfully addressed.
- Number of additional stakeholders join ICANN globally.
- Number of effective relationships with key actors in the global Internet ecosystem established.

RESOURCES

FY21–25: Resource requirements expected to be stable.

CONSIDERATIONS

The following risks and considerations exist for the ICANN Board in its activities:

- Workload and competing priorities may slow down progress in key areas of work.
- Maintaining institutional knowledge is helped if there is stability in the Board's composition over the long-term.
- The ability to select and retain qualified and diverse Board members is dependent on factors such as available candidate pool, time commitments required and compensation.
- Failure to identify trends impacting ICANN and subsequent adaptation of the Strategic Objectives could have important repercussions. ■

ICANN Org Governance

Office of the President and CEO

PURPOSE

The Office of the President and CEO provides support to the President and CEO, who has fiduciary responsibility for the organization. The goals of the President and CEO are achieved through work conducted by ICANN org.

OPERATING INITIATIVE CONTRIBUTIONS

The President and CEO oversees progression of all Operating Initiatives.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

The Office of the President and CEO provides support to the President and CEO, thus contributing to many of ICANN's strategic goals and targeted outcomes.

ACTIVITIES

The nature of the Office of the President and CEO is to provide ongoing support to the President and CEO to enable effective management of ICANN org. No significant considerations were identified.

Activities include:

- Supporting the President and CEO as direction is provided to the Executive Team to achieve organizational goals.
- Day-to-day support to the President and CEO, including arranging travel, meetings, and other administrative tasks, so that the President and CEO can run the organization effectively.

RESOURCES

FY21–25: Resource requirements expected to be stable.

HOW PROGRESS IS TRACKED

Progress of the Office of the President and CEO is related to the progress made on the established [goals](#) of the President and CEO, which are approved by the ICANN Board. Additionally, the President and CEO and Executive Team provide [regular reports](#) to the Board and the community ahead of ICANN Public Meetings. ■

ICANN Org Governance

Governance Support

PURPOSE

The Governance Support functional activity legally safeguards ICANN org and mitigates adverse litigation and regulatory impacts to ICANN org.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Develop internal and external ethics policies.
- Support: Evolve and strengthen the ICANN community’s decision-making processes to ensure efficient and effective policymaking.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Facilitate DNS ecosystem improvements.
- Support: Root zone management evolution.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Support: Monitor legislation, regulation, norms, principles, and initiatives in collaboration with others that may impact the ICANN mission.
- Support: Implement New gTLD Auction Proceeds CCWG recommendations.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN’s mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP) 3.0 or streamlined Organizational and Specific Reviews, and other evolutions of ICANN’s governance and cross-community working methods help produce timely and relevant results.

ICANN Org Governance

Governance Support, Cont'd.

ACTIVITIES

- Litigation support, such as maintaining litigation readiness, monitoring, and managing ICANN litigation matters and issues.
 - General internal legal support.
 - Advice to senior management.
 - Contractual support, such as contract review, analysis, recommendations, risk assessments, and amendments.
 - Secretarial support to ICANN Board and PTI Board, such as performing Secretary's duties related to notices, meetings, corporate records, and implementation of Board and committee decisions.
 - Service as Chief Data Protection Officer, with a focus on ICANN organization-level data to ensure ICANN's internal data protection and privacy program is compliant and up-to-date.
 - Anticipated implementation of the Unified Access Model (UAM), a process for accessing registration data.
 - Continue to support ICANN org and community, and monitor dynamic privacy and data protection legislation.
- ▲ Establishment of a contract management database. Currently, contracts are managed within each business unit, which can cause potential legal and financial risk to the organization.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Achieving functional purpose within funding allowance.
- Sufficient contingency funds to cover unforeseen legal events (e.g., skilled in looking at past trends, present environment, and future projections to deriving contingency fund amounts year-over-year).

ICANN Org Governance

Governance Support, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to increase.

- The team plans to increase general legal support in Europe and Latin America.
- A growing trend for more legal analysis translates into additional resource requirements.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Dependency: Document management system readiness.
- Risk: Unexpected legal events. To best mitigate this risk, ICANN org has to ensure sufficient contingency funding for unbudgeted events. ■

ICANN Org Governance

Nominating Committee Support

PURPOSE

The Nominating Committee Support function provides support and coordination for the ICANN Nominating Committee (NomCom), an independent committee responsible for appointing leadership positions to the ICANN Board, At-Large Advisory Committee, Country Code Names Supporting Organization and Generic Names Supporting Organization. The NomCom acts on behalf of the interests of the global Internet community and within the scope of ICANN's mission and responsibilities in the Bylaws.

OPERATING INITIATIVE CONTRIBUTIONS

Support: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant organizations and institutions.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

This team supports the NomCom by providing:

- Systems Administration: Configuring systems and tools for NomCom use including the NomCom application system, web pages, and wiki.
- Meeting Planning: Plans and coordinates telephone and face-to-face NomCom meetings.
- Meeting Support: Facilitates the work of the NomCom, including maintaining process and procedures documents, and agendas.
- Training: Produce content used in NomCom meetings.
- Vendor Management: Procure, negotiate, contract, and manage vendors in support of NomCom functions, including training and recruitment firms.

ICANN Org Governance

Nominating Committee Support, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21–25, the following metrics will be used:

- Number of face-to-face meetings supported.
- Number of telephonic meetings supported.
- Number of leadership positions filled.

RESOURCES

FY21–25: Resource requirements expected to be stable.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Implementation work to be undertaken by NomCom personnel to implement the recommendations of the NomCom Organizational Review Team may exceed the skills and capacity of existing resources.
- Ongoing NomCom operational costs may increase as a result of the review team recommendations.
- Due to the fluid status of NomCom leadership, ICANN org must be prepared to revise operating procedures and approach. ■

ICANN Org Governance

Complaints Office

PURPOSE

The Complaints Office is an operational accountability mechanism that enables ICANN org to transparently identify and resolve issues in one centralized location. The Complaints Office handles complaints regarding ICANN org that do not fall into an existing complaints mechanism, such as Contractual Compliance, Request for Reconsideration, or the Office of the Ombudsman.

The Complaints Office reviews verifiable information to ensure recommendations and resolutions are based in fact. It strives to be open and transparent, responsive and accountable to all parties, and to make recommendations that are constructive and actionable. Above all else, the Complaints Office acts with the utmost integrity in service of ICANN's mission.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Continued efforts of ICANN Board, community, and org to facilitate the inclusion and participation of all stakeholders.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

The Complaints Office reviews verifiable information to ensure recommendations and resolutions are based in fact. The office strives to be open and transparent, responsive and accountable to all parties, and to make recommendations that are constructive and actionable. Its responsibilities include:

- Receiving, researching, analyzing, and responding to submitted complaints.
- Reporting.
- Business and communications planning and implementation.
- Internal and external engagement.

ICANN Org Governance

Complaints Office, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Number of complaints received.
- Number of complaints received in scope.
- Number of complaints resolved.
- May consider reporting turnaround time in FY21–25.

RESOURCES

FY21–25: Resource requirements expected to be stable.

- Additional headcount to mitigate the risk caused by having limited staff resources.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Shifting to a centralized system for complaints depends on ICANN org's prioritization and resource availability.
- The function has limited staff, which creates risk that could lead to slow or stalled delivery on commitments.
- As awareness and visibility regarding the Complaints Office increases over time, the number of in-scope complaints could escalate rapidly. ■

ICANN Org Governance

Strategic Planning and Strategic Initiatives

PURPOSE

This activity supports the development, implementation, monitoring, and evolution of ICANN's strategy, and the evolution of ICANN's multistakeholder model through the development and implementation of strategic initiatives within the organization and the community.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Planning at ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time, and that ICANN priorities reflect the community's collective needs.
- ICANN Strategic Plan is supported by a five-year Operating and Financial Plan. All plans are updated as and when necessary to take into account relevant changes in ICANN's environment.

ICANN Org Governance

Strategic Planning and Strategic Initiatives, Cont'd.

- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or strategic plan.
- ICANN has processes and tools in place to effectively prioritize and periodically reprioritize its work.
- Community's engagement in prioritization and decisions about affordability measurably increases.
- Funding, expenses, and reserves are addressed in each plan in a manner consistent with policies, Board decisions, strict financial responsibility, and conservatism.

ACTIVITIES

- Strategic planning sets out the long-term strategic objectives for the organization, reflecting the ICANN mission and vision, as mandated by ICANN's Bylaws. This includes iterations based on monitoring of internal and external trends that impact ICANN. Activities include:
 - Strategic Outlook trends program.
 - ▲ Strengthen the monitoring of trends, building a more robust, systematic, cross-functional, fact-based, and data-driven approach, to make better informed decisions about ICANN's strategic direction.
 - Strategic Planning process.
 - ▲ Rolling planning process.
 - Support to implementation of Strategic Plan.
- Strategic initiatives consist of managing cross-functional efforts supporting key strategic projects across ICANN org, the community, and Board. Activities include:
 - Data protection and privacy issues (including the General Data Protection Regulation-related projects).
 - Support for implementation of delivery on the Strategic Plan, operating plan, and the work plan to support the Evolution of ICANN's Multistakeholder Model (See [Appendix C](#) for more information).

ICANN Org Governance

Strategic Planning and Strategic Initiatives, Cont'd.

- Operationalizing the cross-functional support of the implementation of recommendations from the Cross-Community Working Group on Enhancing ICANN Accountability, Organizational, and Specific Reviews in line with agreed-upon improvements in resourcing and prioritization of community recommendations.
- Evaluation of effectiveness of the Bylaws-mandated review program for continuous improvement, subsequent to the streamlining of reviews.

HOW PROGRESS IS TRACKED

Strategic Planning measurement is based on the rolling strategic planning process:

- Regular completion of trends identification. Ability to factually inform trends based on public data.
- Regular completion of trends, prioritization, and impacts analysis.
- Regular decision to revise or prolong the Strategic Plan.
- As needed, revision of Strategic Plan.

Strategic Initiatives measurement is the effective completion of projects and quality of outcomes, including the establishment of systematic processes and procedures.

Periodic evaluation and reporting of the effectiveness of the Reviews Program is an example of ongoing tracking and evaluation that is part of the continuous improvement process.

RESOURCES

FY21–25: Resource requirements expected to increase.

- △ Support establishing a systematic set of activities to support the rolling planning process.
- △ Facilitate the strengthening of monitoring of trends.
- △ Support additional work relating to the implementation of review recommendations and improvement of the review processes.

ICANN Org Governance

Strategic Planning and Strategic Initiatives, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The opportunity exists to develop data analysis skills and tools, build more robust systems for data collection, and conduct a more thorough data analysis.
- Progress depends on adequate resources available within the Multistakeholder Strategies and Strategic Initiatives (MSSI) function to support the development and implementation of the various planned as well as unforeseen strategic initiatives that ICANN undertakes.
- Cross-functional collaboration and resources are needed and progress will depend on their availability. ■

ICANN Org Governance

Accountability Reviews

PURPOSE

The purpose of Accountability Reviews is to facilitate and support ICANN's Specific and Organizational Reviews and implementation of the Cross Community Working Group on Enhancing ICANN Accountability Work Stream 2 (CCWG-Accountability WS2) recommendations. This work includes the evolution of review processes and ICANN org support for Organizational and Specific Reviews from inception to implementation of recommendations. This functional activity includes the streamlining of timing and cadence, roles and responsibilities, and the resourcing and prioritization of community recommendations. These activities involve the Board, ICANN org, and community.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Planning at ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time and that ICANN priorities reflect the community's collective needs.
- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.

ICANN Org Governance

Accountability Reviews, Cont'd.

- ICANN community enhances their transparency practices to increase cross-community accountability and trust.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

ACTIVITIES

- Support the implementation of CCWG-Accountability WS2 recommendations as adopted.
 - Specific and Organizational Reviews have their defined processes. ICANN org's role is to project manage according to the timeline set out in the Bylaws.
 - Support a robust ICANN org cross-functional engagement in the review life cycle from inception to implementation of recommendations.
 - Establish a cohesive streamlining of reviews to enhance the efficiency and effectiveness of reviews and the review program as part of continuous improvement.
 - Establish a cohesive approach to the resourcing and prioritization of community recommendations.
 - Evaluate the effectiveness of review recommendations as part of informing the next cycle of that review, and also in a broader sense to ensure that the reviews as a whole deliver on the community and Board's expectations.
- △ In FY21, the team plans to support the Board and community efforts to streamline the Bylaws-mandated reviews, both Specific Reviews and Organizational Reviews. The implementation of the streamlined process is targeted for FY22 and depends on the nature of streamlining processes supported by the community and agreed to by the Board.
- △ In FY21, the team plans to propose modifications to the Operating Standards for Specific Reviews to reflect improvements included in the [Draft Proposal on Resourcing and Prioritization of Community Recommendations](#) and community input on this topic.
- △ Improve both the performance measurement and outcome measurement of reviews, by identifying and agreeing on a set of measurements for ICANN org, review teams, and independent examiners. Better measurement will hold each party accountable and ensure quality reporting of reviews activities.

ICANN Org Governance

Accountability Reviews, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Measurement of ICANN org:
 - ICANN org provides cross-functional support to the review teams, so that each review team understands progress since last review, considerations that may impact implementability of recommendations, the associated resources and costs involved in the implementation, and dependencies that could delay implementation. ICANN org provides analysis and assessment to inform Board actions and decisions in accordance with timelines set in the ICANN Bylaws and review work plan.
 - Track resources and expenditures as compared to plans and budgets via fact sheets.
 - Produce high-level implementation plan to inform Board consideration of final report and recommendations; facilitate Board consideration within the Bylaws-stipulated six-month period.
 - Track implementation (time, cost, and resources) against the agreed-upon implementation plan.
 - Complete implementation work based on direction of the Board and in line with plan.
 - Produce Annual Review Implementation Report on time, in compliance with the Bylaws provision.
 - Maintain up-to-date Operating Standards for Specific Reviews in compliance with the Bylaws provision.
- Review Team and Independent Examiner Performance Measurement:
 - Review team's adherence to their terms of reference, work plan, operating standards, and other relevant processes.
 - Completion of review within the defined timeframe and allocated budget
 - Adherence to Bylaws requirements.
 - Review team considers substantive feedback from community, Board, and ICANN org, to inform focused, useful, and implementable recommendations leading to intended review outcomes.
- For Organizational Reviews, the entity under review prepares an implementation plan and implements all Board-approved recommendations within a reasonable time frame.

ICANN Org Governance

Accountability Reviews, Cont'd.

RESOURCES

FY21–25: Unknown.

- As reviews are streamlined and improvements or changes made to how ICANN org supports reviews throughout their life cycle, any resourcing adjustments to ensure strong ICANN org support will be addressed.
- Resourcing as needed for activities assigned to MSSI due to its remit.

△ Note: the resources needed to support the next cycle of reviews will be impacted by the outcomes of various work streams to improve reviews, such as budget amount, personnel, and timing. These resource items will be forecasted once the improvement work is further along.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The Bylaws-mandated review cycle will trigger the third Generic Names Supporting Organization Review in June 2021 and the third Security and Stability Review in March 2022, unless the ICANN community agrees to a new schedule and approves related Bylaws amendments. To mitigate this challenge, MSSI has prioritized the establishment of a more sustainable timeline for all reviews and expects that this work can be concluded in time to impact the next cycle of reviews.
- This activity depends on continued engagement and dialogue with the community about the progress of reviews and implementation of recommendations. It also depends on the direction of the evolving Accountability recommendations from the third Accountability and Transparency Review Team (ATRT3) related to prioritization of recommendations and the process for streamlining of reviews. ATRT3 published its Draft Report for Public Comment in December 2019 and plans to issue its final report in April 2020. This activity also depends on continued community engagement in the process of streamlining of reviews and effective implementation. Final plans on the streamlining of reviews will impact the activities and resourcing.
- Progress also depends on ICANN org's ability to support and facilitate the new process of conducting reviews, from planning phase through assessment of implementation.

ICANN Org Governance

Accountability Reviews, Cont'd.

- Given the large number of recommendations resulting from the current cycle of Specific Reviews and other community work and their complexity and dependencies on other work, there needs to be an agreed upon set of principles for effective recommendations and their effective implementation. Discussions are currently underway, as reflected in [“Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussions”](#); the effective consideration and implementation of the large number of community recommendations depends on the ICANN community, ICANN Board, and ICANN org reaching agreement on applicable principles and related process steps. ■

● Functional Activities

FY21–25

ICANN Org Shared Services

- Operations Planning
- Finance and Procurement
- Risk Management
- Engineering and Information Technology
- Global Human Resources and Administrative Services
- Global Support Center
- Board Operations
- Security Operations
- ICANN Offices

ICANN Org Shared Services

Operations Planning

PURPOSE

The Operations Planning functional activity is responsible for the development and progression reporting of ICANN org's Five-Year Operating Plan and managing certain org-wide programs.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.
- Support: Implement New gTLD Auction Proceeds CCWG recommendations.
- Support: Planning at ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Operation Planning and Resourcing: Collaborate with ICANN org management to plan and prioritize org-wide activities to achieve the strategic objectives and continuous operations and improvements.
 - Rolling Five-Year Operating and Financial Plan.
- Managing: Derive policies, procedures, and processes for org-wide operational programs, such as:
 - Open Data Program.
 - Global Operations.
- Monitoring: Facilitate the development of outcome and performance measurements, assess and report progression towards these measurements, and contribute to implementation of of the Five-Year Operating and Financial Plan and Strategic Plan.

ICANN Org Shared Services

Operations Planning, Cont'd.

- △ Starting in FY20, the Operations Planning team began to collaborate and develop processes to implement approved review recommendations and to positively affect the improvement of the entire review process for efficient use of resources and effective implementation results.
- △ ICANN org may be in at the maturity stage by FY23 to establish an Internal Control and Audit function to first strengthen org-wide internal controls (policies, processes, and procedures) then develop and implement regular reviews and audits to ensure compliance, continuous improvements, sustainability, and accountability.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Operation Planning and Resourcing: Timely delivery of ICANN org Five-Year Operating and Financial Plan every May.
- Managing: Completion of policies, procedures, and process of assigned org-wide program with launch per program timeline.
- Monitoring: Facilitate the development of reporting towards the achievement of Strategic Plan and operating and financial plan.

RESOURCES

FY21–25: Resource requirements expected to be stable.

- The Internal Control and Audit function may require additional resources.

ICANN Org Shared Services

Operations Planning, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Lack of planning tools, including data collection and analysis, to facilitate org-wide prioritization, progress management and reporting, and timely course adjustments. The team will collaborate with Engineering and IT and the Executive Team on org-wide platform progression.
- Due to the work of ICANN, it is challenging to defining clear measurements, especially in nonoperational functions. The team will focus on the progression reporting, some of which could be driven by metrics while others could be progression reporting towards achieving the strategic objectives. ■

ICANN Org Shared Services

Finance and Procurement

PURPOSE

The Finance and Procurement function is the steward of ICANN’s public funds, and the champion of financial accountability and transparency. It provides timely, accurate, and reliable financial and procurement services that support responsible decision-making.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Planning at ICANN.
- Lead: ICANN Reserves.
- Support: Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

The Finance and Procurement functional activity handles all accounting, audit, planning, financial analysis, financial reporting, statutory reporting, tax, payroll, billing and collections, insurance, treasury (including payments), procurement, and sourcing for ICANN operations, IANA functions, or PTI as applicable.

ICANN Org Shared Services

Finance and Procurement, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Continuous improvement of processes to gain efficiency and improve quality.
- Continuous improvement of financial analysis.
- Measuring and reporting service-level metrics.
- Tracking of ICANN's Reserve Fund replenishment.
- Contribute to the operating initiative planning at ICANN.

RESOURCES

FY21: Resources are expected to increase.

FY22–25: Resources are expected to remain stable.

CONSIDERATIONS

No new risks or considerations noted. ■

ICANN Org Shared Services

Risk Management

PURPOSE

The primary purpose of Risk Management is to facilitate the identification and articulation of risks faced by ICANN org so that it may make informed decisions about planning for and managing those risks. Through the established Risk Framework, the function focuses on developing a risk-aware culture which incorporates the Risk Framework into activities.

OPERATING INITIATIVE CONTRIBUTIONS

Support: Risk Management supports all operating initiatives.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Active identification and articulation of risks to the organization allowing for a conscious decision to be taken regarding risks.
- Transparency of risks so that risks are managed before they become a threat to fulfilling the organization's objectives. While adverse events will occur, the goal is to eliminate surprises.
- A risk-aware culture where all personnel feel empowered to identify and escalate risk concerns.
- Personnel and functions own the risks and responses related to their activities.
- Provide concise and insightful reporting to executive management and the Board.

ICANN Org Shared Services

Risk Management, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Disciplined risk planning.
- Risk Appetite Statement referenced by personnel.
- Risk ownership by personnel.
- Board feels assured that org Risk Management Framework is effective.

RESOURCES

FY21–25: Resource requirements expected to be stable.

CONSIDERATIONS

The Strategic Plan does not create any new risks or challenges in itself for the Risk Management function. The existing challenges and dependencies of working with multiple other functions applies to managing any new risks added to the Risk Register from the Strategic Plan. ■

ICANN Org Shared Services

Engineering and Information Technology

PURPOSE

Engineering and Information Technology provides trusted technical expertise to support the global multistakeholder model and ICANN org by:

- Building a sustainable and resilient team that is able to respond to organizational needs.
- Fostering trusted, transparent relationships with stakeholders through collaborative planning and data-driven decisions.
- Delivering secure, effective, and accessible services through innovation and persistence.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Root zone management evolution.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Formalize ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Align Engineering and Information Technology delivery capacity with the organization's long-term strategy.
- Enable organizational effectiveness through efficient use of ICANN's digital services.
- Provide effective support to ICANN's international office strategy.
- Maintain financial soundness and business continuity.

ICANN Org Shared Services

Engineering and Information Technology, Cont'd.

- Achieve lower total cost of ownership while building capacity.
- Secure ICANN's digital services and systems.
- Support all functions within ICANN org, Board, and community via end-user support, business analysis, custom application development and off-the-shelf software selection and support, infrastructure support, security monitoring, and network services.
- Continue to emphasize portfolio management and platform reduction mindset.
- Rough cut capacity planning tool for organizational capacity planning to define, develop, and deliver on requests to the organization.
- To improve personnel and subject matter expertise retention as well as execution control, the Engineering and IT team is potentially changing development model from a mix of internal and external or offshore outsourcing, to 100 percent internal.
- Investigate professional development opportunities to improve retention, provide greater clarity to personnel, and help identify resource gaps.
- Expectation to move from Capability Maturity Model (CMM) Level 3 to CMM Level 4, with process definition, redesign, measurement, and improved transparency being some of the desired outcomes.
- Continue to prioritize platform rationalization and consolidation.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Number of projects and services requested and completed every six months.
- Number of projects delayed or cancelled in every six months.
- Evaluation of financial management through review of planned and actual budgets.
- Digital services availability.
- Universal Acceptance readiness.
- Overall Center for Internet Security (CIS) Score for cybersecurity.

ICANN Org Shared Services

Engineering and Information Technology, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to be stable.

- FY20–21: Shifting to a development team that is entirely internal personnel will require additional resources.
- FY21–23: Likely to need external or outsourced resources to backfill and add to internal resources as personnel is reallocated to new strategic initiatives.
- FY21: Projects such as implementation of the Competition, Consumer Trust, and Consumer Choice Review Team recommendations will likely add pressure to the identified resource gaps. External resources will likely be needed to complete these projects in the expected timelines and scope.
- The internal resource count and mix could be impacted if a new platform technology is sourced to support new initiatives.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Completion of strategic projects depends on Board and community efforts.
- Finding a suitable offshore location for outsourced work is challenging.
- Hiring and retaining personnel continues to be challenging in the current economic climate. Personnel may leave, but improvements in process documentation will lessen new employee onboarding time and costs.
- Personnel may leave if initiatives offering career progression are not implemented.
- Business decisions may mean ICANN org is not able to reduce the number of platforms it uses. This may lead to retaining talent to deal with potential issues. A possible mitigation is to make platform reduction part of the functional business strategies.
- Lack of understanding of capacity and capability, leading to unrealistic scope and delivery expectations from Board and community. ■

ICANN Org Shared Services

Global Human Resources and Administrative Services

PURPOSE

The primary purpose of Global Human Resources is to attract and retain top talent for ICANN org throughout the entire human capital life cycle. This includes talent acquisition, onboarding and offboarding personnel, administration of global compensation and benefit plans, performance management, employee relations, investigations, training and development, employment policies and workplace compliance, global mobility and immigration, team member morale and engagement activities, Enterprise Resource Planning (ERP) data integrity and reporting, and organizational planning and development.

The primary purpose of Administrative Services is to provide office administrative support and facilities management for ICANN org across all locations. This includes real estate and lease management, construction management, ergonomics program management, office security access controls management, and special events planning for employee morale activities and events.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Develop internal and external ethics policies.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Implement New gTLD Auction Proceeds CCWG recommendations.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ICANN Org Shared Services

Global Human Resources and Administrative Services, Cont'd.

ACTIVITIES

Global Human Resources activities include:

- Throughout FY21–25, Global Human Resources will ensure appropriate personnel levels as needed for initiatives including support of technical platforms, implementation of Board-approved recommendations from the New gTLD Subsequent Procedures Policy Development Process, the Information Transparency Initiative, and more.
- In partnership with the Legal team, Global Human Resources will support the development of ethics policies as applicable to personnel.
- Global Human Resources will provide the internal programs necessary for leadership training and professional development in order to retain talent.

Administrative Services activities include:

- In FY21–25, Administrative Services will oversee four major lease negotiations for its locations in Singapore (renewal or relocation September 2021), Los Angeles (renewal or relocation June 2022), Istanbul (renewal or relocation October 2022), and Washington D.C (renewal or relocation January 2023).

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Global Human Resources will maintain a keen eye to turnover trends both globally and internally to ensure resources are sufficient to meet the needs of operating initiatives.
- Administrative Services will ensure lease negotiations result in favorable outcomes to maintain budgetary commitments.

RESOURCES

FY21–25: Resource requirements expected to be stable.

ICANN Org Shared Services

Global Human Resources and Administrative Services, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for the Human Resources component:

- Attracting and retaining talent is challenging in a globally competitive market where total compensation packages may outpace what ICANN can offer.
- Geographic spread over 35 countries and 19 U.S. states makes it hard to efficiently handle employee relations issues within existing policies and local differences.
- Personnel are eager for development opportunities, but may leave before taking advantage of what is currently available to them because they do not see clear career progression.

