

## REFERENCE MATERIALS TO BOARD SUBMISSION No. xxxx.xx.xx.xx

**TITLE:** March 2021 ICANN Meeting Venue Contracting

### **DETAILED ANALYSIS:**

#### **1. Background:**

Last year, ICANN org conducted an extensive search and analysis of less costly venues for ICANN Meetings that still provide for an excellent meeting experience. Staff recommends the Cancun International Convention Center (CICC) for ICANN70 in March 2021.

#### **2. Site Visit:**

- Cancun, Mexico: A preliminary site visit was conducted in February 2018.

#### **3. Discussion of Issues:**

- Meeting Rooms: The CICC has excellent conference facilities for an ICANN Meeting.
- Host Hotels: The Aloft Hotel, adjacent to the CICC will serve as the host hotel for the Meeting.
- Area Hotels: Many nearby hotels, all accessible via a short walk, public transportation or a short taxi ride, offer a wide variety of guest room accommodations at varying price points.
- Food & Beverage Outlets: The CICC will provide food for sale for Meeting delegates at a reasonable cost. In addition, there are several restaurant options in close proximity to CICC.
- Air Travel: Air access to Cancun is good, with direct flights from some major European cities and most large US cities, all arriving at Cancun International Airport. However, most international itineraries will require one stop in route.
- Ground Transportation: Cancun International Airport is 27 kilometers/35 minutes from the meeting venue and area hotels. Taxi fare is approximately US\$35.
- Safety & Security: A risk assessment by ICANN security has not identified any areas of concern for Cancun that would require other than standard security measures provided for an ICANN Meeting.

Staff recommends that the board approve Cancun, Mexico as the location of the March 2021 ICANN Meeting.

\*\*\* Confidential Proposal Information Set Forth Below \*\*\*

Confidential Negotiation Information

Contact Information Redacted

**\*\*\* Confidential Proposal Information Set Forth Above \*\*\***

Submitted by: Nick Tomasso  
Position: VP, Global Meeting Operations  
Date Noted: 4 April 2019  
Email: [nick.tomasso@icann.org](mailto:nick.tomasso@icann.org)

## REFERENCE MATERIALS TO BOARD SUBMISSION No. xxxx.xx.xx.xx

**TITLE:** June 2021 ICANN Meeting Venue Contracting

### DETAILED ANALYSIS:

#### 1. Background:

- Last year, ICANN org conducted an extensive search and analysis of less costly venues for ICANN Meetings that still provide for an excellent meeting experience. Staff recommends the World Forum for ICANN71 in June 2021.

#### 2. Site Visit:

- The Hague, Netherlands: A preliminary site visit was conducted in January 2018.

#### 3. Discussion of Issues:

- Meeting Rooms: The World Forum has excellent conference facilities for an ICANN Meeting.
- Host Hotels: The Marriot Hotel, adjacent to the World Forum will serve as the host hotel for the Meeting.
- Area Hotels: Many nearby hotels, all accessible via a short walk, public transportation or an ICANN shuttle, offer a wide variety of guest room accommodations at varying price points.
- Food & Beverage Outlets: The World Forum will provide food for sale for Meeting delegates at a reasonable cost. In addition, there are several restaurant options in close proximity to the World Forum.
- Air Travel: Air access to The Hague is primarily through Amsterdam Schiphol Airport (AMS) although some arriving from other European Cities may choose to use Rotterdam The Hague Airport (RTM). Amsterdam Schiphol Airport is easily accessed via many direct flights from around the world. However, some international itineraries may require one stop in route.
- Ground Transportation: Amsterdam Schiphol Airport is a 30 to 40-minute ride by Intercity train to The Hague Central Station. The fare is approximately €10. It is a short taxi or tram ride from the Central Station to the World Forum and area hotels. Alternately taxi fare is approximately EURO€110. For those who use Rotterdam The Hague Airport, train service is also available to The Hague Central Station. Taxi fare is approximately €55.
- Safety & Security: A risk assessment by ICANN security has not identified any areas of concern for The Hague that would require other than standard security measures provided for an ICANN Meeting.

Staff recommends that the board approve The Hague, Netherlands as the location of the June 2021 ICANN Meeting.

**\*\*\* Confidential Proposal Information Set Forth Below \*\*\***

Confidential Negotiation Information

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Submitted by: Nick Tomasso  
Position: VP, Global Meeting Operations  
Date Noted: 4 April 2019  
Email: [nick.tomasso@icann.org](mailto:nick.tomasso@icann.org)

## Reference Materials

# Board Governance Committee Charter | As approved by the ICANN Board of Directors on \_\_ May 2019

## I. Purpose

The Board Governance Committee is responsible for:

- A. Assisting the Board to enhance its performance;
- B. Leading the Board in periodic review of its performance, including its relationship with ICANN's Chief Executive Officer;
- C. Creating and recommending to the full Board for approval a slate of nominees for Board Chair, Board Vice Chair, Chair and membership of each Board Committee, including filling any vacancies which may occur in these positions during the year; and overseeing the creation and membership of Board working groups and Board caucuses.
- D. Oversight of compliance with ICANN's Board of Directors' Code of Conduct;
- E. Administration of ICANN's Conflicts of Interest Policy;
- F. Recommending to the Board corporate governance guidelines applicable to ICANN as a global, private sector corporation serving in the public interest;
- G. Recommending to the Board a nominee for the Chair of the Nominating Committee and a nominee for the Chair-Elect of the Nominating Committee;
- H. Coordinating the dynamic development of the Board priorities and their associated deliverables, and monitoring progress against the set priorities.

## II. Scope of Responsibilities

- A. Assisting the Board to enhance its performance.
  - 1. The Committee will serve as a resource for Directors in developing their

full and common understanding of their roles and responsibilities as Directors as well as the roles and responsibilities of ICANN. The Committee will provide guidance and assistance in orienting new Directors as the Board's membership evolves. It will help reinforce the Board's commitment to adhere to its Bylaws and Core Values.

2. The Committee will encourage the development of effective tools, strategies, and styles for the Board's discussions. The Committee will periodically review tools, templates, and guidelines for Board preparatory materials and reports.
3. The Committee will work closely with the Chair and Vice-Chair of the Board and the President and Chief Executive Officer (CEO) of ICANN.

B. Leading the Board in its periodic review of its performance, including its relationship with the ICANN President and CEO.

1. The Committee will develop a thoughtful process for the Board's self-analysis and evaluation of its own performance and undertake this process at least every two years.
2. The Committee will develop a sound basis of common understanding of the appropriate relationship between the Board and the President and CEO under the Bylaws. From time to time it will review and advise on the effectiveness of that important relationship.
3. The Committee will serve as a resource to Directors and the Chief Executive Officer by stimulating the examination and discussion of facts and analysis to complement anecdotal and other information acquired by individual directors from members of the community. In this way the Committee will assist the Board to distinguish among systemic problems, chronic problems, and isolated problems and will focus the Board's attention to both facts and perceptions.

C. Creating and recommending to the full Board for approval a slate of nominees for Board Chair, Board Vice Chair, and Chair and membership of each Board Committee, including filling any vacancies that may occur in these positions during the year.

1. In accordance with the Board Governance Committee Procedures for Board



Nominations posted on the Committee webpage, the Committee will: (a) in advance of the Annual General Meeting (AGM) create for Board approval a new slate of nominees to serve on each committee for the upcoming year; (b) fill any vacancies that arise during the year; and (c) recommended to the Board committee appointments for Board members beginning their terms on a date other than at AGM.

2. The Committee shall oversee the creation and membership of Board working groups and Board caucuses.
3. The Committee shall periodically review the charters of the Board Committees, including its own charter and work with the members of the Board Committees to develop recommendations to the Board for any charter adjustments deemed advisable.
4. The Committee may serve as a resource for the Chief Executive Officer and Directors who are considering the establishment of new committees.
5. The Committee shall periodically review the participation of Board members across Board Committees, working groups, and/or caucuses, and make recommendations to the Board of adjustments to the composition of any Board Committees, and make changes to working groups and/or caucuses, as necessary to ensure that the workload of Board members is appropriately balanced across the Board.

D. Oversight of compliance with ICANN's Board of Directors' Code of Conduct.

1. The Committee shall be responsible for oversight and enforcement with respect to the Board of Directors' Code of Conduct. In addition, at least annually, the Committee will review the Code of Conduct and make any recommendations for changes to the Code to the Board.
2. The Committee shall provide an annual report to the full Board with respect to compliance with the Code of Conduct, including any breaches and corrective action taken by the Committee.

E. Administration of ICANN's Conflicts of Interest Policy.

1. The Committee shall review the annual conflicts of interest forms required

from each Directors and Liaisons and shall consider any and all conflicts of interest that may arise under the Conflicts of Interest Policy.

2. The Committee shall periodically review the Conflicts of Interest Policy and consider whether any modifications should be made to the policy to improve its effectiveness.
- F. Recommending to the Board corporate governance guidelines applicable to the ICANN as a global, private sector corporation serving in the public interest.
1. The Committee shall review the existing corporate governance guidelines developed by ICANN staff, be attentive to developments in corporate governance in the global context, and bring ideas and recommendations for adjustments in these guidelines to the Board for its consideration.
- G. Recommending to the Board a nominee for the Chair of the Nominating Committee and a nominee for the Chair-Elect of the Nominating Committee.
1. Annually the Committee shall identify, through informal and formal means, and recommend that the Board approve a nominee to serve as Chair of the Nominating Committee and a nominee to serve as the Chair-Elect of the Nominating Committee.
- H. Coordinating the dynamic development of the Board priorities and their associated deliverables, and monitoring progress against the set priorities.

### **III. Composition**

The Committee shall be comprised of at least three but not more than seven Board members, as determined and appointed annually by the Board, each of whom shall comply with the Conflicts of Interest Policy. The voting Directors on the Committee shall be the voting members of the Committee, and the majority of the Committee members must be voting Directors. The members of the Committee shall serve at the discretion of the Board.

Unless a Committee Chair is appointed by the full Board, the members of the Committee may designate its Chair from among the voting members of the Committee by majority vote of the full Committee membership.

The Committee may choose to organize itself into subcommittees to facilitate the accomplishment of its work. The Committee may seek approval and budget from the Board for the appointment of consultants and advisers to assist in its work as deemed necessary, and such appointees may attend the relevant parts of the Committee meetings.

#### **IV. Meetings**

##### **A. Regularly Scheduled Meetings**

The Board Governance Committee shall meet at least quarterly, or more frequently as it deems necessary to carry out its responsibilities. The Committee's meetings may be held by telephone and/or other remote meeting technologies. Meetings may be called upon no less than forty- eight (48) hours notice by either (i) the Chair of the Committee or (ii) any two members of the Committee acting together, provided that regularly scheduled meetings generally shall be noticed at least one week in advance.

##### **B. Special/Extraordinary Meetings**

Special/extraordinary meetings may be called upon no less than 48 hours notice by either (i) the Chair of the Committee or (ii) any two members of the Committee acting together. The purpose of the meeting must be included with the call for the meeting.

##### **C. Action Without a Meeting**

###### **i. Making a Motion:**

The Committee may take an action without a meeting for an individual item by using electronic means such as email. An action without a meeting shall only be taken if a motion is proposed by a member of the Committee, and seconded by another voting member of the Committee. All voting members of the Committee must vote electronically and in favor of the motion for it to be considered approved. The members proposing and seconding the motion will be assumed to have voted in the affirmative. The action without a meeting and its results will be noted in the next regularly scheduled Committee meeting and will be included in the minutes of that meeting.

- ii. Timing:
  - a. Any motion for an action without a meeting must be seconded by another Committee member within 48 hours of its proposal.
  - b. The period of voting on any motion for an action without a meeting will be seven (7) days unless the Chair changes that time period. However, the period must be a minimum of two (2) days and a maximum of seven (7) days.

## **V. Voting and Quorum**

A majority of the voting members of the Committee shall constitute a quorum. Voting on Committee matters shall be on a one vote per member basis. When a quorum is present, the vote of a majority of the voting Committee members present shall constitute the action or decision of the Committee.

## **VI. Records of Proceedings**

A preliminary report with respect to actions taken at each meeting (telephonic or in-person) of the Committee shall be recorded and distributed to committee members within two working days, and meeting minutes shall be posted promptly following approval by the Committee.

A report of the activities of the Committee shall be prepared and published semiannually.

## **VII. Succession Plan**

The Board Governance Committee shall maintain a succession plan for the Committee, which should include identifying the experience, competencies and personal characteristics required to meet the leadership needs of the Committee. The Committee shall annually review the succession plan to ensure that it meets the needs of the Committee.

## **VIII. Review**

The Board Governance Committee shall conduct a self-evaluation of its performance on an annual basis and share a report on such self-evaluation with

the full Board and shall recommend to the full Board changes in membership, procedures, or responsibilities and authorities of the Committee if and when deemed appropriate. Performance of the Board Governance Committee shall also be formally reviewed as part of the periodic independent review of the Board and its Committees.

## Reference Materials

# Board Governance Committee Charter | As approved by the ICANN Board of Directors on 3 May 2019

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**REFERENCE MATERIALS – BOARD PAPER NO. 2019.05.03.XX**

**TITLE: Revisions Board Governance Committee Charter**

**Documents**

The following attachments are relevant to the Board’s consideration of certain proposed revisions to the charter of the Board Governance Committee.

Attachment A is the current BGC Charter with the proposed revisions in redline.

Submitted By: Amy Stathos, Deputy General Counsel

Date Noted: 18 April 2019

Email: amy.stathos@icann.org

(b) Security and Stability Advisory Committee

(i) The role of the Security and Stability Advisory Committee ("**Security and Stability Advisory Committee**" or "**SSAC**") is to advise the ICANN community and Board on matters relating to the security and integrity of the Internet's naming and address allocation systems. It shall have the following responsibilities:

(A) To communicate on security matters with the Internet technical community and the operators and managers of critical DNS infrastructure services, to include the root name server operator community, the top-level domain registries and registrars, the operators of the reverse delegation trees such as in-addr.arpa and ip6.arpa, and others as events and developments dictate. The SSAC shall gather and articulate requirements to offer to those engaged in technical revision of the protocols related to DNS and address allocation and those engaged in operations planning.

(B) To engage in ongoing threat assessment and risk analysis of the Internet naming and address allocation services to assess where the principal threats to stability and security lie, and to advise the ICANN community accordingly. The SSAC shall recommend any necessary audit activity to assess the current status of DNS and address allocation security in relation to identified risks and threats.

(C) To communicate with those who have direct responsibility for Internet naming and address allocation security matters (IETF, RSSAC (as defined in [Section 12.2\(c\)\(i\)](#)), RIRs, name registries, etc.), to ensure that its advice on security risks, issues, and priorities is properly synchronized with existing standardization, deployment, operational, and coordination activities. The SSAC shall monitor these activities and inform the ICANN community and Board on their progress, as appropriate.

(D) To report periodically to the Board on its activities.

(E) To make policy recommendations to the ICANN community and Board.

(ii) The SSAC's chair and members shall be appointed by the Board. SSAC membership appointment shall be for a three-year term, commencing on 1 January and ending the second year thereafter on 31 December. Members may be re-appointed, and there are no limits to the number of terms members may serve. The SSAC chair may provide recommendations to the Board regarding appointments to the SSAC. The SSAC chair shall stagger appointment recommendations so that approximately one-third (1/3) of the membership of the SSAC is considered for appointment or re-appointment each year. The Board shall also have the power to remove SSAC appointees as recommended by or in consultation with the SSAC.

(iii) The SSAC shall annually appoint a Liaison to the Board according to [Section 7.9](#).

PROPOSED BYLAWS AMENDMENTS  
ARTICLE 12, SECTION 12, SECTION 2(b)  
DRAFT as of 2 May 2019

(b) Security and Stability Advisory Committee

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(B) To engage in ongoing threat assessment and risk analysis of the Internet naming and address allocation services to assess where the principal threats to stability and security lie, and to advise the ICANN community accordingly. The SSAC shall recommend any necessary audit activity to assess the current status of DNS and address allocation security in relation to identified risks and threats.

(C) To communicate with those who have direct responsibility for Internet naming and address allocation security matters (IETF, RSSAC (as defined in Section 12.2(c)(i)), RIRs, name registries, etc.), to ensure that its advice on security risks, issues, and priorities is properly synchronized with existing standardization, deployment, operational, and coordination activities. The SSAC shall monitor these activities and inform the ICANN community and Board on their progress, as appropriate.

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(iii) The SSAC shall annually appoint a Liaison to the Board according to Section 7.9.





# **Report on the Transfer of the .TR (Turkey) country-code top-level domain to Bilgi Teknolojileri ve İletişim Kurumu (BTK)**

17 April 2019

This report is a summary of the materials reviewed as part of the process for the transfer of the .TR (Turkey) country-code top-level domain. It includes details regarding the proposed transfer, evaluation of the documentation pertinent to the request, and actions undertaken in connection with processing the transfer.

## **FACTUAL INFORMATION**

### **Country**

The “TR” ISO 3166-1 code from which the application’s eligibility derives, is designated for use to represent Turkey.

### **Chronology of events**

In 1991, the .TR top-level domain was delegated to the Middle East Technical University (METU). The University continues to operate the domain to this day.

In 2000, Amendment 5 of the Wireless Law 2813 established the *Telekomünikasyon Kurumu* (translated as the Telecommunications Authority), a public legal entity in Turkey with public administrative and financial autonomy to conduct the regulation and supervision function of the telecommunications sector.

In 2008, Article 65(3) of the Electronic Communication Act No. 5809 changed the authority’s name to *Bilgi Teknojileri ve İletişim Kurumu* (BTK), translated as the Information and Communication Technologies Authority. Articles 5(1)(a) and 35 of the Act give the Ministry of Transport the responsibility to “determine the strategies and policies concerning the electronic communications services based on scarce resources, such as numbering, internet domain names, satellite positions, and frequency allocations” and to determine the “organizations or institutions, which shall carry out registrations of internet domain names, and the principles and procedures concerning the management of domain names”.

In 2009, the Ministry conducted several consultation sessions with significantly interested parties to prepare what became the Bylaw on Internet Domain Names. According to Article 1 of the Bylaw, its purpose “is to regulate the principles and procedures regarding ‘.tr’ country code top level Internet domain names management.”

On 7 November 2010, the Ministry published the Bylaw on Internet Domain Names, giving BTK, as the information and communications technologies authority, the responsibility of managing the .TR top-level domain. Articles 14 and 15 of the Bylaw define the “Duties and Powers of the Authority”, which include setting up and operating, or having a third party set up and operate, the structure, systems and processes to manage the .TR top-level domain.

On 21 December 2018, after several years of discussions, METU and BTK signed an agreement regarding a .TR top-level domain transition process and commenced a transfer request with IANA. The agreement provides for a 42-month timeline during which METU will provide training and hands-on experience for BTK staff as well as operate the .TR top-level domain under contract from BTK through the training period. As such, this transfer will not initially involve the transfer of the technical operations for the .TR top-level domain.

### **Proposed Manager and Contacts**

The proposed manager is Bilgi Teknolojileri ve İletişim Kurumu (BTK), a governmental entity granted operational responsibility for the .TR top-level domain according to the country’s laws. It is based in Turkey.

The proposed administrative contact is Sezen Yeşil, an ICT Expert with the Bilgi Teknolojileri ve İletişim Kurumu. The administrative contact is understood to be based in Turkey.

The proposed technical contact is Onur Gençer, an ICT Expert with the Bilgi Teknolojileri ve İletişim Kurumu.

### **EVALUATION OF THE REQUEST**

#### **String Eligibility**

The top-level domain is eligible for transfer as the string for Turkey is presently listed in the ISO 3166-1 standard.

#### **Incumbent Consent**

The incumbent manager is the Middle East Technical University. Informed consent for the transfer of .TR top-level domain to Bilgi Teknolojileri ve İletişim Kurumu (BTK) was provided by Prof. Dr. Mustafa Verşan Kök, Rector of the Middle East Technical University.

#### **Public Interest**

Government support was provided by Dr. Ömer Fatih Sayan, the Deputy Minister of Transport and Infrastructure.

Additional support letters were provided by the following:

- Associate Professor Dr. Leyla Keser, Director, IT Law Institute, Istanbul Bilgi University.
- Professor Dr. Şeref Sağıroğlu, Head of the Computer Engineering Department, Gazi University.
- Professor Dr. Bulent Kent, General Secretary of the Association of Access Providers (ESB), an association that represents the local Internet community in Turkey.

The application is consistent with known applicable laws in Turkey. The proposed manager undertakes the responsibility to operate the domain in a fair and equitable manner.

### **Based in country**

The proposed manager is constituted in Turkey. The administrative contact is understood to be a resident of Turkey. The registry is to be operated in Turkey.

### **Stability**

The application does not involve a transfer of domain operations from an existing domain registry, and therefore stability aspects relating to registry transfer are not relevant.

The application is not known to be contested.

### **Competency**

The application has provided information on the technical and operational infrastructures and expertise that will be used to operate the domain.

Proposed policies for management of the domain have also been tendered.

## **EVALUATION PROCEDURE**

PTI is tasked with coordinating the Domain Name System root zone as part of a set of functions governed by a contract with ICANN. This includes accepting and evaluating requests for delegation and transfer of top-level domains.

A subset of top-level domains is designated for the significantly interested parties in countries to operate in a way that best suits their local needs. These are known as country-code top-level domains (ccTLDs), and are assigned to responsible managers that meet a number of public-interest criteria for eligibility. These criteria largely relate to the level of support the manager has from its local Internet community, its capacity to ensure stable operation of the domain, and its

applicability under any relevant local laws.

Through the IANA Services performed by PTI, requests are received for delegating new ccTLDs, and transferring or revoking existing ccTLDs. An investigation is performed on the circumstances pertinent to those requests, and, the requests are implemented where they are found to meet the criteria.

### **Purpose of evaluations**

The evaluation of eligibility for ccTLDs, and of evaluating responsible managers charged with operating them, is guided by a number of principles. The objective of the assessment is that the action enhances the secure and stable operation of the Internet's unique identifier systems.

In considering requests to delegate or transfer ccTLDs, input is sought regarding the proposed new manager, as well as from persons and organizations that may be significantly affected by the change, particularly those within the nation or territory to which the ccTLD is designated.

The assessment is focused on the capacity for the proposed manager to meet the following criteria:

- The domain should be operated within the country, including having its manager and administrative contact based in the country.
- The domain should be operated in a way that is fair and equitable to all groups in the local Internet community.
- Significantly interested parties in the domain should agree that the prospective manager is the appropriate party to be responsible for the domain, with the desires of the national government taken very seriously.
- The domain must be operated competently, both technically and operationally. Management of the domain should adhere to relevant technical standards and community best practices.
- Risks to the stability of the Internet addressing system must be adequately considered and addressed, particularly with regard to how existing identifiers will continue to function.

### **Method of evaluation**

To assess these criteria, information is requested from the applicant regarding the proposed manager and method of operation. In summary, a request template is sought specifying the exact details of the delegation being sought in the root zone.

In addition, various documentation is sought describing: the views of the local internet community on the application; the competencies and skills of the manager to operate the domain; the legal authenticity, status and character of the proposed manager; and the nature of government support for the proposal.

After receiving this documentation and input, it is analyzed in relation to existing root zone management procedures, seeking input from parties both related to as well as independent of the proposed manager should the information provided in the original application be deficient. The applicant is given the opportunity to cure any deficiencies before a final assessment is made.

Once all the documentation has been received, various technical checks are performed on the proposed manager's DNS infrastructure to ensure name servers are properly configured and are able to respond to queries correctly. Should any anomalies be detected, PTI will work with the applicant to address the issues.

Assuming all issues are resolved, an assessment is compiled providing all relevant details regarding the proposed manager and its suitability to operate the relevant top-level domain.

**REFERENCE MATERIALS - BOARD PAPER NO. 2019.05.03.2b**

**TITLE:** **Acceptance of the Second Organizational Review of the RSSAC – Final Report and Feasibility Assessment and Initial Implementation Plan**

The Board is being asked to accept the independent examiner's [final report](#) of the second review of the Root Server System Advisory Committee (RSSAC), as well as the RSSAC Review Work Party's [Feasibility Assessment and Initial Implementation Plan](#). The Board is also being asked to instruct the RSSAC to convene an implementation working group to develop a detailed implementation plan for the recommendations, as detailed in the Feasibility Assessment and Initial Implementation Plan. The detailed implementation plan shall be completed within six (6) months from the adoption of this resolution. The implementation working group is to oversee the implementation process of these recommendations once the Board has accepted said detailed implementation plan.

**Exhibit A: Final Report, issued by the independent examiner**

**Exhibit B: Feasibility Assessment and Initial Implementation Plan, drafted by the RSSAC Review Working Party and approved by the RSSAC.**

**Signature Block:**

Submitted by: Theresa Swinehart  
Position: Senior Vice President, MSSI  
Date Noted: 18 April 2019  
Email: [theresa.swinehart@icann.org](mailto:theresa.swinehart@icann.org)

ICANN Root Server System  
Advisory Committee (RSSAC)  
Review Work Party

RSSAC2 Review  
Feasibility Assessment &  
Initial Implementation Plan



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# Introduction

On 3 July 2018, Interisle Consulting Group published its [final report](#) of the second review of ICANN's Root Server System Advisory Committee (RSSAC). The [final report](#) includes an assessment of the RSSAC and six principal recommendations for improving its operations.

Based on its detailed review of the [final report](#), the [RSSAC Review Work Party](#) (RWP) has prepared this Feasibility Assessment and Initial Implementation Plan (FAIIP). This plan includes an analysis of recommendations in the [final report](#) for usability and prioritization, provisional budget implications, anticipated resources and the proposed implementation timeline. The RWP has noted any objections or proposed modifications to recommendations where applicable, along with supporting rationale.

Once finalized, the RWP will present this document to [the Organizational Effectiveness Committee](#) of the ICANN Board (OEC) to inform its recommendation to the Board on next steps.

# 1. Overview of Recommendations

## 2. Feasibility Assessment & Initial Implementation Plan

**Issue 1**

**Issue identified by the independent examiner:** As long as its membership is defined to be representatives and alternates from the RSOs the RSSAC will be perceived by many to be an advisory committee of the root server operators, not the root server system, and its advice will be interpreted—erroneously—as advice from the RSOs (p54).

**Recommendation 1**

**Independent examiner’s final recommendation:** Modify the RSSAC membership criteria to allow the RSSAC to recruit a variety of skills, perspectives, and interests that include but are not limited to those available from the root server operator organizations.

and

**Issue 1a**

**Issue identified by the independent examiner:** The RSOs might retain their prerogative to appoint representatives to the RSSAC, but the RSSAC could recruit members from other sources as well (p54).

**Recommendation 1a**

**Independent examiner’s final recommendation:** Extend RSSAC membership by invitation to any qualified person.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	Y	N/A
Does RWP support the revised recommendation?	Y	N/A
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	<p>This organizational review dismisses the Liaisons to and from RSSAC and the RSSAC Caucus in the discussion about this recommendation.</p> <p>As agreed upon with the ICANN Board, the establishment of the RSSAC Caucus in 2014 was a direct result of the first organizational review of the RSSAC. Currently, the RSSAC Caucus has 100 members,<sup>1</sup> broadening the base of technical expertise available for RSSAC work. The RSSAC Caucus contributes substantially to the work of the RSSAC. 38 RSSAC Caucus members have contributed to ten RSSAC publications<sup>2</sup> since its founding.</p> <p>The RSSAC reiterates that it regularly seeks input from the RSSAC Caucus about potential work items. This guides the decision-making and prioritization of the RSSAC. The RSSAC recognizes the need to evolve its structure and membership.</p>	

<sup>1</sup> <https://www.icann.org/groups/rssac-caucus>

<sup>2</sup> RSSAC001, RSSAC002, RSSAC002v2, RSSAC002v3, RSSAC003, RSSAC023, RSSAC024, RSSAC026, RSSAC028, and RSSAC040 available here: <https://www.icann.org/groups/rssac/documents>

	<p>Since its first organizational review, and in light of the IANA stewardship transition, the RSSAC has carefully examined its structure, accountability, and transparency. These discussions have resulted in significant progress to evolve its operations and procedures.</p> <p>This evolution complements RSSAC work on a proposed governance model of functions for the RSS and RSOs found in RSSAC037<sup>3</sup>. In RSSAC037, the RSSAC defines 11 principles for the operation and evolution of the DNS Root Server System, proposes an initial governance model (the Model) for the DNS Root Server System and its operators, and demonstrates how the Model works through a set of scenarios on designation and removal of operators. This proposed governance model would alter the current structure and roles of the RSSAC and RSSAC Caucus.</p> <p>RSSAC038<sup>4</sup> complements the proposed governance model. In RSSAC038, the RSSAC recommends the ICANN Board initiate a process to produce a final version of the Model based on RSSAC037, estimate the cost of the DNS Root Server System and developing the Model (the initial effort should focus on developing a timeline), and implement the final version of the Model based upon the principles of accountability, transparency, sustainability, and service integrity.</p>
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	As stated in RSSAC038, the RSSAC recommends that the model started in RSSAC037 be finalized and implemented, which will likely address the details in this recommendation.
RWP comments	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	ICANN Board implementation of RSSAC038
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	ICANN Board, RSSAC, other (stakeholders of the DNS Root Server System)
Anticipated resource requirements (FTEs, tools)	
Expected budget implications	Outlined in section 5.5.3 of RSSAC037 and recommendation 2 of RSSAC038
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	<p>Current Membership Model: Low priority, low implementation effort</p> <p>Future Membership Model: High priority, complex implementation effort</p>
How long after the Board decision can this be implemented?	<p>Current Membership Model: N/A</p> <p>Future Membership Model: 2-3 years</p>
High-level summary of proposed implementation steps	Implementing a future membership model is linked to the ICANN Board response to RSSAC037 and RSSAC038.

<sup>3</sup> <https://www.icann.org/en/system/files/files/rssac-037-15jun18-en.pdf>

<sup>4</sup> <https://www.icann.org/en/system/files/files/rssac-038-15jun18-en.pdf>

**Issue 1b**

**Issue identified by the independent examiner:** RSSAC is not involved in any aspect of root server operations and does not require the attention of every RSO (p54).

**Recommendation 1b**

**Independent examiner’s final recommendation:** Let individual RSOs decide whether or not to participate in the RSSAC.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	<p>The RSSAC does not understand the premise of this recommendation. This organizational review offers little evidence to back up claims that some RSOs would rather not participate in the RSSAC. Attendance by RSOs at RSSAC meetings in recent years indicates that all are able to regularly contribute. Per its operational procedures,<sup>5</sup> the RSSAC operates on consensus and voting. The evidence that RSSAC relies on is the very engaged participation from all RSOs in its meetings and workshops in order to develop and recommend policies that affect the entire Root Server System captured in RSSAC minutes.</p> <p>Furthermore, there is a clear self-interest for every RSO to participate in the RSSAC. Even though RSSAC is not involved in root server operations, it does offer advice to the ICANN Board and community that has an impact on the obligations of every RSO and on the relationship of every RSO with ICANN, including influence over decisions about commitment of organizational resources.</p>	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
How long after the Board decision can this be implemented?		

<sup>5</sup> <https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf>

High-level summary of proposed implementation steps	
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## Issue 2

**Issue identified by the independent examiner:** RSSAC is the default target for every root service issue that arises within ICANN—whether or not the issue is properly within its scope—simply because it appears to be the only available interface between ICANN and the root server operators (p55).

## Recommendation 2

**Independent examiner’s final recommendation:** Resolve the apparent mismatch between the charter and operational procedures of the RSSAC and the requirements and expectations of the ICANN Board and Community for interaction with the root server system.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	The set of negative perceptions about the RSSAC charter reflected in the final report have not been articulated to the RSSAC, either directly by the ICANN Board, or through its liaison, or from any other part of the ICANN community. Based on these experiences, the RSSAC concludes that neither the ICANN Board nor the ICANN community harbor the mismatch raised in the final report. The RSSAC expects that unfulfilled expectations be brought to the attention of the RSSAC and the ICANN Board through existing processes if the ICANN community believes that the RSSAC charter needs to be modified.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
How long after the Board decision can this be implemented?		
High-level summary of proposed implementation steps		



## Issue 2a

**Issue identified by the independent examiner:** The RSSAC could improve the quality of discussions about the ICANN/RSS relationship by clearly documenting the rationale for the current RSS architecture, particularly with respect to RSO diversity and independence (p55).

## Recommendation 2a

**Independent examiner's final recommendation:** Document the rationale for the architecture of the root server system.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner's final recommendation, please provide rationale.	The RSSAC believes this recommendation has already been met, in part due to recent work that was published after the first RSSAC organizational review took place. The RSSAC has published RSSAC023 <sup>6</sup> which documents the history of the DNS Root Server System and its architecture as it has changed over time. The recently published RSSAC037 document further identifies the strengths of the current architecture by defining important characteristics that the RSSAC believes need to be carried forward. Various other RSSAC publications also discuss the basic nature of the service and its operation. Furthermore, oversight of the Root Server System and Root Server Operators is likely to change if the development and implementation of the RSSAC037 model progresses.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
How long after the Board decision can this be implemented?		
High-level summary of proposed implementation steps		

<sup>6</sup> <https://www.icann.org/en/system/files/files/rssac-023-04nov16-en.pdf>

### Issue 3

**Issue identified by the independent examiner:** The Board and Community generally do not know what advice to expect or solicit from the RSSAC (p56).

### Recommendation 3

**Independent examiner's final recommendation:** Formalize the responsibilities of the RSSAC to the ICANN Board and Community in a work plan that is periodically reviewed and published; and hold the RSSAC accountable for work plan deliverables.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	Y	N/A
Does RWP support the recommendation?	Y	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner's final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		The RSSAC welcomes this recommendation and looks forward to discussing next steps. The RSSAC reiterates, though, that from its perspective, there is no misalignment between the understanding and expectations of the ICANN Board and RSSAC in regard to its advice and work. As with any other group within ICANN, the RSSAC adjusts its work to reflect the availability of its members and allocation of supporting resources from the ICANN organization, so it is not clear what "hold the RSSAC accountable" means in this context. The RSSAC takes several steps, on a regular basis, to share its work with the community and solicit input on where it might need to engage: The RSSAC regularly meets with the ICANN Board at every ICANN public meeting to discuss its work and items of mutual interest; provides updates on its work at ICANN public meetings; and works closely with the RSSAC liaison to the ICANN Board to make sure the ICANN Board knows when RSSAC input is relevant to its work. Since ICANN62, RSSAC work sessions have been open to observation by default.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		It would be particularly helpful to have an example of another ICANN community group that uses such a work plan.
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		RSSAC
Anticipated resource requirements (FTEs, tools)		Web and publication support
Expected budget implications		Minimal
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Low priority, low implementation effort
How long after the Board decision can this be implemented?		3 months

High-level summary of proposed implementation steps

1. The RSSAC would develop a work plan template and share with ICANN Board/community for feedback.
2. The RSSAC would publish its work plan and regularly update it.

### Issue 3a

**Issue identified by the independent examiner:** According to its charter, the RSSAC should “Engage in ongoing threat assessment and risk analysis of the Root Server System and recommend any necessary audit activity to assess the current status of root servers and the root zone” (p57).

### Recommendation 3a

**Independent examiner’s final recommendation:** Engage in ongoing threat assessment and risk analysis of the Root Server System and recommend any necessary audit activity to assess the current status of root servers and the root zone.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	Y	N/A
Does RWP support the recommendation?	Y	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		This recommendation asks the RSSAC to execute the mission in its charter. As such, the RSSAC welcomes this recommendation and looks forward to discussing next steps. The RSSAC continues to be engaged in threat assessment and risk analysis and looks forward to receiving detailed items where the ICANN community believes increased focus is needed.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		RSSAC
Anticipated resource requirements (FTEs, tools)		Research support
Expected budget implications		Moderate
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Medium priority, moderate implementation effort
How long after the Board decision can this be implemented?		1 year
High-level summary of proposed implementation steps		<p>Upon realizing the need for focused efforts on specific issues:</p> <ol style="list-style-type: none"> <li>1. The RSSAC would develop a statement of work and launch a work party.</li> <li>2. The RSSAC would review the outcomes of the threat assessment and develop a document.</li> <li>3. The RSSAC would publish the document.</li> </ol>

### Issue 3b

**Issue identified by the independent examiner:** RSSAC has recommended that individual RSOs collect and publish data in a standard format for a standard set of metrics, defined in RSSAC002. Both the extent and the quality of compliance with this recommendation in aggregate falls short of what academic and industry researchers advised they would need in order to conduct meaningful analyses of the root server system.

### Recommendation 3b

**Independent examiner's final recommendation:** Coordinate the gathering and publishing of meaningful data about the root server system.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner's final recommendation, please provide rationale.	This recommendation is out of scope <sup>7</sup> for an organizational review. The RSSAC notes that RSSAC002v3 <sup>8</sup> identifies data regarding the RSS that should be collected and published, and that RSSAC002 has evolved and will continue to do so. Since 2013, the RSOs have been publishing their own data on their respective websites. Each RSO provides a link to their data on <a href="http://www.root-servers.org">www.root-servers.org</a> . Additionally, most RSOs participate in Day-in-the-Life (DITL) captures from time to time and make that data available to researchers, including the ICANN Office of the Chief Technology Officer (OCTO), for analysis.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	If there is an assertion that the data collected is not meaningful, the assertion is not supported, either by evidence or a statement of what might be more meaningful. Moreover, the RSSAC would welcome specific suggestions via the RSSAC Caucus on how this data could be improved.  The RSSAC welcomes academics, researchers, and others to join the RSSAC Caucus and work on an improved set of metrics in an RSSAC Caucus work party.	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource		

<sup>7</sup> <https://community.icann.org/display/ACCRSSAC/Scope+of+the+review>

<sup>8</sup> <https://www.icann.org/en/system/files/files/rssac-002-measurements-root-06jun16-en.pdf>

requirements, budget implications and other dependencies	
How long after the Board decision can this be implemented?	
High-level summary of proposed implementation steps	

### Issue 3c

**Issue identified by the independent examiner:** It is not clear whether or to what extent individual RSOs have complied with either of the two recommendations of RSSAC001 (p58).

### Recommendation 3c

**Independent examiner's final recommendation:** Assess and report on the status of compliance with the recommendations of RSSAC001.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner's final recommendation, please provide rationale.	This recommendation, specifically, RSO compliance with RSSAC advice, is out of scope <sup>9</sup> for an organizational review. Nonetheless, we encourage individual RSOs to publish such assessments, and note that RSSAC038 specifies accountability mechanisms that will probably supersede RSSAC001.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
How long after the Board decision can this be implemented?		
High-level summary of proposed implementation steps		

<sup>9</sup> <https://community.icann.org/display/ACCRSSAC/Scope+of+the+review>  
Approved by the RSSAC on 2 October 2018

#### Issue 4

**Issue identified by the independent examiner:** To secure improvements in the management and operation of RSSAC that followed the 2013-14 RSSAC restructuring, the RSSAC should deliberately plan for succession in its leadership roles (p58).

#### Recommendation 4

**Independent examiner's final recommendation:** Develop and implement a leadership training and succession plan.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	Y	N/A
Does RWP support the recommendation?	Y	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner's final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		The RSSAC welcomes this recommendation and looks forward to discussing next steps. As agreed upon with the ICANN Board, the establishment of the current leadership structure in 2014 was a direct result of the first organizational review of the RSSAC. The RSSAC recognizes the importance of evolving its leadership structure. Discussions about the RSSAC leadership structure are already underway. The topics of succession and training can be addressed in this context.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		RSSAC, ICANN Board
Anticipated resource requirements (FTEs, tools)		Drafting support
Expected budget implications		Limited
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Low priority, moderate implementation effort
How long after the Board decision can this be implemented?		6 months-1 year
High-level summary of proposed implementation steps		<ol style="list-style-type: none"> <li>1. The RSSAC would discuss its leadership structure and agree on revisions to current model or on a new model.</li> <li>2. If the RSSAC revises current model, the RSSAC would implement it.</li> <li>3. If the RSSAC approves a new model, the ICANN Board would adopt Bylaw changes, then the RSSAC would implement the new model.</li> </ol>



## Issue 5

**Issue identified by the independent examiner:** The RSSAC could fulfill its charter mandate to “[c]ommunicate on matters relating to the operation of the Root Servers and their multiple instances with the Internet technical community and the ICANN community” more effectively if it engaged more visibly with other ICANN Advisory Committees, Supporting Organizations, review teams, and task forces (p58).

## Recommendation 5

**Independent examiner’s final recommendation:** Engage more actively with the rest of ICANN and its Community.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	Y	N/A
Does RWP support the recommendation?	Y	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		<p>The RSSAC believes its engagement is generally appropriate given its charter and role as an advisory committee. The RSSAC welcomes this recommendation and looks forward to discussing next steps. The RSSAC recognizes the importance of improving its engagement with the ICANN community while remaining focused on its core mission and welcomes input on how to best balance between these priorities. As a path toward increased engagement, since ICANN62 the RSSAC has made its work sessions open to observation by default and regular update and information sessions will continue to be arranged. However, the RSSAC respectfully suggests that “engagement” is not an end in itself and should serve a purpose.</p> <p>The RSSAC notes that it currently maintains liaison relationships with the ICANN Board, the Security and Stability Advisory Committee (SSAC), the Internet Architecture Board, the IANA Functions Operator, the Root Zone Maintainer (RZM), the Customer Standing Committee (CSC), and the Root Zone Evolution Review Committee (RZERC). The RSSAC would be willing to consider establishing additional mutually beneficial liaison relationships, too. Furthermore, the RSSAC invites the ICANN community to attend its sessions at ICANN public meetings and observe its various joint meetings (e.g., ICANN Board, OCTO, Nominating Committee, etc.).</p>
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	RSSAC	
Anticipated resource requirements (FTEs, tools)		

Expected budget implications	Minimal
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	Low priority, low implementation effort
How long after the Board decision can this be implemented?	Next ICANN public meeting
High-level summary of proposed implementation steps	The RSSAC will proactively engage with ICANN community groups about its publications. The RSSAC will continue to seek input on other possible steps toward greater engagement.

**Issue 6**

**Issue identified by the independent examiner:** Although their charter and operating procedure documents attempt to define the roles and responsibilities of these groups clearly, our research found both *de facto* and *de jure* confusion and ambiguity that affect the RSSAC’s ability to effectively fulfill its role (p59).

**Recommendation 6**

**Independent examiner’s final recommendation:** Clarify the role and responsibility of the RSSAC with respect to other groups with adjacent or overlapping remits, including the SSAC, the RZERC, and the RSSAC Caucus.

and

**Issue 6b**

**Issue identified by the independent examiner:** Because the SSAC’s scope includes the security and stability of the root zone (along with the rest of “the Internet’s naming and address allocation systems”), the RSSAC’s role is often misunderstood as a subset of the SSAC’s (p60).

**Recommendation 6b**

**Independent examiner’s final recommendation:** In cooperation with the SSAC, develop and publish a statement that clearly distinguishes the roles and responsibilities of the RSSAC and the SSAC, describes how they **are** complementary with respect to their shared interests in security and stability, and establishes a framework for collaboration on issues of mutual concern.

and

**Issue 6c**

**Issue identified by the independent examiner:** There is some concern that the RZERC might encroach on the work of the RSSAC and the SSAC or be expected to resolve conflicts and differences of opinion between those committees (p60).

**Recommendation 6c**

**Independent examiner’s final recommendation:** In cooperation with the RZERC and the SSAC, develop and publish a statement that clearly distinguishes the roles and responsibilities of the RSSAC, the RZERC, and the SSAC with respect to the evolution of the DNS root system (within the scope of ICANN’s mission).

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	N	N/A
Does RWP support the recommendation?	N	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	While the subject of this recommendation is within scope for an organizational review, the RSSAC finds that the actual recommendation affects more than just the RSSAC and its relationship to the ICANN Board. On its own, the RSSAC cannot fulfill the recommendation, and therefore it has to be made in a different forum. The RSSAC agrees that clarification of the roles of the RSSAC, RZERC, and SSAC would be useful to the ICANN community and could make all three groups more effective. The RSSAC is willing to work with SSAC and RZERC with this recommendation. Ultimately, this is the responsibility of the ICANN Board and community.	

If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	
RWP comments	Though potentially valuable, comparing the charters of RSSAC, RZERC, and SSAC is out of scope <sup>10</sup> for an organizational review. This organizational review comments on the overlap of the charters of the RSSAC, RZERC, and SSAC, and this comparison of the charters of multiple ICANN bodies deviates from the scope <sup>11</sup> of an organizational review. Moreover, the RSSAC feels strongly that this organizational review should have disclosed that one of the independent examiners is a member of the RZERC and another of the SSAC. Though serving in multiple roles and functions is not uncommon in the ICANN community, the lack of disclosure could potentially raise questions about the impartiality of this recommendation.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	
Anticipated resource requirements (FTEs, tools)	
Expected budget implications	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	
How long after the Board decision can this be implemented?	
High-level summary of proposed implementation steps	

<sup>10</sup> <https://community.icann.org/display/ACCRSSAC/Scope+of+the+review>

<sup>11</sup> <https://community.icann.org/display/ACCRSSAC/Scope+of+the+review>

## Issue 6a

**Issue identified by the independent examiner:** The work of the RSSAC Caucus is poorly defined and lacks effective guidance and oversight from the RSSAC (p59).

## Recommendation 6a

**Independent examiner's final recommendation:** Develop a more effective and transparent process for defining RSSAC Caucus projects, engaging its members and managing its membership, managing its work, and promoting its output.

	Y/ N	Level of Consensus* (*As defined by the <a href="#">GNSO Working Group Guidelines</a> )
Does RWP support the issue?	Y	N/A
Does RWP support the recommendation?	Y	N/A
Does RWP suggest a revised recommendation?	N	N/A
Does RWP support the revised recommendation?	N	N/A
<b>Additional Details &amp; Comments</b>		
If RWP does not support the independent examiner's final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
RWP comments		The RSSAC recognizes the importance of developing the projects, engagement, management, and output of the RSSAC Caucus and regularly seeks input from it about potential work items. This guides the decision-making and prioritization of the RSSAC. Currently, the RSSAC Caucus Membership Committee <sup>12</sup> is evaluating the engagement and contributions of each RSSAC Caucus member. The RSSAC also reviews its operational procedures <sup>13</sup> on annual basis, making adjustments as necessary to improve its function as an advisory committee and its relationship with the RSSAC Caucus.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		RSSAC
Anticipated resource requirements (FTEs, tools)		Drafting support
Expected budget implications		Minimal
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		High priority, moderate implementation effort
How long after the Board decision can this be implemented?		6 months-1 year

<sup>12</sup> <https://www.icann.org/groups/rssac-caucus>

<sup>13</sup> <https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf>

High-level summary of proposed implementation steps

1. The RSSAC, RSSAC Caucus, and RSSAC Caucus Membership Committee discuss how to better define, initiate, track, complete, and track work items and how to better recruit, onboard, engage, and offboard its members.
2. RSSAC operational procedures are modified/updated accordingly.

# ANNEX 1: Background

An independent review of ICANN's Root Server System Advisory Committee (RSSAC) is mandated by ICANN's Bylaws, [Section 4.4](#), and is part of ICANN's commitment to its own evolution and improvement, accountability and transparency.

## Timeline

In September 2017, the ICANN Board appointed Interisle Consulting Group, LLC (Interisle) to perform the second review of the RSSAC. Interisle issued its assessment report for community input on 27 February 2018. The goal of the assessment report is to achieve a maximum agreement between the wider ICANN community and the independent examiner as to which areas of the RSSAC work well and which may benefit from improvements. No recommendations are included in the assessment report.

