GAC Advice – San Juan Communiqué: Actions and Updates (DD Month YYYY)

Updated 30 May 2018

Superseded by Board-GAC Scorecard titled "GAC Advice - San Juan Communique: Actions and Updates (30 May 2018)" available here: https://www.icann.org/en/system/files/files/resolutions-sanjuan61-gac-advice-scorecard-30may18-en.pdf

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Document 1: Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY19 Operating Plan and Budget Introduction and Highlights

18 May 2018

ICANN

PROPOSED ADOPTED ICANN FY19 PLANNING DOCUMENTS

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

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

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

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

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ICANN FY19 Operating Plan and Budget Overview

ICANN FY19 Budget Highlights Introduction

This document provides key highlights and an overview of the FY19 Budget as presented in the Proposed Adopted FY19 Operating Plan and Budget that was published for public comment on January 19, 2018. It summarizes ICANN's planned FY19 activities for its financial year ending 30 June 2019. The key changes made as a result of public comment and some corrections are summarized below.

The operations of Public Technical Identifiers (PTI) are a part of ICANN's total operations and these planned activities are included in the ICANN budget.

ICANN welcomes and recognizes the diverse participation from stakeholders as we've continued to evolve ICANN's planning process (including the strategic plan, operating plan, budget or on-going operational and financial updates).

Highlights - FY19 Operating Plan and Budget Changes from Draft to Final

As a result of public comments received and new information on the Operating Plan and Budgets by portfolio and projects below is a summary of the key changes from the Draft FY19 Operating Plan and Budget that was published for public comment:

Changes to Funding

- Meeting Sponsorships reduction – external sponsorships for ICANN meetings has decreased ($0.3M)
- Increase in rate of growth for Legacy TLD transactions $0.7M
- Decrease in rate of growth for New gTLDs transactions ($1.7M)
- Decrease in Registry Fixed Fees ($0.6M)
- Increase in Registrar Accreditation Fees $1.7M.

Key Changes to Cash Expenses

- Fellowship Program Travel Funding $151K: increase from 30 to 45 seats per meeting, and allocate the fellows to the SO/ACs for direct support during ICANN meetings.
- Community Regional Outreach Program $50K: reinstate for travel support to ICANN-sponsored meetings (excludes sponsoring travel to non- ICANN meetings)
- ICANN Wiki $66K: fund 2/3 of historical contribution in FY19, with progressive elimination of support over next 2 years.
- The funding of reviews has been reduced by $0.8M, and a portion of the Contingency has been reserved for additional funding of reviews, should it be necessary.

- GDPR estimates have been revised by $1.2M due to new information on the resource requirements needed from ICANN org legal team for internal and Whois work.

FY19 Budget Highlights: ICANN Operations Overview

ICANN Operations FY19 funding is $138 million and the baseline expenses total $138 million. This results in a balanced budget.

ICANN Operations	FY17 Actuals	FY18 Adopted Budget [1]	FY18 Forecast [2]	Proposed Adopted FY19 Budget
Funding	$135	$143	$135	$138
Cash Expenses	$128	$143	$137	$138
Funding from FY17 Savings (Approved by Board)	$0	$0	$2	$0
Excess/(Deficit)	$6	$0	$0	$0

$ in USD Millions

[1] FY18 Adopted Budget June 2017

[2] FY18 Forecast is the most recent data on FY18

Funding: Three-Year Comparative Summary

Funding for FY19 is at $138 million which is below the FY18 Adopted Budget of $143 million. In addition, FY19 Funding of $138 million is $3 million above the FY18 forecast of $135 million. We anticipate funding to remain flat and this slowdown in funding is consistent with the number of new TLDs in operations reaching its peak.

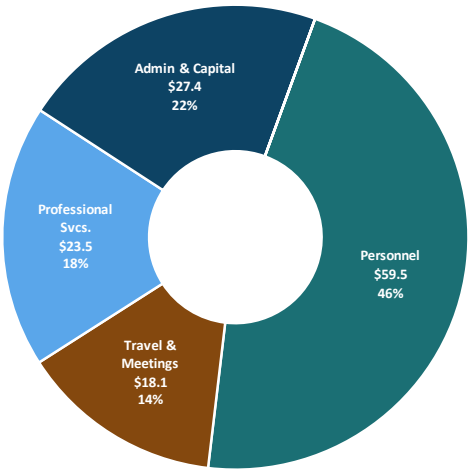
	FY17 Actuals	FY18 Adopted Budget	FY18 Forecast	Proposed Adopted FY19 Budget
Registry Transaction Fee	$54	$57	$53	$55
Registrar Transaction Fee	$31	$37	$33	$35
Registry Fixed Fee	$30	$31	$31	$30
Registrar Other Fees	$16	$14	$14	$15
Other	$4	$4	$4	$3
Total	$135	$143	$135	$138

$ in USD Millions

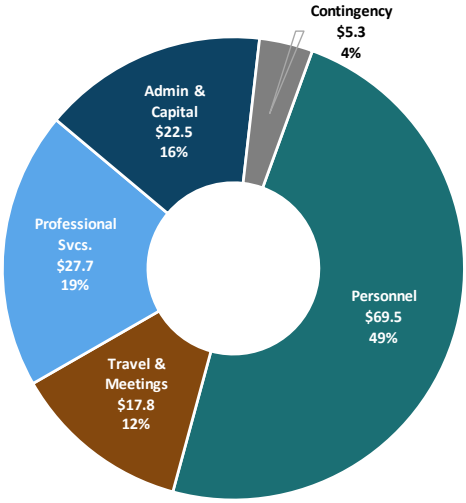
ICANN Operations: Cash Expenses by Category

FY19 operations cash expenses of $138 million is $5 million below the FY18 Adopted Budget expenses of $143 million. In addition, FY19 operations cash expenses of $138 million is $3 million above the FY18 forecast expenses of $135 million.

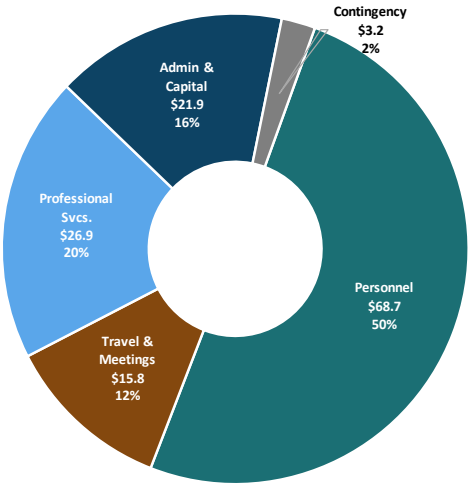
FY17 Actuals



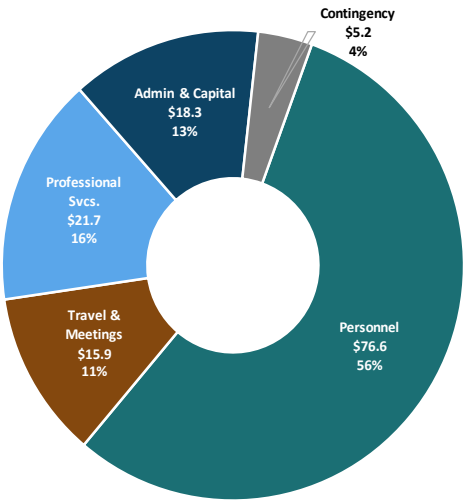
FY18 Adopted Budget



FY18 Forecast



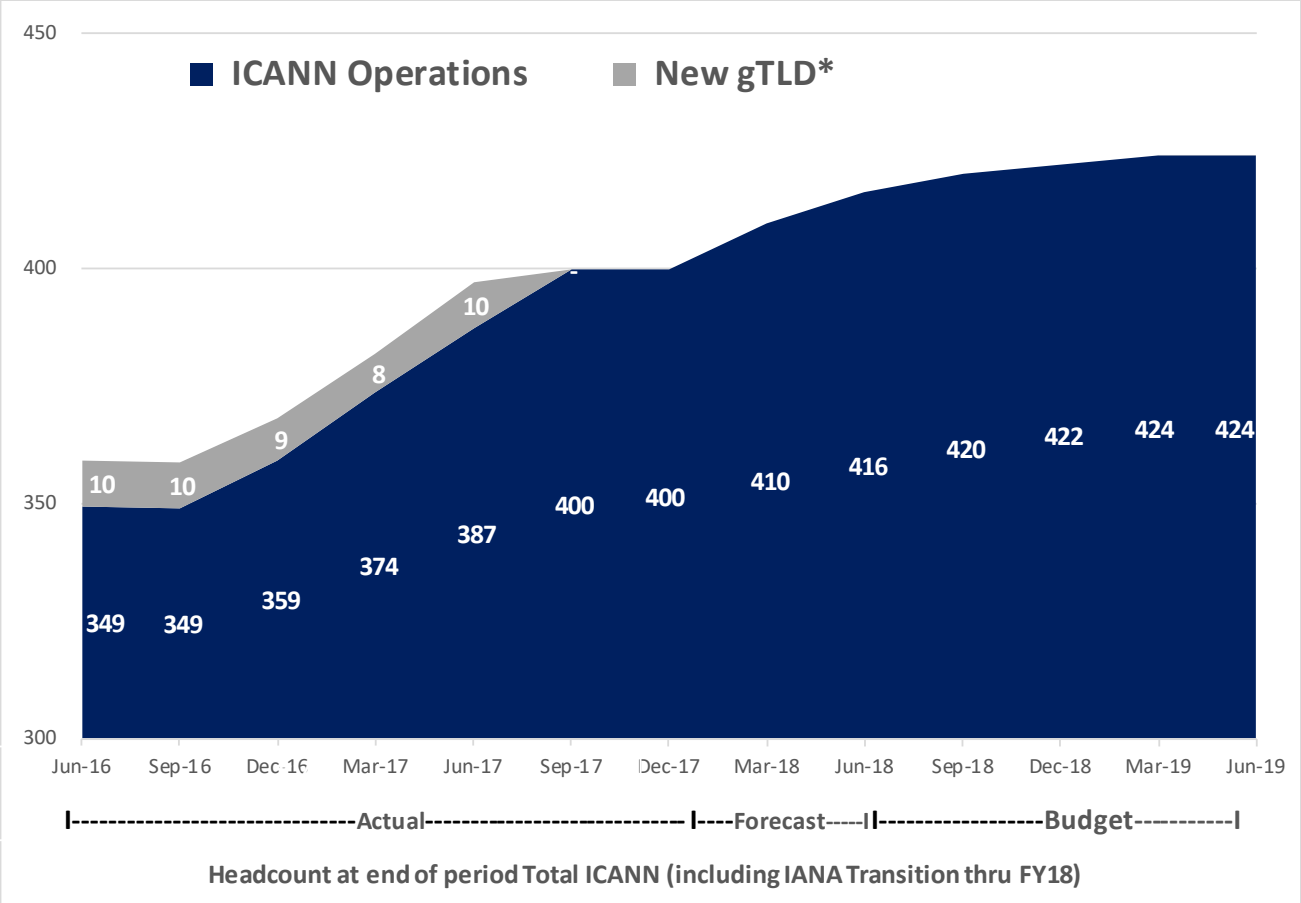
FY19 Proposed Adopted Budget



Three Year Summary Expenses By Category	FY17 Actuals	% TTL	FY18 Adopted Budget	% TTL	FY18 Forecast	% TTL	FY19 Adopted Proposed Budget	% TTL
Personnel	$59.5	46%	$69.5	54%	$68.7	50%	$76.6	56%
Travel & Meetings	$18.1	14%	$17.8	14%	$15.8	12%	$15.9	12%
Professional Svcs.	$23.5	18%	$27.7	22%	$26.9	20%	$21.7	16%
Admin & Capital	$27.4	21%	$22.5	17%	$21.9	16%	$18.3	13%
Contingency	$0.0	0%	$5.3	4%	$3.2	2%	$5.2	4%
Cash Expenses	**$128.5**	**100%**	**$142.8**	**111%**	**$136.5**	**100%**	**$137.7**	**100%**

Budget Headcount: Three-Year Overview

The headcount below represents the number of ICANN organization employees working on the last calendar day of each period. In FY19, as the New gTLD Program progresses, the dedicated resources previously reported under the Program are transferring to ICANN Operations and will continue to support the program as required.



Cash Flow Management: Cash Flow Synopsis

The following table describes ICANN's planned cash inflows and outflows for FY19.

Cash Flow Statement	For the Year Ended 6/30/2019				
In Millions, US dollars	Operating Fund	Reserve Fund	NgTLD	Auction Proceeds	Total
Funds Under Management - June 30, 2018	**$ 31.0**	**$ 65.1**	**$ 114.5**	**$ 237.3**	**$ 447.8**
Collected/ (refunded) from contracted parties	137.2		(3.7)		133.5
Auction Proceeds	-		-		-
Paid to vendors, net of reimbursement	(60.5)		(8.3)		(68.8)
Paid to employees, net of reimbursement	(76.8)		(2.5)		(79.4)
Reimbursement from Reserve Fund - IANA Transition Project Costs [(1)]	$ (1.2)	$ 1.2			-
Historical Development Costs	1.4		(1.4)		-
Capital expenditures	(1.1)		-		(1.1)
Change in investment market value		4.7	1.1	2.0	7.8
Funds Under Management - June 30, 2019	**$ 29.9**	**$ 71.0**	**$ 99.7**	**$ 239.3**	**$ 439.9**

(1) The IANA Stewardship Transition Project Costs are reimbursed from the Reserve Fund every six months for the previous six months of expenses. The FY19 impact represents the project expenses for the second half of FY18 (expenses incurred from January 2018 through June 2018) only as the program concluded in FY18.

The above positions for the Operating Fund and Reserve Fund do not reflect the effect of potential decisions to be considered and approved by the Board that could affect these positions, for example, a replenishment of the Reserve Fund by an allocation from the Operating Fund. Such Board decisions are made using the audited financial statements of each fiscal year, which are available by the end of October of every year, for the fiscal year closed on the previous 30 of June.

ICANN's investment policies for the Reserve Fund and the New gTLD/Auction Proceeds are published on ICANN.org at:

- ICANN investment-policy
- New gTLD and Auction Proceeds investment-policy

Document 2:

Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY19 Total Budget

18 May 2018

PROPOSED ADOPTED ICANN FY19 PLANNING DOCUMENTS

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

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Summary of Changes

This section will show changes made to the Proposed for Adoption FY19 Operating Plan and Budget based on input received from the Public Comment period.

Document / Topic	Public Comments/Rationale for Change	Actions
Document #2, section 2.52.2 Reduction to Engagement and Community Support Document #4, Module 2 - Direct Community Activity Support	Additional travel support for Fellows was added	After careful evaluation of the public comments submitted in support of the Fellows, an additional 15 seats has been added to all 3 ICANN meetings
Document #6, Portfolio 1.3.1 Support Policy Development, Policy Related and Advisory Activities	Support for CROP was added	In responses to public comments added back 50% of the FY18 program.
Document #6, Portfolio 3.2.3 IT Service Scaling and Product Management	Support for ICANN Wiki was added	After careful evaluation of the public comments submitted in support of the ICANN Wiki.
Document #6, Portfolio 1.2.1. Meeting Services	Additional travel support for meetings venue costs	Adjustment based on a review of projected meetings costs.
	Work Stream 2 (PCST) expenses were lowered	Adjustment based on review of implementation costs.
	Sponsorships/Contribution Expenses were lowered	Re-alignment of ICANN priorities.
Document #3, Section 4 Organizational and Specific Reviews	Organizational Reviews Timing	Better aligned scope of reviews with historical trends and operation capacity.
Document #3, Section 6 Data Protection and Privacy	General Data Protection Regulation project increased. Transfer from legal recurring activities to GDPR activities.	Draft budget did not include a specific Legal budget for GDPR. This figure reflects the Legal department's current estimate for GDPR work.

Document #3, Section 7 Information Transparency Initiative Document #6, Portfolio 1.2.2 Engage Stakeholder Regionally	ITI Project Timing	Reduction for ITI Communications as result of amended figures. Costs have been shifted to future years, the estimated cost of the project has no changed.
Document #2, section 2.2 Funding	Funding - Reduction in Meeting Sponsorships	Re-aligned with recent trends.
Document #2, section 2.2 Funding	Funding – Legacy TLDs Transactions Growth	Increase in growth rate
Document #2, section 2.2 Funding	Funding – New gTLD Transactions Growth	Decrease in growth rate
Document #2, section 2.2 Funding	Funding - Registry Fixed Fees	Re-aligned with recent expected number of TLDs
Document #2, section 2.2 Funding	Funding - Registrar Accreditation Fees	Re-aligned with recent expected number of Registrars
Document #2, section 2.1 Financial Overview	The ABR project codes were aligned to the placeholder estimate published.	The ABR project code amounts were corrected.
Document #2, section 2.1 Financial Overview	Additional Contingency amounts were increased	Due to budget realignments mentioned above, additional contingency was added

Introduction

This document contains the Internet Corporation for Assigned Names and Number (ICANN) Proposed Adopted Fiscal-Year 2019 (FY19) Operating Plan and Budget. ICANN's FY19 runs:

1 July 2018 - 30 June 2019

COMMUNITY INPUT TO ICANN'S PLANNING PROCESSES

The Proposed Adopted Fiscal-Year 2019 Operating Plan and Budget was submitted for public comment as required by ICANN's Bylaws, and in accordance with ICANN's public comment policy, on 19 January 2018. Following the public comment period, ICANN org held two sessions at ICANN61 with the community to improve understanding of the comments. These sessions helped ICANN org develop better responses and identify changes to make to the draft plans. ICANN published its Report of Public Comment Proceeding on the 24 April 2018.

Enabling stakeholder engagement in ICANN's planning process, through accessible information and effective interaction, is a fundamental part of ICANN's multistakeholder model. The publishing of the Proposed Adopted version of the FY19 Operating Plan and Budget for public comment is a key element in the transparency and community engagement in ICANN's planning process.

ICANN welcomes and recognizes the past, present and future engagement of all stakeholders into the ICANN's planning process, whether relative to the strategic plan, operating plan, budget or ongoing operational and financial updates.

Need Help Understanding the Budget?

The ICANN online glossary defines and explains terminology used in this document.

WHAT IS IN THE OPERATING PLAN AND BUDGET?

The Operating Plan and Budget includes:

- Highlights of ICANN Operations, excluding the New Generic Top Level Domain (gTLD) Program, which is covered separately
- The activities that have already been submitted for public comment and adopted as a part of the Public Technical Identifiers (PTI) FY19 Operating Plan and Budget
- Highlights of the New gTLD Program
- An overview of ICANN's Total FY19 Budget, combining ICANN Operations and the New gTLD Program
- An appendix linking to a list of projects, for each portfolio, with the project-level budgeted costs by category

The Proposed Adopted budget includes data on all projects planned to be carried out during FY19, and displays all costs categories for each project. To make the rationale for each project and activity clear and transparent, each project is also mapped to one of the five objectives of the ICANN Strategic Plan for fiscal years 2016–2020, through the hierarchy of portfolios and goals.

Where useful, comparative information for FY18 is provided, using actual and forecast information.

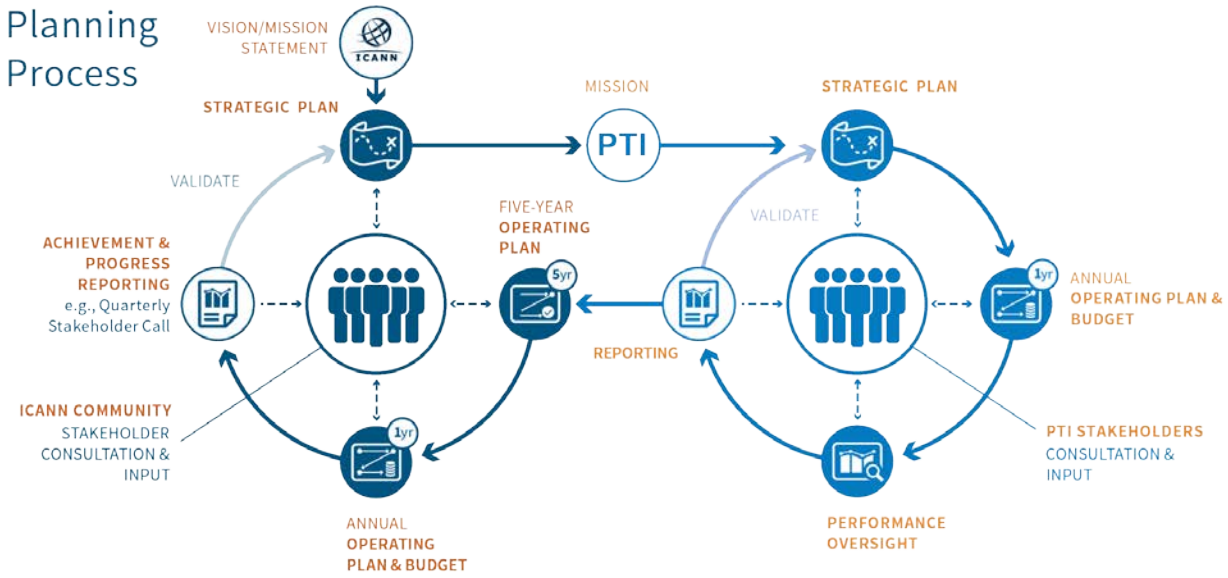
PTI operations

PTI's FY19 Operating Plan and Budget was submitted for public comment in late 2017 and was adopted by the PTI Board in January 2018.

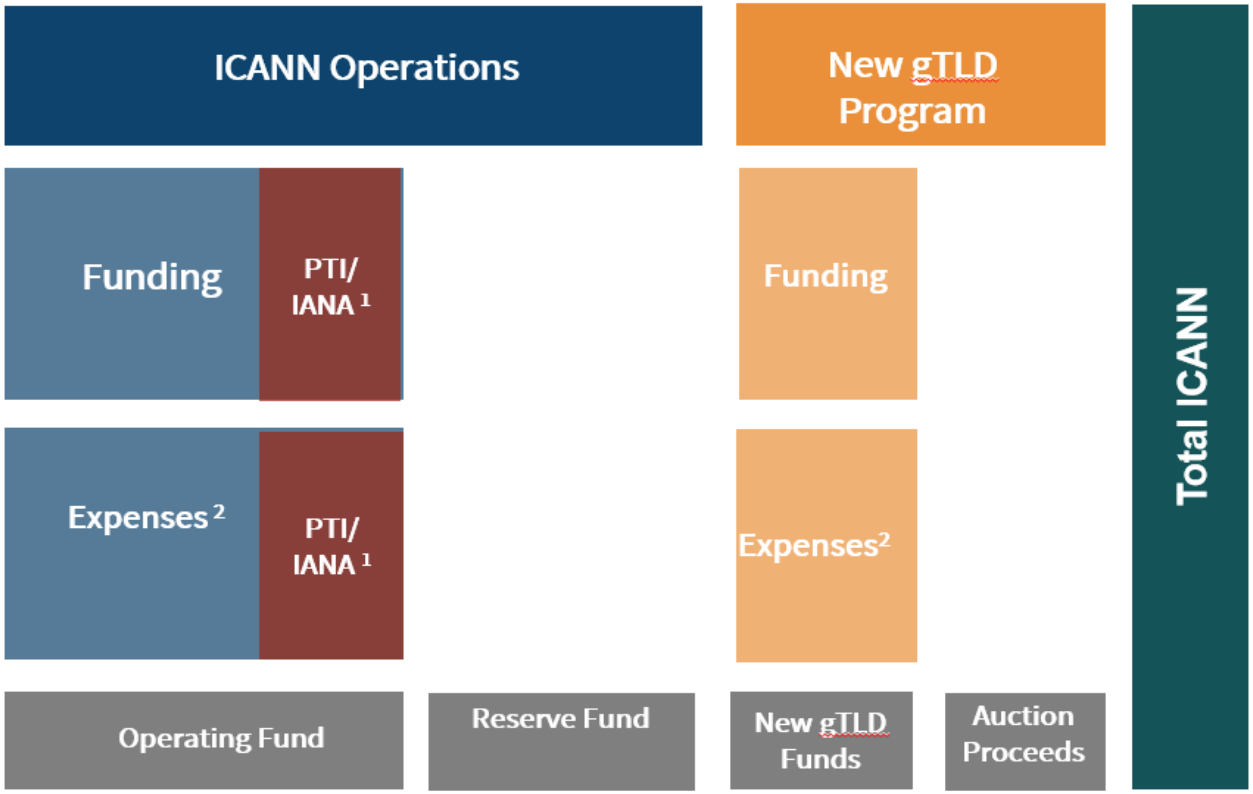
PTI operations are a part of ICANN's total operations and are documented in the Proposed Adopted FY19 ICANN Operating Plan and Budget.

1 Planning and Budget Overview

The graphic below shows an overview of the five-year planning cycle for fiscal year 2016 through fiscal year 2020 (FY16-FY20). The planning process consists of the ICANN Strategic Plan for fiscal years 2016–2020 and the Five-Year Operating Plan, which provide input and a basis for the annual planning process. The process includes consultation on and development of an Operating Plan and Budget for PTI. PTI's plans feed into the consultation on and development of both the Internet Assigned Numbers Authority (IANA) Budget and the total ICANN Budget.



The diagram below shows the structure of the budget information presented in this document:



[1] IANA Services includes ICANN's and PTI's IANA Expenses
[2] Excludes depreciation and bad debt expenses

2 ICANN Operations

This section provides an overview of the ICANN Operations funding and cash expenses.

2.1 Financial Overview

2.1.1 Proposed Adopted FY19 Budget vs Adopted FY18 Budget

This table provides a comparison of the Proposed Adopted FY19 Budget to the Adopted FY18 Budget as a reference point from the last Budget submitted for public comment. The Proposed Adopted FY19 Budget reflects funding and expenses that are -$5.1 million lower than the Adopted FY18 Budget.

	Proposed Adopted FY19 Budget			Adopted FY18 Budget			Increase/(Decrease) vs. FY18 Budget			
in Millions, USD	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Ops	IANA - PTI	Total ICANN Ops	%
Funding	**$137.7**	**$0.0**	**$137.7**	**$142.8**	**$0.0**	**$142.8**	**($5.1)**	**$0.0**	**($5.1)**	**-3.6%**
Personnel	70.6	6.0	76.6	63.8	5.8	69.5	6.8	0.3	7.1	10%
Travel & Meetings	15.2	0.7	15.9	17.2	0.6	17.8	(2.0)	0.1	(2.0)	-11%
Professional Svcs.	20.2	1.5	21.7	26.2	1.4	27.7	(6.0)	0.1	(5.9)	-21%
Administration [1] & Capital	16.4	1.9	18.3	20.7	1.8	22.5	(4.3)	0.1	(4.1)	-18%
Contingency [2]	4.8	0.5	5.2	4.9	0.5	5.3	(0.1)	(0.0)	(0.1)	-2%
Cash Expenses	**$127.2**	**$10.6**	**$137.7**	**$132.8**	**$10.0**	**$142.8**	**($5.6)**	**$0.5**	**($5.1)**	**-3.6%**
Increase/ (Decrease) to Net Assets	**$10.6**	**($10.6)**	**$0.0**	**$10.0**	**($10.0)**	**($0.0)**	**$0.6**	**($0.5)**	**$0.0**	**-100%**
End of Period Headcount	**401**	**23**	**424**	**391**	**23**	**414**	**10**	**0**	**10**	**2%**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.

(2)The FY19 and FY18 Budgeted contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments.

2.1.2 FY18 Forecast vs Adopted FY18 Budget

This table provides a comparison of the FY18 Forecast to the FY18 Adopted Budget. The FY18 Forecast is the latest data on FY18. The FY18 Forecast reflects funding and expenses that are -$8.3 million lower than the Adopted FY18 Budget.

in Millions, USD	FY18 Forecast			Adopted FY18 Budget			Increase/(Decrease) vs. FY18 Budget			
	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	%
Funding	**$134.5**	**$0.0**	**$134.5**	**$142.8**	**$0.0**	**$142.8**	**($8.3)**	**$0.0**	**($8.3)**	**-5.8%**
Personnel	63.0	5.8	68.7	63.8	5.8	69.5	(0.8)	0.0	(0.8)	-1%
Travel & Meetings	15.2	0.6	15.8	17.2	0.6	17.8	(2.1)	0.0	(2.1)	-12%
Professional Svcs.	25.4	1.4	26.9	26.2	1.4	27.7	(0.8)	0.0	(0.8)	-3%
Administration (1) & Capital	20.2	1.8	21.9	20.7	1.8	22.5	(0.5)	0.0	(0.5)	-2%
Contingency (2)	2.7	0.5	3.2	4.9	0.5	5.3	(2.1)	0.0	(2.1)	-40%
Cash Expenses	**$126.5**	**$10.0**	**$136.5**	**$132.8**	**$10.0**	**$142.8**	**($6.3)**	**$0.0**	**($6.3)**	**-4%**
Increase/ (Decrease) to Net Assets	**$8.0**	**($10.0)**	**($2.0)**	**$10.0**	**($10.0)**	**($0.0)**	**($2.0)**	**$0.0**	**($2.0)**	**11167%**
Funding from FY17 Savings (Approved by Board)			**$0.0**						**$0.0**	**n/a**
Increase/ (Decrease) to Net Assets	**$8.0**	**($10.0)**	**($2.0)**	**$10.0**	**($10.0)**	**($0.0)**	**($2.0)**	**$0.0**	**($2.0)**	**11167%**
End of Period Headcount	**394**	**21**	**416**	**391**	**23**	**414**	**3**	**(1)**	**2**	**0%**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.

(2)The budgeted contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY18 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.

2.1.3 ICANN Operations Proposed Adopted FY19 Budget vs FY18 Forecast

in Millions, USD	Proposed Adopted FY19 Budget			FY18 Forecast			Increase/(Decrease) vs. FY18 Forecast			
	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	%
Funding	**$137.7**	**$0.0**	**$137.7**	**$134.5**	**$0.0**	**$134.5**	**$3.2**	**$0.0**	**$3.2**	**2.4%**
Personnel	70.6	6.0	76.6	63.0	5.8	68.7	7.6	0.3	7.9	11%
Travel & Meetings	15.2	0.7	15.9	15.2	0.6	15.8	0.0	0.1	0.1	1%
Professional Svcs.	20.2	1.5	21.7	25.4	1.4	26.9	(5.2)	0.1	(5.1)	-19%
Administration (1) & Capital	16.4	1.9	18.3	20.2	1.8	21.9	(3.7)	0.1	(3.6)	-16%
Contingency (2)	4.8	0.5	5.2	2.7	0.5	3.2	2.0	(0.0)	2.0	64%
Cash Expenses	**$127.2**	**$10.6**	**$137.7**	**$126.5**	**$10.0**	**$136.5**	**$0.7**	**$0.5**	**$1.2**	**0.9%**
Increase/ (Decrease) to Net Assets	**$10.6**	**($10.6)**	**$0.0**	**$8.0**	**($10.0)**	**($2.0)**	**$2.5**	**($0.5)**	**$2.0**	**n/a**
Funding from FY17 Savings (Approved by Board)						**$2.0**			**($2.0)**	**-100%**
Increase/ (Decrease) to Net Assets	**$10.6**	**($10.6)**	**$0.0**	**$8.0**	**($10.0)**	**($0.0)**	**$2.5**	**($0.5)**	**$0.0**	**n/a**
End of Period Headcount	**401**	**23**	**424**	**393**	**23**	**416**	**8**	**0**	**8**	**2%**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.

(2)The FY19 contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY18 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.

The tables that follow provide additional information on the assumptions and variance analysis for the Proposed Adopted FY19 Budget.

Contingency

Contingency represents an amount of budgeted expense unallaocated to specific activities or departments. Contingency in the FY19 Budget of $5.2M or approx. 4% of total expenses.

Some of the key projects with unforeseen expense that may require contingency are:

- Subsequent procedures
- CCT Reviews
- GDPR
- Work Stream 2
- Reserve Fund Replenishment
- Other unforeseen expenses

The following table describes ICANN Operation's planned cash expenses by function for FY19.

in Millions, USD		FY19 Proposed Adopted Budget [1]					FY18 Forecast					Increase/(Decrease)					
Executive Group	Executive	End of Period Hdct	Avg Hdct	Perso-nnel	Other	Total	End of Period Hdct	Avg Hdct	Perso-nnel	Other	Total	End of Period Hdct	Avg Hdct	Perso-nnel	Other	Total	%
DNS Industry and Engagement	Atallah	29	29	$5.3	$2.0	$7.3	29	29	$4.8	$2.6	$7.5	-	(0.5)	0.5	(0.7)	(0.2)	-2%
Global Domains Division Ops and Product Mgt.	Atallah	56	56	$9.0	$3.3	$12.4	51	51	$8.4	$3.9	$12.3	5	5.0	$0.6	($0.6)	$0.0	0.1%
PTI Department	Atallah	17	17	$3.0	$1.8	$4.7	17	17	$3.0	$1.2	$4.2	-	-	(0.0)	0.5	0.5	11%
Regional Offices	Bennett	0	0	$0.0	$6.6	$6.6	0	0	$0.0	$6.0	$6.0	-	-	0.0	0.5	0.5	9%
Operations	Bennett	16	16	$3.2	$3.6	$6.8	17	17	$2.9	$4.2	$7.1	(1)	(1.0)	0.2	(0.6)	(0.3)	-5%
Strategic Communications	Burns	27	27	$4.1	$5.9	$10.0	26	26	$3.7	$5.9	$9.6	1	1.3	0.4	(0.1)	0.4	4%
Finance & Procurement and ERM	Calvez	19	19	$3.5	$1.7	$5.3	15	15	$3.3	$1.7	$5.1	4	3.6	0.2	0.0	0.2	4%
Office of the CTO	Conrad	19	19	$5.3	$2.9	$8.2	17	17	$4.5	$3.7	$8.2	2	2.0	0.8	(0.9)	(0.1)	-1%
Global Stakeholder Engagement	Costerton	30	30	$6.1	$1.9	$8.0	31	31	$5.5	$2.5	$8.0	(1)	(1.0)	0.6	(0.6)	(0.0)	0%
Meeting Operations	Costerton	8	8	$1.6	$4.1	$5.6	8	8	$1.3	$3.8	$5.1	-	-	0.2	0.3	0.6	11%
Development and Public Responsibility	Costerton	7	7	$0.8	$1.1	$1.9	8	8	$0.9	$1.8	$2.7	(1)	(1.0)	(0.1)	(0.7)	(0.8)	-29%
Contr. Compliance & Consumer Safeguards	Hedlund	29	29	$4.4	$1.0	$5.3	29	29	$4.0	$1.4	$5.4	-	-	0.3	(0.4)	(0.1)	-1%
Governance Support	Jeffrey	24	24	$6.4	$2.6	$9.0	17	17	$5.2	$3.8	$9.0	7	6.7	1.2	(1.2)	(0.0)	0%
Governmental Engagement	Kamel	9	9	$2.6	$0.8	$3.5	8	8	$2.0	$1.1	$3.2	1	1.0	0.6	(0.3)	0.3	10%
Office of the CEO	Marby	3	3	$1.4	$0.5	$1.9	3	3	$1.4	$0.6	$2.0	-	-	0.0	(0.1)	(0.1)	-5%
Policy Development & SO/ AC Engagement	Olive	35	35	$4.9	$1.8	$6.8	35	35	$4.5	$2.5	$7.0	0	0.2	0.4	(0.6)	(0.2)	-3%
Constituent/ Stakeholder Travel	Olive	0	0	$0.0	$2.7	$2.7	0	0	$0.0	$2.2	$2.2	-	-	0.0	0.5	0.5	25%
Information Technology	Rangan	24	24	$4.7	$2.7	$7.5	28	28	$5.1	$4.3	$9.4	(4)	(4.3)	(0.4)	(1.5)	(1.9)	-20%
Engineering	Rangan	41	41	$7.1	$8.8	$15.9	36	36	$6.2	$9.3	$15.5	5	5.0	0.9	(0.5)	0.4	3%
Global Human Resources and Admin	Schroeder	24	24	$3.8	$0.6	$4.4	23	23	$3.3	$0.7	$4.0	1	1.4	0.4	(0.1)	0.4	9%
Multistakeholder Strategy & Strategic Initiatives	Swinehart	19	19	$3.4	$2.6	$6.0	17	17	$3.1	$3.3	$6.4	3	2.5	0.3	(0.7)	(0.4)	-6%
Ombudsman	Ombudsman	1	1	$0.3	$0.3	$0.6	1	1	$0.2	$0.3	$0.6	-	-	0.0	(0.0)	(0.0)	-2%
New gTLD Allocations		0	0	-$2.0	-$1.5	-$3.5	0	0	-$2.5	-$2.4	-$4.9	-	-	0.5	0.8	1.4	-28%
Corporate (includes attrition and contingency)		(13)	(13)	-$2.2	$3.3	$1.1	0	0	-$2.2	$3.2	$1.0	(13)	(13.0)	0.0	0.1	0.1	8%
Ending Headcount	Total	424	424	$76.6	$61.1	$137.7	416	416	$68.7	$67.8	$136.5	8.3	7.8	$7.9	($6.6)	$1.2	1%

(1) Includes contingency ($5.2M).

2.2 Funding

This section provides an overview of ICANN's funding, starting with the assumptions that support the FY19 estimates. The best estimate matches the FY19 funding included in the FY19 budget. The high and low estimates provide for a sensitivity analysis of some of the funding items and are the result of variations of the best estimate.

	Funding Type	Best Estimate	High Estimate	Low Estimate
Legacy TLDs	Transaction-based Fees	Assumes growth of transaction volume of 2.6% as per historical average	Growth of 4.1%	Growth of 2.7%
New TLDs	Fixed Fees	1,218 TLDs assumed delegated as of July 1, 2018 and 1,221 TLDs assumed delegated by June 30, 2019	Same as Best Estimate	Same as Best Estimate
	Transaction-based Fees	Transactions estimated using the per-TLD average number of transactions per month since delegation (average transactions during month 1, month 2,…) resulting in y/y transaction growth of 9.1%	Growth of 36.5% vs. 2018	Growth of 19.9% vs. 2018

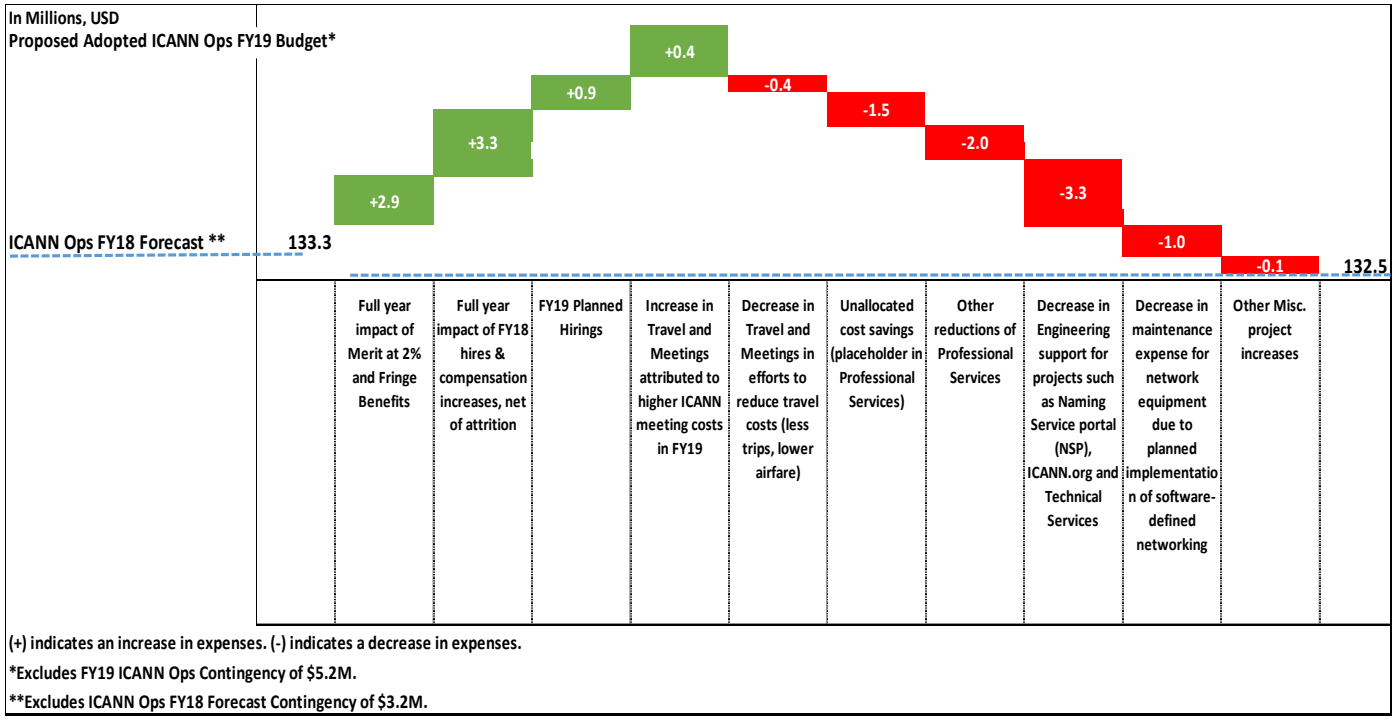
	Funding Type	Best Estimate	High Estimate	Low Estimate
Registrar Accreditation	Application Fees	The number of accredited registrars is maintained at current levels and increases based on pending applications - 15 for each quarter, 60 for the whole year	Same as Best Estimate	Same as Best Estimate
	Accreditation Fees	The number of accredited registrars is maintained at current levels and increases based on pending applications - 15 for each quarter, 60 for the whole year	Same as Best Estimate	Same as Best Estimate
	Per-registrar Variable Fees	Constant total of $3.4m	Same as Best Estimate	Same as Best Estimate
New gTLD Program	Application Fees Revenue	Portion of application fees recognized in Funding ratably based on evaluation expense incurred vs total evaluation expenses forecasted	Same as Best Estimate	Same as Best Estimate

The following table describes ICANN's funding by source and type, comparing for each the best estimate for the FY19 budgeted year and for the FY18 current year.