The following risks and considerations exist for the Administrative Services component:

- Demand for real estate and the current market may drive up the cost for office space in the next five years. ■

ICANN Org Shared Services

Global Support Center

PURPOSE

ICANN's Global Customer Service and Support supports ICANN's mission, vision and strategy, through the continued pursuit of excellence in the execution of world-class service delivery practices and principles.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time, as this is business-as-usual.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Contracted party support.
- New gTLD applicant support.
- Account and contact Management.
- Registrant and community support.
- Stakeholder communication.
- Portal access management.
- Inbound org request triage and routing.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. During FY21–25, the following milestones will be met:

- Service level targets will continue to be monitored and modified as per operational needs.
- Customer satisfaction will continue to be measured through transactional surveys and reported regularly.

ICANN Org Shared Services

Global Support Center, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to increase.

- ▲ Needs are expected to be steady in FY21 and FY22.
- ▲ Needs are expected to grow in FY23 to support increased demand to support community members and the general public in the subsequent procedures for new gTLDs.
- ▲ Need is expected to grow in FY24 and FY25 to support growing numbers of contracted parties.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The role of Global Support to provide Tier 1 support for contractual compliance inquiries is currently under discussion. Should Global Support take on this function, resources, and tools would need to be reviewed.
- Policies and contractual obligations continuously evolve. This requires the Global Support team to stay abreast of the changing landscape in order to provide accurate responses to contracted parties and community members.
- The effectiveness and efficiency of the Global Support function is highly dependent on the operating systems and tools upon which it relies. Specifically, the team is highly reliant on the usability of the Naming Services Portal (NSp).
- Global Support resources are in high demand both internally and outside the organization. Retaining personnel is critical to successful ongoing operations. ■

ICANN Org Shared Services

Board Operations

PURPOSE

The purpose of this function is to support the ICANN and PTI Boards, and to serve as liaison between the ICANN Board and org. This includes coordinating with ICANN org to provide substantive content and logistical support to the ICANN Board, as well as its committees and subgroups. This function also facilitates the interaction between the Board and the community.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Content management: Supports the agenda development of Board meetings and workshops; facilitates preparation and submission of org-wide materials for Board Meetings, workshops, committees, and other subgroup meetings; manages Board materials publication; supports drafting of Board operational priorities, Board correspondence, and Board Public Comment submissions; and facilitates preparation for Board and Stakeholder meetings.
- Logistics management: Manages Board members, travels and expenses, vendor management and relations, manages and reports Board budget, facilitates and organizes calls and meetings.
- Training and capacity development: Supports the Board training programs and tools, including Board members onboarding, development, and mentorship programs.
- Board communications and engagement: Supports and facilitates the Board's communications and engagement efforts with the community as well as participation to other meetings, events, and speaking engagements.
- Org cross-functional improvements efforts: Participates in cross-functional ICANN org teams and projects aimed at improving effectiveness and cost management.

ICANN Org Shared Services

Board Operations, Cont'd.

△ The team does not anticipate any significant changes, but will embark on operational excellence and team member development efforts that focus on process improvements and tools enhancement. One team member's role will be shifted to focus on collaborating with Engineering and IT and other org teams on cross-functional tools and process development.

HOW PROGRESS IS TRACKED

- Outcome measurement:
 - Smooth operations of the Board activities (content, logistics, skills development, etc.) and continuous advancement in Board best practices.
 - Continuous advancement of org-wide support for Board.
- Performance measurement:
 - Content Management: Bylaws compliance, accountability and transparency metrics achievements
 - Percent of Board materials ready per Bylaws prior to Board meeting.
 - Percent of Board meeting agenda published per Bylaws prior to meeting.
 - Logistic management:
 - Number of trips booked for Board.
 - Number of expense reports managed for Board.
 - Training and capacity development:
 - Number of Board members completing the onboarding process.
 - Number of trainings attended by individual Board members.
 - Number of trainings attended by full Board.
 - Improvements in Board skill sets.

ICANN Org Shared Services

Board Operations, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to be stable.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- A key performance measurement relies on a survey that often receives a low response rate due to Board workload. The team will work on addressing this challenge as part of its process improvement.
- The team works closely with ICANN org, including the Legal team, to deliver content to the Board and publish Board materials, but that support depends on the workload and priorities of other functions.
- The loss of institutional knowledge on the Board poses a significant risk and could have a negative impact on the Board's operational effectiveness and a subsequent negative impact to ICANN org. The team plans to continue teaming up with the President and CEO and the General Counsel and Secretary to advance Board and committees manuals, process documentation, training and development, and more. ■

ICANN Org Shared Services

Security Operations

PURPOSE

The purpose of Security Operations is to provide a safe and secure environment in which the community, Board, and ICANN org operate.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- **Event Security:** Provide on-site health, safety, and security support to ICANN Public Meetings and other ICANN-hosted events.
- **Travel Security:** Review, assess, and support personnel and Board travel.
- **Security Intelligence:** Research and provide key security information and situational awareness for ICANN's presence around the world, including offices, personnel, events, and travelers.
- **Response Planning:** Furnish ICANN with the necessary tools to successfully respond to any incident at both tactical (emergency response) and strategic (crisis management) levels.
- **Physical Security:** Ensure that ICANN's global offices are sufficiently secured. Implement physical security upgrades and enhancements where warranted and feasible.
- **Knowledge Management:** Create and deliver comprehensive trainings to ensure ICANN org have consistent, relevant, and actionable information and skills to address security and safety needs.
- **Threat Management:** Detect, assess, mitigate, and respond to ICANN's internal and external security threats.

ICANN Org Shared Services

Security Operations, Cont'd.

△ In FY21–25, the Security Operations team will further evolve the Regional Security Manager (RSM) model by deepening RSM engagement within ICANN's regions and, where appropriate, incorporating existing regional personnel from other functions as Regional Security Coordinators (RSCs). The team will also look at ways to further optimize the effectiveness of the RSM model by better aligning regions with their respective RSMs and potentially relocating RSMs to achieve this.

HOW PROGRESS IS TRACKED

- **Risk Identification and Assessment**

- Ensure Security Operations is formally and consistently incorporated into the ICANN Meeting location selection process to allow for an advance risk assessment of the health and safety profile of prospective cities.
- Continue to refine the Event Risk Assessment and Event Security Planning processes to ensure that Security Operations supports ICANN Public Meetings and events as cost-effectively and efficiently as possible while sufficiently mitigating identified risks.
- Continue to refine the Travel Risk Assessment process, in particular ICANN org's internal Travel Safety Working Group, to ensure all proposed travel to higher-risk locations is thoroughly and sufficiently assessed, justified, and supported.

△ Establish and maintain regular cadence of collaboration between Security Operations, Enterprise Risk Management, Information Security, and SSR teams to ensure ICANN's comprehensive risk profile is sufficiently understood and managed.

- **Culture of Security Awareness**

- Deliver comprehensive security awareness and skills training to personnel through annual campaigns across a variety of delivery mediums (weCANN publications, webinars, in-person sessions), focusing on a new theme or specific subject area each year.

- **Bolster Incident Response Capabilities**

- Complete annual training for the Global Crisis Management Team (G-CMT), office Emergency Response Teams (ERTs), and Workplace Violence Prevention (WVP) Teams.

- **Perception of Security Operations Function**

△ Solicit ICANN org's feedback via survey by incorporating security survey questions into other ICANN surveys.

ICANN Org Shared Services

Security Operations, Cont'd.

RESOURCES

FY21–25: Resource requirements expected to be stable.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- ICANN’s global mission and engagement requires the org to send travelers to and host events within locations of highly variable risk profiles. Over time, ICANN may conduct more frequent and robust engagement in higher-risk locations, requiring increased and more costly Security Operations support in the form of risk assessment and mitigation and security planning. While Security Operations does not control where ICANN hosts events or travels, the team is still responsible to sufficiently support events and travel as cost-effectively as possible.
- Security Operations should be more deeply integrated into the early consideration and planning stages of travel or events in higher-risk locations. This would afford all key stakeholders the opportunity to assess and understand the total cost of such engagement.
- Security Operations will continue its efforts to develop and bolster an organizational culture of security awareness. This will both inform the decision-making of the organization’s key stakeholders and empower individual personnel to proactively mitigate security risks and reduce the likelihood of safety incidents. ■

ICANN Org Shared Services

ICANN Offices

PURPOSE

ICANN offices are located around the world and work together to serve the global community. Brussels, Istanbul, Montevideo, and Singapore have detailed plans described in the Global Stakeholder Engagement section of the FY21–25 Operating Plan. Below is an overview of the administrative costs of running each office.

RESOURCES

FY21–25: Resource requirements expected to increase. ■

FUNCTIONAL ACTIVITY	FTE	Personnel
International Office - Brussels	0	\$0.3
International Office - Istanbul	0	\$0.4
International Office - Montevideo	0	\$0.1
International Office - Singapore	0	\$0.5
Engagement Center - Geneva	0	\$0.2
Engagement Center -Washington, D.C.	0	\$0.7
Los Angeles Headquarters	0	\$3.7

\$ in Millions

FIVE-YEAR FINANCIALS

- Approach
- Funding Assumptions and Projections
- Financial Projections

Approach

The following FY21–25 Financials provide forward-looking information that represents ICANN’s attempt at conservatively estimating its future funding and expenses. The intent is to maximize the chances that such future funding is higher than these projections would suggest, to allow ICANN to plan for a level of activity and expenses that minimize the risk that funding would be lower than expenses in the future.

The information contained within this document is derived from what ICANN org believes to be a reasonable assumption based on current information, understanding, market trends, and circumstances at the time of the FY21–25 Operating and Financial Plan’s publication. However, this information involves risks, variables, and uncertainties. As a result, it is expected that actual funding could differ from the one projected in this document, in any given year.

The FY21–25 Financials are not fully costed. Instead, they are a high-level overview of ICANN org’s financial assumptions. The financials are intended to be flexible, and we anticipate that these numbers will shift as we learn and adjust accordingly. This also allows for activities to be reprioritized based on the current environment, which will undoubtedly shift and evolve over the course of the five-year period.

Please note the following considerations:

- The FY21–25 Financials do not include personnel headcount, which allows for flexibility in internal personnel and external resources.
- Many of the activities in the FY21–25 Financials will require substantial internal resources, meaning other activities will have less resources available. The Resources section of the FY21–25 Operating Plan highlights the cross-collaboration within the org.

This document will be supplemented by ICANN org’s annual plans and budgets, which will provide fully costed financial information for their respective year.

It is important to note that the Five-Year Operating Plan will be reviewed and updated on an annual basis, and any activity, initiative or financial estimate included in the Five-Year Operating Plan will be reevaluated periodically through the five-year period.

Funding Assumptions and Projections

5-Year Projections	FY21 Projections	FY22 Projections	FY23 Projections	FY24 Projections	FY25 Projections
ICANN Ops Funding <i>(in Millions)</i>					
Base	141.4	143.2	145.4	147.7	149.9
Low	135.0	131.5	128.2	124.9	121.6
High	145.5	152.6	160.2	168.3	177.2
Transaction Volume <i>(in Millions)</i>					
Base	203.7	209.1	214.4	219.7	225.1
Low	193.1	187.9	182.7	177.5	172.4
High	212.2	227.4	243.9	261.6	281.2
Contracted Parties					
Base	3,656	3,676	3,697	3,717	3,738
Low	3,412	3,331	3,251	3,171	3,091
High	3,791	3,846	3,901	3,956	4,012

ICANN org used a three-step process to project what its funding levels will be for the next five years. At this point, considering the uncertainty on the timing of the release into the root of new top-level domain names resulting from a new round of applications, it is assumed, to be conservative, that no funding from such new top-level domains would be generated over the five-year period. Below, each step of the process is explained in greater detail.

1 The Marketplace Horizon Scan

A marketplace horizon scan was performed to take a comprehensive look at the key factors affecting the DNS industry. ICANN hired an independent industry analyst to summarize key historical and forecast trends. The work included interviews with industry representatives and a review of publicly available information. Out of this analysis, nine trends driving the market were identified. These are:

Funding Assumptions and Projections, Cont'd.

- New gTLDs were a key enabler of market growth over the past five years
- New business models have emerged from new gTLD rollout, such as geographic and brand gTLDs
- Establishing and maintaining online identity remains key part of contemporary life and digital economy
- Platforms and apps that bypass domains represent a drag on demand, but extent of challenge is uncertain
- Dynamism of market actors in consolidation and building new sales channels to registrants
- Regional disparity in adoption rates exists, fulfillment of demand in key markets an important challenge
- Lack of Universal Acceptance challenges rollout and adoption of new types of domains
- Technical challenges of secure traffic and social elements of how the Domain Name System operates expanding
- Effects of regional differences in privacy regimes on demand for domain name growth uncertain

2 Formulation of Assumptions

Based on the trends identified in the marketplace horizon scan, assumptions were made about the growth of the industry. For example, a finding from the marketplace horizon scan was that the continued importance of controlling a domain name to craft and maintain a digital presence on the global Internet remains a key market enabler of the industry. Over the forecast period, it seemed that digital presence will continue to rely on the use of domain names, so an assumption was made that positive growth would be likely to occur. This then became the mid-point scenario. Two more future scenarios were then created: a “high” scenario that builds on positive momentum and a more conservative “low” scenario.

Funding Assumptions and Projections, Cont'd.

3 Forecast generation

With the scenarios in place, ICANN org assigned values to produce a range of projections related to ICANN's future funding. Across the three scenarios generated, FY25 funding is forecast to range between \$120.9M and \$167.7M from the current FY20 projection of \$139.3M.

Because forecasting relies on assumptions which are hypothetical and potentially infinite, ICANN org will continue to review its funding forecast regularly to adjust as needed.

FINANCIAL SUSTAINABILITY PRINCIPLES AND APPLICATION

Over the FY21–25 period, ICANN's expenses will be funded from the annual funding available once an allocation to the reserve fund has been set aside. This reflects the application of two key principles of ICANN's long-term financial sustainability:

- Expenses do not exceed funding
- Sufficient reserves are reached and maintained at all times

The ICANN Board approved a replenishment strategy aiming to reach the minimum target level of 12 months of operating expenses by the end of an eight-year period, starting in FY18. This plan proposes to achieve replenishment of the reserve fund to the minimum target level by the end of the plan period (FY25).

Financial Projections

5-Year Projections <i>(in Millions USD)</i>	FY21 Projections	FY22 Projections	FY23 Projections	FY24 Projections	FY25 Projections	5-Year Total	
Funding	\$140.4	\$ 143.2	\$145.4	\$147.7	\$149.9	\$726.6	
Expense							
Personnel	78.3	79.6	81.9	83.3	84.5	407.5	
Professional Services	17.9	17.9	18.3	18.3	18.3	90.9	
Travel and Meetings	16.4	16.4	16.4	16.4	16.4	81.9	
Administrative	18.3	18.3	18.3	18.3	18.3	91.7	
Capital	1.8	1.8	1.8	1.8	1.8	9.2	
Contingency	5.2	5.4	5.5	5.7	5.9	27.6	
Cost Savings Initiatives	(3.1)	(3.1)	(3.1)	(3.5)	(3.5)	(16.2)	
Total	\$ 134.9	\$136.4	\$139.3	\$140.3	\$141.7	\$692.6	
Funding Less Expenses	\$5.5	\$6.8	\$6.1	\$7.4	\$8.2	\$34.0	
Allocation to the Reserve Fund	3.0	2.0	2.0	1.5	1	.0	9.5
Operating Initiatives Envelope	2.5	4.8	4.1	5.8	7.2		24.5
Net Excess	\$0.0	\$0.0	\$(0.0)	\$0.0	\$(0.0)		0.0
Headcount	410	410	410	410	410		
Reserve Fund Balance	\$126.4	\$130.9	\$135.6	\$139.8	\$143.6		

The above projections define the maximum amount of operational expenses to be incurred on an annual basis, considering the available funding net of an annual allocation to the reserve fund and the funding allocated to the Operating Initiatives. The reserve fund allocation is designed to enable the reserve fund balance to reach the minimum target level of 12 months of operating expenses by the end of the plan period (FY25).

Financial Projections, Cont'd.

OPERATING INITIATIVES - FIVE-YEAR FINANCIAL ESTIMATES

	Operating Initiatives <i>(in Millions USD)</i>	(Low)	(Mid-point)	(High)	Assumptions for Mid-point Scenario
1	Support the evolution of the Root Server system	\$3.0	\$4.5	\$6.0	2 FTE for the 5-year period and meeting facilitation costs
2	Facilitate Improvements of the DNS Ecosystem	4.0	6.0	8.0	1 FTE for the 5-year period along with costs for engagement and research. This excludes outcomes from the policies that will result from EPDP Phases 1 and 2.
3	Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policy-making	3.0	4.3	5.5	Project Manager role to facilitate and advise, similar to current Multistakeholder Model Initiative. Includes consultant cost and funds for implementation relating to the recommendations and outcomes.
4	Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking	1.0	1.5	2.0	1 FTE for the 5-year period
5	Develop internal and external ethics policies	0.5	0.8	1.0	3rd party costs to help administer the tracking and facilitation of the program.
6	Continue the Root Zone Management evolution	3.0	4.5	6.0	Hardware and connectivity costs based on Singapore cluster.
7	Promote and sustain a competitive environment in the Domain Name System	-	-	-	See note below
8	Universal Acceptance	1.5	2.0	52.5	ICANN org is already investing in Universal Acceptance, this assumes we will spend another \$500K/yr.

Financial Projections, Cont'd.

OPERATING INITIATIVES - FIVE-YEAR FINANCIAL ESTIMATES

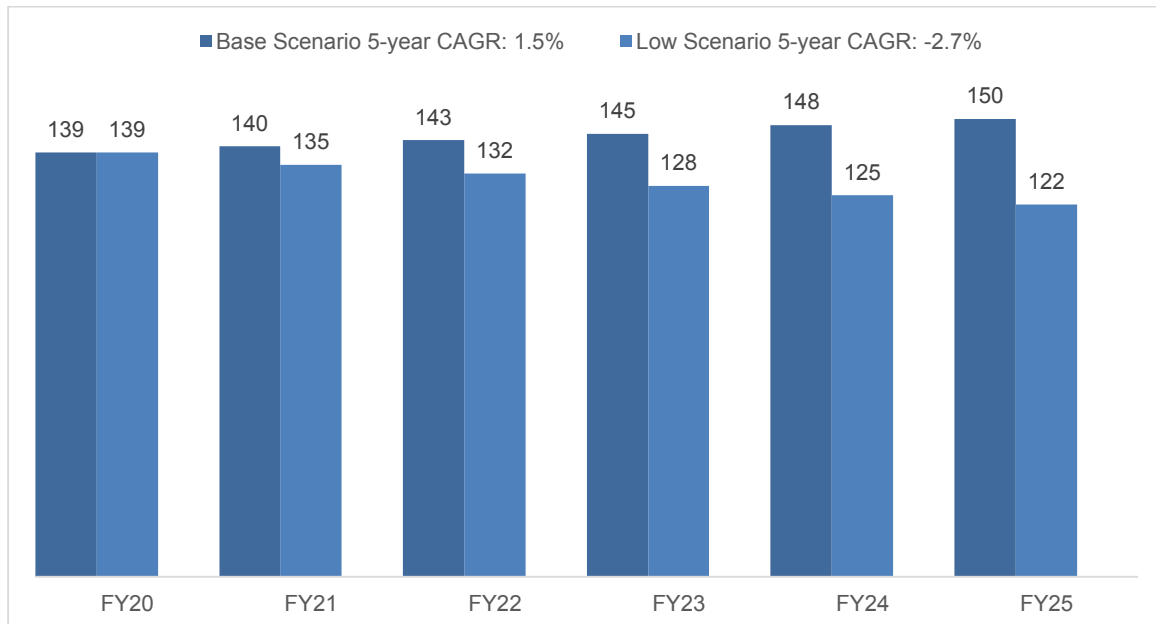
Operating Initiatives <i>(in Millions USD)</i>		(Low)	(Mid-point)	(High)	Assumptions for Mid-point Scenario
9	Evaluate, align and improve engagement in the Internet ecosystem	-	-	-	See note below
10	Targeted engagement to improve government and IGO engagement and participation in ICANN	-	-	-	See note below
11	Monitor legislation, regulation, norms, principles and initiatives in collaboration with others that may impact the ICANN mission	-	-	-	See note below
12	Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name market	0.5	1.0	1.5	1 FTE for the 5-year period and funds for 3rd party research.
13	Implement New gTLD auction proceeds recommendation	-	-	-	See note below
14	ICANN Planning	-	-	-	See note below
15	ICANN Reserves	-	-	-	See note below
TOTAL		\$16.5	\$24.5	\$32.5	

Note: Resources for these initiatives are included within the functional activities of the financial plan core budget and therefore no incremental resources are needed.

This table highlights the financial estimates for the additional Operating Initiatives. A high and low scenario was estimated for each initiative. Our projections refer to the mid-point of these estimates since the high and low estimates are deemed to be less likely. Financials were only estimated for initiatives that required incremental efforts. The other initiatives are already being worked on and can be funded with existing budget other than for the initiatives #7 and #13.

Financial Projections, Cont'd.

LOW FUNDING SCENARIO CONTINGENCY ACTION PLAN



CGAR=Compound Annual Growth Chart
Millions in USD

ICANN’s funding projections include three scenarios: low, mid-point, and high. The mid-point scenario is considered the most likely and these projections are the basis for the expense projections used in the FY21–25 Financials.

The low scenario projects a decline of three percent in annual funding growth. This scenario factors in a decrease in all drivers to ICANN’s funding, from the total number of contracted parties to the volume of domain name transactions owing to rapid maturation in the marketplace. The decrease for each driver individually is plausible, though considered unlikely. The decrease of all the drivers combined reflected in this scenario, while not being a worse case, reflects a contraction of the entire DNS marketplace.

This scenario is considered unlikely, however, should it occur, we have outlined below illustrative measures that ICANN org will consider to reduce costs in order to deal with lower funding. Addressing a funding decrease depends first on the ability to identify such a trend. Following are the steps to be taken to identify the trend and address it:

Financial Projections, Cont'd.

1 IDENTIFICATION OF THE DOWNWARD FUNDING TREND

ICANN org monitors funding primarily on a monthly basis and collects domain name registration information monthly as well. While funding projections are developed annually (as part of the budget process), and now for a five-year period forward, org also updates its annual funding forecast on a quarterly basis, consistently with its main billing cycle.

This quarterly forecast update will be the primary process by which the identification of market changes that affect ICANN's funding will be identified. Additional information sources will inform and complement this process:

- Market knowledge available in ICANN org
- Market knowledge available among ICANN's stakeholders
- Market analyses readily available or specifically requested from market experts

ICANN org will use the quarterly forecast update to monitor downward trends in funding. Whether the change is expected to be short- or long-term will significantly affect how ICANN org will address cost reductions so as not to incur a deficit resulting from higher expenses than funding.

2 COST REDUCTION MEASURES

The following are potential actions that ICANN org would consider, evaluate and make decisions on to reduce costs. These actions are not provided in any particular order of priority, magnitude of impact, or feasibility. Each action would be considered in the context of the analysis of funding described above and of the current and planned activities of the organization at the time the downward trend is identified. The list below does not, as a result, represent a plan of action, but an illustrative list actions that could be evaluated and implemented individually, as part of an org-wide plan. Additionally, these actions would likely be implemented either in phases or progressively.

a. Temporary measures or measures with marginal impact

- Planning:
 - Specific review and update of the current year's budget and of the FY21–25 Operating and Financial Plan

Financial Projections, Cont'd.

- Personnel:
 - Partial or total elimination of new positions
 - Put on hold the hiring of all non-essential open positions
 - Put on hold any increases in compensation
- Travel and meetings:
 - Staff/Board/Constituent travel reduction selectively and across the organization
 - Temporary changes to travel policy
- Reductions to the number of staff and lower inflationary increases to wages and benefits
- Reprioritization of specific tasks, initiatives, and projects, and reduction of the costs associated with such tasks, initiative and projects
- Procurement:
 - Reevaluate spending approval process and delegation of authority
 - Reduce the duration of period contracts at renewal

b. Structural or permanent measures

These measures are qualified as “structural or permanent” in the sense that they could lead to changes that remain in place indefinitely, but they all should be also be considered as reversible changes, in the sense that subsequent decisions could be made to restore the pre-reduction state. Following are the measures:

- Reducing the size and/or number of the ICANN meetings
- Re-evaluating ICANN’s global presence and the associated costs
- Eliminating selected functional activities, or part of activities, and eliminating the corresponding costs
- Evaluating potential alternative sources of funding

Financial Projections, Cont'd.

c. Ongoing activities and processes useful to carry out

Below are illustrative activities that are helpful and beneficial to carry out as a matter of course, prior to any need to take actions to offset a funding downward trend, as a matter of best practice and operational efficiency. Following are the ongoing activities and processes:

- Continuous process improvements, across all functions with the desired outcome to continuously improve efficiency. Resulting effect is same work performed with less resources, or more work performed with the same resources.
- Investments in automation and efficiency-oriented processes and systems: desired effect is that less on-going resources are required on the activities that are supported by automated processes or systems. These projects can only be carried out when resources can be allocated to such projects, and not when resources decrease.
- Maintaining costs flexibility: a blend of permanent or long-term resources and of short-term or temporary resources, allowing ICANN org to flex expenses when needed.

ONE-YEAR OPERATING PLAN

- **FY21 Operating Initiatives**
- **FY21 Functional Activities**

FY21 Operating Plan

ICANN org's FY21 Operating Plan includes descriptions of the major work ICANN org will undertake to achieve its Strategic Plan, operate the organization, and implement its mission.

Operating initiatives describe how ICANN org will achieve the objectives and goals set out in the ICANN Strategic Plan. Functional activities are those necessary to operate the organization, such as Human Resources or Finance, or implement its mission, such as Contractual Compliance or the IANA functions.

Each of the 15 operating initiatives and 35 functional activities provide what can be considered ICANN org's statement of intention, outlining planned activities while acknowledging the challenges and dependencies that could impact ultimate delivery.

Operating Initiatives

FY21

The 15 operating initiatives listed here represent major areas of work that support the strategic objectives identified in the Strategic Plan. Each operating initiative describes the importance of the initiative as well as what ICANN org aims to achieve. Operating initiatives describe how ICANN org will achieve the objectives and goals set out in the ICANN Strategic Plan. Draft operating initiatives were published for Public Comment and presented to the ICANN Board for feedback.

- Support the Evolution of the Root Server System
- Facilitate DNS Ecosystem Improvements
- Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking
- Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking
- Develop Internal and External Ethics Policies
- Promote and Sustain a Competitive Environment in the Domain Name System
- Universal Acceptance
- Root Zone Management Evolution
- Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem
- Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN
- Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration with Others that May Impact the ICANN Mission
- Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers
- Implement New gTLD Auction Proceeds Recommendations as Approved by Board
- Planning at ICANN
- ICANN Reserves

Support the Evolution of the Root Server System

PURPOSE

As the Root Server System evolves with greater demand, new technologies, and governance models, ICANN will continue to support and collaborate with key stakeholders to ensure the stable, secure, and resilient operation of the Domain Name System (DNS) root zone for the global Internet community.