On 1 May 2018, Interisle published its [draft final report](#) for [public comment](#) for a period of 40 days. [Eight comments](#) were submitted to the public comment forum. Interisle published its [final report](#) on 10 July 2018. The [final report](#) includes an assessment of the RSSAC and six primary recommendations for improving its operations. Based on the [final report](#), this Feasibility Assessment and Initial Implementation Plan has been prepared by the RWP and will be presented to the Organizational Effectiveness Committee of the ICANN Board (OEC) to inform its recommendation to the Board on next steps.

## Scope of Review

In addition to assessing the effectiveness of the improvements resulting from the previous RSSAC Review conducted in 2009 - 2010, the [scope](#) of this RSSAC review was to:

1. Assess whether the RSSAC has a continuing purpose within the ICANN structure;
2. Assess how effectively RSSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness, in accordance with the ICANN-provided objective and quantifiable criteria;
3. Assess the extent to which RSSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups to make effective selections.

## Role of the RWP

The RSSAC2 Review Work Party (RWP), acting as a steering committee, serves as the primary group working on the RSSAC2 review. RWP membership information can be found [here](#). The roles and responsibilities of the RWP include:

- Share input into review scope and IE selection criteria
- Provide community outreach support
- Share input into data collection – online survey and interviews
- Provide clarification and factual corrections throughout the review

Once the independent examiner's final report is submitted, the RWP is responsible for:

- Establishing the RWP's level of agreement with the final report
- Assessing feasibility of recommendations
- Providing proposed alternatives if there is a disagreement with the feasibility of the IE's recommendations
- Providing detailed rationale for each rejected assessment or recommendations
- Based on the above work, compiling a Feasibility Assessment and Initial Implementation Plan (FAIIP)
- Presenting FAIIP to the OEC



**Independent Review of the  
ICANN Root Server System Advisory  
Committee (RSSAC)**

**Final Report**

**Prepared by  
Lyman Chapin, Jim Reid, and Colin Strutt  
Interisle Consulting Group, LLC**

**2 July 2018**





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## ICANN Root Server System Advisory Committee Organizational Review

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## Executive Summary

### Independent Organizational Review

This report presents the findings and recommendations of an independent organizational review of the ICANN Root Server System Advisory Committee (RSSAC), which was undertaken in accordance with the ICANN Bylaws<sup>1</sup> in order to determine

- (i) whether [the RSSAC] has a continuing purpose in the ICANN structure;
- (ii) if so, whether any change in structure or operations is desirable to improve its effectiveness; and
- (iii) whether [the RSSAC] is accountable to its constituencies, stakeholder groups, organizations, and other stakeholders.

In fulfilling this mandate, the Independent Examiner has made every effort to focus its recommendations on what the RSSAC should reconsider or do differently within its remit or how the RSSAC might alter its charter or operating procedures to meet new expectations from the ICANN community.<sup>2</sup>

### The Root Server System Advisory Committee

The RSSAC is an ICANN Advisory Committee, created “to advise the ICANN community and Board on matters relating to the operation, administration, security, and integrity of the Internet’s Root Server System (RSS)”.<sup>3</sup> Its voting members are defined by its operational procedures<sup>4</sup> to be representatives of the Root Server Operators (RSOs)—the independent organizations that maintain and operate the worldwide server infrastructure that resolves names at the root of the Domain Name

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<sup>1</sup> ICANN Bylaws, Article 4, Section 4.4

(<https://www.icann.org/resources/pages/governance/bylaws-en/#article4.4>)

<sup>2</sup> RSSAC032, “Feedback on the Independent Review of the Root Server System Advisory Committee (RSSAC) Assessment Report for Public Consultation,” 28 March 2018

(<https://www.icann.org/en/system/files/files/rssac-032-28mar18-en.pdf>)

<sup>3</sup> ICANN Bylaws, Article 12, Section 12.2(c)

(<https://www.icann.org/resources/pages/governance/bylaws-en#article12>)

<sup>4</sup> <https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf>

System (DNS). It is important to recognize, however, that the RSSAC is not an “association” of the RSOs.<sup>5</sup>

## Assessment and Recommendations

The results of our review of the RSSAC are presented in two parts:

- (i) our **findings** concerning the context, role and purpose, structure, operation, and outcomes of the RSSAC, which represent the raw data collected from all sources subjected to a formal qualitative analysis, were initially published in the *Assessment Report for Public Consultation*,<sup>6</sup> and are presented in Part II of this report; and
- (ii) our **recommendations** for changes to the structure or operation of the RSSAC, which follow from the findings augmented by public consultation, were initially published in the *Draft Final Report for Public Comment*,<sup>7</sup> and are presented in Part III of this report.

It is important to emphasize that our methodology for this review does not require perfect representation across the ICANN community from either those interviewed or those surveyed. We have not, for example, drawn conclusions based simply on the frequency with which we heard a particular opinion during our interviews or through the survey instrument. Similarly, our use of direct quotations is intended to illustrate findings that are based on multiple sources, not to give undue weight or significance to the opinion of one individual.

## Principal Findings

The principal findings of our review represent a high-level summary of our assessment focused on the three areas of **purpose**, **effectiveness**, and **accountability** identified in the Bylaws mandate for organizational reviews. All of the findings presented in this report are supported by the evidence compiled from extensive personal interviews, a public on-line survey, and the documentary record.

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<sup>5</sup> See RSSAC033, “RSSAC Statement on the Distinction Between RSSAC and Root-Ops” (<https://www.icann.org/en/system/files/files/rssac-033-24apr18-en.pdf>), for a detailed explanation of this distinction.

<sup>6</sup> <https://www.icann.org/en/system/files/files/rssac-review-assessment-report-22feb18-en.pdf>

<sup>7</sup> <https://www.icann.org/en/system/files/files/independent-review-rssac-report-draft-final-26apr18-en.pdf>

- 1** The ongoing RSSAC reformation that began in 2013—revised RSSAC charter, new operating procedures, and creation of the RSSAC Caucus—has substantially improved the structure and operation of the RSSAC.

Implementing changes recommended by the prior review has significantly improved the effectiveness of the RSSAC. The addition of staff support and travel funding has increased RSSAC and Caucus work quality and meeting participation.

- 2** The RSSAC has become more open, transparent, and accessible since the last review, but this has not been widely recognized by outside observers.

The RSSAC's focus on technical root server issues and deliberate non-participation in other ICANN activities have concentrated its impact on a small technical audience of DNS experts. It is still widely perceived to be closed and secretive, and less transparent than other ICANN ACs and SOs.

- 3** As the only visible interface between ICANN and the RSOs, the RSSAC is expected to deal with every root service issue that arises within ICANN, whether or not the issue is properly within its scope.

The RSSAC's scope is limited to providing information and advice about the root server system, but because it is the only visible point of contact between ICANN and the RSOs many in the ICANN community imagine that its role is (or should be) much broader. The RSSAC is expected to deal with every root service issue that arises within ICANN, whether or not the issue is properly within its scope, simply because it appears to be the only available interface between ICANN and the root server operators.

- 4** The RSSAC's ability to serve as a shared space for RSO-ICANN communication and cooperation is complicated by a persistent legacy of distrust of ICANN by some of its members.

The RSSAC is paradoxically both a statutory part of ICANN and a group with some members who persistently distrust ICANN, pushing back forcefully on its real or perceived infringement on their exclusive responsibility for all matters concerning root system operations. The tension between the RSSAC and some of its member organizations has the potential to interfere with the clarity and authority of RSSAC advice.

- 5** The current RSSAC membership model excludes non-RSO participants and their different skills and perspectives.

The RSSAC membership model excludes both serving-side root service participants (*e.g.*, non-RSO anycast instance providers and public DNS resolvers) and provisioning-side interested parties (*e.g.*, TLD registries and the ccNSO). It also denies the RSSAC the benefit of skills and perspectives beyond those that can be provided by the root server operators.

- 6** The RSSAC's continuing purpose in the ICANN structure may include serving as the focal point for issues of mutual concern to ICANN and the RSOs, such as future operational and funding scenarios for serving the root.

The RSSAC is developing advice and recommendations concerning the future evolution of the root server system and how it might be supported, but this work is being conducted entirely by RSO representatives who will be directly affected by it. Many people outside of the RSSAC either don't know that it's working on root service evolution and other strategic policy issues or believe that its focus is misdirected.

- 7** Because RSSAC members do not agree on who its stakeholders should be, it is not clear for what and to whom it should be accountable.

Although its charter does not explicitly identify its stakeholders, its statement of RSSAC's role implies that they are the ICANN Board and community. Its members, however, do not agree on what this means in practice. The RSSAC has occasionally found it difficult to reach agreement on issues such as service level agreements and reporting for the root server system in the absence of a consensus accountability framework for itself and its members. A major stumbling block has been disagreement about ICANN's role in such a framework.

- 8** The relative roles and responsibilities of the RSSAC, the RSSAC Caucus, the RZERC, and the SSAC are unclear to both members and non-members.

In many cases even members of one of these groups could not distinguish its responsibilities from those of the others.

## Principal Recommendations

The principal recommendations of our review focus on the three dimensions of **purpose, effectiveness, and accountability** described in the Bylaws mandate for organizational reviews. They follow directly from our findings.

- 1** Modify the RSSAC membership criteria to allow the RSSAC to recruit a variety of skills, perspectives, and interests that include but are not limited to those available from the root server operator organizations.

The statutory “RSO representatives only” membership criterion handicaps the RSSAC in at least the following ways:

- it encourages the (erroneous but widespread) perception that the RSSAC is an “association” of RSOs;
- it excludes viewpoints and expertise that might contribute to the fulfillment of the RSSAC’s mission but are not readily available from the RSO organizations;
- it excludes stakeholders with direct involvement in serving the root, including non-RSO anycast instance providers and public DNS resolvers;
- it excludes stakeholders with provisioning-side interest in the way in which the root is served, including TLD registries and the ccNSO; and
- it obliges every RSO to participate regardless of its willingness or ability to do so.

As long as its membership is defined to be representatives and alternates from the RSOs the RSSAC will be perceived by many to be an advisory committee of the root server operators, not the root server system, and its advice will be interpreted—erroneously—as advice from the RSOs.

- 2** Resolve the apparent mismatch between the charter and operational procedures of the RSSAC and the requirements and expectations of the ICANN Board and Community for interaction with the root server system.<sup>8</sup>

The RSSAC is the only group within ICANN that connects it to the system of root servers that implements the “serving” side of the DNS root registry.<sup>9</sup> As such, it is the

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<sup>8</sup> We note that the publication of RSSAC037, “A Proposed Governance Model for the DNS Root Server System” (<https://www.icann.org/resources/files/1216341-2018-06-15-en>), is a clear and welcome first step in the direction suggested by this Recommendation.

default target for every root service issue that arises within ICANN—whether or not the issue is properly within its scope—simply because it appears to be the only available interface between ICANN and the root server operators.

To the extent that ICANN either is or is widely held to be responsible for the reliable and secure operation of the root, it requires a relationship with the serving side of the root registry that extends beyond the “exchange of information” limits of the RSSAC charter. The nature of that relationship is primarily an RSO/Board issue, not an RSSAC issue, and therefore out of scope for the present review. But the apparent mismatch between what ICANN needs from an interface to the root server system and what the RSSAC is currently chartered to provide suggests that either the RSSAC scope should be expanded or the attention and expectations of the Board and Community should be explicitly redirected away from the RSSAC to some other group.

**3** Formalize the responsibilities of the RSSAC to the ICANN Board and Community in a work plan that is periodically reviewed and published, and hold the RSSAC accountable for work plan deliverables.

Because the root server system is poorly understood by most outsiders, the Board and Community generally do not know what advice to expect or solicit from the RSSAC. The exercise of constructing and periodically revisiting a formal work plan would align the understanding and expectations of both the Board and the RSSAC, and enable the Board to hold the RSSAC accountable for specific deliverables rather than general undefined advice. It would also help to dispel the erroneous impression that the RSSAC is an “association” of the RSOs, in which the distinction between RSSAC accountability and RSO accountability is too often lost.

**4** Develop and implement a leadership training and succession plan.

The membership criteria for the RSSAC do not actively select for leadership skills, but as the evolution of the RSSAC since its reformation in 2014 demonstrates, leadership matters. We found that the leadership changes that followed the 2013-14 RSSAC restructuring substantially improved the management and operation of the committee. To secure these improvements, the RSSAC should deliberately plan for succession in its leadership roles.

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<sup>9</sup> See Figure 2 in Section II.2.1.3 of this report.



**5 Engage more actively with the rest of ICANN and its Community.**

The RSSAC could fulfill its charter mandate to “[c]ommunicate on matters relating to the operation of the Root Servers and their multiple instances with the Internet technical community and the ICANN community”<sup>10</sup> more effectively if it engaged more visibly with other ICANN Advisory Committees, Supporting Organizations, review teams, and task forces. Doing so would also help to dispel the community perception that the RSSAC is a closed and secretive group, which we found to be persistent despite the RSSAC’s objectively considerable progress toward greater openness and transparency.

**6 Clarify the role and responsibility of the RSSAC with respect to other groups with adjacent or overlapping remits, including the SSAC, the RZERC, and the RSSAC Caucus.**

Although their charter and operating procedure documents attempt to define the roles and responsibilities of these groups clearly, our research found both *de facto* and *de jure* confusion and ambiguity that affect the RSSAC’s ability to effectively fulfill its role. Only the RSSAC and RSSAC Caucus charters and operating procedures are within the scope of the RSSAC, but clarity in these documents with respect to roles and responsibilities would be easier to achieve in collaboration with the SSAC and the RZERC.

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<sup>10</sup> ICANN Bylaws Article 12 Section 12.2(c)(i)(A)  
(<https://www.icann.org/resources/pages/governance/bylaws-en#article12>).

## Part I Introduction

### I.1 The Root Server System Advisory Committee

According to Section 12.2(c)(i) of the ICANN bylaws,<sup>11</sup> the role of the Root Server System Advisory Committee (RSSAC) “is to advise the ICANN community and Board on matters relating to the operation, administration, security, and integrity of the Internet’s Root Server System”.

The RSSAC’s voting members are representatives and alternates nominated by the Root Server Operators (RSOs). The IANA Functions Operator (IFO) and the Root Zone Maintainer (RZM) each appoints one non-voting member. Non-voting inward liaisons are provided by the Internet Architecture Board (IAB) and the ICANN Security and Stability Advisory Committee (SSAC).

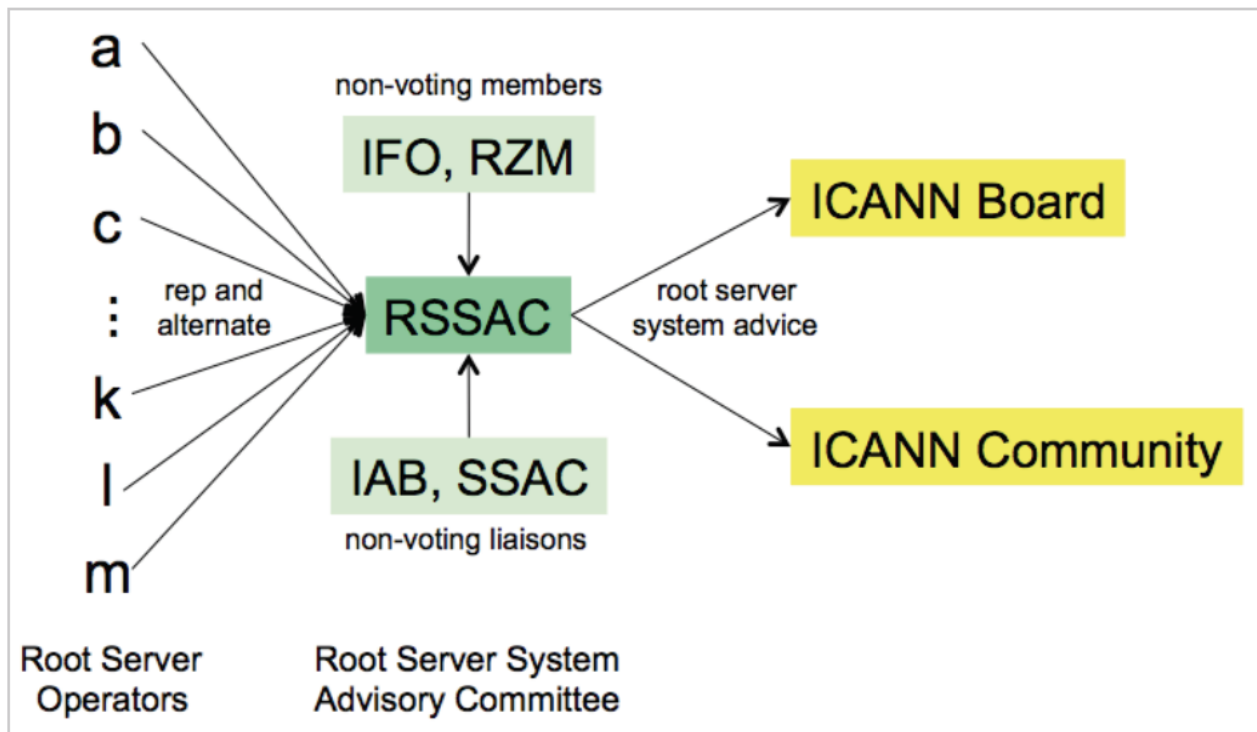


Figure 1 – The Root Server System Advisory Committee

<sup>11</sup> <https://www.icann.org/resources/pages/governance/bylaws-en/#article12>

## I.2 The RSSAC Review

### I.2.1 Objectives

Section 4.4 of ICANN's bylaws<sup>12</sup> establishes the basic objectives of the periodic review of its organizational structures:

*The Board shall cause a periodic review of the performance and operation of each Supporting Organization, each Supporting Organization Council, each Advisory Committee (other than the Governmental Advisory Committee), and the Nominating Committee (as defined in Section 8.1) by an entity or entities independent of the organization under review. The goal of the review, to be undertaken pursuant to such criteria and standards as the Board shall direct, shall be to determine (i) whether that organization, council or committee has a continuing purpose in the ICANN structure, (ii) if so, whether any change in structure or operations is desirable to improve its effectiveness and (iii) whether that organization, council or committee is accountable to its constituencies, stakeholder groups, organizations and other stakeholders.*

The objectives of this review of the RSSAC are specified in the scope of work:<sup>13</sup>

1. **An assessment of the implementation state of RSSAC's prior review.** This includes a status report of the implementations approved by the ICANN Board from the first RSSAC Review, and an assessment of the effectiveness of these implementations.
2. **An assessment of whether RSSAC has a continuing purpose within the ICANN structure.** Examination of RSSAC's chartered purpose, to advise the ICANN community and Board on matters relating to the operation, administration, security, and integrity of the Internet's Root Server System, and how well it is fulfilled, will help assess the RSSAC's continuing purpose within the ICANN structure.
3. **An assessment of how effectively RSSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness,** in accordance with the ICANN-provided objective and quantifiable criteria. The assessment of RSSAC structure and operations may include an assessment of RSSAC's makeup, its current level of participation in, but not limited to, ICANN's specific review team, and cross-community efforts, the RSSAC's representation and effectiveness within ICANN, the effectiveness of its

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<sup>12</sup> <https://www.icann.org/resources/pages/governance/bylaws-en/#article4>

<sup>13</sup> <https://www.icann.org/en/system/files/files/rfp-rssac-review-05jun17-en.pdf>

communications (both internal and external towards ICANN and other SO/ACs), and the alignment of its charter with ICANN's mission. Other points to examine include RSSAC's decision-making methodology, transparency, processes, procedures, and competencies.

4. **An assessment of the extent to which RSSAC as a whole is accountable to the wider ICANN community**, its organizations, committees, constituencies, and stakeholder groups to make effective selections. Determine if the RSSAC is sufficiently accountable regarding the operation, administration, security, and integrity of the Internet's Root Server System, according to its chartered mandate.

### *1.2.2 Methodology*

The Interisle review team members attended, as observers, various RSSAC workshops, meetings, and conference calls. The in-person venues included the RSSAC Workshop in Maryland (October 2017), all sessions of the RSSAC meeting held during ICANN60 in Abu Dhabi (October 2017), and the RSSAC Caucus meeting at IETF100 in Singapore (November 2017). The team listened in on most of the RSSAC and RSSAC Administrative Committee conference calls from October 2017 through February 2018.

Interisle conducted interviews with 48 people, both face-to-face at IETF and ICANN meetings and remotely between October 2017 and February 2018. Interisle developed an on-line survey to gather inputs from a broader set of people than could be interviewed; the survey ran from late November 2017 to December 2017. The Interisle team reviewed a variety of relevant documents, including the RSSAC charter, internal RSSAC papers and notes, the RSSAC publications, and other pertinent documentation sources.

The information gathered from these sources was subjected to a structured qualitative analysis, during which we identified key themes and perspectives and developed the salient findings that appear in this report.

### *1.2.3 Sources*

The findings of our independent review are derived from five principal sources:

- Individual interviews with 48 people who represent a variety of perspectives on the RSSAC, including RSSAC representatives, alternates, and liaisons; RSSAC Caucus members; members of ICANN Supporting Organizations and Advisory Committees; the ICANN Board; members of the Root Zone Evolution Review Committee (RZERC), the Internet Architecture Board (IAB) and Internet

Engineering Task Force (IETF), and the DNS Operations, Analysis, and Research Center (DNS-OARC); operators of large DNS resolver systems; ICANN staff; and well-placed observers of the Internet and its governing bodies. Appendix A.1 contains a list of the people we interviewed.

- The responses of 39 people to an on-line survey. Appendix A.2 describes the survey and its results.
- Publicly available documentary materials, including published papers and articles, blog entries, email exchanges, formal and informal presentations, and other reports that discuss the RSSAC and related activities.
- The RSSAC self-assessment<sup>14</sup> conducted in July and August 2017 as part of the organizational review process.
- Our own extensive knowledge of ICANN, the RSSAC, and the DNS root server system.

During a multi-stage review of documents, interview transcripts, and other source materials, we identified and evaluated a very large number of individual arguments, statements, and assertions, and distilled those into a set of observations that represent the findings of our review. These observations are based on data extracted from multiple sources, but in some cases a direct quotation<sup>15</sup> from a particular document, interview, or survey response provides an important illustration of an observation. When we include a quotation from a primary source in this report, we either set it off typographically as a separate paragraph:

*This is a direct quotation from a primary source.*

...or we include it in-line using “quotation marks and italics”.

Quotations are intended to illustrate and highlight views that we heard from or found in multiple sources. They are not Findings, but provide insights into “what is being said about the RSSAC and what it does” that may be valuable as the RSSAC processes the results of this organizational review.

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<sup>14</sup> Published on 8 June 2018 as Appendix A of RSSAC036, “RSSAC Statement on the Draft Final Report of the Second Organizational Review of the RSSAC”

(<https://www.icann.org/resources/files/1216317-2018-06-14-en>).

<sup>15</sup> In some cases—particularly those involving data from personal interviews—we have edited or paraphrased the direct quotation in order to ensure that the source is not identifiable.

## Part II Findings

Findings are statements that express our reasoned interpretation of the information we collected. They are numbered sequentially and set off typographically as follows:

**n** Findings are derived from data subjected to collective qualitative analysis and evaluation. As the informative Assessment component of our independent review, they precede and inform our subsequent Recommendations.

This is the second review of the RSSAC, and as such builds on the outcome—findings, recommendations, and implementation—of the previous review. Our objective in this review, however, is not to deliver a simple report card, but to convey to both the RSSAC itself and the wider community a valuable compilation of information that might not be available except from an independent outside source.

Findings are the result of research and qualitative analysis; they are the background for and input to the recommendations that are presented in Part III, but are not themselves definitive or conclusive.

### II.1 Implementation State of Prior Review

The first item in the scope of work for the current review is:

1. An assessment of the implementation state of RSSAC's prior review. This includes a status report of the implementations approved by the ICANN Board from the first RSSAC Review, and an assessment of the effectiveness of these implementations.

#### II.1.1 Timeline

The first organizational review of the RSSAC was conducted in 2008 and 2009 by the Independent Examiner (IE) Westlake Consulting. The IE's final report of that review<sup>16</sup> was published on 9 March 2009. The RSSAC Review Working Group (RWG) considered public comments on the IE's report, and submitted its final report<sup>17</sup> to the ICANN Board

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<sup>16</sup> <https://www.icann.org/en/system/files/files/rssac-review-final-mar09-en.pdf>

<sup>17</sup> <https://www.icann.org/en/system/files/files/rssac-review-final-report-08jun10-en.pdf>

on 8 June 2010. On 25 January 2011 the Board approved<sup>18</sup> a set of “implementation steps”<sup>19</sup> based on that report, and in July and August 2012 a working group of the RSSAC and members of the Board’s Structural Improvements Committee (SIC) was formed to draft a revised RSSAC charter. On 11 April 2013 the Board adopted<sup>20</sup> an amendment to ICANN’s bylaws modifying the RSSAC charter<sup>21</sup> to reflect the results of the organizational review.

### *II.1.2 Recommendations*

The 2010 RWG report assessed the 8 recommendations from the IE and proposed implementation actions (and actors) for each of them. These are the “implementations approved by the ICANN Board from the first RSSAC Review”, and as such are the focus of our current assessment of the implementation state of that prior review.

The RWG noted that the first 3 recommendations concerned structural changes to the RSSAC that could not be implemented without the consent of the Root Server Operators (RSOs):

- Recommendation 1: That the RSSAC be relaunched as a strategy group, run jointly by ICANN and the Root Server Operators.
- Recommendation 2: That the substance of RSSAC’s ‘Terms of Reference’ as laid out in the Bylaws should be amended to set out the RSSAC’s new purpose [recitation omitted; see Bylaws].
- Recommendation 3: That the RSSAC should initially be reconstituted with a membership of 9, as follows: 4 Root Server Operators, appointed by the operators; 1 appointed by IANA; and 4 appointed by the Board/Nominating Committee of ICANN.

The RWG proposed a dialogue between ICANN and the RSOs “to consider the structural changes suggested”.

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<sup>18</sup> [https://www.icann.org/resources/board-material/resolutions-2011-01-25-en?routing\\_type=path#1.j](https://www.icann.org/resources/board-material/resolutions-2011-01-25-en?routing_type=path#1.j)

<sup>19</sup> <https://www.icann.org/en/system/files/files/rssac-review-implementation-steps-01dec10-en.pdf>

<sup>20</sup> <https://www.icann.org/resources/board-material/resolutions-2013-04-11-en#1.b>

<sup>21</sup> <https://www.icann.org/resources/pages/governance/bylaws-en#XI-2>

The revised charter and new operating procedures that resulted from the proposed dialogue specified a restructuring of the RSSAC that differed from the specifics of Recommendations 1–3 but substantially followed their intent. The notable exception was the omission of Board/Nominating Committee appointments to the RSSAC. We concluded that the RWG had compelling and well-defended reasons to deviate from these IE recommendations.

The RWG proposed that the RSSAC itself consider Recommendations 4–6, concerning its Chair, liaisons, and meetings, in conjunction with its work on Recommendations 1–3:

- Recommendation 4: That the RSSAC should appoint its Chair from among its members, and that the term of appointment be two years with a limit of three consecutive two-year terms.
- Recommendation 5: That the following non-voting liaison positions be established: outward liaison from the RSSAC to the ICANN Board (as currently exists) and the SSAC; inward liaison to the RSSAC from IETF/IAB and the SSAC.
- Recommendation 6: In relation to the RSSAC’s meetings: that the RSSAC should meet at each ICANN meeting, with provision for it to hold additional meetings in between these; that its sessions be held in public, so that anybody who wishes may attend, but with provision for it to go into closed session for part of a meeting if a majority of the RSSAC members at the meeting believe it appropriate; that all Root Server Operators and members of the ICANN Board be invited to attend meetings and have speaking rights (at the discretion of the Chair who will be responsible for managing the agenda); that other attendees at RSSAC meetings may be granted speaking rights at the discretion of the Chair; and that, in the event that RSSAC went into closed session, subject to the Chair’s discretion in case of exceptional circumstances, the Root Server Operators, any members of the ICANN Board, formally-appointed Liaisons, and technical staff would be invited to join the closed session.

The revised charter and new operating procedures implement Recommendations 4–6 with only minor differences in detail.

The RWG agreed with the IE on their recommendation for additional staff support:

- Recommendation 7: That ICANN nominate two members of staff to support the RSSAC: a Technical Fellow (to do the research and drafting for reports on behalf of the RSSAC, this role to be separate from L-root operations), and Administrative Support (to provide the administrative role necessary for the effective operation of a group of part-time volunteer members).



Staff support has been effectively integrated into the operation of the RSSAC in response to Recommendation 7. Before the first review the RSSAC had consistently declined offers of support as potentially compromising to the independence of the RSOs; that concern appears to have subsided, and our research found widespread appreciation of the level and quality of staff support. The intent of the Technical Fellow recommendation has been implemented through the RSSAC Caucus.

In their comments on Recommendation 7 the RWG made an additional recommendation for further analysis of the ICANN–RSO relationship:

*From a broader perspective, the WG considers that the very coordination of the relation between ICANN and the Root Server Operators deserves further analysis. In general, one remarks that Root Server Operators are committed to serving the data provided to them by IANA, but otherwise they consider themselves to be independent from, and only partially related to ICANN. ICANN currently has two structural relationships with RSSAC: one via IANA, and another one via the ‘L’ Root Server operation. Due to their specific focus and fields of activity, none of these operational relations however represents ICANN as a whole, to the Root Server Operators. The RSSAC review WG recommends that ICANN identify a member of the senior management team with the duty to represent the whole Organization in communications with the RSSAC, particularly with regard to the operational implementation of ICANN policies in the areas of new TLDs (new gTLDs, ccTLDs, and IDN TLDs), and the continued roll-out of DNSSEC and IPv6. This senior contact would then coordinate ICANN interaction with RSSAC, either by direct involvement or through others, including but not necessarily limited to the ‘L’ Root Operator and the IANA staff.<sup>22</sup>*

ICANN’s relationship with the RSOs is still almost entirely limited to the involvement of L-root operator and IANA (PTI) staff, with little or none of the senior management coordination envisioned in the RWG’s addendum to Recommendation 7 beyond that provided by the Office of the CTO on technical issues such as the DNSSEC rollout.

The RWG agreed with the IE on their recommendation that ICANN provide travel support for RSSAC members:

- Recommendation 8: That ICANN fund travel and accommodation for RSSAC members to and from ICANN meetings and other relevant technical meetings.

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<sup>22</sup> <https://www.icann.org/en/system/files/files/rssac-review-implementation-steps-01dec10-en.pdf>

The RSSAC has accepted travel funding<sup>23</sup> for its periodic workshops and its meetings at ICANN meetings, overcoming the same concern about compromising RSO independence that delayed acceptance of staff support. Our research found that the availability of travel funding has substantially improved RSSAC member participation in meetings and workshops.

Considering all of the RWG recommendations discussed in this section, we conclude that:

- 1 The ongoing RSSAC reformation that began in 2013—revised RSSAC charter, new operating procedures, and creation of the RSSAC Caucus—effectively implements the recommendations of the prior review.

### II.1.3 Outcomes

The prior review recommendations catalyzed substantial reform of the RSSAC in 2013 and 2014. The revised RSSAC charter developed by the 2012 joint working group of RSSAC and SIC members and adopted by the Board in 2013, the creation of the RSSAC Caucus, and the new RSSAC Operational Procedures adopted in 2014 and revised twice since then are the tangible signs of that reformation.

Our research revealed a widespread perception that the RSSAC was organizationally dysfunctional from its creation in 1998 until the reformation prompted by the first review, but that it has improved enormously since then—to the extent that it is reasonable to refer to “pre-reform” and “post-reform” versions of the RSSAC. We recorded almost entirely negative comments about the pre-reform RSSAC, but almost always in the context of positive comments about the effect of the prior review in creating a “better” post-reform committee:

*Before the first review RSSAC had no formal procedures for decision making, no formal processes for developing advice to the Board or the ICANN community. After the review the changes brought better focus and attention to structure.*

*RSSAC seemed to have no purpose and lacked accountability and transparency; stagnant and resistant to change. It now has a sense of purpose and direction, with better focus after the reform.*

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<sup>23</sup> We note that some RSSAC member organizations are structurally unable to accept travel (or other) funding from outside sources.

*The improvements that were made after the previous review have resulted in a **much** more functional group in terms of process—real operational procedures now exist—much wider avenues for input (e.g., the RSSAC Caucus), a good set of published documents, and ongoing useful work seems now to be the norm rather than the exception.*

*RSSAC wouldn't have evolved without that 2010 review—it didn't go as far as it could have, but it pushed things in the right direction.*

*Before the review RSSAC was just the poor cousin of the rootops; they met at IETF meetings and mostly ignored ICANN. Now it has completely re-engaged within ICANN to fulfill its mission of advising the ICANN Board and community.*

The most widely recognized and cited positive effects of the reformation that followed the prior review can be summarized in the following findings:

**2** The operational procedures adopted in 2014 (and revised twice since) have substantially improved the structure and operation of the RSSAC.

**3** The addition of staff support and travel funding has increased RSSAC and Caucus work quality and meeting participation.

**4** The RSSAC has become more open, transparent, and accessible since the last review.

## **II.2 Findings of the Current Review**

The current review began in October 2017. This section organizes the findings of the review into high-level categories, but in many cases a finding presented in one category will resonate with findings in one or more other categories.

### **II.2.1 Context**

#### **II.2.1.1 Origin**

The RSSAC was established in 1998—shortly after the formation of ICANN itself—to satisfy ICANN's obligations under sections II.B(b), V.C.4, and V.C.5 of its Joint Project Agreement (JPA)<sup>24</sup> with the United States Government's Department of Commerce. As

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<sup>24</sup> <https://www.icann.org/resources/unthemed-pages/icann-mou-1998-11-25-en>

codified in section VII.3(b) of ICANN's original 6 November 1998 bylaws,<sup>25</sup> the role and scope of the RSSAC were much more limited than the language of the JPA would have suggested:

*(b) There shall be a DNS Root Server System Advisory Committee. The initial chairman of the DNS Root Server System Advisory Committee shall be appointed by the Board; subsequent chairs shall be elected by the members of the DNS Root Server System Advisory Committee pursuant to procedures adopted by the members. The responsibility of the Root Server System Advisory Committee shall be to advise the Board about the operation of the root name servers of the domain name system. The Root Server System Advisory Committee should consider and provide advice on the operational requirements of root name servers, including host hardware capacities, operating systems and name server software versions, network connectivity and physical environment. The Root Server System Advisory Committee should examine and advise on the security aspects of the root name server system. Further, the Root Server System Advisory Committee should review the number, location, and distribution of root name servers considering the total system performance, robustness, and reliability.*

In particular, the neonatal RSSAC had no role in the actual operation of the root server system; it was chartered to “consider”, “examine”, and “review” in order to “advise”. Operational matters were to remain the responsibility of the root server operators, most of whom had been providing root name resolution service for many years before ICANN was formed.<sup>26</sup>

### **II.2.1.2 The RSSAC and the RSOs**

The distinction between the RSSAC and the RSOs is clear in principle: the RSSAC is an advisory committee created by ICANN; the RSOs are independent operators of root servers designated by the Internet Assigned Numbers Authority (IANA)<sup>27</sup> prior to the creation of ICANN. RSSAC members are representatives of the RSO organizations, but the RSSAC is not an “association” of RSOs. The RSOs began meeting as the “root ops” group to discuss operational issues of mutual interest at IETF43 in December 1998 and have continued to do so ever since.

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<sup>25</sup> <https://www.icann.org/resources/unthemed-pages/bylaws-1998-11-06-en#VII>

<sup>26</sup> See RSSAC023, “History of the Root Server System” (<https://www.icann.org/en/system/files/files/rssac-023-04nov16-en.pdf>) for a detailed account.

<sup>27</sup> Until his death on 16 October 1998, Jon Postel filled the role of IANA, in which he personally designated operators for all of the root letters except J and L.

The RSSAC’s scope is limited to providing information and advice about the root server system, but because it is the only visible point of contact between ICANN and the RSOs many in the ICANN community imagine that its role is (or should be) much broader. Some people expect the RSSAC to deal with every root service issue that arises within ICANN, whether or not the issue is properly within its scope, simply because it appears to be the only available interface between ICANN and the root server operators.

**5** As the only visible interface between ICANN and the RSOs, the RSSAC is expected to deal with every root service issue that arises within ICANN, whether or not the issue is properly within its scope.

### II.2.1.3 RSO diversity

RSO diversity<sup>28</sup> is not an accidental artifact of Internet history—it is a fundamental design feature, deliberately encouraged and maintained as the linchpin of a robust and resilient root server system. Our research indicates broad acceptance of the importance of RSO diversity coupled with the realization that this sometimes makes it difficult or time-consuming for the RSSAC to reach consensus.

### II.2.1.4 RSO independence

As recently as October 2017<sup>29</sup> the RSSAC reiterated its commitment to RSO autonomy, bounded only by established service expectations.<sup>30</sup> In addition to the straightforward rationale that independence facilitates an unencumbered focus on the core RSO mission of serving a faithful copy of the root, we found that at least some RSOs harbor a long-standing suspicion of ICANN (and the RSSAC) as a central point of control and capture:

*Root ops are concerned that ICANN does not have the best interests of everyone at heart. Having root servers independent is critical—ICANN is corrupt and can’t be trusted.*

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<sup>28</sup> “Diversity” in this report refers to variation in the way in which different organizations operating in different jurisdictions provide root service in different ways; it is not the diversity of age, nationality, gender, etc. that concerns ICANN in other contexts.

<sup>29</sup> See RSSAC029, “Report from the RSSAC October 2017 Workshop” (<https://www.icann.org/en/system/files/files/rssac-029-28oct17-en.pdf>).

<sup>30</sup> See RFC7720, “DNS Root Name Service Protocol and Deployment Requirements” (<https://tools.ietf.org/html/rfc7720>).

*RSSAC is an artifact of ICANN's creation, to influence/control the root server operators. RSOs didn't welcome that approach. ICANN offered contracts but all of the RSOs declined. Started with an adversarial relationship and hasn't gotten better.*

Our research suggests that the core of the original root server belief system—that RSOs operate under a personal mandate from Jon Postel to faithfully serve the IANA root for the good of the Internet—persists with some members to this day:

*Root ops are accountable only to Internet users as a legacy from Jon—they are not accountable to ICANN or to anyone else.*

In this context the RSSAC is paradoxically both a statutory part of ICANN and a group with some members who persistently distrust ICANN.<sup>31</sup> We observed many discussions during which RSSAC members forcefully asserted the root operators' exclusive responsibility for all matters concerning root system operations, pushing back on real or perceived encroachment of the RSSAC (or ICANN) into their territory.

**6** The RSSAC's ability to serve as a shared space for RSO–ICANN communication and cooperation is complicated by a persistent legacy of distrust of ICANN by some of its members.

This tension also makes it difficult for the RSSAC to “speak with one voice” when it provides its advice. From a formal perspective RSSAC advice is unambiguously the consensus advice of the RSSAC as an advisory committee. But because the RSSAC is the only visible point of interaction and coordination between ICANN and the root server operators, it is not always clear what that means:

*There's an almost existential uncertainty about who is speaking when RSSAC gives advice—is it RSSAC speaking or the root ops? Who is the target of a question like “Dear RSSAC: What do you think about X?” Who is expected to answer? With what authority is the answer given?*

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<sup>31</sup> We note that this distrust is institutional, not personal. Without exception the individual participants in the RSSAC who happen to be ICANN employees are trusted and respected.

The authority with which the RSSAC’s technical advice is received and interpreted by the ICANN Board and community is necessarily linked to its source: the RSO representatives who comprise the RSSAC membership. In this context it can be difficult to distinguish “RSSAC advice” from “RSO advice”.

**7** Because all of the voting RSSAC members are RSO representatives, non-members sometimes find it difficult to distinguish “RSSAC advice” from “RSO advice”.

### II.2.1.5 The root server system

As its name suggests, the root server system (RSS) comprises those DNS components that *serve the root*—that is, make the contents of the DNS root zone available to the rest of the Internet by responding to queries from DNS resolvers<sup>32</sup> about top-level domain names (TLDs). In Figure 2, the RSS is on the “serving” side of the midline:

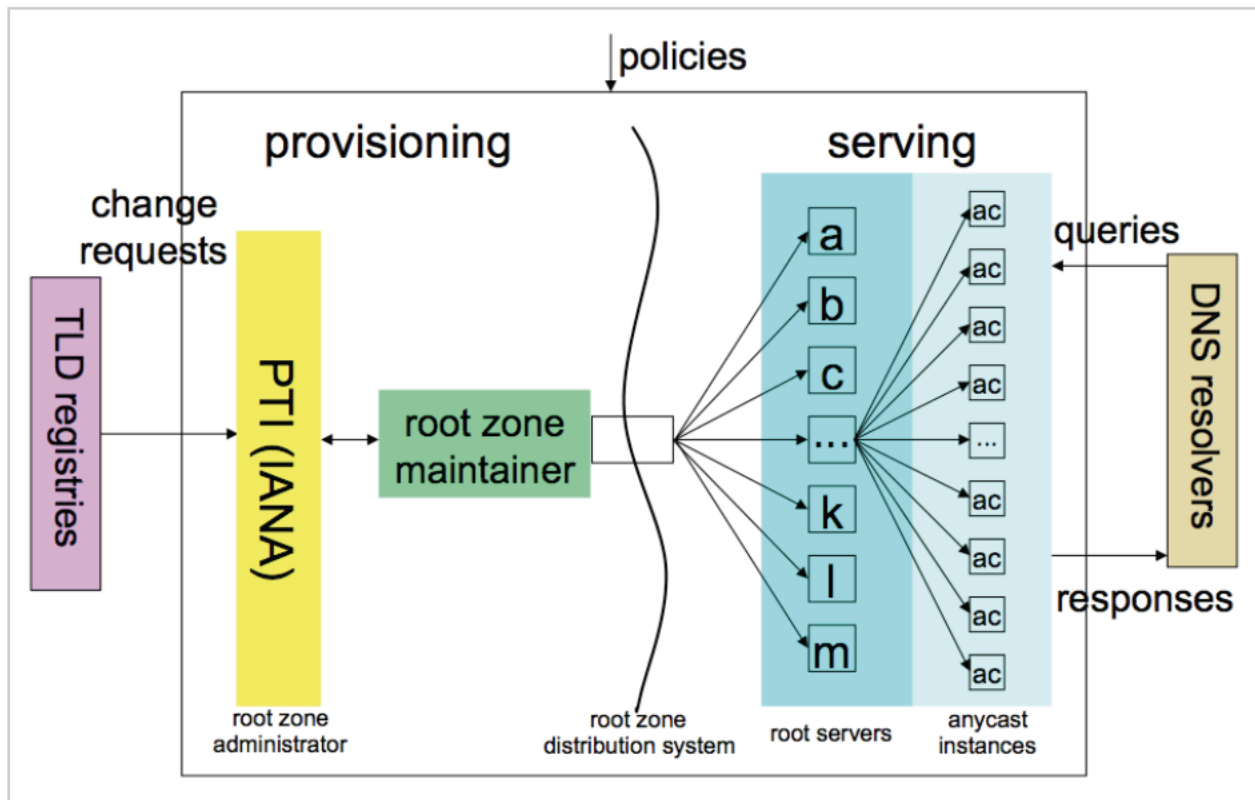


Figure 2 – The Root Zone Management System

<sup>32</sup> See RSSAC026, “RSSAC Lexicon” (<https://www.icann.org/en/system/files/files/rssac-026-14mar17-en.pdf>), for definitions of the terms used here and throughout this report.

When the RSOs began deploying anycast instances in the aftermath of a distributed denial-of-service (DDOS) attack in October 2002, they managed them directly. More recently, some RSOs have contracted with other organizations to deploy and operate anycast instances. These third parties are part of the root server system but do not participate in the RSSAC.

**8** The root server system has expanded to include non-RSO anycast instance providers, which are not represented in the RSSAC.

Traditionally, and by design, the RSOs serve precisely what they find in the root zone distribution system—they don't interfere in what is there or how it got there. This rigid separation of the provisioning and serving sides of the root registry is typical of DNS registries at other levels. What is not typical is the relationship between the two sides: only in the root registry are the provisioning functions fulfilled by organizations that have no control over the way in which the serving side organizations fulfill theirs.

*It's very strange that the manager of the root zone doesn't get to hire the people who serve the zone—he's accountable for service delivery but has no power to ensure it.*

As a joint enterprise of ICANN and the RSOs, the RSSAC could—but currently does not—provide this intermediation. But because the RSS *status quo* today is “nothing's broken” we found little enthusiasm for “fixing it”.

#### **II.2.1.6 IANA transition**

The 2016 transition<sup>33</sup> of formal ICANN oversight from the U.S. Government to the multistakeholder Empowered Community<sup>34</sup> had essentially no effect on the RSS or the RSSAC, which are concerned exclusively with the distribution of the root zone data, not the way in which they are generated.

*NTIA was holding up some changes to IANA so it's better now. At least from the outside nothing has changed.*

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<sup>33</sup> <https://www.icann.org/news/announcement-2016-10-01-en>

<sup>34</sup> The shorthand reference is commonly “IANA transition”, although that term oversimplifies the governance changes that actually took place.



Our research did, however, reveal a high-level concern about oversight:

*No single entity now has complete oversight of the root server system. NTIA<sup>35</sup> had that role (nominally) before the transition; no one has it now. The ICANN Board should not be expected to take on that responsibility.*

The NTIA contribution to the RSSAC was not just oversight. NTIA didn't represent "governments", but they were aware of the issues that concern governments, and that perspective is no longer at the table.

### **II.2.1.7 DNSSEC**

Since 15 July 2010 the RSOs have been serving a signed root<sup>36</sup> using the DNS Security Extensions (DNSSEC) technology defined by the Internet Engineering Task Force (IETF).<sup>37</sup> Because anyone can validate the authenticity of a signed root, anyone—not just the specially-designated root servers—can serve it.<sup>38</sup>

Our research suggests that a side effect of RSO participation in the RSSAC may be reluctance to embrace the consequences of technical change:

*It worries me that RSSAC spends a lot of time and energy justifying and sustaining the centralized mechanism when doing a better job of centralizing is the wrong approach. Really the job should be to decentralize—embrace technical change, even if it puts us out of a job. Becoming part of the ICANN system hasn't helped—no one in the ICANN world thinks about putting themselves out of business.*

*DNS over UDP from 13 distinct IP addresses is not state of the art—the right way is to add functionality to the resolver software to pull the root zone file from anywhere. ICANN is funding resolver developers (e.g., Unbound<sup>39</sup>) to add functionality to pull the root from arbitrary places. Why doesn't this come up at (for example) the latest RSSAC workshop? Because RSSAC is about the root server system and not about other ways to distribute and serve the root zone.*

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<sup>35</sup> The National Telecommunications and Information Agency of the U.S. Government's Department of Commerce.

<sup>36</sup> <http://www.root-dnssec.org>

<sup>37</sup> The basics are specified in RFC 4033 (<https://tools.ietf.org/html/rfc4033>), RFC 4034 (<https://tools.ietf.org/html/rfc4034>), and RFC 4035 (<https://tools.ietf.org/html/rfc4035>).

<sup>38</sup> We recognize that this is an oversimplification, which ignores important root service integrity and stability issues beyond authenticity.

<sup>39</sup> <https://www.unbound.net>

9 The RSSAC is expected to provide advice that anticipates a wide variety of changes to the root zone distribution model beyond the server-centric *status quo*.