In Millions, US Dollars	FY 19 Best Estimate	FY18 Forecast	+Incr./ -Decr.	%	FY19 Estimates High	FY19 Estimates Low	FY18 Budget
Transactions							
Registry transaction fees - Legacy	$ 49.6	$ 48.6	$ 1.0	2.1%	$ 49.2	$ 48.5	$ 48.4
Registry transaction fees - New gTLD	5.1	4.6	0.5	10.4%	6.4	5.6	8.9
Registrar transaction fees - Legacy	30.2	29.5	0.8	2.6%	30.7	30.1	29.4
Registrar transaction fees- New gTLD	4.3	3.9	0.4	9.1%	5.4	4.7	7.5
Sub-total	**89.2**	**86.6**	**2.6**	**3.0%**	**91.6**	**88.9**	**94.2**
Volume: legacy transactions (millions)	*167.9*	*163.6*	*4.3*	*2.6%*	*170.4*	*168.1*	*163.6*
Volume: New gTLD transactions (millions)	*23.9*	*21.9*	*2.0*	*9.1%*	*30.0*	*26.3*	*41.7*
Sub-total	*191.9*	*185.6*	*6.3*	*3.4%*	*200.4*	*194.4*	*205.3*
Volume: New gTLD billable transactions (millions)	*20.3*	*18.3*	*2.0*	*11.1%*	*25.5*	*22.4*	*35.4*
New gTLD Billable rate - average	*84.9%*	*83.4%*	*1.5%*		*85.0%*	*85.0%*	*85.0%*
Registry Fixed Fees	**30.5**	**30.6**	**(0.1)**	**-0.3%**	**31.3**	**30.7**	**30.8**
Registrars accreditation							
Application fees	0.2	0.2	0.0	9.1%	-	-	0.2
Accreditation fees - annual	11.0	10.1	1.0	9.7%	10.3	8.9	10.5
Per-registrar variable fees	3.4	3.4	-	0.0%	3.4	3.4	3.4
Sub-total	**14.7**	**13.7**	**1.0**	**7.3%**	**13.7**	**12.3**	**14.1**
Count of total Registrars - at end of year	*2,609*	*2,217*	*392*	*17.7%*	*2,217*	*2,051*	*2,241*
Incr./(Decr.) new Registrars - at end of year	*60*	*(772)*	*832*	*-107.8%*	*(332)*	*(498)*	*(748)*
Contributions							
RIR	0.8	0.8	-	0.0%	0.8	0.8	0.8
ccTLD	2.1	2.1	-	0.0%	2.1	2.1	2.1
Meeting Sponsorships/other	0.5	0.8	(0.3)	-37.5%	0.8	0.8	0.8
Sub-total	**3.4**	**3.7**	**(0.3)**	**-8.1%**	**3.7**	**3.7**	**3.7**
ICANN Ops Revenue	**$ 137.7**	**$ 134.5**	**$ 3.2**	**2.4%**	**$ 140.4**	**$ 135.6**	**$ 142.8**

2.3 ICANN Operations Cash Expenses

ICANN Operations baseline cash expenses budget (excluding contingency) is $132.6 million. This represents a $0.7 million decrease from $133.3 million in FY18. See comments on the variances between FY19 and FY18 below.



(+) indicates an increase in expenses. (-) indicates a decrease in expenses.

*Excludes FY19 ICANN Ops Contingency of $5.2M.

**Excludes ICANN Ops FY18 Forecast Contingency of $3.2M.

The $0.8 million decrease from $133.3 million in FY18 to $132.5 million in FY19 is driven by the following:

- Full year impact of people hired in FY18 on FY19 budget with an increase in personnel costs due to:
  - 29 personnel estimated to be hired in FY18 working a full year in FY19 versus a partial year in FY18
  - Personnel costs increases (merit, taxes and fringe benefits)
  - Impact of FY19 planned hires: eight new hires
- FY19 Cost Savings Initiatives (Professional Services)
- Decrease in Engineering support for projects such as Naming Service portal (NSp), ICANN.org and Technical Services
- Decrease in maintenance expense for network equipment due to planned implementation of software-defined networking

2.4 Risks and Opportunities

This section outlines the risks and opportunities to the FY19 budget and provides the potential impact of the risk or opportunity on the FY19 budget assumptions as either lower or higher funding or cost.

Risks	Potential amount	Probability
Funding: lower legacy and new gTLD transaction volumes	-$0.5 million	Low
Funding: lower funding from Registrars fixed fees	-$0.5 million	Low
Expenses: Inability to identify costs savings across the organization	-$1.5 million	Medium
Expenses: GDPR compliance	-$1.0 million	Medium

Opportunities	Potential amount	Probability
Funding: higher new gTLD transaction growth	+$0.5 million	Medium
Expenses: Higher benefit on cost run-rates of actions initiated in FY18	+$1.5 million	Medium

A risk is defined as lower funding or a higher expense. An opportunity is defined as the opposite.

2.5 Costs Savings and Activities Not Included in the Proposed Adopted Operating Plan and Budget

As a general principle, ICANN organization (ICANN org) activities and projects result directly or indirectly from Bylaws requirements, and from decisions made by the Board based on community-led policies or recommendations, whether directly or as delegated to the Chief Executive Officer (CEO) and President of ICANN.

The funding for FY18 remains flat at $135 million, and as we plan for FY19 and beyond, we expect it to stabilize at this level. This means ICANN needs to carefully plan and prioritize during this public comment, as well as make savings in order to not spend beyond ICANN's means.

The ICANN org has proposed planned activities and projects to be reduced or delayed, and some funding has been decreased to account for new priorities or increased fixed costs. Below are some of these activities that are either not included in the Proposed Adopted FY19 Operating Plan and Budget, or at a reduced level compared to prior years. This is for the community's review and discussion.

2.5.1 Potential implementation projects/activities not included in the Operating Plan and Budget

The activities below have not been included in the budget for several reasons, such as:

- Community recommendations have not yet been developed
- The Board has not yet approved these recommendations
- ICANN org has not developed an implementation plan

Implementation of recommendations from review teams

In general, review team recommendations that have not been approved by the Board were not included in the budget. When the Board reviews recommendations, the Board will consider resource requirements as part of their overall review of the recommendations. In some case, review recommendations may be accepted with scheduled implementation; accepted with delayed implementation; or rejected. This approach, which involves discussion with the community, applies to all review recommendations

not yet approved by the Board, including: Registration Directory Service (RDS) Review; Competition, Consumer Trust and Consumer Choice (CCT) Review; Second Security, Stability and Resiliency of the DNS Review (SSR2).

Data privacy-related FY19 implementation activities

Data privacy encompasses specific areas of work, such as GDPR implementation and the e-privacy directive, which have resources allocated for FY18, which is when ICANN org anticipates implementation work for GDPR to conclude. Therefore, at this time, no resources have been allocated specifically for GDPR-related implementation work in FY19.

Cross-Community Working Group on Enhancing ICANN's Accountability (CCWG-Accountability) Work Stream 2 (WS2) implementation

After the WS2 Working Group has finalized its recommendations, part of the Board's consideration will need to be the implementation plan including resources needed for the implementation of the recommendations. Upon and until approval, the Board, working with the community, would identify what resources are required to implement these recommendations. Therefore, no resources have been included for any of the implementation work until and unless the Board adopts the recommendations.

Auction Proceeds

Auction proceeds are the proceeds generated from ICANN-authorized service provider auctions as the method of last resort to resolve string contention in the New gTLD Program.

The Cross Community Working Group on New gTLD Auction Proceeds (CCWG-AP) is currently developing recommendations on the mechanism that should be developed for allocating the proceeds. The CCWG's proposal will be the subject of community review and evaluation and will be considered for approval by the Board. The implementation of the recommendations adopted by the Board, and the resulting expenses, have not been included.

The auction proceeds are not being used to support the CCWG's work to decide how the proceeds should be used; this is being funded from the core ICANN budget. However, it is expected that any implementation costs resulting from the CCWG's recommendations would come from auction proceeds.

Implementation of gTLD subsequent procedures

The gTLD Subsequent Procedures Policy Development Process (PDP) Working Group is reviewing existing new gTLD policies to propose any changes or new policies for subsequent procedures. No resources are in the FY19 budget for this implementation work. The Working Group will need to work with the Board to identify necessary resources to support implementation. There are, however, resources planned in FY18 and FY19 to support the PDP Working Group.

2.5.2 Reductions to Engagement and Community Support

Regional capacity building events

Regional capacity building events have been reduced to keep costs for these activities at approximately the same level as previous years (FY17 and 18). This applies equally across all regions and includes events supported or attended by ICANN org, as well as requests from the community. The ICANN org prioritizes events and activities that directly support ICANN's technical mission and policy work.

Ongoing PDPs

Funding will not be available for any new or additional request for accelerated PDP work on priority policy issues, as part of core policy development allocated budget.

Language Services

Given available funding, ICANN org will focus translation resources based on need, rather than standard translation into the six U.N. languages. These needs will be identified by community and org requests.

During ICANN Public Meetings, ICANN org will continue providing interpretation services to the usual major tracks and sessions as normal, but will not provide additional interpretation options.

ICANN org will also continue to optimize materials for translation. For example, as appropriate, ICANN org will work internally and with the community to create executive summaries and other synopses for translation, which will improve understanding and participation while simultaneously reducing costs.

Constituent travel support

Supporting Organizations and Advisory Committees (SO/ACs):

The number of funded seats for SO/ACs constituent travel support and costs remain stable at the same level as FY18.

The FY19 net allocation by group:

SO/AC	# of seats proposed per meeting in FY19
ALAC	29
ccNSO	16
GAC	40
Others unchanged	83

Fellows/Next Gen:

- The number of travel seats funded at each of the three ICANN meetings are:
  - 45 Fellows (down from 60)
  - 15 Next Gen participants (down from 20)

Reductions to Programs:

Program	# of seats proposed in FY19	# of seats reduced by (from FY18)
Fellowship	45 per meeting	15
NextGen	15 per meeting	5

For more details on travel support, please refer to Module 2, Direct Community Support, in Document 4, Operating Plan.

FY19 Additional Budget Requests (ABRs)

ICANN Org received 55 individual document submissions this year. Each proposal has been assessed and evaluated by ICANN senior staff in line with the assessment principles established for the ABR process. The requests received for FY19 included a number of proposals for community participation in Internet governance related events outside of the ICANN meeting structure, as well as outreach opportunities. In line with the premises underlying the proposed FY19 budget, and consistent with the assessment principles, the ABR assessment process focused on facilitating effective and sustainable community work through:

- Granting the available resources to those requests which are directly and demonstrably related to current ICANN policy development, advisory and technical work;
- For travel related requests, a primary consideration was to prioritize events that are intended to take place at an ICANN Public Meeting or other ICANN-organized meeting (e.g. the GDD Summit);
- Addressing capacity building objectives through encouraging collaboration with ICANN's Public Responsibility Support and Global Stakeholder Engagement teams, including development of materials that can be used for online (rather than face-to-face) training; and
- Considering the availability of resources, both financial and staff, to support the individual and collective requests submitted.

The additional budget requests budgeted amount was been reduced by more than 50% resulting in certain support requests not receiving funding.

I. Yes – Recommended for Approval- (17)

Request No.	Organization	Document Title	Recommended Amt	Comments
FY19-02	RySG	Registries Stakeholder Group Request for Travel Support for (7) Participants to attend the 2019 GDD Summit	$ 21,000	Recommending approval for 5 travelers (request was for 7).
FY19-08	NCSG	Participation in Rountable Meetings	10,045	Recommending approval for 1 traveler per ICANN meeting.
FY19-09	NCSG	Capacity Building Program for NCSG/NCUC/NPOC	10,900	Recommending approval for online training and development of learning materials (no travel component).
FY19-11	RrSG	Support for RrSG Attendance at GDD	21,000	Recommending approval for 5 travelers (request was for 7).
FY19-12	ALAC	Access by RALOs for Funding of Local Engagement Activities	20,000	Recommending approval based on a template with published criteria, for use by all five RALOs.
FY19-16	ALAC	Communications, Outreach & Engagement Material Support for At-Large	15,000	Recommending approval as a merged request with FY19-32, FY19-39, and FY19-45, to be managed by ICANN Communications.
FY19-17	ALAC	ALAC Chair Transition Meeting	1,200	Recommending approval for additional hotel night only (no meeting room or technical services included).
FY19-24	GNSO	GNSO Council Strategic Planning Sessions	60,000	Recommending approval for a 2-day meeting (request was for 3 days).
FY19-26	GNSO	GNSO Additional Community Travel Support	30,000	Recommending approval for up to 3 PDP Working Group leaders per ICANN meeting.
FY19-32	ISPCP	Constituency Outreach Material	5,000	Recommending approval as a merged request (see note 4) to be managed by ICANN Communications.
FY19-34	ISPCP	Travel Funding of ISPs in Developing Countries to ICANN Meetings	10,045	Recommending approval for 1 traveler per ICANN meeting.
FY19-36	GAC	Additional Support for Government Travelers to the High Level Government Meeting (HLGM) at ICANN 63 - Barcelona	60,000	Recommending approval for all requested GAC travelers.
FY19-37	GAC	Support for Pilot GAC Capacity Building Workshops	5,000	Recommending approval for 1 capacity building workshop (request was for 5).
FY19-39	BC	BC Outreach Materials	7,500	Recommending approval as a merged request (see note 4) to be managed by ICANN Communications.
FY19-42	NCUC	Policy Writing and Advocacy Training	10,000	Recommending approval for a webinar and development of learning materials (no travel component).
FY19-45	NCUC	Continuation of Communication Support	2,500	Recommending approval as a merged request (see note 4) to be managed by ICANN Communications.
FY19-53	BC	BC Leadership Development	10,045	Recommending approval for 1 traveler per ICANN meeting.
Total			**$ 299,235**	

II. Core –These activities are already included in ICANN's Core Budget- (3)

Request No.	Organization	Document Title	Requested Amt
FY19-23	EURALO	Join NCUC-EURALO Town Hall Events at ICANN 63 in Barcelona	$ 12,000
FY19-25	GNSO	Working Group Enrollment Tool Development	-
FY19-46	NCUC	Joint NCUC-EURALO Town Hall Event at ICANN 63 in Barcelona	$ 12,000
Total			**$ 24,000**

2.5.3 Reductions to Internal Activity or Expenses

ICANN org development activities

Staff development activities, such as offsite meetings, training and education, administrative support, etc., have been reduced, delayed or eliminated in FY19. In addition, requests for administrative support in some offices have not been included in the budget.

IT and Engineering support

A few reductions were proposed to the level of IT and Engineering support, such as:

- Less application development support
- Less end user support for staff at ICANN meetings
- Less audio/video support at ICANN Public Meetings (compared to FY18 level, dependent on the ICANN meeting schedule)

ICANN org sustainability report

There is no funding to conduct an ICANN org sustainability audit and Proposed Adopted report.

Technical Compliance Monitoring

This an internal project to automate the monitoring of the technical requirements included in the registry agreements. A Request for Proposals (RFP) was initiated in late 2017 and the submissions are under review. ICANN org will develop an implementation plan in due time, depending on the RFP results and, if needed, work with the Board to identify necessary resources and funds to support implementation of the project.

2.5.4 Additional Savings From Within ICANN Org

In addition to the above reductions to internal activities or expenses, ICANN org has identified cost savings across all departments. These costs savings are expected to be achieved through an optimized use of ICANN's resources, as well as reductions of activities where necessary. Some of these savings vs requests may represent a reduction of spend year-on-year; others are simply an increase not occurring.

In addition, the Proposed Adopted FY19 budget includes an annual assumption of personnel attrition, resulting from ongoing personnel departures from the organization, voluntary or not, which varies historically between 5% and 10% annually. The effect of such attrition is estimated in total at 15 full-time equivalent, for a total of $2.2 million. Such estimate is not allocated by department in the Budget as the departure of personnel cannot be predicted for each department.

Separately from, and in addition to, the above activities and projects not included in the Proposed Adopted FY19 Operating Plan and Budget, ICANN org departments are required to identify costs savings vs the allocation they requested, either distributed by department or collectively. These costs savings are expected to be achieved through an optimized use of ICANN's resources, as well as reductions of activities where necessary. Some of these savings vs requests may represent a reduction of spend year-on-year, others are simply an increase not occurring.

The Proposed Adopted budget includes $8.5 million in savings, or 6.5% compared to FY18, found within ICANN org through optimized internal processes and procedures. They are as follows:

Cost saving	Source of cost saving
$4.5m	Costs savings allocated by department (other than compensation and travel)
$1.5m	Collective costs savings
$1.3m	Reduction from 4% to 2% of average ICANN org staff compensation increases
$1.2m	Travel/Meeting savings (excluding ICANN Meetings specific costs and Constituent Travel)

If these savings would not be accepted, the total operating expenses would be $8.5 million higher.

This represents approximately a 6% expense savings embedded into the budgeted amount of expenses.

2.6 Caretaker Budget

ICANN Bylaws Section 6.2, "Powers and Acknowledgements", define powers and rights attributed to the Empowered Community. One of these powers is:

> "(iii) Reject ICANN Budgets, IANA Budgets, Operating Plans (as defined in Section 22.5(a)(i)) and Strategic Plans (as defined in Section 22.5(b)(i))."

After approval by the Board, the IANA Budget and ICANN Budget each can only come into effect after giving time for the Empowered Community to consider whether it will raise a petition rejecting the budget. This is typically a 28-day period (21 days to raise a petition; seven days to achieve support). Therefore, even when no petition is raised against the budget, there is a 28-day waiting period for the budget to go into effect.

If the Board approves either the IANA Budget or the ICANN Budget for the next fiscal year with less than 28 days remaining before that fiscal year begins, then a "Caretaker Budget" must be adopted. Under the ICANN Bylaws, there is both a "Caretaker ICANN Budget" and a "Caretaker IANA Budget" (described at Annexes E and F, respectively). The respective Caretaker Budget:

- Is required to go into effect if the ICANN Budget or IANA Budget at issue is not able to come into full force and effect at the beginning of a fiscal year
- Remains in effect during any Empowered Community Petition Process, if it were initiated
- Continues to remain in effect until the budget at issue has been approved by the Board and not rejected by the Empowered Community

Below is an attempt at a pragmatic approach to define the ICANN caretaker budget:

- Using the Operating Plan and Budget that the ICANN Board would adopt as a basis, and with respecting the principles of the caretaker budget:
  - Suspend the publication of any new positions for hire, from the date of the rejection by the Empowered Community that is the veto date, until a new budget is adopted by the Board
  - Reduce by 10% the total amount of allowed expenses for the categories Travel/Meeting and Professional Services of the Board-adopted budget, for the period starting on the date of the rejection by the Empowered Community until a new budget is adopted by the Board, using the monthly breakdown of the adopted budget
  - Exclude any expense directly associated with the reason for which the Empowered Community rejected the Board-adopted budget", if such expense can reasonably be isolated and avoided

2.7 ICANN Operations FY20 Projections

This section provides an overview of FY20 Projections. ICANN org recognizes the need to establish long term financial planning during the upcoming strategic plan development process. The Board requested the ICANN org to develop an approach for long term financial planning, including how to engage and inform the community.

in Millions, USD	FY17 Actuals Total ICANN Operations	FY18 Forecast Total ICANN Operations	Proposed Adopted FY19 Budget Total ICANN Operations	Draft FY20 Projection Total ICANN Operations
Funding	**$134.6**	**$134.5**	**$137.7**	**$139.7**
Personnel	59.5	68.7	76.6	80.5
Travel & Meetings	18.1	15.8	15.9	16.1
Professional Svcs.	23.5	26.9	21.7	23.1
Administration (1) & Capital	27.4	21.9	18.3	18.6
Contingency (2)	0.0	3.2	5.2	4.5
Cost Reductions to Identify				(3.1)
Cash Expenses	**$128.5**	**$136.5**	**$137.7**	**$139.7**
Increase/ (Decrease) to Net Assets	**$6.1**	**($2.0)**	**$0.0**	**$0.0**
Funding from FY17 Savings (Approved by Board)		**$2.0**		
Increase/ (Decrease) to Net Assets	**$6.1**	**($0.0)**	**$0.0**	**$0.0**
End of Period Headcount	**378**	**416**	**424**	**424**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.
(2) The FY18, FY19 and FY20 contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY17 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.
(3) The FY20 projections include an increase for cost of living and inflation. Cost savings will need to be identified to arrive at a balanced budget.

3 PTI Budget and IANA Budget Overview

The planning process for PTI Budget and the IANA Budget is incorporated into the ICANN planning process. The PTI and IANA multiyear plans are a part of ICANN's Five-Year Operating Plan. The adopted version of the PTI Operating Plan and Budget becomes a component of ICANN's FY19 Operating Plan and Budget.

To further enhance the understanding and transparency of its activities, and ultimately its accountability in the management of funds in the public interest, the CCWG-Accountability recommended the following:

> "PTI should submit a budget to ICANN at least nine months in advance of the fiscal year to ensure the stability of the IANA Services. It is the view of the CWG-Stewardship that the IANA Budget should be approved by the ICANN Board in a much earlier timeframe than the overall ICANN budget."

Consultations were conducted on PTI's final FY19 Operating Plan and Budget. After developing a final Proposed Adopted, it was published for Public Comment from 9 October 2017 through 26 November 2017. A report of responses to Public Comments was published in December 2017 and the completed FY19 PTI Operating Plan and Budget was adopted by PTI's Board at the end of January 2018.

The sections of this ICANN FY19 Operating Plan and Budget relating to PTI are therefore already finalized and described in the PTI Operating Plan and Budget document.

3.1 IANA Budget Overview

ICANN receives input from PTI on its budget and then develops an IANA Budget each year. The Proposed Adopted FY19 IANA Operating Plan and Budget is presented for public comment using ICANN's Public Comment process. When that process ends, the ICANN organization develops a proposed Operating Plan and Budget for the ICANN Board to review and adopt. The adopted Budget forms the basis for ICANN's funding of PTI operations.

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FY19 PTI Budget in Millions, USD		PTI Services FY19 Budget	PTI Services FY18 Budget	Increase/(Decrease) Total	Increase/(Decrease) %
FUNDING		**$10.0**	**$9.6**	**$0.4**	**4.2%**
Personnel		$6.0	$5.8	$0.2	3.5%
Travel & Meetings		$0.7	$0.6	$0.1	8.6%
Professional Services		$1.1	$1.1	$0.0	1.7%
Administration		$1.3	$1.2	$0.1	5.2%
Contingency		$0.5	$0.5	($0.0)	-0.9%
Capital		$0.2	$0.1	$0.1	157.6%
Depreciation	(a)	$0.3	$0.4	($0.1)	-17.7%
TOTAL CASH EXPENSES		**$10.0**	**$9.6**	**$0.4**	**4.2%**
EXCESS/(DEFICIT)		**$0.0**	**$0.0**	**$0.0**	**0.0%**
Average Headcount (FTE)	(b)	22.8	22.6	0.2	0.8%

(a) Depreciation is treated as a cash expense for PTI since it will be reimbursed to ICANN

(b) FTE: Full-time staff equivalent

FY19 IANA Budget in Millions, USD		FY19 IANA Budget	FY18 IANA Budget	Increase/(Decrease) Total	Increase/(Decrease) %
PTI Services		$10.0	$9.6	$0.4	4.2%
IANA Services	(c)	$0.5	$0.4	$0.1	18.8%
TOTAL		**$10.5**	**$10.0**	**$0.5**	**4.7%**

(c) IANA Services include RZMA = Root Zone Maintainer Agreement, Empowered Community, and RZERC support. It will be funded by ICANN Operations.

4 New gTLD Program

4.1 New gTLD Program: Financial Summary

This section provides a financial summary of the New gTLD program.

ICANN (NgTLD) DECEMBER 2017	FINANCIAL SUMMARY		
	FULL PROGRAM		
In Millions, USD	Current Estimate (Dec 2017)	Prior Estimate (Feb 2017)	Increase/ (Decrease)
Total Application Fees	-$362.4	-$362.4	
Less: Total Refunds	52.7	52.7	
Net Application Fees	**-309.7**	**-309.7**	**0.0**
Expenses			
Evaluation Costs	123.9	115.9	8.0
Overheads	64.6	60.3	4.4
Historical Development Costs	32.5	32.5	0.0
Total Operating Expenses	**221.0**	**208.6**	**12.4**
Others *	7.0	5.4	1.6
Remaining Balance	**-$81.8**	**-$95.8**	**$14.0**

VARIANCE EXPLANATIONS

Evaluation Costs **$8.0**
Increase in evaluation expenses for FY19 and FY20.

Overheads **$4.4**
Increase in allocation for ICANN direct staff and supporting services for FY19 and FY20 (+$4.6M).

Others **$1.6**
Variance due to an Increase in actual risk costs of (+$3.9) and an increase in investment management fees (+$0.3M) partially offset by an incresae in net investment gains (-$2.6M). Future risk cost through the end of the program cannot be estimated.

*** Includes net investment gains/loss and actual risk costs.**

All information is related to the current round of the New gTLD Program (2012-2020)

4.2 New gTLD Program: Multiyear View

1930 Applications USD in thousands	Statement of Activities by Fiscal Year										Statement of Activities for Full Program (Dec 2017)
	FY12 Actual	FY13 Actual	FY14 Actual	FY15 Actual	FY16 Actual	FY17 Actual	FY18 Forecast	FY19 Forecast	FY20 Forecast	FY21 & Beyond Forecast	
New gTLD Applicant Fees		(166,846)	(45,887)	(71,366)	(27,390)	(21,643)	4,987	(18,421)	(14,469)	-	(361,034)
ICANN Applicant Support Contributions		-	-	-	-	-	(138)	-	-	-	(138)
Additional Fees		-	(540)	(514)	(229)	5	-	-	-	-	(1,278)
Refunds		8,936	12,080	18,448	2,189	658	1,677	3,661	5,053	-	52,703
Revenue (Net of Refunds)	$ -	$ (157,909)	$ (34,347)	$ (53,432)	$ (25,429)	$ (20,980)	$ 6,526	$ (14,760)	$ (9,416)	$ -	$ (309,747)
Initial Evaluation	3,172	57,491	3,650	23	-	-	-	-	-	-	64,336
Extended Evaluation	-	-	760	383	(15)	-	-	-	-	-	1,128
Quality Control	-	7,100	462	62	-	-	-	-	-	-	7,624
String Contentions	-	-	5	-	-	-	-	-	-	-	5
Objection Processes	39	3,550	(1,064)	(23)	-	-	-	-	-	-	2,503
Pre-delegation	-	124	4,003	3,072	2,371	1,773	1,571	1,471	1,324	-	15,709
Program Administration	450	2,347	4,800	3,911	1,947	4,503	5,489	2,866	2,579	3,700	32,592
											-
gTLD Team	689	1,827	3,796	3,352	1,807	1,889	-	-	-	-	13,360
ICANN Staff Allocation	1,137	5,725	9,947	7,518	7,434	4,355	4,618	3,532	1,766	-	46,031
Other Overhead	107	228	1,991	2,034	345	335	80	69	62	-	5,252
Total Operating Expenses	$ 5,594	$ 78,394	$ 28,350	$ 20,331	$ 13,889	$ 12,854	$ 11,758	$ 7,938	$ 5,731	$ 3,700	$ 188,539
Investment (Income)/Loss		811	(2,457)	(896)	(1,541)	(2,784)	(653)	-	-	-	(7,520)
Investment Unrealized (Gains)/Losses		-	-	-	(479)	380	(138)	-	-	-	(237)
Investment Realized (Gains)/Losses		-	-	-	338	39	15	-	-	-	391
Investment Management Fees	-	14	213	279	60	342	-	-	-	-	908
Historical Development Costs	-	15,396	4,616	5,956	2,322	2,179	(369)	1,366	987	-	32,454
Risk Costs	281	1,068	1,012	2,466	3,352	5,424	-	-	-	-	13,602
Total Other Income/(Expense)	$ 281	$ 17,289	$ 3,384	$ 7,804	$ 4,052	$ 5,581	$ (1,145)	$ 1,366	$ 987	$ -	$ 39,599
Change in Net Remaining Funds	$ 5,874	$ (62,227)	$ (2,612)	$ (25,297)	$ (7,488)	$ (2,545)	$ 17,140	$ (5,455)	$ (2,698)	$ 3,700	$ (81,609)

4.3 New gTLD Program: Variance Analysis

In Millions, USD	EXPENSES			REVENUE		
	Current Estimate (Dec 2017)	Prior Estimate (Feb 2017)	Increase/ (Decrease)	Current Estimate (Dec 2017)	Prior Estimate (Feb 2017)	Increase/ (Decrease)
FY12	$5.6	$5.6	$0.0	$0.0	$0.0	$0.0
FY13	93.8	93.8	0.0	-157.9	-157.9	0.0
FY14	33.0	33.0	0.0	-34.3	-34.3	0.0
FY15	26.3	26.3	0.0	-53.4	-53.4	0.0
FY16	16.2	16.2	0.0	-25.4	-25.4	0.0
FY17	15.0	17.2	-2.2	-21.0	-19.1	1.8
FY18	11.4	12.9	-1.5	6.5	-19.5	-26.0
FY19	9.3	3.7	5.6	-14.8	0.0	14.8
FY20	6.7	0.0	6.7	-9.4	0.0	9.4
FY21 & Beyond	3.7	0.0	3.7	0.0	0.0	0.0
Full Program *	**$221.0**	**$208.6**	**$12.4**	**-$309.7**	**-$309.7**	**$0.0**

*** Excludes Actual Risk Costs and net investment gain or loss**

VARIANCE EXPLANATIONS

Expenses * **$12.4**

Evaluation Processing activities for FY19 and FY20 (-$8.0M), ICANN Staff Allocation (-$4.5M), and partially offset by lower Other Overhead (-$0.1M).

* Detailed explanation of expenses provided in the following pages

4.4 New gTLD Program: Operating Expenses Variance Analysis

Prior Estimate (Feb 2017)		
Operating Expenses	**$176.2**	
Variances - Increase/(Decrease):		
Pre-Delegation	**2.2**	Additional professional services costs for contracting for FY19 and FY20
Program Administration	**5.8**	Higher professional services costs for CCT Metrics and Program Reviews
ICANN Staff Allocation	**4.6**	Allocation for ICANN staff increased due to shift of New gTLD staff to ICANN Ops
Other Overhead	**-0.3**	Depreciation (-$0.2M); All other i.e. travel, etc. (-$0.3M).
Current Estimate (Dec 2017)		
Operating Expenses	**$188.5**	

5 Total ICANN Overview

5.1 FY19 Financial Overview

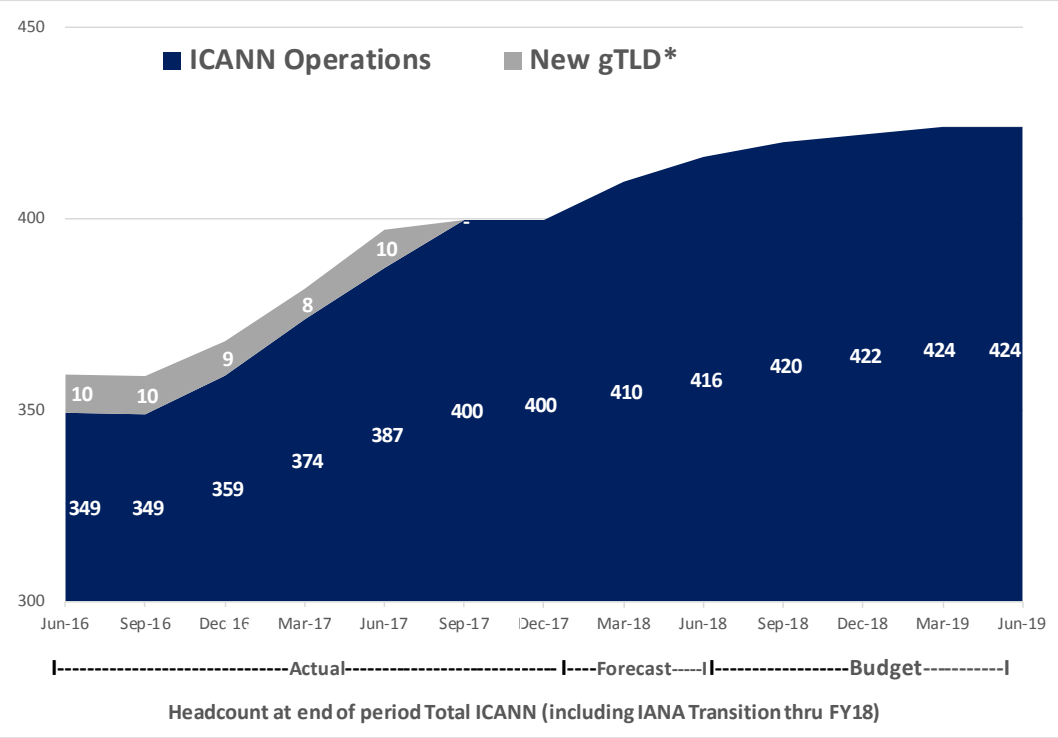
in Millions, USD	Proposed Adopted FY19 Budget			FY18 Forecast				Increase/(Decrease) vs. FY18 Forecast							
	Total ICANN Operations	New gTLD	Total ICANN	Total ICANN Operations	IANA Transition	New gTLD	Total ICANN	Total ICANN Operations	%	IANA Transition	%	New gTLD	%	Total ICANN	%
Funding	**$137.7**	**$14.8**	**$152.5**	**$134.5**	**$0.0**	**($6.5)**	**$128.0**	**$3.2**	**2.4%**	**$0.0**	**n/a**	**$21.3**	**-326.2%**	**$24.5**	**19.2%**
Personnel	76.6	2.0	78.6	68.7	0.9	2.5	72.2	7.9	11%	(0.9)	-100%	($0.5)	-21%	6.4	9%
Travel & Meetings	15.9	0.5	16.4	15.8	0.2	0.7	16.6	0.1	1%	(0.2)	-100%	(0.2)	-22%	(0.2)	-1%
Professional Svcs.	21.7	5.2	26.9	26.9	1.1	7.9	35.8	(5.1)	-19%	(1.1)	-100%	(2.7)	-34%	(9.0)	-25%
Administration [1] & Capital	18.3	0.3	18.7	21.9	0.2	(0.5)	21.7	(3.6)	-16%	(0.2)	-100%	0.8	-168%	(3.1)	-14%
Contingency [2]	5.2	0.0	5.2	3.2	0.0	0.0	3.2	2.0	64%	0.0	n/a	0.0	n/a	2.0	64%
Cash Expenses	**$137.7**	**$8.0**	**$145.7**	**$136.5**	**$2.4**	**$10.6**	**$149.6**	**$1.2**	**0.9%**	**($2.4)**	**-100%**	**($2.6)**	**-25%**	**($3.8)**	**-3%**
Increase/ (Decrease) to Net Assets	**$0.0**	**$6.8**	**$6.8**	**($2.0)**	**($2.4)**	**($17.1)**	**($21.6)**	**$2.0**	**n/a**	**$2.4**	**-100%**	**$23.9**	**-139%**	**$28.3**	**-131%**
Funding from FY17 Savings (Approved by Board)				**$2.0**			**$2.0**	**($2.0)**	**-100%**						
Increase/ (Decrease) to Net Assets	**$0.0**	**$6.8**	**$6.8**	**($0.0)**	**($2.4)**	**($17.1)**	**($19.6)**	**$0.0**	**n/a**	**$2.4**	**-100%**	**$23.9**	**-139%**	**$28.3**	**-145%**
End of Period Headcount	**424**	**-**	**424.0**	**416**	**4.5**	**0.0**	**420.2**	**8**	**2%**	**(4.5)**	**-100%**	**-**	**n/a**	**3.8**	**1%**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.

(2)The FY19 contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY18 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.

5.2 Headcount: Three Year Overview

The headcount below represents the number of ICANN org personnel working on the last calendar day of each period.



*In FY19, as the New gTLD Program progresses, the dedicated resources previously reported under the program are transferring to ICANN Operations and will continue to support the program as required.

5.3 Funds Under Management

5.3.1 Cash Flow Synopsis

The following table describes ICANN's planned cash inflows and outflows for FY19.

Cash Flow Statement	For the Year Ended 6/30/2019				
In Millions, US dollars	Operating Fund	Reserve Fund	NgTLD	Auction Proceeds	Total
Funds Under Management - June 30, 2018	**$ 31.0**	**$ 65.1**	**$ 114.5**	**$ 237.3**	**$ 447.8**
Collected/ (refunded) from contracted parties	136.9		(3.7)		133.2
Paid to vendors, net of reimbursement	(60.7)		(8.3)		(69.0)
Paid to employees, net of reimbursement	(76.6)		(2.5)		(79.2)
Reimbursement from Reserve Fund - IANA Transition Project Costs [(1)]	(1.2)	1.2			-
Historical Development Costs	1.4		(1.4)		-
Capital expenditures	(1.1)				(1.1)
Change in investment market value		4.7	1.1	2.0	7.8
Funds Under Management - June 30, 2019	**$ 29.6**	**$ 71.0**	**$ 99.7**	**$ 239.3**	**$ 439.6**

(1) The IANA Stewardship Transition Project Costs are reimbursed from the Reserve Fund every six months for the previous six months of expenses. The FY19 impact represents the project expenses for the second half of FY18 (expenses incurred from January 2018 through June 2018) only as the program concluded in FY18.

5.3.2 Governance

Name of Fund	Description of Fund
1. Operating and Reserve Funds	These are governed by the ICANN Investment Policy. Please see extracts from this document below.
1.1 The Operating Fund	Sometimes called the Working Capital Fund, this is used to fund day-to-day operations of ICANN, including all items in the ICANN Board approved annual budget. The Operating Fund contains enough funds to cover ICANN's expected expenditures for three months. Periodically, any funds in excess of this are transferred to the Reserve Fund. As an illustration, in November 2017, the ICANN Board approved an allocation of US$5 million from the Operating Fund to the Reserve Fund.
1.2 The Reserve Fund	Only used for emergencies. The Reserve Fund is a "rainy day fund." The use of the Reserve Fund is restricted by actions of the Board of Directors. The Board of Directors has delegated to the Board Finance Committee (BFC) the authority to act on behalf of the Board of Directors to release funds from the Reserve Fund to pay for items of an emergency nature. The Reserve Fund contains any ICANN Operations amounts not contained in the Operating Fund. Any surplus funds are used to build up the Reserve Fund to a balance sufficient to cover an emergency requirement. The Reserve Fund is expected to reach and maintain a level of funds to maintain a minimum of 12 months of expected expenditures. The positions displayed in section 6.3.1, for the Operating Fund and Reserve Fund, do not reflect the effect of potential decisions to be considered and approved by the Board that could affect these positions (e.g., a replenishment of the Reserve Fund by an allocation from the Operating Fund). Such Board decisions are made using the audited financial statements of each fiscal year, which are available by the end of October of every year, for the fiscal year closed on the previous 30 June.
2. New gTLD Program funds and the Auction Proceeds	Governed by the New gTLD and Auction Proceeds Investment Policy. Please see extracts from this document below.

2.1 New gTLD Program funds	Corresponds to the unspent portion of the New gTLD Program application fees, collected from applicants during the application window in 2012. The funds are used to evaluate the applications and to cover for “hard-to-predict” costs, including risks. Please refer to section 5 of this document for more information on the New gTLD Program financials.
2.2 Auction proceeds	The mechanism of last resort to resolve string contention within the New gTLD Program. ICANN expects that most string contention will be resolved through other means before reaching an auction conducted by ICANN's authorized auction service provider, Power Auctions LLC. Auction proceeds will be reserved and earmarked until the Board determines a plan for the appropriate use of the funds through consultation with the community. Auction proceeds are net of any auction costs. Auction costs may include initial set-up costs, auction management fees and escrow fees.

Appendix A: Registrar Fees

Registrar fees are to be approved by the Board before submission to voting by the registrars.

Approximately 2,550 registrars are accredited by ICANN as of 31 December 2017. This relationship is governed by the Registrar Accreditation Agreement (RAA), of which the most recent version was approved in June 2013. The two versions of the agreement currently in use were approved in 2009 and 2013. The RAA is a five-year agreement that provides for the following types of fees:

Fee Type	Description and FY19
1. Application fees	Application fees are paid one time by prospective registrars at the time of application. For FY19, the application fees are estimated to be $210,000 based on a volume of 60 applications and a per application fee of $3,500 per application.
2. Annual accreditation fees	Annual accreditation fees are fees that all registrars are required to pay annually to maintain accreditation. The fee is $4,000 per year. Registrars have the option of paying the annual $4,000 accreditation fee in quarterly installments of $1,000. For FY19, the annual accreditation fees are estimated at $9 million, based on an average of 2,250 registrars renewing and being newly accredited.
3. Variable accreditation fees	Variable accreditation fees are determined based on the transaction type and volume of each registrar. There are two types of fees associated with the variable accreditation fees: ⊙ Per registrar variable fee ⊙ Transaction-based fee
3.1 Per registrar variable fees	Per registrar variable fees are based on a validated concept that ICANN often expends the same quantum of effort in providing services to a registrar regardless of size. However, provided that the registrar is considerably smaller in size and in activity, some registrars will continue to be eligible for "forgiveness" of two-thirds of the standard per-registrar variable fee. To be eligible for forgiveness, the registrar must meet both of the following criteria: 1. Less than 350,000 gTLD names under its management 2. No more than 200 attempted adds per successful net add in any TLD

	Forgiveness will be granted each quarter to all registrars that qualify. The amount per registrar is calculated each quarter by dividing $950,000 (one-fourth of $3.8 million) equally among all registrars that have at least been accredited for one full quarter or have made at least one transaction, taking into consideration the forgiveness factor. In addition, a discount of 10% is granted to all registrars operating under the 2009 and 2013 RAA.
3.2 Transaction-based fees	Transaction based fees are assessed on each annual increment of an add, renew or a transfer transaction that has survived a related add or auto-renew grace period. This fee will be billed at $0.18 per transaction for registrars operating under the 2009 or 2013 RAA (resulting from a $0.20 base fee, discounted by 10 percent to $0.18).

In addition, since 2009, the budget has assumed an Add Grace Period (AGP) excess deletion fee to eliminate domain tasting:

- The amount for AGP deletion fees was assumed to be zero in past budgets and is also assumed to be zero for the FY19 budget
- AGP excess deletion fees are assessed on each domain name deleted, in excess of the threshold, during an add-grace period. The threshold is the larger of 50 or 10 percent of total adds, per month, per TLD. The rate per excess deletion is $0.20

Below is a summary of the estimated registrar fees for FY19 by fee type.

In Millions, US Dollars	FY 19 Best Estimate	FY18 Forecast	+Incr./ -Decr.	%	FY19 Estimates High	FY19 Estimates Low
Existing TLDs						
Application Fees	$ 0.2	$ 0.2	$ 0.0	-100.0%	$ 0.2	$ 0.2
Accreditation Fees	11.0	10.1	1.0	-4.9%	11.0	11.0
Per-registrar Variable Fees	3.4	3.4	-	-0.6%	3.4	3.4
Transaction Fees	34.5	33.4	1.1	32.5%	35.1	33.8
Total Registrar Revenue	**49.2**	**47.1**	**2.1**	**4.5%**	**49.7**	**48.5**

Document 3: Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY19 Key Projects and Activities

ICANN
18 May 2018

PROPOSED ADOPTED ICANN FY19 PLANNING DOCUMENTS

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

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

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6	FY19 Excel Spreadsheet	Detailed breakdown of the budget for each project

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Introduction

In response to community comments made in previous years, we are now providing readers with a high-level overview of a selected list of key activities and projects in provided in this document. This is intended to allow easier access to readers on high-level information on these specific activities.