SCOPE

This initiative covers these work areas:

- Support the implementation of the Root Server System Advisory Committee (RSSAC) document RSSAC037 “A Proposed Governance Model for the DNS Root Server System” and RSSAC038 “RSSAC Advisory on a Proposed Governance Model for the DNS Root Server System,” both published on 15 June 2018.
- Support eventual outcome of RSSAC037 and 038 that implies a planned coordinated emergency response to Root Server System incidents.
- Develop a Root Zone Scaling Early Warning System (EWS).
- Develop a prototype Root Server System Metric Monitoring System.
- Encourage hyperlocal root configuration in recursive resolvers and set up a root zone distribution service.
- Define and publish a Key Signing Key (KSK) Rollover Policy.
- Implement the next Root KSK Rollover.

Support the Evolution of the Root Server System, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.
- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable KSK management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.

ACTIVITIES

During FY21, ICANN will:

- Begin prototype development of the Root Zone Scaling EWS.
- Develop prototype of RSS Metric Monitoring System.
- Encourage hyperlocal configuration in recursive resolvers.
- Set up root zone distribution service.
- Publish and Implement KSK Rollover Policy.

HOW PROGRESS IS TRACKED

During FY21, ICANN will establish formal projects for each of the activities above, including project plans with milestones and dates.

Support the Evolution of the Root Server System, Cont'd.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The progression of RSSAC037 and 038, such as development of a coordinated emergency response, requires collaboration between the Office of the Chief Technology Officer and Policy Development Support.
- Deployment of the root zone availability service will require collaboration with Global Stakeholder Engagement and Government Engagement to reach audiences and coordinate messaging.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Political considerations surrounding root server operators.
- Continued unforeseen risks surrounding future Root KSK Rollovers.
- Ensuring the Root Server System continues to meet requirements as defined by the Internet community. ■

Facilitate DNS Ecosystem Improvements

PURPOSE

This initiative encompasses efforts to understand, document, and improve the emergency readiness of ICANN and other actors in the DNS ecosystem.

SCOPE

The scope of this initiative covers three main work areas:

- **Advocate and Promote Emergency Readiness**
 - Advocate for developers to enable Domain Name System Security Extensions (DNSSEC) validation by default.
 - Promote hyperlocal as an additional root zone distribution model and encourage resolver developers to enable the technology.
 - Support the implementation of DNS-based Authentication of Named Entities (DANE).
 - Work with the community to develop and promote commonly agreed norms for a secure DNS ecosystem.
- **Technical Engagement and Capacity Development**
 - Create and continue to deliver capacity-building training on key Internet technologies that support a secured DNS ecosystem aligned with ICANN’s technical remit, such as DNSSEC and DANE. Work internally to expand ICANN org’s training footprint.
 - Continue programs for DNS ecosystem security and technical engagement.
- **Research**
 - Research, report, and raise community awareness on emerging identifiers technologies and how they impact or compare to DNS.
 - Research the use of artificial intelligence to enhance understanding and identification of abuse trends in DNS registration.

Facilitate DNS Ecosystem Improvements, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- The inherent security of the DNS and unique identifiers system measurably increases due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders.
- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Security threats leveraging the DNS measurably decline as a result of encouraging relevant hardware, software, and service vendors to incorporate key security measures.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.
- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established for ICANN to assess new technologies and, when appropriate, embrace them.

Facilitate DNS Ecosystem Improvements, Cont'd.

ACTIVITES

The FY21 activities will cover five main work areas:

- **Advocate and Promote Emergency Readiness.**
 - Advocate for developers to enable Domain Name System Security Extensions (DNSSEC) validation by default.
 - Promote hyperlocal as an additional root zone distribution model and encourage resolver developers to enable the technology.
 - Support the implementation of DNS-based Authentication of Named Entities (DANE).
- **Technical Engagement and Capacity Development.**
 - Create and continue to deliver capacity-building training on key Internet technologies, such as DNSSEC, that align with ICANN's technical remit.
 - Work internally to expand ICANN org's training presence.
 - Continue programs for DNS ecosystem security and technical outreach.
- **Research.**
 - Research, report, and raise community awareness on emerging identifiers technologies and how they impact or compare to DNS.
 - Research artificial intelligence abuse prediction to better understand and identify abuse trends in DNS registration.
 - Continue collecting and presenting metrics surrounding Identifier Technology Health Indicators (ITHI).
 - Continue collecting and reporting on domain abuse activity.
 - Identify and report on measurements that impact the work of ICANN org and the ICANN community.
 - Define the baseline and collect metrics based on security threats.
- **Facilitate**
 - Work with community to understand the needs for a DNS Security Facilitation Center.
 - Create a Special Interest Forum on Technology (SIFT) to allow the community to engage technically with ICANN between Public Meetings.
 - Work with community to define norms for proper DNS operations.

Facilitate DNS Ecosystem Improvements, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. These measures will be used over the five-year period for this initiative:

- Establishment of community agreement on the needs for the DNS Security Facilitation Center.
- Formalization of the Special Interest Forum on Technology (SIFT) program.
- Implementation of data collection and gathering for various statistical analyses.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- Training and outreach activities require collaboration with the ICANN community as well as ICANN org departments such as Global Stakeholder Engagement, Communications, and Government Engagement.
- Emergency preparedness efforts also support the work of teams such as Contractual Compliance.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Care must be taken not to exceed ICANN's remit.
- Privacy considerations may impact activities.
- Lack of access to all the relevant data may impede activities.
- Key stakeholders may not agree with norms developed. ■

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking

PURPOSE

This initiative aims to ensure that participation in the policy development work of ICANN's three Supporting Organizations (SOs) and policy advice developed by the four Advisory Committees (ACs) are globally representative. The work of the SOs and ACs is carried out through the facilitation of informed participation in the policy process by diverse groups and interests, with clearly demonstrated levels of stakeholder support and commitment to reaching consensus.

SCOPE

The scope of this initiative covers these work areas:

- The regular cycle of Bylaws-mandated Organizational and Specific Reviews, which plays a key role in identifying any new participation gaps and challenges and developing and assessing possible short- and long-term solutions.
- The Bylaws-mandated reviews of stakeholder group and constituency charters ensure that the governance structures, membership, and other rules of these groups are analyzed and improved to maintain recognition with the ICANN Board.
- The forthcoming implementation of the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 recommendations will allow the community to inventory, document, and improve its processes and efforts to ensure diverse and inclusive participation in its work.
- Additional community, Board, and org work may be initiated to develop approaches and solutions to improve the effectiveness of ICANN's multistakeholder model (see [Appendix C](#)), including addressing the issue of representation and inclusivity as described in that work plan.
- Continuation of policy development support for the work of all the ICANN SOs and ACs, including stakeholder groups and constituencies, by providing subject matter and process expertise as well as day-to-day secretariat operations is essential to ensure progress is made and documented.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and ICANN org personnel equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.
- The ICANN community establishes mechanisms, such as an accurate measure of community participation, to equitably distribute workload among the pool of stakeholder representatives.
- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Continued efforts of the ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.
- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process 3.0 (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms that ensure the cumulative workload is reasonable at any one time, and that ICANN priorities reflect the community's collective needs.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

ACTIVITIES

During FY21, ICANN org will focus on these work areas within this initiative:

- Commencement of implementation of recommendations from the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 (CCWG-Accountability WS2) final report and the third At-Large Summit (ATLASIII), pending Board approval in FY21.
- Cross-functional work within the org to ensure effective collaboration with the community on next steps for addressing the issues identified in the work on Evolving ICANN's Multistakeholder Model (See [Appendix C](#) for more information on this work).
- Evolving governance structures and implementation of Board-approved review recommendations.
- Support for collaborative work by community leaders across the SOs and ACs and with ICANN org.
- Support for Generic Names Supporting Organization (GNSO) policy projects and activities:
 - Continuation or completion of work on major policy development processes, including the Expedited Policy Development Process on Temporary Specification for gTLD Registration Policy (EPDP) Phase 2, Review of All Rights Protection Mechanisms in All gTLDs, and New gTLD Subsequent Procedures.
 - Additional policy work on GNSO PDP recommendations on IGO-INGO Access to Curative Rights Protection.
 - Possible initiation of two new GNSO policy development processes on transfer policy and Internationalized Domain Names (IDNs).
 - Possible initiation of Implementation Advisory Group on WHOIS Conflicts with Local Law Procedure.
 - Implementation of GNSO PDP 3.0 recommendations.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

- Support for Country Code Names Supporting Organization (ccNSO) policy projects and activities:
 - Continuation or completion of work on a major ccNSO PDP on retirement of country code top-level domains (ccTLDs) and review mechanism pertaining to decisions on delegation, transfer, revocation, and retirement of ccTLDs.
 - Possible initiation of new ccNSO PDP on review of IDN ccTLD policy.
- Support for Address Supporting Organization (ASO) global policy projects and activities, including implementation of the new 2019 Memorandum of Understanding with ICANN org.
- Support At-Large Advisory Committee (ALAC), Governmental Advisory Committee (GAC), Root Server System Advisory Committee (RSSAC) and Security and Stability Advisory Committee (SSAC) advice development, which includes:
 - Implementation of ATLAS III.
 - Perform the role of GAC Secretariat.
 - Draft advisories for RSSAC and SSAC.
 - Work on the Name Collision Analysis Project.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. These measures are examples of those that will be used over the five-year period for this initiative:

- Membership tracking by Supporting Organizations, Advisory Committees, stakeholder groups, and constituencies and other metrics.
- Implementation of Board-approved recommendations from Organizational Reviews and Community Charter Reviews.
- Metrics related to Public Comment proceedings.
- Community activity indicators that track global participation in projects and activities as well as the translation and interpretation services required for those projects and activities.
- Reports and statistics for ICANN prep week and ICANN Public Meetings.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

RESOURCES

The FY21 level of resources is generally expected to be consistent with the current level of personnel. Resources for additional face-to-face or intersessional meetings may be needed to advance or complete major policy projects.

CONSIDERATIONS

Risks and considerations exist for this initiative and may impact its advancement:

- Community expectations for facilitation and other support from the Policy Development Support team must be balanced with robust discussions about costs and benefits. There is a connection between personnel levels and the ability to provide support to existing policy development and advisory work as well as the anticipated increase in projects and workload stemming from implementation of the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 (CCWG-Accountability WS2) recommendations and Board-approved recommendations from the recently concluded reviews.
- Generally, extended operations by the Policy Development Support function below the 35 full-time employee (FTE) level runs the risk of:
 - Lower levels of service to the community and regional disparity.
 - Delayed policy and advisory outputs.
 - Community frustration and loss of active participants.
 - Potential team member burnout.
- Cuts to or zero growth in the Policy Development Support budget may signal to the community:
 - A potential deprioritization of policy activities integral to ICANN's mission.
 - De-emphasis of support for community operations central to ICANN governance processes.
 - A lack of organizational support for efforts to ensure global, diverse volunteer participation that provides legitimacy to ICANN's multistakeholder model.

Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policymaking, Cont'd.

- Newer community members need time to get used to ICANN's participation and working methods; veteran community members need to adjust to new tools and platform changes.
- Ineffective participation due to the diverse nature of community groups, priorities, interests, and structural issues (e.g., lack of alignment between Board-community goals and priorities need to factor in cadence of Bylaws-mandated review and Empowered Community timelines).
- As reliance on accurate and relevant data within the policymaking process increases, there is a need to develop capacity among community participants in data analysis and related skills. ■

Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking

PURPOSE

This initiative focuses on the facilitation of more efficient, timely, and effective policy development work by ICANN's three SOs and advice by the four ACs. Personnel support is provided for developing, documenting, and implementing changes, as well as improvements to community procedures and processes intended to reflect commitment to reaching consensus and effective policymaking.

SCOPE

The scope of this initiative covers these work areas:

- Periodic review by community groups of their internal procedures and requirements to address new challenges and gaps, such as improvements to membership outreach and participation requirements.
- Development and improvement of community templates and procedures in relation to the Empowered Community (EC) powers and Bylaws-mandated processes.
- Additional community, Board, and org work may be initiated to develop approaches and solutions to improve how consensus is achieved by addressing the issues identified in [Appendix C](#).
- Policy Development Support personnel support for community projects and activities that strengthen the consensus-building process by providing guidance and clarifications on existing procedural rules, alternative processes, and possible improvements for community decision-making and planning.
- Management of Public Comment proceedings, community consultations, and other processes for public input that are essential for ICANN's accountability and transparency.
- Organizational support for enhanced data collection and analysis, including legal or other types of expertise, surveys, and policy impact assessments.

Evolve and Strengthen the ICANN Community's Decision-making Processes to Ensure Efficient and Effective Policymaking, Cont'd.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making process ensures that input from all stakeholders is considered.
- Improved multistakeholder model process, such as Policy Development Process 3.0 (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.

ACTIVITIES

In FY21, activities for this initiative include:

- Support the Empowered Community and individual SOs, ACs, stakeholder groups, and constituencies in developing and implementing new processes or revising existing ones, including initiatives resulting from the Evolving ICANN's Multistakeholder Model Work Plan (See [Appendix C](#) for more information).
- Implementation of Board-approved recommendations from recently-concluded Organizational and Specific Reviews.
- Manage intersessional meetings for policy working groups and SO/AC leadership teams to accelerate progress.
- Support Address Supporting Organization (ASO) integration work on its role under the ICANN Bylaws.
- Continue migration to ICANN org Customer Relationship Management (CRM) platform.
- Support launch of Information Transparency Initiative (ITI).
- Work with ICANN org Meetings and Board Operations teams to implement improvements to ICANN meeting planning.

Evolve and Strengthen the ICANN Community’s Decision-making Processes to Ensure Efficient and Effective Policymaking, Cont’d.

- Manage Public Comment proceedings, community consultations, and tools for communications from ICANN org and Board to the community.
- Support SO/AC community leaders’ planning and collaboration processes.
- Engage the community in collaborative strategic planning on prioritization and specific ways to provide enhanced support with limited resources.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. These measures will be used in FY21 for this initiative:

- Progress of work on community charters and improvements to procedures for Decisional Participants in the Empowered Community.
- Documented implementation of GNSO PDP3.0 Improvements.
- Progress on implementation of recommendations from Organizational Reviews.
- Implement improvements to Community Recognition Program, Multistakeholder Ethos Award, and ICANN Public Meeting planning.
- Organize SO/AC community leaders’ roundtable sessions at ICANN Public Meetings and, if needed, intersessionally.
- Progress on migration to CRM platform.

RESOURCES

The FY21 level of resources is generally expected to be consistent with the current level of personnel. Resources may be needed for additional face-to-face or intersessional meetings to advance or complete major policy projects.

Evolve and Strengthen the ICANN Community’s Decision-making Processes to Ensure Efficient and Effective Policymaking, Cont’d.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Community expectations for facilitation and other support from the Policy Development Support team must be balanced with robust discussions about costs and benefits. There is a connection between personnel levels and the ability to provide support to existing policy development and advisory work, especially with the potential launch of several new PDPs within this timeframe.
- Generally, extended operations by the Policy Development Support team below the 35 FTE level runs the risk of:
 - Lower levels of service to the community and regional disparity.
 - Delayed policy and advisory outputs.
 - Community frustration and loss of active participants.
 - Potential team member burnout.
- Cuts or zero growth to the Policy Development Support budget may signal to the community:
 - A potential deprioritization of policy activities integral to ICANN’s mission.
 - De-emphasis of support for community operations central to ICANN governance processes.
 - A lack of organizational support for efforts to ensure global, diverse volunteer participation that provides legitimacy to ICANN’s multistakeholder model.
- Need to ensure that the introduction of new technological tools as well as platform changes is orderly and well-planned, and that community training and transition needs are accounted for.
- Traditional difficulty in engaging the community in prioritization exercises; lack of tools to engage in meaningful and effective prioritization.
- Lack of academic-quality policy research despite having qualified personnel due to workload issues and inconsistent community expectations.
- Limited data collection to date means that data-driven policy work has been difficult and time-consuming, and that decision-making is done without reference to specific data or other factual evidence. ■

Develop Internal and External Ethics Policies

PURPOSE

This operating initiative focuses on the development of internal and external ethics policies to guide behavior within ICANN org and the community. The internal ethics policy will provide additional guidance and direction for ICANN org personnel. This will continue to improve the confidence that the ICANN community places in org personnel, by providing further transparency into how ICANN org expects personnel to conduct their work.

The ICANN community ethics policy will provide transparency and guidance regarding how members of the ICANN community should approach their ICANN-related work and interact with one another.

SCOPE

The scope of this initiative covers these work areas:

- Develop an internal ICANN org ethics policy.
- Develop an ICANN community ethics policy.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

Over FY21, ICANN org will:

- Develop an ICANN org ethics policy to provide additional guidance and direction for ICANN org personnel.
- Develop an ICANN community ethics policy that provides transparency and guidance in how members of the ICANN community approach their ICANN work and interact with each other.

Develop Internal and External Ethics Policies, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following steps will be taken over the five-year period for this initiative:

- Gather all existing policies that will make up elements of the ethics policies and conduct a gap analysis.
- Conduct an assessment to understand the baseline ethics level as of FY20.
- Develop a plan or policies to fill the gaps.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The Legal team leads this initiative and coordinates with Human Resources.
- Collaboration with ICANN org's Engineering and IT functions to help with mechanisms.

CONSIDERATIONS

The primary risks that may impact this initiative's advancement are the lack of internal and external awareness of the work and resulting lack of buy-in to the effort. ■

Promote and Sustain a Competitive Environment in the Domain Name System

PURPOSE

This initiative includes preparations for the launch of additional rounds of new gTLDs, applying knowledge gained through the implementation of the 2012 round, and subsequent reviews aimed at evaluating different aspects of the program. ICANN org is in the pre-planning phase, monitoring community discussions, supporting Board and community work, and estimating anticipated resource requirements.

Though much of this work is still underway through processes such as the GNSO's New Generic Top-Level Domain Subsequent Procedures Policy Development Process Working Group, the possibility of an additional round of new gTLDs being launched within the period exists. Each year the Operating and Finance Plan will be progressively updated to reflect the latest policy developments related to subsequent rounds of new gTLDs.

SCOPE

The scope of this initiative covers these work areas:

- Implementation of community-developed recommendations that the Board adopts and then directs ICANN org to implement prior to opening the next application window.
- Implementation of an operational infrastructure (systems, processes, and people) to support ongoing operations of the New gTLD Program.
- Development and execution of a global communications and awareness campaign.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and availability of measures to support sustained operations of new gTLDs in the namespace.

Promote and Sustain a Competitive Environment in the Domain Name System, Cont'd.

ACTIVITIES

Because of dependencies on community policy development processes and Board actions, the activities for FY21 rely on a number of factors that make some details of timing and implementation difficult to predict.

The Subsequent Procedures Policy Development Process Working Group currently estimates delivery of its work no earlier than the second calendar quarter of 2020.

HOW PROGRESS IS TRACKED

Depending on the timelines for ICANN Board and community actions, work in FY21 is expected to occur on the lines described above:

- **Planning and Preparation:** As per the Consensus Policy Implementation Framework, ICANN org prepares for the eventual implementation of policy recommendations in parallel to PDP discussions. Activities include monitoring community discussions, considering preliminary implementation options, assessing implementation feasibility, and estimating resource requirements. This work concludes upon the Board decision to accept the policy recommendations.
- **Policy Implementation:** This track of activity commences once the Board adopts community-developed recommendations and directs ICANN org to implement. During this phase, ICANN org works with the community to implement recommendations adopted by the Board. Activities may include a detailed assessment of the recommendations, drafting and development of documentation to support the execution of an application process, and building on work done in the planning and preparation phase.
- **Operational Readiness:** To bring the organization to operational readiness, ICANN org onboards and trains vendors and internal resources, tests systems and tools, conducts exercises of the defined processes and tools, and continues executing the communications and awareness-building campaign. Opening the application window marks the end of this phase and beginning of application acceptance.

Promote and Sustain a Competitive Environment in the Domain Name System, Cont'd.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. This project will likely require significant cross-functional collaboration and support from functions such as Legal, Communications, Global Stakeholder Engagement, Human Resources, Finance, Global Domains Division, Office of the Chief Technology Officer, IANA, and Engineering and Information Technology.

Based on the initial reports issued by the New gTLD Subsequent Procedures (SubPro) Policy Development Process Working Group, the processing of applications received through future application rounds for new gTLDs is expected to remain subject to the principle of cost recovery, meaning that funding the necessary preparatory and development expenses (as well as future processing fees) comes from fees paid by applicants. Two implications should be noted: First, application fees may need to be set at levels that are appropriate for the repayment of the preparatory and development expenses to be incurred to launch the next round. Second, an alternative and temporary source of funds will need to be used to cover these expenses, which will be incurred before application fees are received. This source of funding will need to be identified and approved by the Board.

CONSIDERATIONS

At this pre-planning phase, ICANN org continues to monitor discussions and engage in pre-planning activities, provide Board and community support, support preliminary analysis of implementation feasibility and options, and estimate resources. Preparation for a subsequent round of new gTLDs is expected to be a major effort for ICANN org to support during FY21. ■

Universal Acceptance

PURPOSE

This program encompasses ICANN org’s Universal Acceptance (UA) efforts to ensure that Internet applications and systems treat all top-level domains (TLDs) in all scripts and email addresses based on those domains in a consistent manner. UA promotes consumer choice and provides broader access to end users.

SCOPE

The current scope of this initiative covers these work areas:

- Outreach to providers of standards, programming language, tools, and platforms to support UA.
- Raise awareness and capacity of technology developers to develop or update applications to be UA-ready.
- Raise awareness and capacity of email tool and service providers to support internationalized email addresses.
- Raise awareness in the public sector for governments to require UA readiness in their tendering processes.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN engages in greater cooperation with stakeholder groups and different policy and standards development bodies locally, regionally, and globally, to raise awareness about Universal Acceptance, Internationalized Domain Name (IDN) implementation, and Internet Protocol version 6 (IPv6).
- UA readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors. .

Universal Acceptance, Cont'd.

ACTIVITIES

During FY21, ICANN org will:

- Conduct outreach to two relevant standards bodies and to providers of programming language, tools, and platforms to support UA.
- Raise awareness and capacity of technology developers for UA-readiness based on local initiatives in different geographies.
- Engage with the ALAC and GAC and work with ICANN org's Global Stakeholder Engagement and Government Engagement teams on a communication strategy to raise awareness especially among public sector organizations and implement local initiatives.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following milestones will be used in FY21 for this initiative:

- Document the broader state of UA readiness of technology.
- Develop and undertake communication for the remediation of technology.
- Develop UA training.
- Train technical stakeholders.
- Create public sector awareness.

RESOURCES

UA work will support the recently created community-based working groups and local initiatives focusing on specific geographies. The work will require close collaboration with ICANN org's Global Stakeholder Engagement and Government Engagement teams to prepare to support the local initiatives and engage the public sector. Support from the Communications team also will be needed to help in planning and outreach.

Universal Acceptance, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Efforts to increase UA readiness means reaching and activating stakeholders beyond the conventional ICANN community that may have different priorities.
- Raising awareness and encouraging UA as a mainstream design consideration may require considerable effort and time. ■

Root Zone Management Evolution

PURPOSE

This initiative supports the continued advancement of the technology platform used to provide root zone management services. This system manages the workflow of change requests from customers, automates many aspects of the processing, and ensures quality, accuracy, and timeliness of the business process.

As originally designed, the technology supporting root zone management was based on a small number of top-level domains (TLDs) that remained relatively static, with a roughly one-to-one mapping between parties and the TLDs they manage. Today, entities operate significant portfolios of TLDs that need to be managed in unison. This shift was not a consideration during the original design of the root zone's management and is addressed through this initiative.

SCOPE

The scope of this initiative covers these work areas:

- Identify features and enhancements that will improve operations while ensuring accuracy, quality, and timeliness of business processes.
- The evolution of requirements from the New gTLD Subsequent Procedures Policy Development Process and technological developments related to Internationalized Domain Names.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.
- ICANN collaborates with relevant parties and effectively leverages partnerships in the IETF, Regional Internet Registries, and naming communities to develop and integrate new technologies with existing Internet protocol structures, including the DNS.
- ICANN org continues to provide reliable delivery and continuous improvement of the IANA functions, consistent with community service level agreements.

Root Zone Management Evolution, Cont'd.

- ICANN promotes and supports awareness of the IANA functions, including among stakeholders, to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.
- The expansion of the DNS root zone attracts continued investment and innovation, as indicated by market developments and new registry services.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.

ACTIVITIES

In FY21, ICANN org will:

- Deliver a complete rewrite of the Root Zone Management System (RZMS).
- Continue to monitor the policy development work being done in the ICANN community (most notably through the New gTLD Subsequent Procedures Policy Development Process and on Internationalized Domain Names) to ensure RZMS will meet those emerging requirements.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following are FY21 milestones for this initiative:

- Launch of significant new version of RZMS with rearchitected backend.
- Launch of new authorization model to allow additional appropriate parties to be authorized as TLD managers with associated user management improvements.
- Launch of customer application programming interface (API) access.

Root Zone Management Evolution, Cont'd.

RESOURCES

Software development resources (provided by ICANN org) through contract between ICANN and its affiliate, Public Technical Identifiers. Projected to remain constant for FY21 and likely to taper in subsequent years as maintenance backlog is cured and significant pending functionality is deployed.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Success is heavily dependent on the stability and commitment of engineering resources. In the past year there has been a more predictable cadence of development which helped ICANN org bring enhancements to the community in a timely fashion.
- The greatest risks are the loss of development resources that are prioritized to other objectives.
- The inability for IANA to provide sufficient designs and requirements settings to inform development.
- Policy development work being done in the ICANN community, such as in the New gTLD Subsequent Procedures Policy Development Process and for Internationalized Domain Names, must be monitored to ensure RZMS will meet those emerging requirements. ■

Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem

PURPOSE

Increasingly, governments and intergovernmental organization forums develop policies, legislation, and regulations that impact the Internet. In some cases, this may also impact ICANN's ability to develop policies, run its operations, and fulfill its mission. To address this and to ensure a single, globally interoperable Internet, ICANN plans to identify where these discussions and initiatives are taking place and determine where ICANN has or should engage to address these initiatives. This work follows the issues identified through the trend assessment work conducted by ICANN as part of the strategic planning process. This process also will identify any activities ICANN org's Government Engagement team will need to reduce or stop as well as where targeted engagement must increase.