## II.2.2 Role

### II.2.2.1 Statutory role

According to Section 12.2(c)(i) of the ICANN bylaws,<sup>40</sup> the RSSAC's role "is to advise the ICANN community and Board on matters relating to the operation, administration, security, and integrity of the Internet's Root Server System". The charter revision following the last review added additional detail to this remit; the current ICANN bylaws call on the RSSAC to:

- Communicate on matters relating to the operation of the Root Servers and their multiple instances with the Internet technical community and the ICANN community. The RSSAC shall gather and articulate requirements to offer to those engaged in technical revision of the protocols and best common practices related to the operation of DNS servers.
- Communicate on matters relating to the administration of the Root Zone with those who have direct responsibility for that administration. These matters include the processes and procedures for the production of the Root Zone File.
- Engage in ongoing threat assessment and risk analysis of the Root Server System and recommend any necessary audit activity to assess the current status of root servers and the root zone.
- Respond to requests for information or opinions from the Board.
- Report periodically to the Board on its activities.
- Make policy recommendations to the ICANN community and Board.

This expanded list of responsibilities may be understood as the formal or "statutory" role of the RSSAC.

Particularly from people outside of the RSSAC we recorded a broad consensus that the RSSAC is fulfilling its role as an advisory body extremely well, and that it is "the least controversial part of ICANN"; "not broken, so doesn't need fixing"; and "abundantly stable". We found that at this level its role is widely understood and appreciated, and

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<sup>40</sup> <https://www.icann.org/resources/pages/governance/bylaws-en/#article12>

that from many different perspectives the RSSAC is considered to be a well-functioning communication channel linking the root server system to the ICANN Board and community.

**10** The RSSAC is widely considered to be a well-functioning information channel linking the root server system to the ICANN Board and community.

### II.2.2.2 Contrarian role

Not everyone accepts the “official” view of the RSSAC as the instantiation of a meaningful relationship between the RSOs and ICANN:

*It's mostly harmless and serves a useful function: a fig leaf on policy-making and compliance with the ICANN bylaws.*

*The RSSAC is unimportant because it doesn't really do anything that matters. That stuff goes on in root ops. RSSAC is a convenient fiction—it allows the root ops to pay lip service to ICANN, and it allows ICANN to say that it has an Advisory Committee (with an audit trail for policy making and consultation) which engages with the root system. If anyone conducts a risk analysis on ICANN, there's a box that can be ticked for root server stuff.*

*RSSAC members bother with RSSAC only because ICANN bylaws require it. It exists, but everyone is happy for it not to do much. The real work is done in root ops. RSOs wouldn't notice or care if RSSAC went away.*

These viewpoints focus on perceived underlying reasons for the formation and perpetuation of the RSSAC: that it was always intended to be a do-nothing public shield for the root ops, keeping the mainstream away from sensitive operational matters. In this formulation whatever the RSSAC does is irrelevant, because the root ops will decide what to do on their own; and therefore RSO participation in the RSSAC is merely an expensive and inconvenient obligation.

**11** Some RSSAC participants and observers view the RSSAC and its statutory role as a facade behind which the real work and decision-making go on elsewhere.

We also found almost precisely the opposite viewpoint among other participants and observers: that the RSSAC, particularly its periodic workshops, provides a valuable opportunity to develop and explore ideas that “could never be done at root ops”.

**12** The RSSAC provides a venue for the RSOs to discuss DNS root issues in the “multistakeholder” context of ICANN in addition to the more history-encumbered context of root ops.

Our research suggests that at least some of the more cynical assessments arise from the disdain of some technical operations people for non-technical issues and expertise—in policy, governance, and strategy—or lack of appreciation for the policy development that has been the principal focus of the RSSAC’s work for at least the past two years. In our findings “lack of appreciation” encompasses both ignorance—many people are simply not aware of what the RSSAC is doing unless and until its advice is published—and a sense that much of what the RSSAC is doing is fundamentally misdirected and therefore a waste of time:

*RSSAC isn’t thinking strategically about the alternative root service models enabled by (for example) DNSSEC, and is too busy with pretend make-work, like the remove/add/replace function. By going through the motions on such things, RSSAC seems to be active and worthwhile; other parts of the ICANN machinery can then relax because RSSAC is thinking important thoughts, albeit about hypothetical processes that may never be formalized or used. Since nothing is expected to come out of this effort, nobody has to think about what to do about these things if and when RSSAC throws a set of consensus documents over the wall. There’s a collective sense of denial and pretense.*

This viewpoint recalls the concerns we reported in section II.2.1.5 about the effect of new technologies such as DNSSEC on the root service model.

**13** Some people outside of the RSSAC either don’t know that it’s working on root service evolution and other strategic policy issues or believe that its focus is misdirected.

### II.2.2.3 Technology and policy

Our research found that RSSAC members tend to think of the RSSAC as a policy body (but not one that should be involved in “politics”), whereas non-members tend to think of it as a technical body. Members were correspondingly more concerned about the mismatch between the RSSAC’s policy role and the mainly technical skill sets contributed to the RSSAC by its RSO members:

*The RSSAC is tasked with looking at policy matters—like the add/remove/replace function—but it doesn’t have policy experts.*

This mismatch is not always recognized within the RSSAC:

*Some RSSAC members have very directed skillsets; some topics require skills that members don't have. I'll often say: "I'm not qualified to do this" —others should do that more.*

**14** The RSSAC's role is technical policy and advice. It has the technical expertise for this, but maybe not the policy skills.

#### II.2.2.4 Root service evolution

The evolution of the DNS root service governance framework is an important current work item for the RSSAC, which began at the workshop in October 2016<sup>41</sup> with the creation of a "50,000-foot apolitical mind map". Most of the seven principal components identified in the map are concerned with the evolution of the root **server** system—how to define accountability and stakeholders, performance monitoring and measurement, and financial support for RSOs. One of them—the "Strategic, Architectural, and Policy Function"—includes a Strategic and Architectural work stream that considers root **service** system evolution from first principles (e.g., "define and articulate architectural principles which made the root service system a resilient service to date and a set of principles that are worth preserving going forward") as well as from the standpoint of root server operation (e.g., "develop audit procedures to test a root server's and a root operator's readiness for various outage and overload scenarios").

**15** The RSSAC is developing advice and recommendations concerning the future evolution of the root server system.

#### II.2.2.5 Strategy and architecture

One of the threads within the mind map's "Strategic, Architectural, and Policy Function" recognizes that future root service scenarios include, but are not limited to, those that are based on the current model of fixed designated root servers. We found that RSSAC discussions of root system evolution tended to alternate between "how should root service be provided?" and "how should RSOs serve the root?" without clear recognition of the difference or explicit context-switching. At a recent meeting the

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<sup>41</sup> See RSSAC025, "RSSAC October 2016 Workshop Report" (<https://www.icann.org/en/system/files/files/rssac-025-04nov16-en.pdf>).

concept paper draft referred to “Root Server Evolution” while the corresponding presentation slides referred to “Root Service Evolution”.

This is not just about consistent use of terminology; it reflects what we found to be a profound conflict in the root evolution discussion being conducted entirely by those who will be directly affected by it. As one participant put it, “*the current RSSAC membership gets to mark its own homework*”.

*RSSAC is focusing on addition/removal/replacement of RSOs when it should be looking at changes to the basic root service model. The root system is evolving, and we need to be part of that evolution, not digging our heels in.*

**16** Because its membership model excludes other participants, the RSSAC discussion of root service evolution is being conducted entirely by RSO representatives who will be directly affected by it.

#### II.2.2.6 RSSAC and SSAC

The RSSAC and the Security and Stability Advisory Committee (SSAC) are frequently sorted together as the “technical groups” within ICANN—and not just because their acronyms are confusingly similar. Both are engaged in activities that appear closed and esoteric to other ICANN participants.

We found that the role and responsibilities of the RSSAC and the SSAC are not clearly distinguishable even among members of the two groups, and that coordination between them has been effective primarily because the chairs and liaison have worked well together as individuals:

*It’s unclear where the divisions of labor lie between RSSAC and SSAC—the overlap/coordination should be more explicit. Maybe merge them?*

For example, the SSAC charter<sup>42</sup> includes the following mandate:

- To communicate on security matters with the Internet technical community and the operators and managers of critical DNS infrastructure services, to include the root name server operator community, the top-level domain registries and registrars, the operators of the reverse delegation trees such as in-addr.arpa and ip6.arpa, and others as events and developments dictate.

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<sup>42</sup> [https://www.icann.org/resources/pages/governance/bylaws-en/#article12.2\(b\)](https://www.icann.org/resources/pages/governance/bylaws-en/#article12.2(b))

This overlaps a similar mandate in the RSSAC charter<sup>43</sup> to “[c]ommunicate on matters relating to the operation of the Root Servers and their multiple instances with the Internet technical community and the ICANN community” and “[e]ngage in ongoing threat assessment and risk analysis of the Root Server System.”

Because the SSAC’s scope includes the security and stability of the root zone (along with the rest of “the Internet’s naming and address allocation systems”<sup>44</sup>), the RSSAC’s role is often misunderstood as a subset of the SSAC’s.

**17** The roles and scopes of the RSSAC and the SSAC partially overlap.

### II.2.2.7 RSSAC and ICANN

When we were able to get past the legacy doubts about ICANN’s legitimacy and RSO autonomy, we found a desire on all sides for the RSSAC to play a constructive role in facilitating a coordinated ICANN/RSO response to root server system challenges:

*We have trouble talking about what “we” can do, when “we” is two independent parts: RSOs and ICANN. And “we” can’t get together to work out what to do. Why can’t RSSAC do that? I’m concerned (not terrified) that when a quasi-disaster strikes we won’t have a warning—and we’re not ready. How realistic are our predictions of disaster? What are the 12 RSOs doing? Do they have enough bandwidth to serve? Will DDoS shut them down? There’s no uniform view of the dangers we face.*

*What is the threshold for RSSAC’s advice? Stability threats from IDNs? Other developments? Whose job is it to do that? Who will say that something is a threat to the root system? Even if we all agree on the nature and timing of the threat, we still have to agree on what to do.*

**18** Other parts of ICANN look to the RSSAC to play its role of “ongoing threat assessment and risk analysis of the Root Server System” more strongly.

We also discovered a sense among people who accepted ICANN’s role in the RSS that RSSAC participation in the wider world of ICANN would be beneficial:

*The RSSAC has superb technical expertise that could help ICANN in many ways. For example, SSR2<sup>45</sup> needs impartial expert advice on technical matters. RSSAC’s involvement*

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<sup>43</sup>[https://www.icann.org/resources/pages/governance/bylaws-en/#article12.2\(c\)](https://www.icann.org/resources/pages/governance/bylaws-en/#article12.2(c))

<sup>44</sup> Section 12.2(b) of the ICANN bylaws (<https://www.icann.org/resources/pages/governance/bylaws-en/#article12>).

*is crucial to SSR2. People will listen if RSSAC speaks, so their participation in a wider range of activities (which they previously may have declined) is appropriate and helpful. Really critical to have the tech experts at the table—policy people may be well-intentioned, but they need the perspective of the tech folks.*

*RSSAC should get more engaged in what is going on in policy debates elsewhere in ICANN (e.g., the GNSO's<sup>46</sup> new gTLD subsequent procedures PDP<sup>47</sup>)—they should be pro-active about discovering where their advice might be needed and deliberately insert their advice into policy discussions where the people might not even know that what they are talking about involves the operation of the root server system.*

**19** Other ICANN groups would welcome greater RSSAC involvement in activities beyond the root.

### II.2.2.8 Research and measurement

The RSSAC charter includes a mandate to “recommend any necessary audit activity to assess the current status of root servers and the root zone”. Although RSSAC002<sup>48</sup> (currently in its third revision) defines a common set of metrics and a standard format for reporting them, researchers find that the RSSAC has largely missed the opportunity to be an effective vehicle for collective RSO transparency with respect to service levels and other fundamental statistics. The data available at root-servers.org are neither complete (with respect to RSSAC002 standards) nor adequate for the purposes of researchers interested in root zone issues such as scaling and name collision.

**20** The RSSAC is in a good position to coordinate the gathering and publishing of meaningful data about the root server system.

We also found support for an additional RSSAC role in coordinating funded research on root traffic projects, collaborating with other groups (e.g., ICANN's Office of the

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<sup>45</sup> “SSR2” refers to the second ICANN Security, Stability, and Resiliency of the DNS review (<https://community.icann.org/display/SSR/SSR2+Review>).

<sup>46</sup> The GNSO is ICANN's Generic Names Supporting Organization (<https://gns0.icann.org/en>).

<sup>47</sup> The Policy Development Process considering the procedures for future rounds of new Generic Top-Level Domain (gTLD) introduction (<https://gns0.icann.org/en/group-activities/active/new-gtld-subsequent-procedures>).

<sup>48</sup> “RSSAC Advisory on Measurements of the Root Server System” (<https://www.icann.org/en/system/files/files/rssac-002-measurements-root-06jun16-en.pdf>)



CTO or the DNS Operations, Analysis, and Research Center) to generate the empirical data necessary to inform policy decisions about the evolution of the root.

### ***II.2.3 Structure***

The RSSAC is an Advisory Committee<sup>49</sup> consisting of voting representatives and alternates nominated by the 12 RSO organizations (and confirmed by the ICANN Board); non-voting representatives of the IANA Functions Operator<sup>50</sup> and the Root Zone Maintainer;<sup>51</sup> and non-voting liaisons from the Internet Architecture Board (IAB)<sup>52</sup> and the ICANN Security and Stability Advisory Committee (SSAC).<sup>53</sup> From among its voting membership the RSSAC also designates outward liaisons to the ICANN Board, the Customer Standing Committee,<sup>54</sup> and the Root Zone Evolution Review Committee.<sup>55</sup>

#### **II.2.3.1 Current structure**

This structure is defined by the Operational Procedures<sup>56</sup> developed and adopted (and twice revised, most recently on 23 October 2017) by the RSSAC itself. The RSSAC charter does not specify that its voting membership must (or even should) consist of representatives from the 12 current RSO organizations, nor does it specify the representation of other interested parties (either as members or liaisons). The current

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<sup>49</sup> From the ICANN Glossary (<https://www.icann.org/resources/glossary>): “An Advisory Committee is a formal advisory body made up of representatives from the Internet community to advise ICANN on a particular issue or policy area. Several are mandated by the ICANN Bylaws and others may be created as needed. Advisory committees have no legal authority to act for ICANN, but report their findings and make recommendations to the ICANN Board.”

<sup>50</sup> Currently the nonprofit public benefit corporation Public Technical Identifiers (PTI) (<https://pti.icann.org>).

<sup>51</sup> Currently Verisign, Inc. (<https://www.icann.org/en/stewardship-implementation/root-zone-maintainer-agreement-rzma>).

<sup>52</sup> <https://www.iab.org>

<sup>53</sup> <https://www.icann.org/groups/ssac>

<sup>54</sup> <https://www.icann.org/csc>

<sup>55</sup> <https://www.icann.org/rzerc>

<sup>56</sup> RSSAC000v3 (<https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf>)

structure was determined during the reformation of the RSSAC following the last review.

We found broad agreement that the basic structure of the RSSAC is well-suited to the fulfillment of its role, with two potential caveats:

- The RSSAC enjoys a diverse membership only because of the diversity among the RSOs (and the representatives and alternates they send to the committee):

*Fortunate that we have good diversity among the RSOs, but it is not by design—better structure would help to insure this. Diversity is very, very important—has served us well.*

- Not all of the parties with a critical interest in the serving side of the root registry have a place at the RSSAC table. The most obvious of these are the non-RSO anycast instance providers, because they participate directly in serving the root; but other groups with a stake in the integrity and quality of root data distribution are also missing:

*If RSSAC is just RSOs, it's missing elements. Maybe have more liaisons to the RSSAC from other organizations, because there are more stakeholders than just the two that are currently represented—at least the TLD registry operators, the ccNSO, and public DNS resolver operators.*

No consensus currently exists within the RSSAC about who its stakeholders are or should be, so the following finding should not be taken as asserting that the organizations listed are in fact RSSAC stakeholders. That issue will be considered later in this report.

**21** The current RSSAC structure works well but leaves out potential stakeholders such as non-RSO anycast instance providers, the TLD registries, the ccNSO, and public DNS resolvers.

### II.2.3.2 Future structure

Our research revealed a concern that the RSSAC as currently constituted may not be up to the job of planning for the future—particularly a (widely anticipated) future that does not involve designated root servers:

*The current RSS is defined by a high degree of commonality on the mission: to serve a faithful copy of the root zone. That won't be sufficient for the future. New players may have a different view; RSSAC is not in the least prepared for that.*

This concern speaks directly to one of the primary questions of this organizational review: does the RSSAC “have a continuing purpose in the ICANN structure?”

Although the RSSAC is actively debating the issue of RSS evolution as part of its work on a “DNS root service governance framework” through regular workshops and email exchanges, the focus has been almost entirely on enhancements to the current RSS model; for example, from the report of the May 2017 workshop:<sup>57</sup>

*Workshop participants continued their analysis of the existing RSS by delineating attributes existing both today and potentially in the future, as well as attributes that are held by the RSOs versus external entities.*

Given its current structure, it is not surprising that the RSSAC devotes most of its attention to issues that concern the stable and sustainable operation of the existing root server system.

**22** The RSSAC has a continuing purpose in the ICANN structure, which may include serving as the focal point for issues of mutual concern to ICANN and the RSOs, such as future operational and funding scenarios for serving the root.

## II.2.4 Membership

The operating procedures adopted by the RSSAC in 2014 defined its voting membership to be a representative and an alternate nominated (and then, following its charter, confirmed by the Board) by each of the 12 RSO organizations. The IANA Functions Operator and the Root Zone Maintainer each appoints one non-voting member, and non-voting liaisons are provided by the Internet Architecture Board (IAB) and the Security and Stability Advisory Committee (SSAC).

### II.2.4.1 Composition

The current RSSAC membership model was developed during the restructuring of the RSSAC in 2013 and 2014, which also included the creation of the RSSAC Caucus. The thinking at the time was that the RSSAC would be a relatively small group drawn from the RSO organizations, augmented by a relatively large Caucus that would include all of the RSSAC members along with a wide variety of other interested parties. Diversity

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<sup>57</sup> RSSAC027, “May 2017 Workshop Report” (<https://www.icann.org/en/system/files/files/rssac-027-16jun17-en.pdf>).

of perspective would come from the Caucus, allowing the RSSAC itself to remain small and focused.

In this model the RSSAC does not encompass the entire root server system—in particular, on the serving side of the root zone management system<sup>58</sup> it omits anycast providers and resolver operators. By design it also omits others who depend on (rather than participate in) the root server system, such as TLD registries. We found a broad consensus outside of the RSSAC that this model has two shortcomings:

- it denies non-RSO groups with an interest in the root a “place at the table” when issues that potentially affect their interests are being discussed; and
- it denies essential non-RSO skills and perspectives to the RSSAC itself.

*Current membership is fine if RSSAC is just an ICANN version of root ops—but if you want it to do policy work, you need representatives with other skills and from other perspectives. Because RSSAC is the policy executive, diversity in the Caucus (which is just manpower for projects decided and directed by others) does not satisfy this requirement.*

Obviously, these are “shortcomings” only if their premises are accepted: that non-RSO interests are entitled to a voice in root server discussions, and that the RSSAC needs skills and perspectives that it cannot (realistically) get from RSO organizations. Our research found tacit but unenthusiastic support for the first premise—most of the “disenfranchised” groups believe that they have alternatives for participating in root system debates and activities that do not depend on the RSSAC—and strong support for the second:

*Expand the composition of the RSSAC to get a wider set of skills. Bring in fresh blood. Why is it restricted to RSO staff? Add other DNS experts; maybe draft in people from the Caucus. Or maybe NomCom should put people on the RSSAC.*

Outside of the RSSAC we found significant skepticism that the RSSAC has the skills it needs to succeed as a policy body, or the “soft skills” essential to enable it to navigate the ICANN community:

*RSSAC members think that they’re politicians and diplomats as well as engineers! Many have simply been promoted into management/political roles. Amateur politicians at RSSAC get exposed whenever they meet the professionals.*

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<sup>58</sup> See Figure 2 in Section II.2.1.3.

*The people on the RSSAC now who think they are business people, or think they have political and governance skills, are mostly wrong.*

**23** The current RSSAC membership model excludes non-RSO participants and their different skills and perspectives.

Not everyone we talked to agreed with either premise, particularly the interest of non-RSO groups in having a “place at the table”:

*An expanded RSSAC might bring in unwelcome visitors — vested interests, not acting in good faith. A danger if you expand beyond the RSOs is that other players (e.g., ISPs) have other avenues for participation in ICANN and they tend to send business people not tech people.*

*At least the current membership criterion (“RSO rep”) is clear. If you want other voices set up a work party or something — don’t change the RSSAC or Caucus membership criteria. There’s too great a risk that they would lose focus and clarity.*

Some of the people we talked to were also concerned about the destabilizing effect of changing the RSSAC membership model:

*Bringing outsiders into RSSAC would be difficult — they wouldn’t have the historical perspective, understanding how the RSS works and all the bits fit together. Might be helpful one day, but not now.*

And some noted that changing the composition of the RSSAC would be difficult in practice because of the deeply entrenched principle that the RSO organizations have sole authority to determine whom to send to the RSSAC:

*The origin and history of the RSSAC have created a charmed circle of insiders that makes it hard for non-insiders to get involved. But the RSSAC is no different in this respect from other ICANN SOs and ACs.*

However, even if broader representation of interests and contribution of skills were accepted as desirable objectives, it might not be easy to achieve them:

*How do you get people from other realms involved? Most people don’t care about the root servers. Perhaps we should pay for the complementary skills we think we need. You won’t get an accountant interested in root ops!*

We also noted the perception of a potential conflict of interest for ICANN in its multiple RSSAC roles: as the sponsoring organization (the RSSAC is an Advisory Committee within ICANN); as an RSO and therefore an RSSAC member; and as the institutional home of the IANA Functions Operator (through PTI).

### II.2.4.2 Leadership

A consequence of the RSSAC restructuring prompted by the last review is a leadership model in which two co-chairs share equal responsibility for leading the committee. Our research found evenly divided assessments of this arrangement. On the one hand, “*co-chairs have worked really well—whichever is leading us at any given time is leading us*”. On the other hand, “*it causes confusion—who’s in charge, who’s running the meeting—and it’s confusing for staff and anyone else who has to figure out who speaks for the RSSAC*”. But everyone we talked to said that the leadership arrangement that emerged from the restructuring was “better” than before.

**24** The leadership changes that followed the 2013-14 RSSAC restructuring substantially improved the management and operation of the committee.

We found a pervasive concern, particularly within the RSSAC, that leadership skills in the group are not widely distributed. Some participants suggested that the RSOs could have done a better job of selecting their principal and alternate representatives: “*the primary should have been an executive (strategic thinking), the secondary a good DNS engineer*”.

Because the co-chairs of the RSSAC are selected from among its voting primary representatives, they are constantly in a conflicted position, obliged to serve as both chair and advocate in many of the committee’s deliberations. We found that organizations with more than one RSSAC role—*e.g.*, Verisign as RSO for the A- and J-roots<sup>59</sup> and also the root zone maintainer; ICANN as RSO for the L-root and also (through PTI) the IANA Functions Operator<sup>60</sup>—had more options for separating the administrative role of chair (for example) from the participant role of RSO representative.

### II.2.4.3 Succession

Our research considered both leadership succession and membership succession, and the issues of terms and term limits.

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<sup>59</sup> We understand and respect the RSSAC decision to deprecate the designation of root server operators by the “letter” of the root they operate but found it difficult to make the point in this paragraph without doing so.

<sup>60</sup> Because ICANN’s RSO and PTI staff are obliged to be neutral and not “make policy” they cannot take any leadership role in the RSSAC.

Section 12.2(c)(ii)(A) of the ICANN bylaws<sup>61</sup> establishes the term of RSSAC membership but does not limit the number of terms:

- RSSAC membership appointment shall be for a three-year term, commencing on 1 January and ending the second year thereafter on 31 December. Members may be re-appointed, and there are no limits to the number of terms the members may serve.

We found that although many people support the principle of membership term limits, they recognize that the RSSAC is constrained by its current membership model:

*There are only so many people who work on root operations at the 12 RSOs—that's a limited pool of volunteers with limited time, and some RSOs don't have a lot of people to choose from.*

**25** The traditional rationale for membership term limits—to bring new people with new ideas into an organization—is not directly applicable to the RSSAC, which draws members from a fixed and limited pool of volunteers.

Membership succession faces the additional challenge of volunteer pool demographics: “key people are aging and will retire soon”. We found many people concerned about how to retain essential institutional memory in the RSSAC.

The RSSAC operating procedures<sup>62</sup> specify both the term and the number of terms for its co-chairs:

- The RSSAC shall elect two Co-Chairs. The term for Co-Chairs shall be two years. A person may only serve for two consecutive terms. The eligibility status for a previous Co-Chair is reset one year after having stepped down.

From an organizational standpoint we found it surprising that the RSSAC has no leadership training or mentoring program, and no documented plan for either membership or leadership succession. Perhaps as a result it has no obvious identifiable candidate pool for leadership roles, including liaison representation to other groups.

**26** With no formal provision for identifying or training future leaders, the RSSAC faces difficult issues of succession in all of its leadership roles.

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<sup>61</sup> <https://www.icann.org/resources/pages/governance/bylaws-en/#article12>

<sup>62</sup> RSSAC000v3 (<https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf>)

## II.2.5 Stakeholders and Accountability

It is important to clearly distinguish issues of “stakeholder” and “accountability” as they apply to the RSSAC (an ICANN advisory committee) and to the RSOs (independent organizations that collaborate to serve the root). We found that in practice it is difficult to do so. RSSAC members are RSO representatives, and because this creates for many people the (erroneous) impression that the RSSAC is an “association” of the RSOs, the distinction between RSSAC accountability and RSO accountability is often lost.

**27** The RSSAC’s stakeholders and accountability are not the same as the RSOs’, but this distinction is not widely recognized within the ICANN community.

### II.2.5.1 Stakeholders

There is no consensus inside the RSSAC on who its stakeholders are or should be. The RSSAC has tried hard for a few years to settle this issue, so far without success. Comments made during our interviews included:

*There’s no clarity on who the stakeholders are for RSSAC or each RSO. Who decides?*

*The ICANN board can be the constituents (stakeholders) of RSSAC.*

*Interested users should be RSSAC’s stakeholders.*

*RSSAC’s stakeholders are the IAB and IETF because they are in charge of the DNS protocol and root guidelines.*

*TLD operators are RSSAC stakeholders.*

However there are much deeper problems. The RSSAC hasn’t reached consensus on what the term “stakeholder” means.

There is no agreement in the RSSAC on the definition of “stakeholder”. Some apply a definition of this term which is claimed implies “resolver operators are stakeholders in the root server system, but not the IETF or TLD registries”. Others use an ICANN definition of the term which means that the RSSAC’s stakeholders have to include the IETF/IAB, IANA/PTI, TLD registries, and the ICANN Board as well as ICANN’s Supporting Organizations and Advisory Committees. Yet another view inside the RSSAC is that everyone who uses the Internet is an RSSAC stakeholder. Reconciling these divergent opinions on what is meant by “stakeholder” is clearly a challenging problem for the RSSAC.



*Some people [in RSSAC] believe that those with entries in the root zone are the direct customers. Others think that everyone on the planet are the customers. The real answer lies somewhere between those two extremes.*

Further complications arise because of the distinctions among the RSSAC, the root server system as a whole, and the individual root server operators (RSOs). Do or should they all have the same stakeholders or not?

These meta-issues have still to be decided. They may well be very difficult because boundaries overlap and/or become blurred and might even conflict. For instance, each RSO might independently arrive at its own view of who its stakeholders are; then have to modify that or compromise if/when the RSOs reach consensus on who their collective stakeholders are for the root server system; and then do all of that again to get a consensus on the RSSAC's stakeholders.

A further meta-issue is the question of who decides what definition of stakeholder is to be used and who those stakeholders actually are. Does the RSSAC decide this for itself? Should their decision go for some sort of public consultation? Could that decision have an impact on either ICANN's bylaws or the RSSAC charter? Would the decision need to be endorsed by the ICANN Board?

**28** RSSAC members do not agree on who its stakeholders should be.

It should therefore be unsurprising that the RSSAC deliberations on such a complicated and sensitive topic are taking a long time. An important decision of this nature by the RSSAC will require unanimous consent: *"nothing is decided until everyone agrees"*. With no agreement yet on what "stakeholder" means, determining who are the RSSAC's stakeholders is clearly going to take a long time.

### **II.2.5.2 Accountability**

The RSSAC's difficulties over stakeholders has obvious impacts on questions of accountability. Since it's not clear who the RSSAC's stakeholders are it's not possible to decide who the RSSAC is or should be accountable to or what the RSSAC is or should be accountable for. That in turn makes it impractical to decide how that accountability gets exercised.

*Who is in charge? If anything happened to the root server system the arrow of responsibility would point directly at ICANN. Imagine trying to explain the non-governance of the root server system to a Congressional subcommittee. "You [ICANN] let the RSOs run the root*

*but you have no control over them. You should be replaced. Governments can do better than that."*

*Accountability issues get a lot of attention elsewhere at ICANN. RSSAC is lagging behind other ACs and SOs.*

*Hardly anyone [outside of the RSSAC] thinks about RSSAC accountability because the root always works.*

**29** It is not clear for what and to whom the RSSAC should be accountable.

Most RSSAC members who represented RSOs stated they had a duty to the Internet community as a whole and that was their fundamental responsibility. "RSSAC looks out for the whole Internet community". Representatives from one root server operator said that each RSO would be accountable to its respective organization: *i.e.*, the board and shareholders of Verisign, RIPE NCC's membership, and so on. An interviewee claimed it was a mistake to think that the RSOs did not have any oversight. One RSO has been subject to oversight by its national telecommunications regulator for some years. Another RSSAC member provided a list of who the RSSAC or the RSOs were in principle accountable to: their respective organizations; the Internet community; the technical community (IETF and IAB); nobody; the ICANN board; and the other RSOs. ICANN and Internet businesses were explicitly omitted from that list.

Questions about service level agreements and reporting for the root server system were fine, but it was not clear whom the RSOs would report to or what the enforcement mechanisms might be. A single reporting body could be a problem and there should be diversity—for instance to accommodate differences in national law and regulation.

One RSSAC member said that although the RSSAC was only accountable to the root server operators, it took its accountability to the ICANN Board as an advisory committee very seriously.

A subtle but important observation was made about what accountability means in the context of an advisory committee:

*The purpose of an advisory committee is to give advice. When people talk about accountability what is it that they want the group to be accountable for? RSSAC is accountable **for** its advice, not **to** someone or something else.*

## II.2.6 Openness and Transparency

We found almost universal consensus that the RSSAC is far more closed and opaque than other ICANN groups.

Confidential discussions about the root server system — operational issues, DDoS mitigation, incident handling, *etc.* — do of course occur. These mostly take place at the private root op meetings, not at the RSSAC. The RSSAC's efforts largely focus on policy matters and advice to the Board, most of which could be done in the open.

**30** The RSSAC is widely considered to be a closed and secretive group, less transparent than other ICANN ACs and SOs.

The RSSAC traditionally met in secret and little information was made available about what was happening — although when it was first created, RSSAC meetings were open to anyone, with the caveat that they usually took place at IETF rather than ICANN meetings. Improvements have been made since the previous RSSAC review: minutes and documents are published, the RSSAC meets at ICANN meetings instead of at IETF meetings, and it holds open sessions at ICANN meetings which anyone can attend. One RSSAC member said they could now circulate RSSAC materials within their organization, something that had previously been (thought to be) not permitted.

*RSSAC is trying to have more sessions that are open. But it wants a comfortable and secure space without the community observing. Some RSOs are more amenable than others to being open.*

*One of the flaws is that RSSAC is still a closed shop, highly secretive and discussions within RSSAC are treated as very confidential. I don't see the need for all that secrecy.*

*Meetings should be open even if others don't show. People complain RSSAC meetings aren't open, but don't show up when they are. They just want to know that they could go to the meeting. And they would [then be able to] know if the meetings were running properly.*

*The perception that RSSAC is a closed circle has been like that for its whole history.*

Of course, the diverse opinions held in the group could be taken out of context or misrepresented by outside observers. The RSSAC might sometimes prefer to have contentious discussions in private before presenting a consensus view to the public: “more transparency could blow up the group”.

*RSSAC is not an open process but it would be hard to argue that either the gNSO or the ccNSO operates in a genuinely transparent manner. They have superficial transparency but*

*what you see there does not match how decisions actually get made. A better model might be to allow groups to deliberate in private and then have an opportunity to make the case for their conclusions in public.*

The RSSAC's visibility is limited: *"If you don't attend ICANN meetings, then you never see RSSAC. Maybe they should have a public meeting or presentation at IETF or DNS-OARC".* Members of the RSSAC are generally not visible at ICANN meetings or widely known to rest of the attendees. *"RSSAC and its output are mostly seen via the RSSAC chair and its board liaison".*

To the rest of the community the RSSAC appears closed: *"RSSAC does not consider communication a priority".* If the RSSAC were to participate in forums such as APRICOT, DNS-OARC, NANOG, or RIPE, it would need help and additional resources.

**31** RSSAC visibility at ICANN and in the wider Internet community is poor. Apart from the SSAC, it generally does not interact with other SOs and ACs.

There is broad satisfaction with the RSSAC documents within the technical community who are interested in the root server system. However, some of these are very narrowly focused and are not meant for the general public.

*Most of the publications seem to be directed at root server operations and not to the community.*

*RSSAC advice and recommendations are sometimes unclear and hard for outsiders to understand.*

**32** The RSSAC's focus on technical root server issues and deliberate non-participation in other ICANN activities have concentrated its impact on a small audience of DNS experts.

## II.2.7 RSSAC Caucus

Following the 2009 Review, the RSSAC Caucus (RC) was formed in 2014. The main objective of the RC is to "define a well-defined pool of motivated experts to whom the RSSAC can turn to for getting work done".<sup>63</sup> In essence, the RSSAC Caucus is a pool of volunteers that the RSSAC can draw upon to help produce documents. Many of the most recent RSSAC publications were developed by the RSSAC Caucus.

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<sup>63</sup> <https://www.icann.org/en/system/files/files/rssac-caucus-06may14-en.pdf>

Membership in the RC is open to anyone with an interest in the DNS, especially the root server system, who is willing to help produce RSSAC documents. RSSAC members are automatically members of the RSSAC Caucus. The RSSAC periodically issues calls for participation in the caucus. It approves applications to join the RC and generally accepts all approaches made by seriously motivated volunteers. The RSSAC Caucus has around 90 members at present but only 25-30 are actively contributing to its work.

The RSSAC Caucus organizes itself into work parties which produce documents requested by the RSSAC on specific topics; for example, *Best Practices for the Distribution of Anycast Instances of the Root Name Service* and *DNS Packet Sizes*.<sup>64</sup> Each RC work party is assigned a member of the RSSAC as a shepherd who oversees the activity. And in some cases, a member of the RSSAC will lead a work party. The RC aims to hold two physical meetings per year which typically take place during ICANN or IETF meetings. Anyone can attend caucus meetings and minutes of these meetings are published on the ICANN web site.

Our research found general satisfaction from technically-minded sections of the community with both the quality and technical content of the documents produced by the RSSAC Caucus. These have improved their perceptions of the RSSAC. Useful work is being seen to be done, the output is visible, and the documents are appreciated by those interested in the root server system.

Members of the RSSAC and the RSSAC Caucus consider the Caucus to be a success that has improved the RSSAC's profile:

*The Caucus has helped RSSAC to be more open.*

*Addition of the Caucus is a smart move. Better documentation. More transparency. Getting work done.*

*The Caucus helps RSSAC fulfill its role.*

*The Caucus seems to make the RSSAC more accessible.*

However, the documents are “largely ignored by the rest of the community and, in some cases, appear to get little attention from RSSAC itself”. Another observation was: “[Caucus authored] RSSAC documents are not widely disseminated or considered. They don't penetrate anywhere in ICANN—unlike SSAC documents. Caucus output is mostly for the attention of a small group and often seems like research notes”. It's not clear if anyone cares about whether

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<sup>64</sup> <https://www.icann.org/resources/pages/rssac-caucus-work-parties-2017-06-20-en>

or not Caucus deliverables have tangible outcomes. *"It's just more window-dressing to keep everyone happy"*. Caucus members are unsure what impact their output has at the RSSAC and get little feedback. *"Caucus members feel like indentured servants"*.

The Caucus is passive, relying on guidance and direction from the RSSAC which does not appear to take a hands-on approach. Despite being members of the Caucus, RSSAC members are rarely active in the Caucus beyond the recently introduced shepherd role in work parties: *"RSSAC members don't really engage in Caucus activities"* and *"RSSAC provides little direction to the Caucus"*. Some RSSAC members agree with these opinions.

**33 RSSAC members don't engage effectively in Caucus activities.**

The roles of the Caucus and the RSSAC and the boundaries between them are unclear, even to some members of both committees. Processes for managing the documents and work flow between the Caucus and the RSSAC could be better: *"Caucus provides; RSSAC decides. Stuff should come from Caucus for ratification by RSSAC"* and *"the default assumption is RSSAC will accept advice from the Caucus. RSSAC should be free to decline Caucus advice but they have to explain why"*.

**34 The roles of the RSSAC and the Caucus, and the boundaries between them, are not clear.**

Work in the Caucus is sometimes confused or allowed to drift.

*The Caucus's work program is somewhat vague, and things could be clearer about who is doing what, when deliverables are due, etc.*

*It's unclear what the Caucus's priorities are or who is driving things.*

*The Caucus has not been very effective in getting work done; they are volunteers with day jobs.*

New members are unsure how to join and participate in work parties. An informal 2016 survey of the RSSAC Caucus membership found that they did not know how the work of the Caucus influences the RSSAC.

**35 The work of the Caucus is not well defined and lacks oversight from the RSSAC.**

There was widespread concern about the size and composition of the RSSAC Caucus:

*The barrier to entry is too low and nobody's ever asked to leave.*

*I didn't expect the Caucus would be so big or as "busy" making work for itself.*

This low barrier to entry means *“there’s no sense of mutual shared purpose or that the Caucus is anything special”*.

The RSSAC is supposed to review the composition of the RSSAC Caucus and add or remove members once a quarter. This does not appear to happen. The RSSAC and RSSAC Caucus leaderships seem either to be too busy to expend effort pruning the Caucus membership or are content with the *status quo*.

Even with just 25-30 active members, the RSSAC Caucus is thought to be too big and hard to manage. Support from ICANN Staff is an issue too: *“The RSSAC Caucus is largely an afterthought for ICANN staff resourcing, almost all of which is focused on RSSAC”*.

Many concerns were expressed about the motivations of some Caucus members. A large majority just observe and don’t actively participate. Membership in the RSSAC Caucus seems to get exploited by some for personal vanity: padding their CV or enjoying a higher community profile. *“Everyone who joins a work party gets credit even if they didn’t contribute to document production”*. Others are believed to see the Caucus as a potential pathway to RSSAC membership or even becoming a Root Server Operator.

**36** The RSSAC is not acting to remove inactive or ineffective RSSAC Caucus members.

Among the active RSSAC Caucus members, skillsets are somewhat narrow and largely limited to DNS protocol expertise. There is little participation from anycast providers or operators of DNS resolver services. Operational DNS expertise in the Caucus is mostly provided by the root server operators who inherit Caucus membership because of their membership in the RSSAC. Some survey responses and interviewees suggested that the RSSAC Caucus might benefit from an even more diverse membership, for instance by adding policy, legal, or finance experts whenever these areas have an impact on the root server system.

*Caucus membership includes business as well as technical expertise. But it’s still a club for techies.*

**37** Caucus skillsets are narrowly focused on DNS protocol expertise.

RSSAC approval of Caucus membership may be a problem even though no applications to join the Caucus have been known to be declined. The RSSAC’s notional control of the Caucus could be acting as a deterrent which limits the pool of volunteers. One Caucus

member thought their application wouldn't have been accepted if they weren't already known to the RSSAC.

**38** The RSSAC has *de facto* control of the Caucus because it decides who gets to join (and who must leave).

### II.2.8 RSSAC and RZERC

The Root Zone Evolution Review Committee (RZERC) was formed in 2016 as a result of the IANA Stewardship Transition. The committee considers proposed architectural changes to the content of the DNS root zone; the systems including both hardware and software components used in executing changes to the DNS root zone; and the mechanisms used for distribution of the DNS root zone. The RZERC is expected to make recommendations related to those changes for consideration by the ICANN Board.<sup>65</sup> The channel for RZERC–Board communication is unclear and it is generally assumed that this would be carried out by the Board member who serves on the RZERC.

The RZERC has nine members. At the time of writing, five of them are also members of the RSSAC.

We found mixed perceptions of the RZERC and its relationship to the RSSAC.

One interviewee stated:

*RZERC fills a long-unmet need. Until RZERC was created there were no fora or procedures for making changes to the root other than routine add/remove/update modifications to TLD delegations. (Or a mechanism for asking why those fora or processes did not exist.) Adding AAAA records for the root servers took years even though all of them had live IPv6 addresses. An ad-hoc group had to be formed to advise the ICANN Board on how to get the root zone signed. A body like RZERC, if it had existed at the time, would have been the obvious place to consider such issues.*

Some RSSAC members are unsure of the scope of the RZERC. They consider that the role and purpose of the RZERC lacks clarity and might overlap with the RSSAC's responsibilities. One member suggested that the two committees could be merged. Although other RSSAC members felt that the roles of both committees are clear, oversight of some aspects of the Root Server System seemed to sit between the RZERC

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<sup>65</sup> <https://www.icann.org/en/system/files/files/revised-rzerc-charter-08aug16-en.pdf>



and the RSSAC. For others, the separation in roles is obvious: “RZERC is responsible for the provisioning side of the root zone registry and RSSAC handles the publication side”.

These differences of opinion might be explained in part by the overlap in membership of both committees. RSSAC members serving on the RZERC could be more familiar with its scope and function than their colleagues. Since the RZERC is a recent creation which has not been tested yet, it is understandable that there would be a degree of uncertainty about how it will interact with the RSSAC in practice.

**39** The RSSAC and RZERC charters distinguish their roles and scopes, but it is not yet clear how those distinctions will be recognized in practice.

For those outside the RSSAC and the RZERC, the distinction between the committees and their respective responsibilities is vague. This view was particularly common in those who responded to the survey. Few of them could explain the RZERC’s role and many seem to have simply cut and pasted their answers verbatim from the RZERC’s home page.<sup>66</sup>

Interviewees from other stakeholder groups also thought the boundaries between the RSSAC and the RZERC were not clear enough. Overlaps seemed likely and would best be dealt with on a case-by-case basis rather than through a fixed set of rules. There was also a concern that the RZERC might encroach on the work of the RSSAC and the SSAC or be expected to resolve conflicts and differences of opinion between those committees. A small number of interviewees said they had no visibility of the RZERC to date and that this did not matter to them: in short, “no news is good news”.

Although there was a general consensus from survey responses and interviews that an overlap in the membership of the RZERC and the RSSAC was healthy and desirable, that overlap should not extend into the role and responsibilities of both committees.

### ***II.2.9 RSSAC Relationships***

Views on the RSSAC’s relationship with the Board are generally positive and the overall perception is that the Board is happy with the RSSAC: “the relationship is healthy” and “reporting from RSSAC to the Board is considered satisfactory (unlike other ACs and SOs)”. Recent changes to the RSSAC leadership have helped. There have only been a small number of questions from the Board and these were “clear and well scoped”. The Board-

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<sup>66</sup> <https://www.icann.org/rzerc>

RSSAC Liaison is working particularly well: *“the RSSAC-Board liaison channel isn’t broken so don’t fix it”*.

**40** The relationship between the Board and the RSSAC is good, and the Liaison is a critical part of that.

The RSSAC engagement with the SSAC has improved in recent years and works well. *“Liaison relationship and interactions seem good; hard to see how to improve on existing arrangement”*. There used to be lots of comments at the SSAC about *“why is RSSAC taking so long?”*. Even so, *“SSAC is trying to help by offloading idiot stuff from RSSAC”*. Although the division of work between the two ACs is sometimes unclear there has been *“good cooperation once RSSAC sorted itself out”*. The Liaison role from the SSAC is effective. Many members of the SSAC are also members of the RSSAC Caucus and this also helps the flow of information. However, *“SSAC has a liaison to RSSAC but not the other way”*.

**41** The RSSAC’s relationship with the SSAC has improved and is working well.

The RSSAC’s interactions with other groups, inside and outside of ICANN, are not so good:

*Most RSSAC members do not believe that they have an obligation to play the part of a good ICANN AC and participate in the business of other SOs and ACs that does not concern them as RSOs.*

*RSSAC hasn’t thought through what their presence ought to be at ICANN. GAC does and knows what happens to its output—people pay attention to GAC communiques. SSAC invests a lot into its docs and advisories. Tries to get recommendations activated, escalates if not. SSAC’s presence is intentional—aimed at the Board. GAC and SSAC are most effective on the Board. RSSAC’s impact seems accidental or just coincidental.*

*RSSAC does not encourage a collegial atmosphere with other groups. A Liaison from RSSAC to wherever does not substitute for interaction.*

*Friendly interaction with SSAC, not so much with other parts of ICANN. RSSAC and other ACs/SOs mostly ignore each other.*

There has been no engagement with the ccNSO. Whenever the ccNSO has raised issues—getting anycast root servers, placement of anycast server instances, IANA support for newer crypto algorithms, etc.—the RSSAC did not appear to listen. The ccNSO has no regular contact with the RSSAC and it is not clear how both groups

should or could interact with each other directly. Communications have to filter up and down via the Board.

Interactions between the RSSAC and the IAB are *“sporadic and satisfactory when the need arises for them to talk to each other”*.

Many survey responses and interview comments suggested that the RSSAC could engage more with the other parts of ICANN, for instance by appointing Liaisons or providing regular briefings whenever these ACs and SOs meet. These “motherhood and apple pie” suggestions are probably impractical and may not have any actual value. They seem to be expressing a wish rather than an actual need. After all, almost no-one shows up whenever the RSSAC has an open session at an ICANN meeting. If members of these ACs and SOs have genuine or important concerns, they have either not made use of these open RSSAC sessions or been unaware of them.

**42** The RSSAC does not manage its relationships within ICANN with the same deliberate intent as other SOs and ACs.

Institutional memories inside the RSSAC and maintenance of the trusted, stable relationships among the RSSAC members depend on continuity of ICANN Staff support. This will gradually become more important as the older members of the RSSAC begin to retire.

## Part III Recommendations

Recommendations are proposals for improvements to the RSSAC that follow from the Findings described in Part II of this report. They are numbered sequentially and set off typographically as follows:

**n** Recommendations are based on the Findings of our independent review, which are described in Part II of this report.

The Recommendations of our review focus on the three dimensions of **purpose**, **effectiveness**, and **accountability** described in the Bylaws mandate for organizational reviews. They follow directly from our findings, and are intended to recommend improvements (1, 2, ...) and suggest ways in which they might be achieved (1a, 1b, ...) <sup>67</sup> rather than prescribe the details of a specific implementation.

**1** Modify the RSSAC membership criteria to allow the RSSAC to recruit a variety of skills, perspectives, and interests that include but are not limited to those available from the root server operator organizations.

Recommendation 1 follows primarily from findings 7, 8, 14, 16, 21, and 23.

