Five-Year Operating Plan Update - FY18

Second Annual Update – June 2017

Introduction

ICANN developed a multiyear planning framework based on extensive input from the ICANN Community during the development of its Strategic Plan. The framework includes the following three elements:

Five-Year Strategic Plan FY16-FY20

To be updated every five years or earlier if appropriate. It includes a vision and mission, strategic objectives, goals, key success factors, and strategic risks. ICANN's Board adopted the current Strategic Plan on 16 October 2014.

Five-Year Operating Plan FY16-FY20

To be updated each year. It includes:

- A five-year planning calendar
- Strategic goals with corresponding key performance indicators
- Dependencies
- Five-year phasing
- A list of portfolios
- A five-year financial management strategy

Fiscal-Year Operating Plan and Budget

Developed from the ICANN Five-Year Operating Plan and structured community input. It includes portfolios of activities that support the achievement of the goals and objectives with corresponding key performance indicators, dependencies, budgets, and projects.

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

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

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Planning Structure

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

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

Objectives	Goals	Portfolios	Projects
Core foundational strategies upon which goals are based	Desired deliverables to meet organization-wide objectives	Cross-functional work undertaken in support of goals to fulfill core deliverables and services	A temporary endeavor that has a defined beginning and end and a specific set of deliverables.
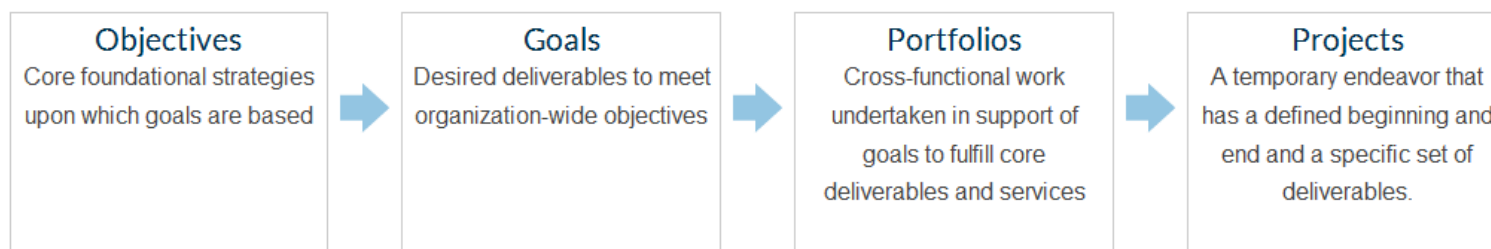
Our portfolios and projects are planned cross-functionally, which means that work in one goal often supports work in another goal.

Our key performance indicators are reviewed and refined systematically to make sure that they remain useful measures of our success. They typically start with one of the following:

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

The ICANN online glossary defines all the terms of art used in this document.

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. A detailed schedule for the process and the roles of each group can be found on ICANN's website.

Operating Plan – Strategic Goal Level

Summary of Changes

This document is the second update to ICANN's Five-Year Operating Plan. ICANN updates this document each year to take account of what has been achieved and to review and refine the planned future work based on what has already been delivered and the changing environment.

This section below provides a high-level overview of changes from the first annual Five-Year Operating Plan Update. Changes have been made both as a result of ICANN analysis and review and also the Public Comment process. This table describes changes to portfolios, key performance indicators, dependencies, and year-by-year phasing of work.

In each goal section, a status update box has been added to note the work completed and planned to be accomplished during FY18.

PTI Budget	**IANA Transition WS2**	**Review Activities**
PTI was incorporated during FY17 and developed an Operating Plan and Budget in consultation with community. It was adopted by the PTI Board in January 2017 and has been incorporated into ICANN's draft Five-year Operating Plan updated and draft FY18 Operating Plan and Budget.	The IANA Stewardship Transition was completed in early FY17. All of the Implementation activities for the project will be completed in FY17. The Accountability WS2 activities will be carried into FY18.	Reviews associated with the Affirmation of Commitments have now been incorporated into the Bylaws and are called Specific Reviews. Organizational and Specific Reviews will be running over the course of FY18.