SCOPE

The scope of this initiative covers these work areas:

- Reviewing trends, existing agreements and relationships, conducting an analysis of the relationship between ICANN and these organizations, and developing an approach to align engagement.
- Identifying bodies within the Internet ecosystem that are relevant to ICANN's remit and analyzing others to assess whether ICANN org should be more involved with them or in other arenas.
- Considering other opportunities for influencing global Internet issues.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge building about ICANN and its mission continues.
- ICANN is engaged, its role acknowledged, and its presence valued in the arenas where topics within its remit are discussed.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission and the effect of various regulatory and other proposals on the Internet ecosystem.

Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem, Cont'd.

HOW PROGRESS IS TRACKED

Milestones for FY21 include:

- Complete a cross-functional inventory of relationships in the Internet ecosystem.
- In FY21 and FY22, begin assessment of the current engagement mechanisms.
- Build relationships in gap areas as on ongoing activity. In conjunction with legislative and regulatory tracking, this will give ICANN org another layer of insight and help to prioritize targeted engagement.
- Ongoing annual review of alliances based on emerging issues or changes in other organization's focuses.

RESOURCES

While the Government Engagement team will lead global strategy and political and environmental assessments of global intergovernmental organizations and initiatives, collaboration will be needed as follows:

- Political assessment input from ICANN org's regional engagement offices regarding activities in the national capitals, regional trends, and influences.
- Communications team to develop narratives to ensure consistent messaging.
- Legal analysis of reports on the potential impact of legislative or regulatory activity.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Possible increased resources needed to cover new venues with additional technical resources for legislative analysis.
- Possibility of forging an alliance with an organization that takes the contrary position to ICANN's on a common issue.
- Political sensitivities to reducing some participation that the community relies on. ■

Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN

PURPOSE

This operating initiative focuses on two areas: working with governments and IGOs engaged with ICANN and the policy development process through the Governmental Advisory Committee (GAC); and more broadly working with governments and IGOs on issues beyond those being addressed through policy development processes.

Governments and IGOs participate in the ICANN policy development process through the GAC. The GAC considers and provides advice on the activities of ICANN as they relate to concerns of governments, particularly matters where there may be an interaction between ICANN's policies and various laws and international agreements or where they may affect public policy issues.

The GAC has steadily grown in membership and participation, yet has more turnover among its representatives than other Advisory Committees. As a result, some GAC representatives are less familiar with ICANN's processes and issues, making it difficult for them to effectively engage. It is important, where possible, for governments to participate in ICANN rather than addressing potential issues through external legislative or regulatory activity.

Additionally, dialogues that will impact ICANN increasingly involve different aspects or ministries of national governments than those commonly participating in ICANN through the GAC. Therefore, activity has to be broader than government and IGO activity within ICANN's policy development process. This requires targeted engagement through global, regional, and national governmental events, including new structures and diversified venues where dialogue is conducted on topics such as cybersecurity, data protection, privacy, cultural and geographic identifiers, emerging technologies, and proposed new systems of unique identifiers.

Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN, Cont'd.

SCOPE

The scope of this initiative covers these work areas:

- Assessing the expectations of government participants within the GAC.
- Creating targeted information and capacity development materials to better equip government stakeholders around the world, enabling them to become more active participants in ICANN's policymaking processes.
- Assessing expectations of government participants in capacity-development activities
- Creating targeted materials as needed for government participants.
- Assessing and mapping the scope of global dialogue venues relevant to ICANN on topics such as cybersecurity and the unique identifiers.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN org continues to develop and evolve systems to detect and monitor legislative and regulatory initiatives as well as other governmental or IGO actions or initiatives that could impact ICANN's mission or operations.
- ICANN fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge-building about ICANN and its mission continues.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission as well as the effect of various regulatory and other proposals on the Internet ecosystem.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used over the period as indicators of progress for this initiative:

- Delivery of High-Level Governmental Meetings in FY21, and potentially FY23 and FY25.
- Reports and statistics on participation in outreach, technical briefings, and capacity-development sessions for the GAC as well as through collaboration with other organizations in the ecosystem.

Through Targeted Engagement Improve Governments and Intergovernmental Organizations (IGOs) Engagement and Participation in ICANN, Cont'd.

- Completed review of existing memorandums of understanding (MoUs) for continuing alignment with goals.
- Metrics related to the number of countries and intergovernmental organizations represented in the GAC and the number of countries and IGOs actively participating in GAC and ICANN policy processes.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- Regional Global Stakeholder Engagement teams to identify which countries are not part of the GAC.
- Government Engagement team and Global Stakeholder Engagement team to conduct gap analysis on IGOs that are not part of the GAC.
- Communications team to develop a consistent narrative for outreach messaging.
- Public Responsibility Support team to develop online courses.
- Office of the Chief Technology Officer to develop technical capacity development curriculum to assist with trainings and capacity development through the GAC's Underserved Regions Working Group (USRWG) work plans and other collaborative initiatives in the Internet governance ecosystem.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement in FY21:

- Leadership changes and challenges in partnering agencies.
- Realignment of work plan to reflect the revisions to the engagement strategy and changes in roles for ICANN org's Government Engagement team and Global Stakeholder Engagement team. ■

Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission

PURPOSE

This initiative builds on the work begun by ICANN org in 2018 to identify and report on legislative and regulatory developments around the world that could have an impact on ICANN's ability to fulfill its mission. Part of ICANN's work within this initiative is providing educational information to governments on those issues in order to help ensure that lawmakers have the full benefit of ICANN's technical expertise.

SCOPE

The scope of this initiative covers these work areas:

- Examine existing processes and further develop the mechanisms to capture community feedback and input.
- Creation of an internal assessment mechanism. ICANN org will also review its experience in FY20 to inform the determination of the criteria for escalation from monitoring to activity of a use case. This will act as a resource in outreach and engagement efforts.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN org continues to develop and mature systems to detect and monitor legislative initiatives and other governmental or IGO actions or initiatives that could impact ICANN's mission or operations.
- ICANN org proactively engages with the community to develop common awareness of ICANN's contribution to early warning system.
- ICANN has effective processes in place to receive and act on input from the community.
- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.

Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used in FY21 for this initiative:

- Assess and refine the legislation monitoring process. This includes developing criteria for when an item that is being monitored should be escalated to educational action.
- Development of community dialogue mechanism with support of ICANN org's Policy Development Support department.
- Ongoing performance measurements.
 - Publication of reports to community on legislative or regulatory events being tracked.
 - Publication of technical assessments and use cases.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- Regional Global Stakeholder Engagement teams to provide analysis of upcoming regional legislation that might impact ICANN.
- Government Engagement team to provide data collection and analysis, awareness raising, and technical briefings.
- Office of the Chief Technology Officer to assess the impact of proposed legislation on the DNS and to conduct use case analysis as applicable.
- Legal team to review reports on legislative and regulatory activity.
- Communications to develop a narrative to ensure consistent messaging on key issues.

Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- Resources are needed to monitor and compare information across various venues to detect the “weak signals” early enough to identify trends and evaluate actions to address possible challenges.
- Political judgment is crucial in determining when to move from monitoring to active educational engagement efforts.
- Limited ability to provide briefings and technical trainings and other engagement efforts in some political structures. ■

Formalize the ICANN Org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers

PURPOSE

The domain name marketplace has matured over the past five years following the 2012 round of the New gTLD Program. To provide a solid foundation for future funding projections ICANN org must analyze its funding model within the context of the marketplace, reviewing key market enablers and challenges to domain name industry growth over the same period. This initiative brings together those activities.

SCOPE

The scope of this initiative covers these work areas:

- Review and analyze trends and driving forces of the domain name industry marketplace.
- Seek to validate and improve forecasting accuracy through review of data including zone files, registry transaction reports, contracted party family affiliation, corporate disclosures, market intelligence, and more.
- As ICANN org formalizes its funding model, it plans to evaluate the migration of the forecast model to a platform that will provide a robust system for preparing and analyzing future funding projections.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The ICANN Strategic Plan is supported by a five-year Operating and Financial Plan. All plans are updated as and when necessary to take into account relevant changes in ICANN's environment.
- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or strategic plan.

Formalize the ICANN org Funding Model and Improve Understanding of the Long-term Domain Name Market Drivers, Cont'd.

- ICANN has reliable and predictable five-year funding projections, based on a sound understanding of the evolution in the domain name marketplace and realistic assumptions.
- ICANN utilizes data about the directions and trends in the market to effectively guide the organization.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that initiatives advance. The following measures will be used over the period for this initiative:

- Build and establish a process to develop the funding model during FY21.
- Explore options for a new tool or platform.
- Annual delivery of funding assumptions and projections for the next five fiscal years.
- Continued enhancement of funding model tool and an increase in the GDD team's domain market intelligence in relation to the forecasting process.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The skills of ICANN org's Global Domains Division (GDD), Finance, and Engineering and IT teams to evaluate and migrate the current forecast model to a more robust platform.
- The skills of ICANN org's GDD, Finance, Office of the Chief Technology Officer, and Global Stakeholder Engagement teams to collect and contextualize market intelligence in relation to the forecast.
- Processes and tools are in place to effectively prioritize and periodically reprioritize work.

CONSIDERATIONS

It is not clear how threats to the DNS might impact ICANN's funding. ICANN org must expand its understanding and knowledge of the impact these threats may have. ■

Implement New gTLD Auction Proceeds Recommendations As Approved by Board

PURPOSE

This initiative relates to preparations for the implementation of the Board decisions following the recommendations arising from the Cross-Community Working Group on New gTLD Auction Proceeds.

SCOPE

The scope of this initiative covers these work areas:

- ICANN org will facilitate a review of the specific roles of the Board and ICANN org in this initiative. The specific roles of the Board and ICANN org in the various stages of the operational and review stage are yet to be determined. However, regardless of the eventual processes or structures needed or the use of external entities, the Board remains ultimately accountable for the actions related to the proceeds.
- ICANN org will provide feasibility assessments and costs for the ICANN Board’s consideration of the CCWG-AP recommendations.
- ICANN org to implement the Board decisions following the recommendations, including coordination with a community implementation review team.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Funding, expenses, and reserves are addressed in each plan in a manner consistent with policies, Board decisions, strict financial responsibility, and conservatism.
- ICANN prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.
- ICANN has processes and tools in place to effectively manage and control costs.
- Financial accountability and responsibility guide how decisions are made prior to committing ICANN’s resources, how expenses are managed once approved, and those commitments.
- Key cost drivers are clearly defined and understood.

Implement New gTLD Auction Proceeds Recommendations As Approved by Board, Cont'd.

HOW PROGRESS IS TRACKED

Work within this initiative will happen in distinct stages, dependent on ICANN Board and community actions. The specific milestones guiding next steps are:

- Submission of the CCWG-AP Final Report to the Chartering Organizations for approval.
- Chartering Organization approval.
- Submission to the ICANN Board for consideration.
- Board consideration of recommendations.
- Implementation plan development.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative are:

- The final recommendations approved by the Board and the design of the implementation plan will drive costs, which will be funded out of the auction proceeds.
- The recommendations will need to be reviewed from a resourcing standpoint in order to understand practicalities, including estimated workload, potential new hires, and needed skills.
- As implementation progresses, the internal ICANN resources supporting this work will be reimbursed to ICANN's operations from the auction proceeds.

CONSIDERATIONS

This work is dependent on the submission of the Final Report of CCWG-AP to the Board for consideration and the subsequent Board action on the recommendations. ■

Planning at ICANN

PURPOSE

Careful planning of ICANN activities helps safeguard ICANN's long-term financial sustainability and ensure that ICANN org is accountable to the public in its stewardship of ICANN's mission. This initiative encompasses ICANN org planning activities.

SCOPE

As part of its planning efforts, ICANN org strives to improve the quantification of resources, evaluation of needs, prioritization, flexibility, and transparency of the management of ICANN's resources and activities over FY21–25.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN org prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.
- ICANN org has processes and tools in place to effectively manage and control costs.
- Financial accountability and responsibility guide how decisions are made prior to committing ICANN's resources and how expenses are managed once approved in order to stay within those commitments.
- Key cost drivers are clearly defined and understood.
- Risk assessments are periodically reviewed to determine the adequacy of ICANN's Reserve Fund level to address potential mitigation needs.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones and reports to ensure that this initiative advances during FY21. All aspects of this initiative are expected to be the subject of progress throughout the period of FY21.

Planning at ICANN, Cont'd.

RESOURCES

Effective cross-functional collaboration is an essential element for success in most of ICANN org's work. Specific examples of collaboration needed for this initiative:

- Planning involves all stakeholders of the ICANN ecosystem, including the ICANN Board, community, org, and the public.
- The number of ICANN org resources involved over the plan period is expected to increase as compared to the previous plan period. This is planned to accommodate the need for operational alignment, prioritization, increased number and quality of plans, and increased communication.
- Limited external resources will be needed to help with education, skills, and facilitation at the beginning of the period as internal capabilities ramp up.

CONSIDERATIONS

The following risks and considerations exist for this initiative and may impact its advancement:

- A lack of organizational support for cross-collaboration efforts may delay an effective planning process.
- Newer community members need time to get used to ICANN's planning process and may not fully engage in Public Comment proceedings. Planning team will need to provide information and engagement opportunities to ensure that the Bylaws-mandated review and Empowered Community timelines are achievable. ■

ICANN Reserves

PURPOSE

To safeguard ICANN's long-term financial sustainability and ensure that ICANN org is accountable to the public in its stewardship of ICANN's mission, the level of ICANN reserves must be continuously set, reached, and maintained consistent with the complexity and risks of ICANN's environment.

SCOPE

The scope of this initiative covers these work areas:

- Ensure implementation of Board resolution from October 2018 to replenish the Reserve Fund.
- Advance the adopted replenishment strategy which states that the Reserve Fund should be replenished to its minimum target level within eight years of the date of adoption of the resolution.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Financial accountability and responsibility guide how decisions are made prior to committing ICANN's resources, and how expenses are managed once approved, to stay within those commitments.
- Replenishment strategy for ICANN's Reserve Fund is adhered to and implemented successfully.
- Risk assessments are periodically reviewed to determine the adequacy of ICANN's Reserve Fund level to address potential mitigation needs.

FY21

For information on FY21 finances, please see the FY21 Budget for the Reserve Fund balance and planned replenishment. ■

● Functional Activities

FY21

Functional activities are those necessary to operate the organization, such as Human Resources or Finance, or implement ICANN's mission, such as Contractual Compliance or the IANA department.

The 34 functional activities have been placed into five service groups. These service groups were selected because they represent the broad categories of work that ICANN org conducts in fulfillment of its mission, and express the functional activities at a high level.

FIVE SERVICE GROUPS:

TECHNICAL & DNS SECURITY

POLICY DEVELOPMENT & IMPLEMENTATION SUPPORT

COMMUNITY ENGAGEMENT & SERVICES

ICANN ORG GOVERNANCE

ICANN ORG SHARED SERVICES



● Functional Activities

FY21

Technical & DNS Security

- Office of the Chief Technology Officer
- ICANN Managed Root Server
- Internationalized Domain Names and Universal Acceptance
- IANA Functions
- Contractual Compliance

Technical & DNS Security

Office of the Chief Technology Officer

PURPOSE

ICANN org's Office of Chief Technology Officer (OCTO) aims to constantly improve knowledge about the identifiers ICANN helps coordinate, disseminate this information to the Internet community, improve the technical operation of the Internet's system of unique identifiers, and improve ICANN's technological stature.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Support the evolution of the Root Server System.
- Lead: Facilitate DNS ecosystem improvements.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Support: Through targeted engagement improve Governments and Intergovernmental Organizations (IGOs) engagement and participation in ICANN
- Support: Monitor legislation, regulation, norms, principles, and initiatives in collaboration with others that may impact the ICANN mission.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.
- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.

Technical & DNS Security

Office of the Chief Technology Officer, Cont'd.

- The inherent security of the DNS and unique identifiers system measurably increases, due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders.
- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Security threats leveraging the DNS measurably decline as a result of encouraging relevant hardware, software, and service vendors to incorporate key security measures.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.
- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.

ACTIVITIES

- **External Operations:** Activities that have an external impact, such as creating the DNS Security Facilitation Center and prototyping the Emergency Warning System.
- **Technical Engagement and Outreach:**
 - Support and provide training, engagement, and outreach to the technical community on current and upcoming technologies.
 - Support other ICANN org teams such as Global Stakeholder Engagement and Government Engagement.
- **Research:** Activities centered around the analysis of the impact of new and existing technologies to the Internet's unique identifier systems as well as the investigation of new technologies and how they may impact the unique identifier ecosystem.

Technical & DNS Security

Office of the Chief Technology Officer, Cont'd.

- **Reporting:**

- Providing tools and platforms in which to report on various aspects of the unique identifier ecosystem, such as Domain Abuse Activity Reporting (DAAR) and Identifier Technologies Health Indicators (ITHI).
- Leading or supporting other work such as the Registrar Audit Study or verifying ICANN's contracted parties are meeting their contractual obligations related to IPv6 deployment.

- **Internal Operations:**

- Activities that have an internal impact or recurring activities, such as support for the Action Request Register (ARR) and implementation of recommendations from Specific Reviews and policy development processes.
- Collaboratively working with ICANN's Public Responsibility Support team on online learning development.
- Project management.
- Team meetings and planning.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the fiscal year for this functional activity:

- **External Operations:** Much of the progress and milestones will be tracked via the operating initiatives, such as:

- The progression of recommendations within the Root Server System Advisory Committee document RSSAC037 "A Proposed Governance Model for the DNS Root Server System" and RSSAC038 "RSSAC Advisory on a Proposed Governance Model for the DNS Root Server System," both published on 15 June 2018.
- Formalization of the Special Interest Forum on Technology (SIFT) program.
- Establishing community agreement on the DNS Security Facilitation Center
- Root Key Signing Key Roll.
- Items related to root zone availability service being deployed.

Technical & DNS Security

Office of the Chief Technology Officer, Cont'd.

- **Technical Engagement and Outreach:**
 - More DNS resolver developers enabling hyperlocal technology.
- **Reporting:**
 - Data or reports published such as DAAR and ITHI reporting, publication of technical papers, etc.
 - Implement data collection and gathering for various statistical analyses.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Office of the Chief Technology Officer	21	\$5.9	\$2.5	\$8.4

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Bandwidth constraints or competing demands on the available personnel resources due to the resource acting as a subject matter expert for internal and community efforts.
- Assumptions regarding community interest in security and stability could be reduced, which may cause a reprioritization of personnel time and effort.
- Community appetite for technical outreach, training, and engagement is strong but this could change, which may lead to a reprioritization. ■

Technical & DNS Security

ICANN Managed Root Server

PURPOSE

Through the ICANN Managed Root Server (IMRS) program, ICANN org provides trusted technical expertise and solutions to support the global Internet by building and maintaining a sustainable, stable, and resilient root server that is able to respond to identified and vetted technical needs.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.
- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.

ACTIVITIES

- Deliver and maintain a highly secure, stable, and resilient root server.
- Respond to defined strategic initiatives and vetted community expectations of the Root Server System.
- Maintain a low total cost of operations while building capacity, good engineering practices, and RSS community engagement.

Technical & DNS Security

ICANN Managed Root Server, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the five-year period for this functional activity:

- Tracking the number of ICANN Managed Root Server (IMRS) instances deployed every 12 months.
- Tracking the number of IMRS service outages every 12 months.
- Financial: measuring actual expenses against planned budget.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
ICANN Managed Root Server	10	\$1.8	\$1.5	\$3.3

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Hiring and retaining expert-level personnel continues to be challenging in the current economic climate.
- Personnel may leave if career development or clear paths to promotion are not implemented. ■

Technical & DNS Security

Internationalized Domain Names and Universal Acceptance

PURPOSE

This functional activity supports community-based work and leads internal work for Internationalized Domain Names and Universal Acceptance (UA) efforts.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Universal Acceptance

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN engages in greater cooperation locally, regionally, and globally with stakeholder groups and policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.

ACTIVITIES

- Support policy development work on Internationalized Domain Names (IDNs), including IDN variant top-level domains, by ccNSO and GSNO.
- Support the development of Root Zone Label Generation Rules (RZ-LGR) for Chinese, Greek, Japanese, Korean, Latin, and Myanmar scripts.
- Support the community-based UA working groups on technology, Email Address Internationalization, communications, and measurements as well as its local initiatives in different countries to promote UA readiness.
- Support UA working groups in ALAC and GAC, as needed.
- Develop and undertake training and UA-related communications in collaboration with the community.

Technical & DNS Security

Internationalized Domain Names and Universal Acceptance, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones will occur in FY21:

- A baseline metric for measuring UA readiness is published.
- Local initiatives are undertaking training on how to make technology and email services UA-ready in different countries with the support of ICANN org.
- RZ-LGR version 4 is published with Chinese, Latin, and Myanmar scripts.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Internationalized Domain Names and Universal Acceptance	2	\$0.3	\$1.3	\$1.6

\$ in Millions

CONSIDERATIONS

Work on UA is based on influencing the technology developers and policymakers, who may also be motivated by additional considerations. This may impact advancement in this functional activity. ■

Technical & DNS Security

IANA Functions

PURPOSE

The IANA functions' purpose is to assign unique identifiers for the Internet in accordance with relevant policies and to be the registry of record for those allocations. This is administered through contracts covering domain names, number resources, and protocol parameters with their respective communities.

ICANN's affiliate Public Technical Identifiers (PTI) performs these functions on behalf of ICANN, delivering services within service level agreements defined in the contracts. PTI has a separate operating plan and budget process through the PTI Board of Directors. Read the [Draft FY21 PTI and IANA Operating Plans and Budgets](#).

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Root Zone Management Evolution.
- Support: Support the evolution of the Root Server System.
- Support: Facilitate DNS ecosystem improvements.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Universal Acceptance.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.
- ICANN collaborates with relevant parties and effectively leverages partnerships in the IETF, Regional Internet Registries, and naming communities to develop and integrate new technologies with existing Internet protocol structures, including the DNS.
- ICANN org continues to provide reliable delivery and continuous improvement of the IANA functions, consistent with community service level agreements.
- ICANN promotes and supports awareness of the IANA functions, including among stakeholders, to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.

Technical & DNS Security

IANA Functions, Cont'd.

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- ICANN engages in greater cooperation locally, regionally, and globally, with stakeholder groups and different policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- New stakeholder services are defined, delivered, and effectively supported.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.
- IPv6 usage measurably increases.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.

ACTIVITIES

- **Operations.**
 - Process requests from customers per service level agreements in contracts.
 - Meet contractual obligations with the Internet Engineering Task Force (IETF), Regional Internet Registries, and naming communities.
 - Engage with IANA stakeholders through community event attendance, IETF helpdesk, webinars, and ICANN Public Meeting sessions.
 - Continue to support the PTI Board.

Technical & DNS Security

IANA Functions, Cont'd.

- **Operational Improvement.**

- Service Organizational Control 2 (SOC2) and SOC3 Information Security Audits.
- Operational Excellence: Qualitative assessments, process review cycles, and customer feedback surveys.
- Project management.

△ Implement new business processes to support system changes (enhancements to RZMS and evolved Registry Workflow Systems).

△ Continue to evaluate customer feedback to drive improvements.

△ Evaluate ongoing personnel skill requirements following implementation of significant system changes.

- **System Enhancements.**

- Release of the next major version of RZMS and plan future versions of the system.
- Continue to enhance the Registry Workflow System.

- **Cryptographic Business Operations.**

- Evaluating, planning and implementing enhancements to the root zone key management facility (KMF) and the related security system setup for DNSSEC in the root zone.
- Performing four key signing ceremonies per year. This work includes:
 - Reviewing and revising the policy and procedures documents.
 - Selecting Trusted Community Representatives for each of the ceremonies.
 - Updating ceremony scripts and other administrative tasks related to signing of the root zone.
- Root Zone DNSSEC Management Enhancements.
 - Asset inventory control system for Key Signing Key (KSK) management.
 - Next generation cryptographic key exchange platform.

Technical & DNS Security

IANA Functions, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following milestones will be met:

- Launch of the next major version of RZMS.
- Launch of Registry Workflow Systems.
- PTI Four-Year Strategic Plan adopted by PTI Board.
- Meet all contractual deliverables.
- SOC2 Audit Report issued and delivered to stakeholders.
- Exception-free SOC3 Audit Report published.
- Key Signing Key Ceremonies performed in compliance with the DNSSEC Practice Statement (DPS).
- Root Zone Key Management Facilities Upgrades completed in U.S. East and West regions.

Metrics include:

- Performance service level agreements.
- Customer satisfaction through surveys.
- Audit Control Matrix.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
IANA Functions	16	\$3.0	\$1.5	\$4.5

\$ in Millions

Technical & DNS Security

IANA Functions, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Ongoing customer satisfaction relies on evolution of IANA systems. Meeting growing customer volume while adhering to SLAs is dependent on increasing advancement of the systems, and customer expectations on the level of sophistication in those systems grows over time.
- Losing personnel can significantly impact the function. Most roles in team lack redundancy and filling positions quickly when personnel depart has often proved challenging. ■

Technical & DNS Security

Contractual Compliance

PURPOSE

The Contractual Compliance functional activity ensures that ICANN's contracted parties (registries and registrars) demonstrate and are held in compliance with the applicable agreements and consensus policies.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.

ACTIVITIES

- Conduct monitoring, outreach, and audits to proactively ensure contracted parties are in compliance with agreements.
- Receive, analyze, respond, and resolve complaints regarding potential compliance issues with contracted parties.
- Support policy development processes (PDPs), Organizational and Specific Reviews, the Registrar Accreditation Agreement (RAA), and Registry Agreement (RA) contracting process by providing input from the contractual compliance perspective. Implement recommendations arising from Specific Reviews and PDPs as necessary and appropriate.
- To enhance operational excellence, the Contractual Compliance team plans to improve business operations, methods, and processes, including looking to increase automation in FY21.
- The team also plans to reduce professional services by migrating to the Naming Services Portal, as well as increasing headcount to support Contractual Compliance audit and reporting activities.