The statutory “RSO representatives only” membership criterion handicaps the RSSAC in at least the following ways:

- it encourages the (erroneous but widespread) perception that the RSSAC is an “association” of RSOs;
- it excludes viewpoints and expertise that might contribute to the fulfillment of the RSSAC’s mission but are not readily available from the RSO organizations;
- it excludes stakeholders with direct involvement in serving the root, including non-RSO anycast instance providers and public DNS resolvers;
- it excludes stakeholders with provisioning-side interest in the way in which the root is served, including TLD registries and the ccNSO; and

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<sup>67</sup> The subordinate recommendations (1a, 1b, ...) should be understood as suggestions for ways in which the goals of the primary recommendation (1, 2, ...) might be achieved. As such they do not constitute a complete or prescriptive list of potential implementations of the primary recommendation.

- it obliges every RSO to participate regardless of its willingness or ability to do so.

As long as its membership is defined to be representatives and alternates from the RSOs the RSSAC will be perceived by many to be an advisory committee of the root server operators, not the root server system, and its advice will be interpreted—erroneously—as advice from the RSOs.

**1a** Extend RSSAC membership by invitation to any qualified person.

This is the membership model used by the SSAC—recruit the expertise you need, with confirmation/ratification by the Board. The RSOs might retain their prerogative to appoint representatives to the RSSAC, but the RSSAC could recruit members from other sources as well. Any decision to do so would rest entirely with the RSSAC.

The RSSAC Caucus does not help here. It is defined to be a pool of expert resources available to perform specific tasks on demand—its members do not participate in the executive activities of identifying the “specific tasks” or determining the “demand”. The Caucus charter notes only that “[t]he RSSAC may also ask caucus members for advice and opinions about RSSAC business”.<sup>68</sup>

**1b** Let individual RSOs decide whether or not to participate in the RSSAC.

Some RSOs are interested in the RSSAC, some are not; some RSOs have the resources to commit to RSSAC activities, others do not. Admit any RSO that wishes to participate, but do not oblige every RSO to do so.

This recommendation recognizes that the RSSAC is not involved in any aspect of root server operations. Rootops might require the attention of every RSO; the RSSAC does not.

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<sup>68</sup> <https://www.icann.org/en/groups/rssac/rssac-caucus-06may14-en.pdf>

**2** Resolve the apparent mismatch between the charter and operational procedures of the RSSAC and the requirements and expectations of the ICANN Board and Community for interaction with the root server system.<sup>69</sup>

Recommendation 2 follows primarily from findings 5, 9, 13, and 22.

The RSSAC is the only group within ICANN that connects it to the system of root servers that implements the “serving” side of the DNS root registry.<sup>70</sup> As such, it is the default target for every root service issue that arises within ICANN—whether or not the issue is properly within its scope—simply because it appears to be the only available interface between ICANN and the root server operators.

To the extent that ICANN either is or is widely held to be responsible for the reliable and secure operation of the root, it requires a relationship with the serving side of the root registry that extends beyond the “exchange of information” limits of the RSSAC charter. The nature of that relationship is primarily an RSO/Board issue, not an RSSAC issue, and therefore out of scope for the present review. But the apparent mismatch between what ICANN needs from an interface to the root server system and what the RSSAC is currently chartered to provide suggests that either the RSSAC scope should be expanded or the attention and expectations of the Board and Community should be explicitly redirected away from the RSSAC to some other group.

**2a** Document the rationale for the architecture of the root server system.

In its role as the primary source of information and advice to the Board and Community concerning the root server system, the RSSAC could improve the quality of discussions about the ICANN/RSS relationship by clearly documenting the rationale for the current RSS architecture, particularly with respect to RSO diversity and independence.

Although the RSSAC has provided a wealth of information about the way in which the RSS has evolved in RSSAC023, “History of the Root Server System”, the rationale is mentioned only briefly, on page 31: *“There is great diversity in the operational history and approaches of root servers, as well as hardware and software. This diversity in aspects such as*

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<sup>69</sup> We note that the publication of RSSAC037, “A Proposed Governance Model for the DNS Root Server System” (<https://www.icann.org/resources/files/1216341-2018-06-15-en>), is a clear and welcome first step in the direction suggested by this Recommendation.

<sup>70</sup> See Figure 2 in Section II.2.1.5 of this report.

*geography, organizations and operations has enabled the root server system to deal with local challenges, avoid capture by any single party and provide reliable service to the Internet community”.*<sup>71</sup>

Similarly, Section 3.6, “Diversity of Implementation”, of RSSAC001, “Service Expectations of Root Servers”, says that “[t]he goal of this diversity is to ensure that the system as a whole is not unnecessarily dependent on a single implementation choice, which might otherwise lead to a failure of the whole system due to a serious defect in a common component”.<sup>72</sup> But this is an isolated observation on page 8 of a document that is not obviously concerned with the architecture of the root server system.

A more complete and accessible explanation of the rationale for RSO diversity and independence would improve Board and Community understanding of the reasoning behind the observable but not readily explicable structure and operation of the RSS.

**3** Formalize the responsibilities of the RSSAC to the ICANN Board and Community in a work plan that is periodically reviewed and published; and hold the RSSAC accountable for work plan deliverables.

Recommendation 3 follows primarily from findings 27, 28, 29, and 42.

Because the root server system is poorly understood by non-experts, the Board and Community generally do not know what advice to expect or solicit from the RSSAC. The exercise of constructing and periodically revisiting a formal work plan would align the understanding and expectations of both the Board and the RSSAC, and enable the Board to hold the RSSAC accountable for specific deliverables rather than general undefined advice. It would also help to dispel the erroneous impression that the RSSAC is an “association” of the RSOs, in which the distinction between RSSAC accountability and RSO accountability is too often lost.

Our findings suggest the following initial recommendations for work plan deliverables, but the full plan should be constructed and populated by mutual agreement of the Board and the RSSAC.

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<sup>71</sup> <https://www.icann.org/en/system/files/files/rssac-023-04nov16-en.pdf>

<sup>72</sup> <https://www.icann.org/en/system/files/files/rssac-001-root-service-expectations-04dec15-en.pdf>

**3a** Engage in ongoing threat assessment and risk analysis of the Root Server System and recommend any necessary audit activity to assess the current status of root servers and the root zone.<sup>73</sup>

This is a direct quotation from the RSSAC charter. The activity might profitably be undertaken in collaboration with the SSAC.

**3b** Coordinate the gathering and publishing of meaningful data about the root server system.

The RSSAC is not an association of RSOs, and has no power or authority to collect or compel the collection of root server system data. It has, however, recommended that individual RSOs collect and publish data in a standard format for a standard set of metrics, defined in RSSAC002, “RSSAC Advisory on Measurements of the Root Server System”.<sup>74</sup> We found<sup>75</sup> that both the extent and the quality of compliance with this recommendation varied dramatically among the 12 RSOs, and in aggregate fell short of what academic and industry researchers told us they would need in order to conduct meaningful analyses of the root server system.

**3c** Assess and report on the status of compliance with the recommendations of RSSAC001.

The RSSAC published RSSAC001v1, “Service Expectations of Root Servers”, in December 2015. RSSAC001 “describes the best practice service provided by Root Servers, and defines the expectations that users might reasonably hold of both that service and the Root Server Operators”.<sup>76</sup>

It is not clear from our research whether or to what extent individual RSOs have complied with either of the two recommendations of RSSAC001:

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<sup>73</sup> ICANN Bylaws Article 12 Section 12.2(c)(i)(C)  
(<https://www.icann.org/resources/pages/governance/bylaws-en#article12>).

<sup>74</sup> <https://www.icann.org/en/system/files/files/rssac-002-measurements-root-06jun16-en.pdf>

<sup>75</sup> See Section II.2.2.8 of this report.

<sup>76</sup> <https://www.icann.org/en/system/files/files/rssac-001-root-service-expectations-04dec15-en.pdf>



*Recommendation 1: The RSSAC recommends each root server operator publish the level of service they offer as a root server operator to the Internet Community by responding to each of the expectations detailed herein.*

*Recommendation 2: The RSSAC recommends that each root server operator advise the RSSAC as to where this RSSAC001 responses have been published, and notify RSSAC of future revisions or either content or location.*

**4 Develop and implement a leadership training and succession plan.**

Recommendation 4 follows primarily from findings 24 and 26.

The membership criteria for the RSSAC do not actively select for leadership skills, but as the evolution of the RSSAC since its reformation in 2014 demonstrates, leadership matters. We found<sup>77</sup> that the leadership changes that followed the 2013-14 RSSAC restructuring substantially improved the management and operation of the committee. To secure these improvements, the RSSAC should deliberately plan for succession in its leadership roles.

Leadership training and succession plans developed by and for other ICANN groups might be adapted for use by the RSSAC.

**5 Engage more actively with the rest of ICANN and its Community.**

Recommendation 5 follows primarily from findings 18, 19, 30, and 31.

The RSSAC could fulfill its charter mandate to “[c]ommunicate on matters relating to the operation of the Root Servers and their multiple instances with the Internet technical community and the ICANN community”<sup>78</sup> more effectively if it engaged more visibly with other ICANN Advisory Committees, Supporting Organizations, review teams, and task forces. Doing so would also help to dispel the community perception that the RSSAC is a closed and secretive group, which we found<sup>79</sup> to be persistent despite the RSSAC’s objectively considerable progress toward greater openness and transparency.

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<sup>77</sup> See Section II.2.4.2 of this report.

<sup>78</sup> ICANN Bylaws Article 12 Section 12.2(c)(i)(A) (<https://www.icann.org/resources/pages/governance/bylaws-en#article12>).

<sup>79</sup> See Section II.2.6 of this report.

**6** Clarify the role and responsibility of the RSSAC with respect to other groups with adjacent or overlapping remits, including the SSAC, the RZERC, and the RSSAC Caucus.

Recommendation 6 follows primarily from findings 17, 33, 34, 35, 39, and 41.

Although their charter and operating procedure documents attempt to define the roles and responsibilities of these groups clearly, our research found both *de facto* and *de jure* confusion and ambiguity that affect the RSSAC's ability to effectively fulfill its role. Only the RSSAC and RSSAC Caucus charters and operating procedures are within the scope of the RSSAC, but clarity in these documents with respect to roles and responsibilities would be easier to achieve in collaboration with the SSAC and the RZERC.

**6a** Develop a more effective and transparent process for defining RSSAC Caucus projects, engaging its members and managing its membership, managing its work, and promoting its output.

The RSSAC Caucus charter says that its purpose is *"to define a well defined pool of motivated experts to whom RSSAC can turn to for getting work done"* and that *"[t]he RSSAC caucus is the group of people that produce RSSAC documents, such as reports and advisories"*.<sup>80</sup> But we found<sup>81</sup> that the work of the Caucus is poorly defined and lacks effective guidance and oversight from the RSSAC.

**6b** In cooperation with the SSAC, develop and publish a statement that clearly distinguishes the roles and responsibilities of the RSSAC and the SSAC, describes how they **are** complementary with respect to their shared interests in security and stability, and establishes a framework for collaboration on issues of mutual concern.

The SSAC charter includes the mandate to *"communicate on security matters with the Internet technical community and the operators and managers of critical DNS infrastructure services, to include the root name server operator community, the top-level domain registries and registrars, the operators of the reverse delegation trees such as in-addr.arpa and ip6.arpa, and*

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<sup>80</sup> <https://www.icann.org/en/groups/rssac/rssac-caucus-06may14-en.pdf>

<sup>81</sup> See Section II.2.7 of this report.

*others as events and developments dictate*".<sup>82</sup> This overlaps the similar mandate in the RSSAC charter to "[c]ommunicate on matters relating to the operation of the Root Servers and their multiple instances with the Internet technical community and the ICANN community" and "[e]ngage in ongoing threat assessment and risk analysis of the Root Server System".<sup>83</sup> Because the SSAC's scope includes the security and stability of the root zone (along with the rest of "the Internet's naming and address allocation systems"<sup>84</sup>), the RSSAC's role is often misunderstood as a subset of the SSAC's.

**6c** In cooperation with the RZERC and the SSAC, develop and publish a statement that clearly distinguishes the roles and responsibilities of the RSSAC, the RZERC, and the SSAC with respect to the evolution of the DNS root system (within the scope of ICANN's mission).

The RZERC charter says that "[t]he Committee is expected to review proposed architectural changes to the content of the DNS root zone, the systems including both hardware and software components used in executing changes to the DNS root zone, and the mechanisms used for distribution of the DNS root zone" and that "[t]he Committee will consider issues raised to the Committee by any of its members, PTI staff, or by the Customer Standing Committee (CSC) to identify any potential evolutionary improvements and/or security, stability or resiliency risks to the architecture and operation of the DNS root zone".<sup>85</sup> These mandates overlap those of both the RSSAC and the SSAC, and we found<sup>86</sup> that although most members of these groups were confident that the overlaps could be resolved in practice on a case-by-case basis, others found them confusing; some were concerned that the RZERC might encroach on the work of the RSSAC and the SSAC or be expected to resolve conflicts and differences of opinion between those committees.

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<sup>82</sup> ICANN Bylaws Section 12.2(b) (<https://www.icann.org/resources/pages/governance/bylaws-en/#article12>).

<sup>83</sup> ICANN Bylaws Section 12.2(c) (<https://www.icann.org/resources/pages/governance/bylaws-en/#article12>).

<sup>84</sup> ICANN Bylaws Section 12.2(b) (<https://www.icann.org/resources/pages/governance/bylaws-en/#article12>).

<sup>85</sup> <https://www.icann.org/en/system/files/files/revised-rzerc-charter-08aug16-en.pdf>

<sup>86</sup> See Section II.2.8 of this report.

## Part IV Public Comments

Public comments on the *Draft Final Report* were solicited during a period that began with its publication on 1 May 2018 and ended on 10 June 2018. During this period 7 substantive comments were received from individuals and from other ICANN organizational structures. These comments raised issues or made suggestions in the following areas:

### IV.1 Scope of the Review

The comment from the RSSAC<sup>87</sup> itself notes “serious concerns about the scope of this organizational review”. We believe that this primarily reflects disagreement between the RSSAC and the independent examiner (IE) concerning the instructions to the IE contained in sections 2.2 “Scope of the Review” and 2.3.1 “Scope of Work for 2017/18 RSSAC Review – High-Level” of the *Request for Proposal for Review of the ICANN Root Server System Advisory Committee*<sup>88</sup>.

Our work included, as the RSSAC expected, “a review of the structure, correspondence, minutes, documents, personnel, and liaison relationships of the RSSAC”, and also the RSSAC self-assessment conducted and approved in June through September 2017. The RSSAC comment notes that “[i]ssues of perception and communication need to be addressed differently from issues of substance” and asserts that this review does not distinguish between them in the recommendations. Most of the perception and communication issues are covered in the Findings rather than the Recommendations, but in every case are clearly identified (as for example by reference to “community perception”) and distinguished from findings that concern other issues.

The RSSAC comment also asserts that the review “conflates the issues of RSO accountability and RSSAC accountability”. In fact, the review does precisely the opposite, calling attention in several places (including Recommendation 3) to the importance of the distinction and noting as an issue that it is not always recognized. For example, at the beginning of section II.2.5:

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<sup>87</sup> <http://mm.icann.org/pipermail/comments-rssac2-review-final-01may18/attachments/20180610/77f69f65/RSSACStatementontheDraftFinalReportoftheSecondOrganizationalReviewoftheRSSAC-0001.pdf>

<sup>88</sup> <https://www.icann.org/en/system/files/files/rfp-rssac-review-05jun17-en.pdf>

*It is important to clearly distinguish issues of “stakeholder” and “accountability” as they apply to the RSSAC (an ICANN advisory committee) and to the RSOs (independent organizations that collaborate to serve the root). We found that in practice it is difficult to do so. RSSAC members are RSO representatives, and because this creates for many people the (erroneous) impression that the RSSAC is an “association” of the RSOs, the distinction between RSSAC accountability and RSO accountability is often lost.*

## IV.2 RSSAC Membership

Several comments supporting Recommendation 1 called for the RSSAC membership to be expanded in specific ways, *e.g.* by mandating representation of specific groups (such as the GNSO or ccNSO). Our findings do not support such an extension of Recommendation 1, and we believe that the RSSAC should retain complete control over whether, how, and to whom it expands its membership beyond the RSOs.

The ALAC comment<sup>89</sup> suggested a modification to Recommendation 1 to “allow forms other than ‘membership’ while achieving the same aim of ensuring that the RSSAC has all of the skills and perspectives to properly fulfill its function.” Our explanation of Recommendation 1 explains why we believe that this approach, which is essentially that of the RSSAC Caucus, does not “achieve the same aim”: *The RSSAC Caucus does not help here. It is defined to be a pool of expert resources available to perform specific tasks on demand—its members do not participate in the executive activities of identifying the “specific tasks” or determining the “demand”.* It is the decision-making body that suffers from lack of access to skills and perspectives that are not available from the RSOs, not the technical expert body.

## IV.3 Transparency

Several comments expressed general approval of the findings concerning transparency, although it is invoked only indirectly in Recommendations 5 and 6.

The RSSAC comment notes that the review itself, “which utilizes closed-door interviews and unattributed quotations, does not uphold the core value of transparency” and “[h]ad this organizational review been based on more transparent methods and sources, the RSSAC may have been more understanding in its reading of the draft final report”. We understand this to be a comment about the way in which

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<sup>89</sup> <http://mm.icann.org/pipermail/comments-rssac2-review-final-01may18/attachments/20180610/fe60f39d/AL-ALAC-ST-0610-01-00-EN-0001.pdf>

ICANN has defined the role of the independent evaluation in its organizational reviews; the principle of non-attribution that governs interviews and surveys is non-transparent by design, and the IE has no power to make this otherwise.

## Appendix A – Sources

### A.1 Personal Interviews

We conducted individual interviews with the following 48 people. Most of the interviews lasted for one hour, either in person or by telephone. Everyone interviewed was informed of, and agreed to, the following privacy policy: “the fact that the interview took place with a named person will be public and published in our report, but none of the information gathered during the course of the interview will be attributed to a particular individual”.

For each person interviewed, the list below shows the perspective(s) from which the person was asked to comment on the RSSAC.

Name	Relevant Perspective
Joe Abley	SSAC, RSSAC Caucus
Fred Baker	Internet Systems Consortium (F-root representative)
kc claffy	SSAC, Center for Applied Internet Data Analysis
Mark Carvell	Outgoing GAC vice-chair
David Conrad	ICANN CTO
John Crain	ICANN (L-root alternate)
Steve Crocker	Outgoing ICANN Board Chair
Kim Davies	RSSAC Caucus, PTI representative to the RZERC
Paul Diaz	GNSO Registry Stakeholder Group / RySG
Patrik Fältström	Outgoing SSAC Chair
Elise Gerich	Past IANA Functions Operator representative. RSSAC Caucus
Cathy Handley	ARIN, past NTIA contracting officer
Ted Hardie	IAB Chair
Ashley Heineman	Past NTIA liaison, RSSAC Caucus
Hiro Hotta	WIDE Project (M-root alternate)
Geoff Huston	SSAC, RSSAC Caucus, APNIC
Kevin Jones	NASA (E-root representative)
Daniel Karrenberg	RIPE NCC (K-root representative)
Howard Kash	US Army Research Laboratory (H-root representative)
Peter Koch	ccNSO representative to the RZERC

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ICANN Root Server System Advisory Committee Organizational Review

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Mark Kosters	RSSAC Caucus, ARIN
Warren Kumari	RSSAC Caucus, SSAC, Technical Experts Group
Cheryl Langdon-Orr	ALAC
Lars-Johan Liman	Netnod (I-root representative), past RSSAC co-chair, RSSAC liaison to the Customer Standing Committee
Terry Manderson	ICANN (L-root representative)
Bill Manning	Past B-root representative, RSSAC Caucus
George Michaelson	RSSAC Caucus, APNIC
Ram Mohan	SSAC liaison to the ICANN Board
Russ Mundy	SSAC liaison to the RSSAC, SSAC representative to the RZERC
Jun Murai	WIDE Project (M-root representative), founding RSSAC chair
Jeff Osborn	Internet Systems Consortium (F-root alternate)
Kaveh Ranjbar	RIPE NCC (K-root alternate), RSSAC liaison to the ICANN Board, Board representative to the RZERC
Carlos Reyes	ICANN staff
George Sadowsky	ICANN Board
Naela Sarras	IANA Functions Operator representative
Katrina Sasaki	ccNSO Council chair
Steve Sheng	ICANN staff
Tripti Sinha	University of Maryland (D-root representative), RSSAC co-chair
Gerry Sneeringer	University of Maryland (D-root alternate)
Ryan Stephenson	US Department of Defense (G-root alternate)
Andrew Sullivan	Past IAB Chair
Ondřej Surý	RSSAC caucus, DNS-OARC vice-chair
Tapani Tarvainen	Outgoing GNSO Non Commercial Stakeholder Group / NCSG Chair
David Trout	DNS-OARC, Comcast
Brad Verd	Verisign (A/J-root representative), RSSAC co-chair, RSSAC representative to the RZERC
Paul Vixie	Cogent (C-root representative)
Duane Wessels	RSSAC Root Zone Maintainer representative, DNS-OARC chair, Root Zone Maintainer representative to the RZERC
Suzanne Woolf	University of Southern California (B-root alternate), past RSSAC liaison to the ICANN Board

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## A.2 Survey

The RSSAC survey was intended to solicit opinions about the RSSAC from a broader group of people than could be interviewed in depth. ICANN advertised the existence of the RSSAC survey in communications with the community. Additionally, ICANN specifically followed up with individuals on the RSSAC Caucus to elicit their responses to the survey.

The RSSAC survey<sup>90</sup> was open between 27 November and 20 December 2017. The RSSAC survey was implemented using LimeSurvey.

39 people completed the survey. A further 35 people accessed the survey without answering the questions (“kicking the tires”).

The survey questions were organized into five separate groups of related questions

- Knowledge – of ICANN and RSSAC
- Role and Composition – of RSSAC
- Communication – between RSSAC and both the Board and other groups
- RSSAC Caucus and RZERC – about the RSSAC Caucus and the Root Zone Evolution Review Committee
- Previous RSSAC Organizational Review – about the previous review of RSSAC

### A.2.1 Survey Questions

Some questions were only asked if the answer to one of the preceding questions showed that the subsequent question had any meaning.

A couple of questions (marked with “\*”) required answers; the majority of questions were optional.

Questions are shown with numbers here, though those numbers were not displayed on the survey itself.

Questions that elicited free-form text answers are shown here with \_\_\_\_.

For questions that have a scale (typically 1..5) the range of choices was described below the question.

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<sup>90</sup> Although no longer available, the RSSAC survey URL was:  
<https://rssac2017.limequery.net/168544>

## A.2.1.1 Introduction

Welcome to the ICANN Root Server System Advisory Committee (RSSAC) Organizational Review Survey!

The RSSAC Organizational Review is an assessment of:

- whether the RSSAC has a continuing purpose within the ICANN structure;
- how effectively the RSSAC fulfills its purpose, and whether any change in structure or operations would improve its effectiveness; and
- the extent to which the RSSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.

This Survey is intended to provide information that the Independent Examiner (Interisle Consulting Group) will use to perform the assessment. Your responses will not be seen by anyone else. At the end of the survey we will give you the opportunity to send us additional comments by email.

There are 31 questions in this survey

## A.2.1.2 Knowledge

A series of questions about your knowledge of ICANN and its Root Server System Advisory Committee (RSSAC)

Q1 – How knowledgeable are you about ICANN? \*

1 = not at all ... 5 = very knowledgeable

Q2 – How many ICANN meetings have you attended?

None; 1; 2-10; 11-20; More than 20

Q3 – Do you identify with a particular constituency?

ASO - Address Supporting Organization

ALAC - At-Large Advisory Committee

ccNSO - Country Code Names Supporting Organization

GNSO - Generic Names Supporting Organization

GDD - Global Domains Division

GAC - Governmental Advisory Committee

ICANN Staff

IETF

Internet Society

NomCom - Nominating Committee

NRO - Number Resource Organization

RIR - Regional Internet Registry

RSSAC - Root Server System Advisory Committee

RSSAC Caucus

SSAC - Security and Stability Advisory Committee

Other \_\_\_\_\_

Q4 – How knowledgeable are you about the RSSAC and its role? \*

1 = not at all ... 5 = very knowledgeable

Q5 – What do you think the RSSAC is doing?

\_\_\_\_\_

Q6 – What do you think the RSSAC should be doing?

\_\_\_\_\_

Q7 – Have you read any of the RSSAC Publications?

All/most of them; Some of them; 1 or 2 of them; None of them; I did not know about them

The RSSAC Publications can be found at

<https://www.icann.org/groups/rssac/documents>

Q8 – Any comments on the RSSAC publications?

\_\_\_\_\_

### **A.2.1.3 Role and Composition**

A series of questions about the role and composition of the RSSAC

Q9 – The RSSAC was established to provide advice to the ICANN Board and Community about the root server system of the DNS. How well do you think the RSSAC is fulfilling this role?

1 = poorly ... 5 = very well

Q10 – Why?

\_\_\_\_\_

Q11 – The RSSAC membership consists of representatives from the 12 root server operators and liaisons from the IANA Functions Operator, the Root Zone Maintainer, the Internet Architecture Board, and the Security and Stability Advisory Committee. Does this membership give the RSSAC everything it needs to fulfill its role?

Yes; No

Q12 – What changes would improve the RSSAC’s ability to fulfill its role?

\_\_\_\_\_

Q13 – Do you think that the RSSAC has or should have an obligation to anyone other than the ICANN Board and Community?

Yes; No

Q14 – What other obligations does (or should) the RSSAC have?

\_\_\_\_\_

## **A.2.1.4 Communication**

A series of questions about the way in which the RSSAC communicates with the ICANN Board and other groups

Q15 – How well does the RSSAC’s advice satisfy the needs of the ICANN Board?

1 = not well at all ... 5 = very well

Q16 – Do you have any comments on the RSSAC’s advice to the ICANN Board?

\_\_\_\_\_

Q17 – How well does the RSSAC’s advice satisfy the needs of the ICANN Community?

1 = not well at all ... 5 = very well

Q18 – Do you have any comments on the RSSAC’s advice to the ICANN community?

\_\_\_\_\_

Q19 – How well does the RSSAC interact with other ICANN Supporting Organizations and Advisory Committees?

1 = not well at all ... 5 = very well

Q20 – What could RSSAC do better in its interactions with other ICANN Supporting Organizations and Advisory Committees?

\_\_\_\_\_

## **A.2.1.5 RSSAC Caucus and RZERC**

A series of questions about the RSSAC Caucus and about the Root Zone Evolution Review Committee (RZERC)

Q21 – How knowledgeable are you about the RSSAC Caucus and its role?

1 = not at all ... 4 = very knowledgeable, 5 = RSSAC Caucus member

Q22 – How well does the RSSAC Caucus contribute to the work of the RSSAC?

1 = not at all well ... 5 = very well

Q23 – How could the RSSAC Caucus contribute better to the work of RSSAC?

\_\_\_\_\_

Q24 – Do you have any comments on the RSSAC Caucus’s membership or processes?

\_\_\_\_\_

Q25 – How knowledgeable are you about the Root Zone Evolution Review Committee (RZERC) and its role?

1 = not at all ... 4 = very knowledgeable, 5 = RZERC member

Q26 – How well are the roles of the RZERC and the RSSAC defined and distinguished?

1 = not at all well ... 5 = very well

Q27 – How could the roles of the RZERC and the RSSAC better be defined and distinguished?

\_\_\_\_\_

## **A.2.1.6 Previous RSSAC Organizational Review**

A series of questions about the first review of the RSSAC in 2009

Q28 – How familiar are you with the results of the previous RSSAC Organizational Review?

1 = not at all ... 5 = very familiar

Q29 – How familiar are you with the changes to the RSSAC that have been made since the previous RSSAC Organizational Review?

1 = not at all ... 5 = very familiar

Q30 – Have those changes improved the RSSAC’s ability to fulfill its role?

1 = not at all ... 5 = significantly

Q31 – Why?

\_\_\_\_\_

## **A.2.1.7 After Completing the Survey**

Thank you for completing the RSSAC Review Survey!

The RSSAC Review independent examiner (Interisle Consulting Group) is interested in comments from anyone who has information or observations to contribute concerning any aspect of the role, structure, or operation of the ICANN RSSAC.

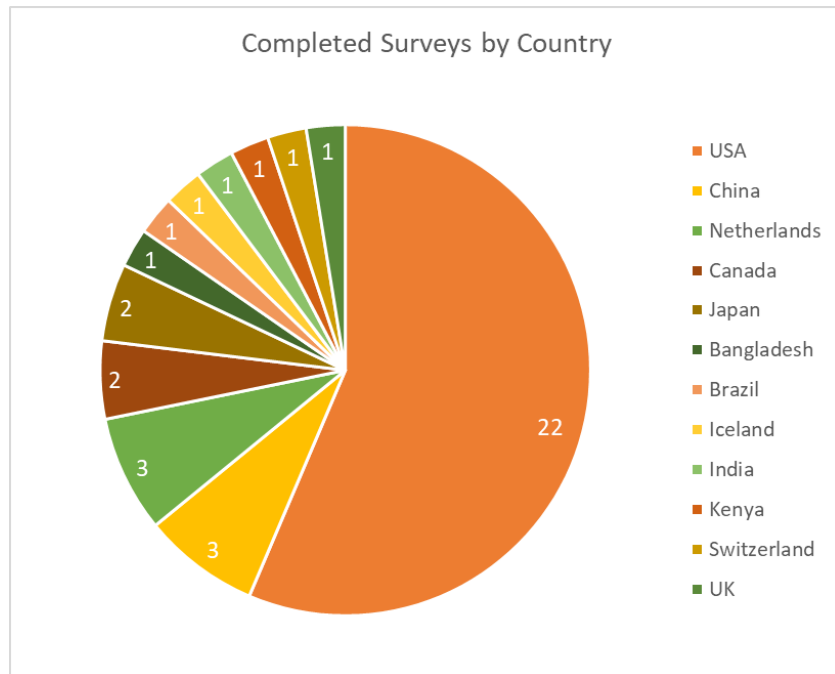
Comments should be sent no later than 20 December 2017 to [rssacreview@interisle.net](mailto:rssacreview@interisle.net).

All comments must include the submitter's name and affiliation, but we will not reveal this information to anyone outside of the review team, and it will not appear in any report or other output of our review, without the explicit consent of the submitter.

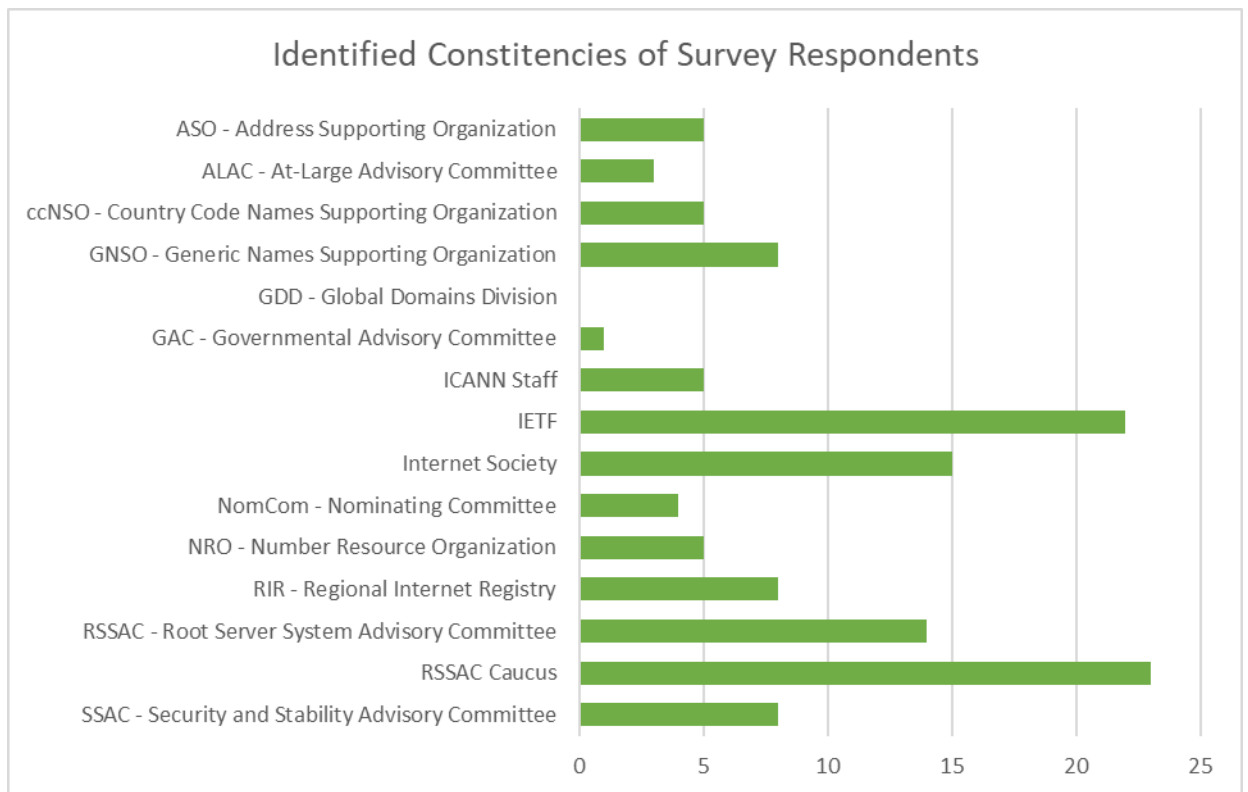
## A.2.2 Who Responded

Survey respondents came from 12 different countries (based on the respondents' IP addresses):

Country	Completed Surveys
USA	22
China	3
Netherlands	3
Canada	2
Japan	2
Bangladesh	1
Brazil	1
Iceland	1
India	1
Kenya	1
Switzerland	1
UK	1
<b>Total:</b>	<b>39</b>



In “Q3 – Do you identify with a particular constituency?”, the following numbers of responses to each option were:



Answers given under “Other” were:

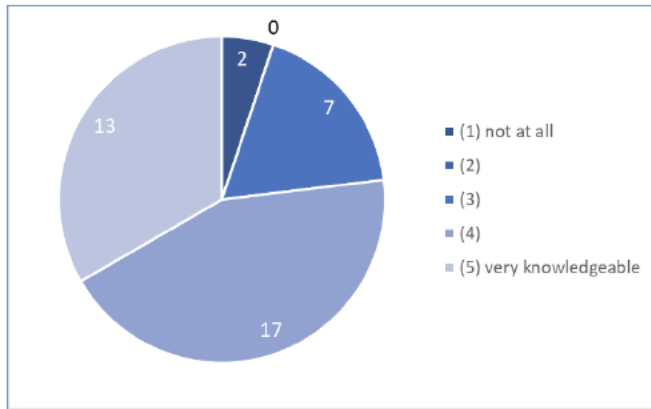
- Global Internet Community
- Centr.org
- onboarding pilot Program
- Root Server Operator
- IGF youth
- ISPC

## A.2.3 Survey Responses

The following shows the responses to questions of a yes/no type or a 1..5 scale.

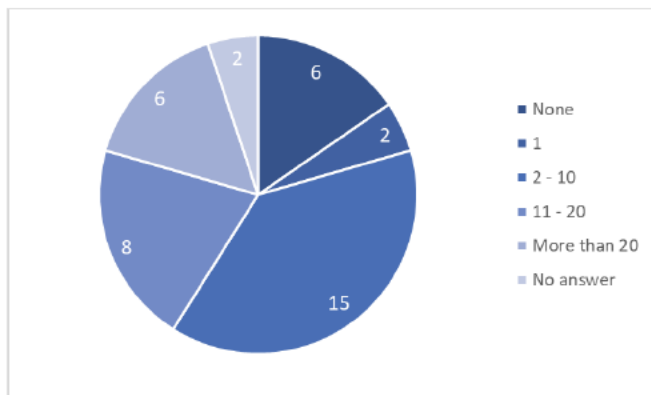
### A.2.3.1 Knowledge

Q1 – How knowledgeable are you about ICANN?



(1) not at all	2
(2)	0
(3)	7
(4)	17
(5) very knowledgeable	13
<b>Total:</b>	<b>39</b>

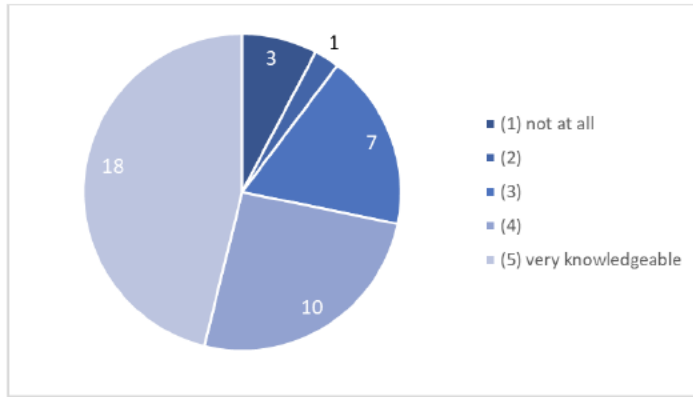
Q2 – How many ICANN meetings have you attended?



None	6
1	2
2 – 10	15
11 – 20	8
More than 20	6
No answer	2
<b>Total:</b>	<b>39</b>

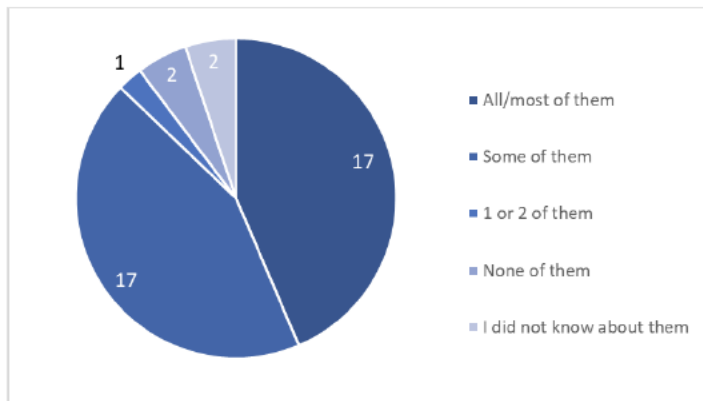


Q4 – How knowledgeable are you about the RSSAC and its role?



(1) not at all	3
(2)	1
(3)	7
(4)	10
(5) very knowledgeable	18
<b>Total:</b>	<b>39</b>

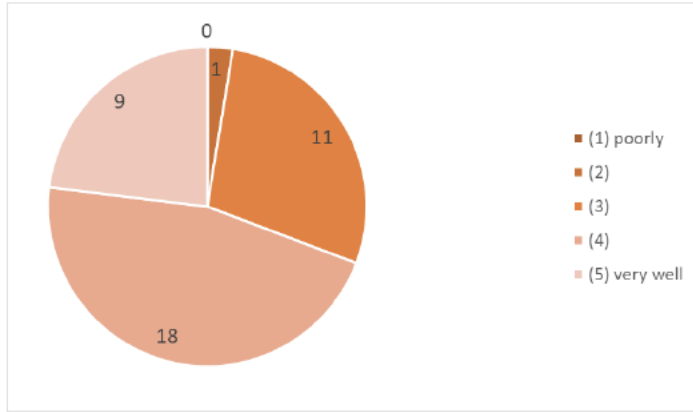
Q7 – Have you read any of the RSSAC Publications?



All/most of them	17
Some of them	17
1 or 2 of them	1
None of them	2
I did not know about them	2
<b>Total:</b>	<b>39</b>

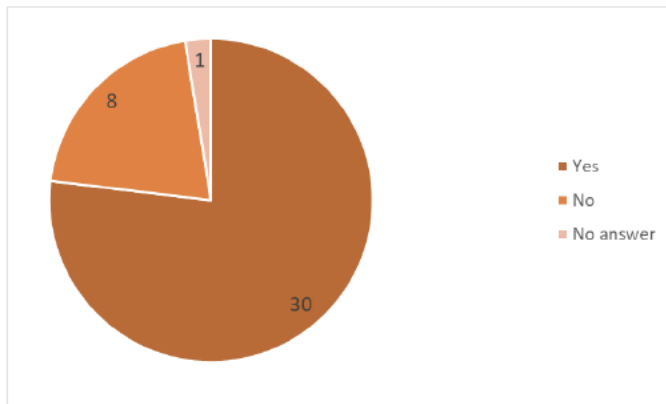
### A.2.3.2 Role and Composition

Q9 – The RSSAC was established to provide advice to the ICANN Board and Community about the root server system of the DNS. How well do you think the RSSAC is fulfilling this role?



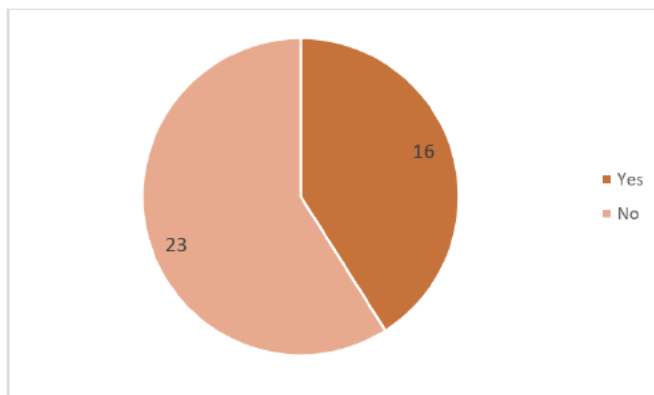
(1) poorly	0
(2)	1
(3)	11
(4)	18
(5) very well	9
<b>Total:</b>	<b>39</b>

Q11 – The RSSAC membership consists of representatives from the 12 root server operators and liaisons from the IANA Functions Operator, the Root Zone Maintainer, the Internet Architecture Board, and the Security and Stability Advisory Committee. Does this membership give the RSSAC everything it needs to fulfill its role?



Yes	30
No	8
No answer	1
<b>Total:</b>	<b>39</b>

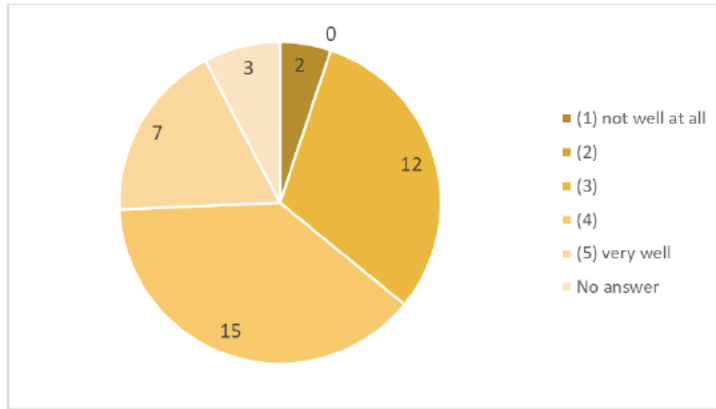
Q13 – Do you think that the RSSAC has or should have an obligation to anyone other than the ICANN Board and Community?



Yes	16
No	23
<b>Total:</b>	<b>39</b>

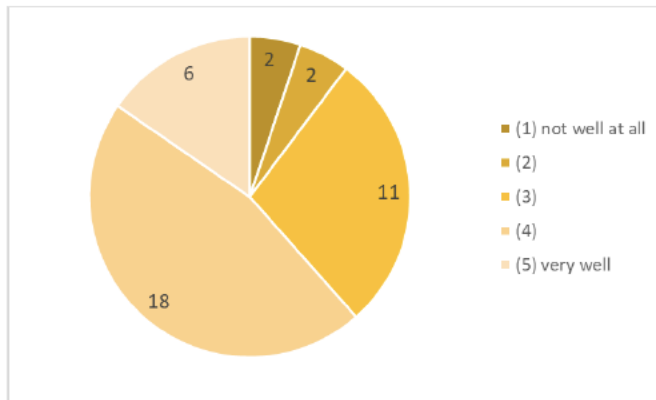
### A.2.3.3 Communication

Q15 – How well does the RSSAC’s advice satisfy the needs of the ICANN Board?



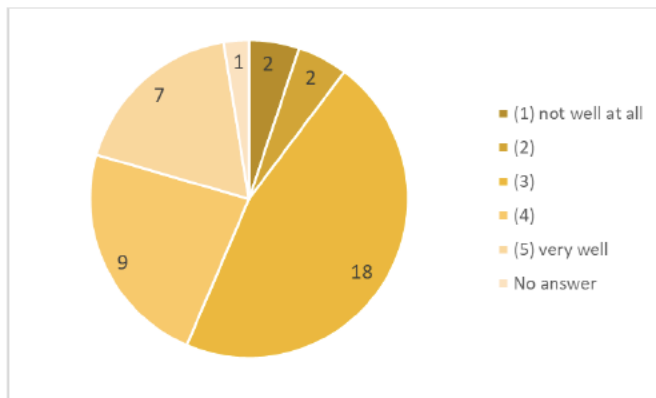
(1) not well at all	2
(2)	0
(3)	12
(4)	15
(5) very well	7
No answer	3
<b>Total:</b>	<b>39</b>

Q17 – How well does the RSSAC’s advice satisfy the needs of the ICANN Community?



(1) not well at all	2
(2)	2
(3)	11
(4)	18
(5) very well	6
<b>Total:</b>	<b>39</b>

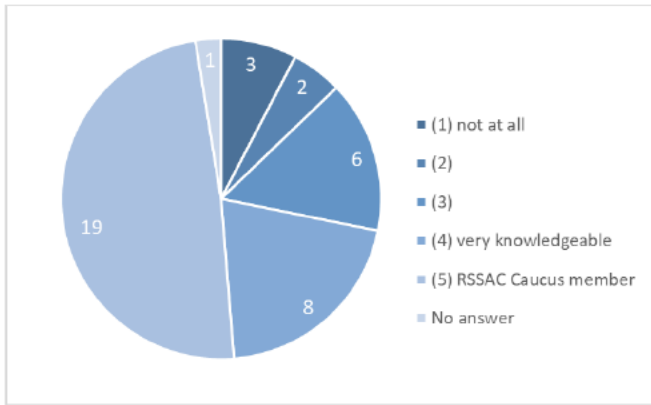
Q19 – How well does the RSSAC interact with other ICANN Supporting Organizations and Advisory Committees?



(1) not well at all	2
(2)	2
(3)	18
(4)	9
(5) very well	7
No answer	1
<b>Total:</b>	<b>39</b>

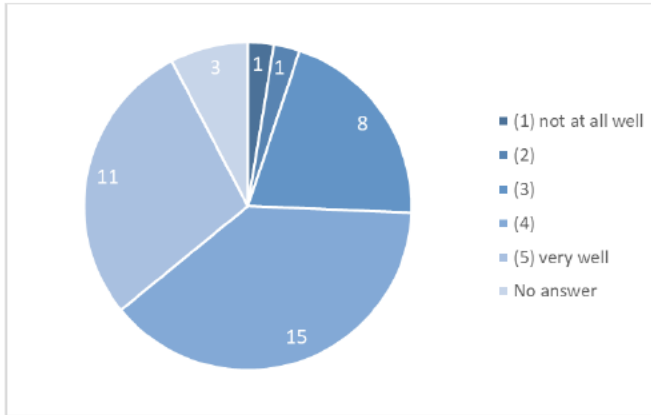
### A.2.3.4 RSSAC Caucus and RZERC

Q21 – How knowledgeable are you about the RSSAC Caucus and its role?