We selected these activities and projects on the basis of any of the following three criteria:

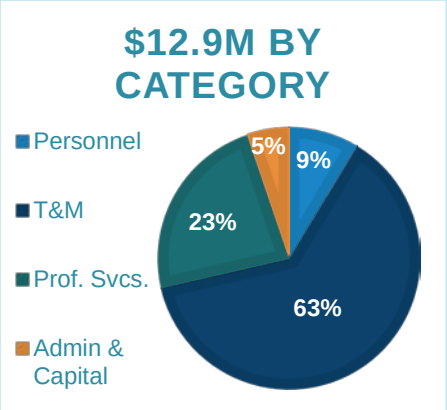
- Community interest
- Cost
- Number of teams within the organization involved

This is a new approach for the ICANN organization (ICANN org) and we welcome feedback on both the concept and the implementation.

1 ICANN Public Meetings

In FY19, ICANN will organize:

- An Annual General Meeting Barcelona (ICANN63)
- A community forum in Kobe (ICANN64)
- A policy forum in Marrakech (ICANN65)



The community uses these meetings to progress policy work, conduct outreach, exchanging best practices, do business deals, network, and learn about ICANN.

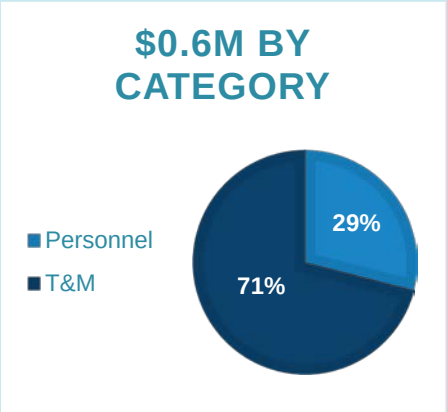
ICANN Public meetings are required by ICANN's Bylaws and the meeting formats were designed by the community's Meeting Strategy Working Group. The meeting strategy web page explains how the three meeting formats differ.

There was a Public Comment period on the Proposed Incremental Changes to the ICANN Meetings Strategy, which closed in February 2018. This public comment took place to collect community input on the possibility of adding one day to the Policy Forum, making it a five-day format, and reducing the Annual General Meeting to a six-day format.

A project breakdown for this work can be found in portfolio 1.2.1 of the Proposed Adopted FY19 ICANN Operating Plan and Budget.

2 Global Domains Division (GDD) Industry Summit Meetings

ICANN is planning to organize a GDD Industry Summit in FY19.



The plan to hold a fifth GDD Industry Summit in FY19 is in response to feedback from the FY17 survey that indicated people want at least one GDD Industry Summit per year and hope to attend future summits.

The GDD Industry Summit provides contracted parties an opportunity to engage and address issues of mutual interest and importance. It enables direct and one-on-one interaction with members of ICANN's GDD team. It is not a typical ICANN meeting and does not include formal policy discussions.

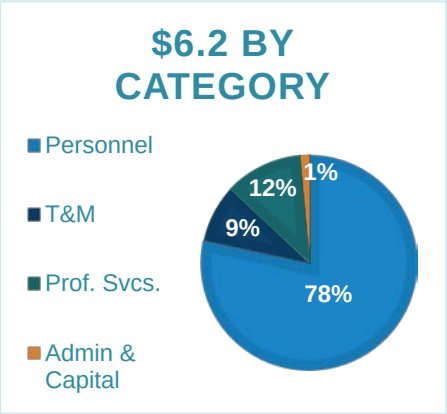
Contracted parties and ICANN's GDD team will improve their understanding of each other's needs and expectations by:

- Learning from real-world experience of other registries, registrars, resellers and hosting providers
- Finding solutions to issues relevant to the industry
- Staying ahead of emerging and ongoing operational challenges
- Getting quality face-to-face time with each other
- Networking with registries, registrars and supporting businesses

A project breakdown for this work can be found in portfolio 1.2.1 of the Proposed Adopted FY19 ICANN Operating Plan and Budget.

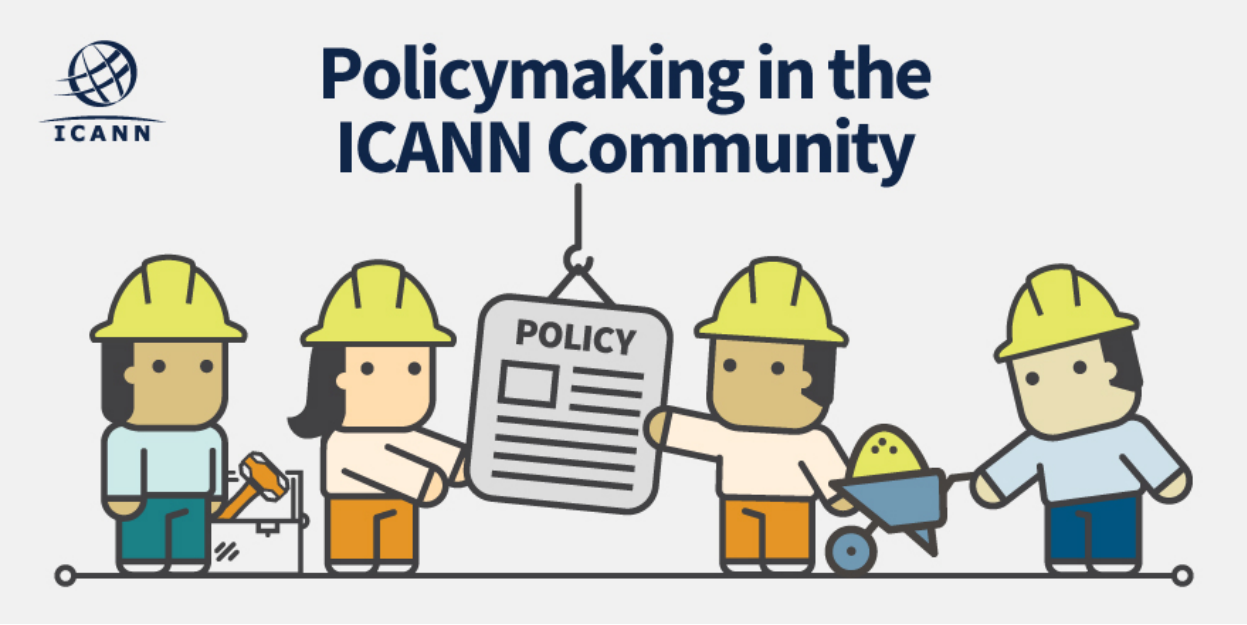
3 Policy Development Support

Coordinating policy and advice development related to the Internet's system of unique identifiers is a fundamental part of ICANN's mission. ICANN org supports the community in several ways:



- Facilitation and secretariat support for three Supporting Organizations, four Advisory Committees, and Stakeholder Groups. This includes support services for:
  - Policy and advice development activities
  - Some cross-community working groups
  - Other community committees
- Creating and communicating regular updates on the community's work in developing policies and advice
- Coordinating constituency travel services for some community members to enable their participation in ICANN Public Meetings
- Support for community participation in organizational and specific reviews and assistance in the implementation of review recommendations (for more information about reviews, see section 4.4 of this document)

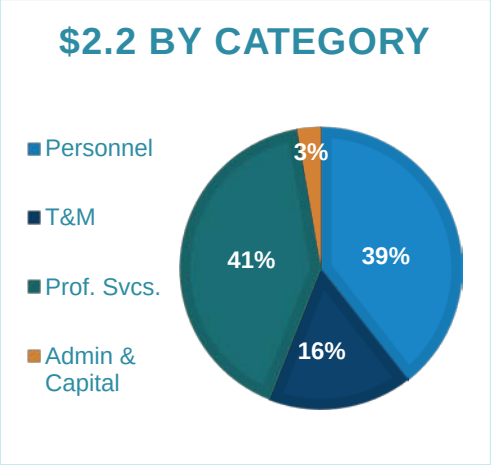
A project breakdown for this work can be found in the portfolios in goal 1.3 of the Proposed Adopted FY19 ICANN Operating Plan and Budget.



4 Organizational and Specific Reviews

There are two sets of thematically aligned reviews projects:

- Organizational Reviews focus on helping Supporting Organizations and Advisory Committees improve their effectiveness and accountability
- Specific Reviews assess ICANN's progress on four themes:
  - Accountability and Transparency
  - Security, Stability and Resiliency
  - Competition, Consumer Trust & Consumer Choice
  - Registration Directory Service (formerly WHOIS)

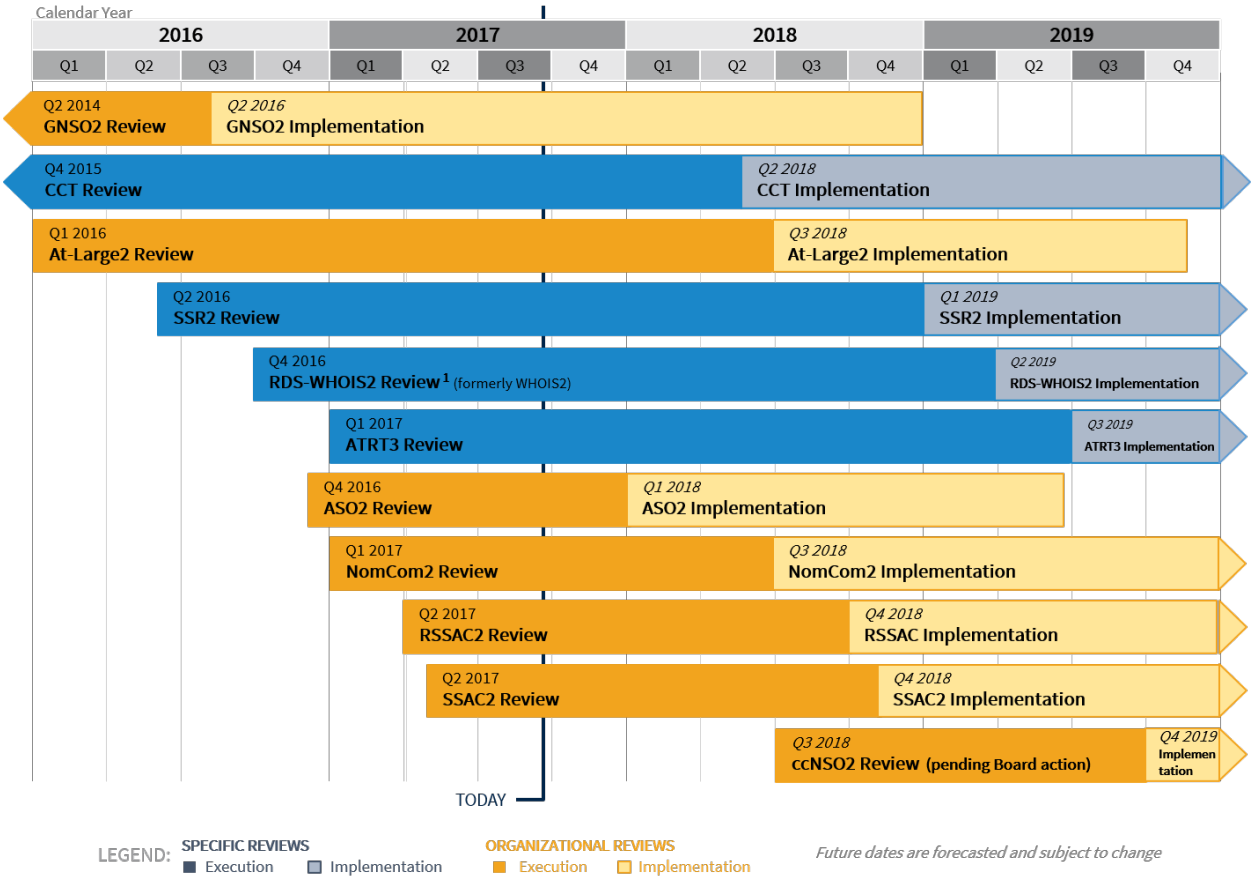


The reviews processes and calendars are established in Section 4 of the Bylaws. The calendar at the end of this section shows the current reviews schedule.

An effective outcome from the review work are recommendations that are useful and implementable, supporting a process of continuous improvements that benefit the ICANN community.

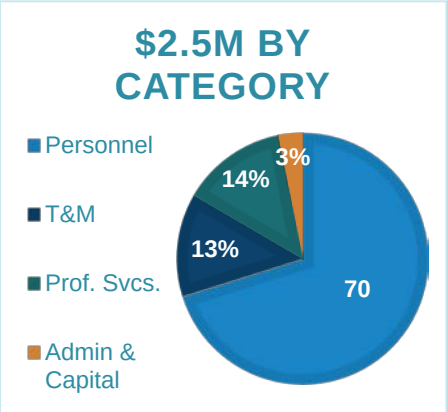
Anticipating the outcome of the public consultation on the timing of reviews, the funding of reviews has been reduced accordingly, and a portion of the Contingency has been reserved for additional funding of reviews, should it be necessary.

A project breakdown for this work can be found in portfolios 5.2.2 and 5.2.3 of the Proposed Adopted FY19 Operating Plan and Budget. A more detailed history and management overview can be found in Module 6.


Calendar Year
2016
2017
2018
2019
Q1 Q2 Q3 Q4 Q1 Q2 Q3 Q4 Q1 Q2 Q3 Q4 Q1 Q2 Q3 Q4
Q2 2014
GNSO2 Review
Q2 2016
GNSO2 Implementation
Q4 2015
CCT Review
Q2 2018
CCT Implementation
Q1 2016
At-Large2 Review
Q3 2018
At-Large2 Implementation
Q2 2016
SSR2 Review
Q1 2019
SSR2 Implementation
Q4 2016
RDS-WHOIS2 Review 1 (formerly WHOIS2)
Q2 2019
RDS-WHOIS2 Implementation
Q1 2017
ATRT3 Review
Q3 2019
ATRT3 Implementation
Q4 2016
ASO2 Review
Q1 2018
ASO2 Implementation
Q1 2017
NomCom2 Review
Q3 2018
NomCom2 Implementation
Q2 2017
RSSAC2 Review
Q4 2018
RSSAC Implementation
Q2 2017
SSAC2 Review
Q4 2018
SSAC2 Implementation
Q3 2018
ccNSO2 Review (pending Board action)
Q4 2019
Implementation
TODAY
LEGEND:
SPECIFIC REVIEWS
Execution
Implementation
ORGANIZATIONAL REVIEWS
Execution
Implementation
Future dates are forecasted and subject to change

5 Strategic and Operating Planning

The ICANN community, Board and org need to develop the strategic plan for the FY21-25 period and the Operating Plan and Budget for FY20. ICANN's Bylaws require the development and production of these plans during FY19.



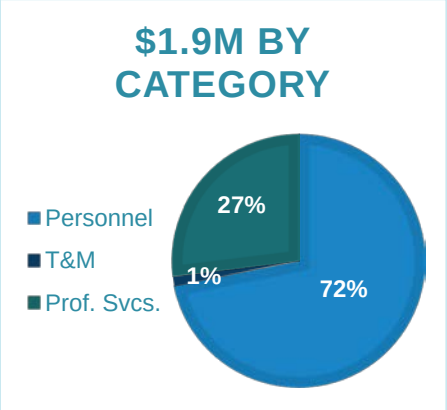
The current five-year strategic plan ends on 30 June 2020 and a new plan is needed to replace it. The five-year strategic plan also has an annual Operating Plan and Budget, which needs to be adopted before the start of FY20.

A well-structured plan will support the needs of all stakeholder groups in the ICANN community.

A project breakdown for this work can be found in portfolio 3.1.3 of the Proposed Adopted FY19 Operating Plan and Budget.

6 Data Protection and Privacy

Data privacy and data protection regulations, such as the European Union's General Data Protection Regulation (GDPR), are currently undergoing developments that may impact specific areas of ICANN's work. ICANN org executives, subject matter experts from various departments and Board members are guiding the org's activities related specifically to GDPR. This work has two fronts:



- "External" data processing involving domain registration data collected and processed primarily by gTLD registrars and registries under contract with ICANN
- "Internal" data processing compliance for ICANN org

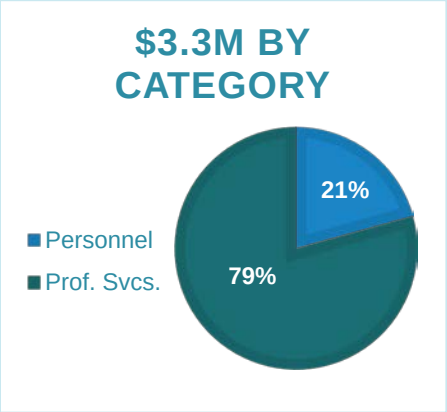
A high priority for ICANN org is finding a path forward to ensure compliance with GDPR while maintaining access to WHOIS to the greatest extent possible. In this regard, ICANN org is working with external legal counsel on legal analysis of GDPR's impact on gTLD registration directory services. This includes ultimately identifying potential models that address both GDPR and ICANN compliance obligations. Additionally, we continue to assess the data we collect from internal and external sources as we determine how to comply with GDPR as an organization.

At this time, while resources have been allocated for engaging on global data privacy developments as they relate to ICANN (e.g., GDPR and the e-privacy directive), and GDPR specifically, no resource has been specifically allocated for data privacy activities in the Proposed Adopted FY19 ICANN Operating Plan and Budget. A project breakdown for the allocated resources can be found in portfolio 5.2.4, Strategic Initiatives of the Proposed Adopted FY19 ICANN Operating Plan and Budget.

Since the scope of GDPR requirements are still being finalized, there may be unforeseen costs which will be attributed to this program. Any changes to business practices as a result of the GDPR are to be considered part of the normal course of business. In this case, contingency dollars will be allocated to GDPR. Any changes to business practices as a result of the GDPR are to be considered part of the normal course of business. In this case, contingency dollars will be allocated to GDPR.

7 Information Transparency Initiative

It sometimes can be difficult to find information on ICANN.org and the various other sites used by the community. A permanent solution is needed, and the Board approved the Information Transparency Initiative on 23 September 2017.



One of the primary objectives of this initiative is to make it easier to find ICANN's public content in all six United Nations languages. This objective is in service of ICANN's mission and Bylaws, to help the community do its work and help us meet our commitments to accountability and transparency.

This initiative will:

- Create an integrated, ongoing operational process to govern, preserve, organize and secure ICANN's public content
- Build a foundation of content governance through consistent multilingual tagging, a functional information architecture and enforced workflows
- Implement content governance through a new document management system – the content foundation for ICANN ecosystem-wide governance
- Deploy new workflows and processes to ensure consistent, multilingual taxonomy for greater content findability and multifaceted search capabilities
- Surface this improved multilingual content and search to the community through a new content management system which will serve as the backbone for ICANN's external web properties
- Establish a future-proof and content agnostic technology landscape
- Upgrade ICANN org's technical infrastructure, and thereby serve ICANN's global community better through increased findability and accessibility of multilingual content

A project breakdown for this work can be found in portfolio 1.1.2 of the Proposed Adopted FY19 Operating Plan and Budget.

Document 4: Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY19 Operating Plan

18 May 2018

PROPOSED ADOPTED ICANN FY19 PLANNING DOCUMENTS

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1 Introduction

As in previous years, this document contains, in its Section 2, the entire Operating Plan for FY19, presenting the list of portfolios aggregated by Strategic Objective and Goal. For each portfolio, the amount of resources is indicated, including the number of full-time equivalent personnel, and the breakdown of the costs.

As a new feature, this document also contains a new Section 1, presenting a focus on 6 ICANN activities, which are deemed of interest to the community and the public. Each activity is presented in a "Module", which aggregate information from the various parts of the ICANN organization involved in this activity. As an illustration, Module 1 deals with Engagement activities. This module includes information on the engagement activities carried out by 3 different departments of ICANN (Global Stakeholder Engagement, Government Engagement and Technical Engagement).

In addition, as a result of feedback received in prior years, we have attempted to ease the access to the information in the Operating Plan in two different ways:

1. We have reduced the number of portfolios and projects used to categorize the activities planned:

    I. We have described our work in about 100 fewer projects and activities compared to last year

    This will make it easier to see what we plan to do.

    II. We have significantly fewer projects with a budget of $100,000 or less

    This makes it easier to build a complete picture of planned work.

2. We have improved the distinction between projects that are for recurring activities and projects that that deliver new tools and improvements to existing activities:

    III. About two thirds of our work are projects for recurring activities and the rest are projects that deliver new tools and improvements to existing activities
    IV. Although recurring activities may have changed, this distinction permits community members to focus on the new projects

Separately, a selected list of activities and projects are broken out, with budgets and pie charts showing cost segmentation, which can be found in Document 3, Key Projects and Activities.

Section 1: Six modules of work for FY19

The modules in this section provide views of a selected list of ICANN activities, which may involve several ICANN departments. The portfolios supporting the activities described in the modules are displayed in these modules, and also appear in Section 2 of this document, which contains all the portfolios included in the Operating Plan.

The modules do not describe all the organization's planned work for FY19. They provide a view of some of ICANN's activities that are deemed of particular interest from the ICANN community.

Module 1 – Engagement Activities

Overview

Global Stakeholder Engagement (GSE) is responsible for leading engagement and outreach with stakeholders on ICANN and its mission around the world. The team provides a point of contact in the regions for the ICANN organization (ICANN org) and the ICANN community to assist with:

- Raising awareness and providing understanding of ICANN's role and remit
- Driving participation in ICANN policy development and technical activities

The team leads ICANN org to deliver on ICANN's commitment to foster broad, informed participation reflecting the functional, geographic and cultural diversity of the Internet.

GSE primarily falls under:

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

GSE consists of nine regional and functional areas:

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

The team consists of 32 positions across ICANN's regions.

GSE also works closely with other community-facing departments, including:

- Office of the Chief Technology Officer (OCTO) on technical community engagement
- Government Engagement team
- Meetings team
- Public Responsibility Support
- Communications team
- Policy Development Support
- Global Domains Division

Regional goals and priorities are outlined in annual work plans that are based on the needs in each of the regions. There are community-driven regional engagement strategies in Africa, Asia, Latin America and Caribbean, Middle East and Oceania. These regional engagement strategies help to inform the goals and priorities for the annual work plans in those areas.

GOVERNMENT AND INTERNATIONAL GOVERNMENTAL ORGANIZATION (IGO) ENGAGEMENT

The Government and IGO Engagement (GE) department manages the global government and IGO engagement strategy. This is a global function performed in coordination and collaboration with the regional teams in the GSE department.

GE primarily falls under:

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

The GE team will have a total of nine positions in FY19. The majority of the team is based in the Geneva engagement office. The rest of the team is based in Los Angeles, New York and, soon, Brussels.

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

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

TECHNICAL ENGAGEMENT

Engaging with the technical side of the ICANN community is facilitated by OCTO, which consists of four areas:

3. Research
4. Identifier Systems Security, Stability and Resiliency
5. Technical Engagement
6. Administration

At the start of FY18, the team had 17 positions. A few team members are based in the Los Angeles and Washington, D.C., offices and the remaining majority work remotely. There are two employees in the OCTO Technical Engagement team: one based in Montreal and the other in Washington, D.C.

ICANN org technical engagement primarily focuses on capacity building in the area of the identifier technologies that ICANN org helps coordinate, and the abuse of those technologies and how to mitigate that abuse. This capacity building is provided by:

- Training targeting specific segments of the ICANN community
- Collecting, analyzing, and publishing data relating to the technical operation of the system of unique identifiers ICANN org helps coordinate
- Facilitating discussions between various stakeholders both within the ICANN community as well as within the larger Internet community

The technical engagement activities are generally performed as part of:

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

ICANN Strategic Objective 3	Advance organizational, technological and operational excellence
Goal 3.3	Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff and stakeholders

Major Assumptions

GLOBAL STAKEHOLDER ENGAGEMENT

Expected changes from FY18 to FY19

The GSE teams and activities are currently expected to remain unchanged through FY19/FY20, with marginal adjustments where necessary.

There are significant requests to ICANN, across all regions, for technical capacity development and engagement by the GSE and the technical teams (from OCTO). A regional technical training resource based in Europe had been considered but not hired due to budget constraints.

Instead, instead GSE is moving forward with increasing the technical training capability of existing GSE personnel in the regions to support community demand for technical and policy knowledge on subjects within ICANN's mission in FY19/20. GSE is working with the OCTO team to provide enhanced training in the second half of FY18 on key technical topics so GSE's regional teams can provide more training coverage for ICANN. This should reduce pressure on OCTO to respond to all training requests as well as increase the level of technical knowledge within ICANN's remit to a greater number of ICANN org personnel. By FY19/20, GSE will have the expertise to speak more effectively for ICANN in the regions on Domain Name System (DNS) and DNS Security Extensions (DNSSEC), DNS abuse/misuse, Internet Protocol version 6 (IPv6) and other technical topics.

In FY19, GSE business engagement will be carried out within each of the regions. GSE has merged the Global Business Engagement budget into GSE North America and shifted business engagement funds across several of the regions. In coordination with the Vice President (VP), Stakeholder Engagement, regional vice presidents in all the regions are taking on the role of business engagement.

For FY19, the community-driven regional strategy project identities have been consolidated into the respective regional budgets. This will provide clarity on the total amounts used in each region.

Priorities during FY19

For FY19, GSE is focusing on:

- Actively soliciting input into ICANN's processes from stakeholders around the world
- Fostering confidence in ICANN's mission

GSE is establishing platforms to foster regular and interactive regional community discussion of ICANN issues in the regions. These platforms aim to increase stakeholder participation and meaningful contribution to ICANN's policy work. GSE supports fostering confidence in ICANN's mission through partnerships and trusted relationships with regional and local stakeholders. These partnerships and relationships include capacity development activities to enable regional and local stakeholders to be more effective contributors to ICANN's technical and policy work.

In FY19, GSE will continue to extend its Engagement Measurement and Planning function and its use of Salesforce as a platform for managing its engagement activity, community contacts, trip reports, cases and Memoranda of Understanding with outside organizations. The GSE engagement tracking in Salesforce is used to report GSE's Accountability Indicators.

GSE also supports the delivery of the International Office strategy. Three GSE VPs serve as Managing Directors of the following regional offices:

- Singapore
- Montevideo
- Brussels

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

GOVERNMENT ENGAGEMENT

Expected changes from FY18 to FY19

In FY18, Government Engagement (GE) replaced a senior team member but relocated that position from Washington D.C. to Brussels to make the asset more available for dealing with European Union and European Commission regulatory decisions and to provide an additional asset in the European arena. The need for the hire in Brussels was due to the General Data Protection Regulation (GDPR) and the ongoing impact of the implementation of those and future regulations, such as regulations related to e-privacy.

GE is also planning to add a new, more junior, hire in Geneva to help with the IGO outreach there as well as other activities.

Areas for increased activity in the change from FY18 to FY19 are:

- The need for GE personnel time to support the High Level Governmental Meeting to be held in conjunction with the ICANN63 in Barcelona
- The need to provide further support to the GAC through the GAC information facilitation process

Demand-driven requests for capacity building workshops and thematic and technical skills training requests are expected to continue to increase in FY19. In FY18, GE developed a mechanism for receiving and defining these requests and working collaboratively with the regional GSE team members and OCTO to design and deliver these workshops. Pre-workshop surveys define the content and post workshop evaluations help further refine the model.

Priorities during FY19

GE collaborates with GSE using the Salesforce platform to better integrate information management and reporting functions and Accountability Indicators.

GE also supports the international office strategy. The Senior Advisor to President and Senior Vice President, Government and IGO Engagement is also the Managing Director of the Geneva Engagement Office. The Geneva office budget is separate from the GE department budget. The Geneva budget include the budget for the rent and administrative expenses for the office in Geneva. The Geneva office personnel are part of the GE team and personnel and other expenses are included in the global GE department budget.

TECHNICAL ENGAGEMENT

Expected changes from FY18 to FY19

As the Research department is the lead on the Open Data Initiative pilot project, additional personnel resources will be necessary as the pilot moves into production. An additional headcount, a Data Scientist, has been budgeted to support this project.

In terms of savings, after demonstrating the collection of root server system query data from the L-Root server is equivalent to the collection of similar data from other root servers, the Research team will discontinue obtaining data from the B, D and F-Root servers.

The primary goal for Security, Stability and Resiliency (SSR) in FY19 is moving the DNS Abuse Analytics and Reporting (DAAR) system to production and releasing monthly reports from that system. In addition, the SSR team will be expanding capacity building, particularly to public safety-related organizations, and improving community understanding of DNS abuse and its implications. These activities are anticipated to require an additional headcount, which has been budgeted in FY18 and should be filled before FY19.

The primary focus for Technical Engagement in FY19 is the development of a technical narrative for ICANN org. A secondary focus is supporting the development of an ICANN "think tank" to provide analyses and data to assist the community with policy development processes. The key budgetary assumptions for these efforts are related to the expanded use of external content publication-related services.

Priorities during FY19

Priorities for the Research area of OCTO for FY19 include:

- Continuing to identify internally curated data sets and moving those data sets into the Open Data Initiative pilot
- Moving the Open Data Initiative pilot to production status
- Expanding ongoing work in the areas of health metrics associated with the Internet's system of unique identifiers as well as trying to better understand how the Internet's system of unique identifiers, particularly domain names, are being used on the Internet today

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

Technical Engagement will be prioritizing the development of an ICANN org "think tank" and continuing to develop and subsequently promote ICANN's technical narrative.

Risks and Opportunities

GLOBAL STAKEHOLDER ENGAGEMENT

Stakeholders frequently ask the GSE team to represent ICANN at various events, assist with technical training on subjects within ICANN's mission and remit and support stakeholder understanding of ICANN's technical and policy-making work. Where possible, GSE works with other ICANN departments to deliver on these community requests as direct engagement with stakeholders drives participation in ICANN's work. Excluding costs for 32 personnel, most of the team's budget is either travel for engagement or administrative costs, which includes a limited pool of funds for sponsorships and contributions. Sponsorships and contributions have been reduced in FY19 and are being centrally managed based on team prioritization.

GOVERNMENT ENGAGEMENT

GAC members, via the GAC Underserved Regions WG and the GAC Public Safety WG, are increasingly requesting GE to provide technical trainings. FY19 will also be one of increasing international activity due to the ITU Plenipotentiary Conference 2018 (PP-18) being held in the fourth quarter. The preparatory process for the global PP-18 has already begun and includes a series of regional events to develop regional proposals for resolutions that will then be taken to the global PP-18. As the preparatory process develops, GE will assess which resolutions are likely to make it to PP-18.

As well as PP-18, GE will be following the ongoing implementation of the GDPR and the navigation of the potentially sensitive international arena. GE will locate our replacement hire in Brussels to address the increased activity on issues such as e-privacy regulations and areas of public policy that potentially impact ICANN's remit.

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

GE also has reduced sponsorships and contributions in FY19 and therefore has also had to reduce the assistance GE used to be able to provide to the regional GE teams events.

TECHNICAL ENGAGEMENT

The primary risks associated with the OCTO FY19 budget are related to the sustainability of the work being undertaken in for:

- The Open Data Initiative pilot

The identification of data sets to be made available by the selected open data platform has proven to be difficult, and work to ensure any non-public data within those data sets has been removed or redacted is likely to be labor intensive. Finding the resources to complete the census may therefore be challenging.

- The Domain Abuse Analytics and Reporting platform

  The risk is the community's willingness to accept the platform and the data it produces. Lack of community acceptance of the platform's information would call the effort into question as the analytics and reports generated by the platform are primarily intended as input into community policy decisions.

FY19 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 1: Engagement Activities						
1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	18.1	3.0	0.2	0.5	0.0	3.7
1.2.1 Meeting Services	9.4	1.8	6.5	3.0	0.7	11.9
1.2.2 Engage Stakeholders Regionally	36.1	7.5	1.3	3.0	0.5	12.3
2.2.1 Security, Stability and Resiliency of Internet Identifiers	6.7	2.0	0.2	0.3	0.3	2.9
4.1.1 Coordination of ICANN participation in Internet Governance	2.6	0.8	0.1	0.0	0.2	1.1
4.2.1 Working with Governments and Intergovernmental Organizations	1.7	0.6	0.0	0.0	0.0	0.6
4.3.1 Support Internet Governance Ecosystem Advancement	4.0	1.1	0.1	0.3	0.0	1.5
Total	78.5	16.8	8.3	7.0	1.9	34.0

Module 2 – Direct Community Activity Support

Overview

POLICY DEVELOPMENT SUPPORT

ICANN's global policy development support team, currently consisting of 33 facilitation and secretariat professionals (down two FTEs due to departures from the FY18 level of 35 FTEs), provides support to three Supporting Organizations and four Advisory Committees (SO/ACs). Personnel are located in nine countries covering seven time zones and can communicate in eight languages, four of which are United Nations official languages.

Under the leadership of the Senior Vice President for Policy Development Support, most members of the policy team are assigned to facilitate policy/advice development activities for a Supporting Organization or an Advisory Committee.

Policy team members also offer a broad range of support to the SO/AC community, including:

- Support for the Empowered Community Administration
- Assistance with Empowered Community procedures under the new Bylaws requirements
- Planning and logistics for ICANN Public Meetings
- Planning and management of internal SO/AC activities
- Cross community interactions and cooperation
- Stakeholder/constituency elections and governance
- Educational efforts
- General policy/advice related research

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

- Stronger levels of support and buy-in
- Increased commitment to reaching consensus
- More visible outputs

Below is a summary of the activities that the policy team supports:

- **Generic Names Supporting Organization (GNSO)**
  - Continued progress toward policy development efforts in major GNSO Policy Development Processes (PDPs):
    - Registration Directory Services (RDS)
    - Rights Protection Mechanisms (RPMs)
    - New Generic Top-Level Domain (gTLD) Subsequent Procedures
  - Facilitate completion of GNSO PDP on IGO-INGO (International Non-Governmental Organizations) Curative Rights Protections
  - Resolution of outstanding issues concerning protection for Red Cross and IGO names/acronyms
  - Facilitate and assist in over 20 working group efforts, including:
    - GNSO Review Implementation, Standing Selection Committee
    - Standing Committee on Budget and Operations
- **Country Codes Name Supporting Organization (ccNSO)**
  - Continued progress on the ccNSO PDP on delegation, re-delegation and retirement of country code name and operators
  - Facilitate and assist in the over 10 working groups efforts
-
- **Address Supporting Organization (ASO)**
  - Further integrate the ASO and Regional Internet Registries (RIRs) into core ICANN activities, including assisting in regular working calls and ICANN meeting sessions
- **Security and Stability Advisory Committee (SSAC)**
  - Major Board-mandated study by SSAC on Name Collisions
  - Following through with current work program, including six work parties
- **Root Server System Advisory Committee (RSSAC)**
  - Major work by RSSAC Advice on restructuring the root server operators, while following through with current work program, including the RSSAC Caucus work

- **GAC**
  - Support information sharing and dialogue between ICANN org and the GAC
  - Support the weekly activities of GAC leadership
  - Handling of GAC Advice for Board and ICANN org, including support of the Board-GAC Recommendation Implementation (BGRI) effort
  - Continue supporting six current GAC working groups
- **At-Large Advisory Committee (ALAC)**
  - Support the work program of ALAC and the nearly 20 working groups contributing inputs into ICANN work from the five ICANN regions via At-Large communities
- **Empowered Community**
  - Support for the activities of the Empowered Community administration and related work of the five Decisional Participants in the Empowered Community
- **GNSO non-contracted parties**
  - Support for the regular activities of the two stakeholder groups and five constituencies making up the Non-Contracted Parties House, including assistance with managing governance matters such as elections and charter revisions
- **Other activities**
  - Evolve and deepen community recognition programs, including the management of the Multistakeholder Ethos Award and other events and milestones
  - Manage and support the ongoing Community Regional Outreach Program and annual Additional Budget Request process
  - Improve the management of the ICANN public comment process to provide clearer guidance and greater regional and more targeted reach for community inputs
  - Conduct analysis of all policy-related documents and materials on public ICANN websites as part of the Information Transparency Initiative (ITI), to improve search, accessibility and references for community policy activities
  - Follow through on the completion of the review of the constituency travel guidelines and related improvements

CONSTITUENCY TRAVEL

ICANN provides travel support for selected community members to:

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

Travel guidelines and regular reporting are published on the ICANN website, and form the basis upon which travel allocations are made.

Travel guidelines

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

- Travel support is administered effectively and efficiently
- ICANN's principles of accountability and transparency are honored

The Travel Support Guidelines:

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

The guidelines are periodically posted to solicit community feedback through online fora, conference calls with stakeholders and workshops at ICANN Public Meetings. Alternatively, if no separate review of the guidelines is planned before the approval of the budget, the level of support provided to community members may be addressed through the annual budget process. The Travel Support Guidelines for each fiscal year is posted in alignment with the Board-approved annual budget.

Travel Summary

The summary is provided for each supported traveler for each ICANN meeting and describes specific details about all travel administration, including how to book itineraries and deadlines to follow. After each ICANN Public Meeting ends, a travel summary for the next ICANN Public Meeting is posted, allowing for enough time to apply for visas, book itineraries and obtain the most cost-effective pricing.

Travel Reports

Reports are provided for each ICANN Public Meeting and provide information about the support provided, including:

- Names of community members provided support
- The level of support provided

Major Assumptions

Expected changes from FY18 to FY19

- Implementation of changes to some SO/AC processes to exercise new Empowered Community powers
- ALAC review implementation
- RSSAC review implementation
- SSAC review implementation
- A study by SSAC on Name Collisions
- Uncertainty regarding continued support for funding of the GAC independent secretariat

Priorities during FY19

- Implementation of RSSAC Advice on restructuring the root server operators
- Refinement of consultation/information-sharing mechanism with the GAC and ICANN org
- New workshop for the President and CEO and SO/AC Chairs at each ICANN Public Meeting for problem solving and priority setting
- Achieve milestones in major GNSO PDPs on RDS, RPMs, and New gTLD Subsequent Procedures
- Potential new WHOIS/GDPR temporary policy
- Transition to implementation (assuming Board approval) of IGO-INGO Curative Rights PDP recommendations
- Finalize solutions to protection of Red Cross and IGO names/acronyms
- Support Empowered Community forums and SO/AC implementation of new procedures under the ICANN Bylaws

- ALAC review implementation
- RSSAC review implementation
- SSAC review implementation
- Major study by SSAC on Name Collisions

Expected changes from FY18 to FY19 in Constituency Travel

SO/AC:

The number of funded seats for SO/ACs constituent travel support and costs remain stable at the same level as FY18.

- The FY19 net allocation by group:

SO/AC	# of seats proposed per meeting in FY19
ALAC	29
ccNSO	16
GAC	40
Others unchanged	83

Fellows/Next Gen:

- The number of travel seats funded at each of the three ICANN meetings are:
  - 45 Fellows (down from 60)
  - 15 Next Gen participants (down from 20)

Reductions to Programs:

Program	# of seats proposed in FY19	# of seats reduced by (from FY18)
Fellowship	45 per meeting	15
NextGen	15 per meeting	5

In FY19 the SO/AC Additional Budget Requests estimate of $300K was reduced by more than 50% as compared to FY18. In FY19 this results in certain support requests not receiving funding. See Document #2 page 25 for information on the FY19 Additional Budget Requests (ABRs)

FY19 Budget - Constituent travel				Total	$ 2,693,280
	Project ID		**Rates**	**Total Trips**	**Total Amount**
Travel Support for ICANN 63 - Barcelona	**175421**			**228**	**$ 979,595**
		ALAC	3995	29	$ 115,855
		ccNSO	3995	16	$ 63,920
		Fellow	3995	45	$ 179,775
		GAC	3995	40	$ 159,800
		GNSO	3995	48	$ 191,760
		RSSAC	3995	4	$ 15,980
		SSAC	3995	15	$ 59,925
		Nom Com Selectees	3995	4	$ 15,980
		Six Chairs	9975	6	$ 59,850
		Technical Experts	9250	6	$ 55,500
		NextGen	2750	15	$ 41,250
		Visa Services	20000		$ 20,000
Travel Support for ICANN 64 - Kobe	**176603**			**224**	**$ 836,750**
		ALAC	3500	29	$ 101,500
		ccNSO	3500	16	$ 56,000
		Fellow	3500	45	$ 157,500
		GAC	3500	40	$ 140,000
		GNSO	3500	48	$ 168,000
		RSSAC	3500	4	$ 14,000
		SSAC	3500	15	$ 52,500
		Six Chairs	8000	6	$ 48,000
		Technical Experts	8000	6	$ 48,000
		NextGen	2750	15	$ 41,250
		Visa Services	10000		$ 10,000
Travel Support for ICANN 65 - Marrakech	**176604**			**224**	**$ 614,200**
		ALAC	2550	29	$ 73,950
		ccNSO	2550	16	$ 40,800
		Fellow	2550	45	$ 114,750
		Fellows Selection Committee	2550	0	$ -
		GAC	2550	40	$ 102,000
		GNSO	2550	48	$ 122,400
		RSSAC	2550	4	$ 10,200
		SSAC	2550	15	$ 38,250
		Six Chairs	5300	6	$ 31,800
		Technical Experts	5300	6	$ 31,800
		NextGen	2550	15	$ 38,250
		Visa Services	10000		$ 10,000
OTHER SO-AC Events					**$ 262,735**
Placeholder for SO-AC Budget Requests	**160505**	FY19 SO/AC Requests - Placeholder			$ 212,735
CROP Program	**151188**	Ongoing SO-AC Regional Outreach - CROP	3250	40	$ 50,000

Please reference Document #2, section 2.5.2 for additional details regarding FY19 Additional Budget Requests

Risks and Opportunities

Priority setting by the ICANN community, ICANN Board and ICANN org may provide opportunities for greater efficiencies, a focus on the most important/critical issues, and better use of the current level of staffing resources.

FY19 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 2: Direct Community Activity Support						
1.3.1 Support Policy Development, Policy Related and Advisory Activities	34.6	4.8	0.6	0.7	0.1	6.2
1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	1.1	0.1	2.4	0.0	0.0	2.5
Total	35.6	4.9	3.0	0.8	0.1	8.8

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

Overview

ICANN implements domain name policies through contracts and services. The Global Domain Division (GDD) of ICANN org is the unit that engages with the Internet community to implement such policies as well as overseeing and delivering the Internet Assigned Numbers Authority (IANA) services.