Technical & DNS Security

Contractual Compliance, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used in FY21 for this functional activity:

- Number of low-complexity complaints processed.
- Number of high-complexity complaints processed.
- Turn-around time for processing low-complexity complaints.
- Closure rate of high-complexity complaints processed.
- The number of elevated-risk registrars or top-level domain operators audited.
- High-risk issues mitigated through audit.
- Contracted parties and reporter satisfaction level measured via perception survey.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Contractual Compliance and Consumer Safeguards	26	\$3.9	\$0.8	\$4.8

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Successful execution of recurring activities depends on hiring and training for five backfill positions.
- Opportunities to reduce spending depends on timely and successful migration to Naming Services Portal (NSp) Compliance ticketing platform.
- Cross-functional work related to supporting reviews and policy development reduces Contractual Compliance resources available to execute core functions.
- Unknown impact on volume, type and complexity of complaints submitted to compliance as a result of unknown RDS obligations. ■

● Functional Activities

FY21

Policy Development & Implementation Support

- Policy Development and Advice
- Policy Research
- Contracted Parties Services Operations
- Technical Services
- Global Domains Division Strategic Programs
- Constituent and Stakeholder Travel

Policy Development & Implementation Support

Policy Development and Advice

PURPOSE

The Policy Development Support functional activity facilitates the policy development and advisory work of the ICANN community. It provides process management, subject matter expertise, and administrative and professional secretariat support to ICANN's Supporting Organizations (SOs), Advisory Committees (ACs), and other community structures recognized under the Bylaws.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Lead: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes, and committed to cooperating in global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and personnel equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.
- The ICANN community establishes mechanisms, such as an accurate measure of community participation, to equitably distribute workload among the pool of stakeholder representatives.
- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process 3.0 (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time and that ICANN priorities reflect the community's collective needs.

ACTIVITIES

In FY21, activities for this functional activity will include:

- Implementation of Board-approved recommendations from recently concluded SO and AC reviews as well as Board-approved recommendations from the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2.
- Collaborate with other departments on planning for any community work that may be agreed on and needed for next steps on the Evolving the Multistakeholder Model project (See [Appendix C](#) for more information on this project).
- Support community leaders in collaborative work across the SOs and ACs and with ICANN org.
- Support GNSO policy projects and activities, such as major policy development processes and implementation of GNSO PDP 3.0 improvements.
- Support ccNSO policy projects and activities, such as the PDP on retirement of ccTLDs and review mechanism pertaining to decisions on delegation, transfer, revocation, and retirement of ccTLDs.
- Support the ACs' policy advice development.

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

- Work on Root Server Security Advisory Committee (RSSAC) Advice about restructuring governance of the root server system.
- Work on Security and Stability Advisory Committee (SSAC) Name Collision Analysis Project.
- Organize and manage intersessional meetings for community structures, working groups and management and leadership teams to accelerate progress of work.
- Continue work on changes to Decisional Participants' processes to exercise Empowered Community powers.
- Support Address Supporting Organization (ASO) integration work on its role under the ICANN Bylaws.
- Continue migration to ICANN org Customer Relationship Management platform, including completion of new working group enrollment portal.
- Work with ICANN org Meetings and Board Operations teams on improvements to ICANN Public Meeting planning.
- Launch improvements to Multistakeholder Ethos Award process and Community Recognition Program.
- Manage community consultations and tools for communications between ICANN org, Board, and community.
- Provide drafting and facilitation support for changes to community group governance processes and community-wide guidelines.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Policy Advice and Development	35	\$5.3	\$1.7	\$6.9

\$ in Millions

Policy Development & Implementation Support

Policy Development and Advice, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Community expectations for facilitation and other support from the Policy Development Support department must be balanced with robust discussions of costs and benefits. There is a connection between personnel levels and the ability to provide support to existing policy development work, especially given the potential launch of new PDPs within this fiscal year.
- Generally, extended operations by the Policy Development Support team below the 35 FTE level run the risk of:
 - Lower levels of service to the community and regional disparities.
 - Delayed policy and advisory outputs.
 - Community frustration and loss of active participants.
 - Potential team member burnout.
- Cuts or no growth to the Policy Development Support budget may signal to the community:
 - A potential deprioritization of policy activities integral to ICANN's mission.
 - De-emphasis of support for community operations central to ICANN governance processes.
 - Lack of organizational support for efforts to ensure global, diverse volunteer participation that provides legitimacy to ICANN's multistakeholder model.
- Need to ensure that the introduction of new technological tools as well as platform changes are orderly and well-planned, and that community training and transition needs are accounted for.
- Traditional difficulty in engaging the community in prioritization exercises; lack of tools to engage in meaningful and effective prioritization.
- Lack of academic-quality policy research despite having qualified personnel, due to workload issues and inconsistent community expectations.
- Limited data collection to date means that data-driven policy work has been difficult and time consuming, and that decision-making is done without reference to specific data or other factual evidence. ■

Policy Development & Implementation Support

Policy Research

PURPOSE

The Policy Research functional activity supports implementation of consensus policy recommendations as well as relevant review team recommendations and advice developed in the stakeholder community. This function also includes execution of data, research, and study project requests from internal and external stakeholders, and coordinating issue resolution within the Global Domains Division.

Activities in FY21 are primarily expected to support implementation work for the Competition, Consumer Trust, and Consumer Choice Review Team (CCT-RT) recommendations on data collection, Phases 1 and 2 of the [Temporary Specification for gTLD Registration Data Expedited Policy Development Process Team](#) (EPDP), and the anticipated policy recommendations from the New gTLD Subsequent Procedures PDP.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Promote and sustain a competitive environment in the Domain Name System.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- New gTLD awareness increases, as measured in surveys of Internet users.
- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and the availability of measures to support sustained operations of new gTLDs in the namespace.

Policy Development & Implementation Support

Policy Research, Cont'd.

ACTIVITIES

- Supporting research and study requests from stakeholder community.
 - Providing subject matter support to internal and external stakeholders.
 - Coordinating implementation and review of consensus policies developed through the GNSO Council.
 - Implementing relevant recommendations from Specific Review teams.
 - Overall management and oversight of all RDS/WHOIS-related activities for GDD.
 - Implement Board-adopted RDS/WHOIS2 Review Team recommendations.
 - Manage and coordinate the implementation of Board-adopted Expedited Policy Development Process (EPDP) on Temporary Specification for gTLD Registration Policy Phase 1 recommendations and EPDP Phase 2 recommendations.
- △ Developing data functions model for the organization.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones will be used to track progress on the data model:

- Model definition.
- Model implementation plan.
- Model implementation.
- Function launch.

The timing of these milestones depends on community comment (to close in December 2019), Board consideration and direction.

The following milestones will be used to track progress related to the New gTLD Subsequent Procedures Policy Development Process:

- Completion of GNSO policy recommendations by PDP WG (targeted Q2 in 2020 calendar year).
- Board consideration of GNSO policy recommendations.
- Formation of the Implementation Review Team (IRT).
- Public Comment period on draft implementation plan.

The timing of these milestones depends on community comment and Board consideration and direction.

Policy Development & Implementation Support

Policy Research, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Policy Research	4	\$0.7	\$0.5	\$1.2

\$ in Millions

CONSIDERATIONS

- Timing and resolution of CCT-RT pending recommendations is expected in FY20; however, outcomes and priorities for resource allocation are unknown.
- A defined set of prerequisites to subsequent New gTLD Program rounds has not been agreed on in the community. ■

Policy Development & Implementation Support

Contracted Parties Services Operations

PURPOSE

Contracted Parties Services Operations delivers and evolves defined, high quality, repeatable services and processes to applicants and contracted parties in a timely, consistent, and predictable manner. ICANN org's Global Implementation team leads the transformation of a program or service from concept to reality, taking point on service delivery development, and preparation activities.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- New stakeholder services are defined, delivered, and effectively supported.

ACTIVITIES

- Process contracted party service requests.
- Manage contracted party contracts.
- Facilitate execution of contracted party agreements.
- Generate and execute contract amendments as a result of service requests.
- Process agreement terminations.
- Manage registrar application and evaluation process.
- Monitor conditions required by contracted party agreements and execute outbound communications to facilitate contracted party compliance with agreements.
- Manage procurement, negotiation, contracting, onboarding, and oversee accountability of vendors that provide contracted party capabilities and evaluation functions needed to process service requests.
- Develop business systems requirements and provide management functions for GDD operations platforms.

Policy Development & Implementation Support

Contracted Parties Services Operations, Cont'd.

- Manage Action Request Register (ARR) functions for Correspondence and Advice to the Board.
- Deliver WHOIS ARS functions when and if unpaused.
- Support all New gTLD Program services and functions for remaining applicants of the 2012 round:
 - Application Processing (evaluation, objections, contention resolution, application change requests, etc.).
 - Contracting (Registry Agreement execution, Specification 13, and Code of Conduct Exemption Amendments).
 - Predelegation activities (predelegation testing, onboarding, and transition to delegation).
 - Vendor management of new gTLD services including service development and contract renewals.
 - Support GDD initiatives and projects related to the New gTLD Program.
 - Support for ICANN org's Legal team on New gTLD Program-related Accountability Mechanisms and litigation.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following milestones will be used over the fiscal year for this functional activity:

- Service Level Targets will continue to be monitored and modified as per operational needs.
- Reporting of service delivery against Service Level Targets will continue.
- Transactional reporting of Service Level Targets.
- Monitor contracted party transactional survey responses.

Policy Development & Implementation Support

Contracted Parties Services Operations, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Contracted Parties Services Operations	21	\$4.6	\$5.0	\$9.6

\$ in Millions

CONSIDERATIONS

- GDD operations resources are in high demand both internally and outside the organization. Providing development opportunities and career growth to retain personnel is critical to successful ongoing operations.
- New gTLD Program support activities are currently projected to run through FY24. Changes to that timeline would impact resources and activities.
- Changes to service strategy and objectives could impact the service delivery approach in several key areas such as Registry Services Testing (RST) and data escrow.
- Accountability Mechanisms and litigation pertaining to the New gTLD Program typically require significant and unplanned support from the team and may require significant expenditure of resources to manage. ■

Policy Development & Implementation Support

Technical Services

PURPOSE

The Technical Services functional activity provides technical knowledge and data regarding domain name space inside ICANN org, working to maintain the security and stability of the Domain Name System.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.

ACTIVITIES

- Support projects related to a unified model for access to domain registration data.
- Technical compliance monitoring for gTLDs.
- Service Level Agreement monitoring for gTLDs updates.
- Monitoring System API for gTLDs updates.
- RDAP response validation tool for gTLDs development.

▲ Add new system to maintain: RDAP response validation tool for gTLDs.

HOW PROGRESS IS TRACKED

- Deliver RDAP response validation tool for gTLDs.
- Enhance Technical Compliance Monitoring system.
- Enhance service level agreements and monitoring system API.

Policy Development & Implementation Support

Technical Services, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Technical Services	5	\$1.2	\$0.2	\$1.4

\$ in Millions

CONSIDERATIONS

- One additional personnel will be required to support implementation of the Expedited Policy Development Process for Temporary Specification for gTLD Registration Data (EPDP) Phase 2 recommendations. ■

Policy Development & Implementation Support

Global Domains Division Strategic Programs

PURPOSE

The Global Domains Division Strategic Programs functional activity manages and supports cross-functional work on programs and projects in support of the division's goals and objectives.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Promote and sustain a competitive environment in the Domain Name System.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and availability of measures to support sustained operations of new gTLDs in namespace.
- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.

Policy Development & Implementation Support

Global Domains Division Strategic Programs, Cont'd.

ACTIVITIES

- Subsequent Procedures for New gTLDs.
 - Support for the implementation of recommendations developed through the New gTLD Subsequent Procedures Policy Development Process when adopted by the Board.
- Registrant program.
 - Development of materials to educate registrants about their rights and responsibilities as well as their roles within the DNS.
 - Raise awareness about issues and challenges impacting registrants.
 - Ensure that registrants' perspectives are represented in ICANN org's work when implementing policies and services.
- Registration Directory Services (RDS) and WHOIS.
- Support RDS- and WHOIS-related activities for GDD.
 - Support implementation of RDS and WHOIS2 Review Team recommendations when adopted by the Board.
 - Continued support for the implementation of Expedited Policy Development Process (EPDP) on Temporary Specification for gTLD Registration Policy Phase 1 recommendations and of EPDP Phase 2 recommendations when adopted by the Board.
 - Evolve and enhance the ICANN look-up tool.
 - Migrate whois.icann.org to icann.org.
- IANA-related activities.
 - Support the first IANA Naming Function Review through completion and implement Board-adopted recommendations.
 - Support contract renewals.
 - Support the Customer Service Committee (CSC), including ongoing activities and the next CSC effectiveness review.

Policy Development & Implementation Support

Global Domains Division Strategic Programs, Cont'd.

HOW PROGRESS IS TRACKED

For IANA Naming Function Review:

- Publication of Initial Report.
- Publication of Final Report.
- Board action on recommendations.
- Completion of implementation activities.

For CSC:

- Regular monthly reporting.
- Fulfillment of charter requirements.
- Convening of review team.
- Publication of Initial Report.
- Publication of Final Report.
- Implementation of recommended changes.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Global Domains Division Strategic Programs	8	\$2.0	\$0.4	\$2.4

\$ in Millions

CONSIDERATIONS

Activities related to recommendations from the New gTLD Subsequent Procedures Policy Development Process are expected to be a major effort in FY21. Ongoing project planning will inform when additional resources are necessary to support required activities in this time period. ■

Policy Development & Implementation Support

Constituent and Stakeholder Travel

PURPOSE

The purpose of Constituent and Stakeholder Travel is to provide travel support for community members selected through appropriate processes and broaden participation in ICANN's processes.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

ACTIVITIES

- Provide travel support for community members selected through appropriate processes following Travel Support Guidelines.

Policy Development & Implementation Support

Constituent and Stakeholder Travel, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the fiscal year for this functional activity:

- Publication of reports following each ICANN Public Meeting with details of travel support provided.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Constituent and Stakeholder Travel	0	\$0.0	\$2.4	\$2.4

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Allocating limited travel funding among ICANN community members requires prioritization.
- Advance planning is needed to ensure cost-effective pricing. ■

● Functional Activities

FY21

Community Engagement & Services

- Global Stakeholder Engagement
- Regional Offices
- Public Responsibility Support
- Government and Intergovernmental Organization Engagement
- gTLD Accounts and Services
- Consumer Safeguards
- Global Communications and Language Services
- Global Meetings Operations
- Ombudsman

Community Engagement & Services

Global Stakeholder Engagement

PURPOSE

ICANN org's Global Stakeholder Engagement (GSE) team leads engagement and outreach around the world with stakeholders about ICANN and its mission. Through local coverage in eight regions, the team is a point of contact for ICANN org and the ICANN community. Its purpose is:

- Raising awareness and understanding of ICANN's role and remit.
- Encouraging participation in ICANN policy development and technical activities.
- Enhancing ICANN org's operating model across all regional offices and ensuring alignment of regional engagement efforts with ICANN org strategic and operational priorities.

OPERATING INITIATIVE CONTRIBUTIONS

As GSE's role is to lead engagement and outreach for ICANN org, it provides direct and indirect support to many of the operating initiatives which have outreach components that contribute to success.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of GSE function, all strategic goals' targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Examine ICANN org's use of feedback mechanisms to foster regular and interactive regional community discussion of ICANN issues in the regions.
- Capacity development to increase understanding of ICANN's mission and to diversify participation in ICANN's core activities.
- Build partnerships and relationships related to capacity development with regional and local stakeholders.

Community Engagement & Services

Global Stakeholder Engagement, Cont'd.

- In FY21, GSE will continue to extend its engagement measurement and planning function and its use of a Customer Relationship Management (CRM) platform for managing its engagement activity, community contacts, trip reports, cases and memorandums of Understanding with outside organizations.
- Ongoing cross-functional regional engagement related to technical and policy work, participation in relevant national and regional discussions, and delivery of regional engagement strategies.
- Engagement measurement, planning, and administration.
- Support cross-organizational prioritization to deliver on needs for international office strategy.
- Ongoing implementation adopted by the Board of engagement activities related to Specific and Organizational Reviews' implementation, community work on New gTLD Subsequent Procedures Policy Development Process recommendations, and support of initiatives in OCTO, Government Engagement and the Global Domains Division.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following metrics will be tracked and milestones will be met:

- Update and alignment of regional engagement strategies with the Strategic Plan.
- Data on ICANN's geographical presence and services to regional stakeholders.
- Number of capacity development and training events, as well as analysis of community feedback.
- Incorporation of stakeholder journeys data into ICANN org's Open Data Program.
- Metrics related to cross-functional work on DNS ecosystem security, DNSSEC deployment, Universal Acceptance, and ICANN Managed Root Server instances.
- Engagement reporting for Competition, Consumer Trust, and Consumer Choice (CCT) Review and Registration Directory Service (RDS/WHOIS2) Review Team recommendations adopted by the Board for implementation.
- Support of community prioritization effort at regional level to participate in Public Comment periods.
- DNSSEC statistics from regional trainings and local adoption levels by top-level domains, Internet service providers, and others.

Community Engagement & Services

Global Stakeholder Engagement, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Global Stakeholder Engagement	32	\$6.3	\$1.8	\$8.2

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for GSE and may impact its advancement in FY21:

- Demand for GSE team support continues to increase across ICANN org functions.
- The GSE team has been largely stable over time but succession planning, ongoing professional development, and cross-functional training opportunities must be implemented for personnel retention.
- The engagement work needed to support a potential next round of gTLDs and to implement reviews' recommendations will be significant. Budget and personnel resources will be required.
- GSE team members have improved their ability to speak more effectively for ICANN org on DNS and DNSSEC, DNS abuse and misuse, IPv6 and other technical topics. OCTO also plans to add technical engagement personnel. ■

Community Engagement & Services

Regional Offices

ICANN has regional offices in Brussels, Belgium; Istanbul, Turkey; Montevideo, Uruguay, and Singapore.

PURPOSE

The primary purpose of the regional offices is stakeholder engagement. Besides bringing ICANN's functions closer to stakeholders, the offices facilitate the functions housed in the region to achieve the goals set out in the Strategic Plan.

OPERATING INITIATIVE CONTRIBUTIONS

As each regional office leads stakeholder engagement in its region and collaborates with other ICANN functions at a regional level, each regional office directly or indirectly supports all operating initiatives.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Effective regional stakeholder engagement underpins the success of many of targeted outcomes in the strategic plan and reflects the regional offices' ongoing collaboration with other ICANN functions.

ACTIVITIES

The FY21 activities of the regional offices encompass recurring work related to the functions located in each office and are not listed here. Major activities undertaken by GSE personnel in the regional offices in FY21 include:

- Identify cross-functional goals based on the Strategic Plan, and facilitate collaboration to achieve these goals.
- Update regional engagement strategies to reflect major developments in the Strategic Plan, particularly in relation to technical and government engagement.

Community Engagement & Services

Regional Offices, Cont'd.

- Continue to identify and address internal and external issues, needs and demand across the region, facilitate collaboration, or request for resource support from the Executive Team to address them.
 - Develop a system for the collection and analysis of metrics to measure progress and success in regional and functional participation in the ICANN community, as well as Accountability Indicators concerning trust in ICANN.
 - Identify engagement gaps in the region, facilitate collaboration, or request resource support to address gaps.
- ▲ If the community process recommends a new round of new gTLDs, develop region-specific plans for promoting the program.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, key measures for the regional offices are:

- Development of documents to track goals and targeted outcomes of cross-functional work by region.
- Incorporation of regional issues, engagement gaps, and needs into org-wide Customer Relationship Management (CRM) platform.
- Development of tailored plans for European legislation tracking and technical engagement.
- Development of a People Development Plan for the European region that includes tailored personal growth and training goals for personnel.

RESOURCES

The administrative costs of running each regional office can be found in the ICANN Offices functional activity section in this document.

Community Engagement & Services

Regional Offices, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for the success of the regional offices and may impact their progression:

- Work depends on other departments, who may have other priorities.
- Functional teams should have region-specific plans and goals in place.
- Full deployment of an org-wide Customer Relationship Management (CRM) platform in FY21.
- Allocation of adequate budget for Global Stakeholder Engagement personnel and regional support.
- Willingness of the community to use the regional offices for ICANN-supported face-to-face meetings. ■

Community Engagement & Services

Public Responsibility Support

PURPOSE

The Public Responsibility Support (PRS) team provides the community with the necessary support and tools to carry out public responsibility activities that support ICANN’s mission. Increasing diversity and lowering barriers to participation at ICANN is central to these efforts.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Implement New gTLD auction proceeds recommendations as approved by Board.
- Support: Facilitate DNS ecosystem improvements.
- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Evolve and strengthen the ICANN community’s decision-making processes to ensure efficient and effective policymaking.
- Support: Through targeted engagement improve Governments and Intergovernmental Organizations (IGOs) engagement and participation in ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN’s mission and Bylaws.
- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and personnel equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.

Community Engagement & Services

Public Responsibility Support, Cont'd.

- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.
- ICANN prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.

ACTIVITIES

- Lead research and expertise: Support for public responsibility initiatives within ICANN's remit in the areas of diversity, human rights, anti-harassment, public interest, and continue to support pre-implantation coordination efforts of New gTLD Auction Proceeds recommendations.
- Lead diversity programs: Fellowship Program, NextGen@ICANN, Newcomer Day at ICANN Public Meetings, and Newcomer portal on icann.org, and the ICANN Community Childcare Grants Pilot.
- Lead and support capacity development initiatives: ICANN Learn, Leadership Program, Charing Skills Program, and the ICANN History Project.
- Continue to leverage ICANN Learn for capacity development.
- △ Identify and deliver effective anti-harassment training opportunities across the ICANN community.
- △ Community to decide whether the proposed public interest framework can be used to demonstrate how specific recommendations, advice, and public comments are in the global public interest.
- △ Implement changes to the NextGen@ICANN program based on input from FY20 community consultation.
- △ Start to phase out ICANN History Project activities.
- △ Evaluate the ICANN Community Childcare Grants Pilot and determine whether the program will continue as a recurring activity.

Community Engagement & Services

Public Responsibility Support, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following milestones will be met:

- Research and expertise:
 - New gTLD Auction Proceeds: Continue to support coordination efforts leading up to Board approval of recommendations.
 - Identify and deliver anti-harassment training opportunities across the ICANN community.
- Diversity programs:
 - ICANN Community Childcare Grants Pilot will be evaluated to determine whether the program will continue as a recurring activity.
 - Implement new NextGen application system.
 - Fellowship and NextGen:
 - Number of participants by region and sector.
 - Number of pen holders on policy reports and documents.
 - Number of mailing list contributors.
 - Number of public comment contributors.
 - Number of alumni in leadership positions.
- Capacity development initiatives:
 - Start to phase out ICANN History Project work.
 - Continue to leverage ICANN Learn for capacity development.
 - Online Learn:
 - Number of active users.
 - Number of new courses.
 - Number of multilingual courses.

Community Engagement & Services

Public Responsibility Support, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Public Responsibility Support	7	\$0.9	\$0.8	\$1.7

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Work depends on clear community and organizational public responsibility priorities and cross-functional collaboration.
- Reputational risk may arise from failure to provide sufficient transparency and ability to demonstrate impact and return on investment of programs. This includes failure to support educated and informed stakeholders and a perceived lack of diversity in PRS programs.
- Continued improvement to PRS operations is needed, increasing transparency and responsiveness to the community.
- ICANN Learn should be leveraged to improve scalability of capacity development efforts.
- Reduce barriers to participation in ICANN by improving the newcomer experience.
- Successful implementation of New gTLD Auction Proceeds recommendations, the costs of which will be funded out of the auction proceeds and not ICANN’s operational budget. ■

Community Engagement & Services

Government and Intergovernmental Organization Engagement

PURPOSE

ICANN org's Government and Intergovernmental Organization Engagement (GE) team is responsible for outreach and engagement with national and regional governments and intergovernmental organizations to protect the remit and mandate of ICANN.

The GE team acts as a central point of contact to help government entities understand technology and its role in the problems they are seeking to solve. The GE team's goal in engagement is to provide information to make governments aware of or mitigate the sometimes unintended consequences of government action on areas within ICANN's remit or impacting policies developed through ICANN's multistakeholder processes. The GE team specifically provides information about the global Domain Name System.

GE works with the Governmental Advisory Committee as the constituency that is the home of governments and intergovernmental organizations (IGOs) within ICANN. GE also represents the mission of ICANN org with government ministries and IGOs.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Lead: Through targeted engagement, engagement and participation with ICANN by governments and intergovernmental organizations (IGOs).
- Lead: Monitor legislation, regulation, norms, principles, and initiatives that may impact the ICANN mission in collaboration with others.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN is engaged, its role acknowledged, and its presence valued in the arenas where topics within its remit are discussed.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission and the effect of various regulatory and other proposals on the Internet ecosystem.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.
- ICANN org continues to develop and mature systems to detect and monitor legislative initiatives and other governmental or intergovernmental actions that could impact ICANN's mission or operations.
- ICANN org proactively engages with the community to develop common awareness of ICANN's contribution to early warning systems.
- The inherent security of the DNS and unique identifiers system measurably increases, due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders. This includes awareness-raising related to DNS ecosystem security.
- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Decision-making processes ensure that input from all stakeholders is considered.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant governmental organizations and institutions through supporting Communications team and helping to educate and inform relevant organizations.
- ICANN org fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge building about ICANN and its mission continues.

ACTIVITIES

- Assessment of risks to ICANN org due to legislative or regulatory activity or through global action by IGOs.
- Facilitation of global, regional, and national government engagement strategies reflecting geopolitical changes and the changes in the Strategic Plan.
- Ongoing cross-functional regional engagement related to technical and policy work as well as participation in relevant national and regional discussions.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

- Capacity development.
- Support cross-organizational collaboration for legislative tracking, government engagement, operational and strategic planning, and other functions.
- Review and revision of the global government and IGO engagement strategies to align with the Strategic Plan, which expands the number of strategic objectives with engagement elements.

△ GE will update demand-driven government capacity-building activities against the new ICANN Strategic Plan and ensure these activities align with the new strategic objectives for ICANN org.

△ GE will evaluate the government engagement events ICANN org currently supports, determine effectiveness, and modify engagement strategy as needed.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used in FY21 for this functional activity:

- Delivery of High-Level Governmental Meeting in FY21.
- Reports and statistics on participation in outreach, technical briefings, and capacity development sessions for the GAC and through collaboration with other organizations in the ecosystem.
- Comparison of pre- and post- capacity building event surveys to measure delivery of information against expectations and information learned.
- Completed review of existing memorandums of understanding (MoUs) for continuing alignment with goals.
- Metrics related to the number of countries and intergovernmental organizations represented in the GAC and the number of countries and IGOs actively participating in GAC and ICANN policy processes.