Goal Number	Change Type	Change Summary
All	Dependency	Availability of appropriate resources, including community bandwidth, is a dependency for all ICANN's work
1.1	KPI	KPIs now more focused on ICANN Public Meetings

1.1	Dependencies	IANA Stewardship Transition dependency replaced with a dependency on data availability	
1.2	Portfolio	Broadcast and Engage with Global Stakeholders renamed Meeting Services	
1.2	KPI	KPI refocused towards regional engagement at ICANN Public Meetings and away from digital services metrics	
1.3	KPI	KPIs thoroughly restructured	
1.3	Dependencies	Phrasing adjusted for 1-4	
1.3	Dependencies	IANA Stewardship Transition dependency removed as that is now complete	
2.1	Portfolio	IANA Operations renamed PTI Operations	
2.1	Portfolio	IANA System Enhancements renamed PTI Technical System Enhancements	
2.1	Portfolio	New portfolio consolidates all WHOIS/RDS work	
2.1	KPI	KPI on SLAs reworded	
2.1	KPI	New customer satisfaction KPI	
2.1	Dependencies	Dependency reworded to call out the engineering projects that could affect service delivery	
2.1	Phasing	Delivery of IANA Services as defined by the community added to FY18 phasing	
2.2	Dependencies	New dependencies defined	
2.2	Portfolio	WHOIS portfolio removed as all WHOIS/RDS work will be integrated into a single portfolio in 2.1	
2.2	Portfolio	Removed Technical Experts Group portfolio and added Technical Reputation portfolio	
2.3	Portfolio	New Registrant Services portfolio	
2.3	Portfolio	Next gTLD Round Planning renamed to New gTLD Subsequent Procedures Planning	
2.3	Portfolio	Removed the WHOIS/RDS portfolio as all this work is now consolidated in 2.1	
2.3	Portfolios	Revised names of 2.3.5 and 2.3.6	
2.3	KPI	KPI title changed to replace "Index" with "Indicators Report"	
2.3	Dependencies	New dependency related to community consultation and data source availability for Domain Name Marketplace Health Indicators Report	
2.3	Phasing	FY18-FY20 phasing updated to reflect new name for Domain Name Marketplace Health Indicators Report	
3.1	Portfolio	Organizational Excellence and Intelligence portfolio renamed and moved to 3.3	
3.1	Portfolio	Security Operations portfolio added	
3.1	Portfolio	Internal Controls Review and Audit portfolio added	
3.1	KPI	Language refined	
3.2	Phasing	"IANA functions" rephrased to "IANA Services"	
3.3	Portfolio	Organizational Excellence and Intelligence portfolio moved from 3.1 and renamed Organizational Assessment and Continuous Improvement	
3.3	Portfolio	Talent Management renamed People Management	
3.3	Portfolio	Support ICANN Board moved from 5.1 and renamed Board Operations	

3.3	Portfolio	New Global Operations portfolio created
4.1	Dependencies	Updated dependencies
4.2	Dependencies	Updated dependency
4.3	Phasing	Updated phasing following the IANA Stewardship Transition
4.4	Portfolio	Strategic Initiatives portfolio moved to 5.2
4.4	KPI	KPI restructured to focus on Contractual Compliance service level targets
4.4	KPI	New KPI on safeguards role
4.4	Dependencies	Dependencies reworded and new dependency for contracted parties
4.4	Dependencies	External dependency updated to reflect safeguards role
4.4	Phasing	New customer satisfaction focus for FY18 and review work item for current practices
4.4	Phasing	FY18 updated to reflect extra safeguards-related activities
5.2	Portfolio	AoC Reviews renamed Specific Reviews, because of Bylaws Article 4, Section 4.6
5.2	Portfolio	Strategic Initiatives portfolio moved from 4.4
5.2	KPI	IANA Stewardship Transition KPI element removed as that is now completed
5.2	KPI	New KPI element relating to reporting on reviews
5.2	Dependencies	IANA Stewardship Transition dependency removed as that is now complete
5.2	Dependencies	New dependency relating to the ability of the community to completed WS2 work on schedule
5.2	Phasing	New work on streamlining and recalibrating reviews, concluding several reviews, standards for reviews, and the Cross Community Working Group on Accountability. Some terminology updated.
5.2	Phasing	Schedule for FY19 and FY20 updated to reflect work planned for FY18
5.2	Portfolio	Portfolio added to Strategic Goal 5.2 for "Enhancing ICANN Accountability WS2"
5.2	Goal	Strategic Goal 5.2 title corrected to "Promote ethics, transparency and accountability across the ICANN community"
5.3	Portfolio	Portfolios restructured and renamed
5.3	KPI	KPI text refined
Financial Management Strategy	Updated	Previously titled Five-Year Financial Model