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

GDD achieves its purpose by earning the trust of our stakeholders, by holding ourselves and the contracted parties to high standards of conduct, and by optimizing our operations in order to provide high quality, secure services that can scale to support global expansion.

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

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

The above departments are responsible for the Domain Name Services and Industry Engagement (DNS&IE) within GDD, managing the implementation lifecycle of policies, services and contracts, and providing subject matter expertise across the ICANN Community.

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

Overview of major activities of DNS&IE:

- Definition and Implementation of plans and processes related to compliance with General Data Protection Regulation (GDPR)
- Planning and execution of the GDD Industry Summit
- Implementation of policies that will go into operation
    - These are significant undertakings that are conducted cross functionally inside the organization, as well as externally through Implementation Review Teams
- Providing subject matter expertise and research for the Competition, Consumer Trust and Consumer Choice Review Team (CCT-RT)
- Spearheading the revision of the Revised ICANN Procedure for Handling WHOIS Conflicts with Privacy Law
- Operating or supporting the large number of services including:
    - Registry Services Evaluation Process (RSEP)
    - Registry and registrar contract management, including various amendments and renewals
    - Specification-13 annual certifications
    - Registrar fee approvals
- Tracking the domain name market place dynamics by collecting market intelligence and providing regularly updated projections of ICANN org's funding for budgeting purposes
- Processing fast track country code top-level domain (ccTLD) applications
- Expanding Label Generation Rules via generation panels and embarking on the implementation phase of the IDN Variant program
- Coordinating ICANN org's relationship with contracted parties by maintaining regular contact with registry and registrar stakeholder groups, as well as all other contracted parties throughout the world
    - DNS&IE leverages the GSE team in engagement activities to provide outreach and training and support contracted parties during escalated compliance issues
- Publishing, in cooperation with a community advisory group, the gTLD Marketplace Health Index, as a part of ICANN's Five-year Operating Plan
- Tracking and managing technical specifications related to the domain name system, as they pertain to ICANN's contracts. Examples of these include:
    - Data escrow format, using the Registry Reporting Interface format
    - Trademark Clearinghouse (TMCH) interfaces

- Registry and registrar interface specifications
- Registration access data protocol
- Centralized Zone Data
- Registry service providers
- ICANN's Service Level Agreement (SLA) Monitoring System
- Across-Field Address Validation
- Emergency Backend Registry Operator (EBERO)

- Providing subject matter expertise across the domain name space within and outside of ICANN org

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

This group of departments is responsible for delivering a wide-variety of services to ICANN's contracted parties and applicants, registrants, rights-holders, and general Internet users as well as ICANN org. GDD Operations incorporates continuous improvement in pursuit of operational excellence: operational efficiency, cost-effective service delivery, high-quality operations and extraordinary customer satisfaction.

Overview of major activities of GDD Operations:

- **New gTLD Program Operations**
-

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

- **Action Request Registry (ARR)**

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

  - Correspondence Process

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

- Board Advice Register

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

- GAC Advice Process

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

- **Registrar Services Delivery**

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

- **Registry Services Delivery**

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

- **TMCH operations and service evolution**

  GDD Operations provides ongoing support for the implementation and operation of the Trademark Clearinghouse (TMCH) which is comprised of both the validation function and the operational systems that support contracted parties. GDD Operations provides vendor management and general oversight of support functions and operations. As needs evolve in the platform, GDD Operations shepherds the development process along with interactions with the vendors involved.

- **EBERO operations and service evolution**

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

- **Privacy/Proxy Accreditation Program**

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

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

  Created in response to recommendations delivered by the 2012 WHOIS Review Team. The Global Implementation Department manages the creation and publication of the semi-annual WHOIS ARS report. This team is responsible for managing the vendors associated with the process as well as coordinating the cross functional involvement of other departments within ICANN org.

- **Global Support Center (GSC)**

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

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

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

PRODUCT MANAGEMENT

Product Management is a function sitting at the intersection of the customer, business and engineering and that attempts to maximize service benefits within operational constraints.

New projects:

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

Continuing projects:

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

GDD STRATEGIC PROGRAMS

The primary responsibility is the management of key programs and projects in support of GDD's objectives and mission. Key programs and projects currently supported by the department include:

- Registry Directory Services (RDS, formerly WHOIS)
- Support ICANN Bylaws-mandated, community-led reviews, including:
  - Secretariat services
  - Project management activities

- Event logistics coordination with ICANN org's travel and meeting services teams
- Meeting facilitation
- Professional services procurement (for any studies/surveys/legal expertise)
- ICANN public comment publication and summary/analysis
- Drafting of recommendations and other materials requested by the review teams (e.g., terms of reference, blogs)
- Providing subject matter expert information requested by the review team (e.g., implementation briefings, responses to specific questions)
- Implementation feasibility analysis, preparation of briefing materials for ICANN executives and Board

- Ensure Public Technical Identifiers (PTI) and Verisign continue to meet their contractual obligations, including:

  - Monitoring of performance reports to ensure timely delivery and SLAs are met
  - Ensuring deliverables under the contracts are delivered on-time and in accordance to requirements
  - Provide guidance on contract requirements (with assistance from ICANN legal as appropriate)

- Support subsequent procedures for gTLD activities, including:

  - Monitoring the PDP
  - Providing subject matter expertise as appropriate to inform PDP deliberations
  - Implementation feasibility analysis
  - Cross-functional preparations and planning for implementation of PDP recommendations
  - Preparation of briefing materials for ICANN executives and Board

- Registrant program, including:

  - Creating and updating educational content for registrants
  - Project management activities
  - Vendor management
  - Planning and executing content awareness campaign
  - Working with community – registrars and the Non-Commercial Stakeholder Group (NCSG) – to incorporate feedback into work

Major Assumptions

Expected changes between now and the end of FY18

- Privacy/Proxy Provider Program becomes operational and requires additional resources
- NSP used by all contracted parties allowing for streamlined support
- Resolution of most remaining new gTLD applications
- GDPR compliance work both internally and with contracted parties will have major resource implications for ICANN through the end of FY18
- GDPR will not require ICANN to implement an accreditation program for RDS access

Expected changes during FY19

- Workload to continue to increase (PTI-related functional reviews, Applicant Guidebook drafting, proxy/privacy provider support, etc.)
- NSP becomes the system of record for supporting all contracted parties
- GSC provides level 0 support to compliance
- Expansion of scope for the ARR to include addition of review team and policy recommendations
- More pressure for technical compliance monitoring as registries' business models fail
- Subsequent procedures implementation planning to trigger a new round of negotiations for the registry and registrar agreements

Priorities during FY19

- Support ICANN Bylaws-mandated, community-led reviews
- Ensure PTI and Verisign continue to meet their contractual obligations
- Support subsequent procedures for gTLDs activities
- Making NSP the support system of record for all contracted parties
- Support Universal Acceptance Steering Group (UASG) and registrant program activities
- Train and ramp up GSC personnel and processes to manage, resolve and escalate compliance inquiries
- Improve AAR SLAs and add functionality
- Driving the current round of the New gTLD Program to closure
- Evolve the Registrar Data Escrow service and WHOIS ARS as the GDPR drives changes in RDS
- Support GDPR implementation as well as other privacy laws
- Address the required changes to contracts and services in response to GDPR
- Improve service level quality to contracted parties
- Enhance and strengthen outreach efforts and relationship with contracted parties

- Support ICANN.org and transition to the ITI

Risks and Opportunities

Risks

- The New gTLD Subsequent Procedures PDP WG could generate a lot of work once it converges on recommendations. This activity will affect resources from various departments across ICANN org
- Continued cancellations of drop catching registrars
    - FY18 has seen a loss of a group of 447 registrars
- Scalability due to complexity of processing in NSP is unknown
- As timeline for the New gTLD Program lengthens, the available personnel with first-hand knowledge continues to shrink. The loss of institutional knowledge around the New gTLD Program continues to be a concern
- GDPR impact on Data Escrow program and Privacy/Proxy Provider Accreditation process
- If the work load continues to increase without adding staff, this will lead to turnover and attrition
- Engineering capability to deliver the systems that we plan on to scale operations without resources to deliver on prioritized projects

Opportunities

- Continued expansion of services
- Continued improvement in cross training of services among team members.
- Evolution of Data Escrow program
- Evolution of EBERO program
- Improve SLT commitments for registrants and contracted parties
- Improve customer satisfaction and increased compliance scalability at lower cost
- Scalability and Customer Relationship Management (CRM) improvements through NSP enhancements
- Improved visibility of advice and recommendations
- ITI enabling personnel to post status to ICANN.org
- Standardized criteria for privacy/proxy service providers
- Enhancement of other services through leveraging of the cost reductions in the WHOIS ARS toolset

Projects and Activities NOT Included in the Budget Submission

gTLD Subsequent Procedures PDP Working Group

This Working Group is reviewing existing policies for the introduction of new gTLDs and determining whether to recommend changes, or new policies for subsequent procedures for new gTLDs. In accordance with the Consensus Policy Implementation Framework, GDD has planned for resources in FY18 and FY19 to support the PDP Working Group (see GDD Strategic Programs section above). This support includes providing data and information to inform the PDP Working Group's deliberations, including implementation feasibility analysis of recommendations. When the recommendations are submitted to the Board, ICANN org will provide a cost assessment for the implementation and work with the Board to identify necessary resources and funds to support implementation of the adopted recommendations. Until then, no resources are included in the budget for implementation work.

Technical Compliance Monitoring

Technical compliance monitoring is an internal project to automate the monitoring of the technical requirements included in the registry agreements. A Request for Proposals (RFP) was issued in late 2017 and the submissions are under review, accordingly the path forward has not been set yet. Depending on the RFP results ICANN org will develop a plan for implementation and if needed work with the Board to identify necessary resources and funds to support implementation of the project.

GDPR

Both the internal and external tracks of work could result in outcomes that require unbudgeted dollars and other resources from GDD to implement. Timeframe is between now and May 2018, with possible work required after May 2018.

FY19 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 3: DNS Marketplace and Identifier Ecosystem						
2.1.1 Registration Directory Services (WHOIS)	1.4	0.2	0.0	0.4	0.0	0.6
2.1.2 Global Domains Division (GDD) Strategic Programs	5.1	1.0	0.2	0.1	0.0	1.2
2.1.3 PTI Operations	20.2	3.8	0.5	1.0	0.3	5.7
2.1.4 PTI Technical System Enhancements	2.3	0.5	0.0	0.1	0.0	0.6
2.1.5 Global Domains Division (GDD) Operations	39.3	5.8	0.2	2.3	0.3	8.5
2.3.1 GDD Technical Services	4.0	1.0	0.0	0.2	0.0	1.2
2.3.3 Registrar Services	6.0	1.1	0.0	0.3	0.0	1.4
2.3.4 Registry Services	9.0	1.5	0.0	0.2	0.0	1.7
2.3.5 Domain Name Services	6.5	1.3	0.1	0.0	0.1	1.6
2.3.6 Internationalized Domain Names and Universal Acceptance	2.0	0.2	0.1	1.6	0.0	1.9
Total	95.6	16.4	1.2	6.1	0.7	24.4

Module 4 – Technology and DNS Security

Overview

RESEARCH

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

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

The purpose of the OCTO Research department is to ensure that the ICANN community, Board and organization have data and knowledge that can inform discussions related to the development of policy that impacts the management of the Internet's system of unique identifiers that ICANN helps coordinate. The creation and dissemination of this information is accomplished via:

- Explorations of how the Internet's system of unique identifiers is used
- Creation of presentations, white papers, blogs, etc., that publish findings and analyses of those explorations
- Working directly with community members, Board members, and others to improve the understanding of how the Internet works, particularly those areas directly involving ICANN

IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCE

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

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

In service to these goals, the SSR department facilitates community understanding of the misuse and abuse of the identifier systems within ICANN's remit.

Major activities include holding training and capacity building events aimed at educating community members and stimulating further discussions on abuse and misuse of the Internet's system of unique identifiers. Personnel of this department also frequently provide subject matter expertise in actions aimed at mitigating identifier system abuse.

Major Assumptions

RESEARCH

Expected changes from FY18 to FY19

- As the OCTO Research department is the lead on the Open Data Initiative pilot project, more personnel will be necessary as the pilot moves into projection
- After demonstrating the collection of root server system query data from the L-Root server is equivalent to the collection of similar data from other root servers, the Research team will discontinue obtaining data from the B, D and F-Root servers
- Further definition of the Identifier Technologies Health Indicators (ITHI) metrics along with systematized collection of those metrics

Priorities during FY19

- Move the Open Data Initiative pilot into production
- Expand the data sources made available via the Open Data Initiative pilot
- Further definition and refinement of Identifier Technology Heath Indicators
- Expanding the ICANN DNS Symposium, focusing on bringing new developments and innovations in DNS technologies to the community
- Improving community understanding of the Internet's system of unique identifiers

IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCY

Priorities during FY19

- Moving the DAAR system to production and releasing monthly reports
- Expanding capacity building, particularly to public safety organizations
- Improving community understanding of DNS abuse and its implications

Risks and Opportunities

RESEARCH

- Difficulty in identifying data sources and/or constraints on making public data from those sources delays or reduces the usefulness of the Open Data Initiative pilot
- Sensitivity relating to implications of health indicators delays or reduces the usefulness of the Identifier Technologies Health Indicators

IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCY

- Lack of understanding of the DNS abuse statistics made available via the DAAR system impedes its use in providing information to the community to aid policy discussions
- Lack of capacity building resources impacts the ability to improve understanding of identifier system abuse and its mitigation

FY19 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 4: Technology & DNS Security						
2.2.2 Identifier Evolution	**9.1**	**2.4**	**0.5**	**0.5**	**0.6**	**4.0**
Total	**9.1**	**2.4**	**0.5**	**0.5**	**0.6**	**4.0**

Module 5 – Contractual Compliance and Consumer Safeguards

Overview

CONTRACTUAL COMPLIANCE

ICANN Contractual Compliance department falls under:

ICANN's Strategic Plan Objective 4	Promote ICANN's role and multi-stakeholder approach
Goal 4.4	Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest

The purpose of the ICANN Contractual Compliance department is to ensure that the ICANN contracted parties (registries and registrars) demonstrate compliance with the applicable agreements and community policies. This is accomplished via a proactive approach, monitoring, outreach, audits and also via responses to complaints filed with ICANN (reactive approach). In addition, the department is an active contributor to community policy development and reviews.

CONSUMER SAFEGUARDS

The Consumer Safeguards department, which is new to ICANN, facilitates community education and discussion on safeguards within ICANN's remit and authority as well as topics concerning Internet-related, consumer protection efforts by others, such as registries, registrars and government organizations.

Major activities include:

- Holding webinars
- Creating podcasts and other content to educate community members and further discussions on consumer safeguards
- Facilitate sessions at ICANN meetings as requested and supported by community

Major Assumptions

CONTRACTUAL COMPLIANCE

Expected changes from FY18 to FY19

- Potential changes to contractual compliance reviews and procedures due to GDPR impact
- Additional resources directed to support enhanced audits for Transparency in Infrastructure Abuse and Compliance
- Deliver the enhanced metrics related to GAC Safeguards and Public Interest Commitments
- Generation of narratives and reports to support ICANN org initiatives
- Replace existing tools due to changes in IT solutions (e.g., Lucid, document management tools, Cognos replacement, etc.)
- Support OCTO initiatives - Open Data Initiative, ITHI data requests
- Review and contribute to the amendments to the Consensus Policy Implementation Framework document

Priorities during FY19

- Managing the impacts of GDPR compliance
- Monitoring and enforcement of DNS abuse
- Ongoing handling of external complaints
- Ongoing handling of internal referrals to compliance from departments such as Technical Services, Finance, etc.
- On-going audits
- Audits that are particularly related to DNS abuse
- Improved transparency in compliance
- Continued development of compliance team
- ICANN org initiatives impacting compliance

CONSUMER SAFEGUARDS

Priorities during FY19

- Facilitate community-wide, transparent discussions on consumer safeguard-related topics and educate the Empowered Community through webinars, meetings, podcasts and blogs
- Support consensus-based PDPs that originate from within the community discussions regarding consumer safeguards

Risks and Opportunities

CONTRACTUAL COMPLIANCE

- Increased demand on contractual compliance resources by community for:
  - Enhanced transparency in reporting, data and detailed explanation of compliance actions
  - Complexity of issues
  - Increased scope of work (e.g., GDPR and DNS abuse)
  - Support for third-party demand activities (e.g., review teams, policy working groups), internal cross-functional projects and ICANN-specific projects like the NSP and ITI
- Impact on the Contractual Compliance department of the implementation of GDPR (being assessed at the time of publication of this document)
- Increased complexity of issues (e.g., DNS abuse, requirements of and/or conflicts with local law, creativity of contracted parties and their business models) requiring more time and focus
- Increased contract interpretation challenges (e.g., whether RSEP is required)
- Readiness and anticipation of the ICANN community demands for data transparency
- Extent of support to the implementation and on-going requirements of the Privacy/Proxy Accreditation Program

CONSUMER SAFEGUARDS

- A lack of community input and participation is a risk to the departments goals and objectives
- With sufficient community support, and in partnership with other ICANN departments, there is an opportunity to address and reduce abuse within the DNS

FY19 Budgeted Portfolios

Modules	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 5: Contractual Compliance and Consumer Safeguards					0.0	
4.4.1 Contractual Compliance and Safeguards	2.4	0.8	0.0	0.0	0.0	0.9
4.4.2 Contractual Compliance Function	27.0	3.5	0.1	0.7	0.1	4.4
Total	29.4	4.4	0.1	0.7	0.1	5.3

Module 6 – Reviews

Overview

Reviews are one of several important ICANN accountability mechanisms. Organizational Reviews and Specific Reviews provide the means for independent assessment of ICANN's performance toward its commitments. The reviews result in progress reports that:

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

Reviews promote a common goal: a single, interoperable Internet supported by stable, secure, and resilient unique identifier systems. This allows the Internet to be free and open and will help shape its future.

Previously, the Multistakeholder Strategy and Strategic Initiatives department determined a baseline assumption for standard review costs for both Specific Reviews and Organizational Reviews. The number of review team members requiring travel support is a significant driver of Specific Review costs, yet there is no predictability or means to estimate this number. To achieve predictability in review expenditures and exercise fiscal responsibility, we plan to:

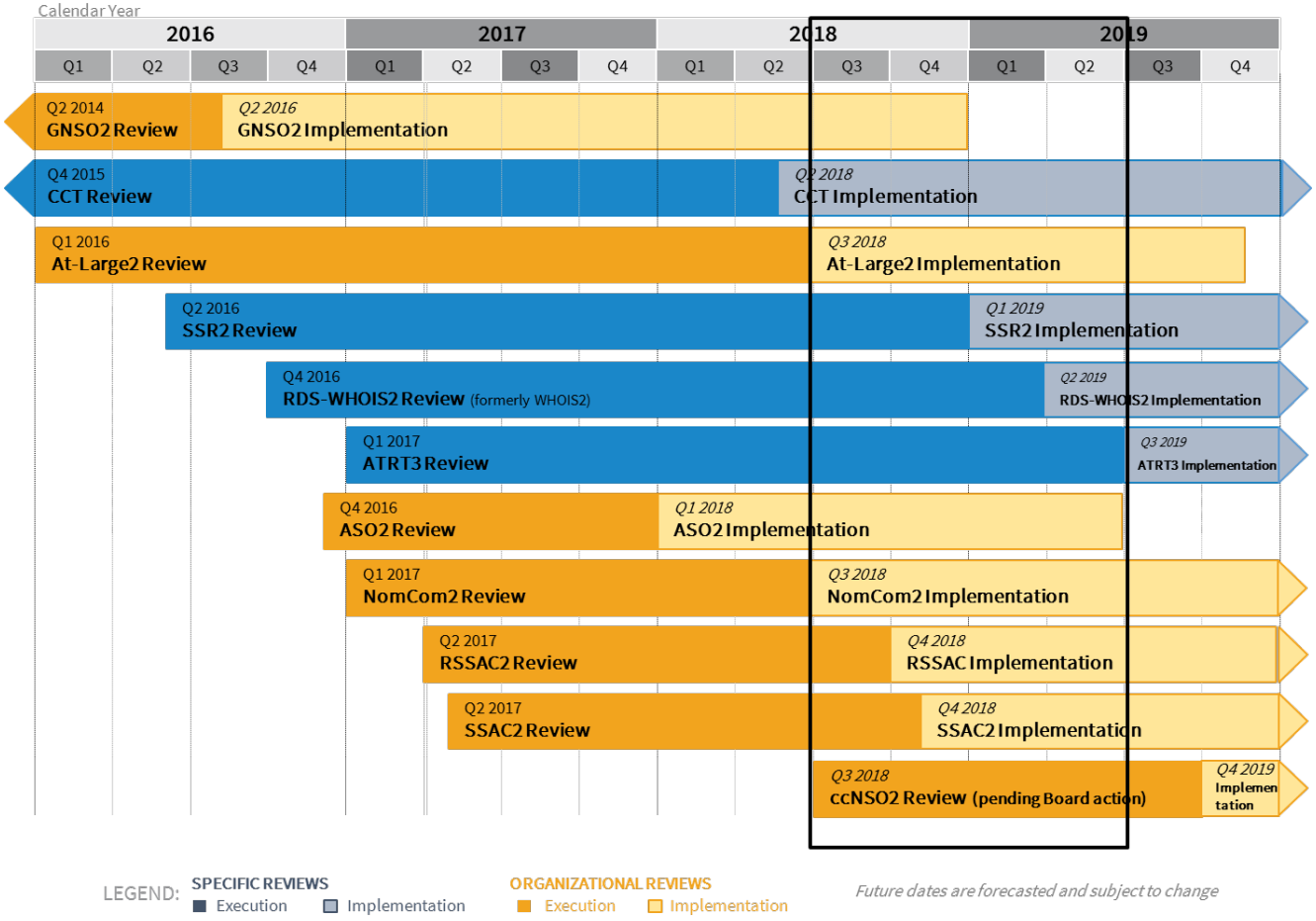
- Implement a new "standard" assumption of 10 supported travelers for each review (see summary cost tables below)
- Encourage remote participation options and other options for cost effective travel plans (i.e., leveraging ICANN Public Meetings) while also enabling each review team to have the flexibility to decide how to best use the travel budget to meet its specific needs

SPECIFIC REVIEW

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

ORGANIZATIONAL REVIEW

	Planning (USD)	Conduct Review (USD)	Implementation (USD)
Travel	0	20,000	0
Professional Services	0	205,000	0
Total Cost per Review	0	225,000	0



As indicated within the timelines highlighted in the black box above, this schedule shows the phases for reviews that will occur in FY19. Eleven reviews will be running simultaneously in various phases during the upcoming fiscal year. The darker shading in the schedule indicates the review is underway while the lighter shading indicates the review is in the implementation phase. For example, the Second Security, Stability and Resiliency of the Domain Name System Review (SSR2) will still be underway during the first half of FY19, while implementation will begin during the second half of FY19.

In 2015, the ICANN community expressed concern regarding volunteer workload, its ability to effectively participate in these important accountability mechanisms and the need to change the review schedule. The Second Accountability and Transparency Review Team (ATRT2) recommendations adopted by the Board called for improvements to the review process. Based on public feedback, the Board endorsed the schedule for reviews noted in the chart above. Since then, additional deferrals have taken place in response to community concerns (notably ccNSO).

A specific challenge to the reviews budgets is that every fiscal year may cause us to be above target due to timing changes in response to community needs. To address this challenge, reviews should be planned and resourced as a separate, multiyear budget with a project reserve. Taking into consideration prior assistance from the Finance department, and new assumptions for review team travel, the Multistakeholder Strategy and Strategic Initiatives department has revised its projections for the costs associated with reviews (see summary cost table above). There may be years where the reviews budget exceeds this amount and other years where there is a surplus. Over the course of several years, the multiyear budgets for reviews should equalize. For this to occur, Finance would need to establish a fund for reviews, irrespective of when they occur during a fiscal year.

Major Assumptions

The Multistakeholder Strategy and Strategic Initiatives department will manage even more reviews than in previous years (for example, there will be 11 in FY19 compared to 10 in FY18).

There is an additional dimension resulting from community processes to hold volunteer-led review teams accountable to their communities while also having a greater role in the reviews post-transition.

To account for and better manage these teams, we have transformed the review support services into a project management discipline, following industry standards and best practices, as well as leveraging the success of the Project Cost Support Team (PCST) model. This includes:

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

To respond to the increasing demands relating to reviews, and to address review streamlining and recalibration, we will continue to work on short-term improvements based on existing opportunities as well as longer-range changes. These efforts will involve research and assessments to gauge effectiveness and use models that have proven to be effective in other broadly similar environments.

Operating Standards will be finalized with support of the community and operationalized in a consistent manner across all reviews and will continue into FY19.

While the Cross-Community Working Group on Enhancing ICANN Accountability's (CCWG-Accountability) Work Stream 2 (WS2) is expected to wind-down its work in FY19 when it issues its final recommendations, our work will transition into facilitating and coordinating Board actions on the recommendations and implementation work of a cross-functional team.

Preparation and coordination of a cross-functional strategic planning effort to develop the next Five-Year Strategic Plan and Five-Year Operating Plan will continue into FY19 as well.

The CCT review will move into its implementation phase during FY19, with the work shifting from providing project management support for the CCT-RT, to project managing the cross-functional implementation efforts in a streamlined manner for as many as 40 wide-ranging recommendations currently being drafted by the review team.

SPECIFIC REVIEWS

Due to the uncertain timing of Specific Reviews and resulting delays, we expect that a substantial part of our original FY18 travel and professional services budget will be pushed into FY19. Such timing differences are an integral part of reviews; the most meaningful way to evaluate costs is on a multiyear basis, as reflected in the Review Fact Sheets.

Status of Specific Reviews:

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

  The Board paused SSR2 so SO/ACs could consider whether there is a need to adjust the scope, terms of reference, work plan, skill set and/or resources allocated to the review. The decision to un-pause the review lies with the SO/AC chairs, who are in the process of gathering information to assist with their decision. Currently, it is unknown when the review will resume and/or what (if any) consequences will occur as a result of this action.

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

  RDS-WHOIS2 is making steady progress, having recently finalized its scope of work, terms of reference and work plan.

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

  ATRT3 was officially launched in January 2017 with a call for volunteers. The SO/ACs are in the process of selecting members for the review team. Pending the selection of the review team members by the SO/AC chairs, the review team is expected to commence its work no earlier than March 2018.

ORGANIZATIONAL REVIEWS

Two reviews have been delayed as compared to the original budget assumptions:

- **SSAC Review**

  Delayed due to Board concerns over the selection of an independent examiner. While the concerns are being addressed, the outcome and therefore, the timing of the review are unknown.

- **ccNSO Review**

  Deferred to FY19 at the request of the ccNSO due to community bandwidth limitations.

Similar to Specific Reviews, the primary drivers of cost (professional services and travel) will be pushed into the next fiscal year.

ON THE HORIZON FOR REVIEWS BUDGETING

Review fact sheets have become a useful tool for review teams to manage their budget, and the Board and SO/ACs are beginning to use them as a means of tracking progress relative to resources used.

Additionally, the department is expanding and leveraging the PCST model successfully used for WS2, for review projects.

Risks and Opportunities

Risks

The following items have been identified as potential impasses on the review process flowcharts:

- Uncertainties around how specific review teams will be monitored by the communities that appoint them

- Uncertainty around how the ICANN Board will handle potentially problematic final recommendations and what the community's reaction will be if a large number of recommendations are rejected by the Board

Review teams are supplied with a budget envelope for the entire review at the start of their work. Therefore, it is important to provide them with clear updates and compelling justifications for changes in assumptions in budgeting having an impact on their work. The change to a "standard" number of 10 supported travelers is an example of this.

Opportunities

- Opportunities to gain efficiency
  - Streamlining and ongoing process improvements in line with the project management discipline operationalization of operating standards
  - Implementation of process improvements from lessons learned
- Opportunity to improve for the department to work with the community on improving processes for Specific Reviews

Currently, the Bylaws require that reviews occur every five years from the date the previously review team was convened, except CCT, which is required to start after a new gTLD round has been in operation for one year. One possible option could be to amend the Bylaws to reflect that a review should start five years after the last review's recommendations were adopted by the Board. This would enable:

- Review recommendations to be implemented, tried and tested before launching the next round of reviews
- Reviews to be staggered so the next review does not start immediately after the recommendations have been implemented

FY19 Budgeted Portfolios

Modules	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
Module 6: Reviews						
5.2.2 Organizational Reviews	1.2	0.2	0.0	0.4	0.0	0.6
5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	3.7	0.6	0.3	0.4	0.1	1.4
Total	4.9	0.7	0.4	0.8	0.1	2.0

Section 2: Operating Plan by Objectives, Goals and Portfolios

Management System

ICANN's Five-Year Operating Plan informs the FY19 Operating Plan and Budget. The FY19 Operating Plan and Budget is aligned to the Five-Year Operating Plan in phasing and Key Performance Indicators. This allows us to map all activities and resources back to the five main Strategic Objectives developed by a community driven bottom up process.

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

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

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

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

The next page shows how ICANN's five strategic objectives are subdivided into 16 strategic goals. These are each divided into portfolios of projects.

1.1 Further globalize and regionalize ICANN functions

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

1.1 Further Globalize and Regionalize ICANN Functions

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

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

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.1.1 Language Services	6.7	0.7	0.1	2.0	0.1	2.9
1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	18.1	3.0	0.2	0.5	0.0	3.7
Total	24.8	$3.7	$0.3	$2.5	$0.1	$6.6

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

1.2.1 – Meeting Services
Work associated with planning and running ICANN's three public meetings a year.

1.2.2 – Engage Stakeholders Regionally
Work supporting regional and functional engagement strategies, including regional and functional area work plans, stakeholder engagement heat map.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.2.1 Meeting Services	9.4	1.8	6.5	3.0	0.7	11.9
1.2.2 Engage Stakeholders Regionally	36.1	7.5	1.3	3.0	0.5	12.3
Total	45.5	$9.3	$7.7	$6.0	$1.2	$24.2

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

1.3.1 – Support Policy Development, Policy Related and Advisory Activities
Work to optimize the efficiency and effectiveness of community policy development and advice efforts.

1.3.2 – Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities
Work to help ICANN Supporting Organizations and Advisory Committees increase their effectiveness through structured measurement and reporting.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.3.1 Support Policy Development, Policy Related and Advisory Activities	34.6	4.8	0.6	0.7	0.1	6.2
1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	1.1	0.1	2.4	0.0	0.0	2.5
Total	35.6	$4.9	$3.0	$0.8	$0.1	$8.8

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

2.1.1 – Registration Data Services (RDS aka WHOIS)
Work related to enhancing and evolving Registration Directory Services (RDS aka WHOIS) aimed at promoting trust and confidence in the Internet for all stakeholders.

2.1.2 – Global Domains Division (GDD) Strategic Programs
Work related to Global Domains Division strategic programs in support of a healthy, secure, stable and resilient identifier ecosystem.

2.1.3 – PTI Operations
Work relating to operational responsibilities for maintaining registries for protocol parameters, IP numbers, Autonomous System numbers, and root zone changes. Maintenance of relationship with Internet Engineering Task Force (IETF), Internet Architecture Board, five RIRs and TLD operators.

2.1.4 – PTI Technical System Enhancements
Work to improve and develop software, tools and other discrete projects to improve delivery of the IANA services.

2.1.5 – Global Domains Division (GDD) Operations
Work to support the implementation and delivery of services to contracted parties by the Global Domains Division. This includes continuous improvement work for service design and delivery.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.1.1 Registration Directory Services (WHOIS)	1.4	0.2	0.0	0.4	0.0	0.6
2.1.2 Global Domains Division (GDD) Strategic Programs	5.1	1.0	0.2	0.1	0.0	1.2
2.1.3 PTI Operations	20.2	3.8	0.5	1.0	0.3	5.7
2.1.4 PTI Technical System Enhancements	2.3	0.5	0.0	0.1	0.0	0.6
2.1.5 Global Domains Division (GDD) Operations	39.3	5.8	0.2	2.3	0.3	8.5
Total	68.2	$11.3	$0.9	$3.8	$0.6	$16.6

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

2.2.1 – Security, Stability and Resiliency of Internet Identifiers
Work to observe, assess and improve the security, stability, and resiliency of the Internet's Identifier systems. It includes a range of activities including risk awareness and preparedness, measurement and analysis of identifier system behaviors or performance, and cooperative outreach that emphasizes coordination, capability building, and knowledge transfer.

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.2.1 Security, Stability and Resiliency of Internet Identifiers	6.7	2.0	0.2	0.3	0.3	2.9
2.2.2 Identifier Evolution	9.1	2.4	0.5	0.5	0.6	4.0
Total	15.8	$4.4	$0.7	$0.8	$0.9	$6.8

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

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

2.3.2 – New gTLD Program
Work to support all aspects of the New gTLD Program.

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

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

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

2.3.6 – Internationalized Domain Names and Universal Acceptance
Work to support the introduction and universal acceptance and adoption of Internationalized Domain Names.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.3.1 GDD Technical Services	4.0	1.0	0.0	0.2	0.0	1.2
2.3.2 New gTLD Program	-	2.0	0.5	2.8	0.3	5.6
2.3.3 Registrar Services	6.0	1.1	0.0	0.3	0.0	1.4
2.3.4 Registry Services	9.0	1.5	0.0	0.2	0.0	1.7
2.3.5 Domain Name Services	6.5	1.3	0.1	0.0	0.1	1.6
2.3.6 Internationalized Domain Names and Universal Acceptance	2.0	0.2	0.1	1.6	0.0	1.9
Total	27.4	$7.1	$0.9	$5.1	$0.4	$13.4

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

3.1.1 – Internal Facing Operations
Work supporting the full range of internal-facing operations. It includes managing the ARR, Risk Management and all organizational improvement activities.

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

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.1.1 Internal Facing Operations	10.5	2.1	0.3	0.7	0.2	3.3
3.1.2 Finance and Procurement	18.3	3.3	0.0	0.3	1.4	5.0
3.1.3 Strategic and Operating Planning	8.5	1.4	0.3	0.3	0.1	2.1
Total	37.2	$6.8	$0.6	$1.3	$1.6	$10.3

3.2 Ensure Structured Coordination of ICANN's Technical Resources

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

3.2.1 – IT Infrastructure, Cybersecurity Hardening and Control
Work to maintain performance of the systems supporting all ICANN operations.

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

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.2.1 IT Infrastructure, Cybersecurity Hardening and Control	21.4	3.8	0.2	0.9	3.4	8.2
3.2.2 Root Systems Operations	5.0	0.9	0.2	0.1	1.1	2.4
3.2.3 IT Service Scaling and Product Management	45.9	8.9	0.2	1.4	2.0	12.5
Total	72.2	$13.6	$0.6	$2.5	$6.5	$23.1

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

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

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.3.1 People Management	13.1	2.3	0.0	0.3	0.3	2.9
3.3.2 Global Operations	13.2	3.0	0.6	0.3	6.3	10.3
Total	26.3	$5.3	$0.6	$0.7	$6.6	$13.2

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

In FY19, we will deliver work described in this portfolio of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolio

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.1.1 Coordination of ICANN participation in Internet Governance	**2.6**	**0.8**	**0.1**	**0.0**	**0.2**	**1.1**
Total	**2.6**	**$0.8**	**$0.1**	**$0.0**	**$0.2**	**$1.1**

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

In FY19, we will deliver work described in this portfolio of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolio

4.2.1 – Working with Governments and Intergovernmental Organizations
Work supporting the activities of the Governmental Advisory Committee and supporting outreach to increase participation in its work.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.2.1 Working with Governments and Intergovernmental Organizations	**1.7**	**0.6**	**0.0**	**0.0**	**0.0**	**0.6**
Total	**1.7**	**$0.6**	**$0.0**	**$0.0**	**$0.0**	**$0.6**

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

In FY19, we will deliver work described in this portfolio of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolio

4.3.1 – Support Internet Governance Ecosystem Advancement
Work within the Internet governance ecosystem to support evolution of multistakeholder distributed approaches.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.3.1 Support Internet Governance Ecosystem Advancement	**4.0**	**1.1**	**0.1**	**0.3**	**0.0**	**1.5**
Total	**4.0**	**$1.1**	**$0.1**	**$0.3**	**$0.0**	**$1.5**

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

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

4.4.2 – Contractual Compliance Function
Work to ensure compliance by registrars and registries with their contractual obligations to ICANN and to report back to the community.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
4.4.1 Contractual Compliance and Safeguards	2.4	0.8	0.0	0.0	0.0	0.9
4.4.2 Contractual Compliance Function	27.0	3.5	0.1	0.7	0.1	4.4
Total	29.4	$4.4	$0.1	$0.7	$0.1	$5.3

5.1 Act as a Steward of the Public Interest

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

5.1.1 – Legal Support and Advice
Legal support for all functions at ICANN.

5.1.2 – Support ICANN Board
Work to support the ICANN and PTI Boards of Directors.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.1.1 Legal Support and Advice	9.6	2.6	0.0	0.8	0.1	3.5
5.1.2 Support ICANN Board	12.4	2.3	0.6	1.3	0.1	4.4
Total	22.0	$4.9	$0.7	$2.1	$0.2	$7.9

5.2 Promote Ethics, Transparency and Accountability Across the ICANN Community

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

5.2.1 – Enhancing ICANN Accountability - WS2
Work relating to the CCWG-Accountability, which is able to produce recommendations that provide assurance that ICANN is accountable in the absence of its historical contractual relationship with the U.S. Government.

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

5.2.3 – Specific Reviews (Bylaws Article 4, Section 4.6)
Work to conduct Specific Reviews as required by the ICANN Bylaws. This includes all aspects of the review process, including project management and community engagement.

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

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

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.2.1 Enhancing ICANN Accountability - WS2	1.5	0.3	0.0	0.4	0.0	0.7
5.2.2 Organizational Reviews	1.2	0.2	0.0	0.4	0.0	0.6
5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	3.7	0.6	0.3	0.4	0.1	1.4
5.2.4 Strategic Initiatives	5.9	1.7	0.1	0.6	0.0	2.4
5.2.5 Accountability and Transparency Mechanisms	2.8	0.8	0.0	0.3	0.1	1.1
Total	15.1	$3.5	$0.5	$2.2	$0.1	$6.2

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

In FY19, we will deliver work described in these portfolios of activities and projects. We will measure our success through the Accountability Indicators published on ICANN.org.

Portfolios

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

5.3.2 – Supporting Stakeholder Participation
Work to broaden and support the multistakeholder model through the Fellowship Program, NextGen@ICANN, Newcomer Program and Community Onboarding.

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.3.1 Supporting Public Interest Initiatives	1.3	0.2	0.0	0.3	0.0	0.5
5.3.2 Supporting Stakeholder Participation	7.6	0.9	0.2	0.4	0.1	1.6
Total	8.8	$1.1	$0.2	$0.7	$0.1	$2.1

Appendix A: FY19 Budget by Project

The FY19 Budget by Portfolio and Project document is linked from the ICANN's financial web pages. The documents include the detail of the costs by category for each project, and the full-time equivalent number of allocated staff. They are provided in both PDF and Excel formats. The Excel includes both sets of information, the PDFs break it out into separate files.

- FY19 Budget by Project
- FY19 Budget by Portfolio

Document 5:

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

18 May 2018

DRAFT ICANN FY19 PLANNING DOCUMENTS

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

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

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

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

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1 Introduction

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

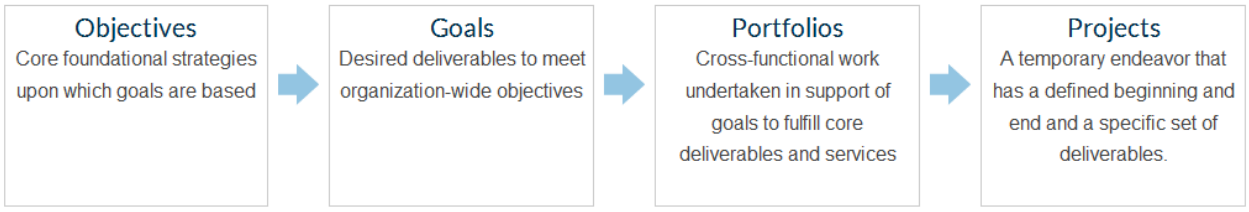
1.	**Five-Year Strategic Plan FY16-FY20**	To be updated every five years or earlier if appropriate. It includes: ⊙ Vision and mission ⊙ Strategic objectives ⊙ Goals ⊙ Key success factors ⊙ Strategic risks ICANN's Board adopted the current Strategic Plan on 16 October 2014.
2.	**Five-Year Operating Plan FY16-FY20**	To be updated each year. It includes: ⊙ A five-year planning calendar ⊙ Strategic goals with corresponding key performance indicators ⊙ Dependencies ⊙ Five-year phasing ⊙ A list of portfolios ⊙ A five-year financial management strategy This is the third update to the Five-Year Operating Plan. ICANN's Board adopted the initial version of the Plan on 28 April 2015.
3.	**Fiscal-Year Operating Plan and Budget**	Developed from the ICANN Five-Year Operating Plan and structured community input. It includes portfolios of activities that support the achievement of the goals and objectives with corresponding key performance indicators, dependencies, budgets, and projects.

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

2 Planning Structure

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

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



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

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

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

The ICANN online glossary defines all the terms that are used in this document.

3 Community Roles and Responsibilities

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

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

4 ICANN Operating Plan – Strategic Goal Level

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

ICANN updates this document each year to:

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

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

The list of Portfolios supporting the strategic objectives and goals may change throughout the five years of the Strategic Plan. The list of Portfolios for FY19 are described in the fiscal year Operating Plan.