Community Engagement & Services

Government and Intergovernmental Organization Engagement, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Government and IGOs Engagement	9	\$2.7	\$0.8	\$3.5

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Changes in the assessment of risk environment.
- Change in functional resources and team allocation. ■

Community Engagement & Services

gTLD Accounts and Services

PURPOSE

The Generic Top-level Domain (gTLD) Accounts and Services functional activity is responsible for the effective implementation of the Generic Names Supporting Organization's consensus policy and contract-related services. Its team builds and maintains relationships with the ICANN-accredited registrars, gTLD registries, and their respective stakeholder groups.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.
- Support: Promote and sustain a competitive environment in the Domain Name System.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.
- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or Strategic Plan.
- ICANN has reliable and predictable five-year funding projections, based on a sound understanding of the evolution in the domain name marketplace and realistic assumptions.
- ICANN utilizes data about the directions and trends in the market to effectively guide the organization.

Community Engagement & Services

gTLD Accounts and Services, Cont'd.

ACTIVITIES

- Continue to build and maintain relationships with ICANN’s contracted parties.
- Collect and contextualize market intelligence about the domain name industry ecosystem.
- Implement GNSO policy recommendations after adoption by the ICANN Board.
- Implement and enhance services for the contracted parties.
- Develop the annual and five-year funding forecast.
- Support the ICANN community transition from WHOIS to Registration Data Access Protocol (RDAP) for registration data directory services.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the fiscal year for this functional activity:

- Renewal of Base gTLD Registry Agreements starting in 2023.
- Implementation of adopted consensus policies.
- Survey of contracted parties.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
gTLD Accounts and Services	14	\$2.5	\$0.2	\$2.7

\$ in Millions

Community Engagement & Services

gTLD Accounts and Services, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The transition from WHOIS to RDAP depends on completion of amendments to gTLD Base Registry Agreement and 2013 Registrar Accreditation Agreement, expected in early FY21.
- Implementation of approved GNSO Council-developed policy recommendations partially depends on volunteer-based Implementation Review Team (IRTs). ■

Community Engagement & Services

Consumer Safeguards

PURPOSE

ICANN org's Consumer Safeguards team facilitates community-wide discussions to identify:

- Existing safeguards within ICANN's remit.
- Gaps in addressing DNS security threats within ICANN's remit and other issues negatively impacting DNS end users and domain name registrants.
- Potential means to address safeguard gaps and reduce DNS security threats.

The functional activity also contributes to org assessments of local and regional regulations that may impact the DNS, as well as community and broader public engagement.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.

ACTIVITIES

- Facilitate community-wide sessions at ICANN Public Meetings and in regional venues to discuss safeguard and DNS abuse topics.
- Partner with ICANN org teams in OCTO and GDD to educate contracted parties on DNS abuse issues and ways to reduce abuse.
- Engage with the public and community members on legal and regulatory efforts that may impact the DNS.

Community Engagement & Services

Consumer Safeguards, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used over the fiscal year for this functional activity:

- Number of facilitated community discussions.
- Issue papers.

RESOURCES

FY21 resources for Consumer Safeguards are found in the Contractual Compliance functional activity.

CONSIDERATIONS

The following consideration exists for this functional activity and may impact its advancement:

- Level of community interest and engagement may not be constant. There may be pressure on the Consumer Safeguards director to go beyond facilitator role to advocate in favor of a particular position or positions. ■

Community Engagement & Services

Global Communications and Language Services

PURPOSE

The primary purpose of ICANN org’s Global Communications and Language Services function is to ensure that ICANN is represented accurately and consistently in all forms of communication. This is accomplished in several ways:

- Demonstrate successes, knowledge, and thought leadership through compelling, clear, and consistent positioning.
- Continue to grow, globalize, and diversify communications efforts and channels for geographic and target-audience reach.
- Expand to and engage with new audiences by reaching outside of traditional forums.
- Leverage media and industry contacts to amplify key messages.
- Increase external understanding of and increase participation in ICANN’s policy development process and multistakeholder model.
- Explain the role of the IANA functions and ICANN’s technical remit.
- Educate internal audiences and support personnel activities.
- Facilitates access to ICANN by providing translations, interpretation, and transcription services in the six UN languages for ICANN Public Meetings and other events.

The secondary purpose is to provide communication tools to personnel and community to advance their work.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Facilitate DNS ecosystem improvements.
- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Evolve and strengthen the ICANN community’s decision-making processes to ensure efficient and effective policymaking.

Community Engagement & Services

Global Communications and Language Services, Cont'd.

- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Support: Through targeted engagement improve Governments and Intergovernmental Organizations (IGOs) engagement and participation in ICANN.
- Support: Monitor legislation, regulation, norms, principles and initiatives in collaboration with others that may impact the iCANN mission.
- Support: Implement New gTLD auction proceeds recommendations as approved by Board.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- ICANN maintains a reputation as a source of unbiased, reliable, and factual information on DNS health.
- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed upon global public interest.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant organizations and institutions.
- ICANN engages in greater cooperation locally, regionally, and globally, with stakeholder groups and different policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.
- New gTLD awareness increases, as measured in surveys of Internet users.
- ICANN promotes and supports awareness, including among stakeholders, of the IANA functions to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.

Community Engagement & Services

Global Communications and Language Services, Cont'd.

ACTIVITIES

- Support the rollout of the Strategic Plan.
- Support GDD through dedicated communications personnel.
- Inventory all external-facing communications developed through ICANN org functions and evaluate reach, effectiveness, duplication, etc., with the objective of reducing redundancy, improving reach, and streamlining content.

HOW PROGRESS IS TRACKED

The Global Communications team will utilize tools, such as social listening tools, media monitoring, and Google analytics to track content likes, retweets, shares, etc.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Communications and Language Services	27	\$4.5	\$4.4	\$8.9

\$ in Millions

Community Engagement & Services

Global Communications and Language Services, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Overall, unclear or inconsistent communications and messaging to stakeholders can negatively impact ICANN's reputation or put ICANN at legal risk.
- Advance notice of special projects or initiatives that will require communications support is key to ensuring that resources are available to provide assistance. Other functions are strongly encouraged to involve the team as early as possible.
- Promoting a shared understanding of key and current issues requires that personnel throughout ICANN org work with the Global Communications team to access accurate and consistent information on topics of interest.
- Translated materials, which are costly to produce, are not well used in some of the languages. ■

Community Engagement & Services

Global Meetings Operations

PURPOSE

Global Meetings Operations supports meetings hosted by ICANN globally. The team ensures that the selected cities, venues, meeting facilities, and services provide an environment conducive to the effective conduct of the meeting.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

ACTIVITIES

- Three ICANN Public Meetings scheduled for FY21:
 - ICANN69 Hamburg | Annual General Meeting.
 - ICANN70 Cancun | Community Forum.
 - ICANN71 The Hague | Policy Forum.
- Three Board Retreats.
- Community face-to-face meetings. (To compare, there were 75 meetings in FY19.)

Community Engagement & Services

Global Meetings Operations, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following milestone will be met:

- Continue to implement the approved cost-savings plan for three ICANN Public Meetings per year.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Global Meetings Operations	10	\$1.8	\$4.0	\$5.8

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Potential increase in the demand for smaller meetings, which will cause more work for the Meetings and Travel Support teams. ■

Community Engagement & Services

Ombudsman

PURPOSE

The Office of the Ombudsman is a neutral dispute resolution practitioner for the ICANN community. The principal function of the Ombudsman shall be to provide an independent internal evaluation of complaints by members of the ICANN community who believe that the ICANN staff, Board, or an ICANN constituent body has treated them unfairly. The Ombudsman serves as an objective advocate for fairness, and seeks to evaluate and resolve complaints about unfair or inappropriate treatment by ICANN org staff, the Board, or ICANN constituent bodies, clarifying the issues and using conflict resolution tools such as negotiation, facilitation, and “shuttle diplomacy” to achieve these results.

The Ombudsman also has a formal role in conducting a substantive review of Reconsideration Requests for the Board Accountability Mechanisms Committee. However, the Ombudsman recuses the office from such a review if the office has been previously involved in the subject matter of the Reconsideration Request.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN’s ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Continued efforts of ICANN Board, community, and org to facilitate the inclusion and participation of all stakeholders.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

The primary role of the Ombudsman includes:

- Complaint management.
- ▲ Raise awareness of expected standards of behavior and anti-harassment policies within the community, Board, and org. There is currently some awareness but action over the next fiscal year would increase visibility and activity.

Community Engagement & Services

Ombudsman, Cont'd.

- Ongoing education to empower leadership in community via ICANN Learn and providing training for community leaders to empower and educate on conflict resolution.
- Implementation of recommendations related to the Ombudsman from the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2.

HOW PROGRESS IS TRACKED

ICANN Bylaws require the Office of the Ombudsman to produce an annual report with consolidated analysis of the year’s complaints and resolutions, documentation of adherence to confidentiality obligations and concerns, as well as recommendations for steps to minimize future complaints.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Ombudsman	0	\$0.0	\$0.4	\$0.4

\$ in Millions

CONSIDERATIONS

Work Stream 2 of the Cross-Community Working Group on Enhancing ICANN Accountability issued recommendations that have been accepted by the Board, relating to the Office of the Ombudsman. This portion of the plan will be updated as the planning work continues. ■

● Functional Activities

FY21

ICANN Org Governance

- Board Activities
- Office of the President and CEO
- Governance Support
- Nominating Committee Support
- Complaints Office
- Strategic Planning and Strategic Initiatives
- Accountability Reviews

ICANN Org Governance

Board Activities

PURPOSE

The Board Activities functional activity represents the work and responsibilities of the ICANN Board of Directors. Among its duties, the ICANN Board:

- Ensures that ICANN remains at all times true to its mission, vision, commitments, and core values.
- Oversees ICANN org's performance to ensure it operates with efficiency, effectiveness, in a fiscally responsible and accountable manner, and, where practicable and not inconsistent with ICANN's other obligations under the Bylaws, in a manner that is responsive to the needs of the global Internet community.
- Oversees development and periodic revisions of ICANN's Strategic Plan and operating plan.
- Ensures that ICANN operates pursuant to the highest ethical standards, complies with applicable laws, and considers adherence to best practices in all areas of operation.
- Ensures all policy development and decision-making processes are transparent, open, reflective of the public interest and accountable to all stakeholders.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. The Board supports ICANN's ongoing, business-as-usual activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- The ICANN Board aligns its core FY21 activities with the FY21–25 Strategic Plan. At a high level the ICANN Board focuses on the following aims:
 - Strengthening the security of the Domain Name System and the DNS Root Server System.
 - Improving the effectiveness of ICANN's multistakeholder model of governance.
 - Evolving the unique identifier systems in coordination and collaboration with relevant parties to continue to serve the needs of the global Internet user base.
 - Addressing geopolitical issues impacting ICANN's mission to ensure a single and globally interoperable Internet.
 - Ensuring ICANN's long-term financial sustainability.

ICANN Org Governance

Board Activities, Cont'd.

ACTIVITIES

The ICANN Board organizes its FY21 work into five key areas of responsibilities, with a focus on community-driven activities:

- **Policy Development and Cross-Community Initiatives:**
 - Prepares for Board review and action by staying well informed of the content, priority, and timing of all policies being developed by the community.
 - Responds to Supporting Organization policy recommendations and Advisory Committee advice on a timely basis.
 - Participates and provides timely comments to cross-community working groups and initiatives.
- **ICANN org Oversight:**
 - Ensures that community-approved policies are implemented in a manner consistent with the adopted policies.
 - Oversees implementation of significant engineering projects undertaken by the ICANN org such as the Information Transparency Initiative.
 - Oversees ICANN org's efficient and effective delivery of operational services to the community.
- **Strategic and Forward Thinking:**
 - Periodic review and revision of the Strategic Plan.
 - Review and revision of the FY21–25 Operating and Financial Plan.
 - Work with the community on the work plan to improve the effectiveness of ICANN's multistakeholder model.
 - Lead brainstorming discussions on key strategic topics affecting ICANN.
- **Governance and Fiduciary Responsibilities:**
 - Develops FY21 Board Operational Priorities aligned with ICANN President and CEO's priorities to ensure greater operational efficiency and effectiveness.
 - Oversee work related to the European Union's General Data Protection Regulation.
 - Oversees ICANN's governance and accountability issues.
 - Discharges its fiduciary (legal and financial) responsibilities.

ICANN Org Governance

Board Activities, Cont'd.

- Monitors organizational risks and mitigation actions.
- Progresses the implementation and understanding of the Bylaws.
- Improves Board transparency.
- **Community Engagement and External Relationships:**
 - Outreach and engagement with the community during and in between the ICANN Public Meetings.
 - Participation in Board-community working groups.
 - Development of effective relationships with key actors in the global Internet ecosystem.

In addition, some Board activities are handled by Board Committees, which form a fundamental part of Board activities. Committees allow a smaller group of Board members to work together when a more focused approach is needed. The list of committees as well as their charters defining the scope of their duties and activities can be found here: <https://www.icann.org/resources/pages/board-committees-2018-04-13-en>.

When necessary, the Board may also establish working groups or caucus groups that are focused on a specific topic or issue. These activities are not included here.

HOW PROGRESS IS TRACKED

The ICANN Board fulfills its objectives and outcomes by directing the ICANN org to implement work. The following measures will be used over FY21:

- **Outcomes**
 - Successful implementation of the Strategic Plan.
 - Implementation of the work plan to improve the effectiveness of ICANN's multistakeholder model.
 - Strengthen DNS and DNS Root Server System security.
 - Evolution of unique identifier systems.
 - ICANN's long-term financial sustainability.

ICANN Org Governance

Board Activities, Cont'd.

- **Performance metrics**

- Timely revision of the Strategic Plan and FY21–25 Operating and Finance Plan.
- Amount of funds transferred into the Reserve Fund, per [Board resolution](#) for replenishment.
- Number of geopolitical issues impacting ICANN’s mission identified on time and successfully addressed.
- Number of additional stakeholders join ICANN globally.
- Number of effective relationships with key actors in the global Internet ecosystem established.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Board Activities	0	\$0.0	\$2.8	\$2.8

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for the ICANN Board in its activities:

- Workload and competing priorities may slow down progress in key areas of work.
- Maintaining institutional knowledge is helped if there is stability in the Board’s composition over the long-term.
- The ability to select and retain qualified and diverse Board members is dependent on factors such as available candidate pool, time commitments required, and compensation.
- Failure to identify trends impacting ICANN and subsequent adaptation of the strategic objectives could have important repercussions. ■

ICANN Org Governance

Office of the President and CEO

PURPOSE

The Office of the President and CEO provides support to the President and CEO, who has fiduciary responsibility for the organization. The goals of the President and CEO are achieved through work conducted by ICANN org.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

The Office of the President and CEO provides support to the President and CEO, thus contributing to many of ICANN's strategic goals and targeted outcomes.

ACTIVITIES

The nature of the Office of the President and CEO is to provide ongoing support to the President and CEO to enable effective management of ICANN org. No significant considerations were identified.

Activities include:

- Supporting the President and CEO as direction is provided to the Executive Team to achieve organizational goals.
- Day-to-day support to the President and CEO, including arranging travel, meetings, and other administrative tasks, so that the President and CEO can run the organization effectively.

ICANN Org Governance

Office of the President and CEO, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Office of the President and CEO	3	\$1.6	\$0.4	\$2.0

\$ in Millions

HOW PROGRESS IS TRACKED

Progress of the Office of the President and CEO is related to the progress made on the established [goals](#) of the President and CEO, which are approved by the ICANN Board. Additionally, the President and CEO and Executive Team provide [regular reports](#) to the Board and the community ahead of ICANN Public Meetings. ■

ICANN Org Governance

Governance Support

PURPOSE

The Governance Support functional activity legally safeguards ICANN org and mitigates adverse litigation and regulatory impacts to ICANN org.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Develop internal and external ethics policies.
- Support: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Facilitate DNS ecosystem improvements.
- Support: Root zone management evolution.
- Support: Evaluate, align, and facilitate improved engagement in the Internet ecosystem.
- Support: Monitor legislation, regulation, norms, principles, and initiatives in collaboration with others that may impact the ICANN mission.
- Support: Implement New gTLD Auction Proceeds CCWG recommendations.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP) 3.0 or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.

ICANN Org Governance

Governance Support, Cont'd.

ACTIVITIES

- Litigation support, such as maintaining litigation readiness, monitoring, and managing ICANN litigation matters and issues.
- General internal legal support.
- Advice to senior management.
- Contractual support, such as contract review, analysis, recommendations, risk assessments, and amendments.
- Secretarial support to ICANN Board and PTI Board, such as performing duties related to notices, meetings, corporate records, and implementation of Board and committee decisions.
- Service as Chief Data Protection Officer, with a focus on ICANN organization-level data to ensure ICANN's internal data protection and privacy program is compliant and up-to-date.
 - Anticipated implementation of the Unified Access Model (UAM), a process for accessing registration data.

△ Establishment of a contract management database. Currently, contracts are managed within each business unit, which can cause potential legal and financial risk to the organization.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following milestones will be met:

- Achieving functional purpose within funding allowance.
- Sufficient contingency funds to cover unforeseen legal events (e.g., skilled in looking at past trends, present environment, and future projections to deriving contingency fund amounts year-over-year).

ICANN Org Governance

Governance Support, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Governance Support and Complaints Office	21	\$6.7	\$3.7	\$10.4

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Changing landscape of privacy regulations.
- Outcomes related to litigation or general internal legal support are dependent on when Legal team is engaged on matters or issues.
- Advance notice of special projects or initiatives that will require legal services is key to ensuring that budget and resources are available. Other departments are strongly encouraged to involve the Legal function as early in the planning stages as possible. ■

ICANN Org Governance

Nominating Committee Support

PURPOSE

The Nominating Committee Support function provides support and coordination for the ICANN Nominating Committee (NomCom), an independent committee responsible for appointing leadership positions to the ICANN Board, At-Large Advisory Committee, Country Code Names Supporting Organization and Generic Names Supporting Organization. The NomCom acts on behalf of the interests of the global Internet community and within the scope of ICANN's mission and responsibilities in the Bylaws.

OPERATING INITIATIVE CONTRIBUTIONS

Support: Evolve and strengthen the ICANN community's decision-making processes to ensure efficient and effective policymaking.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant organizations and institutions.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

This team supports the NomCom by providing:

- Systems Administration: Configuring systems and tools for NomCom use including the NomCom application system, web pages, and wiki.
- Meeting Planning: Plans and coordinates telephone and face-to-face NomCom meetings.
- Meeting Support: Facilitates the work of the NomCom, including maintaining process and procedures documents and agendas.
- Training: Produce content used in NomCom meetings.
- Vendor Management: Procure, negotiate, contract, and manage vendors in support of NomCom functions, including training and recruitment firms.
- Support the implementation of the NomCom org review recommendation.

ICANN Org Governance

Nominating Committee Support, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following metrics will be met:

- Number of face-to-face meetings supported.
- Number of telephonic meetings supported.
- Number of leadership positions filled.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Implementation work to be undertaken by NomCom personnel to implement the recommendations of the NomCom Organizational Review Team may exceed the skills and capacity of existing resources.
- Ongoing NomCom operational costs may increase as a result of the review team recommendations.
- Due to the short-term status of NomCom leadership, ICANN org must be prepared to revise operating procedures and approach. ■

ICANN Org Governance

Complaints Office

PURPOSE

The Complaints Office is an operational Accountability Mechanism that enables ICANN org to transparently identify and resolve issues in one centralized location. The Complaints Office handles complaints regarding ICANN org that do not fall into an existing complaints mechanism, such as Contractual Compliance, Request for Reconsideration, or the Office of the Ombudsman.

The Complaints Office reviews verifiable information to ensure recommendations and resolutions are based in fact. It strives to be open and transparent, responsive and accountable to all parties, and to make recommendations that are constructive and actionable. Above all else, the Complaints Office acts with the utmost integrity in service of ICANN's mission.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Continued efforts of ICANN Board, community, and org to facilitate the inclusion and participation of all stakeholders.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.

ACTIVITIES

The Complaints Office reviews verifiable information to ensure recommendations and resolutions are based in fact. The office strives to be open and transparent, responsive and accountable to all parties, and to make recommendations that are constructive and actionable. Its responsibilities include:

- Receiving, researching, analyzing, and responding to submitted complaints.
- Reporting.
- Business and communications planning and implementation.
- Internal and external engagement.

ICANN Org Governance

Complaints Office, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used in FY21 for this functional activity:

- Number of complaints received.
- Number of complaints received in scope.
- Number of complaints resolved.

RESOURCES

Resources for the Complaints Office are found in the Governance Support functional activity.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Shifting to a centralized system for complaints depends on ICANN org's prioritization and resource availability.
- The function has limited staff, which creates risk that could lead to slow or stalled delivery on commitments.
- As awareness and visibility regarding the Complaints Office increases over time, the number of in-scope complaints could escalate rapidly. ■

ICANN Org Governance

Strategic Planning and Strategic Initiatives

PURPOSE

This activity supports the development, implementation, monitoring, and evolution of ICANN's strategy, and the evolution of ICANN's multistakeholder model through the development and implementation of strategic initiatives within the organization and the community.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Planning at ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process 3.0 (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time, and that ICANN priorities reflect the community's collective needs.
- ICANN Strategic Plan is supported by a five-year Operating and Financial Plan. All plans are updated as and when necessary to take into account relevant changes in ICANN's environment.
- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or Strategic Plan.

ICANN Org Governance

Strategic Planning and Strategic Initiatives, Cont'd.

- ICANN has processes and tools in place to effectively prioritize and periodically reprioritize its work.
- Community's engagement in prioritization and decisions about affordability measurably increases.
- Funding, expenses, and reserves are addressed in each plan in a manner consistent with policies, Board decisions, strict financial responsibility, and conservatism.

ACTIVITIES

- Strategic Planning in FY21 will consist of annually recurring activities including:
 - Strategic outlook trends program.
 - Strategic Planning process.
- △ This will be the first cycle of the rolling planning cycle. Significant efforts in change management will be necessary to roll out the new process and ensure alignment with the community and the Board.
 - Support to implementation of Strategic Plan.
- Strategic Initiatives in FY21 will include ongoing work related to:
 - Data protection and privacy issues, including ICANN's ongoing work to ensure compliance with the European Union's General Data Protection Regulation.
 - Follow-on activities resulting from the development of the Work Plan on Evolving ICANN's Multistakeholder Model (See [Appendix B](#)).

HOW PROGRESS IS TRACKED

The following milestones will be used to track progress of this functional activity in FY21:

- June 2020: Decision to revise or prolong the Strategic Plan.
- July to November 2020: Revision of the Strategic Plan.
- December 2020 to March 2021: Strategic outlook trend sessions.
- April to May 2021: Trend analysis and impact assessment.
- June 2021: Decision to revise or prolong the FY22–26 Strategic Plan.

ICANN Org Governance

Strategic Planning and Strategic Initiatives, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Strategic Planning and Strategic Initiatives	7	\$1.5	\$0.6	\$2.1

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The opportunity exists to develop data analysis skills and tools, build more robust systems for data collection, and conduct a more thorough data analysis.
- Progress depends on adequate resources available within the Multistakeholder Strategies and Strategic Initiatives (MSSI) function to support the development and implementation of the various planned as well as unforeseen strategic initiatives that ICANN undertakes.
- Cross-functional collaboration and resources are needed and progress will depend on their availability. ■

ICANN Org Governance

Accountability Reviews

PURPOSE

The purpose of Accountability Reviews is to facilitate and support ICANN's Specific and Organizational Reviews and implementation of the Cross Community Working Group on Enhancing ICANN Accountability Work Stream 2 (CCWG-Accountability WS2) recommendations. This work includes the evolution of review processes and ICANN org support for Organizational and Specific Reviews from inception to implementation of recommendations. This functional activity includes the streamlining of timing and cadence, roles and responsibilities, and the resourcing and prioritization of community recommendations. These activities involve the Board, ICANN org, and community.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Planning at ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and Bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process 3.0 (PDP 3.0) or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time and that ICANN priorities reflect the community's collective needs.
- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.

ICANN Org Governance

Accountability Reviews, Cont'd.

- ICANN community enhances their transparency practices to increase cross-community accountability and trust.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

ACTIVITIES

- Support Board consideration of the third Accountability and Transparency Review Team (ATRT3) and the second Security and Stability Review Team (SSR2) recommendations.
- Support cross-functional implementation of Board-approved recommendations for CCWG-Accountability WS2, CCT, and RDS-WHOIS2 Reviews, as well as ATRT3 and SSR2 recommendations, once approved.
- Support cross-functional implementation of Board-approved recommendations for Organizational Reviews.
- Produce Annual Review Implementation Report.
- Support Board and community work on budgeting and prioritization of recommendations, driving toward concrete process improvements, culminating in updates to the Operating Standards.
- Support Board and community work to change the timeline and cadence of next review cycle, culminating in Bylaws revisions, if appropriate.
- Establish a cohesive streamlining of reviews to enhance the efficiency and effectiveness of Reviews and the review program as part of continuous improvement.
- Evaluate the effectiveness of review recommendations as part of informing the next cycle of that review, and also in a broader sense to ensure that the reviews as a whole deliver on the community and Board's expectations.

ICANN Org Governance

Accountability Reviews, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following ICANN org measures will be used:

- Produce high-level implementation plans to inform Board consideration of final report and recommendations from the third Accountability and Transparency Review Team (ATR3) and the second Security, Stability, and Resiliency Review Team (SSR2); facilitate Board consideration within the Bylaws-stipulated six-month period.
- Track implementation (time, cost, and resources) against the agreed-upon implementation plans for all Specific Reviews implementations.
- Complete implementation work based on direction of the Board and in line with plan.
- Produce Annual Review Implementation Report on time, in compliance with the Bylaws provision.
- Maintain up-to-date Operating Standards for Specific Reviews, in compliance with the Bylaws provision, to reflect improvements supported by community and at Board direction.
- Initiate Bylaws revisions and modify the timing and cadence of the next cycle of reviews (as appropriate) based on community support and Board direction.
- Review Team and Independent Examiner Performance Measurement:
 - None in FY21.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Accountability Activities	10	\$2.0	\$0.7	\$2.7

\$ in Millions

ICANN Org Governance

Accountability Reviews, Cont'd.