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. Evolve and further **globalize** ICANN

2. Support a healthy, stable, and resilient, **unique identifier ecosystem**

3. Advance **organizational, technological** and **operational excellence**

4. Promote ICANN's role and **multistakeholder** approach

5. Develop and implement a **global public interest** framework bounded by ICANN's mission

1.1 Further Globalize and Regionalize ICANN Functions

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

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

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

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

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

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

3.2 Ensure Structured Coordination of ICANN's Technical Resources

3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, Organization and stakeholders

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

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

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

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

5.1 Act as a Steward of the Public Interest

5.2 Promote ethics, transparency and accountability across the ICANN community

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

Strategic Goal 1.1 Further Globalize and Regionalize ICANN Functions

Portfolios
1. Raising Stakeholder Awareness of ICANN Worldwide
2. GSE Executive team coordination and administration
3. Language Services

Key Performance Indicators
⊙ # of remote participation session hours and number of remote participants at ICANN meetings
⊙ % of Sessions with live interpretation at ICANN meetings

Dependencies
1. Availability of data and collection mechanisms will be a large part of all data gathering projects.

Phasing

FY16	**Planned**	**Status at the end of FY16**
	1. Integrate global and regional communications strategies. 2. Comprehensive regional engagement plans and strategies covering most ICANN regions. 3. Further distribute ICANN functions at Hub Offices.	1. Regional newsletters streamlined and uniform across regions. We are also capturing foreign language social media statistics across the regions in one place. 2. Communications strategies for the regions now in place. 3. Community-driven Engagement Strategies in place for five regions and all regions/functional areas have yearly work plans. We have started tracking with regional scorecards. 4. Several departments added staff and distributed resources to hub and engagement offices (for example – Global Customer Service Center in Istanbul hub).
FY17	1. Sustain implementation of communications strategies 2. Wide awareness raising and educational effort if supporting ICANN with another new gTLD round 3. Examine how hubs and engagement offices are supporting ICANN globalization	**Intended status and the end of FY17** 1. Completed review of ICANN regional offices and delivery of services to the community. 2. Gap analysis completion and beginning of mapping exercises. 3. Completion of organization-wide review of engagement activities against the ICANN mission.
FY18	1. Conduct mapping of community to regional engagement. 2. Implement recommendations resulting from examination of ICANN regional offices in support of ICANN globalization.	

FY19	1. Survey community on GSE engagement and support of community engagement at high level. 2. Implement improvements for GSE based on community mapping in FY18.
FY20	1. Implement improvements on review of GSE web, customer relationship management tools from 2019.

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

Portfolios
1. Engage Stakeholders Regionally
2. Meeting Services

Key Performance Indicators
- ⊙ Global/regional engagement Activities to show a balanced and proactive approach to regional engagement
- ⊙ Stakeholder Participation at ICANN Meetings by Region

Dependencies
1. Retaining expertise to support ICANN's efforts across the hubs and regions in multiple languages for a diverse range of stakeholders.
2. ICANN Meeting Registration statistics rely on participants self-selecting the data we use.

Phasing

FY16	**Planned** 1. Implement Global Stakeholder Engagement (GSE) web tools for supporting Stakeholder Engagement activities at regional and local level. 2. Examine effectiveness of regional strategies launched in FY13-FY14.	**Status at the end of FY16** 1. Internal collaboration tool adopted and used by all GSE regional/functional teams to support Stakeholder Engagement. 2. Several community-driven regional Engagement Strategies were updated (Africa, LAC and Middle East).
FY17	1. Examine # of community participants in ICANN programs to enable measurement of the Stakeholder Journey 2. Complete first cycle regional Engagement Strategies and regional plan	**Intended status at the end of FY17** 1. Continue working with the community and internally on data collection mechanisms, and reporting. 2. FY17 Regional work plans will have run their full lifecycle by the end of FY17.
FY18	1. Map Stakeholder Journey to regional engagement. 2. Enhance online ICANN meeting hubs to contribute to and increase engagement during meetings. 3. Review effectiveness of ICANN web tools for supporting globalization and regionalization for community.	
FY19	1. Implement improvements for GSE based on Stakeholder Journey mapping in FY18. 2. Increase participation of active participants across technical community, civil society, governments and business stakeholders.	
FY20	1. ICANN participants cover all regions.	