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

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

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

Goal Number	Change Type	Change Summary
All	Dependencies	Availability of appropriate resources, including community bandwidth, is a dependency for all ICANN's work
All	Portfolios	The document has been updated with the FY19 portfolios which may have new labels and new numbers
All	Phasing	The phasing of what has been completed during FY17 and expected for FY18 has been updated

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

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

Strategic Goal 1.1: Further Globalize and Regionalize ICANN Functions

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

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

PHASING

FY17	**Planned**	**Status at the end of FY17**
	• Examine how hubs and engagement offices are supporting ICANN globalization • Conduct gap analysis of stakeholders in the regions • Conduct review of engagement activities against the ICANN mission	• Completed review of ICANN regional offices and delivery of services to the community, and rolled out International Office Strategy • Completed gap analysis of stakeholders in the regions and started mapping exercises • Conducted organizational-wide review of engagement activities against the ICANN mission
FY18	**Planned**	**Intended Status at the end of FY18**
	• Conduct mapping of community to regional engagement • Implement recommendations resulting from examination of ICANN regional offices in support of ICANN globalization • Begin work on ITI, which is a multiyear project to improve content governance and access on ICANN.org	• Conduct mapping of community to regional engagement • Implement recommendations resulting from examination of ICANN regional offices in support of ICANN globalization • Complete content audit and tagging for the ITI • Ongoing communications in the six United Nations (U.N.) languages to raise awareness

	⊙ Ongoing communications in the six United Nations (U.N.) languages to raise awareness of ICANN worldwide, including social media/content, newsletters, crisis planning, Quarterly Stakeholder Updates and more ⊙ Identification and publication of new accountability indicators and metrics
FY19	⊙ Implement a more streamlined data driven decision making process in regional planning and implementation of international regional office strategies by using identified accountability indicators and leveraging the Global Stakeholder Engagement (GSE) measurement and planning function ⊙ Implement improvements for GSE based on community mapping conducted in FY18 ⊙ Continue implementing ITI ⊙ Ongoing communications in the six U.N. languages to raise awareness of ICANN worldwide, including: o Social media/content o Newsletters o Crisis planning o Quarterly Stakeholder Updates
FY20	⊙ Implement improvements on review of GSE web, stakeholder relationship management tools from 2019 ⊙ Ongoing communications in the six U.N. languages to raise awareness of ICANN worldwide, including: o Social media/content o Newsletters o Crisis planning o Quarterly Stakeholder Updates

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

FY19 PORTFOLIOS

1. Meeting Services
2. Engage Stakeholders Regionally

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

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

PHASING

FY17	**Planned**	**Status at the end of FY17**
	⊙ Examine # of community participants in ICANN programs to enable measurement of the stakeholder journey ⊙ Complete first cycle of regional work plans with scalable metrics, goals and deliverables	⊙ Continue working with the community and internally on data collection mechanisms and reporting ⊙ FY17 regional work plans have run their full lifecycle by the end of FY17
FY18	**Planned**	**Intended Status at the end of FY18**
	⊙ Conduct initial mapping of stakeholder journey to enhance regional engagement ⊙ Review effectiveness of ICANN web tools for supporting globalization and regionalization for community	⊙ Identify and publish new accountability indicators ⊙ Identify common high-level journey elements (identify common entry points and common barriers to participation) ⊙ Identify mechanisms for measurement of and identification of other journey elements (community participation, engagement levels and stakeholder group gaps)
FY19	⊙ Identify and implement mechanisms to measure participation levels in a consistent way ⊙ Measure and map common entry points and barriers to participation to enhance the stakeholder experience	

	⊙ Map regional engagement to lower barriers and enhance stakeholder experience and meaningful participation across sectors and regions
FY20	⊙ Begin mapping all regional engagement to all identified stakeholder journeys to enhance individual stakeholder experiences ⊙ Enhanced stakeholder experiences from end-to-end across all sectors and regions ⊙ Meaningful participation from stakeholders at multiple levels of engagement from all sectors and regions ⊙ Reduced barriers to participation

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

PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

- Increased representation and participation in the policy development and governance processes
- Increased “quantity of activity” index (e.g., tracking of Supporting Organization/Advisory Committee (SO/AC) policy projects and status, teleconferences and email collaboration, etc.)
- Increased “quantity of productivity” index (e.g., tracking of quantity of completed projects, resolutions, advice, and publications)

DEPENDENCIES

1. Community collaboration

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

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

   Successful tool development depends on availability of OCS resources.

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

PHASING

FY17	Planned	Status at the end of FY17
	⊙ Complete assessment of language services capabilities for proficiency, accuracy, consistency and reliability ⊙ Review ICANN's Language Services Policy ⊙ Conduct final SO/AC special request process ⊙ Assess effectiveness and value of telecomm vendors ⊙ Assess implementation of relevant accountability provisions resulting from final plans to transition stewardship of the Internet Assigned Numbers Authority (IANA) functions ⊙ Begin multiyear planning for At-Large general assemblies and summits	⊙ Language services continued to be expanded in various ways in FY17 A complete assessment was not completed in FY17 but will be initiated in the future. Due to the priority focus on the community services inventory effort in FY17, a comprehensive assessment of the current language services policy was not completed. ⊙ The special request budget process was conducted again in FY17 Plans have not been finalized to phase out the program at this time and a decision will be made in FY18 whether to continue the program for FY19. ⊙ Remote participation capabilities are critical to effective community work. ICANN org teams continue to collaborate on maximizing the effectiveness and capabilities of the organization's telecomm vendors to achieve the best value and results for each community. This is an ongoing effort Due to the timing of the accountability work currently being conducted by the community, an implementation assessment at this time would be premature. This effort is likely to begin this year as planned.
FY18	**Planned**	**Intended Status at the end of FY18**
	⊙ Complete a comprehensive assessment of delivery of all resources and capabilities that are provided to the stakeholders (every two years) ⊙ Analyze, evaluate and plan for how to balance resource	⊙ ICANN org continues to inventory the resources and capabilities that are provided to stakeholders It is unlikely that this effort will be completed in FY18. The effort did result in a new community consultation on community travel support and potential

abilities and capabilities among stakeholders (every two years) ⊙ Assess progress towards five-year goal – toward wide use of improved tools and mechanisms for global participation and representation, including the use of remote participation to engage stakeholders from emerging regions ⊙ Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work ⊙ Support one or more At-Large general assemblies ⊙ Conduct final SO/AC special request process (likely continuing for FY18 and FY19) ⊙ Assess effectiveness and value of telecomm vendors ⊙ Initiate Third Accountability and Transparency Review Team (ATRT3)	updates to the ICANN Travel Guidelines. ⊙ The last three years have seen substantial improvement in the availability and breadth-of-use of a variety of participation tools at ICANN For example: ○ Adobe Connect rooms are now in use by all communities ○ Live interpretation is now available on many community calls ○ Live captioning capabilities are being explored for community calls ○ Video feeds are provided in Adobe Connect rooms for face-to-face community meetings ⊙ While several community reviews have taken longer than anticipated: ○ Progress on implementation of the Generic Names Supporting Organization (GNSO) review recommendations should be realized by the end of the fiscal year ○ Implementation efforts for the ALAC review recommendations should be under way by the end of FY18. ⊙ Over the past two years, assemblies have been held for: ○ African Regional At-Large Organization (AFRALO): FY17 ○ North American Regional At-Large Organization (NARALO): FY17 ○ The Asia-Pacific Regional At-Large Organization (APRALO): FY18 ○ Latin American and Caribbean Regional At-Large Organization (LACRALO): part 1 in FY17; part 2 in FY18 ⊙ The community additional budget request process was conducted again in FY18

	⊙ Throughout FY18, ICANN org has been carefully monitoring the use and capabilities of all three major ICANN telecomm vendors ⊙ By the end of FY18, the members of the ATRT3 team will likely have been selected by SO/AC leaders
FY19	⊙ Analyze, evaluate and plan for how to balance resource abilities and capabilities among stakeholders (every two years) ⊙ Assess progress toward five-year goal of wide use of improved tools and mechanisms for global participation and representation, including the use of remote participation to engage stakeholders from emerging regions
FY20	⊙ Stakeholders and ICANN org use improved tools and mechanisms for global participation and representation to collaborate This includes the use of remote participation to engage stakeholders from emerging regions. ⊙ Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work ⊙ Support an At-Large Summit

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

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

1. IT department support

PHASING

FY17	Planned	Status at the End of FY17

	• Deliver services to the ICANN community according to service level targets
	• Monitor and manage service delivery against targets; identify opportunities for improvement and efficiency
	• Implement process improvements for increased operational efficiency and customer satisfaction
	• Implement system enhancements for increased operational efficiency and effectiveness
		• GDD has consistently delivered services to the ICANN community at or above published service level targets
		• GDD continued to monitor and manage service delivery to identify areas for improvement and implemented various process enhancements for improved service delivery
		• GDD implemented operational improvements to enhance efficiency and customer satisfaction scores improved by over 3% for the year
		• Multiple enhancements were implemented to support operational effectiveness including:
		  ○ Registry services v1 planning completed
		  ○ Centralized Zone Data Service (CZDS) 2.0 planning completed
		• PTI Operations:

		○ Established ongoing operations of PTI including incorporation of PTI, execution of contracts between ICANN and PTI for the delivery of the IANA services and updates to IANA services processes, procedures and systems to reflect the conclusion of the National Telecommunications and Information Administration (NTIA) IANA contract ○ Implemented and deployed real-time customer facing performance dashboard ⊙ PTI Technical System enhancements: ○ Key Roll of Root Zone Key Signing Key (KSK) deferred for further study ○ Enhanced physical security features of the Key Management Facility ○ Implemented recommendations by Framework of Interpretation Working Group ⊙ Registration Directory Services (WHOIS): ○ Led and supported RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders ○ Completed implementation of the 2012 WHOIS Review Team's recommendations ○ Launched Registration Data Access Protocol (RDAP) pilot ○ Published WHOIS Data Accuracy Report
FY18	**Planned** ⊙ Deliver services to the ICANN community according to service level targets ⊙ Monitor and manage service delivery against targets;	**Intended Status at the end of FY18** GDD has: ⊙ Consistently delivered services to the ICANN community at or above published service level targets

identify opportunities for improvement and efficiency
- Implement process improvements for increased operational efficiency and customer satisfaction
- Implement system enhancements for increased operational efficiency and effectiveness, including:
  - Registry services automation launched and in production
  - Registrar services and Compliance in beta.
  - CZDS improvements launched and in production
  - Develop Technical Compliance Monitoring system
  - Incremental SLA monitoring system enhancement
- First phase of redesign and implementation of the Protocol Parameter Registry Workflow System (multiyear project)
- Modernization and enhancements of the IANA website
- Enhancements to Root Zone Management System (RZMS)
- Continue to lead and support RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
  - Initiate the next review of the effectiveness of the procedures to address WHOIS conflicts with privacy laws
  - Support the work of the RDS Policy Development Process (PDP) Working

- Continued to monitor and manage service delivery to identify areas for improvement and implemented various process enhancements for improved service delivery
- Implemented operational improvements to enhance efficiency and customer satisfaction scores improved by over 3% for the year
- Implemented the following system enhancements for operational efficiency:
  - Registry services were launched
  - Registrar services v1 was launched
  - CZDS 2.0 was launched
  - Issued Request for Proposals (RFP) for a Technical Compliance Monitoring system
  - Incremental SLA monitoring system enhancements

In addition:

- First phase (data model) of the Protocol Parameter Registry Workflow System will be completed by the end of FY18
- The migration of the content of IANA website will have been completed to a more modern architecture by the end of FY18
- In collaboration with Verisign, development has been completed to automate processing of the last two request types that previously had been manually processed

  Design for new API to RZMS will have been defined and implementation will have begun.

- RDS (WHOIS):
  - Lead and support RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders
  - Publish WHOIS Data Accuracy Report

	Group (WG) and RDS Review Team - Continue implementation work on various RDS (WHOIS) related policies and requirements - Complete analysis of the impact of root zone KSK key rollover on resolvers and determine date for root zone KSK key rollover

FY19	- Deliver services to the ICANN community according to service level targets
	- Monitor and manage service delivery against targets; identify opportunities for improvement and efficiency
	- Implement process improvements for increased operational efficiency and customer satisfaction
	- Implement system enhancements for increased operational efficiency and effectiveness, including:
	
	  - Offer mobile friendly GDD services
	  - Implement other desired system enhancements as defined by registries and registrars
	  - Improvements to technical compliance and SLA monitoring systems
	  - Registry reporting interfaces and other legacy system enhancements to increase functionality
	
	- Continuation of project for the Registry Workflow System (multiyear project)
	- Development of RZMS v3 - multi-phase and multiyear project (PTI)
	- Continue to lead and support RDS (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
	
	  - Support the work of the RDS PDP WG and RDS Review Team
	  - Continue implementation work on various RDS (WHOIS) related policies and requirements
	
	- Begin Customer Standing Committee (CSC) Effectiveness and IANA Naming Function reviews required by ICANN Bylaws
	- Execute root zone KSK key rollover

FY20	- Deliver services to the ICANN community according to service level targets
	- Monitor and manage service delivery against targets; identify opportunities for improvement and efficiency
	- Implement process improvements for increased operational efficiency and customer satisfaction
	- Implement system enhancements for increased operational efficiency and effectiveness, including:
	
	  - Monitor Domain Name Health indicators and define a plan with systems enhancements and improvements in support of a healthy domain name marketplace
	  - Simplify, and make less burdensome, contracted party interaction with ICANN systems and services through improved retrievable, broadcast and syndicated methods

- Completion of project for the Registry Workflow System (multiyear project)
- Continued development of RZMS v3 – multi-phase and multiyear project (PTI)
- Continue to lead and support Registration Directory Services (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
  - Support the work of RDS PDP WG and RDS Review Team
  - Continue implementation work on various Registration Directory Services (WHOIS) related policies and requirements
- Continue to support CSC Effectiveness and IANA Naming Function reviews

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

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

- Identifier Technologies Health Index will measure ICANN's contribution to health of identifiers in both the ICANN and broader Internet communities

DEPENDENCIES

1. Identifier evolution, including:

    a. Disruptive new technology
    b. Change of business models
    c. Governmental regulation
    d. Market acceptance
    e. Technological failure, such as catastrophic risks associated with technology

2. Technical Reputation (see page 13 of linked document), including:

    a. Recognition of ICANN's technical expertise
    b. Security incident or cyberattack against ICANN's infrastructure or interests
    c. Intentional misrepresentation of ICANN's technical expertise

3. Security, stability, and resiliency of Internet identifiers, such as:

    a. Cyberattack against and/or using unique identifiers
    b. Introduction of disruptive technologies
    c. Change of business models
    d. Governmental regulation
    e. Market acceptance
    f. Technological failure, such as catastrophic risks associated with technology

PHASING

FY17	Planned	Status at the end of FY17
	⊙ Additional technology roadmaps approved by community ⊙ At least five identifier technology-related white papers are published ⊙ Demonstrate growth in ratios in developing regions	⊙ Root KSK roll project plans developed and published, and the roll was publicized to the technical community at many events ⊙ Domain Name System (DNS) traffic analysis environment deployed with one petabyte of storage ⊙ Small Office/Home Office (SOHO) middlebox lab expanded, allowing testing the impact of these devices on network traffic, particularly DNS traffic ⊙ Open Data Initiative project kicked off and multi-vendor pilot started ⊙ Internet Technologies Health Indicators (ITHI) project underway with health indicator metrics under development ⊙ Significant standards development activity through Internet Engineering Task Force (IETF) participation, including publishing two Requests for Comments (RFCs) and many Internet-Drafts
FY18	**Planned**	**Intended Status at the end of FY18**
	⊙ Implementation of year one of technology roadmaps done ⊙ At least two more identifier technology-related white papers are published ⊙ Demonstrate growth in ratios in developing regions	⊙ Working with the community to ensure a secured KSK rollover ⊙ We have conducted and analyzed measurements of DNS traffic which has confirmed an issue with resolvers that are not properly picking the new Key Signing Key (KSK) This DNS resolver behavior led to the decision to postpone the signing of a new KSK. ⊙ Digital Object Architecture (DOA) white paper has been finalized and will be published soon ⊙ We have begun work on understanding the underlying issue that DOA addresses and are investigating how the current identifier system may accommodate such need ⊙ Research has begun on blockchain's impact on identifiers and their management. A white paper to be published before the end of the current FY

	⊙ Ongoing consultations with the community regarding Identifier Technology Health Indicators (ITHI) data publication ⊙ Completion of infrastructure set-up to measure authoritative server behavior (middlebox DNS behavior) ⊙ First phase of research on registries/registrars IPv6 compliance is completed, second phase underway and expect to publish report before the end of FY18 ⊙ Security and DNS abuse awareness capacity building has continued around the world with more than 25 events to be conducted by the end of FY18 ⊙ Launched the DNS abuse scoreboard through the Domain Abuse Activity Reporting (DAAR) project ⊙ Working with Internet Protocol Journal and United States Telecommunications Training Institute (USTTI), we continue to strengthen and streamline our partnerships and collaborations with key stakeholders for better exposure of ICANN technical work ⊙ Launched first iteration of a dedicated page for ICANN technical activities Work is underway to streamline content and improve access.
FY19	⊙ Update the technology roadmaps, including the architecture of the L-Root server ⊙ Continue research into the Internet's system of unique identifiers coordinated by ICANN, including a focus on emerging identifiers, to track developing trends ⊙ Continue participation in the IETF to help guide the development of both existing and emerging identifier technology standards ⊙ Publish at least two white papers on identifier technology
FY20	⊙ Update the technology roadmaps, including the architecture of the L-Root server ⊙ Continue research into the Internet's system of unique identifiers coordinated by ICANN, including a focus on emerging identifiers, to track developing trend ⊙ Continue participation in the IETF to help guide the development of both existing and emerging identifier technology standards ⊙ Publish at least two white papers on identifier technology

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

FY19 PORTFOLIOS

1. GDD Technical Services
2. New Generic Top-Level Domain (gTLD) Program
3. Registrar Services
4. Registry Services
5. Domain Name Services
6. Internationalized Domain Names and Universal Acceptance

ACCOUNTABILITY INDICATORS (METRICS)

- Domain Name Marketplace Health Index

DEPENDENCIES

1. IT resources availability and prioritization

PHASING

FY17	Planned	Status at the end of FY17

	We will continue to support the development of a robust, stable and trusted domain marketplace by:
	- Ongoing development and monitoring of the Domain Name Marketplace Health Index
	- Improving customer satisfaction by reducing survey gap by at least 10% year over year
	- Showing stable healthy year over year growth in the domain name industry
	- Finishing the current round of the New gTLD Program and a committed plan toward the start of a subsequent round year over year
		- Domain Name Marketplace Indicators initiative:
		  - Iteration of beta report released in December 2016 and subsequent updates published bi-annually
		  - The community advisory panel support helped the identification of revised indicators and an RFP was drafted to be issued in early FY18
		  - Evaluation and acquisition of relevant datasets, tapping into both internal and external sources. Publication schedule, report format and data coverage of version 1 report will be contingent on data acquisition
		- A satisfaction survey of contracted parties was conducted and the results tabulated and published.
		  - A subsequent survey is planned for later in FY18 to help track

	⊙ Concluding policy work on WHOIS improvements and the Next Generation RDS ⊙ Developing implementation plans for new WHOIS policies or Next Generation Registration Directory Services as appropriate	improvements based on the feedback received from the survey ⊙ ICANN org is working with an advisory group to determine the appropriate metrics and indicators for tracking the health of the domain name marketplace We have engaged in a process to identify a market research firm to assist in this undertaking. ⊙ At the end of FY17, the New gTLD Program was more than 95% complete with 103 applications remaining ⊙ WHOIS/RDS portfolio moved to Goal 2.1 Additional Items completed as of FY17: ⊙ Activities related to new portfolio, Registrant Services: ○ Defined activities and plan to better inform, educate, service and support registrants ○ Defined activities, work plan, key success factors and metrics
FY18	**Planned**	**Intended Status at the end of FY18**
	⊙ Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: ○ Evaluate expansion of the initial report version's data coverage, format and release schedule by continuing to evaluate and acquire relevant datasets that can present indicators suggested by the Advisory Group ○ Collaborate with the Advisory Group for	⊙ A detailed RFP has been drafted and published to identify and retain domain name marketplace expertise to help define the expanded criteria and datasets for a more accurate illustration of marketplace health indicators ○ The marketing firm will be in place by the end of FY2018 ○ ICANN will be working with the advisory group and a market research firm to determine and publish the appropriate metrics and indicators for tracking the status of the health of the domain name marketplace ⊙ Activities related to new portfolio, Registrant Services:

	inputs on the direction of the Version 1 report • Show stable healthy year over year growth in the domain name industry • Continue to execute activities to better inform, educate, service and support registrants ◦ Create landing page on icann.org for registrants ◦ Update or create new educational materials for registrants ◦ Adapt registrant educational materials for registrars' use ◦ Publish data and metrics on registrant services
FY19	• Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: ◦ Continue to fine-tune the report's coverage, format and release schedule, based on inputs received from the advisory group and the market research firm • Show stable healthy year over year growth in the domain name industry • Drive completion of the New gTLD Program to 98% • Implement policy recommendations related to subsequent procedures for new gTLDs • Continue to execute activities to better inform, educate, service and support registrants
FY20	• Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: ◦ Identification of any revised indicators expected with the support of advisory group for version 2 of the report. ◦ Evaluation and acquisition of relevant datasets, tapping into both internal and external sources. Publication schedule, format and data coverage of version 2 of the report will be contingent on data acquisition • Show stable healthy year over year growth in the domain name industry • Drive completion of the New gTLD Program to 99% • Continue to execute activities to better inform, educate, service and support registrants

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

PORTFOLIOS

1. Internal Facing Operations
2. Finance and Procurement
3. Strategic and Operating Planning

ACCOUNTABILITY INDICATORS (METRICS)

- Financial accountability, stability and sustainability indices (composite index of ratios and metrics) including but not limited to:
  - Actual to budget Reserve Fund balance and utilization, as well as financial performance metrics
  - % project completion indices (with emphasis on major projects)
  - % turnover compared to market benchmark
  - % comparisons of actual to target enterprise risk management roadmap achievements
- Security Operations

  Seven core tracks are monitored:
  - Event Security Program (ESP)
  - Travel Security Program (TSP)
  - Security Intelligence Program (SIP)
  - Response Planning Program (RPP)
  - Global Physical Security Program (GPSP)
  - Internal Threat Management Program (ITMP)
  - Knowledge Management Program (KMP)
- On-time delivery and quality index of the ICANN planning process

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

DEPENDENCIES

1. Availability of financial resources
2. IT system implementation roadmap enabling:

   a. Efficiency and advancement in analytics
   b. Metric tracking/reporting/review
   c. Process improvement implementation

d. Mitigation assessment and implementation

3. Community bandwidth and focus to provide direction and feedback

PHASING

FY17	**Planned** ⊙ Achieve financial roadmap targets ⊙ Review operational processes and implement improvements ⊙ Modify roadmap as needed	**Status at the end of FY17** ⊙ Met the financial roadmap targets ⊙ Made improvements to our operational processes: ○ Implemented integrated workflows across our Enterprise Resource Planning system This new system replaced multiple legacy systems, simplifies processes, and is designed to deliver efficient and integrated Finance and Procurement functions. ○ Measured and managed risk for the ICANN organization
FY18	**Planned** ⊙ Continue to improve and achieve elevated target performance levels as per roadmap ⊙ Develop long term financial planning processes allowing for alignment on strategic priorities and effective use of ICANN's resources ⊙ Stabilize security operations to ensure continued and effective safeguard of ICANN's resources ⊙ Continue improvement of risk management through continued progress in the implementation of the risk management framework	**Intended Status at the end of FY18** ⊙ Confirmed Reserve Fund target and initiated a process for replenishment ⊙ Implemented long term financial planning process and initiated the development of the next 5-year strategic plan ⊙ Continued timeliness of planning process as per established calendar ⊙ Continued compliance with financial responsibility principle to maintain a balanced budget ⊙ Completed milestones of risk management roadmap ⊙ Initiated a project of evaluation and improvements of internal controls
FY19	⊙ Continue to improve and achieve elevated target performance levels as per roadmap ⊙ Modify roadmap as needed ⊙ Initiate strategic planning process	

FY20	⊙ Complete roadmap as planned ⊙ Reassess and plan for future years ⊙ Conclude strategic planning process and develop Five-Year Operating Plan

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

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

- % of global IT infrastructure uptime

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

DEPENDENCIES

None

PHASING

FY17	**Planned** • Measure and record a baseline for IT Services up-time by tier • Reflective of Post-Transition IANA, measure and record a new baseline of capabilities and costs for IANA functions year over year • Report on metric for on-time, on-budget IT projects delivery	**Status at end of FY17** • All 85+ business services have baseline monitoring data from eight geographic locations • History of IANA support has been developed; IANA service consumption and charge back algorithm being devised • Monthly metrics for IT services are all posted internally Status of major community-supporting projects is posted to ICANN.org for consumption
FY18	**Planned** • Drive IT Services up-time for Tier 1 towards 99.99% availability • Measure and compare metric for the IANA services against baseline	**Intended status at end of FY18** • Monthly report of 30-day, 90-day and 365-day rolling availability metrics ○ Report discrepancies from 99.99% uptime for Tier 1 services to Engineering

	for year over year improvement ⊙ Report on metric for on-time, on-budget IT projects delivery, driving to improvement year over year on performance and Information Technology (E&IT) management along with root cause ○ Assign high level corrective actions to appropriate E&IT team and obtain completion timeline ○ Track availability corrections to completion ⊙ Monthly report of IT infrastructure projects that facilitate our desired highly available services to effect on-time and on-budget delivery
FY19	⊙ Drive IT Services uptime for Tier 1 to 99.999% availability ⊙ Drive uptime for Tier 2 towards 99.99% availability ⊙ Measure and compare metric for the IANA services against baseline for year over year improvement ⊙ Report on metric for on-time, on-budget IT projects delivery, driving to improvement year over year on performance
FY20	⊙ Maintain IT Services uptime for Tier 1 to 99.999% availability ⊙ Maintain uptime for Tier 2 to 99.99% availability or better ⊙ Drive uptime for Tier 3 towards 99.9% availability or better ⊙ Measure and compare metric for the IANA services against baseline for year over year improvement ⊙ Report on metric for on-time, on-budget IT project delivery, driving to improvement year over year on performance

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

FY19 PORTFOLIOS

1. People Management
2. Global Operations

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

1. IT system implementation roadmap enabling:

    a. Efficiency and advancement in analytics
    b. Metric tracking/reporting/review
    c. Process improvement implementation
    d. Mitigation assessment and implementation

2. Community bandwidth and focus to provide direction and feedback

PHASING

FY17	Planned	Status at the end of FY17
	• Develop and perform regular reporting of performance metrics against key benchmark metrics • Identify gaps and implement mitigation	• Deployed v2 of ICANN's KPI Dashboard earlier in FY17 We developed a new approach the measurement, which focuses on accountability. This was deployed internally late in FY17 ahead of a public Beta early in FY18. • Major HR systems improvements have been delivered through ICANN's Enterprise Resource Planning system The first phase of the implementation was completed in December 2016. Human Resources has been developing and deploying change management and a

		strategic Human Resources partnership function to better support the organization's needs. ⊙ How It Works sessions continue to be provided at ICANN and other meetings and are supported by the improved ICANN Learn platform and targeted training activities ICANN org-focused informational sessions are provided through lectures from ICANN org, and an invited guest speaker series. ⊙ To identify both strengths and areas for improvement across the organization and drive the prioritized improvements, we have continued to use: ○ Comprehensive and non-prescriptive continuous improvement models ○ EFQM Excellence Model ○ SOC/2 and SOC/3 ○ 20 Critical Security Controls Framework ⊙ Board Operations has improved its structure and systems to elevate the strategically focused quality of services to both the ICANN and PTI Boards ⊙ Global Operations work in the hubs is being synchronized with the globalization strategy, especially for local team building, improvement initiatives and organization-wide best practice programs
FY18	**Planned** ⊙ Identify gaps and continue to improve ⊙ Advance on applying systems to refine measurements ⊙ Collaborate with stakeholders on progress evaluation and improvements	**Intended Status at the end of FY18** ⊙ Board Operations has continued to improve the strategically focused quality of services to both the ICANN and PTI Boards, while improving integration with other teams involved in supporting both boards ⊙ Global Operations work has been integrated with the new international regional office strategy A key focus is to identify and deliver the specific needs in each regional and work with functional teams to enable their delivery.

	⊙ Human Resources:
	  ○ The new Enterprise Resource Planning system has improved efficiency by automating key processes thereby providing efficiencies to the organization
	  ○ The new HR Business Partner program is helping us better meet the organization's people needs
	
	⊙ Organizational Assessment and Improvement:
	  ○ We have continued to use a selection of audit and other continuous improvement frameworks to drive improvement across the organization
	  ○ The new Accountability Indicators improve the nature and presentation of key measurements
	
	⊙ Security Operations has deployed an integrated set of approaches to protect ICANN org and its people, assets, information and reputation

FY19	⊙ Our key objective in FY19 is to improve the integration between teams and services, so that people within the org, Board, and community experience continuous improvements in all of the services being managed and delivered. We plan to achieve this by using the measurements we make to help us understand the links between what we do and achieve. We will then review our work methods and refine them to deliver future improvements.
FY20	⊙ Identify gaps and continue to improve ⊙ Advance on applying systems to refine measurements ⊙ Collaborate with stakeholders on progress evaluation and improvements

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

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

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

PHASING

FY17	Planned	Intended Status at the end of FY17
	• Continuation of FY16 activities to increase % participation rates documented as baseline established in FY16 • Continuation of FY16 activities to support the development of global acceptance by stakeholders of the IANA stewardship transition	• Increased total participation rates for FY17 compared to the baseline established in FY16 • Successful defense of ICANN's multistakeholder community role in the DNS at the World Telecommunication Standardization Assembly (WTSA) through education and negotiation to prevent resolutions that would have assigned a role in delegation to the International Telecommunication Union (ITU) • Statements from governments and IGOs welcoming the IANA stewardship transition • Management decision to bring some FY18 work forward into second half of FY17 by reviewing and revising the IG engagement strategy and the Government Engagement strategy in preparation for submission to Board WG on IG

FY18	Planned	**Intended Status at the end of FY18**
	⊙ Evolve the strategy as necessary based upon regional engagement office strategic and FY17 work ⊙ Evolution of global and regional work plans if necessary to reflect outcome of strategy review and revision	⊙ Consistent engagement rates built upon FY17 outcomes and engagement activity Document the participation rate ⊙ Defined model for Government engagement capacity-building sessions ⊙ Successful tracking of proposals and resolutions from the countries and regional preparatory meetings to prepare for ITU Plenipotentiary Conference 2018 (PP-18) in October 2018 (FY19)
FY19	⊙ Successful bolstering of ICANN's stakeholder community role in the DNS at the ITU PP-18 through education and negotiation to prevent resolutions that would negatively impact ICANN's mission ⊙ Increase from baseline participation rates documented as baseline established in FY18	
FY20	⊙ Strong fully structured working relationships with organizations and entities active in the IG ecosystem	

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

FY19 PORTFOLIOS

1. Working with Governments and Intergovernmental Organizations

ACCOUNTABILITY INDICATORS (METRICS)

- Increase number of GAC members and attendance at ICANN Public meetings reported by region

DEPENDENCIES

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

PHASING

FY17	**Planned**	**Status at the end of FY17**
	• Increase # of governmental entities actively participating in ICANN	• Completion of a regional capacity building workshop for regional GAC members as part of the demand driven engagement • Planning for FY18 events in support of GAC member participation and engagement • Completed a review and made revisions to the government engagement strategy as part of process of presentation of strategy to Board
FY18	**Planned**	**Intended Status at the end of FY18**
	• Third year review of strategy and implementation of any changes developed through review and revision brought forward to FY17 and the GAC capacity development workshops	• Established model for GAC capacity building workshop process: ○ Management of demand and design of workshop content based upon GAC membership demand and needs identified by the GAC Public Safety WG and GAC Undeserved Regions WG

	⊙ Revise global and regional work plans to reflect outcome of strategy review ⊙ Two informational and technical skills workshops for regional GAC members as part of demand driven engagement	⊙ Effective collaboration with technical capacity building team and regional engagement teams ⊙ Completion of at least two regional capacity building workshops in association with the ICANN meetings and two informational and technical regional workshops in response to GAC demand driven engagement
FY19	⊙ Increase number of governmental entities actively participating in ICANN processes and stakeholder groups	
FY20	⊙ Continued information and technical skills workshops to enhance relationships with governmental entities that encourage them to work collaboratively and support the adoption of the multistakeholder IG approaches on national, regional and global levels	

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

FY19 PORTFOLIOS

1. Support Internet Governance (IG) Ecosystem Advancement

ACCOUNTABILITY INDICATORS (METRICS)

- Quarterly trend data showing cumulative participation in IG ecosystem evolution

DEPENDENCIES

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

PHASING

FY17	Planned	Status at the end of FY17
	• Identification of potential best practices among national and regional multistakeholder IG approaches These are to be highlighted in outreach work for further adoption of multistakeholder model IG mechanisms. • Establish a baseline measurement of projects and work reflecting collaboration with respective Internet organizations	• A review of the metrics for Goal 4.3 in the strategic plan shows they have been broadly achieved: o ICANN is an effective contributor and supporter of a global and reliable IG ecosystem that addresses technical and non-technical issues for the global community o There is recognition by decision-makers across stakeholder groups of the multistakeholder approach to govern the Internet The global support for the IANA stewardship transition demonstrates the trust and endorsement of the multistakeholder model and the trust shown in the stakeholder community to undertake the oversight of ICANN.

		○ Demonstrate leadership by implementing best practices in multistakeholder mechanisms within the distributed IG ecosystem while encouraging all stakeholders to implement the principles endorsed at NETmundial NETmundial principles have been endorsed globally and the platform has been retired at the request and in coordination with the global community. ○ Proliferation of national and regional multistakeholder IG structures The figures in ICANN Dashboard Chart 4.3 show a consistent increase year by year in FY15, FY16 and FY17 year to date. ⊙ In light of the changes in requests from the global community and the demand-driven engagement, different reports have been implemented to reflect activity ⊙ As part of the IANA stewardship transition, all engagement activity is evaluated against ICANN's restated mission and Bylaws language The global engagement strategy review and revision work was brought forward into FY17 to address this need
FY18	**Planned** ⊙ Year three review of the goals and delivery strategy for those goals with the mission and mandate of the post-IANA stewardship transition ICANN ⊙ Evolution and improvement of global engagement work plan based on completed review	**Intended Status at the end of FY18** ⊙ Integration of Goal 4.1 and 4.3 to a single engagement strategy to support engagement in and support for the IG ecosystem and ICANN's unique mission and mandate ⊙ Definition of new measurements of key activity indicators to measure the engagement in and support for the evolution of the IG ecosystem

	⊙ Definition of new measurements for activity if the work of goal 4.3 is still separate from goal 4.1 ○ If so, continuation of FY17 projects and work to reflect collaboration with respective Internet organizations
FY19	⊙ Revise global strategy and goals as reflected in revised regional implementation strategies, regional engagement office strategies and work plans ⊙ Develop measurement mechanism to assess perception of whether technical and non-technical IG issues are successfully addressed using multistakeholder model
FY20	⊙ ICANN involvement, consistent with its mission and within its mandate, in a full implementation of a distributed trusted fully inclusive multistakeholder IG ecosystem ⊙ Perception that technical and non-technical IG issues are successfully addressed using multistakeholder model

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

FY19 PORTFOLIOS

1. Contractual Compliance and Safeguards
2. Contractual Compliance Function

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

1. External:

    a. ICANN community expectations
    b. Understanding of the contractual compliance and safeguards scope
    c. Ability to reach consensus

2. Internal:

    a. Resources (people and systems)
    b. Ability to clarify expectations and implement where applicable

3. Contracted parties:

    a. Compliance with the contract and policies
    b. Interpretation of the contract and policies
    c. Impact of local laws and regulations

PHASING

FY17	Planned	Status at the end of FY17
	• Implement ongoing measurement, benchmarking and reporting of accuracy rates • Identify and implement the Safeguard role	Several initiatives were launched for portfolios 1, 2 and 3, including: • Increased monitoring and audits • Focused efforts on areas of non-compliance, e.g., WHOIS inaccuracy • Outreach to community members • Improved reporting on compliance activities

		⊙ Increased engagement with working groups and policy teams For more details, please see Reporting & Performance Measurement
FY18	**Planned** ⊙ Conduct overall satisfaction survey (based on the feedback Contractual Compliance requests from reporters and contracted parties at the closure of a complaint) and report the results and outcomes ⊙ Implement enhanced transparency in Compliance Reporting ⊙ Assess current practices in light of the changing environment and adjust as needed ⊙ Integrate Consumer Safeguard role within ICANN organization and the community ⊙ Develop Consumer Safeguard strategic outreach plan and execute ⊙ Develop a report on the role of safeguards in the DNS market place, including successes and areas for improvement	**Intended Status at the end of FY18** ⊙ Compliance Satisfaction Survey is implemented and being reported in the Quarterly Reports. Report title is Contractual Compliance Metrics. ⊙ Compliance rolled out enhanced monthly dashboard; we added information on the subject matter of complaints based on recommendations from the Competition, Consumer Choice, and Consumer Trust Review Team draft report and the Governmental Advisory Committee's Copenhagen Communique. In addition, compliance launched new quarterly metric reports and new annual metric reports; ⊙ Ongoing effort to review current compliance practices based on community feedback and changing environment.
FY19	⊙ Implement agreed-upon plan and practices ⊙ Implement ongoing measurement, benchmarking and reporting	
FY20	⊙ Assess and adjust plan and practices as needed	

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

FY19 PORTFOLIOS

1. Legal Support and Advice
2. Support ICANN Board

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

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

PHASING

FY17	**Planned** - Measure and baseline the % of actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making	**Status at the end of FY17** - Work to provide a definition for "public interest assessment" resumed at ICANN57 and was completed and agreed on June 2017
FY18	**Planned** - Increase from the baseline the % actions by ICANN Board in decision making and how rationales are including the public interest assessments as part of decision making	**Intended Status at the end of FY18** - Currently ICANN provides information on the number of rationales that include the public interest assessments as part of decision making
FY19	- Continue to access the number actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making	
FY20	- Reach goal of all material ICANN Board actions including a consideration of decision making and how rationales are including the public interest assessments as part of decision making	

Strategic Goal 5.2: Promote Ethics, Transparency and Accountability across the ICANN community

FY19 PORTFOLIOS

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

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

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

PHASING

FY17	Planned	Status at the end of FY17
	⊙ Measure against the baseline metrics developed in FY16 and show increase in acceptance and impact of	⊙ Expanded reporting within the dashboard measuring against targets ⊙ Successful completion of all community proposals that met NTIA criteria led to

Accountability and Ethical Framework
- Continue to review for improvements and enhancements.
  - Measure and baseline the % of actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making
- Complete the first Affirmation of Commitments (AoC) Review on Competition, Consumer Choice and Trust in new gTLDs
- Launch and conduct the second AoC Review on Security, Stability and Resiliency
- Launch and conduct the second AoC Review on WHOIS
- Preparation for and launch the third AoC Review on Accountability and Transparency

the successful transfer of stewardship of the IANA function on 1 October 2016
- Support the completion of the work of CCWG-Accountability WS2
- Review of Competition, Consumer Choice and Trust in new gTLDs (CCT) targeted for completion in FY18

  CCT Review Fact Sheet developed and published on a quarterly basis.

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

		component of one recommendation scheduled for completion in FY18 ⊙ Organizational Reviews: ○ Review of the GNSO was completed in June 2016 and moved into implementation, which will continue through first half of FY19 ○ Review of the At-Large community was commenced, with Final Report of the Independent Examiner submitted in the second half of FY17 ○ Review of the Nominating Committee (NomCom) commenced in the second half of FY17 ○ Review of the Address Supporting Organization (ASO) commenced in FY17 and the final report was published in the first half of FY18 ⊙ Draft Operating Standards for reviews developed through community consultation, were developed during the second half of FY17 and posted for public comment during the first half of FY18
FY18	**Planned** ⊙ Meet increased metrics developed in FY16-FY17 and show increase in acceptance and impact of Accountability and Ethical Framework ⊙ Streamlining and recalibration work for reviews, in consultation with the community ⊙ Coordinate the operationalization of the output of CCWG-Accountability ⊙ Implementation of the recommendations from the first Specific Review on CCT ⊙ Conclude the second Specific Review on Security,	**Intended Status at the end of FY18** ⊙ Continue to expand reporting within the dashboard measuring against targets ⊙ CCT review targeted for completion in FY18 ○ CCT Review Fact Sheet developed and published on a quarterly basis ○ It is anticipated that implementation of the recommendations will begin in the first half of FY19 ⊙ SSR2 Review ○ Commenced June 2016 ○ Review Team convened in March 2017 ○ SSR2 Fact Sheet developed and published on a quarterly basis

Stability and Resiliency and plan implementation
- Conclude the second Specific Review on Registration Directory Services and plan implementation
- Conclude the third Specific Review on Accountability and Transparency and plan implementation
- Conclude Organizational Reviews of NomCom, commence Reviews of RSSAC, SSAC and ccNSO and plan implementation
- Evolve operating standards for reviews as a well-understood and accepted guide for conducting reviews

  - SSR2 is targeted for completion in the first half of FY19 (pending community action to un-pause the review; review was paused in November 2017)

- RDS-WHOIS2 Review

  - Commenced in October 2016 with a Call for Volunteers
  - Review Team convened in June 2017
  - RDS Fact Sheet developed and published on a quarterly basis
  - Review is targeted for completion in the first half of FY19

- ATRT3:

  - Commenced in January 2017 with a Call for Volunteers
  - Pending completion of the selection of Review Team members by the SO/AC chairs, the Review Team is expected to be convened in the second half of FY18
  - Targeted for completion in the second half of FY19
  - Vast majority of implementation work of ATRT2 recommendations has been completed, with the one remaining component of one recommendation scheduled for completion in FY18

- Organizational Reviews:

  - Review of the GNSO was completed in June 2016 and moved into implementation, which will continue through FY18
  - It is anticipated that the review of the At-Large community will move into implementation and will continue through FY19
  - Review of the NomCom will conclude in FY18 and will move into implementation through FY19
  - Review of the ASO will move into implementation through FY19

	⊙ Operating Standards further developed through community consultation are expected to be finalized by end of FY18 (June 2018)
FY19	⊙ Meet increased metrics developed in FY16-FY18 and show increase in acceptance and impact of Accountability and Ethical Framework ⊙ Reviews streamlining and recalibration work in consultation with the community, including a Review Impact Assessment ⊙ Continue implementation of recommendations of Specific and Organizational Reviews, following project management best practices
FY20	⊙ Reach five-year goals in acceptance and impact on organization set out in the Accountability and Ethical Framework ⊙ Reviews Streamlining and Recalibration work in consultation with the community ⊙ Continue implementation of recommendations of Specific and Organizational Reviews, following project management best practices

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

FY19 PORTFOLIOS

1. Supporting Public Interest Initiatives
2. Supporting Stakeholder Participation

ACCOUNTABILITY INDICATORS (METRICS)

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

DEPENDENCIES

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

PHASING

FY17	**Planned** • Increase access, knowledge, and capability of priority groups through a fully operational Development and Public Responsibility Department (currently Public Responsibility Support)	**Status at end of FY17** A review of the Accountability Indicator for Goal 5.3 in the strategic plan shows they have been broadly achieved: • ICANN's Development and Public Responsibility Department is fully operational • ICANN Learn was further enhanced by increasing the number of courses available in multiple languages and overall quality of content. ICANN History Project was launched in all six U.N. languages • The Fellowship Program's eligibility criteria were changed to lower barriers to participation • Collaborations were focused on education and capacity development efforts across regions, with youth and underrepresented groups as key targets
FY18	**Planned** • Continue improvement of increased access,	**Intended Status at end of FY18** Portfolios were updated to better reflect the nature of ICANN's activities in support of goal 5.3.

	knowledge and capability of target audiences	By the end of FY18 we expect that tools and programs have improved to better serve the community as follows: ⊙ Supporting public interest initiatives: ○ Published survey report on gender diversity and participation at ICANN, offering insights into the community's support for initiatives to enhance gender diversity ○ Continued to engage in cross-community discussions on exploring the public interest within ICANN's remit ○ Selected an independent third-party to conduct an internal Human Rights Impact Assessment of ICANN's organizational operations ⊙ Supporting education: ○ Successfully deployed new e-learning platform to enhanced features on ICANN Learn ○ Continued to increase availability of courses/content in multiple languages on ICANN Learn and as part of the ICANN History Project ○ Participants from across the ICANN community attended in the 2018 Leadership Program ⊙ Supporting stakeholder participation: ○ Conducted broad public consultation to define the vision for the future of the Fellowship Program ○ Community onboarding materials have been developed as part of the Community Onboarding Pilot Program to help facilitate newcomer integration into ICANN community structure
FY19	⊙ Continue improvement of increased access, knowledge and capability of target audiences	
FY20	⊙ Assess efforts and impact on target audiences and plan for evolution of operations to continue to address evolving community needs	

5 A Financial Management Strategy

5.1 Introduction

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

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

The financial management strategy is not:

- The result of a detailed budget-like exercise
- A public position statement
- Fixed for a long time

5.2 Principles

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

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

FY19 Proposed Adopted Budget By Portfolio

*FTE: Full-time staff equivalent

Totals for the projects are in USD and are rounded to the nearest millions with thousands as a decimal. Projects and Portfolios appearing with $0 are due to rounding.