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- The Bylaws-mandated review cycle will trigger the third Generic Names Supporting Organization Review in June 2021 and the third Security and Stability Review in March 2022, unless the ICANN community agrees to a new schedule and approves related Bylaws amendments. To mitigate this challenge, MSSI has prioritized the establishment of a more sustainable timeline for all reviews and expects that this work can be concluded in time to impact the next cycle of reviews.
- This activity depends on continued engagement and dialogue with the community about the progress of reviews and implementation of recommendations. It also depends on the direction of the evolving Accountability recommendations from the third Accountability and Transparency Review Team (ATRT3) related to prioritization of recommendations and the process for streamlining of reviews. ATRT3 published its Draft Report for Public Comment in December 2019 and plans to issue its final report in April 2020. This activity also depends on continued community engagement in the process of streamlining of reviews and effective implementation. Final plans on the streamlining of reviews will impact the activities and resourcing.
- Progress also depends on ICANN org's ability to support and facilitate the new process of conducting reviews, from the planning phase through to assessment of implementation.
- Given the large number of recommendations resulting from the current cycle of Specific Reviews and other community work and their complexity and dependencies on other work, there needs to be an agreed upon set of principles for effective recommendations and their effective implementation. Discussions are currently underway, as reflected in [“Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussions”](#); the effective consideration and implementation of the large number of community recommendations depends on the ICANN community, ICANN Board, and ICANN org reaching agreement on applicable principles and related process steps. ■

● Functional Activities

FY21

ICANN Org Shared Services

- Operations Planning
- Finance and Procurement
- Risk Management
- Engineering and Information Technology
- Global Human Resources and Administrative Services
- Global Support Center
- Board Operations
- Security Operations
- ICANN Offices

ICANN Org Shared Services

Operations Planning

PURPOSE

The Operations Planning functional activity is responsible for the development and progression reporting of ICANN org's Five-Year Operating Plan and managing certain org-wide programs.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.
- Support: Implement New gTLD Auction Proceeds CCWG recommendations.
- Support: Planning at ICANN.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

- Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Operations Planning and Resourcing: team with ICANN org executives and management to plan and prioritize org-wide activities to achieve the strategic objectives, and continuous operations, and improvements.
 - Rolling Five-Year Operating and Financial Plan.
- Managing: Derive policies, procedures, and processes for org-wide operational programs, such as the Open Data Program and Global Operations.
- Monitoring: Facilitate the development of reporting towards the achievement of strategic, operating, and financial plans.

△ Starting in FY20, the Operations Planning team began to collaborate and develop processes to implement approved review recommendations and to positively affect the improvement of the entire review process for efficient use of resources and effective implementation results.

ICANN Org Shared Services

Operations Planning, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. In FY21, the following milestones will be met:

- Operations Planning and Resourcing: Timely delivery of ICANN org FY21–25 Operating and Financial Plan.
- Managing: Progression of Open Data Program and Global Operations as agreed with Executives.
- Monitoring: Restructure or revamp progression reporting toward strategic, operating, and financial plans with increased efficient use of resources and effective communication in reaching needed audiences.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Operations Planning and Risk Management	5	\$1.6	\$0.1	\$1.8

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- Lack of planning tools, including data collection and analysis, to facilitate org-wide prioritization, progress management, reporting, and timely course adjustments. The team will collaborate with Engineering and IT and the Executive Team on org-wide platform progression.
- Due to the work of ICANN, it is challenging to define clear measurements, especially in nonoperational functions. The team will focus on the progression reporting, some of which could be driven by metrics while others could be progression reporting towards achieving the strategic objectives. ■

ICANN Org Shared Services

Finance and Procurement

PURPOSE

The Finance and Procurement function is the steward of ICANN's public funds, and the champion of financial accountability and transparency. It provides timely, accurate, and reliable financial and procurement services supporting responsible decision-making.

OPERATING INITIATIVE CONTRIBUTIONS

- Lead: Planning at ICANN.
- Lead: ICANN Reserves.
- Support: Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

The Finance and Procurement functional activity handles all accounting, audit, planning, financial analysis, financial reporting, statutory reporting, tax, payroll, billing and collections, insurance, treasury (including payments), procurement, and sourcing for ICANN operations, IANA functions, or PTI, as applicable.

ICANN Org Shared Services

Finance and Procurement, Cont'd.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used in FY21 for this functional activity:

- Continuous improvement of processes to gain efficiency and improve quality.
- Continuous improvement of financial analysis.
- Measuring and reporting service-level metrics.
- Tracking of ICANN’s Reserve Fund replenishment.
- Contribute to the operating initiative planning at ICANN.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Finance and Procurement	20	\$3.9	\$2.1	\$6.0

\$ in Millions

CONSIDERATIONS

No new risks or considerations noted for FY21. ■

ICANN Org Shared Services

Risk Management

PURPOSE

The primary purpose of Risk Management is to facilitate the identification and articulation of risks faced by ICANN org so that it may make informed decisions about planning for and managing those risks. Through the established Risk Framework, the function focuses on developing a risk-aware culture which incorporates the Risk Framework into activities.

OPERATING INITIATIVE CONTRIBUTIONS

Support: Risk Management supports all operating initiatives.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Continuity Planning: Plan that the organization can continue operating at minimum capacity when resources suddenly unavailable.
- New Activity Risk Assurance Process: Embed now that it is in place.
- △ Broader Risk Awareness Training: Functional risk awareness presentations, review of Function Risk Register, ICANN Risk Register top risks, provide context to personnel.
- △ Risk Management in Planning: Support achievement of the Strategic Plan, Operating and Financial Plan by leveraging the Risk Identification Management process.
- △ Board Priorities Deliverable 3.3.1: Support the Board Risk Committee's deliverable of monitoring existential threats by leveraging the Risk Identification Management process.

ICANN Org Shared Services

Risk Management, Cont'd.

HOW PROGRESS IS TRACKED

The following risks and considerations exist for this functional activity and may impact its advancement:

- Completion of continuity plan and implementation.
- New activity process used as appropriate.
- Trainings provided within the org.
- Successful implementation of the existential threats monitoring for the Board.

RESOURCES

FY21 resources for Risk Management are found in the Operations Planning functional activity.

CONSIDERATIONS

The largest consideration for this functional activity is the team's dependency on other departments and personnel, who may have other priorities. The team must rely on Risk Liaisons to respond and also personnel alerting Risk Management when issues arise. ■

ICANN Org Shared Services

Engineering and Information Technology

PURPOSE

Engineering and Information Technology provides trusted technical expertise to support the global multistakeholder model and ICANN org by:

- Building a sustainable and resilient team that is able to respond to organizational needs.
- Fostering trusted, transparent relationships with stakeholders through collaborative planning and data-driven decisions.
- Delivering secure, effective, and accessible services through innovation and persistence.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policymaking.
- Support: Root zone management evolution.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Formalize ICANN org funding model and improve understanding of the long-term drivers of the domain name marketplace.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ICANN Org Shared Services

Engineering and Information Technology, Cont'd.

ACTIVITIES

- Helping ICANN deliver results by aligning Engineering and IT delivery capacity along the organization's long-term strategy.
- Enabling organizational effectiveness through efficient use of ICANN's digital services.
- Providing effective support to ICANN's international office strategy.
- Maintaining financial soundness and business continuity.
- Proactively securing ICANN's digital services and systems.
- Supporting all functions within ICANN org, Board, and community via end-user support, business analysis, custom application development, off-the-shelf software selection and support, infrastructure support, security monitoring, and network services.
- Continuing to emphasize portfolio management and platform reduction mindset.
- Continuing work on capacity planning tools for organizational capacity planning.
- Investigating career development and promotional opportunities to improve retention, provide greater clarity to personnel, and help identify resource gaps.
- Project work on moving from CMM Level 3 to Level 4 is expected to begin this year with results bearing fruit in FY22.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used in FY21 for this functional activity:

- Number of projects and services requested and completed every six months.
- Number of projects delayed or cancelled in every six months.
- Evaluation of financial management through review of planned and actual budgets.
- Digital services availability.
- Universal Acceptance readiness.
- Overall Center for Internet Security (CIS) Score for cybersecurity.

ICANN Org Shared Services

Engineering and Information Technology, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Engineering and Information Technology	59	\$10.6	\$10.3	\$20.9

\$ in Millions

The following risks and considerations exist for this functional activity and may impact its advancement:

- Completion of strategic projects depends on Board and community efforts.
- Finding a suitable offshore location for outsourced work is challenging.
- Hiring and retaining personnel continues to be challenging in the current economic climate. Personnel may leave, but improvements in process documentation will lessen new employee onboarding time and costs.
- Personnel may leave if initiatives offering career progression are not implemented.
- Business decisions may mean ICANN org is not able to reduce the number of platforms it uses. This may lead to retaining talent to deal with potential issues. A possible mitigation is to make platform reduction part of the functional business strategies.
- Lack of understanding of capacity and capability, leading to unrealistic scope and delivery expectations from Board and community. ■

ICANN Org Shared Services

Global Human Resources and Administrative Services

PURPOSE

The primary purpose of Global Human Resources is to attract and retain top talent for ICANN org throughout the entire human capital life cycle. This includes talent acquisition, onboarding and offboarding personnel, administration of global compensation and benefit plans, performance management, employee relations, investigations, training and development, employment policies and workplace compliance, global mobility and immigration, team member morale and engagement activities, Enterprise Resource Planning (ERP) data integrity and reporting, and organizational planning and development.

The primary purpose of Administrative Services is to provide office administrative support and facilities management for ICANN org across all locations. This includes real estate and lease management, construction management, ergonomics program management, office security access controls management, and special events planning for employee morale events.

OPERATING INITIATIVE CONTRIBUTIONS

- Support: Develop internal and external ethics policies.
- Support: Promote and sustain a competitive environment in the Domain Name System.
- Support: Implement New gTLD Auction Proceeds CCWG recommendations.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ICANN Org Shared Services

Global Human Resources and Administrative Services, Cont'd.

ACTIVITIES

Global Human Resources activities include:

- Throughout FY21, Global Human Resources will ensure appropriate personnel levels as needed for initiatives including support of technical platforms, implementation of Board-approved recommendations from the New gTLD Subsequent Procedures Policy Development Process, the Information Transparency Initiative, and more.
- In partnership with the Legal team, Global Human Resources will support the development of ethics policies as applicable to personnel.
- Global Human Resources will provide the internal programs necessary for leadership training and professional development of personnel in order to retain talent.

Administrative Services activities include:

- In FY21, Administrative Services will oversee one major lease renewal for its locations in Singapore (office lease renewal September 2021).

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. The following measures will be used for this functional activity:

- The department will remain in full support of the strategic and operating plans over the fiscal year.
- Global Human Resources will maintain a keen eye to turnover trends both globally and internally to ensure resources are sufficient to meet the needs of operating initiatives.
- Administrative Services will ensure lease negotiations result in favorable outcomes to maintain budgetary commitments.

ICANN Org Shared Services

Global Human Resources and Administrative Services, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Global Human Resources and Administrative Services	21	\$3.8	\$0.7	\$4.5

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for the Human Resources component:

- Attracting and retaining talent is challenging in a globally competitive market that offers total compensation packages that may outpace what ICANN can offer.
- HR assistance is not always sought early enough in initiative planning processes to allow for thoughtful recommendations or timely support to keep things moving forward, compliantly.
- Geographic spread over 35 countries and 19 U.S. states makes it hard to efficiently handle employee relations issues within existing policies and local differences.
- Personnel are eager for development opportunities, but may leave before taking advantage of what is currently available to them because they do not see clear career progression.

The following risks and considerations exist for the Administrative Services component:

- Demand for real estate in the current market may drive up the cost for office space over the fiscal year. ■

ICANN Org Shared Services

Global Support Center

PURPOSE

ICANN's Global Customer Service and Support supports ICANN's mission, vision, and strategy, through the continued pursuit of excellence in the execution of world-class service delivery practices and principles.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Contracted party support.
- New gTLD applicant support.
- Account and contact management.
- Registrant and community support.
- Stakeholder communication.
- Portal access management.
- Inbound org request triage and routing.

HOW PROGRESS IS TRACKED

ICANN org uses a combination of milestones, metrics, and reports to track functional activities. During FY21, the following milestones will be met:

- Service level targets will continue to be monitored and modified as per operational needs.
- Customer satisfaction will continue to be measured through transactional surveys and reported regularly.

ICANN Org Shared Services

Global Support Center, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Global Support Center	12	\$1.2	\$0.1	\$1.3

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity in FY21:

- The role of Global Support to provide Tier 1 support for contractual compliance inquiries is currently under discussion. Should Global Support take on this function, resources and tools would need to be reviewed.
- The effectiveness and efficiency of the Global Support function is highly dependent on the operating systems and tools upon which it relies. Specifically, the team is highly reliant on the usability of the Naming Services Portal (NSp).
- Global Support resources are in high demand both internally and outside the organization. Retaining personnel is critical to successful ongoing operations. ■

ICANN Org Shared Services

Board Operations

PURPOSE

The purpose of this function is to support the ICANN and PTI Boards, and to serve as liaison between the ICANN Board and the org. This includes coordinating with ICANN org to provide substantive content and logistical support to the ICANN Board, as well as its committees and subgroups. This function also facilitates the interaction between the Board and the community.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- Content management: Supports the agenda development of Board meetings and workshops; facilitates preparation and submission of org-wide materials for Board Meetings, workshops, committees, and other subgroup meetings; manages Board materials publication; supports drafting of Board operational priorities, Board correspondence, and Board Public Comment submissions; and facilitates preparation for Board and Stakeholder meetings.
- Logistics management: Manages Board members, travels and expenses, vendor management and relations, manages and reports Board budget, and facilitates and organizes calls and meetings.
- Training and capacity development: Supports the Board training programs and tools, including Board member onboarding, development, and mentorship programs.
- Board communications and engagement: Supports and facilitates the Board's communications and engagement efforts with the community as well as participation to other meetings, events, and speaking engagements.
- Org cross-functional improvements efforts: Participates in cross-functional ICANN org teams and projects aimed at improving effectiveness and cost management.

ICANN Org Shared Services

Board Operations, Cont'd.

△ The team does not anticipate any significant changes, but will embark on operational excellence and team member development efforts that focus on process improvements and tools enhancement. One team member's role will be shifted to focus on collaborating with Engineering and IT and other org teams on cross-functional tools and processes development.

HOW PROGRESS IS TRACKED

- Outcome Measurement:
 - Smooth operations of the Board activities (content, logistics, skills development, etc.) and continuous advancement of Board best practices.
 - Continuous advancement of org-wide support for Board.
- Performance Measurement:
 - Content Management: Bylaws compliance, accountability and transparency metrics achievements
 - Percent of Board materials ready per Bylaws prior to Board meeting.
 - Percent of Board meeting agenda published per Bylaws prior to meeting.
 - Logistic Management:
 - Number of trips booked for Board.
 - Number of expense reports managed for Board.
 - Training and capacity development:
 - Number of Board members completing the onboarding process.
 - Number of trainings attended by individual Board members.
 - Number of trainings attended by full Board.
 - Improvements in Board skill sets.
 - Board Priorities:
 - Timely delivery on Board Ops-related priorities.

ICANN Org Shared Services

Board Operations, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Board Operations	6	\$1.1	\$0.1	\$1.3

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- A key performance measurement relies on a survey that often receives a low response rate due to Board workload. The team will work on addressing this challenge as part of its process improvement.
- The team works closely with ICANN org, including the Legal team, to deliver content to the Board and publish Board materials, but that support depends on the workload and priorities of other functions.
- The loss of institutional knowledge on the Board poses a significant risk and could have a negative impact on the Board’s operational effectiveness and a subsequent negative impact to ICANN org. The team plans to continue teaming up with the President and CEO and the General Counsel and Secretary to advance Board and committees manuals, process documentation, training and development, and more. ■

ICANN Org Shared Services

Security Operations

PURPOSE

The purpose of Security Operations is to provide a safe and secure environment in which the community, Board, and ICANN org operate.

OPERATING INITIATIVE CONTRIBUTIONS

No linked initiatives at this time. This supports ICANN's ongoing activities.

STRATEGIC GOALS AND TARGETED OUTCOMES SUPPORTED

Due to the nature of the shared services functions, all strategic goals and targeted outcomes are supported directly or indirectly.

ACTIVITIES

- **Event Security:** Provide on-site health, safety, and security support to ICANN Public Meetings and other ICANN-hosted events.
- **Travel Security:** Review, assess, and support personnel and Board travel. Conduct Travel Risk Assessments for travel to Medium, High, and Extreme risk locations and support accordingly, weighing due diligence and cost-effectiveness when considering on-site support.
- **Security Intelligence:** Regional Security Managers will continue to deepen their understanding of the security risk landscape of their respective regions and key local and regional factors which impact it.
- **Response Planning:** Conduct annual emergency preparedness training for personnel as well as emergency response and crisis management teams.
- **Physical Security:** Maintain and optimize physical security procedures, processes, and protocols across ICANN's facilities. Implement physical security upgrades or enhancements where necessary and feasible.
- **Threat Management:** Detect, assess, mitigate, and respond to ICANN's internal and external security threats.

ICANN Org Shared Services

Security Operations, Cont'd.

- **Knowledge Management:** Provide tailored, region-specific training to personnel as well as org-wide core learning.
- Continue to optimize the Regional Security Coordinator (RSC) capability across all regions.
- △ Threat Management: Begin then continue development of an Insider Threat Program in collaboration with HR and InfoSec teams.

HOW PROGRESS IS TRACKED

- Work closely with the Meetings team to ensure Security Operations is incorporated into the formal long-term assessment and selection of meeting locations.
- **Regional Security Managers (RSM)**
 - △ Transition full ownership of regional budgets to each RSM, whereby RSMs are accountable for tracking and adhering to FY21 funds for their regional activities.
- **Regional Security Coordinators (RSC)**
 - Each RSC to complete designated training course or courses as agreed upon by their regular manager and their RSM.
- **Culture of Security Awareness**
 - Deliver “Travel Security Awareness 2.0” training to personnel through weCANN publications, webinars, and in-person interactive sessions. RSMs to lead regional delivery to ensure all personnel have the opportunity to participate.
- **Bolster Incident Response Capabilities**
 - Complete annual training for the Global Crisis Management Team (G-CMT), office Emergency Response Teams (ERTs), and Workplace Violence Prevention (WVP) Teams.
- △ Establish regular cadence of collaboration between Security Operations, Enterprise Risk Management, Information Security, and SSR teams to ensure ICANN’s comprehensive risk profile is sufficiently understood and managed.

ICANN Org Shared Services

Security Operations, Cont'd.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel	Non Personnel	TOTAL
Security Operations	4	\$0.9	\$0.8	\$1.7

\$ in Millions

CONSIDERATIONS

The following risks and considerations exist for this functional activity and may impact its advancement:

- ICANN’s global mission and engagement requires the org to send travelers to and host events within locations of highly variable risk profiles. Over time, ICANN may conduct more frequent and robust engagement in higher-risk locations, requiring increased and more costly Security Operations support in the form of risk assessment and mitigation and security planning. While Security Operations does not control where ICANN hosts events or travels, the team is still responsible to sufficiently support events and travel as cost-effectively as possible.
- Security Operations should be more deeply integrated into the early consideration and planning stages of travel or events in higher-risk locations. This would afford all key stakeholders the opportunity to assess and understand the total cost of such engagement.
- Security Operations will continue its efforts to develop and bolster an organizational culture of security awareness. This will both inform the decision-making of the organization’s key stakeholders and empower individual personnel to proactively mitigate security risks and reduce the likelihood of safety incidents. ■

ICANN Org Shared Services

ICANN Offices

PURPOSE

ICANN offices are located around the world and work together to serve the global community. Brussels, Istanbul, Montevideo and Singapore have detailed plans described in the Global Stakeholder Engagement section of the FY21 Operating Plan. Below is an overview of the administrative costs of running each office.

RESOURCES

FUNCTIONAL ACTIVITY	FTE	Personnel
International Office - Brussels	0	\$0.3
International Office - Istanbul	0	\$0.4
International Office - Montevideo	0	\$0.1
International Office - Singapore	0	\$0.5
Engagement Center - Geneva	0	\$0.2
Engagement Center -Washington, D.C.	0	\$0.7
Los Angeles Headquarters	0	\$3.7

\$ in Millions



FY21 BUDGET

[Click here](#) for the FY21 Draft Budget

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APPENDIX

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Evolving ICANN’s Multistakeholder Model
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- **Appendix D**
Recommendations Relating to Cross
Community Working Group on Enhancing
ICANN Accountability Work Stream 2
and Reviews

Appendix A:

ICANN Rolling Five-Year Roadmap: Policy, Reviews, and Cross-Community Working Groups

The timeline below provides a rolling five-year roadmap to activities related to Policy, reviews, and Cross Community Working Groups. Work is ongoing related to the resourcing and prioritization of community recommendations that will impact this work.

More information can be found in a [blog](#) by former ICANN Board Chair Cherine Chalaby and in the current draft proposal on [Resourcing and Prioritization of Community Recommendations](#), in which the Board suggests an effectiveness framework that includes ideas to facilitate resourcing and prioritization of recommendations in the future. For example: supporting review team efforts to understand resource requirements and implementation issues associated with recommendations as – not after – they are developed; securing community input on resource requirements and implementation issues, prioritization across community recommendations from various sources, including reviews and cross-community working groups, and budgeting for implementation of approved recommendations prior to recommendation finalization; and community-wide prioritization and budgeting for recommendations.

Click here for the [ICANN Rolling Five-Year Roadmap](#)

Appendix B:

Planning Operating Initiative: Potential Activities to be Considered Over FY21–FY25

	Quantification of resources	Evaluation of needs	Prioritization	Flexibility	Transparency
Increase narrative description of activities and projects		✓			✓
Cross-community planning of policy development activities			✓	✓	✓
Financial planning of PDPs, CCWG, Advice, Reviews and their recommendation implementation	✓	✓			✓
Evolving project planning and reporting	✓	✓			✓
Reassess performance evaluation and metrics		✓	✓	✓	✓

Appendix C:

Evolving ICANN's Multistakeholder Model Work Plan

EXECUTIVE SUMMARY



Introduction

At ICANN66, facilitator Brian Cute presented the proposed work plan for Evolving ICANN's multistakeholder model (MSM) to the Community in a plenary session on Thursday, 7 November 2019. The Community was invited to provide feedback in response to the proposed work plan in that session. Based, in part, on that feedback the following work plan is presented for Public Comment.

Background and purpose of Evolving ICANN's MSM process

The purpose of Evolving ICANN's MSM process is rooted in ICANN's strategic plan for Fiscal Years 2021-2025. The strategic plan includes a Strategic Objective on governance. That Strategic Objective aims to improve the effectiveness of ICANN's MSM over the course of 2021-2025 and beyond.

Three specific goals were created to support the achievement of the Strategic Objective on governance:

- 1 Strengthen ICANN's bottom-up multistakeholder decision-making process and ensure that work gets done and policies are developed in an effective and timely manner.
- 2 Support and grow active, informed, and effective stakeholder participation.
- 3 Sustain and improve openness, inclusivity, accountability, and transparency.

To support the achievement of the Strategic Objective on governance, ICANN engaged Brian Cute of The Eastham Group to act as a neutral facilitator to work with the ICANN Community in a consultative process. That process consists of two phases: 1) to identify issues concerning work processes, working methods and aspects of ICANN's culture that are challenging the effectiveness and efficiency of ICANN's MSM; and 2) to develop a work plan that will develop approaches that will become solutions to these issues during the Strategic Plan timeframe of 2021-2025.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Where are we in the process?

Phase 1 – Developing the Issues List

The first phase of the Evolving ICANN’s MSM process began at ICANN64 in March 2019. At ICANN64, the community engaged in a facilitated conversation to begin identifying issues concerning work processes, working methods and aspects of ICANN culture that are hampering the more effective and efficient functioning of ICANN’s MSM. Based on community input received at ICANN64, a public comment period and three webinars, a list of such issues was developed, defined, prioritized and consolidated by the ICANN Community. That list of issues is as follows:

- A** Consensus + Representation and Inclusivity
- B** Prioritization of work + Efficient Use of Resources
- C** Culture, Trust and Silos
- D** Complexity
- E** Precision in scoping work
- F** Roles and Responsibilities

Descriptions of those issues or the “problem statement”, as developed through Community comment and input are reflected in the work plan. This list of issues represents the most critical issues concerning work processes, working methods and aspects of culture that the Community believes hamper the more effective and efficient functioning of ICANN’s MSM.

Phase 2 – The Work Plan

At ICANN65, the focus turned toward phase 2 of the Evolving ICANN’s MSM process, developing a work plan. The proposed work plan was developed based on Community comment in response to a request for Public Comment that opened on 27 August 2019 and closed on 14 October 2019. The proposed work plan is also informed by Community input from webinars held on 12 September and 13 September 2019 as well as Community feedback at ICANN66.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

The proposed work plan focuses on six elements:

- 1 The issues to be addressed
- 2 The benefits of developing an approach or solution
- 3 The suggested entity to develop and propose a solution (e.g., Advisory Committee, Supporting Organization, ICANN Community as-a-whole, ICANN Board, ICANN Organization)
- 4 Resources needed to develop an approach or a solution
- 5 Dependencies
- 6 Potential solutions to issues offered by the Community during the Evolving ICANN’s MSM process

In sum, over the course of eight months from ICANN64 to ICANN66, the Issues List and the work plan were developed with the ICANN Community through two requests for Public Comment, three open sessions at ICANN64, ICANN65 and ICANN66, respectively, as well as six webinars.

Next steps

The Evolving ICANN’s MSM work plan is being published for public comment as part of ICANN’s 5-year Operating Plan. The feedback from this request for public comment will provide the basis for the final work plan.

Request for Public Comment

The focus of this public comment is to answer three questions that will assist in creating the final work plan. After reviewing each of the issues, please provide comment on the following three questions:

- 1 The proposed work plan suggests certain entities to “take the lead” in developing an approach or solution to an issue. Indicate your support for the suggested entity and the reasons why it should take the lead in developing an approach or solution. If you believe another entity is better suited to take the lead, suggest that entity and provide your specific reasons why that entity would be better situated or able to take the lead in developing an approach or solution.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Please note: In the work plan, certain entities are suggested to “take the lead” and to also coordinate with other ICANN entities in the process of developing approaches and solutions. It is important to have an entity take the lead to ensure accountability about the deliverable. If an entity is not designated to take the lead or if multiple entities are designated to take the lead, there can be uncertainty about who is responsible to ensure that an approach or solution is developed and proposed to the Community. That being said, the entity taking the lead should endeavor to work in coordination with other Community entities as peers and in a spirit of collegiality and cooperation. The approaches and solutions developed through this work plan are intended to benefit the ICANN Community as a whole and to improve the functioning of ICANN’s MSM.

- 2 The work plan suggests that stakeholders who take the lead role in developing an approach or solution should coordinate with other Community entities in doing so. Please offer specific suggestions about how ICANN Community entities can effectively coordinate the work of developing approaches and solutions?
- 3 Of the six proposed workstreams in the work plan, please rank them from 1–6 according to which issue represents the most “ripe fruit” opportunity. That is to say, an approach or solution to the issue can be developed in a shorter period of time and with a lesser amount of resources needed.

All comments are welcome, and you are asked to address the four questions outlined above.