	2. Achieve participation from all sectors of community and support improvement of Stakeholder Journey in contributions to ICANN.
	3. Survey community on engagement with, and support of, community at high level.
	4. Implement improvements on review of GSE web, customer relationship management tools from FY19.

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
3. Evolving Multistakeholder Model

Key Performance Indicators
⊙ Representation and participation in the policy development and governance processes
⊙ Quantity of Activity index
⊙ Quantity of Activity and Productivity index

Dependencies
1. Community Collaboration - Successful identification and measurement of key performance indicators are challenging as multiple factors affect policy development workload and work progress. Refining the intended deliverables will require further engagement between staff and community.
2. Collaboration with IT/Online Community Services (OCS) team is necessary to ensure that improved tools and mechanisms reach and can be accessed by our global stakeholders. Successful tool development depends on availability of OCS resources.
3. Dedicated communications strategies and services are required to ensure successful outcomes.
4. The General Counsel's Office may be called upon to provide inputs and guidance in the policy and decision-making process.

Phasing

FY16	Planned	Status at the end of FY16
	1. Complete a comprehensive inventory of all resources and capabilities that ICANN provides to the current stakeholder communities. 2. Complete a comprehensive assessment of delivery of all resources and capabilities that are provided to the stakeholders.	1. 2, and 3, In FY16, the staff updated an initial inventory of resources and capabilities available to the community. This inventory helps both the community and staff to assess the delivery of those capabilities and to analyze and evaluate how those resources are balanced. A Community Engagement and Policy staff team worked to comprehensively align policy development activities of support and engagement matters. 4. The staff continued to collaborate with community leaders in the non-contracted house of the GNSO to offer tailored secretariat support services to those groups. More experience is needed to confirm the value of a permanent resource, but assessments so far confirm the value of this support to community groups.

	3. Analyze, evaluate and plan for how to balance resource abilities and capabilities among stakeholders. 4. Evolve Generic Names Supporting Organization (GNSO) Secretariat Pilot program into permanent support status. 5. Assess implementation of Accountability and Transparency Review Team 2 (ATRT2) Recommendation 7, in preparation for ATRT3	5. Implementation of the ATRT2 Recommendation 7 started in January 2105. In December 2015, staff published a report assessing the value of the implementation effort. The report concluded that the process and operational enhancements to the public comment forum infrastructure provided substantial value and should be continued. The report is on the [Community Wiki](#).
FY17	1. Complete assessment of language services capabilities for proficiency, accuracy consistency and reliability 2. Review ICANN's Language Services Policy 3. Conduct final Supporting Organization and Advisory Committee special request process 4. Assess effectiveness and value of telecoms vendors 5. Assess implementation of relevant accountability provisions resulting from final plans to transition stewardship of the IANA functions 6. Begin multiyear planning for At-Large General Assemblies and summits	**Intended status at the end of FY17** Staff modified this phasing plan to reflect implementation delays caused by reassignment of resources and other operational activities in FY16 and FY17. We intend to deliver the following status by the end of FY17: 1. Language services continue to be expanded in various ways in FY17. A complete assessment is not likely to be completed this year but will be started in the future. 2. As this year's priority focus was the complete community services inventory effort, a comprehensive assessment of the current language services policy is not likely to be completed. 3. The special request budget process is being conducted in FY17. We have not yet finalized plans to phase out the program and a decision will be made in FY18 whether to repeat for FY19. 4. Staff teams continue to collaborate on maximizing the effectiveness and capabilities of our telecommunications vendors to deliver the best value and results for each community. This work is an ongoing effort. 5. An implementation assessment in FY17 would be premature because of the timing of the accountability work currently being conducted by the community. 6. This effort is likely to begin this year as planned.
FY18	1. Complete a comprehensive assessment of delivery of all resources and capabilities that are provided to the stakeholders (every two years). 2. Analyze, evaluate and plan for how to balance resource abilities and capabilities among stakeholders (every two years). 3. Assess progress towards five-year goal – toward wide use of improved tools and mechanisms for global participation and representation, including the use of remote participation to engage stakeholders from emerging regions. 4. Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work.	