Objective	Goal	Portfolios	Document 4 - Operating Plan Module Reference*	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
Objective 1: Evolve and Further Globalize ICANN	1.1 Further globalize and regionalize ICANN functions	1.1.1 Language Services		7	0.7	0.1	2.0	0.1	2.9
		1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	Module 1: Engagement Activities	18	3.0	0.2	0.5	0.0	3.7
	1.1 Further globalize and regionalize ICANN functions Total			25	3.7	0.3	2.5	0.1	6.6
	1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders	1.2.1 Meeting Services	Module 1: Engagement Activities	9	1.8	6.5	3.0	0.7	11.9
		1.2.2 Engage Stakeholders Regionally	Module 1: Engagement Activities	36	7.5	1.3	3.0	0.5	12.3
	1.2-Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders total			45	9.3	7.7	6.0	1.2	24.2
	1.3 Evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive	1.3.1 Support Policy Development, Policy Related and Advisory Activities	Module 2: Direct Community Activity Support	35	4.8	0.6	0.7	0.1	6.2
		1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	Module 2: Direct Community Activity Support	1	0.1	2.4	0.0	0.0	2.5
	1.3 Evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive			36	4.9	3.0	0.8	0.1	8.8
Objective 1: Evolve and Further Globalize ICANN Total				106	17.9	11.0	9.2	1.4	39.5
Objective 2: Support A Healthy, Stable, and Resilient Unique Identifier Ecosystem	2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem	2.1.1 Registration Directory Services (WHOIS)	Module 3: DNS Marketplace and Identifier Ecosystem	1	0.2	0.0	0.4	0.0	0.6
		2.1.2 Global Domains Division (GDD) Strategic Programs	Module 3: DNS Marketplace and Identifier Ecosystem	5	1.0	0.2	0.1	0.0	1.2
		2.1.3 PTI Operations	Module 3: DNS Marketplace and Identifier Ecosystem	20	3.8	0.5	1.0	0.3	5.6
		2.1.4 PTI Technical System Enhancements	Module 3: DNS Marketplace and Identifier Ecosystem	2	0.5	0.0	0.1	0.0	0.6
		2.1.5 Global Domains Division (GDD) Operations	Module 3: DNS Marketplace and Identifier Ecosystem	39	5.8	0.2	2.3	0.3	8.5
	2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem Total			68	11.3	0.9	3.8	0.6	16.6
	2.2 Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities	2.2.1 Security, Stability and Resiliency of Internet Identifiers	Module 1: Engagement Activities	7	2.0	0.2	0.3	0.3	2.9
		2.2.2 Identifier Evolution	Module 4: Technology & DNS Security	9	2.4	0.5	0.5	0.6	4.0
	2.2 Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities Total			16	4.4	0.7	0.8	0.9	6.8
	2.3 Support the evolution of domain name marketplace to be robust, stable and trusted	2.3.1 GDD Technical Services	Module 3: DNS Marketplace and Identifier Ecosystem	4	1.0	0.0	0.2	0.0	1.2
		2.3.2 New gTLD Program		0	2.0	0.5	2.8	0.3	5.6
		2.3.3 Registrar Services	Module 3: DNS Marketplace and Identifier Ecosystem	6	1.1	0.0	0.3	0.0	1.4
		2.3.4 Registry Services	Module 3: DNS Marketplace and Identifier Ecosystem	9	1.5	0.0	0.2	0.0	1.7
		2.3.5 Domain Name Services	Module 3: DNS Marketplace and Identifier Ecosystem	7	1.3	0.1	0.0	0.1	1.6
		2.3.6 Internationalized Domain Names and Universal Acceptance	Module 3: DNS Marketplace and Identifier Ecosystem	2	0.2	0.1	1.6	0.0	1.9
	2.3 Support the evolution of domain name marketplace to be robust, stable and trusted Total			27	7.1	0.9	5.1	0.4	13.4
Objective 2: Support A Healthy, Stable, and Resilient Unique Identifier Ecosystem Total				111	22.8	2.4	9.6	2.0	36.8
Objective 3: Advance Organizational, Technological and Operational Excellence	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability	3.1.1 Internal Facing Operations		10	2.1	0.3	0.7	0.2	3.3
		3.1.2 Finance and Procurement		18	3.3	0.0	0.3	1.4	5.0
		3.1.3 Strategic and Operating Planning		8	1.4	0.3	0.3	0.1	2.1
	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability Total			37	6.8	0.6	1.3	1.6	10.3
	3.2 Ensure structured coordination of ICANN's technical resources	3.2.1 IT Infrastructure, Cybersecurity Hardening and Control		21	3.8	0.2	0.9	3.4	8.2
		3.2.2 Root Systems Operations		5	0.9	0.2	0.1	1.1	2.4
		3.2.3 IT Service Scaling and Product Management		46	8.9	0.2	1.4	2.0	12.5

Objective	Goal	Portfolios	Document 4 - Operating Plan Module Reference*	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
	3.2 Ensure structured coordination of ICANN's technical resources Total			72	13.6	0.6	2.5	6.5	23.1
	3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders	3.3.1 People Management		13	2.3	0.0	0.3	0.3	2.9
		3.3.2 Global Operations		13	3.0	0.6	0.3	6.3	10.3
	3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders Total			26	5.3	0.6	0.7	6.6	13.2
Objective 3: Advance Organizational, Technological and Operational Excellence Total				136	25.7	1.8	4.4	14.8	46.6
Objective 4: Promote ICANN's Role and Multistakeholder Approach	4.1 Encourage engagement with the existing internet governance ecosystem at national, regional and global levels	4.1.1 Coordination of ICANN participation in Internet Governance	Module 1: Engagement Activities	3	0.8	0.1	0.0	0.2	1.1
	4.1 Encourage engagement with the existing Internet governance ecosystem at national, regional and international levels Total			3	0.8	0.1	0.0	0.2	1.1
	4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to supporting the global Internet ecosystem	4.2.1 Working with Governments and Intergovernmental Organizations	Module 1: Engagement Activities	2	0.6	0.0	0.0	0.0	0.6
	4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to supporting the global Internet ecosystem Total			2	0.6	0.0	0.0	0.0	0.6
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues	4.3.1 Support Internet Governance Ecosystem Advancement	Module 1: Engagement Activities	4	1.1	0.1	0.3	0.0	1.5
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues Total			4	1.1	0.1	0.3	0.0	1.5
	4.4 Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest	4.4.1 Contractual Compliance and Safeguards	Module 5: Contractual Compliance and Consumer Safeguards	2	0.8	0.0	0.0	0.0	0.9
		4.4.2 Contractual Compliance Function	Module 5: Contractual Compliance and Consumer Safeguards	27	3.5	0.1	0.7	0.1	4.4
	4.4 Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest Total			29	4.4	0.1	0.7	0.1	5.3
Objective 4: Promote ICANN's Role and Multistakeholder Approach Total				38	6.9	0.3	0.9	0.4	8.5
Objective 5: Develop and Implement a Global Public Interest Framework Bounded by ICANN's Mission	5.1 Act as a steward of the public interest	5.1.1 Legal Support and Advice		10	2.6	0.0	0.8	0.1	3.5
		5.1.2 Support ICANN Board		12	2.3	0.6	1.3	0.1	4.4
	5.1 Act as a steward of the public interest Total			22	4.9	0.7	2.1	0.2	7.9
	5.2 Promote ethics, transparency and accountability across the ICANN community	5.2.1 Enhancing ICANN Accountability - WS2		1	0.3	0.0	0.4	0.0	0.7
		5.2.2 Organizational Reviews	Module 6: Reviews	1	0.2	0.0	0.4	0.0	0.6
		5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	Module 6: Reviews	4	0.6	0.3	0.4	0.1	1.4
		5.2.4 Strategic Initiatives		6	1.7	0.1	0.6	0.0	2.4
		5.2.5 Accountability and Transparency Mechanisms		3	0.8	0.0	0.3	0.1	1.1
	5.2 Promote ethics, transparency and accountability across the ICANN community Total			15	3.5	0.5	2.2	0.1	6.2
	5.3 Empower current and new stakeholders to fully participate in ICANN activities	5.3.1 Supporting Public Interest Initiatives		1	0.2	0.0	0.3	0.0	0.5
		5.3.2 Supporting Stakeholder Participation		8	0.9	0.2	0.4	0.1	1.6
	5.3 Empower current and new stakeholders to fully participate in ICANN activities Total			9	1.1	0.2	0.7	0.1	2.1
Objective 5: Develop and Implement a Global Public Interest Framework Bounded by ICANN's Mission Total				46	9.5	1.3	5.0	0.4	16.2
		Allocation to New gTLD Program		0	(2.0)	(0.5)	(0.8)	(0.3)	(3.5)
		Cost Savings		0	0.0	0.0	(1.5)	0.0	(1.5)
		Contingency		0	0.0	0.0	4.4	0.0	4.4
		Organizational Review Contingency		0	0.0	0.0	0.8	0.0	0.8
		Staff Attrition		(13)	(2.2)	0.0	0.0	0.0	(2.2)
	Unallocated total			(13)	(4.2)	(0.5)	3.0	(0.3)	(2.0)
Grand Total ICANN				424	78.6	16.4	32.1	18.7	145.7

*FTE: Full-time staff equivalent

FY19 Proposed Adopted Budget By Portfolio and Project

*FTE: Full-time staff equivalent
Totals for the projects are in USD and are rounded to the nearest millions with thousands as a decimal. Projects and Portfolios appearing with $0 are due to rounding.

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
1-Evolve and												
1-Evolve and further globalize ICANN	1.1-Further globalize and regionalize ICANN functions	1.1.1 Language Services	178476	Recurring Activity - Language Services Support (All Services)	Provision of translations, transcription, teleconference interpretation and scribing support throughout the organization. Including Scribing support for Board meetings, retreats and workshops.		2.7	0.3	0.0	2.0	0.0	2.3
			178477	Recurring Activity - Administrative and Management of Language Services Department	Administrative work and department management * Process contracts and PO request * Process of monthly invoices, generation of services reports, metrics * Equipment rental * LS Department training, certifications, seminars, etc.		0.3	0.1	0.0	0.0	0.0	0.1
			178480	Recurring Activity - Language Support for Regional Meetings	Provide LS support for the GSE Team, Regional VPs, ACs and SOs * Regional Meetings * Outreach efforts * Webinars * etc.		0.6	0.1	0.0	0.0	0.0	0.1
			178483	Recurring Activity - ICANN in Your Language (Website and Culture)	Be aligned with ICANN in its Internationalization tasks and efforts: Research best methodology, plan and deploy translation management platform and structure for: * Localization of new.icann.org * Crowd-sourcing program/platform for inclusion of community in the translation process. * MT feasibility for e-mail treads, discussion forums, public comment periods * Work on integrating the web-development team into our plan for the multilingual new.icann.org		1.7	0.2	0.0	0.0	0.1	0.3
			178486	Recurring Activity - Language Services Department - Team Work and Growth	On-Going team work and continue enhancing and expanding the Language Services Department. * Work on contracting additional resources to assist in the PM tasks * Assess, produce and implement program to enhance document production and writing capabilities across the organization * Research, produce and deploy Plain English Program (include courses and webinars) * Complete and implement Language Services style guide for all languages * On-Going work on terminology platform to deploy continuous updates throughout the organization to ensure consistency and quality in all written forms		1.5	0.1	0.1	0.0	0.0	0.2
		1.1.1 Language Services Total					***6.7***	***0.7***	***0.1***	***2.0***	***0.1***	***2.9***
		1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	152542	Recurring Activity - New gTLD Communications	This project is intended to implement a set of recommendations agreed with the contracted parties and the community to fix issues that have been identified in dealing with Registry Service Providers. The project may or may not create a Registry Service Provider pre-approval program.		0.6	0.1	0.0	0.1	0.0	0.2
			176356	Recurring Activity - Internal Communications	To develop, plan and execute the internal communications strategy and plan for ICANN.		0.7	0.1	0.0	0.0	0.0	0.1
			176365	Recurring Activity - Website Comms	Develop content strategy for icann.org revamp using external vendor.		1.6	0.2	0.0	0.0	0.0	0.2
			176398	Recurring Activity - General Communications	Ongoing general communications for ICANN, including the Quarterly Stakeholder Reports and ongoing crisis communications.		5.1	1.1	0.0	0.0	0.0	1.1
			176562	Recurring Activity - Executive, Board and Speakers Bureau Communication	This project is to support Executives and the Board in their communications efforts. It is also to manage the speakers bureau which looks after speaking engagements that ICANN is invited to.		0.8	0.2	0.1	0.0	0.0	0.2
			176565	Recurring Activity - Europe, Middle East, Africa Communications Support	To support the region in communications activities which supports the regional engagement strategies.		1.2	0.2	0.0	0.0	0.0	0.2
			176571	Recurring Activity - GDD Communications	Ongoing Global Domains Division communications planning and support.		1.8	0.3	0.0	0.0	0.0	0.3
			176577	Recurring Activity - North America Communications Support	To support the region in communications activities which supports the regional engagement strategy.		0.9	0.2	0.0	0.0	0.0	0.2
			176580	Recurring Activity - Communications, Content Management and Social Media	Ongoing management of content creation, editing, posting and management of ICANN's social media channels.		3.9	0.4	0.0	0.3	0.0	0.7
			176586	Recurring Activity - Latin America and Caribbean Communications	To support the region in communications activities and support the regional engagement strategy.		0.3	0.0	0.0	0.0	0.0	0.1
			176589	Recurring Activity - ICANN Engagement with US Government Stakeholders	Ongoing general communications for ICANN.		0.1	0.1	0.0	0.0	0.0	0.1
			178359	Recurring Activity - Asia Pacific Communications Support	To support the region in communications activities which supports the regional engagement strategy.		1.2	0.2	0.0	0.0	0.0	0.2
		1.1.2 Raising Stakeholder Awareness of ICANN Worldwide Total					***18.1***	***3.0***	***0.2***	***0.5***	***0.0***	***3.7***
	1.1-Further globalize and regionalize ICANN functions Total						**24.8**	**$3.7**	**$0.3**	**$2.5**	**$0.1**	**$6.6**
alize ICANN			175396	ICANN Public Meeting 63	This includes all travel and meeting costs, professional services, administration, and technical services for ICANN 63. This does not include the labor for attending.	ICANN Public Meetings	2.0	0.3	2.1	1.1	0.3	3.8

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
1-Evolve and further glo	1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders	1.2.1 Meeting Services	175397	ICANN Public Meeting 64	This includes all travel and meeting costs, professional services, administration, and technical services for ICANN 64. This does not include the labor for attending.	ICANN Public Meetings	2.0	0.3	2.0	1.1	0.2	3.7
			175398	ICANN Public Meeting 65	This includes all travel and meeting costs, professional services, administration, and technical services for ICANN 65. This does not include the labor for attending.	ICANN Public Meetings	2.0	0.3	1.5	0.8	0.2	2.8
			175399	Global Domains Division Summits	Costs for staff and travel for Operations to support GDD Summit sessions	GDD Summit	1.1	0.2	0.4	0.0	0.0	0.6
			175417	Recurring Activity - Meetings Department	Meetings Team Ongoing Operations and Coordination	ICANN Public Meetings	2.5	0.6	0.4	0.0	0.0	1.0
		1.2.1 Meeting Services Total					*9.4*	*1.8*	*6.5*	*3.0*	*0.7*	*11.9*
			128307	IPv6 Initiative	Multi-year initiative in support of IPv6 deployment, by contracted parties with ICANN and in ICANN systems.		2.7	0.7	0.0	0.2	0.0	0.9
			141753	Information Transparency Initiative	The Information Transparency Initiative is an operational activity to improve ICANN's content governance and infrastructure. This two-year initiative has two goals – rebuilding ICANN's technical infrastructure and improving content findability through the implementation of a new information architecture with concrete content governance. The project will begin with a thorough audit and tagging of all www.icann.org content. This will form the basis of our content strategy and the ICANN ecosystem-wide taxonomy. This tagged content will be stored in a new document management system (DMS), which will enable and enforce content governance. The DMS will be married to a new content management system (CMS) which will surface this newly tagged and improved content on www.icann.org. One of the primary objectives of this initiative is to improve the findability of ICANN's public content in all six U.N. languages. This objective is in service of ICANN's Mission and Bylaws, will help you, the community, do your work, and will help us meet our commitments to accountability and transparency.	Information Transparency Initiative	3.4	0.7	0.0	2.7	0.0	3.3
		1.2.2 Engage Stakeholders Regionally	160505	SO/AC - FY19 SO/AC Additional Budget Requests	The dedicated part of the overall ICANN annual budget that is set aside to take into account specific requests from the community for activities that are not already included in the recurring ICANN budget.		0.0	0.0	0.3	0.0	0.0	0.3
			175406	Recurring Activity - GSE Executives	This project covers cross-regional and functional coordination activities for GSE (budget, event tracking, allocation of resources, contributions to Strategic & Operational Planning, inputs to Enterprise Risk Management, inter-departmental collaboration).		5.0	1.2	0.2	0.0	0.0	1.4
			175407	Recurring Activity - GSE Asia	This project covers ongoing regional engagement for GSE Asia.		7.0	1.3	0.1	0.1	0.1	1.7
			175408	Recurring Activity - GSE Oceania	This project covers the ongoing regional engagement for the Oceania/Pacific Islands Region.		1.0	0.2	0.1	0.0	0.0	0.3
			175409	Recurring Activity - GSE Africa	Pierre to add -Note: Pierre Dandjinou doesn't have an account in WF.		3.0	0.5	0.1	0.0	0.1	0.6
			175410	Recurring Activity - GSE Europe	This project covers ongoing regional engagement for GSE North America.		5.0	1.2	0.1	0.0	0.0	1.4
			175411	Recurring Activity - GSE Middle East	This project covers ongoing regional engagement for GSE		2.0	0.3	0.1	0.0	0.1	0.5
			175412	Recurring Activity - GSE Eastern Europe and Central Asia	Manage the recurring activities and work related to Eastern Europe & Central Asia Engagement		1.0	0.1	0.1	0.0	0.1	0.3
			175413	Recurring Activity - GSE Latin America and the Caribbean	This project covers ongoing engagement activities by the GSE Latin America & Caribbean team.		4.0	0.8	0.2	0.0	0.1	1.0
			175414	Recurring Activity - GSE North America	Christopher Mondini to add Note: Christopher Mondini doesn't have WF acct, thus, the project owner is currently under Sally's name		2.0	0.5	0.0	0.0	0.0	0.5
			175415	Recurring Activity - GSE Business Engagement	Christopher Mondini to add Note: Christopher Mondini doesn't have WF acct, thus, the project owner is currently under Sally's name		0.0	0.0	0.1	0.0	0.0	0.1
		Total					*36.1*	*7.5*	*1.3*	*3.0*	*0.5*	*12.3*
	1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders Total						45.5	$9.3	$7.7	$6.0	$1.2	$24.2
			151055	Recurring Activity - At-Large - ALAC Working Group Support	Overall Management and substantive and procedural advice to At-Large Working Groups	Policy Development	1.7	0.2	0.0	0.0	0.0	0.2
			151157	Recurring Activity - At-Large - ALAC Policy Support Program	General Program Management for the ALAC, ALT and At-Large for FY18	Policy Development	2.5	0.3	0.0	0.0	0.0	0.3
			151171	Recurring Activity - General Support ccNSO and ccTLD Community	All major support (secretariat) activities relating to support of ccNSO and ccTLD community	Policy Development	3.3	0.5	0.0	0.1	0.0	0.6
			151173	Recurring Activity - SO/AC Community Engagement, Intersessional Meeting for GNSO NCPH	Annual meeting of GNSO Non Contract Community.	Policy Development	0.0	0.0	0.1	0.0	0.0	0.1
			151177	Recurring Activity - General Management Administration and Activities for Policy Department	Administration and management of all core internal management processes and liaison efforts for department (e.g., finance, HR, etc.) This project is budget home for all general Policy Team Admin expenses.	Policy Development	6.4	1.0	0.1	0.2	0.1	1.4
CANN			151180	Recurring Activity - SO/AC Management of SO-AC Community Support Programs and Initiatives	Management of SO-AC community support programs and initiatives, including community recognition activities.	Policy Development	4.3	0.7	0.0	0.0	0.0	0.7

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1-Evolve and further globalize ICANN	1.3 Evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive	1.3.1 Support Policy Development, Policy Related and Advisory Activities	151188	Recurring Activity - SO/AC, Regional Outreach - CROP	The CROPP program has been in place since FY14 - for 3 and 1/2 fiscal years as a pilot program. In its various pilot phases, the CROPP program showed steady growth in community interest and usage for eligible communities. Following a successful implementation of the CROPP program in FY17, the program has now been moved to the core Policy Development Support budget as part of the core activities to be coordinated in collaboration with the Global Stakeholder Engagement team. For FY18, ICANN Organization will continue to administer a comprehensive Regional Outreach Program that will permit eligible communities that have developed a strategic outreach and engagement plan (and posted that plan on the ICANN Community Wiki) to choose to continue to employ the newly labeled "CROP" program. After testing a pilot outreach event capability in FY17, in its maturity to a core program, the CROP program will revert to focusing on regional travel for all eligible communities, rather than outreach events. All communities will be able to target 5 individual regional trips for FY18 to maximize their outreach and engagement opportunities. To confirm their eligibility, the potentially-eligible communities must produce a clear and comprehensive outreach plan explaining their FY18 outreach goals and planned expectations so that the selected activities can be coordinated with the appropriate ICANN Regional engagement teams. The recommended submission target date for those community plans is to be set at 30 September 2017. ICANN Org staff will develop/modify program parameters and calendars as appropriate to effectively manage the provision of these resources.	Policy Development	0.0	0.0	0.1	0.0	0.0	0.1
			151189	Recurring Activity - RSSAC Caucus Policy Support Program and Activities	Provide administrative support for all ongoing RSSAC Caucus activities. Activities include developing RSSAC Caucus work plans and priorities; managing the logistics, content, and reports of all RSSAC Caucus meetings, preparing and publishing RSSAC Caucus work products.	Policy Development	0.3	0.0	0.0	0.0	0.0	0.0
			151190	Recurring Activity - RSSAC Policy Support Program Management	Provide administrative support for all ongoing RSSAC activities. Activities include developing RSSAC work plans and priorities; managing the logistics, content, and reports of all RSSAC meetings, preparing and publishing RSSAC work products.	Policy Development	1.8	0.2	0.1	0.0	0.0	0.3
			151191	Recurring Activity - ASO AC Policy Development Support and Activities	Policy development support for the ASO Address Council	Policy Development	0.1	0.0	0.0	0.0	0.0	0.0
			151203	Recurring Activity - SSAC Policy Support Program Management	Provide administrative support for all ongoing SSAC activities, including support for the SSAC Administrative Committee and Membership Committee. Activities include developing SSAC work plans and priorities; managing the logistics, content, and reports of all SSAC meetings and the FY18 workshop; and preparing and publishing SSAC work products.	Policy Development	1.2	0.2	0.1	0.0	0.0	0.3
			151206	Recurring Activity - GNSO PDP Support & Activities	Tasks and activities related to providing substantive as well as secretariat support to the GNSO Council and the GNSO policy development activities.	Policy Development	9.6	1.3	0.1	0.5	0.0	1.8
			151210	Recurring Activity - GAC Policy Advice Support and Activities	Tasks and activities intended to support GAC policy advice efforts and related activities.	Policy Development	3.4	0.5	0.0	0.0	0.0	0.5
		1.3.1 Support Policy Development, Policy Related and Advisory Activities Total					***34.6***	***4.8***	***0.6***	***0.7***	***0.1***	***6.2***
		1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	175421	Constituents' Travel Support for ICANN63	Support for travelers to ICANN 63	Policy Development	0.4	0.0	1.0	0.0	0.0	1.0
			176603	Constituents' Travel Support for ICANN64	Support for travelers to ICANN 64	Policy Development	0.4	0.0	0.8	0.0	0.0	0.9
			176604	Constituents' Travel Support for ICANN65	Support for travelers to ICANN 65	Policy Development	0.3	0.0	0.6	0.0	0.0	0.6
		1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities Total					***1.1***	***0.1***	***2.4***	***0.0***	***0.0***	***2.5***
	1.3 Evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive Total						**35.6**	**$4.9**	**$3.0**	**$0.8**	**$0.1**	**$8.8**
1-Evolve and further globalize ICANN Total							**105.9**	**$17.9**	**$11.0**	**$9.2**	**$1.4**	**$39.5**
2 Support a healthy, stable and resilient		2.1.1 Registration Directory Services (WHOIS)	152612	Recurring Activity - RDS/WHOIS review	Activities in support of RDS/WHOIS review.		0.5	0.1	0.0	0.0	0.0	0.1
			153502	RDS/WHOIS Program Management	Program management activities in support of improvements to the existing RDS (WHOIS) as well as evolution to the next-generation RDS (WHOIS).		0.5	0.1	0.0	0.0	0.0	0.1
			177066	WHOIS Accuracy Reporting System Project	Operation and Management of the WHOIS Accuracy Reporting System.		0.5	0.1	0.0	0.4	0.0	0.5
		2.1.1 Registration Directory Services (WHOIS) Total					***1.4***	***0.2***	***0.0***	***0.4***	***0.0***	***0.6***
		2.1.2 Global Domains Division (GDD) Strategic Programs	151654	Subsequent Procedures for New gTLDs	Activities related to (1) tracking and reporting on the community's work to prepare for subsequent procedures for new gTLDs; and (2) planning for and implementation of policy recommendations on subsequent procedures.		1.8	0.2	0.0	0.0	0.0	0.3
			152614	Registrant Education	Activities related to the development, maintenance, and adoption of educational materials for registrants.		1.0	0.2	0.0	0.1	0.0	0.2
			175450	Recurring Activity - GDD Strategic Programs	Projects relating to strategic program management for GDD		1.0	0.4	0.0	0.0	0.0	0.4
			178367	Customer Standing Committee Effectiveness Review	Activities in support of the ICANN Bylaws-mandated review.		0.6	0.1	0.1	0.0	0.0	0.1
			178369	IANA Naming Function Review	Activities in support of the ICANN Bylaws-mandated review.		0.7	0.1	0.1	0.0	0.0	0.2
		2.1.2 Global Domains Division (GDD) Strategic Programs Total					***5.1***	***1.0***	***0.2***	***0.1***	***0.0***	***1.2***
			152613	Root Zone Maintainer Agreement	Funding for Monthly fees to compensate the Root Zone Maintainer for compiling and distributing the root zone. This is a recurring monthly payment.		0.0	0.0	0.0	0.3	0.0	0.3

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2 Support a healthy, stable and resilient unique identifier ecosystem	2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem	2.1.3 PTI Operations	173700	Recurring Activity - PTI Board Support	Provide operational support to the PTI Boards of Directors.		1.6	0.5	0.1	0.2	0.0	0.7
			173701	Recurring Activity - PTI Naming Functions Operations	Ongoing day-to-day activities for performing the Naming function. Processing requests; creating monthly reports; responding to correspondence; and other recurring activities. Attend customer related activities in which individuals in the department participate such as Public Speaking, Conferences, Meetings and other community events.		5.4	0.8	0.1	0.0	0.0	0.9
			173702	Recurring Activity - PTI Customer Service Survey	Develop and conduct the fourth annual PTI customer service survey about performance of the PTI functions. This is an annual project to identify areas for improvement based on customer feedback.		0.6	0.2	0.0	0.0	0.0	0.2
			173703	Recurring Activity - PTI Continuity and Contingency Exercise	Plan and execute a Continuity and Contingency Table Top Exercise.		0.3	0.1	0.0	0.0	0.0	0.1
			173704	Recurring Activity - PTI DNS Root Zone Security	Hold four key signing ceremonies per year; review and revise policy and procedures documents; select TCRs for each of the key ceremonies; update scripts for the ceremonies, and other administrative tasks related to signing of the root zone. Evaluate, plan and implement enhancements to the Key Management Facilities (KMF) and the related security system setup.		3.2	0.7	0.2	0.2	0.3	1.4
			173705	PTI Third Party Audits	Engage a third party auditor to execute the external audit for IANA Registry Maintenance Systems using the SOC2 Framework and a SOC3 audit of the DNSSEC systems and processes.		1.7	0.3	0.0	0.2	0.0	0.6
			173706	Recurring Activity - PTI Personnel Management	Plan, schedule and complete security, EFQM, audit, and other relevant training programs; Plan necessary steps to maintain the ability for staff to work in the US or the appropriate ICANN office.		1.0	0.2	0.0	0.0	0.1	0.3
			173902	Recurring Activity - PTI Numbering Functions Operations	Ongoing day-to-day activities for performing the Numbers function. Processing requests; creating monthly reports; responding to correspondence; and other recurring activities. Attend customer related activities in which individuals in the department participate such as Public Speaking, Conferences, Meetings and other community events.		2.5	0.5	0.1	0.0	0.0	0.5
			173903	Recurring Activity - India Budget	Capture operations costs associated with the India office.		4.0	0.6	0.1	0.1	0.0	0.8
		2.1.3 PTI Operations Total					***20.2***	***3.8***	***0.5***	***1.0***	***0.3***	***5.6***
		2.1.4 PTI Technical System Enhancements	173707	PTI IANA Website Improvements	Overarching design update, Improved search functionality, General IANA Notification Service, Customer API, Migration to CDN, Stand alone technical checks, Knowledge Base, Registry change tracking. Project with multiple phases over a couple of years.		0.9	0.2	0.0	0.0	0.0	0.2
			173708	FY19 PTI Registry Workflow Systems	Analyze and enhance automation systems to support the common registry workflow used for protocol parameter assignments and other IANA registries.		0.6	0.1	0.0	0.1	0.0	0.2
			173709	PTI Root Zone Management System Development	Continue to improve the Root Zone Management system.		0.8	0.2	0.0	0.0	0.0	0.2
		2.1.4 PTI Technical System Enhancements Total					***2.3***	***0.5***	***0.0***	***0.1***	***0.0***	***0.6***
2 Support a healthy, stable and resilient unique identifier ecosystem		2.1.5 Global Domains Division (GDD) Operations	159461	Recurring Activity - Open Source Software Support	Open Source Software Support for the Office of the CTO		0.4	0.1	0.0	0.0	0.0	0.1
			175446	Recurring Activity - GDD Executive	Office of the President, GDD Operations Daily Activities		2.0	1.0	0.1	0.0	0.0	1.2
			175447	Recurring Activity - Registry Services Delivery	Ongoing Operational Service Delivery of Registry Services		8.2	1.2	0.0	0.1	0.0	1.3
			175448	Recurring Activity - Global Support	Ongoing contact center operational and support activities		15.5	1.5	0.0	0.0	0.1	1.6
			175451	Recurring Activity - Global Implementation	Project for Management and Administration of the Global Implementation team, including reporting, training, and staff development.		2.8	0.5	0.0	0.0	0.1	0.5
			175452	Recurring Activity - gTLD Program	Tracks all activities related to New gTLD Operations. Program Administration and Management Change Request Processing & evaluations GAC Advice Management Objections Contention Resolution Withdrawal New gTLD Contracting Pre-Delegation Testing Registry On-boarding Transition to Delegation COI Management Program Risk Management		2.8	0.5	0.0	0.0	0.0	0.5
			176305	Recurring Activity - Registrar Services Delivery	Ongoing Operational Service Delivery of Registrar Services		4.3	0.5	0.0	1.0	0.0	1.5
			176306	Recurring Activity - Privacy/Proxy Services Delivery	Enables ICANN's community stakeholders to use single sign-on for all ICANN services		1.5	0.2	0.0	0.1	0.0	0.3
			176752	Recurring Activity - Global Implementation and Operations, Administration and Management	Administrative costs for Global Implementation & Operations group		1.3	0.2	0.0	0.0	0.1	0.2
			176953	Recurring Activity - Emergency Back-End Registry Operator Operations and Service Evolution	Operate, support and evolve the Emergency Back-End Registry Operator (EBERO) program		0.2	0.1	0.0	0.3	0.0	0.4
			176954	Recurring Activity - Trademark Clearinghouse Operations and Service Evolution	Operate, support and evolve the Trademark Clearinghouse to enable New gTLD launch processes and support contracted registries and registrars		0.3	0.1	0.0	0.7	0.0	0.8
		2.1.5 Global Domains Division (GDD) Operations Total					***39.3***	***5.8***	***0.2***	***2.3***	***0.3***	***8.5***
	2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem Total						**68.2**	**$11.3**	**$0.9**	**$3.8**	**$0.6**	**$16.6**
			32000	Key Signing Key Rollover	Complete the plan, and if appropriate execute, a root zone key signing key rollover.		0.6	0.2	0.0	0.1	0.0	0.2

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2 Support a healthy, stable and resilient unique identifier ecosystem	2.2 Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities	2.2.1 Security, Stability and Resiliency of Internet Identifiers	32006	Internet Health Indicators	Developing a set of draft metrics that can be used to establish a baseline for "Internet Health" and subsequently measure improvements or degradation of overall "Internet Health".		0.6	0.2	0.0	0.0	0.0	0.2
			32007	DNS Traffic Analysis	Research project aimed at exploring tools and methodologies for analyzing DNS traffic.		0.6	0.2	0.0	0.0	0.1	0.3
			175454	Recurring Activity - Office of the Chief Technology Officer Security, Stability, and Resiliency	This project is to capture and track activities that supports Oversight and to the other projects for the IS-SSR portfolio and to manage the IS-SSR Department		1.7	0.5	0.2	0.0	0.0	0.7
			178905	Office of the Chief Technology Officer Security, Stability, and Resilience Special Projects	OCTO SSR efforts to address projects identified during the year to be priorities		1.5	0.5	0.0	0.2	0.0	0.6
			178906	DNS Abuse Metrics Platform (DAAR)	Domain Abuse Activity Reporting (DAAR) project is a system for studying and reporting on domain name registration and security threat (domain abuse) behavior across top-level domain (TLD) registries and registrars		1.7	0.5	0.0	0.1	0.2	0.8
		2.2.1 Security, Stability and Resiliency of Internet Identifiers Total					***6.7***	***2.0***	***0.2***	***0.3***	***0.3***	***2.9***
		2.2.2 Identifier Evolution	157600	Recurring Activity - Internet of Things	Research into the Digital Object Architecture and follow developments in the ITU related to its use with the Internet of Things		0.8	0.3	0.1	0.1	0.0	0.5
			160556	Open Data Initiative Pilot	This project covers all activities related to ICANN's Open Data Initiative pilot.		0.3	0.1	0.0	0.0	0.2	0.3
			175455	Recurring Activity - Office of the Chief Technology Officer	Project for day-to-day operation of Office of CTO		3.1	0.7	0.2	0.1	0.4	1.4
			175456	Recurring Activity - Office of the Chief Technology Officer Research	Security Operations includes all activities to look after the health and safety of the ICANN organization and Board's people at its facilities and when travelling. It also includes the health and safety of all people attending ICANN public meetings and other ICANN managed events.		2.4	0.7	0.0	0.0	0.0	0.8
			178904	Office of the Chief Technology Officer Special Projects	OCTO efforts to address projects identified during the year to be priorities		2.2	0.5	0.2	0.1	0.0	0.7
			178908	Office of the Chief Technology Officer Research Special Projects	OCTO Research efforts to address projects identified during the year to be priorities		0.3	0.1	0.0	0.2	0.0	0.3
		2.2.2 Identifier Evolution Total					***9.1***	***2.4***	***0.5***	***0.5***	***0.6***	***4.0***
	2.2 Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities Total						**15.8**	**$4.4**	**$0.7**	**$0.8**	**$0.9**	**$6.8**
2 Support a healthy, stable and resilient unique identifier ecosystem		2.3.1 GDD Technical Services	152602	Registry Service Provider Program	This project is intended to implement a set of recommendations agreed with the contracted parties and the community to fix issues that have been identified in dealing with Registry Service Providers. The project may or may not create a Registry Service Provider pre-approval program.		0.0	0.0	0.0	0.0	0.0	0.0
			152603	Recurring Activity - SLA Monitoring System	System that monitors Service Level Agreements with gTLD Registries and Registrars		1.0	0.3	0.0	0.2	0.0	0.4
			152604	Recurring Activity - Trademark Clearinghouse Certification Authority	Certification Authority for the Trademark Clearinghouse of the 2012 new gTLD round		0.0	0.0	0.0	0.0	0.0	0.0
			175445	Recurring Activity - GDD Technical Services	To manage the day to day activities of Technical Services.		3.0	0.7	0.0	0.0	0.0	0.7
		2.3.1 GDD Technical Services Total					***4.0***	***1.0***	***0.0***	***0.2***	***0.0***	***1.2***
		2.3.2 New gTLD Program	151970	Recurring Activity - Emergency Back-End Registry Operator Administrative Management	Ongoing activities to expand, operate and support the Emergency Back-End Registry Operator (EBERO) program.		0.0	0.0	0.0	0.0	0.0	0.0
			152487	Recurring Activity - New gTLD Program Support Activities	Tracks all activities prior to New gTLD Contracting Operations. Change Request Processing & evaluations GAC Advice Management Objections Contention Resolution Withdrawal COI Management Program Risk Management		0.0	0.0	0.0	0.4	0.0	0.4
			152490	Recurring Activity - New gTLD Program Administration and Management	Program Administration and Management operations of the 2012 round of the New gTLD Program for Fiscal Year 2018		0.0	0.0	0.0	0.2	0.0	0.2
			152492	Recurring Activity - New gTLD Program Contracting & Predelegation activities	Module 5 of the Applicant Guidebook. Operations to support New gTLD Contracting, as well as prior to delegation operations including Pre-Delegation Testing, Registry On-boarding and Transition to Delegation.		0.0	0.0	0.0	1.5	0.0	1.5
			160502	FY18 New gTLD Allocations from ICANN	Project to Capture FY18 cost allocations from ICANN (Company 1) to New gTLD budget		0.0	2.0	0.5	0.8	0.3	3.5
		2.3.2 New gTLD Program Total					***0.0***	***2.0***	***0.5***	***2.8***	***0.3***	***5.6***
		2.3.3 Registrar Services	26317	Recurring Activity - Registrar WHOIS Address Cross Field Validation Initiative	Collaborative work with Registrar Working Group to develop a technically and commercially feasible approach to cross-field address validation (WHOIS) as described in the 2013 RAA's Whois Accuracy Program Specification.		0.0	0.0	0.0	0.0	0.0	0.0
			111857	Recurring Activity - Privacy Proxy Accreditation Implementation	Implement Consensus Policy Recommendations from Privacy and Proxy Accreditation Issues PDP WG.		0.0	0.0	0.0	0.0	0.0	0.0
			154218	Recurring Activity - gTLD Marketplace Health Index	Update of metrics to track the health of the gTLD Marketplace and periodic posting of data.		0.0	0.0	0.0	0.1	0.0	0.1
			175442	Recurring Activity - Registrar Services	All Registrar Services team services and functions (and expenses) and are not related to application processing, registrar outreach, or a project already identified elsewhere.		6.0	1.1	0.0	0.2	0.0	1.3
ifier ecosystem		**2.3.3 Registrar Services Total**					***6.0***	***1.1***	***0.0***	***0.3***	***0.0***	***1.4***