EVOLVING ICANN’S MSM WORK PLAN

I. The Work Plan

This work plan is part of the fulfillment of ICANN’s strategic plan for 2021 – 2025 and, specifically, supports the achievement of the Strategic Objective on Governance. The purpose of the work plan is to develop solutions to improve the functioning of ICANN’s Multistakeholder Model (MSM). Spanning back to ICANN63, the Community identified issues that are hampering the more effective and efficient functioning of ICANN’s MSM. The Evolving ICANN’s MSM process began at ICANN64 in Kobe, Japan. This proposed work plan is developed on the basis of Public Comment that closed on 16 October 2019 and prior comments received from the ICANN Community. The work plan is also informed by Community input through webinars held on 11 and 12 September and 14 October 2019 and by Community input at ICANN66.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

The work plan consists of the following six elements:

1. Issues

The focus of this process is work processes, working methods and culture. In phase one of this process, the Community identified specific issues concerning work processes, working methods and aspects of ICANN’s culture that are hampering the more effective and efficient functioning of ICANN’s MSM. Community comment defined the issues and described the impacts they are having on decision-making, policy development other work processes and the overall functioning of the ICANN’s MSM. The work plan reflects the Community’s descriptions or “problem statements” of each issue.

Community comment also suggested how the issues to be addressed should be prioritized and consolidated. Through that input, an initial list of twenty-one issues now stands at eight issues. Of the final eight issues, some have been further combined. Based on Community comment and their logical interrelationship, Consensus and Representation and Inclusivity are combined into one proposed workstream and Prioritization of the work and Efficient Use of Resources are combined into another proposed workstream. The final list of issues reflects six proposed workstreams which are as follows:

- A** Consensus + Representation and Inclusivity
- B** Prioritization of work + Efficient Use of Resources
- C** Culture, Trust and Silos
- D** Complexity
- E** Precision in scoping work
- F** Roles and Responsibilities

2. Benefits of developing solutions

The work plan describes the benefits to be gained by developing a solution to a particular issue. Generally speaking, the solutions aim to create more efficient use of ICANN’s resources and improve the timeliness of decision-making, policymaking and other work. By creating these improvements, the work plan will support the goal of strengthening ICANN’s MSM and supporting ICANN’s ability to effectively address external and internal challenges identified in the strategic plan for 2021–2025.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

3. Suggested entities to develop and propose a solution

In the request for Public Comment that closed on 14 October 2019, the Community was asked which entity should take on the work of developing a solution. The entities could be an ICANN Advisory Committee, Supporting Organization, the Community-as-a-whole, ICANN Org or the ICANN Board. The work plan suggests an entity that should take “the lead” in developing an approach and solution to an issue. Suggested entities were identified based, in part, on Community comment and considered the current workload in ICANN and the value in spreading the work across various entities.

In most of the workstreams, coordination between the ICANN Community, Org and Board will be important to develop and deliver solutions. Opportunities for coordination between the ICANN Community, ICANN Org and ICANN Board will deliver its own benefits including greater clarity on respective roles and responsibilities, relationship building and the positive shared experience of working together to improve the overall functioning of ICANN’s MSM.

4. Resources needed to develop an approach and solution

Resources needed to develop approaches and solutions are identified in the work plan. Resources are determined primarily by the nature of the issue to be addressed and the work processes required to develop an approach or solution. In the case of improving work processes and working methods, developing a solution requires a number of predictable resources. It will require volunteer time, ICANN Org staff time and support and budget for meeting space and work process logistics.

Developing improvements to cultural issues may require a slightly different approach and we can assume that resources needed would also include volunteer time, ICANN Org staff time and support and budget for meeting space and logistics.

Entities that take on the task of developing a solution, whether it is a work process, working method or aspect of culture, will be asked to further define resources they will need to develop and deliver solutions.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

5. Dependencies

Dependencies for each of the workstreams are identified in the work plan. In some cases, dependencies are outputs from ongoing work streams in the Community that could contribute to the development of a solution. Where there is work being done in the Community that can be leveraged, it should be leveraged as a matter of efficiency.

Dependencies include a number of work streams such as ATRT 3 pending recommendations, GNSO PDP 3.0 Implementation improvements and CCWG -Accountability WS2 recommendations. In the case of ATRT 3, recommendations to the Board are under development and expected by March 2020. Some of ATRT 3’s pending recommendations may be germane to issues in the work plan. PDP 3.0 small team implementation work is expected to continue through February 2020. Some of the implementation work may contribute to solutions developed in the work plan. WS2 recommendations likewise could contribute to or have a bearing on solutions developed in the work plan. These dependencies must be tracked and considered in the work plan to ensure compatibility, avoid duplication of work and ensure efficiencies going forward.

To effectively track and address these dependencies, the entities that are developing solutions will have a role to play. The ICANN Board has WS2 recommendations in hand and will receive ATRT 3 recommendations and will have a role to play as well.

6. Potential solutions to issues offered by the Community during the Evolving ICANN’s MSM process

Throughout this process, the Community has provided suggested solutions to the issues through Public Comment and other public input opportunities. These suggested solutions are potentially helpful to the entities who will develop approaches and solutions through the work plan. A sample of suggested solutions from the Community are reflected in this proposed work plan.

Suggested solutions from the Community could inform and add efficiencies to the work. To that end, all relevant suggested solutions received from the Community through Public Comment or other input mechanisms will be compiled, organized and shared in the form of a report with the entities who are developing solutions before they begin their work.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

ISSUE A. Consensus + Representation and Inclusivity

Consensus is a process for group decision-making and a work method by which people can come to agreement. Achieving consensus is a critical process step in ICANN’s MSM to produce policies and other work in an effective, efficient and timely manner. Community input has stated that the ICANN Community has difficulty reaching consensus in policymaking and other work processes for a variety of reasons. Primary among them is a lack of incentives for stakeholders to compromise. Other factors include participants not having authorization to compromise, a lack of understanding of consensus, the skills of working group Chairs and their ability to address capture tactics as well as a “zero-sum” game approach to policymaking and other work. Winning by delay or maintaining the status quo are also noted in Community comment. Community comment questioned whether there are sufficient tools to effectively facilitate compromise and consensus.

Representation and inclusivity in ICANN’s MSM are also essential to ensure that ICANN’s policies are global in nature and consider all stakeholders’ points of view. Community comment reflects differing views about how to appropriately apply these concepts in policymaking and other work streams. Community comment observed that representation and inclusivity issues have affected the ability to reach consensus, make decisions and deliver work on time. The Community has struggled with the concept of representation and inclusiveness and allowing “all voices” to be heard in a process while advancing the work in a timely manner.

These issues a part and parcel of ICANN’s consensus-based decision-making. Some in the Community maintain that either the “representation model” or the “open and inclusive” model can work effectively and have all voiced be heard in consensus-based decision-making. The development of an approach or solution to clarify how representation and inclusivity can be effectively applied and how consensus can be more effectively facilitated is critical to improving the effectiveness and efficiency of ICANN’s MSM.

Recruitment and Demographics are issues that had been grouped with Representation and Inclusivity. Community comment noted that Recruitment and Demographics are qualitatively different from Representation and Inclusivity. They are related to further growth to ensure diversity of voices and participation and the integration of new participants in ICANN’s processes. Community comment noted that there are not enough new people and not enough diversity coming into the ICANN community through existing outreach programs. There are concerns about whether ICANN has developed effective pathways to participation.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Comment also noted that “there should be better communication between ICANN staff, SO/ACs, leaderships and Outreach committees in each of the communities to help newcomers find their way to the groups in which they will be most effective, and when such people arrive at the group, coaching mechanisms should be in place to receive them properly.” It was also noted that “the lack of information about program applicants is a barrier to our ability to undertake a more personalized engagement.”

An insufficient influx and integration of new and diverse participants will tax existing volunteers who are overstretched and may hamper the quality of the work outcomes. The issues of Recruitment and Demographics need to be addressed in their own right.

Benefits of developing a solution

Developing approaches and solutions to these issues can create the conditions to more effectively reach consensus and ensure effective participation in ICANN’s policymaking and other work. Solutions can improve the skills of working group Chairs to more effectively facilitate and guide volunteers and work processes to more timely conclusions. Improvements in these areas will reduce or eliminate delay, change the dynamics of decision-making and create efficiencies in ICANN’s policymaking and other work processes.

Developing solutions to Recruitment and Demographic are important to ensure that the ICANN Community continues to have a sufficient number of engaged participants that reflect the diversity of the global Internet community.

Suggested entity to develop and propose a solution

GNSO as the lead, working with the other ACs and SOs.

The GNSO PDP 3.0 implementation work addresses consensus decision-making through proposed improvements to the GNSO policy development process (PDP). It is also undertaking an analysis of various working group models that balance representation, inclusivity, expertise, empowerment, accountability and participation. The PDP 3.0 improvements could inform the development of solutions to these issues for the broader ICANN Community. Solutions would of course need to be “fit-for-purpose” to a particular policymaking or decision-making process.

Appendix C: Evolving ICANN's Multistakeholder Model Work Plan, Cont'd.

Resources needed to develop and propose a solution

- Volunteers' and leader's time
- ICANN staff time and support
- Budget for meeting space and logistical support

Dependencies

The GNSO PDP 3.0 implementation improvements are already underway and the last group of improvements are expected to be delivered by February 2020. These improvements and their observed impact on PDP processes can provide significant input in developing solutions that could apply to other community processes.

CCWG Accountability WS2 recommendations by which ICANN may define, measure, report, support and promote diversity and recommendations to increase SO/AC accountability, participation and outreach are relevant to this work.

When received, ATRT 3 recommendations should be reviewed to ensure compatibility, mutual reinforcement and to avoid conflict or duplication of work.

Examples of solutions suggested by Community comment

- All parties to a policy process should commit to the goal of achieving consensus and have the authority to compromise as part of the process.
- We can be much more transparent in our backgrounds. We should know where participants' funding comes from when they are participating. This is not to discredit participants at all but to remove bias from the process.
- In-person attendance at ICANN meetings should be used for task-oriented workshops and ICANN should recognize that face-to-face engagement often improves the ability to reach consensus.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

ISSUE B. Prioritization of Work + Efficient Use of Resources

The total workload being supported by the ICANN Community is an issue that has created a strain on volunteer resources and is contributing to volunteer burnout. Community comment noted that there are too many issues being addressed in parallel tracks particularly for policymaking and other work streams that involve cross-community participation. When a new work project is proposed, it is often considered without a full view of all other projects that are in progress and the resources they are consuming. This alone is a significant issue.

While the ICANN Planning Process does provide structure through the Strategic Plan, the 5-year Operating Plan and the annual planning and budget cycles, the Community believes that sufficient prioritization is lacking. When a question arises about initiating new work or deciding whether an existing workstream should be retired, there needs to be a process that more effectively engages the volunteer community and gives them tools to effectively prioritize work and make “trade-offs” where necessary. Community comment observed that sometimes even determining what is not a priority can be difficult and requires a thorough understanding of the issues. Without improved prioritization, ICANN organization and the ICANN community will continue to try to do everything all at once, each valued with the same sense of urgency. This is not sustainable.

Insufficient prioritization impacts the entire ICANN ecosystem and affects ICANN’s ability to produce policies and other work in an efficient and timely manner. It also reinforces a silo mentality where stakeholders may not share the same sense of prioritization and common purpose about the overall work in ICANN. Proper prioritization of work is at the heart of the efficient use of resources. “Prioritization of Work” and “Efficient Use of Resources” are inextricably linked issues that should be addressed together. These issues are combined because ICANN has a finite amount of time, human capacity and financial resources to accomplish its mission. While insufficient prioritization of work is not the cause of all observed inefficiencies, if properly managed, prioritization can have the most significant positive impact on the efficient use of resources of all the issues identified by the ICANN Community. Based on community input, the need to more efficiently prioritize the work and efficiently use ICANN’s resources is a pressing matter.

Note that the issue of costs was identified in the Community’s description of Efficient Use of Resources. The issue of cost does have a bearing on proper prioritization of the work. That being said, it can be most comprehensively addressed in the Strategic Objective on Financials in the 2021 – 2025 strategic plan.

Appendix C: Evolving ICANN's Multistakeholder Model Work Plan, Cont'd.

Benefits of developing a solution

Developing a more effective approach to prioritization will create a more rational use of resources and should create greater visibility into all of the work being supported by the ICANN Community. It will also create a clearer understanding of the allocation of volunteer community resources. Improved prioritization would ensure that new work is aligned with the Strategic Plan, considers ongoing work and could improve the Planning Process. Creating a prioritization process will stimulate cross-community discussion and could lead to a more informed appreciation of the work being done in the respective stakeholder groups, as well as the work that is being supported in a cross-community manner. Prioritization would drive more effective volunteer community resource allocation, reduce or eliminate volunteer burnout and create a shared view of the work.

Suggested entity to develop and propose a solution

AC and SO Chairs (or their delegates) as the lead, working with the ICANN Org CEO and ICANN Board Chair.

Given that they bring together a cross community view of the work, the AC and SO Chairs (or their delegates) are the appropriate group to be asked to lead this effort and, in dialogue with the ICANN Org CEO and ICANN Board Chair, discuss how the work to develop approaches and solutions could be chartered. The AC and SO Chairs would work with and through their respective Advisory Committees and Supporting Organizations.

Resources needed to develop and propose a solution

- Volunteers' and leader's time
- ICANN staff time and support
- Budget for meeting space and logistical support

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Dependencies

ATRT 3 pending recommendations to the Board on prioritization and rationalization of review recommendations. When received, ATRT 3 recommendations should be reviewed to ensure that the work plan is compatible with them and otherwise avoids duplication of work.

Examples of solutions suggested by Community comment

- A process where the community can truly assist in setting priorities and there is an exchange between ICANN Org and involved stakeholders on the matter can be highly beneficial if properly structured.
- The ACs and SOs certainly need an ability to get together and talk, but we shouldn’t assume that they will always have consensus on how to rearrange the priorities.
- ICANN Org legislative/regulatory tracker should be improved in order to help advise all involved stakeholders of external developments that could result in work creation.
- There must be some community agreed upon “ceiling” for the number of efforts that are running in parallel. All parts of the community need to be a part of this process.

ISSUE C. Culture, Trust and Silos

According to Community input, there are multiple and different cultures across the ICANN community. Those multiple cultures, paired with a silo mentality, have challenged ICANN’s ability to work more cohesively and deliver policy and other work in a timely fashion.

According to Community input, trust issues may be undermining the Community’s ability to work more effectively and efficiently. Comment includes statements to the effect that “we are not working together” and within the Community “we don’t have that level of trust that we can kind of reach across the aisles.” Community input also noted “we use complexity and process to address our lack of trust because we don’t believe we’re going to have trust unless we double-check everyone is doing everything.”

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

It has also been observed that dissatisfaction with the actions taken by others within our processes or dissatisfaction with the outcomes of processes themselves could be mischaracterized as “trust issues” and that we should take care in identifying and addressing such a fundamental issue. It was observed that trust is not just about processes but “about us. It’s about heart, and it’s about forgiveness, and it’s about being prepared to accept that we all have the same motivation in the sense of maintaining this model and making it work. It’s just that we think about it in different ways.”

Trust is the basis for healthy groups and organizational productivity. It is created through interpersonal relationship building and the use of accountable and transparent processes. The Community recognizes that there are challenges and many comments reflect a genuine willingness to engage in the relationship building work that is necessary to improve trust and ultimately ICANN’s work culture.

Benefits of developing a solution

A culture based in trust creates faster decision-making, increased productivity and improved allocation of resources. ICANN’s current culture, trust and silo issues significantly affect the speed of decision-making and delivery of work in ICANN. ICANN can operate accountable and transparent processes but if trust is not present to inform behavior, policymaking and other work will remain less than efficient. Developing and proposing an approach and solution to culture, trust and silos will engage stakeholders in cross-community dialogue and that effort can begin to break down the silo mentality that is affecting ICANN’s work. It can, over time, lead to other efficiencies in resource allocation, prioritization of work and timeliness of deliverables.

Entity asked to develop and propose a solution

ALAC taking the lead, working with the other ACs and SOs

The common themes in Public Comment about trust and a silo mentality issues were striking. The ALAC identified an aspect of the issue that is critical to a healthy culture: respect. ALAC engages in regular outreach/information events, face-to-face meetings with other ICANN stakeholders and explores projects to identify common interests and concerns. Building on this engagement experience, ALAC can lead the development of a solution working with an external expert and in coordination with the other ACs and SOs.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Resources needed to develop and propose a solution

- Volunteers’ and leader’s time
- ICANN staff time and support
- Budget for meeting space and logistical support

Dependencies

None.

Examples of solutions suggested by Community comment

- Consistently remind and instill in the community the essential cooperative nature required for the success of the unique MSM promoted by ICANN.
- We do already have a tool intended for silo breaking, which is Meeting B. Meeting B is supposed to be exactly about making this sort of outreach, listening to each other, having sessions where we get to discuss.
- One example is the leadership structure in work track 5. Having a cross-community led PDP was a silo-breaking and trust building exercise. People were not completely happy with the substantive result, but they were happy with the process — maybe the cross-community nature of the process which enabled communications, enabled trust building, and definitely was an experiment that should be replicated over and over in ICANN.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

ISSUE D. Complexity

Community comments described certain complexities that challenge the more effective and efficient functioning of ICANN’s MSM. Community description of complexity focused predominantly on the internal ICANN work environment. Complexity represents a twofold challenge:

1. The accessibility to and the ease of use of information and data.

This is about the tools that are available to be able to access and navigate information and data sources. This is about tools that enable effective participation in ICANN’s policymaking and other work processes.

The ICANN website and community wiki do not currently offer the necessary ease of use, organization of information and navigation that the Community expects in order to facilitate effective research, analysis and participation. Community comment observed that the equivalent of a congressional research service or parliamentary service is required to effectively use information necessary for effective participation. For non-English speakers or those for whom English is a second language, this challenge is all the more difficult.

It was noted in Community comment that “the only directly related proposed solution is the Open Data Program which could help in the development of solutions to this concern but does not directly have to do with it.” Community comment stated that “the ODP intends to generate datasets that can later be put together to make better sense of what goes on in the organization, but this does not reduce Complexity by itself, it is only a tool.”

2. ICANN’s bylaws, processes and procedures are complex and challenging to understand.

Community comment observed that the bylaws, processes and procedures are complex and involve excessive use of acronyms, sometimes excessive jargon, technical and otherwise, that can challenge newcomers and those for whom English is not their first language. It was noted that “there is a tendency to make issues appear more complicated or complex than they necessarily are. We are not good as a community at developing ‘issue or problem statements’, but we are very good at offering opinions about what we think the problem is from our respective silos.”

Appendix C: Evolving ICANN's Multistakeholder Model Work Plan, Cont'd.

How the Community communicates through and develops documentation is an issue that hampers the more effective and efficient functioning of ICANN's MSM. Beyond the issue of ICANN's website and community wiki, the complexity of ICANN processes, procedures and bylaws present a challenge to more effective participation in ICANN's MSM.

Benefits of developing a solution

Solutions to these two issues will promote and support effective participation for all members of the ICANN Community, not just the seasoned veterans who have longstanding institutional knowledge. The consistent use of simple, plain language and easy to understand summaries will increase accessibility to ICANN processes and facilitate meaningful inputs from a broader range of participants. Solutions can also address accessibility for non-English speakers not only from a language or translation perspective but also from a perspective of understanding technical or otherwise complicated subject matter.

Suggested entity to develop and propose a solution

- 1 ICANN Org
To develop a solution regarding accessibility to and ease of use of information and data.
- 2 AC and SO Chairs as the lead, working with the ICANN Org CEO and ICANN Board Chair
To develop a solution to the complexity of ICANN's processes, procedures and bylaws and how the Community communicates through and develops documentation.

Resources needed to develop and propose a solution

- 1 To be determined by ICANN Org in consultation with the Community.
- 2 To develop a solution to the complexity of ICANN's processes, procedures and bylaws and how the Community communicates through and develops documentation.
 - Volunteers' and leader's time
 - ICANN staff time and support
 - Budget for meeting space and logistical support

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Dependencies

None.

Examples of suggested solutions in Community comment

- ICANN Org should have a sub-team dedicated to more intuitively documenting the status of different groups and policymaking efforts.
- The creation of an independent new staff role whose sole responsibility would be to serve as an expert advisor on ICANN procedure.
- Should use an Issues Report that incorporates an executive summary or documentation that can explain and synthesize a complex or difficult issue into understandable short summaries before or coincident with sending a matter out for public comment.

ISSUE E. Precision in scoping work

Precision in scoping work is a critical work process step that supports the efficient use of resources, proper planning, timely decision-making and the delivery of policies and other work product on time. Failure to properly scope work has led to delays in delivering work, duplication of work and implementation issues that arise after the fact.

Community comment noted that scoping has been too wide in the past, leading to endless discussions. It was also observed that the community does not follow a disciplined approach in deciding on the types of work it takes on, how that work is scoped, and how it gets executed. Volunteers are tempted to put everything into one project in order to not have to revisit the work again in the future. In the ICANN ecosystem, there is no current common, disciplined approach to scoping work. This contributes to inefficient use of resources, delayed decision-making and volunteer burnout.

Benefits of developing a solution

Disciplined and effective scoping of work will create more timely delivery of policy and other work and the quality of those deliverables should improve over time. Developing a disciplined approach to scoping work in community work processes will contribute to a more effective and efficient allocation of volunteer resources.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Suggested entity to develop and propose a solution

To be determined.

Community input at ICANN66 suggest the SSAC take the lead. It was noted that SSAC has “demonstrated consistently a sharp acumen for precision scoping under scarce resource constraints. And those are exactly the qualities that we’re seeking in this.”

It should also be noted that the GNSO in its PDP 3.0 implementation work addresses precision in scoping work through proposed improvements to the GNSO policy development process (PDP). The PDP 3.0 improvements could inform the development of solutions to this issue for the broader ICANN Community. Solutions would of course need to be “fit-for-purpose” to a particular policymaking or decision-making process.

Resources needed to develop and propose a solution

- Volunteers’ and leader’s time
- ICANN staff time and support
- Budget for meeting space and logistical support

Dependencies

The GNSO PDP 3.0 implementation improvements are already underway and the last group of improvements are expected to be delivered by February 2020. These improvements and their observed impact on PDP processes can provide significant input in developing solutions that could apply to other community processes.

Examples of suggested solutions in Community comment

- A clearly defined scope should come with parameters or guardrails such as sensible time limits, interim and final deadlines, cost and other resource constraints, and expectations for the outputs.
- The GNSO PDP 3.0 initiative would be a good starting point to address the issue. GNSO PDP 3.0 initiative is focused on the GNSO PDP so it would likely need to be expanded to properly address the needs of other community groups in order to be effective across a broader portion of the community.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

ISSUE F. Roles and Responsibilities

There remains a need for a clear, shared understanding of the distinct roles and responsibilities of the ICANN Community, ICANN Org and Board in order to evolve ICANN’s MSM.

There are a range of views in the Community about whether the Board should be more proactive in facilitating policymaking when it is stalemated and whether the Board should mediate and resolve conflicts. There are questions about whether we have a holistic view of ICANN that allows for a fully informed analysis of the effectiveness and efficiency of the multistakeholder model. Community comment also stated that “the big question is, who should be responsible for changing the way the ICANN community approaches its work? It is incumbent upon community leaders to take on this mantle, but currently there is a lack of structure for leaders to work together across the community.” There are views that structural changes are needed in the ICANN Community. These and other comments reflect divergent views about the roles and responsibilities of the ICANN Community, Org and Board.

Importantly, the work to develop solutions in this work plan must itself be informed by a clear, shared understanding of the roles and responsibilities of the ICANN Community, Org and Board. There needs to be a common resource that provides that understanding.

Benefits of developing a solution

All of the work done in ICANN can be informed by a clear, broadly shared understanding of the respective roles and responsibilities of the ICANN Community, Board and Org. This work plan calls for the development of solutions that will impact existing ICANN work processes, working methods and culture. For those solutions to be properly designed, it is critical for those developing solutions to have a clear, broadly shared understanding of roles and responsibilities. Each solution that is developed should include clearly delineated assignments of responsibility to specific parties.

A single common resource that explains roles and responsibilities would be indispensable to this work.

Appendix C: Evolving ICANN’s Multistakeholder Model Work Plan, Cont’d.

Suggested entity to develop and propose a solution

ICANN Board in coordination with the ICANN Community and the ICANN Org CEO.

Resources needed to develop and propose a solution

To be determined by the Board.

Dependencies

None.

Examples of suggested solutions in Community comment

- Further communication between the ICANN Community and ICANN Board to ensure clarity about the roles and responsibilities of various parts of the ICANN community are critical to maintaining a healthy and effective multistakeholder governance model. The ICANN Bylaws generally support this concept.
- CCWG Accountability Work Stream 2 did some work on roles and responsibilities, defining what the Community, the Board, and the Org do. It’s in the staff accountability report.

Appendix D:

Recommendations Relating to Cross Community Working Group on Enhancing ICANN Accountability Work Stream 2 and Reviews

DECEMBER 2019

Description	Status	Total # of recommendations	Total Board recommendations	References	Notes
WS2	Board adopted each consensus recommendation	116	116	Final Report Board Resolution	

SPECIFIC REVIEWS

Description	Status	# of recommendations	Board-adopted recommendations	References	Notes
CCT Review	Board took action on the recommendations: - 6 accepted - 17 pending* - 14 passed through to other parts of the community* <i>* in whole or in part</i>	35	6	Board Resolution Scorecard Public Comment Proceeding on Accepted Recommendations	Work is underway on the pending recommendations, with Board action on several pending recommendations expected in January 2020.
RDS-WHOIS 2	Final Report issued; public comment proceeding underway	22	15	Final Report; Board resolution Public Comment Proceeding	Board expected to take action on final recommendations by March 2020.

Appendix D: Recommendations Relating to Cross Community Working Group on Enhancing ICANN Accountability Work Stream 2 and Reviews, Cont'd.

ORGANIZATIONAL REVIEWS

Description	Status	# of recommendations	Board-adopted recommendations	References	Notes
GNSO 2	Implementation completed	36	34	Board Resolution	
At-Large 2	Implementation in progress	24	8	Board Resolution	IE issued 16 full recommendations and 8 sub-recommendations; ALAC changed some recommendations to better address its needs
Nom Com 2	Implementation in progress	27	27	Final Report Independent Review	Board approved implementation plan
RSSAC 2	Board took action on Final Report; RSSAC developing implementation plan	15	7	Board Resolution	IE issued 6 full recommendations and 9 sub-recommendations
SSAC 2	Board took action on Final Report; SSAC developing implementation plan	30	25	Board Resolution	SSAC changed some recommendations to better address its needs
ccNSO	Final Report issued	14	n/a	Final Report	Board expected to take action on final recommendations in March 2020
ASO	Implementation completed	18	18	Final Report Implementation	

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