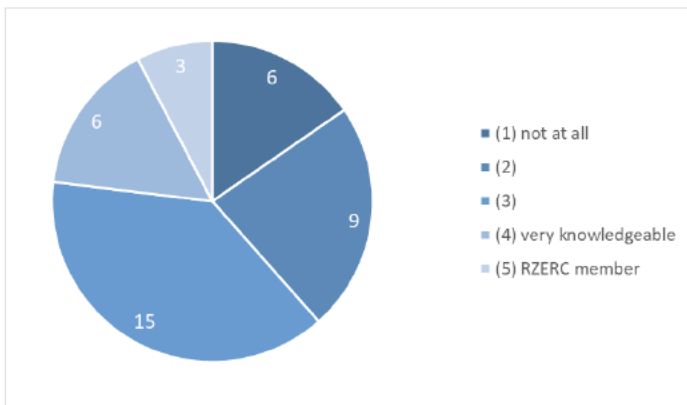
(1) not at all	3
(2)	2
(3)	6
(4) very knowledgeable	8
(5) RSSAC Caucus member	19
No answer	1
<b>Total:</b>	<b>39</b>

Q22 – How well does the RSSAC Caucus contribute to the work of the RSSAC?



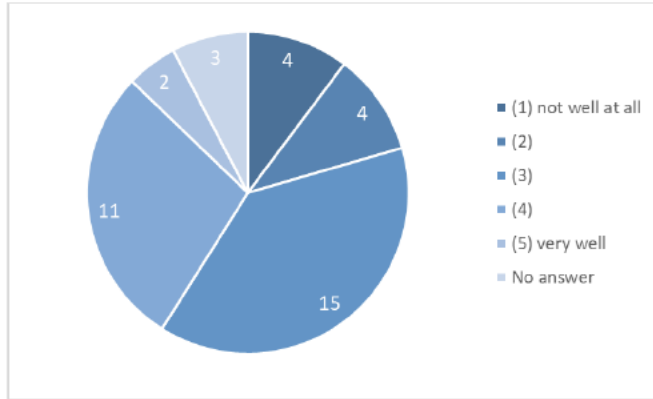
(1) not at all well	1
(2)	1
(3)	8
(4)	15
(5) very well	11
No answer	3
<b>Total:</b>	<b>39</b>

Q25 – How knowledgeable are you about the Root Zone Evolution Review Committee (RZERC) and its role?



(1) not at all	6
(2)	9
(3)	15
(4) very knowledgeable	6
(5) RZERC member	3
<b>Total:</b>	<b>39</b>

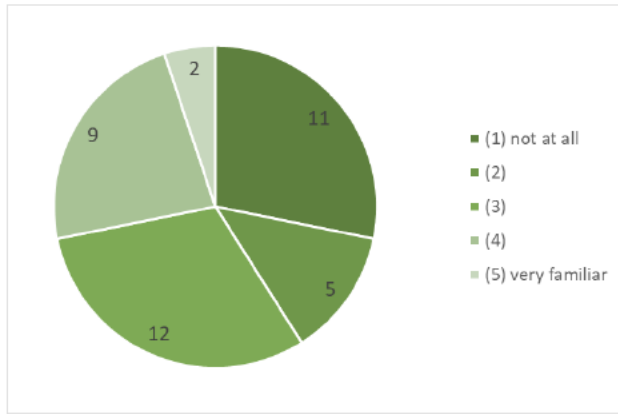
Q26 – How well are the roles of the RZERC and the RSSAC defined and distinguished?



(1) not well at all	4
(2)	4
(3)	15
(4)	11
(5) very well	2
No answer	3
<b>Total:</b>	<b>39</b>

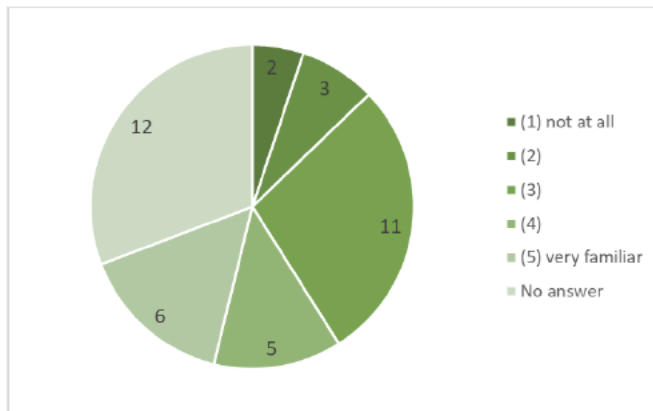
### A.2.3.5 Previous RSSAC Organizational Review

Q28 – How familiar are you with the results of the previous RSSAC Organizational Review?



(1) not at all	11
(2)	5
(3)	12
(4)	9
(5) very familiar	2
<b>Total:</b>	<b>39</b>

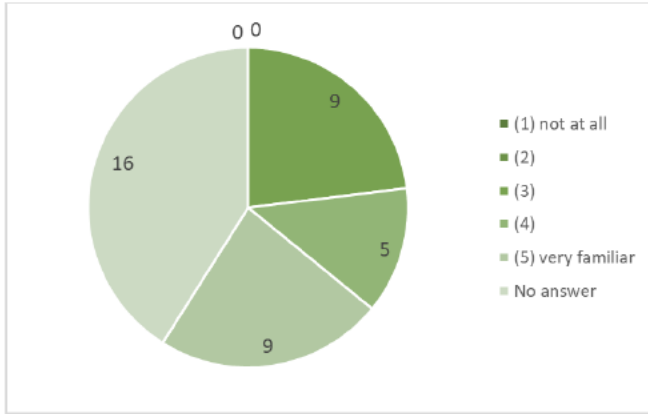
Q29 – How familiar are you with the changes to the RSSAC that have been made since the previous RSSAC Organizational Review?



(1) not at all	2
(2)	3
(3)	11
(4)	5
(5) very familiar	6
No answer	12
<b>Total:</b>	<b>39</b>

Q30 – Have those changes improved the RSSAC's ability to fulfill its role?

# ICANN Root Server System Advisory Committee Organizational Review



(1) not at all	0
(2)	0
(3)	9
(4)	5
(5) very familiar	9
No answer	16
<b>Total:</b>	<b>39</b>

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

3 May 2019



## ICANN PROPOSED ADOPTED FY20 PLANNING DOCUMENTS

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

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

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

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



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# 1 Introduction

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

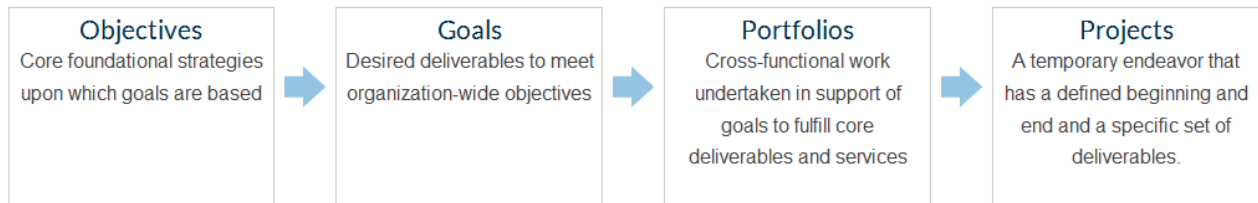
<p>1. <b>Five-Year Strategic Plan</b></p>	<p>To be completed every five years or earlier if appropriate.</p> <p>It includes:</p> <ul style="list-style-type: none"> <li>⦿ Vision and mission</li> <li>⦿ Strategic objectives</li> <li>⦿ Goals</li> <li>⦿ Key success factors</li> <li>⦿ Strategic risks</li>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

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

## 2 Planning Structure

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

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



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

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

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

## 3 Community Roles and Responsibilities

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

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

## 4 ICANN Operating Plan – Strategic Goal Level

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

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

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

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

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

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

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

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

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

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

## 5 Strategic Objectives | 16 Goals



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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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



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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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

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

## PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

1. Community collaboration

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

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

Successful tool development depends on the availability of OCS resources.

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

## PHASING

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

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

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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

1. Engineering & IT resource availability

## PHASING

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

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

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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

**PHASING**

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

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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

- ⦿ Domain Name Marketplace Indicators

## DEPENDENCIES

1. Engineering & IT resources availability

## PHASING

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

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

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

## PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

Includes:

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

## DEPENDENCIES

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



## PHASING

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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

None

## PHASING

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

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

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

## FY20 PORTFOLIOS

1. People Management
2. Global Operations

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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

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

## FY20 PORTFOLIOS

1. Working with governments and intergovernmental organizations

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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



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

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

## FY20 PORTFOLIOS

1. Support Internet Governance (IG) Ecosystem Advancement

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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

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

## FY20 PORTFOLIOS

1. Consumer Safeguards
2. Contractual Compliance Function

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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

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

## FY20 PORTFOLIOS

1. Legal Support and Advice
2. Support ICANN Board

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

<b>FY18</b>	<p><b>Planned</b></p> <ul style="list-style-type: none"> <li>⦿ 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</li> </ul>	<p><b>Status at the end of FY18</b></p> <ul style="list-style-type: none"> <li>⦿ Provided information on the number of rationales that included the public interest assessments as part of decision making</li> </ul>
<b>FY19</b>	<p><b>Planned</b></p> <ul style="list-style-type: none"> <li>⦿ Continue to report the number of decisions that are taken by the ICANN Board which includes public interest assessments in the rationales</li> </ul>	<p><b>Intended Status at the end of FY19</b></p> <ul style="list-style-type: none"> <li>⦿ All decisions made by the ICANN Board included the assessment of public interest in the rationales.</li> </ul>
<b>FY20</b>	<ul style="list-style-type: none"> <li>⦿ 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</li> </ul>	

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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



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

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

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

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

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

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

## FY20 PORTFOLIOS

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

## ACCOUNTABILITY INDICATORS (METRICS)

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

## DEPENDENCIES

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

## PHASING

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

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

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



# 5 A Financial Management Strategy

## 5.1 Introduction

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

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

The financial management strategy is not:

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

## 5.2 Principles

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

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

# **Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY20 Operating Plan & Budget Introduction and Highlights**

3 May 2019



## ICANN PROPOSED ADOPTED FY20 PLANNING DOCUMENTS

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

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

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

To get the most out of this document series, first read the Introduction and Highlights document. Afterward, you can separately review each of the other standalone documents in no specific order, depending on your interest.

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# 1 ICANN FY20 Budget Highlights Introduction

This document provides key highlights and an overview of the FY20 Budget as presented in the ICANN Proposed Adopted FY20 Operating Plan and Budget that was published for public comment on 17 December 2018. It summarizes ICANN's planned activities for the FY20 financial year 01 July 2019 through 30 June 2020.

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

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

## 2 FY20 Budget Highlights: ICANN Operations Overview

ICANN Operations FY20 funding estimate is \$140 million; the cash expenses total \$137 million with a \$3 million contribution to the Reserve Fund. This results in a balanced budget.

ICANN Operations	FY18 Actuals	FY19 Adopted Budget	FY19 Forecast	FY20 Draft Budget	Increase/ (Decrease) Vs. Forecast
Funding	\$134	\$138	\$137	\$140	\$3
Cash Expenses	\$131	\$138	\$135	\$137	\$2
Reserve Fund	\$3	\$0	\$0	\$3	\$3
Excess/(Deficit)	\$0	\$0	\$2	\$0	(\$2)

\$ in US Millions

### 3 Funding: Three-Year Comparative Summary

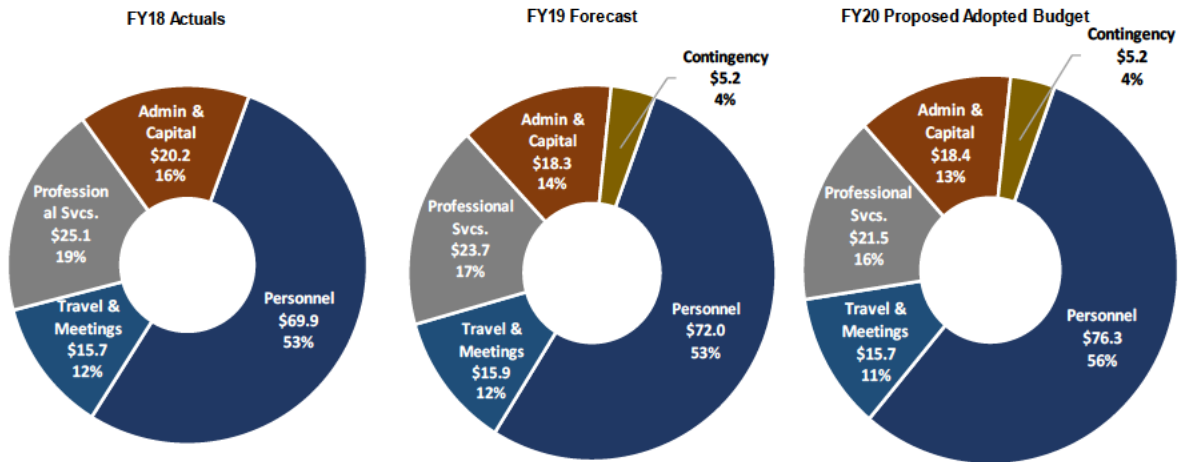
Funding for FY20 is estimated at \$140 million, which is above the FY19 Adopted Budget of \$138 million. In addition, the \$140 million is \$3 million above the FY19 Forecast of \$137 million. We anticipate funding to continue stabilizing; this is consistent with our recent funding trends.

	FY18 Actuals	FY19 Adopted Budget	FY19 Forecast	FY20 Draft Budget	Increase/ (Decrease) Vs. Forecast
Registry Transaction Fee	\$52	\$55	\$55	\$56	\$1
Registrar Transaction Fee	\$34	\$35	\$35	\$36	\$1
Registry Fixed Fee	\$31	\$30	\$30	\$30	(\$0)
Registrar Other Fees	\$15	\$14	\$14	\$14	\$1
Other	\$2	\$4	\$3	\$4	\$0
<b>Total</b>	<b>\$134</b>	<b>\$138</b>	<b>\$137</b>	<b>\$140</b>	<b>\$3</b>

\$ in US Millions

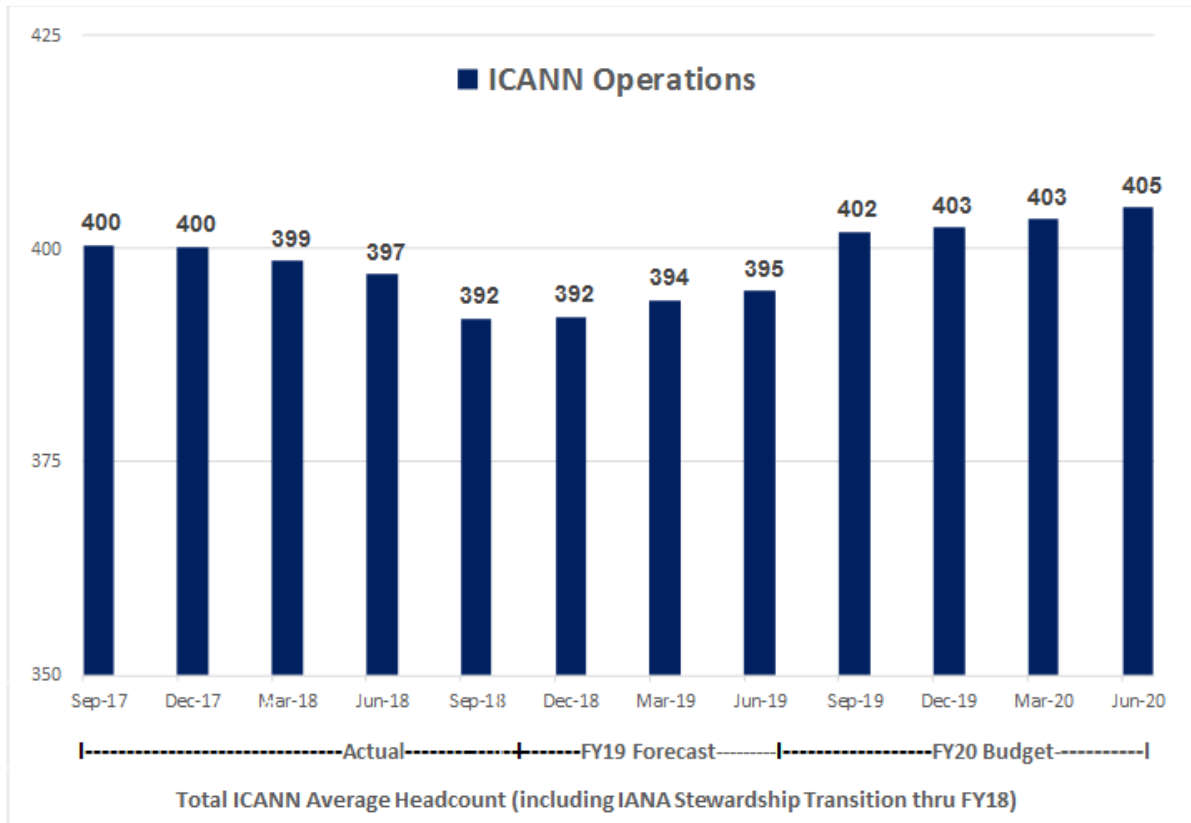
## 4 ICANN Operations: Cash Expenses by Category

The \$137.1 million in cash expenses for FY20 operations is \$0.6 million below the FY19 Adopted Budget expenses of \$137.7 million. In addition, this \$137.1 million is \$2 million above the FY19 Forecast expenses of \$135.2 million.



## 5 Budget Headcount: Three-Year Overview

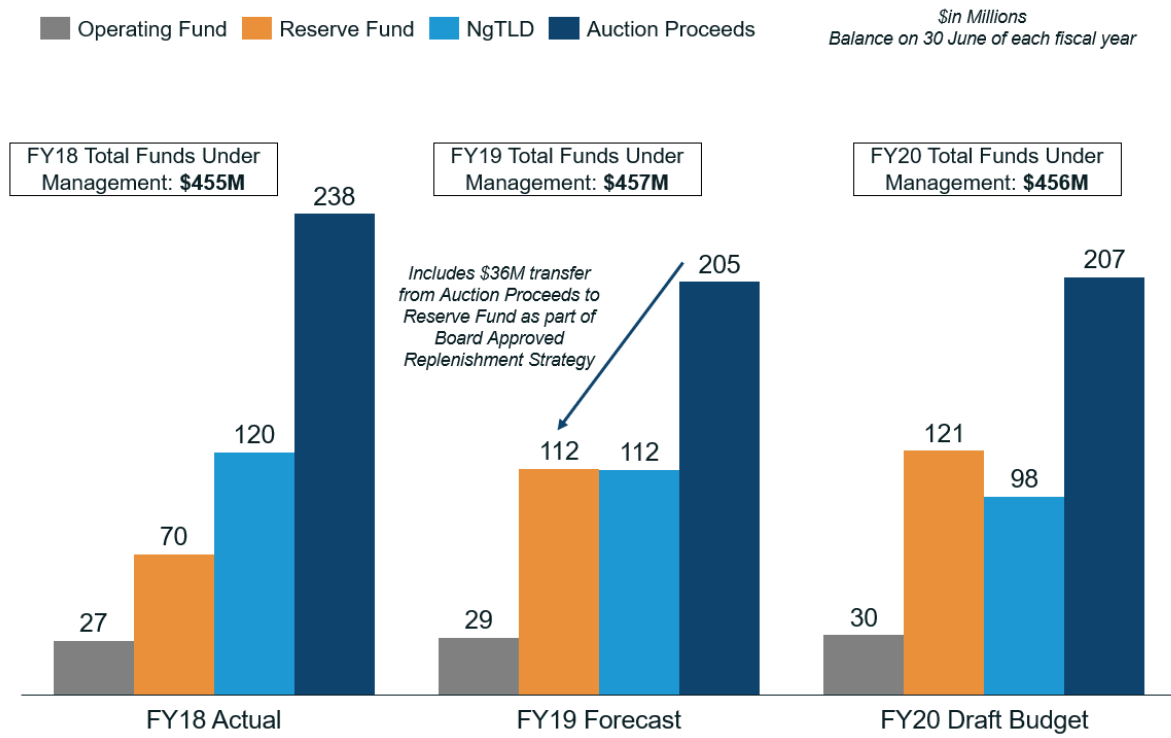
The following headcount chart shows the average number of ICANN organization personnel working in each period. New gTLD Program resources who previously reported under the program are now in ICANN Operations and will continue to support the program as required.





## 6 Funds Under Management

The following chart provides an overview of Funds Under Management.



The positions shown in the preceding chart reflect the impact of decisions approved by the Board, such as the Reserve Fund Replenishment Strategy, and do not reflect the impact of decisions to be considered and approved by the Board.

ICANN organization publishes the investment policies for the Reserve Fund and the new gTLD/Auction Proceeds on ICANN.org at:

- ⦿ [ICANN investment-policy](#)
- ⦿ [New gTLD and Auction Proceeds investment-policy](#)

## 7 Key Projects and Activities

In response to community comments made in previous years, this document provides readers with a high-level overview of key activities and projects for the upcoming fiscal year. This enables readers to acquire a summary of information about the key projects and activities within ICANN.

The following criteria were used to select the activities and projects that are addressed:

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

## 7.1 ICANN Public Meetings

In FY20, ICANN will organize:

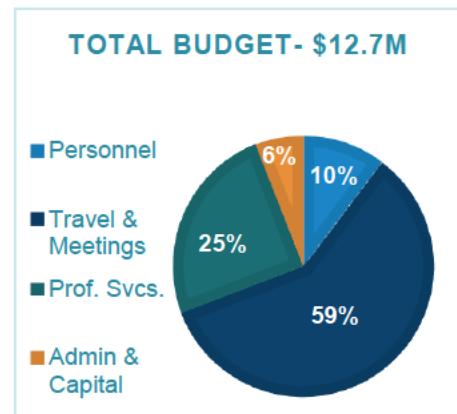
- ⦿ An Annual General Meeting in Montréal (ICANN66)
- ⦿ A community forum in Cancun (ICANN67)
- ⦿ A policy forum in Kuala Lumpur (ICANN68)

The community uses these meetings to conduct policy work, engage in outreach, exchange best practices, make business deals, network, and learn about ICANN.

ICANN Public meetings are 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 process collected community input on the possibility of adding one day to the Policy Forum (making it a five-day format) and reducing the Annual Meeting to a six-day format.

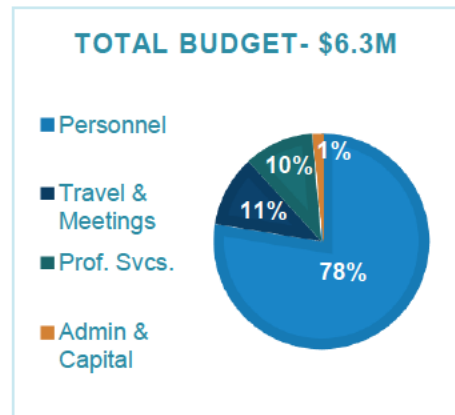
A project breakdown for this work is located in portfolio 1.2.1 of the Proposed Adopted FY20 ICANN Operating Plan and Budget.



## 7.2 Policy Development Support

Coordinating policy and developing advice 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:

- ⦿ Providing assistance for three Supporting Organizations, four Advisory Committees, and Stakeholder Groups. This includes support for:
  - Policy and advice development
  - Cross-community working groups
  - Other community committees
- ⦿ Creating and distributing regular updates on advice and policy development
- ⦿ Coordinating constituency travel services for some community members to enable their participation in ICANN Public Meetings
- ⦿ Supporting community participation in organizational and specific reviews as well as assisting in the implementation of review recommendations (for more information about reviews, see section 4.4 of this document)



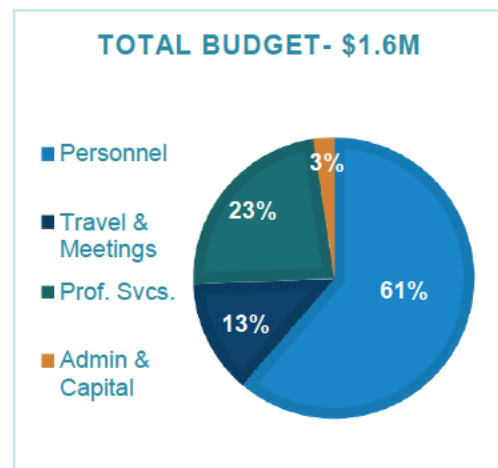
A project breakdown for this work is located in the portfolios in goal 1.3.1 of the ICANN Proposed Adopted FY20 Operating Plan and Budget.



## 7.3 Organizational and Specific Reviews

There are two sets of thematically aligned reviews:

- ⦿ [Organizational Reviews](#) help Supporting Organizations and Advisory Committees to 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)



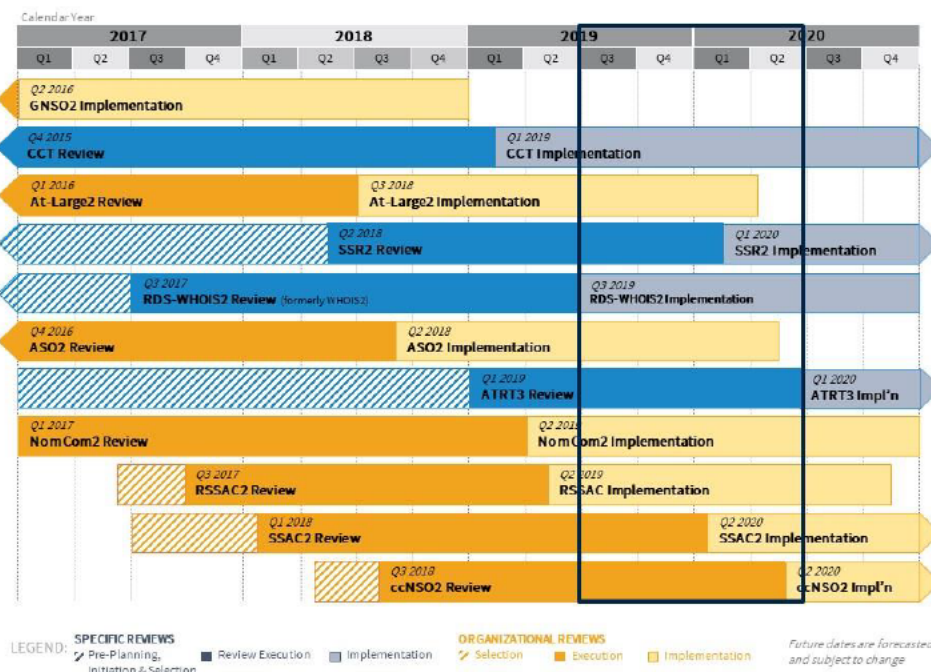
The review processes and calendars are established in Section 4 of the Bylaws. The illustration featured at the end of this section shows the current review schedule.

Useful recommendations are a key result of the reviews; they support a process of continuous improvement that benefits the ICANN community.

Review funding has been reduced in anticipation of public consultation, and a portion of the Contingency has been reserved for additional review funding if necessary.

A project breakdown for this work is located in portfolios 5.2.2 and 5.2.3 of the ICANN Proposed Adopted FY20 Operating Plan and Budget. A more detailed history and management overview is in Module 6.

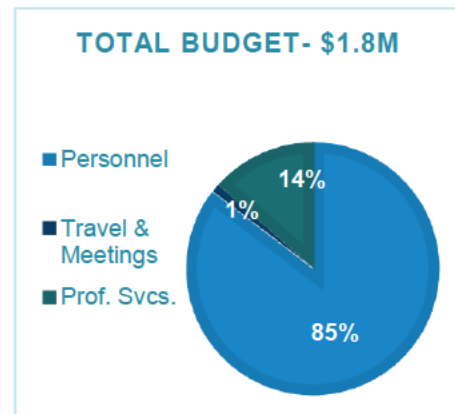
### Reviews Timeline



## 7.4 Data Protection and Privacy

Data privacy and protection regulations, such as the European Union's [General Data Protection Regulation](#) (GDPR), are currently undergoing development that may affect specific areas of ICANN's work. ICANN org executives, subject matter experts from various departments, and Board members are guiding GDPR-specific activities. 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 way to ensure compliance with GDPR while maintaining maximum access to gTLD domain registration data (also referred to as WHOIS data). To this end, ICANN org is working with external legal counsel to analyze GDPR's impact on gTLD registration directory services. This ultimately includes identifying potential models that address both GDPR and ICANN compliance obligations. We also continue to assess data we collect from internal and external sources to determine how to comply with GDPR as an organization.

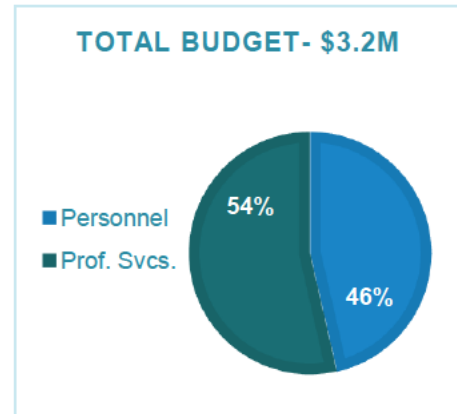
Although resources have been allocated to engage in global data privacy developments related to ICANN (e.g., GDPR and the e-privacy directive), the ICANN Proposed Adopted FY20 Operating Plan and Budget has not allocated any specific resources for data privacy activities. A project breakdown for the allocated resources is located in portfolio 5.2.4, Strategic Initiatives of the ICANN Proposed Adopted FY20 Operating Plan and Budget.

Since the scope of GDPR requirements is still being finalized, unforeseen costs may still be attributed to GDPR compliance. Any changes to business practices as a result of the GDPR will be considered part of the normal course of business. When this occurs, contingency dollars will be allocated to GDPR.

## 7.5 Information Transparency Initiative

It can be difficult to find information on ICANN.org and other sites used by the community. A permanent solution is needed; in response, [the Board approved](#) the Information Transparency Initiative on 23 September 2017.

A primary objective of this initiative is to make it easier to find ICANN's public content in all six United Nations languages. This objective responds to ICANN's mission and Bylaws – i.e., helping the community to do its work and meet commitments to accountability and transparency.



This initiative will accomplish the following goals:

- ⦿ Create an integrated, ongoing operational process to govern, preserve, organize, and secure ICANN's public content
- ⦿ Build a foundation of content governance offering consistent multilingual tagging, a functional information architecture, and enforced workflows
- ⦿ Govern content using a new document management system (the content foundation for ICANN ecosystem-wide governance)
- ⦿ Deploy new workflows and processes to ensure a consistent, multilingual taxonomy for easily finding content and supporting multifaceted searches
- ⦿ Provide this improved multilingual content and findability to the community through a new content management system that 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 to better serve ICANN's global community through increased findability and multilingual content

A project breakdown for this work is in portfolio 1.2.2 of the ICANN Proposed Adopted FY20 Operating Plan and Budget.

## FY20 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	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	-	8	0.8	0.0	1.9	0.1	2.8	
		1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	-	17	3.1	0.2	0.6	0.0	3.9	
	1.1 Further globalize and regionalize ICANN functions Total				25	3.9	0.2	2.5	0.1	6.7
	1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders	1.2.1 Meeting Services	Module 1: Engagement Activities		8	1.7	5.7	3.1	0.8	11.3
		1.2.2 Enhance cooperation and partnerships regionally to lower barriers and increase regional engagement with ICANN	Module 1: Engagement Activities		27	5.2	0.9	1.8	0.2	8.1
	1.2-Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders total				36	6.9	6.6	4.9	0.9	19.4
	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	4.9	0.7	0.7	0.1	6.4
1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities		Module 2: Direct Community Activity Support		2	0.1	2.8	0.0	0.0	2.9	
1.3 Evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive				36	5.0	3.5	0.7	0.1	9.3	
Objective 1: Evolve and Further Globalize ICANN Total				97	15.8	10.4	8.1	1.1	35.4	
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	0	0.0	0.0	0.4	0.0	0.4	
		2.1.2 Global Domains Division (GDD) Strategic Programs	Module 3: DNS Marketplace and Identifier Ecosystem	6	1.1	0.0	0.0	0.0	1.2	
		2.1.3 PTI Operations	Module 3: DNS Marketplace and Identifier Ecosystem	29	5.8	0.3	1.1	0.3	7.5	
		2.1.4 Global Domains Division (GDD) Operations	Module 3: DNS Marketplace and Identifier Ecosystem	36	5.3	0.2	2.6	0.3	8.4	
	2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem Total				71	12.4	0.5	4.1	0.6	17.6
	2.2 Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities	2.2.1 Security, Stability and Resiliency of Internet Identifiers	Module 1: Engagement Activities		0	0.0	0.0	0.1	0.3	0.4
		2.2.2 Identifier Evolution	Module 4: Technology & DNS Security		16	4.4	0.7	0.5	0.6	6.2
	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	0.5	0.9	6.6
	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		5	1.2	0.0	0.5	0.0	1.7
		2.3.2 New gTLD Program	Module 3: DNS Marketplace and Identifier Ecosystem		0	0.0	0.0	2.0	0.0	2.0
2.3.3 Registrar Services		Module 3: DNS Marketplace and Identifier Ecosystem		4	0.7	0.0	0.1	0.0	0.9	
2.3.4 Registry Services		Module 3: DNS Marketplace and Identifier Ecosystem		10	1.7	0.0	0.2	0.0	1.9	
2.3.5 Domain Name Services		Module 3: DNS Marketplace and Identifier Ecosystem		6	1.3	0.1	0.2	0.1	1.8	
2.3.6 Internationalized Domain Names and Universal Acceptance		Module 3: DNS Marketplace and Identifier Ecosystem		2	0.3	0.1	1.5	0.0	1.8	
2.3 Support the evolution of domain name marketplace to be robust, stable and trusted Total				27	5.3	0.2	4.4	0.1	10.1	
Objective 2: Support A Healthy, Stable, and Resilient Unique Identifier Ecosystem Total				114	22.1	1.5	9.1	1.6	34.2	
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	-	14	3.2	0.3	0.7	0.2	4.4	
		3.1.2 Finance and Procurement	-	19	5.4	0.4	0.9	1.6	8.2	
		3.1.3 Strategic and Operating Planning	-	1	0.3	0.0	0.1	0.0	0.5	
	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability Total				34	8.9	0.8	1.7	1.8	13.1
	3.2 Ensure structured coordination of ICANN's technical resources	3.2.1 IT Infrastructure, Cybersecurity Hardening and Control	-	9	1.4	0.1	0.1	0.4	2.0	
		3.2.2 Root Systems Operations	-	10	1.8	0.3	0.3	0.9	3.3	
		3.2.3 IT Service Scaling and Product Management	-	41	8.5	0.3	1.9	5.3	15.9	
3.2 Ensure structured coordination of ICANN's technical resources Total				61	11.7	0.6	2.2	6.6	21.2	
3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders	3.3.1 People Management	-	15	3.0	0.0	0.2	0.4	3.7		
	3.3.2 Global Operations	-	15	4.0	0.5	0.2	6.6	11.2		
3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders Total				31	7.1	0.5	0.4	6.9	14.9	
Objective 3: Advance Organizational, Technological and Operational Excellence Total				125	27.7	1.9	4.3	15.3	49.2	



Objective	Goal	Portfolios	Operating Plan Module Reference*	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total	
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	-	2	0.7	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			2	0.7	0.1	0.0	0.2	1.1	
	4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to supporting the global Internet ecosystem	4.2.1 Working with Governments and Intergovernmental Organizations	Module 1: Engagement Activities	1	0.4	0.0	0.0	0.0	0.5	
	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	0.4	0.0	0.0	0.0	0.5	
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues	4.3.1 Support Internet Governance Ecosystem	Module 1: Engagement Activities	5	1.4	0.1	0.2	0.1	1.7	
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues Total			5	1.4	0.1	0.2	0.1	1.7	
	4.4 Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest	4.4.1 Contractual Compliance and Safeguards	Module 5: Contractual Compliance and Consumer Safeguards	1	0.5	0.0	0.0	0.0	0.5	
		4.4.2 Contractual Compliance Function	Module 5: Contractual Compliance and Consumer Safeguards	27	3.9	0.1	0.6	0.1	4.7	
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	0.6	0.1	5.2		
Objective 4: Promote ICANN's Role and Multistakeholder Approach Total				37	6.9	0.3	0.8	0.4	8.4	
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	-	9	2.7	0.0	1.9	0.1	4.7	
		5.1.2 Support ICANN Board	-	12	2.4	1.2	1.3	0.2	5.1	
	5.1 Act as a steward of the public interest Total			21	5.1	1.2	3.2	0.3	9.8	
	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	0.0	0.0	0.2
			5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	Module 6: Reviews	2	0.4	0.2	0.3	0.0	0.9
			5.2.4 Strategic Initiatives		15	3.2	0.4	0.5	0.1	4.2
		5.2.5 Accountability and Transparency Mechanisms		3	0.9	0.0	0.3	0.0	1.3	
5.2 Promote ethics, transparency and accountability across the ICANN community Total			22	5.0	0.7	1.6	0.1	7.4		
5.3 Empower current and new stakeholders to fully participate in ICANN activities	5.3.1 Supporting Public Interest Initiatives		1	0.1	0.0	0.2	0.0	0.4		
	5.3.2 Supporting Stakeholder Participation		12	2.0	0.5	0.5	0.2	3.2		
5.3 Empower current and new stakeholders to fully participate in ICANN activities Total			13	2.2	0.5	0.7	0.2	3.6		
Objective 5: Develop and Implement a Global Public Interest Framework Bounded by ICANN's Mission Total				57	12.3	2.4	5.4	0.6	20.8	
		Allocation to New gTLD Program	-	0	(2.0)	(0.4)	(0.5)	(0.3)	(3.1)	
		Cost Savings	-	0	0.0	0.0	(1.0)	0.0	(1.0)	
		Contingency	-	0	0.0	0.0	5.2	0.0	5.2	
		Staff Attrition	-	(25)	(4.7)	0.0	0.0	0.0	(4.7)	
		Reserve Fund	-	0	0.0	0.0	3.0	0.0	3.0	
Unallocated total			(25)	(6.6)	(0.4)	6.8	(0.3)	(0.5)		
Grand Total ICANN				405	78.2	16.0	34.5	18.7	147.5	

\*FTE: Full-time staff equivalent

# FY20 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	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total		
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	0.3	0.0	1.9	0.0	2.2		
			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 icann.org * Crowd-sourcing program/platform for inclusion of community in the translation process. * Machine translation feasibility for e-mail threads, discussion forums, public comment periods * Work on integrating the web-development team into our plan for a multilingual icann.org	2	0.2	0.0	0.0	0.0	0.2		
			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	4	0.3	0.0	0.0	0.0	0.4		
			<b>1.1.1 Language Services Total</b>					<b>8</b>	<b>0.8</b>	<b>0.0</b>	<b>1.9</b>	<b>0.1</b>	<b>2.8</b>
			152542	Recurring Activity - GDD Communications	Communicate pertinent information for the Global Domains Division including the New gTLD Program.	2	0.3	0.0	0.2	0.0	0.0	0.5	
			176356	Recurring Activity - Internal Communications	Internal communications including strategy, plan development and execution.	1	0.2	0.0	0.0	0.0	0.0	0.2	
			176398	Recurring Activity - General Communications	General external communications for ICANN including crisis communications and regional engagement strategy support.	11	1.8	0.1	0.0	0.0	0.0	1.9	
			176562	Recurring Activity - Executive and Board Communications and Related Travel	Support Executives and the Board in their communications efforts. Includes participation in Board workshops, trainings etc.	1	0.5	0.0	0.0	0.0	0.0	0.5	
			176565	Recurring Activity - Europe, Middle East, Africa Communications Support	To support the region in communications activities which supports the regional engagement strategies.	0	0.0	0.0	0.0	0.0	0.0	0.0	
			176571	Recurring Activity - GDD Communications	Global Domains Division communications planning and support.	0	0.0	0.0	0.0	0.0	0.0	0.0	
		176577	Recurring Activity - North America Communications Support	To support the region in communications activities which supports the regional engagement strategy.	0	0.0	0.0	0.0	0.0	0.0	0.0		
		176580	Recurring Activity - Communications, Content Management and Social Media	Management of content creation, editing, posting and management of ICANN's social media channels.	3	0.3	0.0	0.3	0.0	0.0	0.6		
		176586	Recurring Activity - Latin America and Caribbean Communications	To support the region in communications activities and support the regional engagement strategy.	0	0.0	0.0	0.0	0.0	0.0	0.0		
		178359	Recurring Activity - Asia Pacific Communications Support	To support the region in communications activities which supports the regional engagement strategy.	0	0.0	0.0	0.0	0.0	0.0	0.0		
		<b>1.1.2 Raising Stakeholder Awareness of ICANN Worldwide Total</b>					<b>17</b>	<b>3.1</b>	<b>0.2</b>	<b>0.6</b>	<b>0.0</b>	<b>3.9</b>	
		<b>1.1-Further globalize and regionalize ICANN Functions Total</b>					<b>25</b>	<b>\$3.9</b>	<b>\$0.2</b>	<b>\$2.5</b>	<b>\$0.1</b>	<b>\$6.7</b>	
		1-Evolve and further globalize ICANN		1.2.1 Meeting Services	175399	Global Domains Division Summits	Costs for staff and travel for Operations to support GDD Summit sessions	0	0.0	0.3	0.0	0.0	0.3
					175417	Recurring Activity - Meetings Department	Meetings Team Operations and Coordination	2	0.5	0.3	0.0	0.0	0.8
					184202	ICANN Public Meeting 66	This includes all travel and meeting costs, professional services, administration, and technical services for ICANN 66. This does not include the labor for attending.	2	0.4	1.6	1.2	0.3	3.5
					184203	ICANN Public Meeting 67	This includes all travel and meeting costs, professional services, administration, and technical services for ICANN 67. This does not include the labor for attending.	2	0.4	1.7	1.1	0.3	3.5
184204	ICANN Public Meeting 68				This includes all travel and meeting costs, professional services, administration, and technical services for ICANN 68. This does not include the labor for attending.	2	0.4	1.6	0.8	0.2	3.0		
188205	Global Domains Division Summits				Costs for staff and travel for Operations to support GDD Summit sessions	0	0.0	0.1	0.0	0.0	0.1		
<b>1.2.1 Meeting Services Total</b>					<b>8</b>	<b>1.7</b>	<b>5.7</b>	<b>3.1</b>	<b>0.8</b>	<b>11.3</b>			

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total	
1-Evolve and further globalize ICANN	1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders	1.2.2 Engage Stakeholders Regionally	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.	8	1.5	0.0	1.7	0.0	3.2	
			160505	SO/AC - 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	0.3	0.0	0.0	0.3	
			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	0	0.0	0.0	0.0	0.0	0.0	
			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	0.0	0.0	0.0	
			188503	Facilitation of Regional Participation in ICANN	This project covers Global Stakeholder Engagement work for enhancing cooperation and partnerships regionally to lower barriers to participation among stakeholder groups, and increase regional engagement within ICANN in its technical & policy work. This project includes the regional engagement plans and strategies, facilitation of regional events such as ICANN Readouts, regional DNS Forums, regional event sponsorships, contributions and collaborations.	10	2.1	0.6	0.1	0.0	2.8	
			188504	GSE Administration	This project covers administrative functions for the Global Stakeholder Engagement team, such as management of department budget, personnel, visas, allocation of resources.	4	0.6	0.0	0.0	0.2	0.8	
			188505	Engagement Measurement and Planning	Project coordinates GSE Engagement, Measurement & Planning function, maintaining team goals and measurement of engagement. Management of GSE processes and procedures, inputs into Salesforce (ICANN CRM).	5	1.0	0.0	0.0	0.0	1.0	
	<b>1.2.2 Engage Stakeholders Regionally Total</b>						<b>27</b>	<b>5.2</b>	<b>0.9</b>	<b>1.8</b>	<b>0.2</b>	<b>8.1</b>
	<b>1.2 Bring ICANN to the world by creating a balanced and proactive approach to regional engagement with stakeholders Total</b>						<b>36</b>	<b>\$6.9</b>	<b>\$6.6</b>	<b>\$4.9</b>	<b>\$0.9</b>	<b>\$19.4</b>
	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	151055	Recurring Activity - At-Large - ALAC Working Group Support	Overall Management and substantive and procedural advice to At-Large Working Groups	2	0.2	0.0	0.0	0.0	0.2
				151157	Recurring Activity - At-Large and ALAC Policy Support Program	General Program Management for the ALAC, ALT and At-Large for FY19	3	0.3	0.2	0.0	0.0	0.5
				151171	Recurring Activity - General Support ccNSO and ccTLD Community	All major support (secretariat) activities relating to support of ccNSO and ccTLD community	3	0.5	0.0	0.1	0.0	0.6
				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.	7	0.9	0.1	0.5	0.1	1.6
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.	4	0.7	0.0	0.0	0.0	0.7	
151188				Recurring Activity - SO/AC, Regional Outreach - CROP	CROP has been in place since FY14. In its various pilot phases, it showed steady growth in community interest and usage for eligible communities. Following a successful implementation 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.	0	0.0	0.0	0.0	0.0	0.0	
151189				Recurring Activity - SO/AC, Regional Outreach - CROP	Provide administrative support for all recurring 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.	0	0.0	0.0	0.0	0.0	0.0	
151190				Recurring Activity - RSSAC Policy Support Program Management	Provide administrative support for all recurring 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.	2	0.2	0.2	0.0	0.0	0.4	
151191				Recurring Activity - ASO AC Policy Development Support and Activities	Policy development support for the ASO Address Council	0	0.0	0.0	0.0	0.0	0.0	
151203				Recurring Activity - SSAC Policy Support Program Management	Provide administrative support for all recurring 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.	1	0.2	0.1	0.0	0.0	0.4	
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.	10	1.3	0.0	0.1	0.0	1.4				