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
2-Support a healthy, stable and resilient unique identi	2.3 Support the evolution of domain name marketplace to be robust, stable and trusted	2.3.4 Registry Services	31787	IGO/INGO Policy Implementation	Protection of IGO-INGO Identifiers in All gTLDs (1) consider and implement the policy recommendations from the GNSO on protections for INGOs; and (2) consider the policy recommendations from the GNSO as it continues to actively develop an approach to respond to the GAC advice on protections for IGOs;		0.0	0.0	0.0	0.1	0.0	0.1
			175443	Recurring Activity - Registry Liaison Services	Registry Services and Engagement department provides support to registry operators in fulfilling their contractual obligations by developing creative solutions and by collaborating with internal and external partners to foster mutual trust and communicate effectively.		9.0	1.5	0.0	0.1	0.0	1.6
		2.3.4 Registry Services Total					***9.0***	***1.5***	***0.0***	***0.2***	***0.0***	***1.7***
		2.3.5 Domain Name Services	120665	Program Reviews Implementation Projects	Implements recommendations deriving from CCT, root stability and other reviews conducted on the New gTLD Program.		3.1	0.6	0.0	0.0	0.0	0.6
			175441	Recurring Activity - Domain Name Services and Industry Engagement	Domain Name Services ongoing operations and Industry Engagement		0.0	0.0	0.1	0.0	0.1	0.2
			176507	Recurring Activity - Operating and Policy Research	Research, data, communications, and policy implementation support originating in OPR		3.4	0.7	0.1	0.0	0.0	0.8
		2.3.5 Domain Name Services Total					***6.5***	***1.3***	***0.1***	***0.0***	***0.1***	***1.6***
		2.3.6 Internationalized Domain Names and Universal Acceptance	10855	Internationalized Domain Names Variant TLD Program - Project 2.2	This project implements the Label Generation Rules (LGR) Procedure which was developed in Project 2.1. Project Deliverables: 1. Establish the Integration Panel. 2. Identify Advisors to all Panels. 3. Create infrastructure and suport needed for Generation Panels.4. Support Integration and Community Panels to create the Root IDN LGR		0.0	0.0	0.1	0.2	0.0	0.3
			13006	Internationalized Domain Names Variant TLD Program - Project 7	The scope of this project is to prepare ICANN systems and processes for allocation of Variant TLD labels. This work is being carried out in preparation for Variant TLD delegation should the Label Generation Rules deem that an applied for variant TLD Label is allocatable. It includes: 1. Identifying updates to ICANN procedures and systems to account for IDN Variants labels, if allocated. 2. Identifying updates to new gTLD and IDN ccTLD programs to process variants if LGR defines any allocatable variants.		0.0	0.0	0.0	0.0	0.0	0.0
			19104	Universal Acceptance of TLDs	Promote the technical acceptance of all TLDs in software so that names that include new TLDs can be used just like those that include old TLDs.		0.0	0.0	0.0	1.1	0.0	1.1
			151705	Recurring Activity - Internationalized Domain Name ccTLD Evaluations	Implement IDN ccTLD Fast Track Process to evaluate applications from countries and territories. Conduct reviews of IDN ccTLD Fast Track Implementation Plan.		0.0	0.0	0.0	0.1	0.0	0.1
			151707	Implementation of Revised Internationalized Domain Name Guidelines	IDN Guidelines are being reviewed by a WG, which is anticipated to update the guidelines in FY17. Once the guidelines are updated, the project aims to communicate the guidelines to the contracted parties and update procedures to implement the changes.		0.0	0.0	0.0	0.0	0.0	0.0
			151708	Internationalized Domain Names Label Generation Rules Toolset Update	Based on community feedback and internal use, update the toolset to include addition functionality identified.		0.0	0.0	0.0	0.0	0.0	0.0
			152002	Internationalized Domain Names - Implementation of Second Level Label Generation Rulesets	The project implements the reference second level LGR recently developed and published to assist in the PDT and RSEP process		0.0	0.0	0.0	0.0	0.0	0.0
			175444	Recurring Activity - Internationalized Domain Names Program	This project manages the day to day operations and ongoing activities for IDN Program.		2.0	0.2	0.0	0.0	0.0	0.3
		2.3.6 Internationalized Domain Names and Universal Acceptance Total					***2.0***	***0.2***	***0.1***	***1.6***	***0.0***	***1.9***
	2.3 Support the evolution of domain name marketplace to be robust, stable and trusted Total						**27.4**	**$7.1**	**$0.9**	**$5.1**	**$0.4**	**$13.4**
2-Support a healthy, stable and resilient unique identifier ecosystem Total							**111.4**	**$22.8**	**$2.4**	**$9.6**	**$2.0**	**$36.8**
perational excellence	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability	3.1.1 Internal Facing Operations	175429	Recurring Activity - Enterprise Risk Management Operations	Note: James Caulfield doesn't have access to WF. Thus, the project owner is under Xavier's name now.		0.2	0.1	0.0	0.0	0.0	0.1
			175501	Recurring Activity - Organizational Assessment & Improvement	Non-project based activities related to the ongoing support of the Organizational Assessment and Improvement department. This includes: • inter-office travel • subscriptions for professional journals • licensing costs for technical documentation • staff training and development.	Planning	2.2	0.4	0.0	0.1	0.0	0.5
			175502	FY2019 Security Operations	This project tracks the ongoing work of Security Operations across its core programs, to include new initiatives and implementing enhancements and optimizations.		4.4	0.9	0.2	0.6	0.1	1.9
			177014	Recurring Activity - Complaints Office Operations	The Complaints Office provides a centralized location where complaints or concerns regarding the ICANN Organization can be submitted, reviewed, analyzed and resolved as openly as appropriate.		2.0	0.4	0.0	0.1	0.0	0.5
			177067	Recurring Activity - Action Request Register Support	The Action Request Register operations team ensures advice and requests to the ICANN Board are processed and reported on in a consistent, timely and transparent manner.		1.7	0.2	0.0	0.0	0.0	0.2
		3.1.1 Internal Facing Operations Total					***10.5***	***2.1***	***0.3***	***0.7***	***0.2***	***3.3***
		3.1.2 Finance and Procurement	175428	Recurring Activity - Finance Operations	All Finance ongoing operational activities.		16.2	2.8	0.0	0.3	1.4	4.5

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
3-Advance organizational, technological and op		3.1.2 Finance and Procurement	178654	Recurring Activity - Procurement Operations	This project covers all activities related to ICANN's procurement function.		2.1	0.4	0.0	0.0	0.0	0.4
		3.1.2 Finance and Procurement Total					18.3	3.3	0.0	0.3	1.4	5.0
		3.1.3 Strategic and Operating Planning	152404	Process Documentation Initiative	Manuals implementation		0.2	0.0	0.0	0.1	0.0	0.1
			175393	ICANN Five-Year Strategic Planning	The strategic planning cycle will incorporate key trends that impact ICANN on an organizational, operational and geopolitical level.	Planning	1.4	0.4	0.0	0.2	0.0	0.5
			175403	Recurring Activity - Multistakeholder Strategy and Strategic Initiatives	This project covers ongoing regional engagement for GSE Africa.	Planning	7.0	1.0	0.3	0.1	0.1	1.5
		3.1.3 Strategic and Operating Planning Total					8.5	1.4	0.3	0.3	0.1	2.1
	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability Total						37.2	$6.8	$0.6	$1.3	$1.6	$10.3
		3.2.1 IT Infrastructure, Cybersecurity Hardening and Control	152676	Recurring Activity - Oracle support	Ongoing support for BI, Reqlogic, Great Plains etc.		0.0	0.0	0.0	0.5	0.6	1.1
			175431	Recurring Activity - Cybersecurity	ICANN Org and Board Solutions IT Delivery		3.0	0.5	0.0	0.4	0.2	1.2
			175432	Recurring Activity - Technical Services and PTI Support	This project covers activities to develop and improve the technical systems used by PTI, including the Root Zone Management Automation and other workflow systems.		6.3	1.3	0.0	0.0	0.3	1.6
			175433	Recurring Activity - Data Center Operations and End User Support	Manage the day to day work and activities of IT support to the end users among the Org.		10.0	1.4	0.1	0.0	2.2	3.7
			175439	Recurring Activity - Mobile and Cloud Platform Solutions Recurring Activity			2.1	0.5	0.0	0.0	0.0	0.6
			176446	Stakeholder Authentication (SSO)	Enables ICANN's community stakeholders to use single sign-on for all ICANN services		0.0	0.0	0.0	0.0	0.0	0.0
		3.2.1 IT Infrastructure, Cybersecurity Hardening and Control Total					21.4	3.8	0.2	0.9	3.4	8.2
	3.2 Ensure structured coordination of ICANN's technical resources	3.2.2 Root Systems Operations	175436	Recurring Activity - IT Network Engineering and Security	Providing technology support for the Root Server System, including researching new mechanisms to increase overall root server system security, stability, and resiliency, analyzing the operation of the root server system as a whole, and engaging in technical fora in which root server system-related topics are discussed.		5.0	0.9	0.1	0.0	0.7	1.7
			176245	Recurring Activity - DNS Tactical Engineering	FY19 ongoing for ICANN root server operations		0.0	0.0	0.1	0.1	0.5	0.7
		3.2.2 Root Systems Operations Total					5.0	0.9	0.2	0.1	1.1	2.4
		3.2.3 IT Service Scaling and Product Management	152157	Accountability Indictors Development	Development of new, automated dashboard		0.0	0.0	0.0	0.1	0.0	0.1
			175430	Recurring Activity - IT Administration	General Administration expenses - travel, training, stationary etc.		2.3	0.7	0.0	0.0	0.1	0.8
			175434	Recurring Activity - IT Community Collaboration	Enterprise Architecture and Release Services		5.4	1.0	0.0	0.5	0.2	1.7
			175435	Recurring Activity - ICANN Org and Board Solutions IT Delivery	Mobile and Cloud Platform Solutions Recurring Activity		4.0	0.7	0.0	0.0	0.0	0.7
			175437	Recurring Activity - IT Contracted Parties	Manage overall project and day to day work by IT Contracted Parties.		7.3	1.5	0.0	0.3	0.2	2.0
			175438	Recurring Activity - Enterprise Architecture and Release Services			15.0	2.7	0.0	0.3	0.2	3.3
			175440	Recurring Activity - Meetings Technical Support	IT support for all meetings.		3.0	0.4	0.1	0.0	1.2	1.7
			175449	Recurring Activity - Product Management	This project covers ongoing activities to support the Product Management function.		9.0	1.9	0.0	0.3	0.0	2.3
		3.2.3 IT Service Scaling and Product Management Total					45.9	8.9	0.2	1.6	2.0	12.7
	3.2 Ensure structured coordination of ICANN's technical resources Total						72.2	$13.6	$0.6	$2.6	$6.5	$23.2
3-Advance organizational, technological and operational excellence		3.3.1 People Management	152208	weCANN Continuous support	Ongoing support requirements for weCANN		0.0	0.0	0.0	0.0	0.1	0.1
			175422	Recurring Activity - Global Human Resources Operation	Ongoing HR Operations activities, including compensation, benefits, payroll, HR transactions and HR policies and compliance.		4.3	0.6	0.0	0.1	0.1	0.8
			176459	Recurring Activity - HR Talent Acquisition	Manage the day to day activities of HR Talent acquisition.		0.9	0.2	0.0	0.1	0.0	0.3
			176460	Recurring Activity - HR Talent Management	Manage day to day work and activities related to talent management		7.2	1.3	0.0	0.1	0.1	1.5
			176461	Recurring Activity - HR Staff Morale	Activities to engage and motivate staff morale and teamwork		0.9	0.2	0.0	0.1	0.0	0.3
		3.3.1 People Management Total					13.1	2.3	0.0	0.3	0.3	2.9
	3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders	3.3.2 Global Operations	173002	Recurring Activity - Istanbul Regional Office Budget	Capture operations costs associated with Montevideo Regional Office.		0.0	0.0	0.0	0.0	0.4	0.5
			173004	Recurring Activity - Brussels Regional Office Budget	Capture operations costs associated with Los Angeles Regional Office.		0.0	0.0	0.1	0.0	0.3	0.4
			173007	Recurring Activity - Singapore Regional Office Budget	Capture operations costs associated with Singapore Regional Office.		0.3	0.0	0.1	0.0	0.5	0.6
			173010	Recurring Activity - Montevideo Regional Office Budget			0.0	0.0	0.0	0.0	0.0	0.0
			173013	Recurring Activity - Los Angeles Headquarters Budget	Capture operations costs associated with the LA HQ Office.		6.0	0.6	0.1	0.0	3.9	4.5
			174253	Recurring Activity - Washington DC Regional Office Budget	Capture operations costs associated with the Washington DC engagement Office		0.0	0.0	0.1	0.0	0.9	1.0
			174256	Recurring Activity - Geneva Office Budget	Capture operations costs associated with the Geneva Office		0.7	0.2	0.0	0.0	0.2	0.4
			174302	Beijing Engagement Center Budget	Capture operations costs associated with Beijing Engagement Center.		0.0	0.0	0.0	0.0	0.0	0.0
			174505	Recurring Activity - India Budget	Capture operations costs associated with the India Partnership.		0.0	0.0	0.0	0.0	0.0	0.0
			175402	Recurring Activity - Office of the CEO	Central coordinating point for activities related to the President and CEO's Office.		3.0	1.4	0.1	0.2	0.0	1.7
			175424	Recurring Activity - Organization-wide Administrative Support	Administration of the ongoing operations of the organization		0.1	0.0	0.0	0.0	0.0	0.1
			175507	Recurring Activity - APAC Global Operations	Operational support activities of the APAC Hub		2.1	0.2	0.1	0.0	0.0	0.2
			175553	Recurring Activity - Operations Executive	Manage the day to day work and activities for the Chief Operating Officer.		1.0	0.6	0.0	0.0	0.0	0.6
		3.3.2 Global Operations Total					13.2	3.0	0.6	0.2	6.3	10.1
	3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders Total						26.3	$5.3	$0.6	$0.5	$6.6	$13.1
3-Advance organizational, technological and operational excellence Total							135.7	$25.7	$1.8	$4.4	$14.8	$46.6
	4.1 Encourage engagement with the existing internet governance ecosystem at national, regional and global levels	4.1.1 Coordination of ICANN participation in Internet Governance	178604	Recurring Activity: ICANN Internet Governance Engagement	This project encompasses ICANN Internet Governance engagement, participation and support for the IG ecosystem. It includes coordination and briefings and reporting on IG activity; the ICANN participation in the Global IGF; support for and participation in the regional and national IGF; and the IGFSA. The project also includes work done in support of the IG ecosystem and participation in dialog and conferences on IG issues of relevance to the ICANN mission and mandate.		2.6	0.8	0.1	0.0	0.2	1.1
		4.1.1 Coordination of ICANN participation in Internet Governance Total					2.6	0.8	0.1	0.0	0.2	1.1

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
4-Promote ICANN's role and multistakeholder approach	4.1 Encourage engagement with the existing internet governance ecosystem at national, regional and global levels Total						2.6	$0.8	$0.1	$0.0	$0.2	$1.1
	4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to supporting the global Internet ecosystem	4.2.1 Working with Governments and Intergovernmental Organizations	154157	High Level Governmental Meeting	This project involves the outreach and engagement as well as organizational and managerial tasks for supporting a high level meeting to be held in conjunction with the ICANN63 meeting in Barcelona during FY19. There will be some organizational and planning tasks during FY18 but this work will continue in FY19		0.3	0.1	0.0	0.0	0.0	0.1
			178602	FY19 GE Government Advisory Committee (GAC) Engagement and Support	This project encompasses the work of the Government and IGO engagement team (GE) in support of the GAC; its work with the GAC leadership, the Undeserved Regions WG; the Public Safety WG; reporting; and includes the GAC capacity building workshops and thematic training done as part of the demand driven engagement. This owrk is done in collaboration with other ICANN Org staff including the GAC Support team, OCTO and the GSE regional teams		1.5	0.5	0.0	0.0	0.0	0.5
		4.2.1 Working with Governments and Intergovernmental Organizations Total					***1.7***	***0.6***	***0.0***	***0.0***	***0.0***	***0.6***
	4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to supporting the global Internet ecosystem Total						1.7	$0.6	$0.0	$0.0	$0.0	$0.6
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet	4.3.1 Support Internet Governance Ecosystem Advancement	175418	Recurring Activity - Government and Intergovernmental Organizations Engagement	This project encompasses all the GE global operational and coordination activity including all engagement and outreach work done with governments; regional intergovernmental bodies; and global IGOs and IOs		4.0	1.1	0.1	0.3	0.0	1.5
		4.3.1 Support Internet Governance Ecosystem Advancement Total					***4.0***	***1.1***	***0.1***	***0.3***	***0.0***	***1.5***
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues Total						4.0	$1.1	$0.1	$0.3	$0.0	$1.5
		4.4.1 Contractual Compliance and Safeguards	31665	Outreach to constituents	Outreach to ICANN consituents and interested parties re compliance. Establish regular channels of communication with a number of parties to understand their concerns and consider how those concerns may be addressed within compliance.		1.0	0.4	0.0	0.0	0.0	0.4
			175458	Recurring Activity - Consumer Safeguards	Manage day to day work and activities of consumer safeguards and projects		1.4	0.4	0.0	0.0	0.0	0.5
		4.4.1 Contractual Compliance and Safeguards Total					***2.4***	***0.8***	***0.0***	***0.0***	***0.0***	***0.9***
		4.4.2 Contractual Compliance Function	175457	Recurring Activity - Contractual Compliance Audit	A commitment to enforce the contract. This project covers the audit program activities to proactively identify deficiencies, manage the remediation process to ensure contracted parties' compliance with their agreements with ICANN, publish the audit report findings and provide an update to the community.		1.8	0.3	0.0	0.5	0.0	0.8
			176236	Recurring Activity - Contractual Compliance for Registrars & Registries	A commitment to enforce the contract. This project covers the core compliance function which includes reviewing and processing of external complaints, internal efforts identified through proactive monitoring, addressing contract interpretation, engaging with entities and contracted parties and enforcement of the contractual obligations.		18.1	2.0	0.1	0.1	0.0	2.2
			176282	Recurring Activity - Contractual Compliance Administration and Training	A commitment to development. This project covers the activities related to staff development related to compliance, contract and softskills. In addition, this project also covers the administrative activities for example: meetings, management, support activities, training, travel, etc.		3.6	0.5	0.0	0.0	0.0	0.6
			176289	Recurring Activity - Contractual Compliance Reporting	A commitment to accountability and transparency. This project covers the activities related to data collection, data integrity and quality reviews, generation of the monthly, quarterly and annual reports.		1.2	0.2	0.0	0.1	0.0	0.3
			176295	Recurring Activity- Contractual Compliance Outreach	A commitment to outreach. This project covers the activities related to development and delivery of the different outreach activities related to community and contracted parties for information purposes, training or improvements.		0.4	0.1	0.0	0.0	0.0	0.1
			176299	Recurring Activity - Contractual Compliance Improvements	A commitment to continuous improvement. This project covers the activities to plan, document and implement process & system, metrics reporting improvements as it relates to enhanced requirements, contract and/or policy updates and process improvements.		0.4	0.1	0.0	0.1	0.0	0.2
			176302	Recurring Activity - Contractual Compliance Contract and Policy Work	A commitment to transparency and continuous improvement. This project covers the activities to support and contribute to contract, policy and working groups efforts by providing data, lessons learned, good practices and recommendations.		1.7	0.2	0.0	0.0	0.0	0.2
		4.4.2 Contractual Compliance Function Total					***27.0***	***3.5***	***0.1***	***0.7***	***0.1***	***4.4***
	#REF!						29.4	$4.4	$0.1	$0.7	$0.1	$5.3
4-Promote ICANN's role and multistakeholder approach Total							37.6	$6.9	$0.3	$0.9	$0.4	$8.5
			177496	Recurring Activity - Litigation Support Services	Monitor and Manage ICANN Litigation matters and issues.		1.1	0.3	0.0	0.5	0.0	0.8

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
5 Develop and implement a global public interest framework bounded by ICANN's mission	5.1 Act as a steward of the public interest	5.1.1 Legal Support and Advice	178459	Recurring Activity - Internal Contractual Legal Support	1. Overall enterprise wide support for contracting matters: Contract Administration, Contract Support for the Organization, Renewal of Registry Agreement, Review of RAA Applications and related issues, etc. 2. Provide support for various aspects of GDD operations, including as it relates to registries, registrars, etc. Provide support for New gTLD Operations; establish legal and contractual processes for review, negotiation and execution of New gTLD Registry Agreements; work with New gTLD program team and operations teams to coordinate legal processes with their processes; participate in discussions regarding agreements with legal, business and operations managers to assist and support program.		2.6	0.8	0.0	0.1	0.0	0.8
			178462	Recurring Activity - Legal Advisory Services	This project includes the recurring activities involved in general advise to Org Senior Leadership, stakeholder services legal support, global stakeholder engagement legal support and MSSI legal support.		1.3	0.5	0.0	0.0	0.0	0.5
			178467	Recurring Activities - General Legal Internal Support	1. Provide administrative support to ICANN General Counsel's Office and Legal Department: Staffing, Budget and Invoicing, Administrative Support. 2. Track ICANN Legal Department's shared and allocated costs for IANA functions. Does not include the personnel. 3. Successful management of all legal aspects of internal facing work including finance, HR, security, etc.		4.6	1.1	0.0	0.3	0.1	1.4
		5.1.1 Legal Support and Advice Total					***9.6***	**2.6**	**0.0**	**0.8**	**0.1**	**3.5**
		5.1.2 Support ICANN Board	175427	Recurring Activity - NomCom	Support the work of NomCom 2018 with selection and announcement of NCAs for Board, ALAC, GNSO and ccNSO Council through early September 2018 and prepare for close out of 2018 NomCom at conclusion of 2017 NomCom term on 3 November 2017. - Support the work of the 2019 NomCom with selection of NCAs for Board, ALAC, GNSO and ccNSO Council through 30 June 2019		4.0	0.6	0.1	0.3	0.0	0.9
			175503	Recurring Activity - Board Management	The Development, tracking and reporting of the FY17 Board Operations Adopted Budget - To include but not limited to: Processing of all Board member expenses, Process of Board Operations Vendor contracts and invoices, Monthly Budget Reconciliations, quarterly adopted budget review and forecasting as required.		0.0	0.0	0.5	1.1	0.1	1.6
			175505	Recurring Activity - Board Operations	All Board Operations staff expenses not related to travel including but not limited to: home internet expense, staff office supplies, Board Ops group workshops and events, monthly subscriptions and training, recruiting fees)		6.0	1.0	0.1	0.0	0.0	1.1
			178472	Recurring Activity - Legal Support to ICANN Board	1. Performing Secretary's duties, including but not limited to those related to Secretary's Notices, Board and Committee meetings, Annual General Meetings, corporate records, and implementation of decisions made by the Board of Directors and its Committees, as appropriate. 2. Provision of Legal Dept staff support to the Board and all of its Committees, as well as support as needed to the Board Operations Group.		2.4	0.7	0.1	0.0	0.0	0.7
		5.1.2 Support ICANN Board Total					***12.4***	***2.3***	***0.6***	***1.3***	***0.1***	***4.4***
	5.1 Act as a steward of the public interest Total						**22.0**	**$4.9**	**$0.7**	**$2.1**	**$0.2**	**$7.9**
ork bounded by ICANN's mission			148479	Cross Community Working Group - Independent Review Process, Phase 2, Community	Support the work of the Independent Review Process Implementation Oversight Team (IRP-IOT).		0.0	0.0	0.0	0.3	0.0	0.3
		5.2.1 Enhancing ICANN Accountability - WS2	148482	CCWG - Accountability WS2, Community	Enhancing ICANN Accountability & Governance including: 1. Facilitate and support process on strengthening ICANN Governance & Accountability; 2. Manage substantive issues on accountability in relation to the IANA transition USG; 3. Adopt and implement report and recommendation out of the process; and 4. As relevant, adopt timeline and mechanisms to address accountability recommendations not related to the IANA transition		0.0	0.0	0.0	0.0	0.0	0.0
			176502	Accountability - Workstream 2 Implementation Planning	Supporting work during the consideration / adoption phase (by Chartering Organizations and the Board), and then through the implementation of CCWG-Accountability WS2 recommendations.		1.5	0.3	0.0	0.1	0.0	0.4
		5.2.1 Enhancing ICANN Accountability - WS2 Total					***1.5***	***0.3***	***0.0***	***0.4***	***0.0***	***0.7***
			12920	Organizational Reviews: SSAC2	Plan and conduct SSAC review mandated by ICANN Bylaws; provide guidance and support to the SSAC review work party; manage the indpednent examiner; provide support and guidance to the Organizational Effectiveness Committee and the Board on all aspects of planning and conducting the review.	Reviews	0.4	0.1	0.0	0.1	0.0	0.1

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
5-Develop and implement a global public interest framew	5.2 Promote ethics, transparency and accountability across the ICANN community	5.2.2 Organizational Reviews	25918	Organizational Reviews: RSSAC2	Plan and conduct RSSAC review mandated by ICANN Bylaws; provide guidance and support to the RSSAC review working party; manage the independent examiner; provide guidance and support to the Organizational Effectiveness Committee and the Board on all aspects of planning and conducting the review.	Reviews	0.4	0.1	0.0	0.1	0.0	0.1
			26004	Organizational Reviews: NomCom2	Plan and conduct NomCom review mandated by ICANN Bylaws; provide guidance and support to the Organizational Effectiveness Committee and the Board on all aspects of planning and conducting the review.	Reviews	0.0	0.0	0.0	0.1	0.0	0.1
			31523	At Large Review: Implementation of Recommendations	Oversee implementation of Board-approved recommendations resulting from the Final Report issued by the Independent Examiner.	Reviews	0.0	0.0	0.0	0.0	0.0	0.0
			152408	Organizational Reviews: ccNSO2	Plan and conduct ccNSO review mandated by ICANN Bylaws; provide guidance and support to the ccNSO review working party; manage independent examiner; provide guidance and support to the Organizational Effectiveness Committee and the Board on all aspects of planning and conducting the review.	Reviews	0.4	0.1	0.0	0.2	0.0	0.3
		5.2.2 Organizational Reviews Total					***1.2***	***0.2***	***0.0***	***0.4***	***0.0***	***0.6***
		5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	25912	Specific Review: Security, Stability and Resiliency 2 (SSR2)	Support the work for the second Security, Stability and Resiliency Review Team (SSR2) as mandated by ICANN Bylaws by facilitating the activities and interactions between the community and review team members; facilitate work leading to the development of feasible and implementable recommendations (following the SMART framework).	Reviews	1.0	0.1	0.1	0.2	0.0	0.5
			25914	Specific Review: Registration Directory Service (RDS/WHOIS)	Support the work for the RDS/WHOIS2 Review Team as mandated by ICANN Bylaws by facilitating the activities and interactions between the community and review team members once the review has commenced; facilitate work leading to the development of feasible and implementable recommendations (following the SMART framework).	Reviews	1.2	0.2	0.1	0.3	0.0	0.6
			25919	Specific Review: Competition, Consumer Trust and Consumer Choice (CCT)	Competition, Consumer Trust and Consumer Choice (CCT) Review as mandated by ICANN Bylaws; facilitate the activities and interactions between the community and review team members.	Reviews	0.1	0.0	0.0	0.0	0.0	0.0
			32008	SSR Recommendation Implementation	Support for the completion of the implementation of the first Security, Stability, and Resiliency Review Team recommendations	Reviews	0.0	0.0	0.1	0.1	0.0	0.2
			123516	Specific Review: Accountability and Transparency Review 3 (ATRT3)	Prepare for the upcoming work for the third ATRT Review Team as mandated by the Bylaws by facilitating the activities and interactions between the community and review team members once the review has commenced; facilitate development of recommendations to be submitted to the Board.	Reviews	1.1	0.2	0.2	0.2	0.0	0.6
			123552	Competition, Consumer Trust and Consumer Choice (CCT) Review Implementation of Recommendations	Oversee the progress of implementation work in line with PMI principles, ensuring alignment evolving work of ICANN Accountability. Provide regular updates to the Board and ICANN stakeholders.	Reviews	0.5	0.1	0.0	0.1	0.0	0.1
			152409	SSR2 Review Implementation of Recommendations	Oversee the progress of implementation work in line with PMI principles, ensuring alignment evolving work of ICANN Accountability. Provide regular updates to the Board and ICANN stakeholders.	Reviews	0.0	0.0	0.0	0.0	0.0	0.0
			175512	RDS Review Implementation of Recommendations	Oversee the progress of implementation work in line with PMI principles, ensuring alignment evolving work of ICANN Accountability. Provide regular updates to the Board and ICANN stakeholders.	Reviews	0.0	0.0	0.0	0.0	0.0	0.0
			182007	Reviews adjustment	Organization Review Cost Savings	Reviews	0.0	0.0	(0.3)	(0.5)	(0.0)	(0.8)
		5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6) Total					***3.7***	***0.6***	***0.3***	***0.4***	***0.1***	***1.4***
5-Develop and implement a global public interest framework bounded by ICANN's mission		5.2.4 Strategic Initiatives	26006	Strategy and Strategic Outlook	Synchronize respective department initiatives to leverage interdependencies in relation to ICANN strategies and organizational evolution. Work with all departments to identify key trends that impact ICANN on an organizational, operational and geopolitical level.		0.6	0.1	0.0	0.1	0.0	0.3
			31651	Public Communication and Reporting	Enhance public communication and reporting of Strategic Initiative Department projects; coordinate with the Communications Department and other departments, as needed, to improve public, and staff, awareness of status and progress on key initiatives; improve messaging, develop templates for effective delivery and tools to be able to do a more effective communication and reporting job on a go forward basis.		0.6	0.1	0.0	0.0	0.0	0.1
			168176	General Data Protection Regulation - Task Force	Coordinate work as it relates to data protection/privacy as it relates to the high level task force includes (ICANN org and Board members).	General Data Protection Regulation	0.6	0.2	0.0	0.1	0.0	0.3
			168177	General Data Protection Regulation - Contracted Parties and Engagement - Track II	Coordinate work as it relates to data protection/privacy as it relates to the Contracted Parties and related engagement efforts.	General Data Protection Regulation	3.0	1.0	0.0	0.4	0.0	1.4
			168178	General Data Protection Regulation - Internal Org-related Issues - Track I	Coordinate work as it relates to data protection/privacy as it relates to internal ICANN org-related issues.	General Data Protection Regulation	0.6	0.2	0.0	0.1	0.0	0.2

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	Document 3 - FY19 Key Projects and Activities Reference	FTE*	Pers-onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
5-Develop and implement a global public interest framework			176559	Recurring Activity - Support for the Organizational Effectiveness Committee of the Board	Guidance and support for activities of the Organizational Effectiveness Committee of the Board.		0.6	0.2	0.0	0.0	0.0	0.2
		5.2.4 Strategic Initiatives Total					***5.9***	***1.7***	***0.1***	***0.6***	***0.0***	***2.4***
			31459	Evolve Reviews as Accountability and Improvement Mechanisms	Develop and socialize a means of improving and evolving reviews, taking into consideration diverse points of view and work streams. Leverage findings from organizational and ATRT reviews and related work to foster a productive discussion on how ICANN structures could evolve.	Reviews	0.7	0.1	0.0	0.1	0.0	0.2
		5.2.5 Accountability and Transparency Mechanisms	175401	Recurring Activity - Ombudsman	Ombudsman Office On-going operations		1.0	0.3	0.0	0.2	0.1	0.5
			178455	Recurring Activity - Legal Support toTransparency and Accountability Mechanisms	General legal support to the accountability and transparency mechanisms.		1.1	0.4	0.0	0.0	0.0	0.4
		5.2.5 Accountability and Transparency Mechanisms Total					***2.8***	***0.8***	***0.0***	***0.3***	***0.1***	***1.1***
	5.2 Promote ethics, transparency and accountability across the ICANN community Total						**15.1**	**$3.5**	**$0.5**	**$2.2**	**$0.1**	**$6.2**
			151762	Supporting Auction Proceeds Discussions	Supporting multistakeholder discussions on the use of new gTLD auction proceeds.		0.0	0.0	0.0	0.2	0.0	0.2
		5.3.1 Supporting Public Interest Initiatives	176553	Recurring Activity - Supporting Human Rights, Diversity, and Public Interest Initiatives	Supporting human rights, diversity, and public interest initiatives within ICANN's remit. Examples include: Exploring the Public Interest within ICANN's Remit; Gender Diversity and Participation Survey Human Rights Impact Assessment		1.3	0.2	0.0	0.2	0.0	0.3
		5.3.1 Supporting Public Interest Initiatives Total					***1.3***	***0.2***	***0.0***	***0.3***	***0.0***	***0.5***
			151960	Promote and Strengthen Regional Stakeholder Participation (Pilot)	Supporting initiatives to promote and strengthen regional stakeholder participation at ICANN.		0.0	0.0	0.0	0.1	0.0	0.1
			151961	Recurring Activity - NextGen@ICANN Program	The NextGen@ICANN program's goal is to help unlock new opportunities and understanding for members of the next generation of Internet users through regional outreach.		1.0	0.1	0.0	0.0	0.0	0.2
	5.3 Empower current and new stakeholders to fully participate in ICANN activities		151962	Recurring Activity - Fellowship Program	The Fellowship Program seeks to create a broader and more globally diverse base of knowledgeable constituents to build capacity within the ICANN multistakeholder model.		1.0	0.0	0.1	0.0	0.0	0.1
		5.3.2 Supporting Stakeholder Participation	151964	Recurring Activity - Community Onboarding Pilot	The Community Onboarding Pilot Program supports community members to develop onboarding programs for new members into their Supporting Organization, Advisory Committee, Stakeholder Group or Constituency.		0.3	0.1	0.0	0.0	0.0	0.1
			175416	Recurring Activity - Public Responsibility Support	Administration of the ongoing operations of the Public Responsibility Support team and activities.		1.6	0.2	0.0	0.0	0.1	0.3
			175423	Recurring Activity - Travel Services	Continue the focus on planning, assessing risk, evaluating mitigation, monitoring and progress reporting to minimize the effects of risks to the organization.		1.8	0.3	0.0	0.0	0.0	0.3
			176554	Recurring Activity - Supporting education	This focus aims to build a global public audience that is knowledgeable of the greater Internet ecosystem. Work includes supporting and helping to facilitate the Online Learning Platform ICANN Learn, Leadership Program and ICANN History Project.		2.0	0.3	0.1	0.2	0.0	0.6
		5.3.2 Supporting Stakeholder Participation Total					***7.6***	***0.9***	***0.2***	***0.4***	***0.1***	***1.6***
	5.3 Empower current and new stakeholders to fully participate in ICANN activities Total						**8.8**	**$1.1**	**$0.2**	**$0.7**	**$0.1**	**$2.1**
5-Develop and implement a global public interest framework bounded by ICANN's mission Total							**46.0**	**$9.5**	**$1.3**	**$5.0**	**$0.4**	**$16.2**
		Allocation to New gTLD Program					0.0	(2.0)	(0.5)	(0.8)	(0.3)	(3.5)
		Cost Savings					0.0	0.0	0.0	(1.5)	0.0	(1.5)
		Contingency					0.0	0.0	0.0	4.4	0.0	4.4
		Organizational Review Contingency					0.0	0.0	0.0	0.8	0.0	0.8
		Staff Attrition					-13.0	(2.2)	0.0	0.0	0.0	(2.2)
	Unallocated Total						**(13.0)**	**($4.2)**	**($0.5)**	**$3.0**	**($0.3)**	**($2.0)**
											0.0	
					Grand Total ICANN		**423.5**	**$78.6**	**$16.4**	**$32.1**	**$18.7**	**$145.7**

*FTE: Full-time staff equivalent

Totals for the projects are in USD and are rounded to the nearest millions with thousands as a decimal. Projects and Portfolios appearing with $0 are due to rounding.

ICANN Board
FY19 Operating Plan and Budget

Göran Marby, President and CEO
Xavier Calvez, CFO

Telephonic Board Information Meeting
30 May, 2018

Agenda

1. FY19 Operating Plan & Budget Summary of Changes
2. FY19 Operating Plan and Budget – Assumptions and backup schedules
3. Appendix

1. FY19 Operating Plan and Budget

Overview of Changes

In millions USD	Draft	Changes	Final
Funding	138.0	(0.3)	137.7
Expenses (excl. Contingency)	133.5	(1.0)	132.5
As a result of public comments		*0.3*	
Reviews		*(0.8)*	
Other Changes and Corrections		*(0.5)*	
Contingency	4.5	0.8	5.2
Allocated to Reviews		*0.8*	
General		*(0.0)*	
Net	0	0	0

Summary of Recommended Changes (1/2)

- Recommended changes to Funding (net decrease by $300k):
  - Meeting Sponsorships reduction – external sponsorships for ICANN meetings has decreased
  - Increase in rate of growth for Legacy TLD transactions
  - Decrease in rate of growth for New gTLDs transactions

- Recommended Changes Based on Public Comment (expense increase by $267k):
  - Fellowship Program Travel Funding: increase from 30 to 45 seats per meeting, and allocate the fellows to the SO/ACs for direct support during ICANN meetings.
  - Community Regional Outreach Program: reinstate for travel support to ICANN-sponsored meetings (excludes sponsoring travel to non ICANN meetings)
  - ICANN Wiki: fund 2/3 of historical contribution in FY19, with progressive elimination of support over next 2 years.

Summary of Recommended Changes (2/2)

- Reviews: adjustment of funding to reflect current public consultation
  - Options offered in public consultation could lead to $0.8m of cost reduction during FY19.
  - Reduced Reviews budget (in MSSI department) by $0.8m.
  - Designated an $0.8m portion of the Contingency for Reviews if needed.
- Other Changes and Corrections: (net expense reduction by $717k)
  - Meetings Costs increase to maintain critical services
  - WS2 implementation costs correction (decrease)
  - Sponsorships/Contribution Expense decrease
  - Adjustment to ITI Project costs (delay into FY20)
  - Legal fees allocated to GDPR (no net increase)
- Recommended Changes to Contingency
  - Increase to Contingency, reserved for Reviews if needed - **$800K**
  - Decrease Contingency (Other) – (**$24K)**

Other changes

- As a result of public comments received and new information on several projects there were updates on several key projects:
  - Subsequent procedures recommendations language has been revised to reflect that when the policy recommendations are finalized, the Board will consider the recommendations and how to fund the implementation.
  - GDPR estimates have been revised due to new information on the resource requirements needed from ICANN org legal team for internal and Whois work.

FY19 Public Comments Summary

Category	Number of Comments
Community Travel Support/Funding	36
Community Outreach/ Engagement/ Programs	22
ICANN org Headcount	19
Budget Development Process & Document Contents/Structure	16
ICANN Wiki	14
GDD Operations and gTLDs	14
Other - Financial Management	13
Funding	10
Policy Development	7
Reserve Fund	7
General	7
Strategic/Operating Priorities	6
CROP	6
Contractual Compliance	3
IT Projects	1
Complaints Office	1
Funds Under Management	1
Language Services	1
Grand Total	**184**

- ICANN published the FY19 draft update to its Five-Year Operating Plan and budget documents on January 19th
- The Documents were supported by webinars with the community on January 25th and 26th, the start of the 49-day public comment period.
- Comments were received from 20 community groups and 19 individuals, with a total of 184 comments

ICANN Operations FY19 Budget Overview

in Millions, USD	Proposed Adopted FY19 Budget			FY18 Forecast			Increase/(Decrease) vs. FY18 Forecast			
	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	%
Funding	**$137.7**	**$0.0**	**$137.7**	**$134.5**	**$0.0**	**$134.5**	**$3.2**	**$0.0**	**$3.2**	**2.4%**
Personnel	70.6	6.0	76.6	63.0	5.8	68.7	7.6	0.3	7.9	11%
Travel & Meetings	15.2	0.7	15.9	15.2	0.6	15.8	0.0	0.1	0.1	1%
Professional Svcs.	20.2	1.5	21.7	25.4	1.4	26.9	(5.2)	0.1	(5.1)	-19%
Administration [1] & Capital	16.4	1.9	18.3	20.2	1.8	21.9	(3.7)	0.1	(3.6)	-16%
Contingency [2]	4.8	0.5	5.2	2.7	0.5	3.2	2.0	(0.0)	2.0	64%
Cash Expenses	**$127.2**	**$10.6**	**$137.7**	**$126.5**	**$10.0**	**$136.5**	**$0.7**	**$0.5**	**$1.2**	**0.9%**
Increase/ (Decrease) to Net Assets	**$10.6**	**($10.6)**	**$0.0**	**$8.0**	**($10.0)**	**($2.0)**	**$2.5**	**($0.5)**	**$2.0**	**n/a**
Funding from FY17 Savings (Approved by Board)						**$2.0**			**($2.0)**	**-100%**
Increase/ (Decrease) to Net Assets	**$10.6**	**($10.6)**	**$0.0**	**$8.0**	**($10.0)**	**($0.0)**	**$2.5**	**($0.5)**	**$0.0**	**n/a**
End of Period Headcount	**401**	**23**	**424**	**393**	**23**	**416**	**8**	**0**	**8**	**2%**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.

(2)The FY19 contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY18 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.

Total ICANN FY19 Budget Overview

in Millions, USD	Proposed Adopted FY19 Budget			FY18 Forecast				Increase/(Decrease) vs. FY18 Forecast							
	Total ICANN Operations	New gTLD	Total ICANN	Total ICANN Operations	IANA Transition	New gTLD	Total ICANN	Total ICANN Operations	%	IANA Transition	%	New gTLD	%	Total ICANN	%
Funding	**$137.7**	**$14.8**	**$152.5**	**$134.5**	**$0.0**	**($6.5)**	**$128.0**	**$3.2**	**2.4%**	**$0.0**	**n/a**	**$21.3**	**-326.2%**	**$24.5**	**19.2%**
Personnel	76.6	2.0	78.6	68.7	0.9	2.5	72.2	7.9	11%	(0.9)	-100%	($0.5)	-21%	6.4	9%
Travel & Meetings	15.9	0.5	16.4	15.8	0.2	0.7	16.6	0.1	1%	(0.2)	-100%	(0.2)	-22%	(0.2)	-1%
Professional Svcs.	21.7	5.2	26.9	26.9	1.1	7.9	35.8	(5.1)	-19%	(1.1)	-100%	(2.7)	-34%	(9.0)	-25%
Administration [1] & Capital	18.3	0.3	18.7	21.9	0.2	(0.5)	21.7	(3.6)	-16%	(0.2)	-100%	0.8	-168%	(3.1)	-14%
Contingency [2]	5.2	0.0	5.2	3.2	0.0	0.0	3.2	2.0	64%	0.0	n/a	0.0	n/a	2.0	64%
Cash Expenses	**$137.7**	**$8.0**	**$145.7**	**$136.5**	**$2.4**	**$10.6**	**$149.6**	**$1.2**	**0.9%**	**($2.4)**	**-100%**	**($2.6)**	**-25%**	**($3.8)**	**-3%**
Increase/ (Decrease) to Net Assets	**$0.0**	**$6.8**	**$6.8**	**($2.0)**	**($2.4)**	**($17.1)**	**($21.6)**	**$2.0**	**n/a**	**$2.4**	**-100%**	**$23.9**	**-139%**	**$28.3**	**-131%**
Funding from FY17 Savings (Approved by Board)				**$2.0**			**$2.0**	**($2.0)**	**-100%**						
Increase/ (Decrease) to Net Assets	**$0.0**	**$6.8**	**$6.8**	**($0.0)**	**($2.4)**	**($17.1)**	**($19.6)**	**$0.0**	**n/a**	**$2.4**	**-100%**	**$23.9**	**-139%**	**$28.3**	**-145%**
End of Period Headcount	**424**	**-**	**424.0**	**416**	**4.5**	**0.0**	**420.2**	**8**	**2%**	**(4.5)**	**-100%**	**-**	**n/a**	**3.8**	**1%**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.

(2)The FY19 contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY18 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.