	5. Support one or more At-Large General Assemblies.
FY19	1. Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work.
	2. Support one or more At-Large General Assemblies.
FY20	1. Stakeholders and staff use improved tools and mechanisms for global participation and representation to collaborate. This participation and collaboration includes the use of remote participation to engage stakeholders from emerging regions.
	2. Implement improvements resulting from ICANN Reviews as part of continuous accountability enhancement work.
	3. Support an At-Large summit.

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

Portfolios

1. PTI Operations[1]
2. PTI Technical System Enhancements[2]
3. Action Request Register Management
4. Global Domains Division Operations
5. Global Customer Support
6. Product Management
7. Registration Data Services (WHOIS)

Key Performance Indicators

- ◎ % of Service Level Targets met for delivery of services across multiple departments including but not limited to IANA Services, Global Domains Division (GDD) Operations, and Global Customer Support departments.

Dependencies

1. Engineering project delivery including: Root Zone Management System, Board Advice Register, GDD Portal, Centralized Zone Data Service, SLA Monitoring[3], Technical Compliance Monitoring.

Phasing

FY16	Planned	Status at the end of FY16
	1. Develop and achieve community approval of all domain name system (DNS)/Unique identifiers health metrics. 2. Develop and achieve community approval of the stability and resiliency exercises specified.	1. Adopted key performance indicators for IANA functions (names, numbers, and protocol parameters) after public consultation in 2013 and post monthly reports on measurements for each of the KPIs. Development is underway to collect measurements defined by CWG for Service Level Expectations in processing root zone and root zone data changes. 2. Moved to Goal 2.2 3. Moved to Goal 2.3 4. Moved to Goal 2.2 5. Moved to goal 2.2

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[1] This portfolio is a part of PTI's FY18 plans, which have been consulted on (Appendix B), published for Public Comment, adopted by the PTI Board.
[2] This portfolio is a part of PTI's FY18 plans, which have been consulted on (Appendix B), published for Public Comment, adopted by the PTI Board.
[3] Specification 10, New gTLD Registry Agreement

	3. Develop and achieve community approval of the ICANN legitimacy survey designed. 4. Collaborate with community to reduce gap of IPv6 and DNSSEC deployment by 5% year over year (Year over Year). 5. Develop and achieve community approval of the Identifier registration data access/update system requirements specified	In FY16, we deployed a Global Customer Support team to provide 24x5 coverage for inquiries from contracted parties, registrants and the community at large. Both the Global Support and GDD Operations teams delivered service according to published service level targets. Service delivery against those targets was published on a monthly basis.

FY17	1. Deliver services to the ICANN Community according to service level targets
	2. Monitor and manage service delivery against targets, identify opportunities for improvement and efficiency
	3. Implement process improvements for increased operational efficiency and customer satisfaction
	4. Implement system enhancements for increased operational efficiency and effectiveness
		Intended Status at the End of FY17
		1. The Global Domains Division expects to have consistently delivered services to the ICANN Community at or above published service level targets.
		2. We continued to monitor and manage service delivery to identify areas for improvement and efficiency.
		3. We implemented operational improvements to enhance efficiency and customer satisfaction scores improved by over 3% for the year.
		4. Multiple Enhancements were implements to support operational effectiveness including:
		    a. Registry services v1 automation launched and in production.
		    b. Planning completed for Registrar services.
		    c. CZDS 2.0 planning completed.
		
		Extra items anticipated for completion by end of FY17
		5. PTI Operations:
		    a. Established ongoing operations of PTI including incorporation of PTI, execution of contracts between ICANN and PTI for the delivery of the IANA services and updates to IANA services processes, procedures, and systems to reflect the retirement of the NTIA IANA contract.
		    b. Implemented and deployed real-time customer facing performance dashboard.
		    c. PTI Technical System Enhancements.
		    d. Completed the first Key Roll of Root Zone Key Signing Key (KSK).
		    e. Enhanced physical security features of the Key Management Facility.
		    f. Implemented recommendations by Framework of Interpretation Working Group.