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total		
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 Total	1.3.1 Support Policy Development, Policy Related and Advisory Activities Total	151210	Recurring Activity - GAC Policy Advice Support and Activities (FY19, ...)	Tasks and activities intended to support GAC policy advice efforts and related activities.	3	0.5	0.0	0.0	0.0	0.5		
							<b>35</b>	<b>4.9</b>	<b>0.7</b>	<b>0.7</b>	<b>0.1</b>	<b>6.4</b>	
			188202	Constituents' Travel Support for ICANN66	Support travel for ICANN 66	0	0.0	0.8	0.0	0.0	0.0	0.8	
			1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	188203	Constituents' Travel Support for ICANN67	support travel for ICANN67	0	0.0	1.0	0.0	0.0	0.0	1.1
			188204	Constituents' Travel Support for ICANN68	Support travel for ICANN68	2	0.0	0.8	0.0	0.0	0.0	0.8	
			189052	ATLAS III	Organization and implementation of the third At-Large Summit (ATLAS III). This includes supporting the ATLAS III Organizing Committee, the production of skill development materials and activities, and successful implementation of the ATLAS III.	0	0.0	0.2	0.0	0.0	0.0	0.2	
			1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities Total				<b>2</b>	<b>0.1</b>	<b>2.8</b>	<b>0.0</b>	<b>0.0</b>	<b>2.9</b>	
			1.3 Evolve policy development and governance processes, structures and meetings to be more accountable, inclusive, efficient, effective and responsive Total				<b>36</b>	<b>\$5.0</b>	<b>\$3.5</b>	<b>\$0.7</b>	<b>\$0.1</b>	<b>\$9.3</b>	
			1-Evolve and further globalize ICANN Total				<b>97</b>	<b>\$15.8</b>	<b>\$10.4</b>	<b>\$8.1</b>	<b>\$1.1</b>	<b>\$35.4</b>	
			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)	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	0.0	0.0	0.0	0.0
177066	WHOIS Accuracy Reporting System Project	Operation and Management of the WHOIS Accuracy Reporting System.				0	0.0	0.0	0.4	0.0	0.4		
2.1.1 Registration Directory Services (WHOIS) Total						<b>0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.4</b>	<b>0.0</b>	<b>0.4</b>		
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.	0	0.0	0.0	0.0	0.0	0.0	0.0	
	152614	Registrant Program			Activities related to the development, maintenance, and adoption of educational materials for registrants.	0	0.0	0.0	0.0	0.0	0.0	0.1	
	175450	Recurring Activity - GDD Strategic Programs			Projects relating to strategic program management for GDD	5	1.0	0.0	0.0	0.0	0.0	1.0	
	178367	Customer Standing Committee Effectiveness Review			Activities in support of the ICANN Bylaws-mandated review.	0	0.0	0.0	0.0	0.0	0.0	0.0	
	178369	IANA Naming Function Review			Activities in support of the ICANN Bylaws-mandated review.	1	0.1	0.0	0.0	0.0	0.0	0.1	
	2.1.2 Global Domains Division (GDD) Strategic Programs Total						<b>6</b>	<b>1.1</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>1.2</b>	
2.1.3 PTI Operations	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	0.4	0.1	0.4		
	173700	Recurring Activity - PTI Board Support			Provide operational support to the PTI Boards of Directors.	2	0.5	0.0	0.0	0.0	0.6		
	173701	Recurring Activity - PTI Operations			Day-to-day activities to deliver the IANA functions. Activities include processing requests, creating reports, meeting customers, attending conferences and meetings, maintaining our operational systems, and management of the IANA personnel. This also includes activities to securely operate and maintain the root zone KSK.	18	3.3	0.2	0.4	0.2	4.1		
	173702	PTI Improvement Activities			Conduct revision and auditing of the IANA business processes, regular surveys of customer experience, perform business continuity and contingency planning, and perform strategic organizational assessments.	4	0.8	0.0	0.3	0.0	1.1		
	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.	0	0.0	0.0	0.0	0.0	0.0		
	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.	0	0.1	0.0	0.0	0.0	0.1		
	173707	PTI Systems/Tools Enhancements			Evolution and improvement of the tools and systems that support the delivery of the IANA functions. Includes website enhancements, development of a workflow management system for protocol parameter requests, new customer APIs and automation for currently manual business processes.	1	0.3	0.0	0.1	0.0	0.3		
	173709	PTI Root Zone Management System Development			Evolution and improvement of the tools and systems specific to managing the DNS Root Zone file and database. Includes activities to revise the authorization model, to implement enhanced security options for customers, and to incrementally analyze and refine where automated performance gains can be realized to improve SLA performance.	3	0.5	0.0	0.0	0.0	0.5		
	173902	Recurring Activity - PTI Numbering Functions Operations			Recurring 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.	0	0.1	0.0	0.0	0.0	0.1		
	173903	Recurring Activity - PTI Protocol Parameter Functions Operations			Recurring day-to-day activities for performing the protocol parameter 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.	0	0.1	0.0	0.0	0.0	0.1		
	180302	RZMSv3 Implementation			PTI's RZMSv3 Implementation	1	0.2	0.0	0.0	0.0	0.0	0.2	
	2.1.3 PTI Operations Total				<b>29</b>	<b>5.8</b>	<b>0.3</b>	<b>1.1</b>	<b>0.3</b>	<b>7.5</b>			

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total			
2-Support a healthy, stable and resilient unit		2.1.4 Global Domains Division (GDD) Operations	175446	Recurring Activity - GDD Executive	Office of the President, GDD Operations Daily Activities	2	0.8	0.1	0.0	0.0	0.9			
			175447	Recurring Activity - Registry Services Delivery	Operational Service Delivery of Registry Services	6	0.9	0.0	0.2	0.0	1.1			
			175448	Recurring Activity - Global Support	Contact center operational and support activities	13	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	0.3	0.0	0.0	0.1	0.4			
			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	3	0.5	0.0	0.0	0.0	0.5			
			176305	Recurring Activity - Registrar Services Delivery	Operational Service Delivery of Registrar Services	6	0.9	0.0	1.3	0.0	2.2			
			176306	Recurring Activity - Privacy/Proxy Services Delivery	Operational Service Delivery of Privacy/Proxy Services	2	0.3	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	0.2	0.0	0.0	0.1	0.3			
			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	0.1	0.0	0.4	0.0	0.5			
			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	0.1	0.0	0.5	0.0	0.6			
<b>2.1.4 Global Domains Division (GDD) Operations Total</b>						<b>36</b>	<b>5.3</b>	<b>0.2</b>	<b>2.6</b>	<b>0.3</b>	<b>8.4</b>			
<b>2.1 Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem Total</b>						<b>71</b>	<b>\$12.4</b>	<b>\$0.5</b>	<b>\$4.1</b>	<b>\$0.6</b>	<b>\$17.6</b>			
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	32000	Key Signing Key Rollover	Complete the root zone key signing key rollover and deliver post-rollover analysis and reporting.	0	0.0	0.0	0.1	0.0	0.1			
			32007	DNS Traffic Analysis	Research project aimed at exploring tools and methodologies for analyzing DNS traffic.	0	0.0	0.0	0.0	0.0	0.0			
			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 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	0	0.0	0.0	0.0	0.0	0.0			
			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	0	0.0	0.0	0.0	0.3	0.3			
			<b>2.2.1 Security, Stability and Resiliency of Internet Identifiers Total</b>						<b>0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.1</b>	<b>0.3</b>	<b>0.4</b>
			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	0.0	0.0	0.1	0.0	0.1		
				175455	Recurring Activity - Office of the Chief Technology Officer	Project for day-to-day operation of Office of CTO	16	4.4	0.7	0.4	0.6	6.1		
				175456	Recurring Activity - Office of the Chief Technology Officer Research	Project for day-to-day operation of Office of CTO – Research	0	0.0	0.0	0.0	0.0	0.0		
				178904	Office of the Chief Technology Officer Special Projects	OCTO efforts to address projects identified during the year to be priorities	0	0.0	0.0	0.0	0.0	0.0		
				178908	Office of the Chief Technology Officer Research Special Projects	OCTO Research efforts to address projects identified during the year to be priorities	0	0.0	0.0	0.0	0.0	0.0		
<b>2.2.2 Identifier Evolution Total</b>						<b>16</b>	<b>4.4</b>	<b>0.7</b>	<b>0.5</b>	<b>0.6</b>	<b>6.2</b>			
<b>2.2 Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities Total</b>						<b>16</b>	<b>\$4.4</b>	<b>\$0.7</b>	<b>\$0.5</b>	<b>\$0.9</b>	<b>\$6.6</b>			
and resilient unique identifier ecosystem		2.3.1 GDD Technical Services	152603	Recurring Activity - SLA Monitoring System	System that monitors Service Level Agreements with gTLD Registries and Registrars	0	0.0	0.0	0.2	0.0	0.2			
			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			
			154762	Recurring Activity - Technical Compliance Monitoring	System that monitors compliance of gTLD registries and registrars with their respective registry and registrar agreements.	1	0.2	0.0	0.3	0.0	0.5			
			175445	Recurring Activity - GDD Technical Services	To manage the day to day activities of Technical Services.	4	1.0	0.0	0.0	0.0	1.0			
		<b>2.3.1 GDD Technical Services Total</b>						<b>5</b>	<b>1.2</b>	<b>0.0</b>	<b>0.5</b>	<b>0.0</b>	<b>1.7</b>	
		2.3.2 New gTLD Program	151970	Recurring Activity - Emergency Back-End Registry Operator Administrative Management	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			
			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	0.4	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	0.2	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	1.5	0.0	1.5			
			160502	New gTLD Allocations from ICANN	Project to Capture cost allocations from ICANN (Company 1) to New gTLD budget	0	2.0	0.4	0.5	0.3	3.1			
<b>2.3.2 New gTLD Program Total</b>						<b>0</b>	<b>2.0</b>	<b>0.4</b>	<b>2.5</b>	<b>0.3</b>	<b>5.2</b>			

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total		
2-Support a healthy, stable and resilient unique identifier ecosystem	2.3 Support the evolution of domain name marketplace to be robust, stable and trusted	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.	1	0.2	0.0	0.0	0.0	0.2		
			111857	DNS&IE 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	0.0	
			154218	Recurring Activity - Domain Name Marketplace Indicators	Update of metrics to track the health of the gTLD Marketplace and periodic posting of data.	1	0.1	0.0	0.1	0.0	0.0	0.3	
			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.	2	0.4	0.0	0.0	0.0	0.0	0.4	
		<b>2.3.3 Registrar Services Total</b>						<b>4</b>	<b>0.7</b>	<b>0.0</b>	<b>0.1</b>	<b>0.0</b>	<b>0.9</b>
		2.3.4 Registry Services	31787	IGO/INGO Policy Implementation	(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 INGOS; 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.	0	0.0	0.0	0.2	0.0	0.0	0.2	
			175443	Recurring Activity - Registry Liaison Services		10	1.7	0.0	0.0	0.0	0.0	1.8	
			<b>2.3.4 Registry Services Total</b>						<b>10</b>	<b>1.7</b>	<b>0.0</b>	<b>0.2</b>	<b>0.0</b>
		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	0.5	0.0	0.0	0.0	0.0	0.5	
			175441	Recurring Activity - Domain Name Services and Industry Engagement	Domain Name Services recurring operations and Industry Engagement	3	0.8	0.1	0.2	0.1	1.2		
			176507	Recurring Activity - Operations and Policy Research	Research, data, communications, and policy implementation support originating in OPR	0	0.0	0.0	0.0	0.0	0.0		
		<b>2.3.5 Domain Name Services Total</b>						<b>6</b>	<b>1.3</b>	<b>0.1</b>	<b>0.2</b>	<b>0.1</b>	<b>1.8</b>
		2.3.6 Internationalized Domain Names and Universal Acceptance	10855	Internationalized Domain Name (IDN) Top Level Domain Program	Project work focusing on enabling IDN Top-Level Domains, including development of Root Zone Label Generation Rules and associated toolset, implementing IDN variant TLDs, supporting the IDN ccTLD Fast Track process and undertaking relevant project communication	0	0.0	0.1	0.4	0.0	0.5		
			13006	Internationalized Domain Name (IDN) Second Level Domain Support Program	Project work focusing on supporting IDN Second-Level Domains, including maintaining and implementing the IDN Guidelines, developing reference IDN tables for the second level and undertaking relevant project communication	0	0.0	0.0	0.1	0.0	0.1		
			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	1.0	0.0	1.0		
			151707	Implementation of Revised Internationalized Domain Name Guidelines	IDN Guidelines were updated in FY18. In FY19, the project aims to communicate the guidelines to the contracted parties and update procedures to implement the changes.	1	0.2	0.0	0.0	0.0	0.2		
			151708	Internationalized Domain Names Label Generation Rules Toolset Update	Based on community feedback and internal use, update the toolset to include addition functionality identified.	1	0.1	0.0	0.0	0.0	0.1		
			<b>2.3.6 Internationalized Domain Names and Universal Acceptance Total</b>						<b>2</b>	<b>0.3</b>	<b>0.1</b>	<b>1.5</b>	<b>0.0</b>
		<b>2.3 Support the evolution of domain name marketplace to be robust, stable and trusted Total</b>						<b>27</b>	<b>\$7.3</b>	<b>\$0.6</b>	<b>\$5.0</b>	<b>\$0.4</b>	<b>\$13.2</b>
		<b>2-Support a healthy, stable and resilient unique identifier ecosystem Total</b>						<b>114</b>	<b>\$24.1</b>	<b>\$1.8</b>	<b>\$9.6</b>	<b>\$1.8</b>	<b>\$37.4</b>
		2-Support a healthy, stable and resilient unique identifier ecosystem	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability	3.1.1 Internal Facing Operations	152209	Staff Operations Data Warehouse (Oracle Cloud)	Data warehouse development & support	0	0.0	0.0	0.0	0.0	0.0
					160556	Open Data Program	This project will operationalize Open Data. It will develop and deploy the framework for integrating it into the ICANN org's recurring operations.	0	0.0	0.0	0.2	0.1	0.2
					175429	Recurring Activity - Enterprise Risk Management Operations	Changes to <a href="https://features.icann.org/plan">https://features.icann.org/plan</a> and % Project Completion chart in 3.1 of Accountability Indicators	0	0.0	0.0	0.0	0.0	0.0
					175501	Recurring Activity - Organizational Assessment & Improvement	Non-project based activities related to the support of Organizational Assessment and Improvement.	0	0.0	0.0	0.0	0.0	0.0
					175502	FY2019 Security Operations	This project tracks the work of Security Operations across its core programs, to include new initiatives and implementing enhancements and optimizations.	4	1.0	0.2	0.4	0.2	1.8
					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	0.4	0.0	0.0	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.	2	0.3	0.0	0.0	0.0	0.3
188506	GSE Cross-Organizational Collaboration				This project covers cross-regional and functional coordination activities for GSE with other ICANN Org departments (contributions to ICANN Strategic & Operational Planning, Community Engagement & Policy, event tracking, GDD-GSE engagement collaboration, support for Policy implementation, inputs to Enterprise Risk Management, inter-departmental collaboration). Travel and logistics for participation in ICANN Org workshops, regional meetings.	6	1.4	0.1	0.0	0.0	1.6		
<b>3.1.1 Internal Facing Operations Total</b>						<b>14</b>	<b>3.2</b>	<b>0.3</b>	<b>0.7</b>	<b>0.2</b>	<b>4.4</b>		
3.1.2 Finance and Procurement	175428			Recurring Activity - Finance Operations	All Finance operational activities.	17	2.9	0.1	0.3	1.3	4.6		
	178654			Recurring Activity - Procurement Operations	This project covers all activities related to ICANN's procurement function.	2	0.5	0.0	0.0	0.0	0.5		
<b>3.1.2 Finance and Procurement Total</b>						<b>19</b>	<b>3.4</b>	<b>0.1</b>	<b>0.3</b>	<b>1.3</b>	<b>5.1</b>		
2-Support a healthy, stable and resilient unique identifier ecosystem	3.1.2 Finance and Procurement Total	152404	Process Documentation Initiative	Manuals implementation	0	0.0	0.0	0.1	0.0	0.1			

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
3-Advance organizational, technological and operational excellence	3.1 Ensure ICANN's long-term financial accountability, stability and sustainability Total	3.1.3 Strategic and Operating Planning	175393	ICANN Five-Year Strategic Planning	The strategic planning cycle will incorporate key trends that impact ICANN on an organizational, operational and geopolitical level.	1	0.3	0.0	0.1	0.0	0.4
		3.1.3 Strategic and Operating Planning Total				<b>1</b>	<b>0.3</b>	<b>0.0</b>	<b>0.1</b>	<b>0.0</b>	<b>0.5</b>
		3.1 Ensure ICANN's long-term financial accountability, stability and sustainability Total				<b>34</b>	<b>\$6.9</b>	<b>\$0.4</b>	<b>\$1.1</b>	<b>\$1.5</b>	<b>\$10.0</b>
	3.2 Ensure structured coordination of ICANN's technical resources	3.2.1 IT Infrastructure, Cybersecurity Hardening and Control	175432	Recurring Activity - Technical Services and PTI Support	Recurring activities to develop and improve the technical systems used by PTI, including the Root Zone Management Automation and other workflow systems.	2	0.4	0.0	0.1	0.4	0.8
			175433	Recurring Activity - Data Center Operations and End User Support	Manage the day to day work and activities of IT support to the org's end users.	7	0.8	0.0	0.0	0.1	0.9
			175439	Recurring Activity - Mobile and Cloud Platform Solutions	Recurring work to deliver mobile friendly solutions using cloud technologies	1	0.2	0.0	0.0	0.0	0.3
		3.2.1 IT Infrastructure, Cybersecurity Hardening and Control Total				<b>9</b>	<b>1.4</b>	<b>0.1</b>	<b>0.1</b>	<b>0.4</b>	<b>2.0</b>
		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.	10	1.8	0.3	0.3	0.9	3.3
			3.2.2 Root Systems Operations Total				<b>10</b>	<b>1.8</b>	<b>0.3</b>	<b>0.3</b>	<b>0.9</b>
		3.2.3 IT Service Scaling and Product Management	120018	Technical Services Programs	The Technical Services projects are created to help the Domain Name Services & Industry Engagement team to address operational issues that impact the gTLD (generic Top-Level Domain) registries and registrars.	3	0.6	0.0	0.0	0.0	0.6
			120147	Naming Services Portal - Launch Plan (Ry)	The Naming Services portal (formerly Highrise) is the ICANN Reboot Realization Workplan. Its goal is to rebuild ICANN's Salesforce.com CRM service and Force.com platforms with a more declarative, scalable, and secure framework. This includes developing a blueprint for integration and consolidation of various ICANN systems outside of Salesforce and migrating existing data and functionality to a new org and data model.	7	1.2	0.0	0.0	0.0	1.2
			148526	Recurring Activity - General Administration Activities	FY18 General Administration expenses - travel, training, stationary etc.	0	0.0	0.0	0.0	0.0	0.0
			152157	Accountability Indicators Development	Development of new, automated dashboard	0	0.0	0.0	0.1	0.0	0.1
	152676		Recurring Activity - Oracle support	Support for Oracle Cloud ERP	0	0.0	0.0	0.4	0.5	1.0	
	175430		Recurring Activity - IT Administration	General Administration expenses - travel, training, stationary etc.	3	1.0	0.0	0.0	0.1	1.1	
	175434		Recurring Activity - IT Community Collaboration	Recurring administrative activities and continuous development / maintenance of digital services for the Community.	3	0.5	0.0	0.0	0.3	0.9	
	175435		Recurring Activity - ICANN Org and Board Solutions IT Delivery	Mobile and Cloud Platform Solutions Recurring Activity	5	1.2	0.0	0.0	2.3	3.6	
	175437		Recurring Activity - IT Contracted Parties	Manage overall project and day to day work by IT Contracted Parties.	2	0.4	0.0	0.1	0.4	0.8	
	175438		Recurring Activity - Enterprise Architecture and Release Services	Work to ensure the org's services work together, are managed, developed, and maintained	8	1.5	0.0	1.2	0.3	3.0	
	175440	Recurring Activity - Meetings Technical Support	IT support for all meetings.	3	0.3	0.1	0.1	1.4	1.9		
175449	Recurring Activity - Product Management	Recurring activities to support the Product Management function.	7	1.6	0.0	0.0	0.0	1.7			
3.2.3 IT Service Scaling and Product Management Total				<b>41</b>	<b>8.5</b>	<b>0.3</b>	<b>1.9</b>	<b>5.3</b>	<b>15.9</b>		
3.2 Ensure structured coordination of ICANN's technical resources Total				<b>61</b>	<b>\$11.7</b>	<b>\$0.6</b>	<b>\$2.2</b>	<b>\$6.6</b>	<b>\$21.2</b>		
3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders	3.3.1 People Management	152208	weCANN Continuous support	Support requirements for ICANN's intranet, weCANN.	0	0.0	0.0	0.0	0.1	0.1	
		175422	Recurring Activity - Global Human Resources Operation	HR Operations activities, including compensation, benefits, payroll, HR transactions and HR policies and compliance.	8	1.4	0.0	0.1	0.1	1.6	
		176459	Recurring Activity - HR Talent Acquisition	Manage the day to day activities of HR Talent acquisition.	2	0.4	0.0	0.1	0.0	0.5	
		176460	Recurring Activity - HR Development Management	Manage day to day work and activities related to talent management	5	1.2	0.0	0.0	0.1	1.3	
		176461	Recurring Activity - HR Staff Morale	Activities to engage and motivate staff morale and teamwork	0	0.0	0.0	0.0	0.1	0.1	
	3.3.1 People Management Total				<b>15</b>	<b>3.0</b>	<b>0.0</b>	<b>0.2</b>	<b>0.4</b>	<b>3.7</b>	
	3.3.2 Global Operations	173002	Recurring Activity - Istanbul Regional Office	Capture operations costs associated with the Istanbul Regional Office	0	0.0	0.1	0.0	0.4	0.5	
		173004	Recurring Activity - Brussels Regional Office	Capture operations costs associated with the Brussels Regional Office	0	0.0	0.0	0.0	0.3	0.3	
		173007	Recurring Activity - Singapore Regional Office	Capture operations costs associated with Singapore Regional Office.	0	0.0	0.0	0.0	0.5	0.5	
		173010	Recurring Activity - Montevideo Regional Office	Capture operations costs associated with the Montevideo Regional Office.	0	0.0	0.0	0.0	0.0	0.0	
		173013	Recurring Activity - Los Angeles Headquarters	Capture operations costs associated with the LA HQ Office.	5	0.5	0.1	0.0	4.1	4.7	
		174253	Recurring Activity - Washington DC Engagement Center	Capture operations costs associated with the Washington DC engagement Office	0	0.1	0.0	0.0	0.9	1.1	
		174256	Recurring Activity - Geneva Engagement Center	Capture operations costs associated with the Geneva Office	0	0.0	0.0	0.0	0.2	0.2	
		174302	Recurring Activity - Beijing Engagement Center	Capture operations costs associated with Beijing Engagement Center.	0	0.0	0.0	0.0	0.0	0.0	
		174505	Recurring Activity - India Budget	Capture operations costs associated with India.	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	1.5	0.2	0.1	0.0	1.8		
175424	Recurring Activity - Organization-wide Administrative Support	Administration of the recurring operations of the organization	3	0.3	0.0	0.0	0.0	0.4			
175507	Recurring Activity - Global Operations	Operational support activities of the regional offices. This team leads and manages -Five-Year Operating Plan structure and completion -Org-wide operational program implementations -Org-wide improvement programs -Global regional office operations -Risk Management -Board Operations and Security Operations Teams	0	0.0	0.0	0.0	0.0	0.0			
3.3.2 Global Operations Total				<b>15</b>	<b>4.0</b>	<b>0.5</b>	<b>0.2</b>	<b>6.6</b>	<b>11.2</b>		
3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, staff, and stakeholders Total				<b>31</b>	<b>\$7.1</b>	<b>\$0.5</b>	<b>\$0.4</b>	<b>\$6.9</b>	<b>\$14.9</b>		
3-Advance organizational, technological and operational excellence Total				<b>125</b>	<b>\$25.8</b>	<b>\$1.5</b>	<b>\$3.8</b>	<b>\$15.0</b>	<b>\$46.1</b>		

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	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	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 IGFS. 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	0.7	0.1	0.0	0.2	1.1
		4.1.1 Coordination of ICANN participation in Internet Governance Total				2	0.7	0.1	0.0	0.2	1.1
	4.1 Encourage engagement with the existing internet governance ecosystem at national, regional and global levels Total					2	\$0.7	\$0.1	\$0.0	\$0.2	\$1.1
	4.2 Clarify the role of governments in ICANN and work with them to strengthen their commitment to supporting the global Internet ecosystem	4.2.1 Working with Governments and Intergovernmental Organizations	178602	Recurring Activity GE Government Advisory Committee (GAC) Engagement and Support	This recurring activity 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 work is done in collaboration with other ICANN Org staff including the GAC Support team, OCTO and the GSE regional teams	1	0.4	0.0	0.0	0.0	0.5
		4.2.1 Working with Governments and Intergovernmental Organizations Total				1	0.4	0.0	0.0	0.0	0.5
	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	\$0.4	\$0.0	\$0.0	\$0.0	\$0.5
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues	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	2	0.8	0.1	0.2	0.0	1.0
		188952	Recurring Activity - GE Coordination and Operations	This recurring activity covers administrative functions for the Government and IGO Engagement team.	3	0.6	0.0	0.0	0.0	0.7	
	4.3.1 Support Internet Governance Ecosystem Advancement Total					5	1.4	0.1	0.2	0.1	1.7
	4.3 Participate in the evolution of a global, trusted, inclusive multistakeholder Internet Governance ecosystem that addresses Internet issues Total					5	\$1.4	\$0.1	\$0.2	\$0.1	\$1.7
4-Promote ICANN's role and multistakeholder approach	4.4 Promote role clarity and establish mechanisms to increase trust within ecosystem rooted in the public interest	4.4.1 Contractual Compliance and Safeguards	175458	Recurring Activity - Consumer Safeguards	Manage day to day work and activities of consumer safeguards and projects	1	0.5	0.0	0.0	0.0	0.5
		4.4.1 Contractual Compliance and Safeguards Total				1	0.5	0.0	0.0	0.0	0.5
	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	0.2	0.0	0.4	0.0	0.7	
		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.	20	2.5	0.1	0.1	0.0	2.6	
	4.4.2 Contractual Compliance Function	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.	4	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	0.3	0.0	0.1	0.0	0.4	
	4.4.2 Contractual Compliance Function	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.	1	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	0.1	0.0	0.0	0.0	0.1	
	4.4.2 Contractual Compliance Function	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.	0	0.1	0.0	0.0	0.0	0.1	
		4.4.2 Contractual Compliance Function Total				27	3.9	0.1	0.6	0.1	4.7
4.4 Promote role clarity and establish mechanisms to increase trust within ecosystem rooted in the public interest Total					29	\$4.4	\$0.1	\$0.6	\$0.1	\$5.2	
4-Promote ICANN's role and multistakeholder approach Total					37	\$6.9	\$0.3	\$0.8	\$0.4	\$8.4	
Mission		5.1.1 Legal Support and Advice	177496	Recurring Activity - Litigation Support Services	Monitor and Manage ICANN Litigation matters and issues.	1	0.3	0.0	1.6	0.0	1.9
			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.	3	0.9	0.0	0.1	0.0	1.0



Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	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 Total	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 MSSLI legal support.	1	0.6	0.0	0.0	0.0	0.6			
			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	1.0	0.0	0.3	0.1	1.3			
			<b>5.1.1 Legal Support and Advice Total</b>					<b>9</b>	<b>2.7</b>	<b>0.0</b>	<b>1.9</b>	<b>0.1</b>	<b>4.7</b>	
			175427	Recurring Activity - Support to Nominating Committee	Support the work of NomCom 2019 with selection and announcement of NCAs for ICANN Board, PTI Board, ALAC, GNSO and ccNSO Council through early September 2019 and prepare for close out of the 2019 NomCom at conclusion of 2019 NomCom term on 7 November 2019.	3	0.6	0.1	0.3	0.0	0.9			
			175503	Recurring Activity - Board Management	The Development, tracking and reporting of the 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	1.0	1.0	0.2	2.2			
			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) 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.	6	1.1	0.1	0.0	0.0	1.1			
		178472	Recurring Activity - Legal Support to ICANN Board		3	0.8	0.1	0.0	0.0	0.8				
		<b>5.1.2 Support ICANN Board Total</b>					<b>12</b>	<b>2.4</b>	<b>1.2</b>	<b>1.3</b>	<b>0.2</b>	<b>5.1</b>		
		<b>5.1 Act as a steward of the public interest Total</b>					<b>21</b>	<b>\$5.1</b>	<b>\$1.2</b>	<b>\$3.2</b>	<b>\$0.3</b>	<b>\$9.8</b>		
		5-Develop and implement a global public interest framework bounded by ICANN's mission	5.2 Enhancing ICANN Accountability - WS2	5.2.1 Enhancing ICANN Accountability - WS2 Total	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	0.3	0.0	0.3	
					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	0.3	0.0	0.2	0.0	0.5	
					<b>5.2.1 Enhancing ICANN Accountability - WS2 Total</b>					<b>1</b>	<b>0.3</b>	<b>0.0</b>	<b>0.4</b>	<b>0.0</b>
				5.2.2 Organizational Reviews	31523	At Large Review Implementation of Recommendations	Oversee implementation of Board-approved recommendations resulting from the Final Report issued by the Independent Examiner.	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.	0	0.0	0.0	0.0	0.0	0.0			
175510	RSSAC2 Review Implementation of Recommendations				Oversee implementation of Board-approved recommendations resulting from the Final Report issued by the Independent Examiner.	0	0.0	0.0	0.0	0.0	0.0			
175511	SSAC2 Review Implementation of Recommendations				Oversee implementation of Board-approved recommendations resulting from the Final Report issued by the Independent Examiner.	0	0.0	0.0	0.0	0.0	0.0			
175514	NomCom2 Review Implementation of Recommendations				Oversee implementation of Board-approved recommendations resulting from the Final Report issued by the Independent Examiner.	0	0.0	0.0	0.0	0.0	0.0			
190202	ccNSO2 Review Implementation of Recommendation				Oversee implementation of Board-approved recommendations resulting from the Final Report issued by the Independent Examiner.	0	0.0	0.0	0.0	0.0	0.0			
<b>5.2.2 Organizational Reviews Total</b>					<b>1</b>	<b>0.2</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.2</b>				
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).	0	0.1	0.1	0.0	0.0	0.2			
	32008			SSR Recommendation Implementation	Support for the completion of the implementation of the first Security, Stability, and Resiliency Review Team recommendations	0	0.0	0.0	0.1	0.0	0.1			
	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.	1	0.1	0.1	0.1	0.0	0.4			
	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.	0	0.1	0.0	0.0	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.	1	0.0	0.0	0.0	0.0	0.1						

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total		
5-Develop and implement a global public interest framework bounded by ICANN's mission	5.2 Promote ethics, transparency and accountability across the ICANN community	5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6) Total	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.	0	0.1	0.0	0.1	0.0	0.1		
									<b>2</b>	<b>0.4</b>	<b>0.2</b>	<b>0.3</b>	<b>0.0</b>
		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.	1	0.1	0.0	0.1	0.0	0.0	0.2	
			26229	Implementation and Analysis Reporting	Develop and enhance mechanisms to aggregate, analyze and report progress on implementation of recommendations (WS2, Organizational Reviews, Specific Reviews), including Bylaws-mandated Annual Review Implementation Report.	0	0.0	0.0	0.0	0.0	0.0	0.0	
			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.	1	0.1	0.0	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).	1	0.2	0.0	0.1	0.0	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.	3	1.2	0.0	0.1	0.0	0.0	1.3	
			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.	1	0.2	0.0	0.1	0.0	0.0	0.2	
			175403	Recurring Activity - Multistakeholder Strategy and Strategic Initiatives	Recurring operating expenses and activities for MSSI.	7	1.1	0.4	0.1	0.1	0.1	1.6	
			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.	1	0.2	0.0	0.0	0.0	0.0	0.2	
			190203	ePrivacy Regulation	Understand, analyze, and provide input on possible modifications of the technical draft ePrivacy Regulation, its technical aspects and how it relates to the Internet at large, and network operation in particular.	1	0.2	0.0	0.1	0.0	0.0	0.3	
			<b>5.2.4 Strategic Initiatives Total</b>						<b>15</b>	<b>3.2</b>	<b>0.4</b>	<b>0.5</b>	<b>0.1</b>
		5.2.5 Accountability and Transparency Mechanisms	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 community input from short-term and long-term options for timing of reviews, along with other community input on how to streamline ICANN reviews to achieve more impact, while increasing efficiency.	1	0.2	0.0	0.1	0.0	0.0	0.3	
			175401	Recurring Activity - Ombudsman	Ombudsman Office On-going operations	1	0.3	0.0	0.2	0.0	0.0	0.5	
			178455	Recurring Activity - Legal Support to Transparency and Accountability Mechanisms	General legal support to the accountability and transparency mechanisms.	1	0.4	0.0	0.0	0.0	0.0	0.4	
			178458	Recurring Activity - Legal Support for Ombudsman	Consult with Ombudsman on issues as needed	0	0.0	0.0	0.1	0.0	0.0	0.1	
			<b>5.2.5 Accountability and Transparency Mechanisms Total</b>						<b>3</b>	<b>0.9</b>	<b>0.0</b>	<b>0.3</b>	<b>0.0</b>
		<b>5.2 Promote ethics, transparency and accountability across the ICANN community Total</b>						<b>22</b>	<b>\$5.0</b>	<b>\$0.7</b>	<b>\$1.6</b>	<b>\$0.1</b>	<b>\$7.4</b>
		5-Develop and implement a global public interest framework bounded by ICANN's mission	5.3 Empower current and new stakeholders to fully participate in ICANN activities	5.3.1 Supporting Public Interest Initiatives	151762	Supporting Auction Proceeds Discussions	Supporting multistakeholder discussions on the use of new gTLD auction proceeds.	0	0.0	0.0	0.2	0.0	0.2
					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	0.1	0.0	0.1	0.0	0.2
<b>5.3.1 Supporting Public Interest Initiatives Total</b>						<b>1</b>	<b>0.1</b>	<b>0.0</b>	<b>0.2</b>	<b>0.0</b>	<b>0.4</b>		
5.3.2 Supporting Stakeholder Participation	151960			Promote and Strengthen Regional Stakeholder Participation (Pilot)	Supporting initiatives to promote and strengthen regional stakeholder participation at ICANN.	0	0.0	0.0	0.1	0.0	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	0.1	0.0	0.0	0.0	0.0	0.3	
	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.	2	0.1	0.1	0.1	0.0	0.0	0.3	
	175416			Recurring Activity - Public Responsibility Support	Administration of the recurring operations of the Public Responsibility Support team and activities.	2	0.2	0.0	0.0	0.1	0.0	0.3	
	175423			Recurring Activity - Travel Services	Manage day to day work and activities related to travel, and maintain travel vendor relationships and support miscellaneous meetings	1	0.1	0.0	0.0	0.0	0.0	0.2	
	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	0.3	0.1	0.2	0.0	0.0	0.6	
	188502			GSE Capacity Development Programs	Project covering Global Stakeholder Engagement support to regional capacity development events, technical trainings, policy trainings, regional education and awareness events within ICANN's Mission and remit. Includes support for regional entrepreneurship centers, partnerships and collaborations related to capacity development. Project is aimed at increasing stakeholder participation in ICANN's technical and policy work.	6	1.2	0.3	0.0	0.1	0.0	1.5	
	<b>5.3.2 Supporting Stakeholder Participation Total</b>						<b>12</b>	<b>2.0</b>	<b>0.5</b>	<b>0.5</b>	<b>0.2</b>	<b>3.2</b>	
<b>5.3 Empower current and new stakeholders to fully participate in ICANN activities Total</b>						<b>13</b>	<b>\$2.2</b>	<b>\$0.5</b>	<b>\$0.7</b>	<b>\$0.2</b>	<b>\$3.6</b>		

Obj.	Goal	Portfolios	Project ID	Project Name	Project Description	FTE*	Pers- onnel	Travel & Meetings	Prof. Svcs.	Admin & Capital	Total
5-Develop and implement a global public interest framework bounded by ICANN's mission Total						57	\$12.3	\$2.4	\$5.4	\$0.6	\$20.8
		Allocation to New gTLD Program				0	(2.0)	(0.4)	(0.5)	(0.3)	(3.1)
		Cost Savings				0	0.0	0.0	(1.0)	0.0	(1.0)
		Contingency				0	0.0	0.0	5.2	0.0	5.2
		Staff Attrition				-25	(4.7)	0.0	0.0	0.0	(4.7)
		Reserve Fund				0	0.0	0.0	3.0	0.0	3.0
		Unallocated Total				-25	(\$6.6)	(\$0.4)	\$6.8	(\$0.3)	(\$0.5)
											0.0
Grand Total ICANN						405	\$78.2	\$16.0	\$34.5	\$18.7	\$147.5

# **Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY20 Operating Plan**

3 May 2019



## ICANN PROPOSED ADOPTED FY20 PLANNING DOCUMENTS

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

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

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

To get the most out of this document series, please read the Introduction and Highlights document first. Afterward, you can separately review each of the other standalone documents in no specific order, depending on your interest.

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# 1 Introduction

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

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

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

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

## Section 1: Six Modules of Work for FY20

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

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



# Module 1 – Engagement Activities

## Overview

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

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

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

GSE previously divided its work under:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## GOVERNMENT AND INTERNATIONAL GOVERNMENTAL ORGANIZATION (IGO) ENGAGEMENT

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

GE primarily falls under:

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

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

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

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

## TECHNICAL ENGAGEMENT

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

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

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

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

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

Technical engagement activities are generally performed as part of:

<b>ICANN Strategic Objective 2</b>	<b>Support a Healthy, Stable, and Resilient Unique Identifier Ecosystem</b>
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
<b>ICANN Strategic Objective 3</b>	<b>Advance Organizational, Technological, and Operational Excellence</b>
Goal 3.3	Develop a globally diverse culture of knowledge and expertise available to ICANN’s Board, staff and stakeholders

## Major Assumptions

### GLOBAL STAKEHOLDER ENGAGEMENT

#### Expected Changes from FY19 to FY20

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

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

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

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

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

### **Priorities During FY20**

For FY20, GSE is focusing on:

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

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

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

- ⦿ Singapore
- ⦿ Montevideo
- ⦿ Brussels

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

## **GOVERNMENT AND IGO ENGAGEMENT**

### **Expected Changes from FY19 to FY20**

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

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

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

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

### **Priorities During FY20**

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

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

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

## **TECHNICAL ENGAGEMENT**

### **Expected changes from FY19 to FY20**

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

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

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

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

### **Priorities During FY20**

OCTO Research area priorities for FY20 include:

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



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

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

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

## Risks and Opportunities

### GLOBAL STAKEHOLDER ENGAGEMENT

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

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

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

### GOVERNMENT ENGAGEMENT

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

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

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

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

## **TECHNICAL ENGAGEMENT**

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

- ⦿ The Open Data Initiative pilot:

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

- ⦿ The Domain Abuse Analytics and Reporting platform:

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

## FY20 Budgeted Portfolios

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
<b>Module 1: Engagement Activities</b>						
1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	17	3.1	0.2	0.6	0.0	3.9
1.2.1 Meeting Services	8	1.7	5.7	3.1	0.8	11.3
1.2.2 Enhance cooperation and partnerships regionally to lower barriers and increase regional engagement with ICANN	27	5.2	0.9	1.8	0.2	8.1
2.2.1 Security, Stability and Resiliency of Internet Identifiers	0	0.0	0.0	0.1	0.3	0.4
4.1.1 Coordination of ICANN participation in Internet Governance	2	0.7	0.1	0.0	0.2	1.1
4.2.1 Working with Governments and Intergovernmental Organizations	1	0.4	0.0	0.0	0.0	0.5
4.3.1 Support Internet Governance Ecosystem	5	1.4	0.1	0.2	0.1	1.7
<b>Total</b>	<b>61</b>	<b>12.5</b>	<b>7.0</b>	<b>5.7</b>	<b>1.6</b>	<b>26.8</b>

## Module 2 – Direct Community Activity Support

### Overview

#### POLICY DEVELOPMENT SUPPORT

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

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

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

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

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

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

The following is a summary of policy team support activities:

### **Address Supporting Organization (ASO)**

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

⦿ At-Large Advisory Committee (ALAC)

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

⦿ Governmental Advisory Committee (GAC)

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

⦿ Root Server System Advisory Committee (RSSAC)

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

⦿ Security and Stability Advisory Committee (SSAC)

- Major Board-mandated study by SSAC on Name Collisions
- Following through with current work program, including six work parties
-

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

## CONSTITUENCY TRAVEL

ICANN provides travel support for selected community members to:

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

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

## Travel Guidelines

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

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

### The Travel Support Guidelines:

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

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

## Travel Summary

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

## Travel Reports

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

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



# Major Assumptions

## Expected Changes from FY19 to FY20

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

## Priorities During FY20

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

## Expected Changes from FY19 to FY20 in Constituency Travel

SO/AC:

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

- The FY20 net allocation by group:

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

Fellows/Next Gen:

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

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

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

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

## Risks and Opportunities

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

## FY20 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
<b>Module 2: Direct Community Activity Support</b>						
1.3.1 Support Policy Development, Policy Related and Advisory Activities	35	4.9	0.7	0.7	0.1	6.4
1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities	2	0.1	2.8	0.0	0.0	2.9
<b>Total</b>	<b>36</b>	<b>5.0</b>	<b>3.5</b>	<b>0.7</b>	<b>0.1</b>	<b>9.3</b>

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

## Overview

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

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

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

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

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

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

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

Overview of major activities of DNS&IE:

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

- ⦿ Operate and support a variety of services including:
  - Registry Services Evaluation Process (RSEP)
  - Registry and registrar contract management, amendments, and renewals
  - Specification 13 annual certifications
  
- ⦿ Track the domain name market place dynamics by collecting market intelligence and providing regularly updated projections of ICANN org's funding for budgeting purposes
- ⦿ Process fast track IDN country code top-level domain (ccTLD) applications
- ⦿ Expand Label Generation Rules via generation panels and embark on the implementation phase of the IDN Variant program
- ⦿ Coordinate ICANN org's relationships with contracted parties by maintaining regular contact with registry and registrar stakeholder groups as well as other contracted parties throughout the world
  - DNS&IE leverages the GSE team in engagement activities to provide outreach and training and support contracted parties during escalated compliance issues
  
- ⦿ Publish the gTLD Marketplace Health Index in cooperation with a community advisory group, as a part of ICANN's Five-Year Operating Plan
- ⦿ Track and manage technical specifications for the domain name system and pertaining to ICANN's contracts. Examples include:
  - Data escrow, using the Registry Reporting Interface format
  - Trademark Clearinghouse (TMCH) interfaces
  - Registry and registrar interface specifications
  - Registration data access protocol
  - Centralized zone data
  - ICANN's service level agreement (SLA) monitoring system
  - Across-field address validation
  - Emergency back-end registry operator (EBERO)
  
- ⦿ Design and execute research and study projects arising from community work
- ⦿ Support analysis, issue resolution, and problem-solving on implementation and operational questions in the gTLD space
- ⦿ Provide subject matter expertise across the domain name space within and outside of ICANN org

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

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

Overview of major activities of GDD Operations:

### **⦿ New gTLD Program Operations**

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

### **⦿ Action Request Register (ARR)**

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

### **⦿ Correspondence Process**

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

- Board Advice Register

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

- GAC Advice Process

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

- ⦿ **Registrar Services Delivery**

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

- ⦿ **Registry Services Delivery**

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

- ⦿ **TMCH operations and service evolution**

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

- ⦿ **EBERO operations and service evolution**

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

- ⦿ **Privacy/Proxy Accreditation Program**

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

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



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

⦿ **Global Support Center (GSC)**

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

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

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

## PRODUCT MANAGEMENT

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

New projects:

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

Continuing projects:

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

## GDD STRATEGIC PROGRAMS

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

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

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

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

## Major Assumptions

Expected changes until the end of FY19

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

#### Expected changes during FY20:

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

#### Priorities during FY20

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

# Risks and Opportunities

## Risks

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

## Opportunities

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

## Projects and Activities NOT Included in the Budget Submission

### **gTLD Subsequent Procedures PDP Working Group**

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

### **Technical Compliance Monitoring**

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

### **GDPR**

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

### **Address Field Accuracy Validation (AFAV)**

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

## FY20 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
<b>Module 3: DNS Marketplace and Identifier Ecosystem</b>						
2.1.1 Registration Directory Services (WHOIS)	0	0.0	0.0	0.4	0.0	0.4
2.1.2 Global Domains Division (GDD) Strategic Programs	6	1.1	0.0	0.0	0.0	1.2
2.1.3 PTI Operations	29	5.8	0.3	1.1	0.3	7.5
2.1.4 Global Domains Division (GDD) Operations	36	5.3	0.2	2.6	0.3	8.4
2.3.1 GDD Technical Services	5	1.2	0.0	0.5	0.0	1.7
2.3.3 Registrar Services	4	0.7	0.0	0.1	0.0	0.9
2.3.4 Registry Services	10	1.7	0.0	0.2	0.0	1.9
2.3.5 Domain Name Services	6	1.3	0.1	0.2	0.1	1.8
2.3.6 Internationalized Domain Names and Universal Acceptance	2	0.3	0.1	1.5	0.0	1.8
<b>Total</b>	<b>98</b>	<b>17.6</b>	<b>0.7</b>	<b>6.6</b>	<b>0.7</b>	<b>25.6</b>

# Module 4 – Technology and DNS Security

## Overview

### RESEARCH

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

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

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

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

### IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCE

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

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



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

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

## Major Assumptions

### RESEARCH

Expected changes from FY19 to FY20:

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

Priorities during FY20:

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

### IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCY

Expected changes from FY19 to FY20:

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

Priorities during FY20:

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

## Risks and Opportunities

### RESEARCH

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

### IDENTIFIER SYSTEM SECURITY, STABILITY AND RESILIENCY

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

## FY20 Budgeted Portfolios

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin & Capital	Total
<b>Module 4: Technology &amp; DNS Security</b>						
<b>2.2.2 Identifier Evolution</b>	<b>16</b>	<b>4.4</b>	<b>0.7</b>	<b>0.5</b>	<b>0.6</b>	<b>6.2</b>
<b>Total</b>	<b>16</b>	<b>4.4</b>	<b>0.7</b>	<b>0.5</b>	<b>0.6</b>	<b>6.2</b>

# Module 5 – Contractual Compliance and Consumer Safeguards

## Overview

### CONTRACTUAL COMPLIANCE

ICANN Contractual Compliance department falls under:

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

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

### CONSUMER SAFEGUARDS

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

Major activities include:

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

## Major Assumptions

### CONTRACTUAL COMPLIANCE

Expected changes from FY19 to FY20:

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

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

Priorities during FY20:

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

## CONSUMER SAFEGUARDS

Priorities during FY20:

- ① Facilitate transparent community-wide discussions on consumer safeguard-related topics and educate the Empowered Community through webinars, meetings, podcasts, and blogs
- ① Support consensus-based PDPs that originate from within community discussions about consumer safeguards
- ① Partner with OCTO to educate the community and engage with contracted parties to facilitate DNS abuse remediation
- ① Represent ICANN org in the Internet & Jurisdiction DNS Abuse Working Group and participate in meetings and the sub-working group on Transparency

# Risks and Opportunities

## CONTRACTUAL COMPLIANCE

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

## CONSUMER SAFEGUARDS

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

## FY20 Budgeted Portfolios

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

# Module 6 – Reviews

## Overview

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

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

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

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

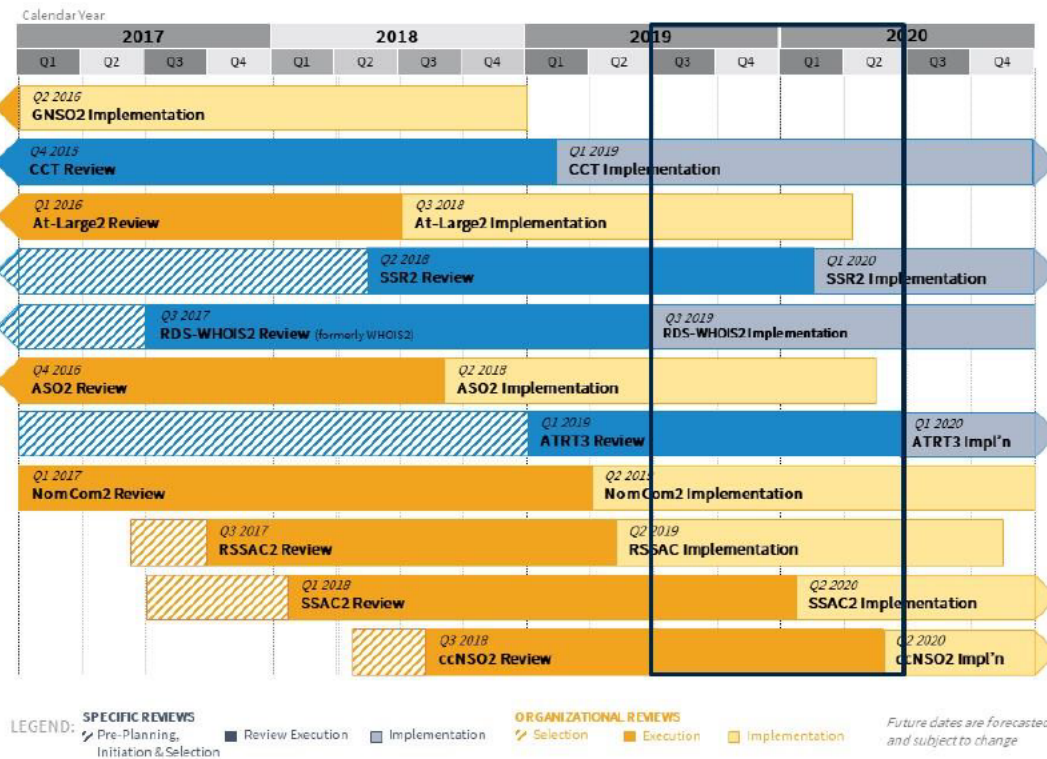
### SPECIFIC REVIEW

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

## ORGANIZATIONAL REVIEW

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

## Reviews Timeline





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

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

## Major Assumptions

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

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

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

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

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

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

## **SPECIFIC REVIEWS**

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

Status of Specific Reviews:

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

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

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

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

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

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

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

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

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

## ORGANIZATIONAL REVIEWS

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

⦿ **SSAC Review**

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

⦿ **ccNSO Review**

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

⦿ **NomCom Review**

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

- ⦿ **RSSAC Review**

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

- ⦿ **At-Large Review**

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

## Risks and Opportunities

### Risks

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

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

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

### Opportunities

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

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

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

## FY20 Budgeted Portfolios

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

## Section 2: Operating Plan by Objectives, Goals and Portfolios

### Management System

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

<b>Five Objectives</b>	These were reviewed and revised during the development of ICANN Strategic Plan for fiscal years 2016–2020, which was Draft by the Board in October 2014.
<b>16 Goals</b>	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.
<b>41 Portfolios</b>	Each goal contains a set of portfolios, which are groups of related projects. Portfolios also have defined success metrics.
<b>Over 220 Projects</b>	Projects reflect ongoing work. Expenses are budgeted at the project level. A breakdown of all projects is linked from the Appendix. The budgeted amounts in this document are inclusive of capital expenditures and multiyear projects.