FY19 SO/AC Additional Budget Requests

- The Final Proposed FY19 Budget includes $300K for SO/AC Additional Budget Requests recommended for approval.
  - A total of 55 Requests were submitted by 16 different organizations and evaluated by ICANN org
  - The ABR assessment process focused on facilitating effective and sustainable community work using guiding principles
    - For travel related requests, a primary consideration was to prioritize events that are intended to take place at an ICANN Public Meeting or other ICANN-organized meeting (e.g. the GDD Summit);
  - 17 requests are recommended for approval for a total of $300K which is the budgeted amount.
  - See appendix slides # 35-38 for additional information including the requests that were not recommended for approval

2. FY19 Operating Plan and Budget – Assumptions and backup schedules

ICANN Operations Funding Assumptions

	Funding Type	Best Estimate	High Estimate	Low Estimate
Legacy TLDs	Transaction-based Fees	Assumes growth of transaction volume of 2.6% as per historical average	Growth of 4.1%	Growth of 2.7%
New TLDs	Fixed Fees	1,218 TLDs assumed delegated as of July 1, 2018 and 1,221 TLDs assumed delegated by June 30, 2019	Same as Best Estimate	Same as Best Estimate
	Transaction-based Fees	Transactions estimated using the per-TLD average number of transactions per month since delegation (average transactions during month 1, month 2,…) resulting in y/y transaction growth of 9.1%	Growth of 36.5% vs. 2018	Growth of 19.9% vs. 2018

ICANN Operations Funding Assumptions

	Funding Type	Best Estimate	High Estimate	Low Estimate
Registrar Accreditation	Application Fees	The number of accredited registrars is maintained at current levels and increases based on pending applications - 15 for each quarter, 60 for the whole year	Same as Best Estimate	Same as Best Estimate
	Accreditation Fees	The number of accredited registrars is maintained at current levels and increases based on pending applications - 15 for each quarter, 60 for the whole year	Same as Best Estimate	Same as Best Estimate
	Per-registrar Variable Fees	Constant total of $3.4m	Same as Best Estimate	Same as Best Estimate
New gTLD Program	Application Fees Revenue	Portion of application fees recognized in Funding ratably based on evaluation expense incurred vs total evaluation expenses forecasted	Same as Best Estimate	Same as Best Estimate

ICANN Operations Funding by Source

In Millions, US Dollars	FY 19 Best Estimate	FY18 Forecast	+Incr./ -Decr.	%	FY19 Estimates High	FY19 Estimates Low	FY18 Budget
Transactions							
Registry transaction fees - Legacy	$ 49.6	$ 48.6	$ 1.0	2.1%	$ 49.2	$ 48.5	$ 48.4
Registry transaction fees - New gTLD	5.1	4.6	0.5	10.4%	6.4	5.6	8.9
Registrar transaction fees - Legacy	30.2	29.5	0.8	2.6%	30.7	30.1	29.4
Registrar transaction fees- New gTLD	4.3	3.9	0.4	9.1%	5.4	4.7	7.5
Sub-total	**89.2**	**86.6**	**2.6**	**3.0%**	**91.6**	**88.9**	**94.2**
Volume: legacy transactions (millions)	*167.9*	*163.6*	*4.3*	*2.6%*	*170.4*	*168.1*	*163.6*
Volume: New gTLD transactions (millions)	*23.9*	*21.9*	*2.0*	*9.1%*	*30.0*	*26.3*	*41.7*
Sub-total	*191.9*	*185.6*	*6.3*	*3.4%*	*200.4*	*194.4*	*205.3*
Volume: New gTLD billable transactions (millions)	*20.3*	*18.3*	*2.0*	*11.1%*	*25.5*	*22.4*	*35.4*
New gTLD Billable rate - average	*84.9%*	*83.4%*	*1.5%*		*85.0%*	*85.0%*	*85.0%*
Registry Fixed Fees	**30.5**	**30.6**	**(0.1)**	**-0.3%**	**31.3**	**30.7**	**30.8**
Registrars accreditation							
Application fees	0.2	0.2	0.0	9.1%	-	-	0.2
Accreditation fees - annual	11.0	10.1	1.0	9.7%	10.3	8.9	10.5
Per-registrar variable fees	3.4	3.4	-	0.0%	3.4	3.4	3.4
Sub-total	**14.7**	**13.7**	**1.0**	**7.3%**	**13.7**	**12.3**	**14.1**
Count of total Registrars - at end of year	*2,277*	*2,217*	*60*	*2.7%*	*2,217*	*2,051*	*2,241*
Incr./(Decr.) new Registrars - at end of year	*60*		*60*		*(332)*	*(498)*	*(748)*
Contributions							
RIR	0.8	0.8	-	0.0%	0.8	0.8	0.8
ccTLD	2.1	2.1	-	0.0%	2.1	2.1	2.1
Meeting Sponsorships/other	0.5	0.8	(0.3)	-37.5%	0.8	0.8	0.8
Sub-total	**3.4**	**3.7**	**(0.3)**	**-8.1%**	**3.7**	**3.7**	**3.7**
ICANN Ops Revenue	**$ 137.7**	**$ 134.5**	**$ 3.2**	**2.4%**	**$ 140.4**	**$ 135.6**	**$ 142.8**

ICANN Operations Expense Assumptions

Annual Expenses = ICANN Ops cash expenses + IANA

1

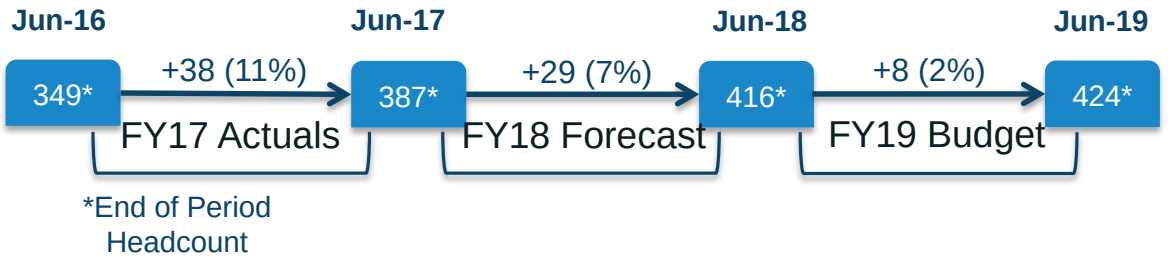
The FY19 Budget is Balanced:
Operations cash expenses = Annual Funding

2

Operations cash expenses increase by $1.2M or 0.9% from FY18 to FY19 due to moderate compensation+benefits increases, ITI expenses, offset by costs savings

3

Operations headcount growth slower in FY19



4

IANA Stewardship Transition work funded by the reserve fund concluded in FY18. FY19 WS2 implementation project is funded from Operations

Unfunded Activities & Costs savings

Unfunded Activities:

- Principle: Only activities supporting the implementation of Board approved policies or review recommendations are included in the budget. Implementation activities for policies or review recommendations not yet approved by the Board, will be scheduled, if and when approved by the Board, on the basis of resources reallocated from other activities.
- List of Implementation projects/activities not included:
  - GDPR work (post-implementation during FY18),
  - WS2 recommendations,
  - Review teams recommendations,
  - Auction Proceeds disbursement process,
  - Subsequent procedures recommendations,

Cost Savings:

- Reduction of merit/promotion increases from 4% to 2%
- General travel/meeting reduction of 10%
- Other costs savings across all functions: $6 million. Examples:
  - Reduction of regional capacity building activities,
  - Reduction of constituent travel support (in number, $$ flat),
  - Optimization and reduction of IT support.

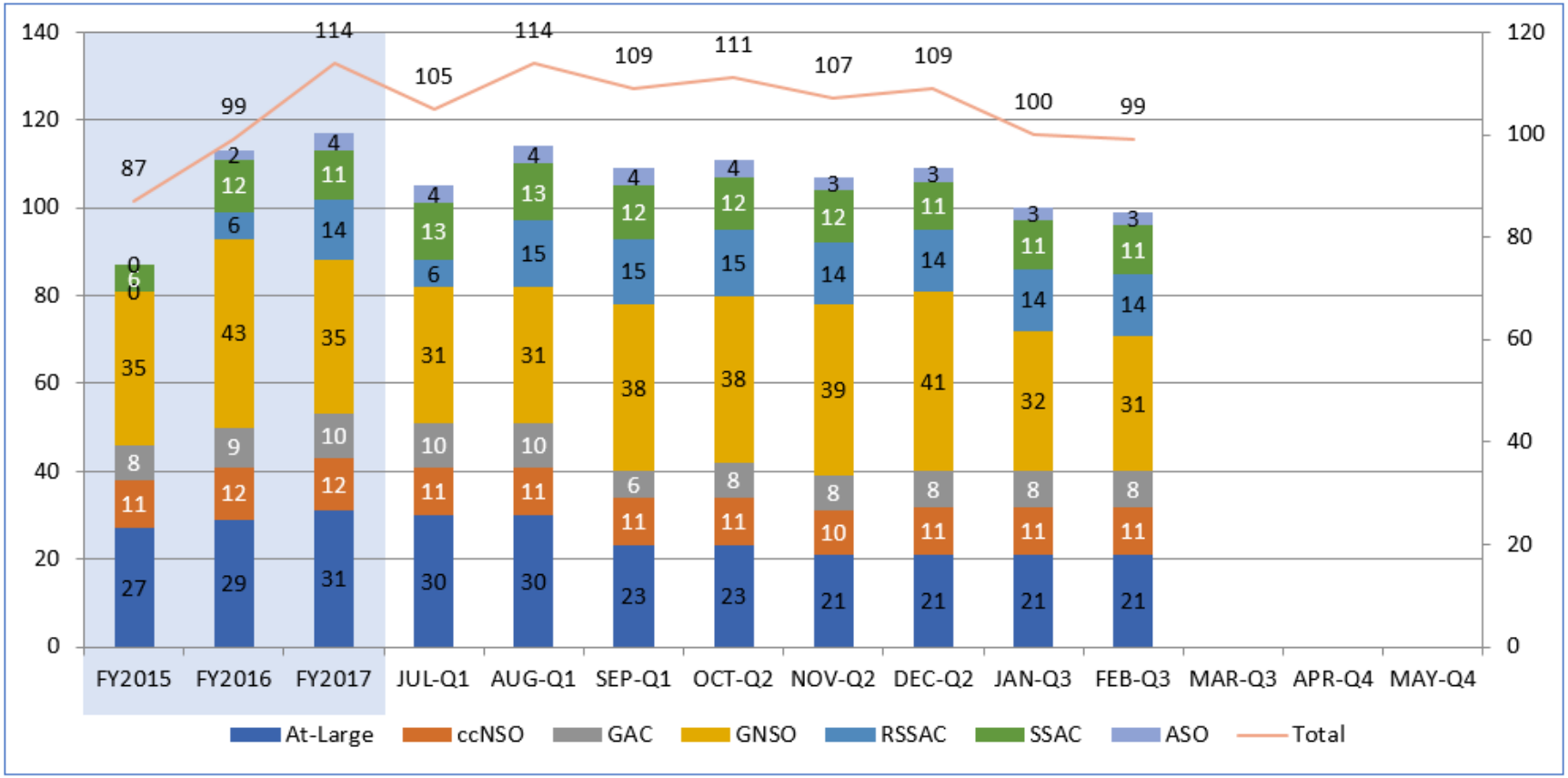
3. Appendix

FY16 – FY19 Trends for Community Program Funding

Program	FY16 Actuals	FY17 Actuals	FY18 Outlook	FY19 Budget
CROP	55,218	73,052	33,002	50,000
Fellowship	128,264	55,193	61,457	94,629
ICANN Academy	21,531	56,922	88,063	98,250
ICANNwiki	100,000	100,000	100,000	66,000
Indigenous Ambassadors		8,920	20,540	
NextGen	90,604	124,714	270,000	118,760
Onboarding Training	172,829	172,524	170,000	
Grand Total	**568,444**	**591,324**	**743,061**	**427,639**

Background Information on Community Support

SO/AC Active Working Groups & Other Policy Activities



*** Does not reconcile with Work Front based projects

PUBLIC

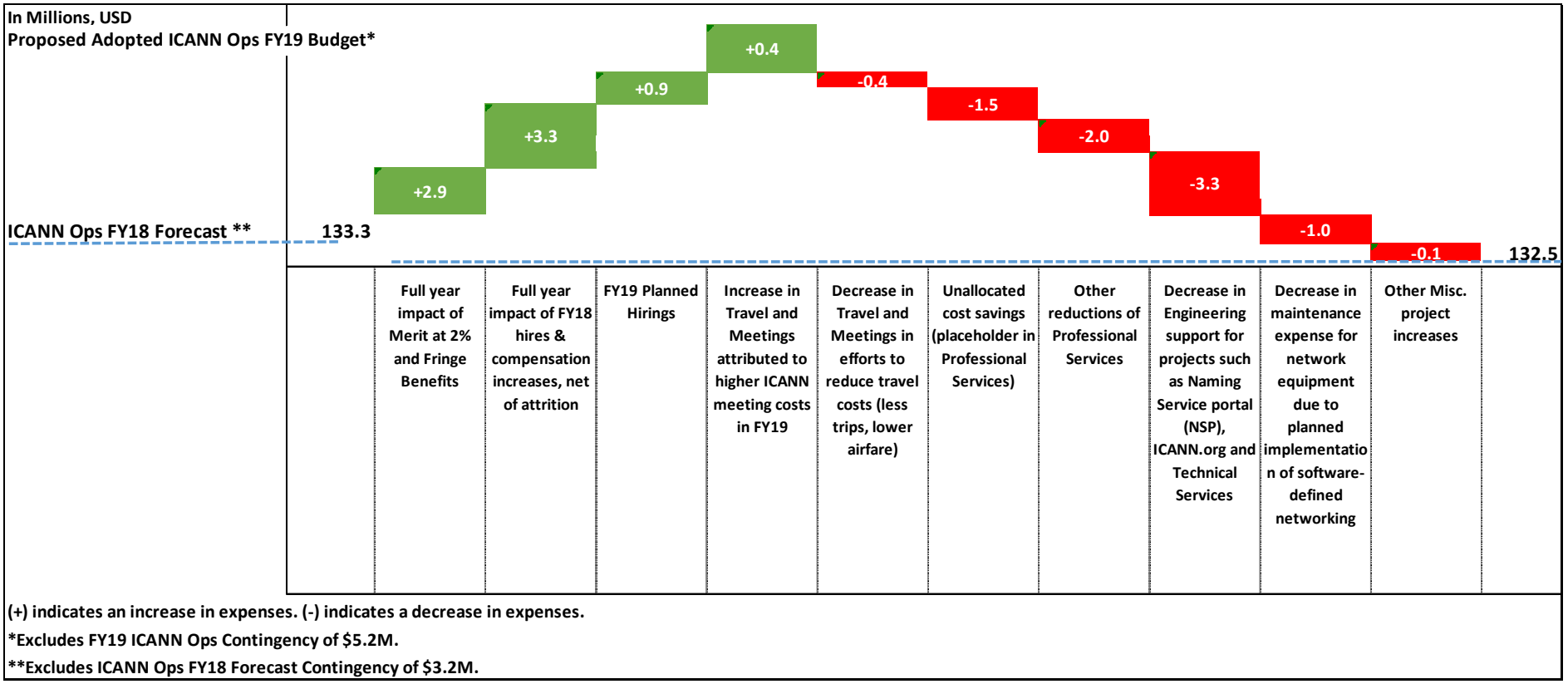
Support Activity – FY18 – 3rd Quarter (current)

Matrix of Call Qty, Call Hours, Avg/Hour, Mail List Activities

Qtr 3 – FY18

579 Meetings/Calls	74.0 Average Meeting Length in Minutes
685.0 Meeting/Call Hours	11,360 Mailing List Exchanges
	276 Publicly Archived Mail Lists

ICANN Operations FY19 Cash Expenses



- The ($0.8) million decrease from $133.3 million in FY18 to $132.5 million in FY19 is driven by the following: (see next page)

ICANN Operations FY19 Cash Expenses

- Full year impact of people hired in FY18 on FY19 budget with an increase in personnel costs due to
  - 29 personnel estimated to be hired in FY18 working a full year in FY19 versus a partial year in FY18
  - Personnel costs increases (merit, taxes and fringe benefits)
  - Impact of FY19 planned hires: eight new hires
- FY19 Cost Savings Initiatives (Professional Services)
- Decrease in Engineering support for projects such as Naming Service portal (NSp), ICANN.org and Technical Services
- Decrease in maintenance expense for network equipment due to planned implementation of software-defined networking
- Increase in contingency from FY18 to FY19 of $2.0M to account for unexpected expenses such as Subsequent procedures , CCT Reviews, GDPR, WS2, and reserve fund replenishment

ICANN Ops Baseline Cash Expenses by Function

in Millions, USD		FY19 Proposed Adopted Budget [1]					FY18 Forecast [2]					Increase/(Decrease)				
Executive Group	Executive	End of Period Hdct	Avg Hdct	Perso-nnel	Other	Total	End of Period Hdct	Avg Hdct	Perso-nnel	Other	Total	End of Period Hdct	Perso-nnel	Other	Total	%
DNS Industry and Engagement	Atallah	29.0	28.5	$5.3	$2.0	$7.3	29.0	29.0	$4.8	$2.6	$7.5	-	0.5	(0.7)	(0.2)	-2%
Global Domains Division Ops and Product Mgt.	Atallah	56.0	56.0	$9.0	$3.3	$12.4	51.0	51.0	$8.4	$3.9	$12.3	5	$0.6	($0.6)	$0.0	0.1%
PTI Department	Atallah	17.0	17.0	$3.0	$1.8	$4.7	17.0	17.0	$3.0	$1.2	$4.2	-	(0.0)	0.5	0.5	11%
Regional Offices	Bennett	0.0	0.0	$0.0	$6.6	$6.6	0.0	0.0	$0.0	$6.0	$6.0	-	0.0	0.5	0.5	9%
Operations	Bennett	16.0	16.0	$3.2	$3.6	$6.8	17.0	17.0	$2.9	$4.2	$7.1	(1)	0.2	(0.6)	(0.3)	-5%
Strategic Communications	Burns	27.0	27.0	$4.1	$5.9	$10.0	26.1	26.1	$3.8	$6.4	$10.2	1	0.3	(0.6)	(0.2)	-2%
Finance & Procurement and ERM	Calvez	19.0	19.0	$3.5	$1.7	$5.3	15.4	15.4	$3.3	$1.7	$5.1	4	0.2	0.0	0.2	4%
Office of the CTO	Conrad	19.0	19.0	$5.3	$2.9	$8.2	17.0	17.0	$4.5	$3.7	$8.2	2	0.8	(0.9)	(0.1)	-1%
Global Stakeholder Engagement	Costerton	30.0	30.0	$6.1	$1.9	$8.0	31.0	31.0	$5.5	$2.5	$8.0	(1)	0.6	(0.6)	(0.0)	0%
Meeting Operations	Costerton	8.0	8.0	$1.6	$4.1	$5.6	8.0	8.0	$1.3	$3.8	$5.1	-	0.2	0.3	0.6	11%
Development and Public Responsibility	Costerton	7.0	7.0	$0.8	$1.1	$1.9	8.0	8.0	$0.9	$1.8	$2.7	(1)	(0.1)	(0.7)	(0.8)	-29%
Contr. Compliance & Consumer Safeguards	Hedlund	29.0	29.0	$4.4	$1.0	$5.3	29.0	29.0	$4.0	$1.4	$5.4	-	0.3	(0.4)	(0.1)	-1%
Governance Support	Jeffrey	24.0	24.0	$6.4	$2.6	$9.0	18.0	18.0	$5.4	$4.1	$9.4	6	1.0	(1.4)	(0.5)	-5%
Governmental Engagement	Kamel	9.0	9.0	$2.6	$0.8	$3.5	8.2	8.2	$2.1	$1.1	$3.2	1	0.5	(0.3)	0.2	8%
Office of the CEO	Marby	3.0	3.0	$1.4	$0.5	$1.9	3.0	3.0	$1.4	$0.6	$2.0	-	0.0	(0.1)	(0.1)	-5%
Policy Development & SO/ AC Engagement	Olive	35.0	35.0	$4.9	$1.8	$6.8	35.5	35.5	$4.7	$2.5	$7.1	(1)	0.2	(0.6)	(0.4)	-5%
Constituent/ Stakeholder Travel	Olive	0.0	0.0	$0.0	$2.7	$2.7	0.0	0.0	$0.0	$2.2	$2.2	-	0.0	0.5	0.5	25%
Information Technology	Rangan	24.0	24.0	$4.7	$2.7	$7.5	28.3	28.3	$5.1	$4.3	$9.4	(4)	(0.4)	(1.5)	(1.9)	-20%
Engineering	Rangan	41.0	41.0	$7.1	$8.8	$15.9	36.0	36.0	$6.2	$9.3	$15.5	5	0.9	(0.5)	0.4	3%
Global Human Resources and Admin	Schroeder	24.0	24.0	$3.8	$0.6	$4.4	22.6	22.6	$3.3	$0.7	$4.0	1	0.4	(0.1)	0.4	9%
Multistakeholder Strategy & Strategic Initiatives	Swinehart	19.0	19.0	$3.4	$2.6	$6.0	19.0	19.0	$3.5	$3.8	$7.3	-	(0.1)	(1.2)	(1.3)	-18%
Ombudsman	Ombudsman	1.0	1.0	$0.3	$0.3	$0.6	1.0	1.0	$0.2	$0.3	$0.6	-	0.0	(0.0)	(0.0)	-2%
New gTLD Allocations		0.0	0.0	-$2.0	-$1.5	-$3.5	0.0	0.0	-$2.5	-$2.4	-$4.9	-	0.5	0.8	1.4	-28%
Corporate (includes attrition and contingency)		(13.0)	(13.0)	-$2.2	$3.3	$1.1	0.0	0.0	-$2.2	$3.2	$1.0	(13)	0.0	0.1	0.1	8%
	Total	424.0	423.5	$76.6	$61.1	$137.7	420.2	420.2	$69.7	$69.0	$138.7	3.8	$6.9	($7.9)	($1.0)	-1%

(1) Includes contingency ($5.2M).
(2) Includes Iana Stewardship Transition

PTI and IANA FY19 Budget

FY19 PTI Budget in Millions, USD		PTI Services FY19 Budget	PTI Services FY18 Budget	Increase/(Decrease) Total	Increase/(Decrease) %
FUNDING		**$10.0**	**$9.6**	**$0.4**	**4.2%**
Personnel		$6.0	$5.8	$0.2	3.5%
Travel & Meetings		$0.7	$0.6	$0.1	8.6%
Professional Services		$1.1	$1.1	$0.0	1.7%
Administration		$1.3	$1.2	$0.1	5.2%
Contingency		$0.5	$0.5	($0.0)	-0.9%
Capital		$0.2	$0.1	$0.1	157.6%
Depreciation	(a)	$0.3	$0.4	($0.1)	-17.7%
TOTAL CASH EXPENSES		**$10.0**	**$9.6**	**$0.4**	**4.2%**
EXCESS/(DEFICIT)		**$0.0**	**$0.0**	**$0.0**	**0.0%**
Average Headcount (FTE)	(b)	22.8	22.6	0.2	0.8%

(a) Depreciation is treated as a cash expense for PTI since it will be reimbursed to ICANN

(b) FTE: Full-time staff equivalent

FY19 IANA Budget in Millions, USD		FY19 IANA Budget	FY18 IANA Budget	Increase/(Decrease) Total	Increase/(Decrease) %
PTI Services		$10.0	$9.6	$0.4	4.2%
IANA Services	(c)	$0.5	$0.4	$0.1	18.8%
TOTAL		**$10.5**	**$10.0**	**$0.5**	**4.7%**

(c) IANA Services include RZMA = Root Zone Maintainer Agreement, Empowered Community, and RZERC support. It will be funded by ICANN Operations.

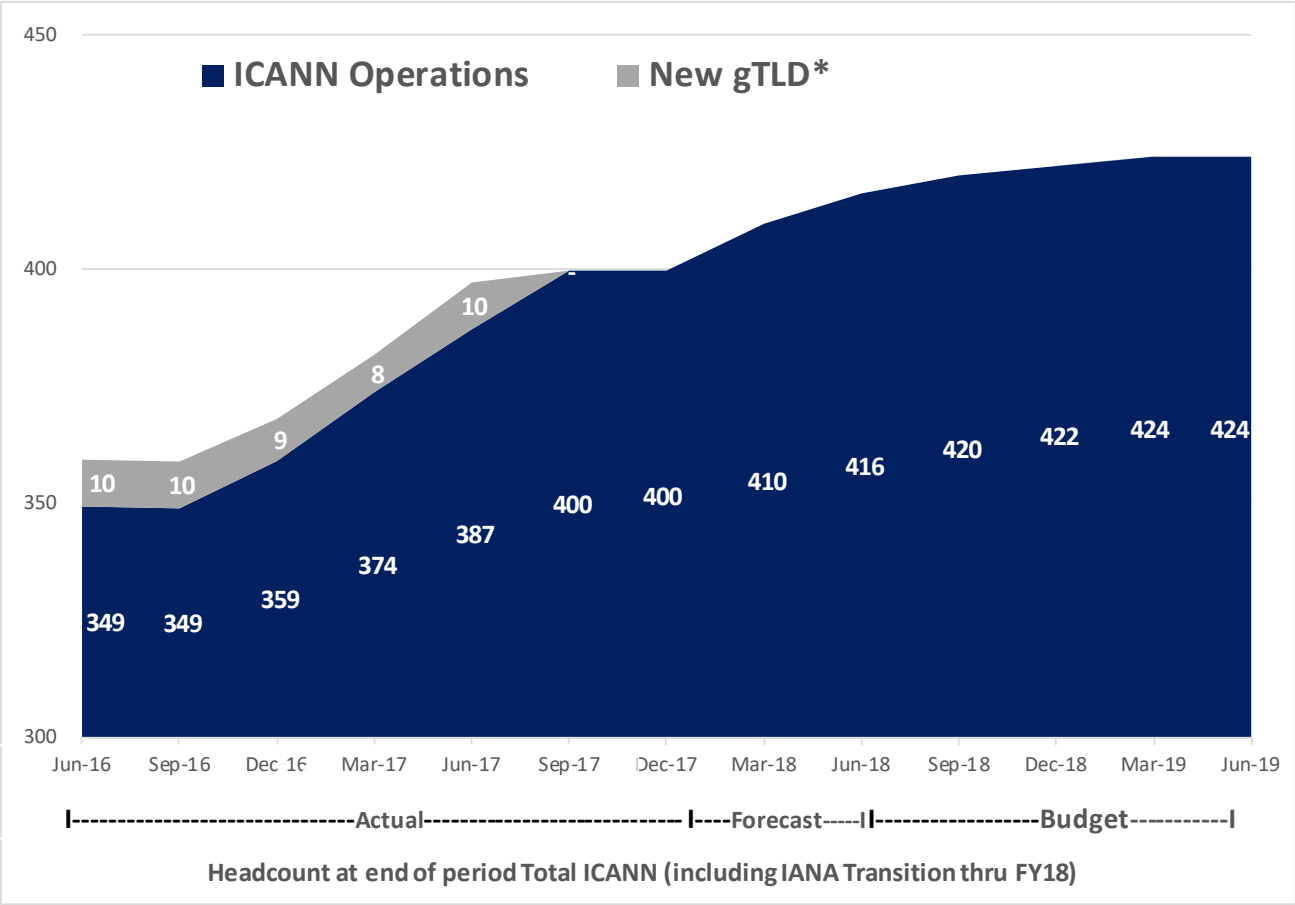
- PTI FY19 OP&B adopted by the PTI Board on 8 January 2018.
- ICANN received as input into the FY19 IANA Budget which is subject to the empowered community veto process
- The IANA Budget is included in the Caretaker Budget should a veto process be triggered
- The PTI Budget has been updated for the ICANN Operations merit adjustment from 4% to 2%

ICANN Operations FY17- FY20 Projections

in Millions, USD	FY17 Actuals Total ICANN Operations	FY18 Forecast Total ICANN Operations	Proposed Adopted FY19 Budget Total ICANN Operations	Draft FY20 Projection Total ICANN Operations
Funding	**$134.6**	**$134.5**	**$137.7**	**$139.7**
Personnel	59.5	68.7	76.6	80.5
Travel & Meetings	18.1	15.8	15.9	16.1
Professional Svcs.	23.5	26.9	21.7	23.1
Administration (1) & Capital	27.4	21.9	18.3	18.6
Contingency (2)	0.0	3.2	5.2	4.5
Cost Reductions to Identify				(3.1)
Cash Expenses	**$128.5**	**$136.5**	**$137.7**	**$139.7**
Increase/ (Decrease) to Net Assets	**$6.1**	**($2.0)**	**$0.0**	**$0.0**
Funding from FY17 Savings (Approved by Board)		**$2.0**		
Increase/ (Decrease) to Net Assets	**$6.1**	**($0.0)**	**$0.0**	**$0.0**
End of Period Headcount	**378**	**416**	**424**	**424**

(1) ICANN Operations cash expenses excludes Depreciation and Bad Debt.
(2) The FY18, FY19 and FY20 contingency expense represents an amount of budgeted expenses unallocated to specific activities or departments. FY17 activities covered by the contingency have been reported in the expense categories above based on the nature of the expense.
(3) The FY20 projections include an increase for cost of living and inflation. Cost savings will need to be identified to arrive at a balanced budget.

Headcount 3-Year Overview



FY19 Total ICANN headcount is growing at a slower pace.
*During FY18, as the New gTLD Program progressed, the dedicated resources previously reported under the Program were transferred to ICANN Operations and for FY19 they continue to support the Program as required.

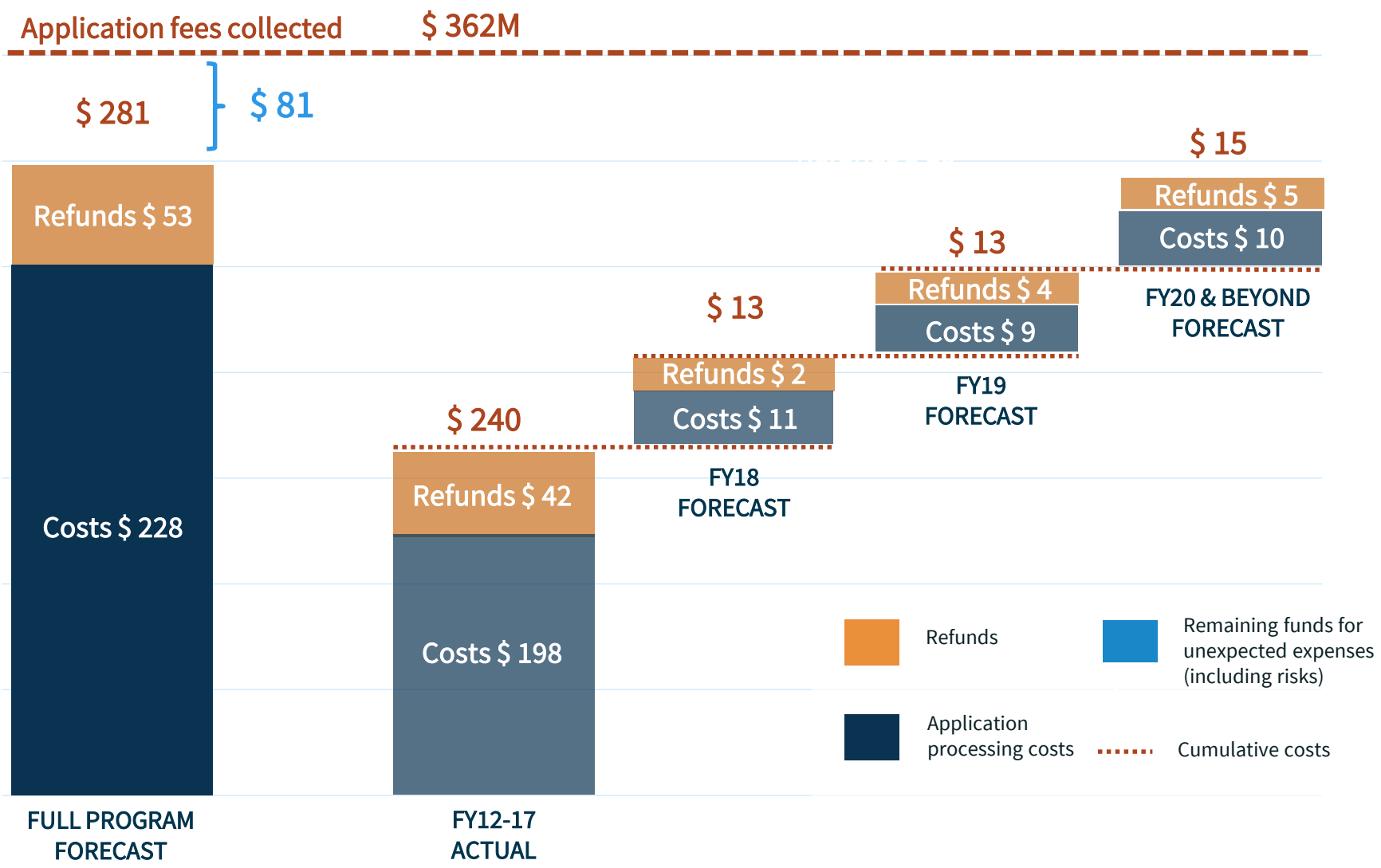
Risks & Opportunities to the FY19 Budget

Risks (Probability)	
Funding: Lower Legacy and new gTLD transaction volumes	-$0.5M (Low)
Funding: Lower funding from registrars fixed fees	-$0.5M (Low)
Inability to identify costs savings across the organization	-$1.5M (Med)
GDPR Compliance Expenses	-$1.0M (Med)

Opportunities (Probability)	
Funding: Higher new gTLD transaction growth	+$0.5M Med
Expenses: Higher benefit on cost run rates of actions initiated in FY18.	+1.5M Med

Risk: defined as the possibility of a lower Funding or higher cost / Opportunity is the opposite.

3.4. New gTLD Program – Multi-year Forecast



In millions, USD- unaudited – Scale and Arithmetic inconsistencies are due to rounding to the nearest million.

Total ICANN Cash Flows - FY18 Forecast

Cash Flow Statement	For the Year Ended 6/30/2018				
In Millions, US dollars	Operating Fund	Reserve Fund	NgTLD	Auction Proceeds	Total
Funds Under Management - June 30, 2017	**$ 34.8**	**$ 61.6**	**$ 127.9**	**$ 235.3**	**$ 459.5**
Collected/ (refunded) from contracted parties	135.1		(1.7)		133.4
Auction Proceeds	-		-		-
Paid to vendors, net of reimbursement	(68.0)		(8.3)		(76.4)
Paid to employees, net of reimbursement	(70.2)		(2.5)		(72.7)
Reimbursement from Reserve Fund - IANA Transition Project Costs [(1)]	$ 6.0	$ (6.0)			-
Allocation to Reserve Fund	$ (5.0)	$ 5.0			
Historical Development Costs	2.0		(2.0)		-
Capital expenditures	(3.7)		-		(3.7)
Change in investment market value		4.5	1.2	2.0	7.7
Funds Under Management - June 30, 2018	**$ 31.0**	**$ 65.1**	**$ 114.5**	**$ 237.3**	**$ 447.8**

(1) The IANA Transition Project Costs are reimbursed from the Reserve Fund every six months for the previous six months of expenses. The FY18 impact represents the project expenses for (i) H2 FY17 (January 2017 through June 2017) and (ii) H1 FY18 (July 2017 throught December 2017).

Total ICANN Cash Flows - FY19 Budget

Cash Flow Statement	For the Year Ended 6/30/2019				
In Millions, US dollars	Operating Fund	Reserve Fund	NgTLD	Auction Proceeds	Total
Funds Under Management - June 30, 2018	**$ 31.0**	**$ 65.1**	**$ 114.5**	**$ 237.3**	**$ 447.8**
Collected/ (refunded) from contracted parties	136.9		(3.7)		133.2
Paid to vendors, net of reimbursement	(60.7)		(8.3)		(69.0)
Paid to employees, net of reimbursement	(76.6)		(2.5)		(79.2)
Reimbursement from Reserve Fund - IANA Transition Project Costs [(1)]	(1.2)	1.2			-
Historical Development Costs	1.4		(1.4)		-
Capital expenditures	(1.1)				(1.1)
Change in investment market value		4.7	1.1	2.0	7.8
Funds Under Management - June 30, 2019	**$ 29.6**	**$ 71.0**	**$ 99.7**	**$ 239.3**	**$ 439.6**

(1) The IANA Stewardship Transition Project Costs are reimbursed from the Reserve Fund every six months for the previous six months of expenses. The FY19 impact represents the project expenses for the second half of FY18 (expenses incurred from January 2018 through June 2018) only as the program concluded in FY18.

FY19 SO/AC Additional Budget Requests

Organization	Yes*	No	Total	Yes	FY19 Recommended Amount
AFRALO	-	1	1	-	$0
ALAC	3	3	6	3	$36,200
APRALO	-	3	3	-	$0
BC	2	2	4	2	$17,545
EURALO	1	2	3	-	$0
GAC	2	-	2	2	$65,000
GNSO	3	-	3	2	$90,000
ICANN Academy	-	2	2	-	$0
ISPCP	2	1	3	2	$15,045
LACRALO	-	4	4	-	$0
NARALO	-	1	1	-	$0
NCSG	2	4	6	2	$20,945
NCUC	3	9	12	2	$12,500
NPOC	-	1	1	-	$0
RrSG	1	1	2	1	$21,000
RySG	1	1	2	1	$21,000
FY19 Total	**20**	**35**	**55**	**17**	**$299,235**

FY18 Approved Requests	47	14	61	30	$646,800

*FY19 includes 3 requests related to items already covered by ICANN's core budget

FY19 SO/AC Additional Budget Requests

Request Type (Internal Use)	Yes*	No	Total	Yes	FY19 Recommended Amount
Communications	4	-	4	4	$30,000
Digital Services	1	-	1	-	$0
Meeting	3	2	5	1	$60,000
Outreach	1	2	3	1	$20,000
Staff support	-	4	4	-	$0
Training	2	4	6	2	$15,000
Travel	9	23	32	9	$174,235
FY19 Total	**20**	**35**	**55**	**17**	**$299,235**

*FY19 includes 3 requests related to items already covered by ICANN's core budget

FY19 SO/AC Additional Budget Requests Denials (1 OF 2)

#	Request No.	Organization	Community Group	Request Title	FY19 Budget Request Impact
1	FY19-01	RySG	GNSO	Registries Stakeholder Group Request for Ongoing Support of Document Development & Drafting Pilot Program	$ 75,000
2	FY19-03	NPOC	GNSO	Showcasing NPOC as a Not-For-Profit Organizations' Constituency for DNS Policy Development Process at IGF 2018, RightsCon 2019 & One Regional Event	$ 20,000
3	FY19-04	NCSG	GNSO	NCSG IGF Request	$ 12,000
4	FY19-05	NCSG	GNSO	Travel Support for DNS Related Activities	$ 20,000
5	FY19-06	NCSG	GNSO	Student Research Assistant	$ 5,000
6	FY19-07	NCSG	GNSO	Roundtable Seminars	$ 15,000
7	FY19-10	RrSG	GNSO	RrSG Public Comment Writing Support	-
8	FY19-13	ALAC	GNSO	ALAC Leadership Team Strategy Session	$ 3,000
9	FY19-14	ALAC	GNSO	At-Large Global Capacity Building at the 2018 IGF	$ 16,000
10	FY19-15	ALAC	GNSO	Global Indigenour Peoples Ambassador Program In Support of Fellowships	$ 48,000
11	FY19-18	APRALO	ALAC	APRALO Leadership Team Participation in the 2018 IGF	$ 12,000
12	FY19-19	AFRALO	ALAC	Capacity Building and Engagement for the Local Community at ICANN 65 in Marrakech	$ 500
13	FY19-20	NARALO	ALAC	NARALO's Team Participation in the Thirteenth Annual IGF Meeting	$ 8,000
14	FY19-21	EURALO	ALAC	Diversity in ICANN Leadership Bodies	$ 12,000
15	FY19-22	EURALO	ALAC	Internet-of-Things (IoT) and the Increasing Governance Challenge Ahead	$ 10,000
16	FY19-27	LACRALO	ALAC	LACRALO Workshop at the 2018 IGF about "Privacy, Domain Names and End Users in Latin America and the Caribbean"	$ 12,000
17	FY19-28	LACRALO	ALAC	LACRALO Leadership Team Participation in the 2018 IGF Meeting	$ 20,000
18	FY19-29	LACRALO	ALAC	Development and Implementation of a Mediation Course for LACRALO	$ 20,000
Subtotal					**$ 308,500**

FY19 SO/AC Additional Budget Requests Denials (2 OF 2)

#	Request No.	Organization	Community Group	Request Title	FY19 Budget Request Impact
19	FY19-30	LACRALO	ALAC	Support for Participation on the XXII Congreso Iberoamericano de Derecho e Informatica de la FIADI 2018	$ 14,500
20	FY19-31	ICANN Academy	GNSO	Continuation of the Academy Chairing Skills Program	$ 16,000
21	FY19-33	ISPCP	GNSO	Constituency Outreach Support	$ 16,000
22	FY19-35	ICANN Academy	GNSO	Continuation of the Intercultural Awareness Program	$ 20,000
23	FY19-38	BC	GNSO	BC Leadership Travels	$ 36,000
24	FY19-40	BC	GNSO	IGF2019 Workshop & Engagement	$ 20,000
25	FY19-41	NCUC	GNSO	NCUC Session at the RightsCon	$ 12,000
26	FY19-43	NCUC	GNSO	Funding for IGF 2017	$ 12,000
27	FY19-44	NCUC	GNSO	Promoting the use of ICANN Data for Informed Engagement by Non-Commercial Stakeholders at ICANN Learn	$ 20,000
28	FY19-47	NCUC	GNSO	Travel Support for GDD	$ 12,000
29	FY19-48	NCUC	GNSO	Policy Outreach Event at Internet Freedow Festival 2018	$ 4,000
30	FY19-49	NCUC	GNSO	Development of a Game for the Social Game Challenge to be used as a Teaching Tool about the DNS	$ 5,000
31	FY19-50	NCUC	GNSO	NCUC Session at the EuroDIG 2019	$ 12,000
32	FY19-51	NCUC	GNSO	Travel Support for WSIS Forum	$ 8,000
33	FY19-52	NCUC	GNSO	Policy Intern to Assist Constituency's Work	$ 5,000
34	FY19-54	APRALO	ALAC	APRALO Outreach Activities at APrIGF 2018	$ 2,000
35	FY19-55	APRALO	ALAC	To participate in the yearly Middle East DNS Forum	$ 8,000
Subtotal					**$ 222,500**
Grand Total					**$ 531,000**