		6. WHOIS:
		    a. Led and supported Registration Data Services (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders.
		    b. Completed implementation of the 2012 WHOIS Review Team's recommendations.

FY18	1. Deliver services to the ICANN Community according to service level targets.
	2. Monitor and manage service delivery against targets, identify opportunities for improvement and efficiency.
	3. Implement process improvements for increased operational efficiency and customer satisfaction.
	4. Implement system enhancements for increased operational efficiency and effectiveness including:
	    a. Registry services automation launched and in production.
	    b. Registrar services and Compliance in Beta.
	    c. CZDS improvements launched and in production.
	    d. Develop Technical Compliance Monitoring system.
	    e. Incremental SLA Monitoring system enhancement.
	5. First phase of redesign and implementation of the Protocol Parameter Registry Workflow System (multiyear project).
	6. Modernization and enhancements of the IANA website.
	7. Enhancements to Root Zone Management System.
	8. Continue to lead and support Registration Data Services (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
	    a. Initiate the next review of the effectiveness of the procedures to address WHOIS conflicts with privacy laws.
	    b. Support the RDS PDP Working Group's and RDS Review Team's work.
	    c. Continue implementation work on various Registration Data Services (WHOIS) related policies and requirements.

FY19	1. Deliver services to the ICANN Community according to service level targets.
	2. Monitor and manage service delivery against targets, identify opportunities for improvement and efficiency.
	3. Implement process improvements for increased operational efficiency and customer satisfaction.
	4. Implement system enhancements for increased operational efficiency and effectiveness including:
	    a. Offer mobile friendly GDD services.
	    b. Implement other desired system enhancements as defined by Registries and Registrars.
	    c. Improvements to Technical Compliance and SLA monitoring systems.
	    d. Registry Reporting Interfaces and other legacy system enhancements to increase functionality.
	5. Continuation of project for the Registry Workflow System (multiyear project).
	6. Continue to lead and support Registration Data Services (WHOIS) activities to promote trust and confidence in the Internet for all stakeholders:
	    a. Support the RDS PDP Working Group's and RDS Review Team's work>
	    b. Continue implementation work on various Registration Data Services (WHOIS) related policies and requirements>

FY20	1. Deliver services to the ICANN Community according to service level targets.
	2. Monitor and manage service delivery against targets, identify opportunities for improvement and efficiency.
	3. Implement process improvements for increased operational efficiency and customer satisfaction.
	4. Implement system enhancements for increased operational efficiency and effectiveness including:
	a. Monitor Domain Name Health indicators and define a plan with systems enhancements and improvements in support of a healthy domain name marketplace.
	b. Simplify and make less burdensome contracted party interaction with ICANN systems and services through improved retrievable, broadcast and syndicated methods.
	5. Continuation project for the Registry Workflow System (multiyear project).
	6. Continue to lead and support WHOIS activities to promote trust and confidence in the Internet for all stakeholders:
	a. Support the RDS PDP Working Group's and RDS Review Team's work.
	b. Continue implementation work on various Registration Data Services (WHOIS) related policies and requirements.

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

Portfolios

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

Key Performance Indicators

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

Dependencies

1. Identifier Evolution, including disruptive new technology, change of business models, governmental regulation, market acceptance, and technological failure, such as catastrophic risks associated with technology.
2. Technical Reputation (see page 13) including recognition of ICANN's technical expertise, security incident or cyberattack against ICANN's infrastructure or interests, and intentional misrepresentation of ICANN's technical expertise.
3. Security, Stability, and Resiliency of Internet Identifiers, such as cyberattack against and/or using unique identifiers, introduction of disruptive technologies, change of business models, governmental regulation, market acceptance, technological failure, such as catastrophic risks associated with technology.