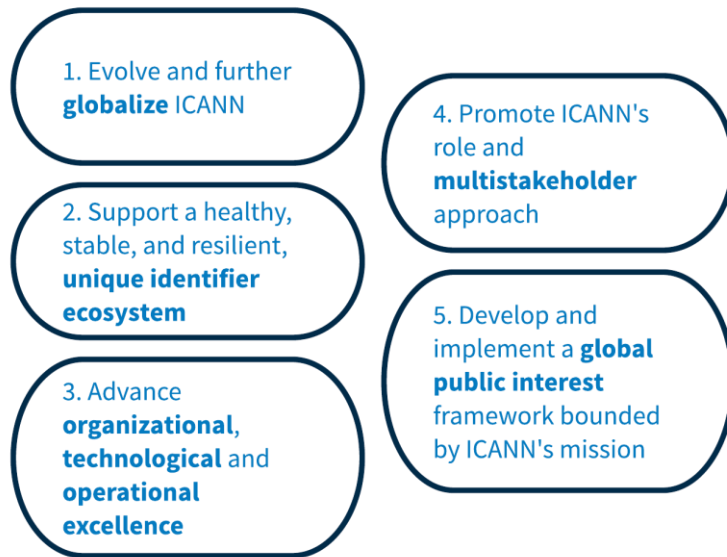
The budget amounts for each portfolio in the following sections are provided by cost category:

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

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

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

## 5 Strategic Objectives | 16 Goals



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

## 1.1 Further Globalize and Regionalize ICANN Functions

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

### Portfolios

#### 1.1.1 – Language Services

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

#### 1.1.2 – Raising Stakeholder Awareness of ICANN Worldwide

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
1.1.1 Language Services	8	0.8	0.0	1.9	0.1	2.8
1.1.2 Raising Stakeholder Awareness of ICANN Worldwide	17	3.1	0.2	0.6	0.0	3.9
<b>Total</b>	<b>25</b>	<b>\$3.9</b>	<b>\$0.2</b>	<b>\$2.5</b>	<b>\$0.1</b>	<b>\$6.7</b>



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

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

### Portfolios

#### 1.2.1 – Meeting Services

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

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

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
<b>1.2.1 Meeting Services</b>	<b>8</b>	<b>1.7</b>	<b>5.7</b>	<b>3.1</b>	<b>0.8</b>	<b>11.3</b>
<b>1.2.2 Enhance cooperation and partnerships regionally to lower barriers and increase regional engagement with ICANN</b>	<b>27</b>	<b>5.2</b>	<b>0.9</b>	<b>1.8</b>	<b>0.2</b>	<b>8.1</b>
<b>Total</b>	<b>36</b>	<b>\$6.9</b>	<b>\$6.6</b>	<b>\$4.9</b>	<b>\$0.9</b>	<b>\$19.4</b>

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

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

### Portfolios

#### 1.3.1 – Support Policy Development, Policy Related and Advisory Activities

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

#### 1.3.2 – Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
<b>1.3.1 Support Policy Development, Policy Related and Advisory Activities</b>	35	4.9	0.7	0.7	0.1	6.4
<b>1.3.2 Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities</b>	2	0.1	2.8	0.0	0.0	2.9
<b>Total</b>	<b>36</b>	<b>\$5.0</b>	<b>\$3.5</b>	<b>\$0.7</b>	<b>\$0.1</b>	<b>\$9.3</b>

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

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

### Portfolios

#### 2.1.1 – Registration Data Services (RDS aka WHOIS)

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

#### 2.1.2 – Global Domains Division (GDD) Strategic Programs

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

#### 2.1.3 – PTI Operations

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

#### 2.1.5 – Global Domains Division (GDD) Operations

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.1.1 Registration Directory Services (WHOIS)	0	0.0	0.0	0.4	0.0	0.4
2.1.2 Global Domains Division (GDD) Strategic Programs	6	1.1	0.0	0.0	0.0	1.2
2.1.3 PTI Operations	29	5.8	0.3	1.1	0.3	7.5
2.1.4 Global Domains Division (GDD) Operations	36	5.3	0.2	2.6	0.3	8.4
<b>Total</b>	<b>71</b>	<b>\$12.4</b>	<b>\$0.5</b>	<b>\$4.1</b>	<b>\$0.6</b>	<b>\$17.6</b>

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

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

### Portfolios

#### 2.2.1 – Security, Stability and Resiliency of Internet Identifiers

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

#### 2.2.2 – Identifier Evolution

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.2.1 Security, Stability and Resiliency of Internet Identifiers	0	0.0	0.0	0.1	0.3	0.4
2.2.2 Identifier Evolution	16	4.4	0.7	0.5	0.6	6.2
<b>Total</b>	<b>16</b>	<b>\$4.4</b>	<b>\$0.7</b>	<b>\$0.5</b>	<b>\$0.9</b>	<b>\$6.6</b>

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

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

### Portfolios

#### **2.3.1 – GDD Technical Services**

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

#### **2.3.2 – New gTLD Program**

Work to support all aspects of the New gTLD Program.

#### **2.3.3 – Registrar Services**

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

#### **2.3.4 – Registry Services**

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

#### **2.3.5 – Domain Name Services**

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

#### **2.3.6 – Internationalized Domain Names and Universal Acceptance**

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
2.3.1 GDD Technical Services	5	1.2	0.0	0.5	0.0	1.7
2.3.2 New gTLD Program	0	0.0	0.0	2.0	0.0	2.0
2.3.3 Registrar Services	4	0.7	0.0	0.1	0.0	0.9
2.3.4 Registry Services	10	1.7	0.0	0.2	0.0	1.9
2.3.5 Domain Name Services	6	1.3	0.1	0.2	0.1	1.8
2.3.6 Internationalized Domain Names and Universal Acceptance	2	0.3	0.1	1.5	0.0	1.8
<b>Total</b>	<b>27</b>	<b>\$5.3</b>	<b>\$0.2</b>	<b>\$4.4</b>	<b>\$0.1</b>	<b>\$10.1</b>

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

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

### Portfolios

#### 3.1.1 – Internal Facing Operations

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

#### 3.1.2 – Finance and Procurement

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

#### 3.1.3 – Strategic and Operating Planning

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.1.1 Internal Facing Operations	14	3.2	0.3	0.7	0.2	4.4
3.1.2 Finance and Procurement	19	5.4	0.4	0.9	1.6	8.2
3.1.3 Strategic and Operating Planning	1	0.3	0.0	0.1	0.0	0.5
Total	34	\$8.9	\$0.8	\$1.7	\$1.8	\$13.1

## 3.2 Ensure Structured Coordination of ICANN’s Technical Resources

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

### Portfolios

#### 3.2.1 – IT Infrastructure, Cybersecurity Hardening and Control

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

#### 3.2.2 – Root Systems Operations

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

#### 3.2.3 – IT Service Scaling and Product Management

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.2.1 IT Infrastructure, Cybersecurity Hardening and Control	9	1.4	0.1	0.1	0.4	2.0
3.2.2 Root Systems Operations	10	1.8	0.3	0.3	0.9	3.3
3.2.3 IT Service Scaling and Product Management	41	8.5	0.3	1.9	5.3	15.9
<b>Total</b>	<b>61</b>	<b>\$11.7</b>	<b>\$0.6</b>	<b>\$2.2</b>	<b>\$6.6</b>	<b>\$21.2</b>



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

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

### Portfolios

#### 3.3.1 – People Management

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

#### 3.3.2 – Global Operations

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
3.3.1 People Management	15	3.0	0.0	0.2	0.4	3.7
3.3.2 Global Operations	15	4.0	0.5	0.2	6.6	11.2
<b>Total</b>	<b>31</b>	<b>\$7.1</b>	<b>\$0.5</b>	<b>\$0.4</b>	<b>\$6.9</b>	<b>\$14.9</b>

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

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

### Portfolio

#### 4.1.1 – Coordination of ICANN Participation in Internet Governance

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

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

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

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

### Portfolio

#### 4.2.1 – Working with Governments and Intergovernmental Organizations

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

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

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

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

### Portfolio

#### 4.3.1 – Support Internet Governance Ecosystem

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

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

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

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

### Portfolios

#### 4.4.1 – Contractual Compliance and Safeguards

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

#### 4.4.2 – Contractual Compliance Function

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

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

## 5.1 Act as a Steward of the Public Interest

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

### Portfolios

#### 5.1.1 – Legal Support and Advice

Legal support for all functions at ICANN.

#### 5.1.2 – Support ICANN Board

Work to support the ICANN and PTI Boards of Directors.

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.1.1 Legal Support and Advice	9	2.7	0.0	1.9	0.1	4.7
5.1.2 Support ICANN Board	12	2.4	1.2	1.3	0.2	5.1
<b>Total</b>	<b>21</b>	<b>\$5.1</b>	<b>\$1.2</b>	<b>\$3.2</b>	<b>\$0.3</b>	<b>\$9.8</b>

## 5.2 Promote Ethics, Transparency and Accountability Across the ICANN Community

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

### Portfolios

#### **5.2.1 – Enhancing ICANN Accountability - WS2**

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

#### **5.2.2 – Organizational Reviews**

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

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

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

#### **5.2.4 – Strategic Initiatives**

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

#### **5.2.5 – Accountability and Transparency Mechanisms**

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

Portfolios	Average Headcount	Pers	T&M	Prof Svcs	Admin & Capital	Total
5.2.1 Enhancing ICANN Accountability - WS2	1	0.3	0.0	0.4	0.0	0.7
5.2.2 Organizational Reviews	1	0.2	0.0	0.0	0.0	0.2
5.2.3 Specific Reviews (Bylaws Article 4, Section 4.6)	2	0.4	0.2	0.3	0.0	0.9
5.2.4 Strategic Initiatives	15	3.2	0.4	0.5	0.1	4.2
5.2.5 Accountability and Transparency Mechanisms	3	0.9	0.0	0.3	0.0	1.3
<b>Total</b>	<b>22</b>	<b>\$5.0</b>	<b>\$0.7</b>	<b>\$1.6</b>	<b>\$0.1</b>	<b>\$7.4</b>



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

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

### Portfolios

#### 5.3.1 – Supporting Public Interest Initiatives

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

#### 5.3.2 – Supporting Stakeholder Participation

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

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

## Appendix A: FY20 Budget by Project

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

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

# **Internet Corporation for Assigned Names and Numbers (ICANN) Proposed Adopted FY20 Total Budget**

3 May 2019



## ICANN PROPOSED ADOPTED FY20 PLANNING DOCUMENTS

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

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

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

To get the most out of this document series, first read the Introduction and Highlights document. Afterward, you can separately review each of the other standalone documents in no specific order, depending on your interest.

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## Summary of Changes

No material changes were made to the Proposed for Adoption FY20 Operating Plan and Budget based on input received from the Public Comment period and from a session held with the community at the ICANN 64 Public Meeting. After internal evaluation, some expenses were re-allocated between cost categories based on the nature of the expenses. The reallocation of expenses did not change the objective of the expense.

<b>Category</b>	<b>Dollar Change</b>
Travel & Meetings	\$200K increase
Professional Services	\$100K decrease
Administration & Capital	\$100K decrease

# 1 Introduction

This document contains the Internet Corporation for Assigned Names and Number (ICANN) Proposed Adopted Fiscal-Year 2020 (FY20) Operating Plan and Budget. ICANN's FY20 fiscal year comprises the following dates:

**1 July 2019 - 30 June 2020**

## COMMUNITY INPUT TO ICANN'S PLANNING PROCESSES

The ICANN Proposed Adopted FY20 Operating Plan and Budget is was submitted for public comment as required by ICANN's Bylaws, and in accordance with ICANN's public comment process on 17 December 2018. Following the public comment period, ICANN org held a session at ICANN64 with the community to improve understanding of the comments. This session 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 22 March 2019.

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 FY20 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 as a part of the Public Technical Identifiers (PTI) FY20 Operating Plan and Budget
- ⦿ Highlights of the New gTLD Program
- ⦿ An overview of ICANN's Total FY20 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 draft budget includes data on all projects planned for FY20 and displays all costs categories for each project. To make the rationale for each project and activity clear, each project is also mapped to one of the five objectives of the ICANN Strategic Plan for fiscal years 2016–2020, using the hierarchy of portfolios and goals.

Where useful, comparative information for FY19 is provided, using actual and forecast information.

### **PTI Operations**

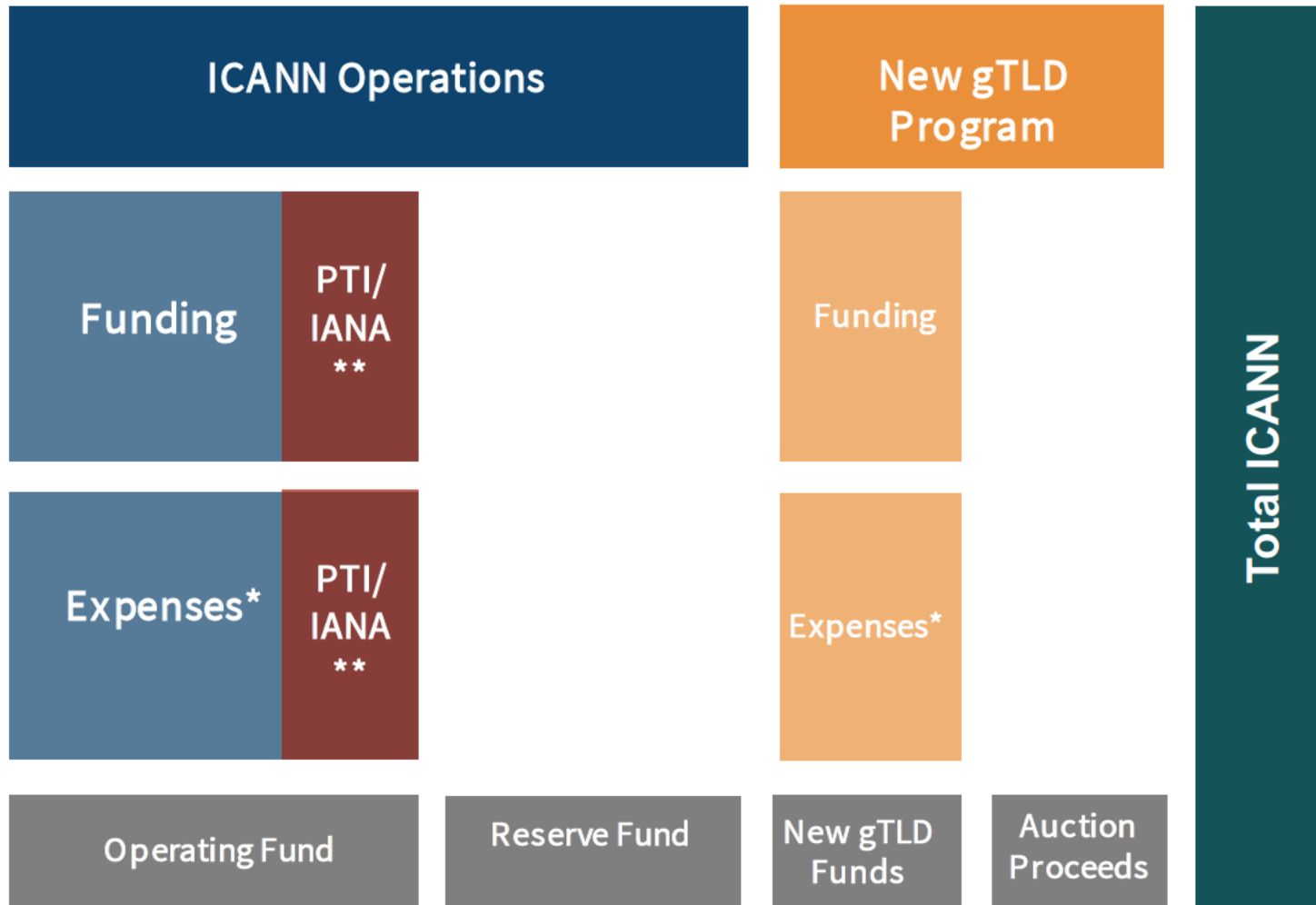
PTI's FY20 Operating Plan and Budget was submitted for public comment in September 2018 and was adopted by the PTI Board in December 2018.

PTI operations are a part of ICANN's total operations and are documented in ICANN's Proposed Adopted FY20 ICANN Operating Plan and Budget.





The following illustration shows the structure of the budget information presented in this document:



\*Excludes depreciation and bad debt expenses

\*\*IANA Services includes ICANN's and PTI's IANA Expenses

## 3 ICANN Operations

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

### 3.1 Financial Overview

#### 3.1.1 Proposed Adopted FY20 Budget compared to Adopted FY19 Budget

The following table compares the Proposed Adopted FY20 Budget to the Adopted FY19 Budget (the last Budget previously submitted for public comment). Compared to the Adopted FY19 Budget, the Proposed Adopted FY20 Budget funding is \$2.4 million higher, and expenses are \$0.6 million lower. The Proposed Adopted FY20 Budget plans for a \$3.0 million contribution to the Reserve Fund.

in Millions, USD	Proposed Adopted FY20 Budget			Adopted FY19 Budget			Increase/(Decrease) vs. FY20 Budget			
	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Ops	IANA - PTI	Total ICANN Operations	%
<b>Funding</b>	<b>\$129.4</b>	<b>\$10.7</b>	<b>\$140.1</b>	<b>\$127.2</b>	<b>\$10.5</b>	<b>\$137.7</b>	<b>\$2.2</b>	<b>\$0.2</b>	<b>\$2.4</b>	<b>1.7%</b>
Personnel	70.0	6.2	76.3	70.5	6.1	76.6	(0.5)	0.1	(0.3)	0%
Travel & Meetings	15.1	0.6	15.7	15.2	0.7	15.9	(0.1)	(0.1)	(0.2)	-1%
Professional Svcs.	19.7	1.9	21.5	20.3	1.4	21.7	(0.6)	0.4	(0.2)	-1%
Administration <sup>(1)</sup> & Capital	16.8	1.6	18.4	16.5	1.9	18.3	0.3	(0.2)	0.1	1%
Contingency <sup>(2)</sup>	4.8	0.5	5.2	4.8	0.5	5.2	0.0	0.0	0.0	0%
<b>Cash Expenses</b>	<b>\$126.4</b>	<b>\$10.7</b>	<b>\$137.1</b>	<b>\$127.2</b>	<b>\$10.5</b>	<b>\$137.7</b>	<b>(\$0.8)</b>	<b>\$0.2</b>	<b>(\$0.6)</b>	<b>-0.4%</b>
<b>Increase/ (Decrease) to Net Assets</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>(\$0.0)</b>	<b>\$0.0</b>	<b>(\$0.0)</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>n/a</b>
<b>Reserve Fund</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>n/a</b>
<b>Increase/ (Decrease) to Net Assets</b>	<b>(\$0.0)</b>	<b>\$0.0</b>	<b>(\$0.0)</b>	<b>(\$0.0)</b>	<b>\$0.0</b>	<b>(\$0.0)</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>-100%</b>
<b>Average Headcount</b>	<b>380</b>	<b>24</b>	<b>405</b>	<b>401</b>	<b>23</b>	<b>424</b>	<b>-21</b>	<b>2</b>	<b>-19</b>	<b>-4%</b>

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

### 3.1.2 ICANN Operations FY19 Forecast compared to Adopted FY19 Budget

This table provides a comparison of the FY19 Forecast to the FY19 Adopted Budget. The FY19 Forecast is the latest data as of Q1 FY19. The FY19 Forecast reflects funding that is -\$0.6 million lower than the FY19 Adopted Budget and expenses that are -\$2.6 million lower than the FY19 Adopted Budget.

in Millions, USD	FY19 Forecast			Adopted FY19 Budget			Increase/(Decrease) vs. FY19 Budget			
	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	ICANN Operations	IANA - PTI	Total ICANN Operations	%
<b>Funding</b>	<b>\$126.6</b>	<b>\$10.5</b>	<b>\$137.1</b>	<b>\$127.2</b>	<b>\$10.5</b>	<b>\$137.7</b>	<b>(\$0.6)</b>	<b>\$0.0</b>	<b>(\$0.6)</b>	<b>-0.5%</b>
Personnel	66.0	6.1	72.0	70.5	6.1	76.6	(4.5)	0.0	(4.5)	-6%
Travel & Meetings	15.2	0.7	15.9	15.2	0.7	15.9	0.0	0.0	0.0	0%
Professional Svcs.	22.2	1.4	23.7	20.3	1.4	21.7	2.0	0.0	2.0	9%
Administration <sup>(1)</sup> & Capital	16.5	1.9	18.3	16.5	1.9	18.3	(0.0)	0.0	(0.0)	0%
Contingency <sup>(2)</sup>	4.8	0.5	5.2	4.8	0.5	5.2	0.0	0.0	0.0	0%
<b>Cash Expenses</b>	<b>\$124.7</b>	<b>\$10.5</b>	<b>\$135.2</b>	<b>\$127.2</b>	<b>\$10.5</b>	<b>\$137.7</b>	<b>(\$2.6)</b>	<b>\$0.0</b>	<b>(\$2.6)</b>	<b>-1.9%</b>
<b>Increase/ (Decrease) to Net Assets</b>	<b>\$1.9</b>	<b>\$0.0</b>	<b>\$1.9</b>	<b>(\$0.0)</b>	<b>\$0.0</b>	<b>(\$0.0)</b>	<b>\$1.9</b>	<b>\$0.0</b>	<b>\$1.9</b>	<b>n/a</b>
<b>Average Headcount</b>	<b>372</b>	<b>23</b>	<b>395</b>	<b>401</b>	<b>23</b>	<b>424</b>	<b>(29)</b>	<b>0</b>	<b>(29)</b>	<b>-7%</b>

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

The following tables provide additional information on the assumptions and variance analysis for the Proposed Adopted FY20 Budget.

## Contingency

Contingency includes budgeted expenses that were not allocated to specific activities or departments. Contingency in the Proposed Adopted FY20 Budget is \$5.2M (approximately 4% of total expenses).

The following key projects likely have unforeseen expenses that may require contingency:

- ⦿ Subsequent procedures
- ⦿ Reviews
- ⦿ GDPR
- ⦿ Work Stream 2
- ⦿ Other unforeseen expenses

The following table describes ICANN Operations' planned cash expenses by function for FY20.

in Millions, USD	Executive Group	Executive	Proposed Adopted FY20 Budget				FY19 Forecast				Increase/(Decrease)				
			Avg Hdct	Perso-nnel	Other	Total	Avg Hdct	Perso-nnel	Other	Total	Avg Hdct	Perso-nnel	Other	Total	%
	DNS Industry and Engagement	Namazi	29	\$5.5	\$2.2	\$7.7	28	\$5.2	\$2.0	\$7.2	1	\$0.3	\$0.3	\$0.6	8%
	Global Domains Division Ops	Namazi	43	\$6.8	\$3.2	\$10.0	51	\$8.6	\$3.3	\$11.9	(8)	-\$1.9	-\$0.1	-\$2.0	-16.7%
	IANA Operations	Conrad	18	\$3.3	\$0.8	\$4.1	16	\$2.8	\$1.3	\$4.1	2	\$0.5	-\$0.5	\$0.0	0%
	Regional Offices	Bennett	0	\$0.0	\$6.7	\$6.7	0	\$0.0	\$6.6	\$6.6	0	\$0.0	\$0.2	\$0.2	3%
	Operations	Bennett	15	\$3.6	\$3.9	\$7.5	15	\$3.1	\$3.6	\$6.7	0	\$0.5	\$0.3	\$0.8	13%
	Communications	Cohen	19	\$3.5	\$0.8	\$4.3	19	\$3.2	\$3.5	\$6.7	0	\$0.3	-\$2.6	-\$2.3	-35%
	Language Services	Cohen	8	\$0.8	\$3.7	\$4.5	8	\$0.9	\$3.9	\$4.7	0	\$0.0	-\$0.2	-\$0.2	-4%
	Finance & Procurement	Calvez	19	\$3.5	\$1.7	\$5.3	19	\$3.6	\$1.7	\$5.3	0	-\$0.1	\$0.0	-\$0.1	-1%
	Office of the CTO	Conrad	17	\$4.8	\$2.3	\$7.1	16	\$4.4	\$2.9	\$7.3	1	\$0.3	-\$0.6	-\$0.3	-3%
	Global Stakeholder Engagement	Costerton	31	\$6.3	\$1.7	\$8.0	30	\$5.9	\$1.9	\$7.8	1	\$0.5	-\$0.2	\$0.2	3%
	Meeting Operations	Costerton	10	\$1.8	\$4.1	\$5.9	10	\$1.6	\$4.1	\$5.8	0	\$0.2	\$0.0	\$0.1	2%
	Public Responsibility Support	Costerton	7	\$0.9	\$1.1	\$1.9	7	\$0.9	\$1.1	\$2.0	0	\$0.0	\$0.0	\$0.0	-1%
	Contr. Compliance & Consumer Safeguards	Hedlund	29	\$4.6	\$0.9	\$5.4	29	\$4.4	\$1.0	\$5.3	0	\$0.2	-\$0.1	\$0.1	2%
	Governance Support	Jeffrey	23	\$6.7	\$3.5	\$10.2	20	\$5.8	\$2.6	\$8.4	3	\$0.9	\$0.9	\$1.8	21%
	Governmental Engagement	Kamel	9	\$2.6	\$0.8	\$3.4	9	\$2.5	\$0.8	\$3.3	0	\$0.1	-\$0.1	\$0.0	0%
	Office of the CEO	Marby	3	\$1.5	\$0.4	\$1.9	3	\$1.4	\$0.5	\$1.9	0	\$0.1	-\$0.1	\$0.0	0%
	Policy Development & SO/ AC Engagement	Olive	35	\$5.0	\$2.0	\$6.9	34	\$4.8	\$1.8	\$6.6	1	\$0.2	\$0.1	\$0.3	4%
	Constituent/ Stakeholder Travel	Olive	0	\$0.0	\$2.7	\$2.7	0	\$0.0	\$2.7	\$2.7	0	\$0.0	\$0.0	\$0.0	1%
	Information Technology	Rangan	34	\$6.8	\$8.5	\$15.3	32	\$6.3	\$8.5	\$14.9	2	\$0.5	-\$0.1	\$0.4	3%
	Engineering	Rangan	39	\$7.2	\$2.1	\$9.3	31	\$5.2	\$3.0	\$8.2	8	\$2.1	-\$0.9	\$1.2	14%
	Global Human Resources and Admin	Villavicencio	22	\$3.8	\$0.6	\$4.5	21	\$3.3	\$0.6	\$3.9	1	\$0.5	\$0.0	\$0.6	14%
	Multistakeholder Strategy & Strategic Initiatives	Swinehart	19	\$3.7	\$2.0	\$5.7	19	\$3.5	\$2.6	\$6.1	0	\$0.2	-\$0.6	-\$0.4	-7%
	Ombudsman	Ombudsman	1	\$0.3	\$0.3	\$0.6	1	\$0.2	\$0.3	\$0.5	0	\$0.1	\$0.0	\$0.1	12%
	Information Transparency Initiative	Conrad	0	\$0.0	\$1.7	\$1.7	0	\$0.0	\$0.0	\$0.0	0	\$0.0	\$1.7	\$1.7	#####
	Corporate Allocations	Corporate/ Alloc (Calvez)	0	-\$2.0	-\$1.2	-\$3.1	0	-\$2.1	-\$1.5	-\$3.7	0	\$0.1	\$0.4	\$0.5	-14%
	Contingency		0	\$0.0	\$5.2	\$5.2	0	\$0.0	\$5.2	\$5.2	0	\$0.0	\$0.0	\$0.0	0%
		Subtotal	430	\$80.9	\$61.8	\$142.7	417	\$75.4	\$64.1	\$139.5	13	\$5.6	(\$2.3)	\$3.3	2%
	Corporate Attrition & Cost Savings		(25)	-\$4.7	-\$1.0	-\$5.6	(22)	-\$3.3	-\$1.0	-\$4.3	(3)	-\$1.3	\$0.0	-\$1.3	30%
		Total	405	\$76.3	\$60.9	\$137.1	395	\$72.0	\$63.1	\$135.2	10	\$4.2	(\$2.2)	\$2.0	1%

## 3.2 Funding

This section is an overview of ICANN’s funding, using assumptions that support the FY20 estimates. The Best Estimate matches the FY20 funding included in the Proposed Adopted FY20 Budget. The High and Low estimates are based on funding items that vary from the Best Estimate.

	Funding Type	Best Estimate	High Estimate	Low Estimate
<b>Legacy TLDs</b>	Transaction-based Fees	2.1% growth, reflecting slowing rate vs prior years	3.2% growth, as per prior historical averages	1.9% growth
<b>New TLDs</b>	Fixed Fees	1,189 TLDs assumed delegated by end of FY20, starting the year at 1,201	1,201 TLDs assumed delegated by end of FY20, starting the year at 1,201	1,171 TLDs assumed delegated by end of FY20, starting the year at 1,201
	Transaction-based Fees	6.3% growth in transactions estimated using the per-TLD average number of transactions per month since delegation (average transactions during month 1, month 2,...)	12.0% growth	5.0% growth

	Funding Type	Best Estimate	High Estimate	Low Estimate
<b>Registrar Accreditation</b>	Application Fees	60 new registrars (increase of 15 per quarter) while number of existing accredited registrars is maintained at current level	No material difference between Best and High Estimate	94 fewer total registrars (decrease of 23.5 per quarter)
	Accreditation Fees	60 new registrars (increase of 15 per quarter) while number of existing accredited registrars is maintained at current level	No material difference between Best and High Estimate	94 fewer total registrars (decrease of 23.5 per quarter)
	Per-registrar Variable Fees	\$3.4M total, consistent with prior years	No material difference between Best and High Estimate	No material difference between Best and Low Estimate
<b>New gTLD Program</b>	Application Fees Revenue	Portion of application fees recognized in Funding ratably based on evaluation expense incurred vs total evaluation expenses forecasted	No material difference between Best and High Estimate	No material difference between Best and Low Estimate



The following table depicts ICANN's funding by source and type, comparing the best estimates for the FY20 budgeted year with the FY19 current year.

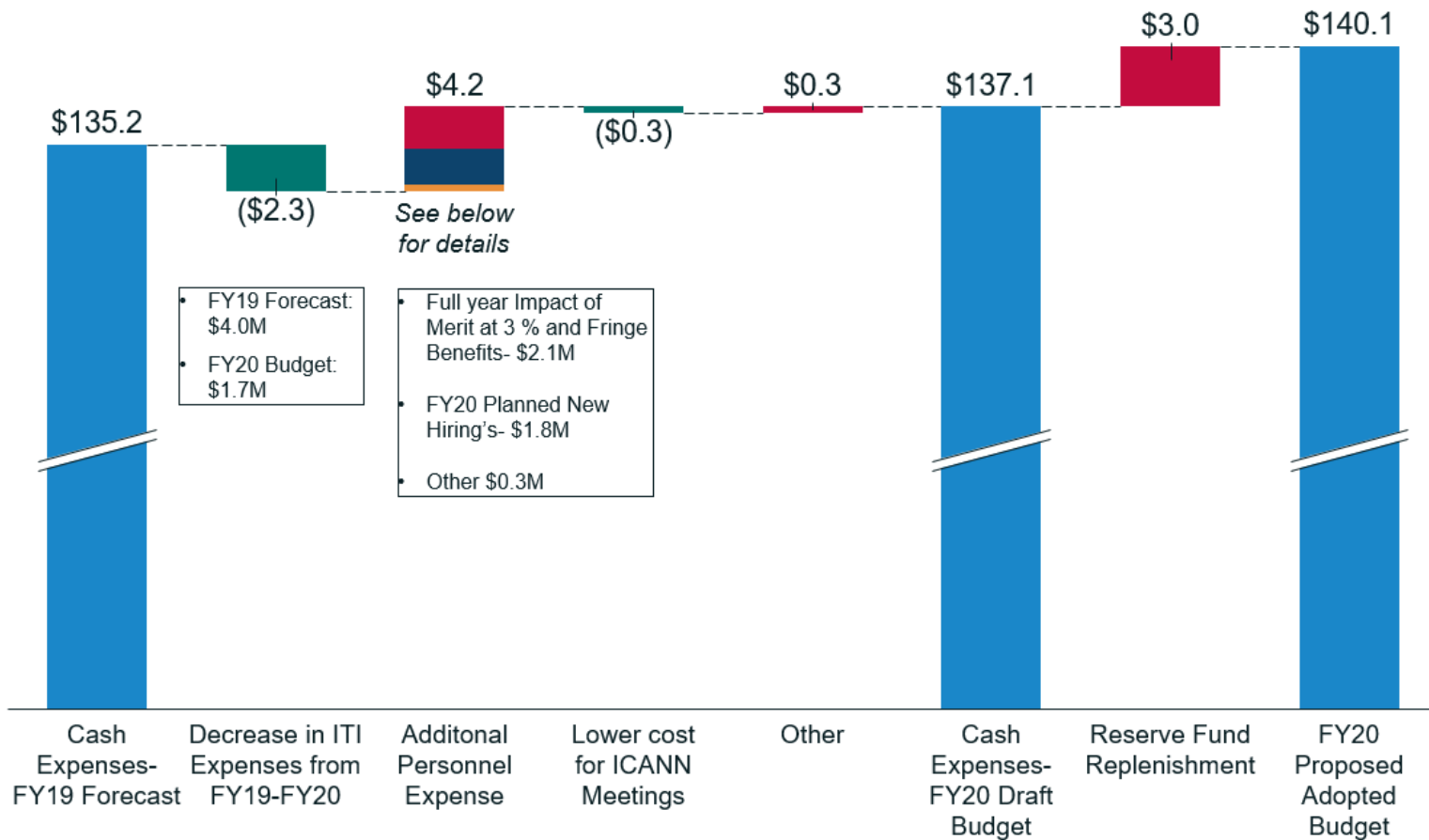
In Millions, US Dollars	Draft FY20 Budget	FY19 Forecast <sup>1</sup>	FY20 Sensitivity		FY19 Adopted Budget
			High	Low	
<b>Transactions</b>					
Registry transaction fees - Legacy	\$ 50.5	\$ 49.8	\$ 51.8	\$ 49.3	\$ 49.6
Registry transaction fees - New gTLD	5.5	5.2	5.7	5.4	5.1
Registrar transaction fees - Legacy	31.2	30.5	31.9	30.4	30.2
Registrar transaction fees- New gTLD	4.6	4.3	4.7	4.5	4.3
<b>Sub-total</b>	<b>91.8</b>	<b>89.8</b>	<b>94.1</b>	<b>89.5</b>	<b>89.2</b>
<i>Volume: legacy transactions (millions)</i>	173.1	169.6	175.0	172.8	167.9
<i>Volume: NewgTLD transactions (millions)</i>	25.5	24.0	26.9	25.2	23.9
<b>Sub-total</b>	<b>198.6</b>	<b>193.6</b>	<b>201.9</b>	<b>198.0</b>	<b>191.9</b>
<i>Volume: NewgTLD billable transactions (millions)</i>	22.1	20.8	23.4	21.4	20.3
<i>NewgTLD Billable rate - average</i>	86.6%	86.6%	87.0%	85.0%	84.9%
<b>Registry Fixed Fees</b>	<b>30.3</b>	<b>30.3</b>	<b>31.0</b>	<b>29.5</b>	<b>30.5</b>
<b>Registrars accreditation</b>					
Application fees	0.2	0.2	0.2	0.2	0.2
Accreditation fees - annual	10.7	9.9	10.9	10.4	10.3
Per-registrar variable fees	3.4	3.4	3.4	3.4	3.4
<b>Sub-total</b>	<b>14.3</b>	<b>13.5</b>	<b>14.6</b>	<b>14.0</b>	<b>14.0</b>
<i>Count of total Registrars - at end of year</i>	2,564	2,504	2,564	2,410	2,277
<i>Incr./ (Decr.) new Registrars - at end of year</i>	60	55	60	(94)	60
<b>Other Funding</b>					
RIR	0.8	0.8	0.8	0.8	0.8
ccTLD	2.3	2.1	2.3	2.3	2.1
Meeting Sponsorships	0.3	0.5	0.3	0.3	0.5
Other <sup>2</sup>	0.4	-	0.4	0.4	0.7
<b>Sub-total</b>	<b>3.8</b>	<b>3.4</b>	<b>3.8</b>	<b>3.8</b>	<b>4.1</b>
<b>ICANN Ops Revenue</b>	<b>\$ 140.1</b>	<b>\$ 137.1</b>	<b>\$ 143.4</b>	<b>\$ 136.8</b>	<b>\$ 137.7</b>

<sup>1</sup> FY19 Forecast is best estimate as of Q1 FY19

<sup>2</sup> Other represents funds relating to Privacy Proxy

### 3.3 ICANN Operations Cash Expenses

ICANN Operations’ baseline cash expenses (excluding Contingency) in the Proposed Adopted FY20 Budget are \$137.1 million. This is \$1.9 million higher than the \$135.2 million in the FY19 Forecast. The comments in the following chart identify the variances between FY20 and FY19.



### 3.4 Risks and Opportunities

This section outlines the Risks and Opportunities in the Proposed Adopted FY20 Budget and classifies each as funding or expense related, with a potential US dollar impact and an assigned probability of Low, Medium, or High.

A risk is defined as “lower funding” or “higher expense.” An opportunity is defined in a reverse fashion.

<b>Risks</b>	<b>Potential amount</b>	<b>Probability</b>
Funding: lower legacy and new gTLD transaction volumes	-\$0.5 million	Low
Funding: lower funding from Registrar fixed fees	-\$0.5 million	Low
Expense: costs resulting from Board approved implementation (CCTRT, WS2, EPDP, RSSAC 37-38, etc)	-\$1.5 million	Medium
Expense: GDPR compliance	TBD	Medium
Expenses: Litigation and Accountability Mechanisms Risk	TBD	

<b>Opportunities</b>	<b>Potential amount</b>	<b>Probability</b>
Funding: higher new gTLD transaction growth	+\$0.5 million	Low

## 3.5 Unfunded Activities

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

### 3.5.1 Potential Implementation Projects/Activities Not Included in the Operating Plan and Budget

Some activities were not included in the budget for the following reasons:

#### **Implementation of Recommendations From Review Teams**

In general, review team recommendations that were not approved by the Board were not included in the budget. When the Board reviews recommendations, it considers resource requirements as part of its overall review. 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; and Second Security, Stability, and Resiliency of the DNS Review (SSR2).

#### **Data Privacy-Related FY20 Implementation Activities**

Data privacy encompasses specific areas of work, such as GDPR implementation and the e-privacy directive. These have resources allocated for FY19 because ICANN org anticipates implementation work for GDPR to conclude in FY19. Consequently no resources have been allocated specifically for GDPR-related implementation work in FY20.

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

When the WS2 Working Group completes its recommendations, the Board considers an implementation plan that includes the necessary resources. Until approved, the Board works with the community to identify the resources needed for implementation. Therefore, no resources are included for any implementation work until the Board adopts the recommendations.

## **Auction Proceeds**

Auction proceeds are 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 how to allocate the proceeds. The CCWG's proposal will be subjected to community review and will be considered for approval by the Board. Implementation of the Board's Draft recommendations and resulting expenses are not included.

The CCWG's work is being funded from the core ICANN budget, not by auction proceeds. We expect, however, that any implementation costs resulting from the CCWG recommendations will come from auction proceeds.

## **Implementation of gTLD Subsequent Procedures**

The gTLD Subsequent Procedures Policy Development Process (PDP) Working Group is reviewing current new gTLD policies to propose changes or new policies or procedures. No resources are in the FY20 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 FY20 to support the PDP Working Group.

## 3.6 Caretaker Budget

[ICANN Bylaws](#) Section 6.2, Powers and Acknowledgements, defines powers and rights attributed to the Empowered Community. One of these powers follows: “(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 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 drafted. 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 budgets:

- ⦿ Must go into effect if the ICANN Budget or IANA Budget at issue cannot come into full force at the beginning of a fiscal year
- ⦿ Remain in effect during any Empowered Community Petition Process, if initiated
- ⦿ Continue to be in effect until the budget at issue is approved by the Board and not rejected by the Empowered Community

The following steps are a pragmatic approach to define the ICANN caretaker budget:

- ⦿ Use the Operating Plan and Budget that the ICANN Board would adopt as a basis while 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 (the veto date) until a new budget is drafted by the Board
  - Reduce by 10% the total allowed expenses for the following categories for the period starting on the date of rejection by the Empowered Community until a new budget is adopted by the Board, using the monthly breakdown of the Draft budget:
    - Travel/Meeting
    - Professional Services of the Draft budget
  - Exclude any expense directly associated with the reason for which the Empowered Community rejected the Draft budget, if such expense can reasonably be isolated and avoided

## 3.7 ICANN Operations FY21 Projections

This section is an overview of FY21 Projections. ICANN org recognizes the need to establish long term financial planning during the upcoming strategic plan development process. The Board requested that ICANN org develop an approach for long term financial planning, including how to engage and inform the community.

<b>in Millions, USD</b>	<b>FY18 Actuals Total ICANN Operations</b>	<b>FY19 Adjusted Budget Total ICANN Operations</b>	<b>Draft FY20 Budget Total ICANN Operations</b>	<b>Draft FY21 Projection Total ICANN Operations</b>
<b>Funding</b>	<b>\$133.8</b>	<b>\$137.1</b>	<b>\$140.1</b>	<b>\$142.9</b>
Personnel	69.9	72.0	76.3	78.5
Travel & Meetings	15.7	15.9	15.4	15.5
Professional Svcs.	25.1	23.7	21.6	21.9
Administration <sup>(1)</sup> & Capital	20.2	18.3	18.6	18.7
Contingency <sup>(2)</sup>		5.2	5.2	5.2
<b>Cash Expenses</b>	<b>\$130.9</b>	<b>\$135.2</b>	<b>\$137.1</b>	<b>\$139.9</b>
<b>Increase/ (Decrease) to Net Assets</b>	<b>\$3.0</b>	<b>\$1.9</b>	<b>\$3.0</b>	<b>\$3.0</b>
Reserve Fund	3.0	0.0	3.0	3.0
<b>Increase/ (Decrease) to Net Assets</b>	<b>\$0.0</b>	<b>\$1.9</b>	<b>\$0.0</b>	<b>\$0.0</b>
<b>Average Headcount</b>	<b>397</b>	<b>395</b>	<b>405</b>	<b>405</b>

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

(2) The FY19, FY20 and FY21 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.

## 4 PTI Budget and IANA Budget Overview

The planning process for the PTI Budget and the IANA Budget is part of the ICANN planning process. The PTI and IANA multiyear plans are a part of ICANN's Five-Year Operating Plan. The PTI FY20 Operating Plan and Budget is a component of ICANN's FY20 Operating Plan and Budget.

To enhance the understanding and transparency of its activities as well as its accountability in managing 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 CCWG-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 FY20 Operating Plan and Budget. After developing a final Proposed Draft, PTI's FY20 Operating Plan and Budget was published for Public Comment from 28 September 2018 through 12 November 2018. A report of responses to Public Comments was published early in December 2018; the completed FY20 PTI Operating Plan and Budget was adopted by PTI's Board on 19 December 2018.

The sections of this ICANN Proposed Adopted FY20 Operating Plan and Budget relating to PTI are therefore already complete and described in the PTI FY20 Operating Plan and Budget document.



## 4.1 IANA Budget Overview

ICANN org receives input from PTI on its budget and then develops an IANA Budget each year. The Proposed IANA Proposed Adopted FY20 Operating Plan and Budget is presented for public comment using ICANN's Public Comment process. When that process ends, ICANN organization develops a proposed Operating Plan and Budget for the ICANN Board to review and adopt. The Draft Budget forms the basis for ICANN's funding of PTI operations.

FY20 PTI Budget in Millions, USD	PTI Services FY20 Budget	PTI Services FY19 Budget	Increase/(Decrease)		PTI Services FY18	Increase/(Decrease)	
			Total	%		Total	%
<b>FUNDING</b>	<b>\$10.0</b>	<b>\$10.0</b>	<b>(\$0.0)</b>	<b>-0.1%</b>	<b>\$7.8</b>	<b>\$2.2</b>	<b>28.1%</b>
Personnel	\$5.9	\$6.0	(\$0.0)	-0.4%	\$4.9	\$1.1	21.8%
Travel & Meetings	\$0.5	\$0.7	(\$0.1)	-16.9%	\$0.5	\$0.1	20.0%
Professional Services	\$1.5	\$1.1	\$0.4	31.1%	\$1.1	\$0.4	31.8%
Administration	\$1.2	\$1.3	(\$0.1)	-7.4%	\$1.1	\$0.1	7.5%
Contingency	\$0.5	\$0.5	\$0.0	0.0%	\$0.0	\$0.5	0.0%
Capital	\$0.1	\$0.2	(\$0.1)	-47.5%	\$0.0	\$0.1	205.2%
Depreciation (a)	\$0.3	\$0.3	(\$0.0)	-11.0%	\$0.2	\$0.1	27.8%
<b>TOTAL CASH EXPENSES</b>	<b>\$10.0</b>	<b>\$10.0</b>	<b>(\$0.0)</b>	<b>-0.1%</b>	<b>\$7.8</b>	<b>\$2.2</b>	<b>28.1%</b>
<b>EXCESS/(DEFICIT)</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>0.0%</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>0.0%</b>
Average Headcount (FTE) (b)	22.5	22.8	(0.3)	-1.2%	19.0	3.5	18.3%

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

(b) FTE: Full-time staff equivalent

FY20 IANA Budget in Millions, USD	FY20 IANA Budget	FY19 IANA Budget	Increase/(Decrease)		FY18 IANA Actuals	Increase/(Decrease)	
			Total	%		Total	%
PTI Services	\$10.0	\$10.0	(\$0.0)	-0.1%	\$7.8	\$2.2	28.1%
IANA Services (c)	\$0.7	\$0.5	\$0.2	51.0%	\$0.3	\$0.4	160.9%
<b>TOTAL</b>	<b>\$10.7</b>	<b>\$10.5</b>	<b>\$0.2</b>	<b>2.2%</b>	<b>\$8.1</b>	<b>\$2.6</b>	<b>32.6%</b>

(c) IANA Services includes the Root Zone Maintainer function, Customer Standing Committee, Root Zone Evolution Committee and IANA Naming Function reviews

These costs are funded by ICANN Operations.

# 5 New gTLD Program

## 5.1 Financial Summary

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

ICANN (NgTLD) DECEMBER 2018		FINANCIAL SUMMARY		
In Millions, USD	FULL PROGRAM			
	Current Estimate (Dec 2018)	Prior Estimate (Dec 2017)	Increase/ (Decrease)	
Total Application Fees	-\$362.2	-\$362.4		
Less: Total Refunds	52.7	52.7		
<b>Net Application Fees</b>	<b>-309.5</b>	<b>-309.7</b>	<b>-0.3</b>	
<b>Expenses</b>				
Evaluation Costs	128.6	123.9	4.7	
Overheads	65.4	64.6	0.8	
Historical Development Costs	32.5	32.5	0.0	
<b>Total Operating Expenses</b>	<b>226.5</b>	<b>221.0</b>	<b>5.5</b>	
<b>Others *</b>	<b>14.3</b>	<b>7.1</b>	<b>7.1</b>	
<b>Remaining Balance</b>	<b>-\$68.6</b>	<b>-\$81.6</b>	<b>\$13.0</b>	

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

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

### VARIANCE EXPLANATIONS

<b>Evaluation Costs</b>	<b>\$4.7</b>
Increase in evaluation expenses due the extension of the program.	
<b>Overheads</b>	<b>\$0.8</b>
Increase in allocation for ICANN direct staff and supporting services due to the extension of the program	
<b>Others</b>	<b>\$7.1</b>
Variance due to an Increase in actual risk costs of (+\$4.4M), RPM Access Fees expense of (+\$6.1M), and an increase in investment management fees (+\$0.6M) partially offset by an increase in net investment gains (-\$3.8M). Future risk cost through the end of the program cannot be estimated.	

## 5.2 Multiyear View

	Statement of Activities by Fiscal Year										Statement of Activities for Full Program (Dec 2018)	Statement of Activities for Full Program (Dec 2017)
	FY12 Actual	FY13 Actual	FY14 Actual	FY15 Actual	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Forecast	FY20 Budget	FY21 & Beyond Forecast		
New gTLD Applicant Fees		(166,846)	(45,887)	(71,366)	(27,390)	(21,717)	10,792	(20,964)	(17,426)	-	(360,804)	(361,034)
ICANN Applicant Support Contributions		-	-	-	-	-	-	-	-	-	-	(138)
Additional Fees		-	(540)	(514)	(229)	5	(75)	-	-	-	(1,353)	(1,278)
Refunds		8,936	12,080	18,448	2,189	732	1,831	2,782	5,704	-	52,703	52,703
<b>Revenue (Net of Refunds)</b>	\$ -	\$ (157,909)	\$ (34,347)	\$ (53,432)	\$ (25,429)	\$ (20,980)	\$ 12,548	\$ (18,182)	\$ (11,722)	\$ -	\$ (309,453)	\$ (309,747)
Initial Evaluation	3,200	58,547	4,106	23	-	-	-	-	-	-	65,876	64,336
Extended Evaluation	-	-	760	883	(15)	-	-	-	-	-	1,628	1,128
Quality Control	-	7,100	462	62	-	-	-	-	-	-	7,624	7,624
String Contentions	-	-	5	-	-	-	-	-	-	-	5	5
Objection Processes	39	3,550	(64)	(23)	-	-	-	-	-	-	3,503	2,503
Pre-delegation	-	124	4,003	3,672	2,371	1,959	240	193	1,471	-	14,032	15,709
Program Administration	450	3,347	4,800	5,651	3,353	7,230	2,168	2,557	2,713	3,700	35,968	32,592
gTLD Team	633	1,827	3,796	3,352	1,807	2,136	247	-	-	-	13,800	13,360
ICANN Staff Allocation	1,137	5,725	9,947	7,518	7,434	4,295	4,039	3,508	3,145	-	46,749	46,031
Other Overhead	79	228	1,991	2,034	345	134	36	31	23	-	4,901	5,252
<b>Total Operating Expenses</b>	\$ 5,538	\$ 80,450	\$ 29,806	\$ 23,171	\$ 15,295	\$ 15,754	\$ 6,730	\$ 6,289	\$ 7,352	\$ 3,700	\$ 194,085	\$ 188,539
Investment (Income)/Loss		811	(2,457)	(896)	(1,541)	(2,784)	(4,469)	-	-	-	(11,335)	(7,520)
Investment Unrealized (Gains)/Losses		-	-	-	(479)	380	(441)	-	-	-	(540)	(237)
Investment Realized (Gains)/Losses		-	-	-	338	39	69	-	-	-	446	391
Investment Management Fees	-	14	213	372	60	342	554	-	-	-	1,555	908
Historical Development Costs	-	15,396	4,616	5,956	2,322	2,179	458	297	1,229	-	32,454	32,454
Refund of the RPM Access Fees							6,128				6,128	
Risk Costs	281	1,068	1,012	2,466	3,352	5,424	3,116	1,323	-	-	18,042	13,602
<b>Total Other Income/(Expense)</b>	\$ 281	\$ 17,289	\$ 3,384	\$ 7,897	\$ 4,052	\$ 5,581	\$ 5,417	\$ 1,620	\$ 1,229	\$ -	\$ 46,749	\$ 39,599
<b>Total Expenses</b>	\$ 5,819	\$ 97,738	\$ 33,190	\$ 31,068	\$ 19,347	\$ 21,335	\$ 12,147	\$ 7,908	\$ 8,582	\$ 3,700	\$ 240,834	\$ 228,138
<b>Change in Net Remaining Funds</b>	\$ 5,819	\$ (60,171)	\$ (1,156)	\$ (22,364)	\$ (6,082)	\$ 355	\$ 24,695	\$ (10,274)	\$ (3,141)	\$ 3,700	\$ (68,620)	\$ (81,609)

## 5.3 Operating Expenses Variance Analysis

<b>Prior Estimate (Dec 2017)</b>	
<b>Operating Expenses</b>	<b>\$188.5</b>

### Variations - Increase/(Decrease):

<b>Prior Years Re-statement</b>	<b>3.0</b>	
<b>Pre-Delegation</b>	<b>-1.7</b>	Lower professional service costs for outside legal services
<b>Program Administration</b>	<b>3.4</b>	Higher professional services costs for CCT Metrics and Program Reviews due to extension of the program
<b>ICANN Operations Allocation</b>	<b>1.2</b>	Allocation for ICANN shared services increased due to shift of New gTLD program personnel to ICANN Ops and the extension of the program
<b>Other Overhead</b>	<b>-0.4</b>	Travel (-\$0.2M); All other i.e. depreciation, etc. (-\$0.2M).

<b>Current Estimate (Dec 2018)</b>	
<b>Operating Expenses</b>	<b>\$194.1</b>

## 5.4 Risks and Opportunities

This section outlines the Risks and Opportunities in the Proposed Adopted FY20 Budget and classifies each as funding or expense related, with a potential US dollar impact and an assigned probability of Low, Medium, or High.

A risk is defined as “lower funding” or “higher expense.” An opportunity is defined in a reverse fashion.

<b>Risks</b>	<b>Potential amount</b>	<b>Probability</b>
Expenses: Unable to complete application processing and withdrawals by end of FY21 as per current forecast.	\$2.0 million	High
Expenses: Given the current level of accountability and litigation cases, our current expenditures on risk are likely to continue at a similar rate through FY19 and beyond. This could impact the project remaining program funds at completion.	\$5.0 million	Medium
<b>Opportunities</b>	<b>Potential amount</b>	<b>Probability</b>
Expenses: Board to take action to bring 2012 round application processing to completion.	(\$2.0) million	Low
Expenses: Board to take action to reduce likelihood/duration of accountability and litigation cases and resulting costs.	(\$3.0) million	Medium

## 6 Total ICANN Overview

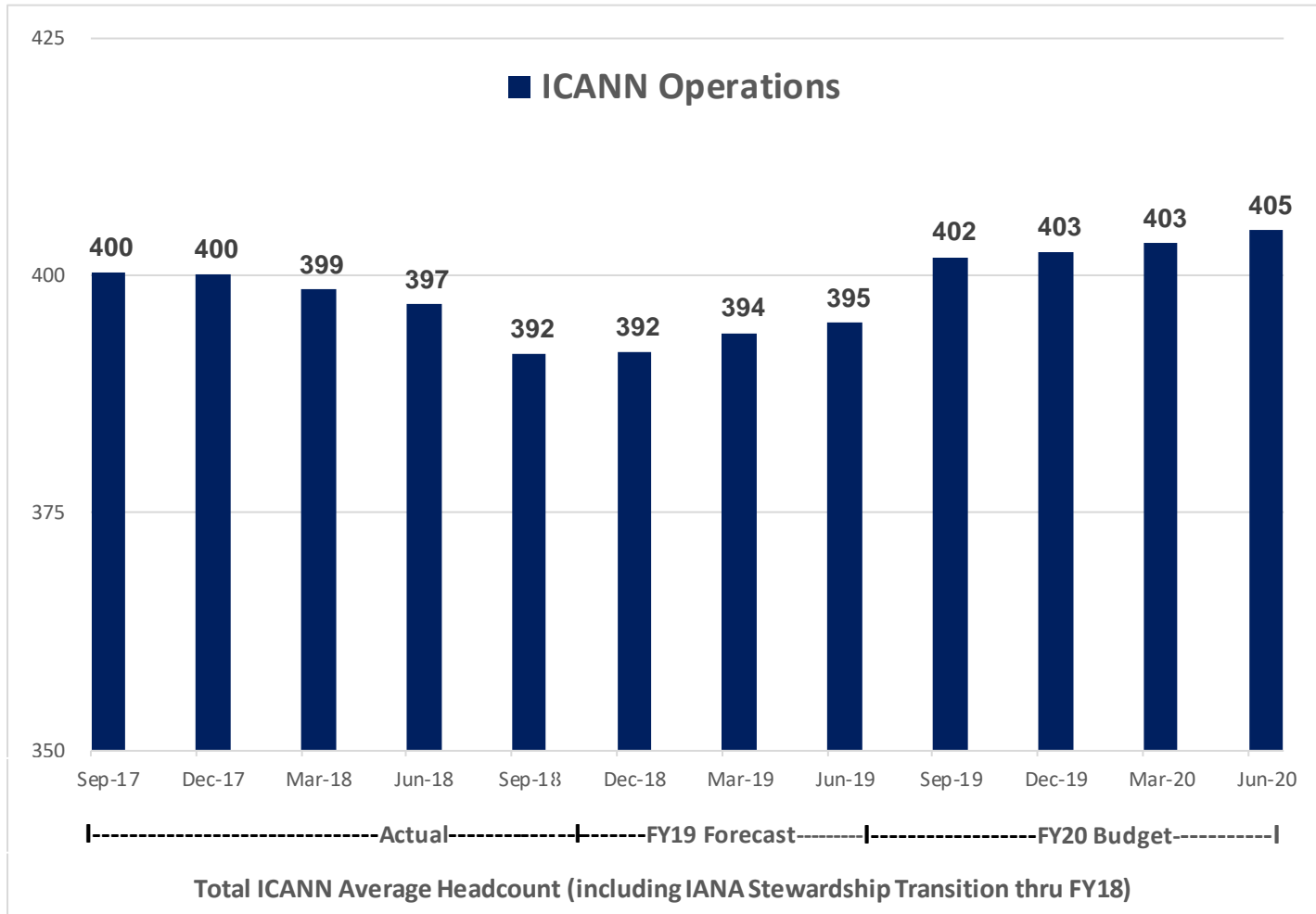
### 6.1 FY20 Financial Overview

in Millions, USD	Proposed Adopted FY20 Budget			Adjusted FY19 Budget			Total ICANN					
	Total ICANN Operations	New gTLD	Total ICANN	Total ICANN Operations	New gTLD	Total ICANN	Operations	%	New gTLD	%	Total ICANN	%
<b>Funding</b>	<b>\$140.1</b>	<b>\$11.7</b>	<b>\$151.8</b>	<b>\$137.1</b>	<b>\$18.2</b>	<b>\$155.3</b>	<b>\$3.0</b>	<b>2.2%</b>	<b>(\$6.5)</b>	<b>-35.5%</b>	<b>(\$3.4)</b>	<b>-2.2%</b>
Personnel	76.3	2.0	78.2	72.0	2.1	74.2	4.2	6%	(\$0.1)	-7%	4.1	5%
Travel & Meetings	15.7	0.4	16.0	15.9	0.4	16.3	(0.2)	-1%	(0.1)	-12%	(0.3)	-2%
Professional Svcs.	21.5	4.7	26.2	23.7	4.7	28.4	(2.2)	-9%	(0.0)	-1%	(2.2)	-8%
Administration <sup>(1)</sup> & Capital	18.4	0.3	18.7	18.3	0.3	18.6	0.1	1%	(0.0)	-4%	0.1	1%
Contingency <sup>(2)</sup>	5.2	0.0	5.2	5.2	0.0	5.2	0.0	0%	0.0	n/a	0.0	0%
<b>Cash Expenses</b>	<b>\$137.1</b>	<b>\$7.4</b>	<b>\$144.5</b>	<b>\$135.2</b>	<b>\$7.6</b>	<b>\$142.8</b>	<b>\$2.0</b>	<b>1.4%</b>	<b>(\$0.3)</b>	<b>-3%</b>	<b>\$1.7</b>	<b>1%</b>
<b>Increase/ (Decrease) to Net Assets</b>	<b>\$3.0</b>	<b>\$4.4</b>	<b>\$7.4</b>	<b>\$1.9</b>	<b>\$10.6</b>	<b>\$12.5</b>	<b>\$1.1</b>	<b>57%</b>	<b>(\$6.2)</b>	<b>(\$0.0)</b>	<b>(\$5.1)</b>	<b>-41%</b>
<b>Reserve Fund</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$3.0</b>	<b>n/a</b>	<b>\$0.0</b>	<b>n/a</b>	<b>\$3.0</b>	<b>n/a</b>
<b>Increase/ (Decrease) to Net Assets</b>	<b>(\$0.0)</b>	<b>\$4.4</b>	<b>\$4.4</b>	<b>\$1.9</b>	<b>\$10.6</b>	<b>\$12.5</b>	<b>(\$1.9)</b>	<b>-100%</b>	<b>(\$6.2)</b>	<b>(\$0.0)</b>	<b>(\$8.1)</b>	<b>-65%</b>
<b>Average Headcount</b>	<b>405</b>	<b>-</b>	<b>405</b>	<b>395</b>	<b>0</b>	<b>395</b>	<b>10</b>	<b>3%</b>	<b>-</b>	<b>n/a</b>	<b>10.1</b>	<b>0.0</b>

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

## 6.2 Headcount: Three Year Overview

The following headcount chart shows the average number of ICANN organization personnel working in each period. New gTLD Program resources who previously reported under the program are now in ICANN Operations and will continue to support the program as required.



## 6.3 Funds Under Management

### 6.3.1 Cash Flow Synopsis

The following table depicts ICANN's planned cash inflows and outflows for FY20.

Cash Flow Statement	For the Year Ended 6/30/2020				
	Operating Fund	Reserve Fund	NgTLD	Auction Proceeds	Total
In Millions, US dollars					
<b>Funds Under Management - June 30, 2019</b>	<b>\$ 28.6</b>	<b>\$ 111.9</b>	<b>\$ 111.6</b>	<b>\$ 204.5</b>	<b>\$ 456.7</b>
Collected/ (refunded) from contracted parties	140.1	-	(5.7)	-	134.4
Auction Proceeds	-	-	-	-	-
Paid to vendors, net of reimbursement	(60.0)	-	(4.2)	-	(64.2)
Paid to employees, net of reimbursement	(76.3)	-	(3.1)	-	(79.4)
					-
Reserve Fund Contribution	(3.0)	3.0	-	-	-
Historical Development Costs	1.2	-	(1.2)	-	-
Capital expenditures	(0.9)	-	-	-	(0.9)
					-
Change in investment market value	-	6.1	0.8	2.1	9.0
<b>Funds Under Management - June 30, 2020</b>	<b>\$ 29.8</b>	<b>\$ 121.0</b>	<b>\$ 98.2</b>	<b>\$ 206.6</b>	<b>\$ 455.6</b>



## 6.3.2 Governance

Name of Fund	Description of Fund
<b>1. Operating and Reserve Funds</b>	These are governed by the <a href="#">ICANN Investment Policy</a> . Extracts are shown below.
<b>1.1 Operating Fund</b>	Sometimes called the Working Capital Fund, this funds 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 excess funds are transferred to the Reserve Fund. To illustrate, in October 2018, the ICANN Board approved an allocation of US\$3 million from the Operating Fund to the Reserve Fund.
<b>1.2 Reserve Fund</b>	<p>The Reserve Fund is ICANN's funding of last resort to cover large expenses resulting from unavoidable, unpredictable or unplanned events, which cannot be funded from ICANN's Operations. The use of any 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 meeting the criteria noted above.</p> <p>The Reserve Fund contains any ICANN Operations amounts not contained in the Operating Fund. Surplus funds are used to build up the Reserve Fund to a level sufficient to cover emergency requirements. The Reserve Fund is expected to rise to a level that covers 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 impact of potential decisions to be considered and approved by the Board (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.</p>
<b>2. New gTLD Program Funds and the Auction Proceeds</b>	These are governed by the <a href="#">New gTLD and Auction Proceeds Investment Policy</a> . Please see extracts from this document below.
<b>2.1 New gTLD Program Funds</b>	This 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 "hard-to-predict" costs, including risks. Section 5 of this document has more information on the New gTLD Program financials.

**2.2 Auction Proceeds**

The ICANN Auction is a mechanism of last resort to resolve string contention within the New gTLD Program. ICANN expects most string contentions to be resolved by other means before reaching an auction conducted by ICANN's authorized auction service provider. Auction proceeds will be reserved and earmarked until the Board determines a plan for the appropriate use of the funds after 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 2,500 registrars are accredited by ICANN as of 30 November 2018. 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, respectively. The RAA is a five-year agreement that provides for the following types of fees:

Fee Type	Description
<b>1. Application Fees</b>	<p>Application fees are paid one time by prospective registrars at the time of application.</p> <p>For FY20, 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.</p>
<b>2. Annual Accreditation Fees</b>	<p>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.</p> <p>For FY20, the annual accreditation fees are estimated at \$10 million, based on an average of 2,550 registrars renewing and being newly accredited.</p>
<b>3. Variable Accreditation Fees</b>	<p>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:</p> <ul style="list-style-type: none"> <li>⦿ Per-registrar variable fee</li> <li>⦿ Transaction-based fee</li> </ul>
<b>3.1 Per-Registrar Variable Fees</b>	<p>Per-registrar variable fees are based on a validated concept that ICANN expends the same effort in providing services to a registrar regardless of size. However, if the registrar is considerably small enough 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, a registrar must meet both of the following criteria:</p> <ol style="list-style-type: none"> <li>1. Less than 350,000 gTLD names under its management</li> <li>2. No more than 200 attempted adds per successful net add in any TLD</li> </ol>

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, renewal, or 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).

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 assumed to be zero for the FY20 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 FY20 by fee type.

In Millions, US Dollars	FY20 Best Estimate	FY19 Forecast	+Incr./-Decr.	%	FY20 Estimates	
					High	Low
<b>Existing TLDs</b>						
Application Fees	\$ 0.2	\$ 0.2	\$ 0.0	-100.0%	\$ 0.2	\$ 0.2
Accreditation Fees	11.0	9.9	1.1	-4.9%	11.2	10.8
Per-registrar Variable Fees	3.4	3.4	-	-0.6%	3.4	3.4
Transaction Fees	35.7	34.8	0.9	32.5%	36.1	35.0
<b>Total Registrar Revenue</b>	<b>50.4</b>	<b>48.4</b>	<b>2.0</b>	<b>4.2%</b>	<b>50.9</b>	<b>49.5</b>



# **A New Cooperation and Governance Model for the Root Server System**

Concept Paper on a Community-Driven Process to Develop a Final Model Based on RSSAC037

23 April 2019



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# Executive Summary

This is a concept paper prepared by the ICANN organization (ICANN org), under the oversight of the ICANN Board Technical Committee, for a community-driven process to develop a new cooperation and governance model for the Root Server System (RSS).

Evolving the RSS would enable direct interaction between the ICANN community and the Root Server Operators (RSOs). The inclusion of the RSOs in the ICANN community paired with the evolution of the RSS will ensure that global root service remains accountable and sustainable into the future. Nothing in this Concept Paper presumes that any RSO intends to give up the responsibilities of root service in any way without consideration.

The model proposed in this Concept Paper, henceforth called the “Concept Model”, would establish three new groups: The Root Server System Governance Board (RGB), the Root Server System Standing Committee (RSC), and the Root Server Operator Review Panel (RRP). In addition to these groups, ICANN org would manage Financial and Secretariat Functions.

The community-driven process to develop a final model for the RSS has three phases: Design, Consultation, and Implementation. During the implementation phase, there are two tracks. The Root Server System Governance Working Group (GWG) would lead the Structural Track to develop a final model, and ICANN org would lead the Administrative Track to plan for implementation of a final model.

The Concept Model builds on “RSSAC037: A Proposed Governance Model for the DNS Root Server System” (RSSAC037). Following the Internet Assigned Numbers Authority (IANA) stewardship transition, the Root Server System Advisory Committee (RSSAC) set out to develop an initial framework to evolve the RSS. In June 2018, RSSAC presented its proposed governance model to the ICANN Board and ICANN community.

The model described in RSSAC037, henceforth called the “RSSAC037 Model”, was developed in response to the exponential growth of the Internet. The number of hosts on the Internet is thousands of times larger than when the RSS was initially designed. The network has evolved to billions of hosts, billions of users, new governance structures, and new business models. These developments place new strains and expectations on the RSS. The Internet is constantly evolving; therefore, governance of the Internet's infrastructure cannot remain static and must be reviewed regularly.

The RSS, being part of the core infrastructure of the Internet, has largely maintained the same organizational structure throughout its history. It has scaled and adapted to the growth of the network and continues to provide resilient service. However, the time has come for the RSS to adopt new cooperation, governance, and business models to meet the more rigorous requirements of governance, accountability, and transparency.

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# 1 Introduction

The ICANN Board is overseeing the development of this Concept Paper as part of the preparation of information for its consideration of RSSAC037 and “RSSAC038: RSSAC Advisory on a Proposed Governance Model for the DNS Root Server System” (RSSAC038). The proposal further develops the functions originally conceived by the RSSAC in RSSAC037. This Concept Paper acknowledges the important role and continued commitment of the RSOs to the overall security, stability, and resiliency of the RSS.

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## 2 The Concept Model

The Concept Model establishes three new groups: The Root Server System Governance Board (RGB), the Root Server System Standing Committee (RSC), and the Root Server Operator Review Panel (RRP). In addition to these groups, ICANN org could manage Financial and Secretariat Functions. Each new group and their function would be reviewed periodically per the practices and processes established in the ICANN Bylaws.

### 2.1 The Root Server System Governance Board

The purpose of the RGB is to develop policies for the RSS in the interest of its stakeholders as identified in Section 4 of RSSAC037. This includes strategy, architecture, and technical evolution, building on the Strategy, Architecture, and Policy Function of RSSAC037. The RGB will also establish, modify, or revoke policies that may affect expected Service Level Expectations (SLEs) for the RSOs that are accepting funding. RSOs that accept funding and RSOs that forego funding must still meet the same service requirements and report on them using the same metrics. The RGB should start with existing RSSAC documents and IETF RFCs as a foundation for service expectations.

The RGB would perform the responsibilities contemplated in Section 5.2 of RSSAC037:

- Coordinating with other stakeholders concerned with the RSS and the root zone in developing a strategic vision for the RSS. Examples of such groups include the ICANN Board, IETF/IAB, SSAC, and RZERC.
- Making recommendations for the appropriate number of RSOs.
- Predicting performance envelopes, such as maximum size of the root zone and rate of change from an RSS system-level perspective.
- Strategizing about how to incorporate emerging technologies and how to sunset those technologies that are becoming obsolete.
- Administration and oversight of all processes enacted in the delivery of the Concept Model.
- Ensuring that the guiding principles of the RSS and RSOs remain embedded in technical and operational architectures.
- Defining measurements to ensure that RSOs are meeting a minimum level of performance. Once defined, communicating these measurements to the RSC.
- Defining system-wide, externally verifiable metrics to demonstrate that the RSS as a whole is online, serving correct and timely responses to end users. Once defined, communicating these measurements to the RSC.
- Providing guidance and developing best practices for root server operations based on industry-accepted best practices for the design, capacity, and availability of root servers. This guidance and best practices support the availability, performance, scalability, and security of the RSS.
- Defining and articulating policies concerning the RSS. Examples of such policies include; RSS expectations, impacts of significant changes to functionality that the RSS is expected to support, impacts of a significant expansion of the root zone data, and emerging technologies that may impact the functioning of the RSS.

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- Gathering input from stakeholders and valued contributors on policy and best practices. This may include handling any grievances concerning an RSO or the RSS.
  - Developing evaluation procedures to test the readiness of RSOs and root server instances in cases of outage or overload scenarios.
  - Operationalizing the minimum levels of performance developed in the RGB and communicating this information to the RSC.
  - Operationalizing the system-wide RSS metrics, and collaborating with the RSC to assess whether the system as a whole meets the defined policy requirements for the RSS.
  - Communicating with stakeholders about strategic, architectural, and policy decisions.

The RGB would comprise representatives of the RSS stakeholders, identified in Section 4 of RSSAC037, “ensuring that the resulting membership contains the breadth and balance of skills needed, including technical, policy and governance expertise.”<sup>1</sup> Furthermore, the RGB “should include subject matter experts on Internet technologies (with an emphasis on DNS root technology), security, technology architecture, service operations, and policy.”<sup>2</sup>

Some of the work to be conducted by the RGB is currently performed by the RSSAC and RSSAC Caucus. Therefore, the existing RSSAC and RSSAC Caucus may evolve as part of the implementation of the Concept Model. The exact functions of the RGB and its structure would be determined by the community-driven process.

## 2.2 The Root Server System Standing Committee

The purpose of the RSC would be to monitor the performance of the RSS and RSOs against the SLEs, including technical and nontechnical attributes identified in Section 5.4.1 of RSSAC037. The RSC is critical to the accountability of the RSOs. This builds on the Performance Monitoring and Measurement Function of RSSAC037.

The RSC would perform the responsibilities contemplated in Section 5.4 of RSSAC037:

- Monitoring and measuring RSOs and the RSS against technical and nontechnical standards and expectations that the RGB develops.
- Evaluating candidate RSOs for the RRP against technical and nontechnical service expectations that the RGB has developed.
- Reporting if the RSOs are appropriately using the funds they receive from the Financial Function.

The RSC would comprise appointed representatives from the Country Code Names Supporting Organization (ccNSO), the Internet Engineering Task Force (IETF)/Internet Architecture Board (IAB), RSOs, and the Registries Stakeholder Group (RySG) due to their relevant subject matter expertise. The RSC would include and liaisons from IANA and the Root Zone Maintainer (RZM) due to their operational roles in the RSS.

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<sup>1</sup> RSSAC037, p. 22

<sup>2</sup> RSSAC037, p. 21

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## 2.3 The Root Server Operator Review Panel

The purpose of the RRP would be to conduct reviews of RSOs for the purposes of a designation, remediation, or removal process. This builds on the Designation and Removal Function of RSSAC037.

Though the RRP is a standing community group, it can only be activated by the RGB for a designation, remediation, or removal process. The RRP does not have regular work, though it should review its operating procedures annually to ensure preparedness and feasibility should it be activated by the RGB.

The RRP would perform the responsibilities contemplated in Section 5.3 of RSSAC037:

- Receiving applications from organizations willing to be designated as RSOs. In general, the first step is to identify the need to designate a new operator. The RRP will receive applications *only* after establishing a need – to prevent unnecessary work that may never result in a designation.
- Requesting the RSC to evaluate new RSO candidates on technical and nontechnical merits. Candidates must be evaluated by the RSC as a prerequisite to being designated as an RSO.
- Reviewing RSC evaluations of candidate RSOs.
- Recommending to the ICANN Board the designation of an RSO from a pool of candidates based on the evaluation.
- Handling removal cases where an RSO should no longer operate the root service, subject to ICANN Board oversight.
- Participating in accountability efforts by evaluating existing operators for compliance with policies and metrics. The RRP will use information that the RSC provides to recommend whether to remove or replace any existing RSOs.

The RRP would comprise representatives identified in Section 5.3.1 of RSSAC037.

## 2.4 Financial Function

The primary purpose of the Financial Function is to receive funds and distribute them to RSOs. The Concept Model requires sustainable funding because, “sound and healthy funding is critical for robust service design, delivery, and operations.”<sup>3</sup> Moreover, the Financial Function “should preserve [RSOs] autonomy and independence in architecting and operating the service, while requiring adherence to standards and service expectations.”<sup>4</sup>

Per Section 5.5.2 in RSSAC037, the Financial Function would include these key elements:

- Service Level Expectations (SLEs) should exist between the stakeholders that provide funding and RSOs that receive that funding. SLEs are expectations between a service provider and another party. Minimum standards of service levels and expectations will be codified by the RGB (e.g., RSSAC001).

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<sup>3</sup> RSSAC037, p. 27

<sup>4</sup> Ibid.

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- Operators that are financially self-sufficient and choose to opt-out of general funding will establish the integrity of their continued funding by providing information to the RSC.
  - An RSS fund should be created by sourcing funds from numerous entities, including the stakeholders and the ICANN community.
  - For funds received, the RSOs will be subject to audits to ensure financial accountability for RSO service delivery.
  - An appropriate process needs to be developed to distribute funding, coupled with a selection committee whose composition includes stakeholders and other relevant entities. Funds could be requested for three reasons: operations, emergencies, and research and development.

ICANN org would be responsible for performing the Financial Function with the oversight of the ICANN Board. While details of the Concept Model will emerge as the process continues, it is important to remember the new services that the RSOs offer to ICANN and others constitute incremental effort. They also represent a change to the traditional independence of the RSOs. As such, it is expected that there will be funding for existing capital assets and services, in addition to ongoing operations that will be funded at some level for those RSOs that request it.

## 2.5 Secretariat Function

As part of the Concept Model, ICANN org would assume the Secretariat Function proposed in RSSAC037. ICANN org would, “assist RSOs with certain administrative functions and to create a platform for engagement” providing, “an official platform from which [the RSOs] can address RSO-related technical issues in an accountable and transparent manner.”<sup>5</sup> ICANN org would be the “interface for the Internet community to contact the RSOs.”<sup>6</sup>

Specifically, ICANN org would perform the responsibilities contemplated in Section 5.1 of RSSAC037:

- Performing secretariat and administrative functions to coordinate, facilitate, and support RSO operations and meetings.
- Registering and owning common RSO assets.
- Facilitating and communicating practices related to the RSS.
- Engaging in outreach functions as defined by ICANN and the Internet community.
- Providing a conduit for the Internet community to interact with RSOs.
- Coordinating and providing transparency to the operationalization of appropriate standards (e.g., RSSAC publications and IETF RFCs).
- Assuming new coordination roles that could be defined in the future.

ICANN org would be responsible for determining the appropriate level of resourcing and support to provide the Secretariat Function in the Concept Model.

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<sup>5</sup> RSSAC037, p. 19

<sup>6</sup> Ibid.

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## 3 Community-Driven Process to Develop a Final Model

The community-driven process to develop a final model for the RSS has three phases: Design, Consultation, and Implementation. During the implementation phase, there are two tracks. The Root Server System Governance Working Group (GWG) will lead the Structural Track to develop a final model, and ICANN org will lead the Administrative Track to plan for implementation of a final model.

### 3.1 Root Server System Governance Working Group

The establishment of an RSS Governance Working Group (GWG) is the core of this community-driven process. The GWG shall develop a final model (henceforth called the “GWG Model”) for the RSS. The GWG shall refer to RSSAC037 and the Concept Paper as source documents, as well as feedback from Public Comment.

The GWG would be comprised of nine invited representatives from the ccNSO (2), IETF/IAB (2), RSOs (3), and RySG (2) due to their subject matter expertise and three liaisons—one liaison each from the ICANN Board, IANA, and the RZM. These representatives and liaisons would provide input that informs GWG discussions and decisions.

It is important to note that representation on the GWG will not be the only source of stakeholder participation. Rather, the GWG is expected to undertake proactive engagement and consultation with the wider community as part of its process.

The At-Large Advisory Committee (ALAC), Address Supporting Organization (ASO), Governmental Advisory Committee (GAC), Security and Stability Advisory Committee (SSAC), broader Generic Names Supporting Organization (GNSO) community, and global Internet community will be invited to provide input on the outcomes of the GWG via Public Comment.

Furthermore, the GWG should:

- Thoroughly understand its mandate and limitations.
- Commit to a timeline with clear milestones for deliverables.
- Work openly and transparently.
- Seek informed contributions when necessary.
- Embrace the principles outlined in RSSAC037.
- Carefully consider the RSSAC037 Model and Concept Model.
- Regularly report to the ICANN Board and ICANN community on its progress.
- Effectively leverage the resources of ICANN org, including aligning any meetings with existing events already supported by ICANN org.

The GWG Model will inform the discussions and deliberations of the ICANN Board in responding to RSSAC037 and determining next steps in the evolution of the RSS, in conjunction with the RSSAC and RSS stakeholders.

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ICANN org will develop three foundational documents (“GWG documents”) for the GWG:

1. Charter
2. Operating procedures (including a working definition of consensus)
3. Work plan

The charter includes a statement of work to ensure the GWG addresses questions raised and issues identified by the RSSAC about this Concept Paper during the Design Phase. The charter also keeps the GWG within scope when developing the initial set of SLEs and respects the independence of the RSOs. To clarify the scope of the GWG, RSSAC would develop and publish a statement defining RSO independence.

The operating procedures for the GWG should uphold the value of transparency, focus the GWG on its task, provide efficient and nimble administration, and embrace consensus-based decision making. ICANN org would refer to the various operating procedures in the ICANN community for guidance. The work plan for the GWG would keep it on track to meet predetermined milestones within the allocated resources and support of the ICANN org. The GWG would dissolve after RSSAC, ICANN Board, IETF/IAB, and RSOs approve its work.

## 3.2 Design Phase

The Design Phase is currently underway. During this phase, ICANN org is reviewing and evaluating RSSAC037 at the direction of the ICANN Board. This Concept Paper, and any further interactions, will be developed under ICANN Board oversight and presented to the ICANN Board for approval. ICANN org is also assessing the feasibility of RSSAC038, ultimately making recommendations for the ICANN Board to consider as part of this process.

### 3.2.1 Steps

1. After the ICANN Board Technical Committee approves, ICANN org presents Concept Paper to RSSAC. ICANN org captures the feedback from RSSAC.
2. ICANN org presents draft GWG documents to the ICANN Board and RSSAC for consideration and feedback. ICANN org captures the feedback from the ICANN Board and RSSAC.
3. ICANN org revises the Concept Paper and GWG documents.
4. The ICANN Board considers and approves resolution and directs ICANN org to publish RSSAC037, revised Concept Paper, and revised GWG documents for Public Comment.

## 3.3 Consultation Phase

During this phase, RSSAC037, a revised version of this Concept Paper, and revised GWG documents are available for Public Comment. ICANN org will work with RSSAC to ensure the Public Comment proceeding is broadly shared across the ICANN and global Internet communities and thoroughly considered by the RSS stakeholders. This may include webinars, briefings, and presentations at relevant community gatherings including ICANN and IETF meetings.

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### 3.3.1 Steps

1. ICANN org publishes RSSAC037, revised Concept Paper, and GWG documents for Public Comment.
  - a. ICANN org and RSSAC conduct outreach and engagement.
  - b. Public Comment ends.
2. ICANN org summarizes and analyzes feedback captured during Public Comment.
3. With input from Public Comment, ICANN Board directs finalization of Concept Paper and GWG documents.
4. ICANN org presents final GWG documents to ICANN Board for approval.
5. ICANN Board approves resolution directing ICANN org to convene the GWG.

## 3.4 Implementation Phase

This is the third phase of developing a final model for the RSS. The implementation phase has two tracks: The Structural Track to finalize the GWG Model and the Administrative Track to plan for implementation of the GWG Model.

### 3.4.1 Steps: The Structural Track – Developing the GWG Model

The GWG leads the Structural Track working through its work plan to develop a final model.

1. GWG develops a final model.
  - a. GWG reviews RSSAC037, Concept Paper, and Public Comment feedback.
2. ICANN org reviews potential conflicts of interest concerns related to its role as an RSO and performing the Finance Function
  - a. GWG produces an assessment report of the ICANN org conflicts of interest review.
3. GWG develops initial set of SLEs.
4. GWG finalizes charters of any new groups.
5. GWG presents SLEs and charters to RSSAC, the ICANN Board, IETF/IAB, and RSOs.
  - a. ICANN org provides input on funding considerations and the budget process raised through SLEs and charters.
  - b. RSSAC, the ICANN Board, IETF/IAB, and RSOs consider. The ICANN Board's consideration of the SLEs is related to the budgetary impacts.
  - c. GWG captures feedback.
6. If needed, GWG revises SLEs and charters.
7. If needed, GWG presents revised SLEs and charters to RSSAC, the ICANN Board, IETF/IAB, and RSOs for consideration.
8. The ICANN Board approves resolution directing ICANN org to publish revised SLEs and charters for Public Comment.
9. ICANN org publishes revised SLEs and charters for Public Comment.



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- a. ICANN org conducts outreach and engagement.
  - b. Public Comment ends.
  10. ICANN org summarizes and analyzes feedback captured during Public Comment.
  11. (GWG remains available for consultation on GWG Model, SLEs, and charters.)
  12. ICANN org finalizes SLEs and charters.
  13. ICANN org presents final SLEs and charters to RSSAC, the ICANN Board, IETF/IAB, and RSOs for approval.
  14. The ICANN Board approves resolution of final SLEs and charters and directs ICANN org to document SLEs and identify appropriate resourcing for GWG Model.
  15. GWG dissolves.
  16. New groups established; GWG Model takes effect.

### 3.4.2 Steps: The Administrative Track – Planning for Implementation

ICANN org leads the Administrative Track working to estimate the costs of the RSS and GWG Model per Section 5.3.3 in RSSAC037, and prepares the necessary bylaw amendments, budgets, and other documentation to constitute and substantiate it.

Any budgetary and financial implications would be handled through ICANN processes that ensure accountability and transparency.

1. ICANN org develops proposed methodology for cost estimates and reviews with GWG and the ICANN Board.
2. ICANN org creates cost estimates for the current RSS.
3. ICANN org creates cost estimates of the GWG Model and conducts a risk analysis of it, identifying appropriate mitigation strategies.
4. ICANN org produces redline and clean versions of bylaw amendments, initial budgets, and other documentation developed by GWG and ICANN org.
5. ICANN org presents redline and clean versions of bylaw amendments, initial budgets, and other documentation.
  - a. The ICANN Board considers.
  - b. ICANN org captures feedback.
6. ICANN org revises bylaw amendments, budgets, and other documentation.
7. ICANN org presents revised bylaw amendments, budgets, and other documentation to the ICANN Board for approval.
8. The ICANN Board approves resolution directing ICANN org to publish revised bylaw amendments, budgets, and other documentation for Public Comment.
9. ICANN org publishes revised bylaw amendments, budgets, and other documentation developed by GWG and ICANN org for Public Comment.
  - a. ICANN org conducts outreach and engagement.
  - b. Public Comment ends.
10. ICANN org summarizes and analyzes feedback captured during Public Comment.
11. ICANN org finalizes bylaw amendments, budgets, and other documentation.

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12. ICANN org presents final bylaw amendments, budgets, and other documentation to the ICANN Board for approval.
  13. The ICANN Board approves resolution of final bylaw amendments and directs ICANN org to execute adopt budgets, and effect other documentation.
    - a. ICANN Secretary notifies Empowered Community of final bylaw amendments, budgets, and other documentation.
  14. Empowered Community Action process occurs as applicable.
    - a. Empowered Community delivers Notice.



# Draft Charter and Operating Procedures

## Root Server System Governance Working Group (GWG)

### Purpose and Mandate

The GWG is the core of the community-driven process to develop a final cooperation and governance model for the Root Server System (RSS). The GWG shall embrace the principles outlined in “RSSAC037: A Proposed Governance Model for the DNS Root Server System” (RSSAC037).

### Scope

In fulfilling its purpose and mandate, the GWG shall respect the independence of the Root Server Operators (RSOs) as defined by the Root Server System Advisory Committee (RSSAC) in “RSSAC042: Statement on RSO Independence.”

### Deliverable

The GWG shall develop a final model (“GWG Model”) of cooperation and governance for the RSS and present its deliverable to the RSSAC, ICANN Board, IETF/IAB, and RSOs. The GWG shall refer to RSSAC037 and the Concept Paper as source documents, as well as feedback from Public Comment.

The GWG Model will inform the discussions and deliberations of the ICANN Board in responding to RSSAC037 and determining next steps in the evolution of the RSS in conjunction with the RSSAC and RSS stakeholders.

### Composition

The GWG shall comprise nine (9) invited representatives due to their subject matter expertise:

- Two (2) from the Country Code Names Supporting Organization (ccNSO)
- Two (2) from the Internet Engineering Task Force/Internet Architecture Board (IETF/IAB)
- Two (2) from the Registries Stakeholder Group (RySG)
- Three (3) from the Root Server Operators (RSOs)

The GWG shall also comprise three liaisons:

- One (1) from the ICANN Board
- One (1) from the Internet Assigned Numbers Authority (IANA)
- One (1) from the Root Zone Maintainer (RZM)

The representatives and liaisons will provide input that informs GWG discussions and decisions. Every member of the GWG will provide a statement of interest and disclose potential conflicts of interest. GWG members are not compensated.

Representation on the GWG will not be the only source of stakeholder participation. Rather, the GWG is expected to undertake proactive engagement and consultation with the wider community as part of its process. The GWG will seek informed contributions when necessary.

The At-Large Advisory Committee (ALAC), Address Supporting Organization (ASO), Governmental Advisory Committee (GAC), Security and Stability Advisory Committee (SSAC), broader Generic Names Supporting Organization (GNSO) community, and global Internet community will be invited to provide input on the outcomes of the GWG via Public Comment.

## Leadership

The GWG shall elect from its representatives a chair to manage its work and preside over GWG meetings.

## Consensus

The GWG shall operate on the basis of consensus. For the purposes of GWG work and outcomes, consensus is based on general agreement without any formal objections as determined by the chair.

## Quorum and Voting

Prior to all votes, a quorum must be established. A quorum is a simple majority (half plus one) of GWG representatives. The GWG representatives may make decisions and adopt outcomes by vote. A vote passes with a simple majority (half plus one) of GWG representatives.

## Meetings

The GWG shall work openly and transparently. The GWG shall conduct its work remotely and align any meetings with existing events already supported by ICANN org. GWG meetings shall be recorded. Minutes of the meetings shall be published as soon as possible following approval by the GWG.

## Work Plan and Reporting

The GWG shall adopt, publish, and adhere to a work plan. The GWG shall regularly report to the ICANN Board and ICANN community on its progress.

## Dissolution

The GWG shall dissolve after the RSSAC, ICANN Board, IETF/IAB, and RSOs consider the outcomes of the GWG.

## Resources and Support

ICANN org shall provide necessary resources and support staff for the GWG. The support staff are designated by ICANN org and report to ICANN org.

# Draft Work Plan

## Root Server System Governance Working Group (GWG) and ICANN org

Dates	Structural Track	Administrative Track
September 2019 to November 2019 (ICANN66)	<p>GWG develops a final model (GWG Model).</p> <p>GWG reviews RSSAC037, Concept Paper, and Public Comment feedback.</p>	<p>ICANN org develops proposed methodology for cost estimates and reviews with GWG and the ICANN Board.</p>
November 2019 to March 2020 (ICANN67)	<p>ICANN org reviews potential conflicts of interest concerns related to its role as an RSO and performing the Finance Function and Secretariat Function.</p>	<p>ICANN org creates cost estimates for the current RSS.</p>
March 2020 to June 2020 (ICANN68)	<p>GWG produces an assessment report of the ICANN org conflict of interest review.</p> <p>GWG develops initial set of SLEs.</p>	
July 2020 to October 2020 (ICANN69)	<p>GWG finalizes charters of any new groups.</p>	<p>ICANN org creates cost estimates of the GWG Model and conducts a risk analysis of it, identifying appropriate mitigation strategies.</p>
November 2020 to December 2020	<p>GWG presents SLEs and charters to RSSAC, the ICANN Board, IETF/IAB, and RSOs.</p>	
January 2021 to March 2021 (ICANN70)	<p>ICANN org provides input on funding considerations and the budget process raised through SLEs and charters. RSSAC, the ICANN Board, IETF/IAB, and RSOs consider. The ICANN Board's</p>	<p>ICANN org produces redline and clean versions of bylaw amendments, initial budgets, and other documentation developed by GWG and ICANN org.</p>

	<p>consideration of the SLEs is related to the budgetary impacts.</p> <p>GWG captures feedback.</p> <p>If needed, GWG revises SLEs and charters.</p>	<p>ICANN org presents redline and clean versions of bylaw amendments, initial budgets, and other documentation.</p> <p>The ICANN Board considers.</p> <p>ICANN org captures feedback.</p> <p>ICANN org revises bylaw amendments, budgets, and other documentation</p>
<p>April 2021 to June 2021 (ICANN71)</p>	<p>If needed, GWG presents revised SLEs and charters to RSSAC, the ICANN Board, IETF/IAB, and RSOs for consideration.</p> <p>The ICANN Board approves resolution directing ICANN org to publish revised SLEs and charters for Public Comment.</p> <p>ICANN org publishes revised SLEs and charters for Public Comment.</p> <p>ICANN org conducts outreach and engagement.</p>	<p>ICANN org presents revised bylaw amendments, budgets, and other documentation to the ICANN Board for approval.</p> <p>The ICANN Board approves resolution directing ICANN org to publish revised bylaw amendments, budgets, and other documentation for Public Comment.</p> <p>ICANN org publishes revised bylaw amendments, budgets, and other documentation developed by GWG and ICANN org for Public Comment.</p> <p>ICANN org conducts outreach and engagement.</p>
<p>July 2021 to August 2021</p>	<p>Public Comment ends.</p> <p>ICANN org summarizes and analyzes feedback captured during Public Comment.</p>	



<p>September 2021 to October 2021 (ICANN72)</p>	<p>(GWG remains available for consultation on GWG Model, SLEs, and charters.)</p> <p>ICANN org finalizes SLEs and charters.</p> <p>ICANN org presents final SLEs and charters to RSSAC, the ICANN Board, IETF/IAB, and RSOs for approval.</p> <p>The ICANN Board approves resolution of final SLEs and charters and directs ICANN org to document SLEs and identify appropriate resourcing for GWG Model.</p>	<p>ICANN org finalizes bylaw amendments, budgets, and other documentation.</p> <p>ICANN org presents final bylaw amendments, budgets, and other documentation to the ICANN Board for approval.</p> <p>The ICANN Board approves resolution of final bylaw amendments and directs ICANN org to execute adopt budgets, and effect other documentation.</p>
<p>November 2021 to December 2021</p>	<p>GWG dissolves.</p>	<p>ICANN Secretary notifies Empowered Community of final bylaw amendments, budgets, and other documentation.</p> <p>Empowered Community Action process occurs as applicable.</p> <p>Empowered Community delivers Notice.</p>
<p>January 2022</p>	<p>New groups established; GWG Model takes effect.</p>	