Phasing

FY16	Planned	Status at the end of FY16

	1. Department fully staffed.
	2. Draft technology roadmap developed.
	3. Relationships with protocol/technology development organizations enhanced.
	4. Ratio of registered domain names to active IP addresses base lined.
		1. Office of the Chief Technology Officer department researchers and administrative staff hired, although more staff needed.
		2. The Roadmap for evolution for Root Zone Management System was drafted based on requirements from the CWG.
		   a. Implementation of the roadmap has begun with milestones set for delivery of SLE measurements and removal of the NTIA authorization module
		   b. Started the project to draft a technology roadmap
		3. Relationship with IETF, DNS-OARC, and other technology development organizations enhanced by increased participation. ISOC included ICANN staff in teaching joint sessions on

	5. Ratio of registered domain names to Internet users regionally and globally base lined	ICANN-related topics to policy attendees (fellows) to IETF. Relationships with [RIRs](#) still being developed. 4. Ratios being established. 5. Ratios being established.
FY17	1. More technology roadmaps approved by community 2. At least five white papers related to identifier technology are published 3. Demonstrate growth in ratios in developing regions	**Intended status at the end of FY17** 1. The roadmaps were drafted and are on schedule for community approval in FY17. 2. We are on schedule for publication of give white papers during FY17. 3. Metrics show growth in the ratios in less developed regions.
FY18	1. Implementation of first year of technology roadmaps completed. 2. At least two more white papers on identifier technology are published. 3. Demonstrate growth in ratios in developing regions.	
FY19	1. Implementation of second year of technology roadmap. 2. Extra white papers on identifier technologies are published. 3. Demonstrate growth in ratios in developing regions.	
FY20	1. Review of technology roadmaps and recommendations received. 2. Implementation of third year of technology roadmap. 3. Extra white papers on identifier technologies are published. 4. Demonstrate growth in ratios in developing region.	

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

Portfolios
1. GDD Technical Services
2. Internationalized Domain Names
3. New gTLD Program
4. Outreach and Relationship Management with Existing and new Registry, Registrar Community
5. Domain Name Registrants
6. Subsequent Procedures for New gTLDs
7. Universal Acceptance
8. Registry Services
9. Registrar Services
10. Registrant Services

Key Performance Indicators
- Publishing a Domain Name Marketplace Health Indicators report twice a year

Dependencies
1. IT resources availability and prioritization.
2. Ongoing consultation with the community Advisory Panel on the Domain Name Marketplace Health Indicators initiative.
3. Availability of relevant internal and third-party data sources for selected indicators.

Phasing

	Planned	Status at the end of FY16
FY16	1. Multistakeholder satisfaction survey baseline completed. 2. Baseline of Domain Name industry segments defined	1. Development of customer satisfaction on track for completion by end of FY16. Baseline to include results from Global Support and IANA ratings. 2. Development of Domain Name Marketplace Health Index on target. Baseline was completed in FY16.
FY17	In FY17, we will continue to support the development of a robust, stable and trusted domain marketplace by:	**Intended stats at the end of FY17** 1. Domain Name Marketplace Indicators initiative: a. Iteration of Beta report released in December 2016.

	1. Ongoing development and monitoring of the Domain Name Marketplace Health Index
	2. Improve customer satisfaction by reducing survey gap by at least 10% year over year
	3. Show stable healthy year over year growth in the domain name industry
	4. Finish the current round of the New gTLD Program and a committed plan toward the start of a subsequent round year over year
	5. Conclude policy work on WHOIS improvements and the Next Generation Registry Directory Services
	6. Develop implementation plans for new WHOIS policies or Next Generation Registration Directory Services as appropriate
		b. The community advisory panel support is expected to help identification of revised indicators by FY18.
		   c. Evaluation and acquisition of relevant datasets, tapping into both internal and external sources. Publication schedule, report format, and data coverage of Version 1 report will be contingent on data acquisition.
		2. Status to be determined.
		3. Status to be determined.
		4. By the end of FY17 we expect that the New gTLD Program will be more than 95% complete with fewer than 130 applications remaining.
		5. WHOIS/Registration Directory Services portfolio moved to Goal 2.1.
		6. WHOIS/Registration Directory Services portfolio moved to Goal 2.1.
		
		Extra items anticipated for completion by end of FY17
		7. Activities related to new Portfolio: Registrant Services:
		   a. Define activities and plan to better inform, educate, service and support registrants.
		   b. Define activities, work plan, key success factors and metrics.

FY18	1. Ongoing development and monitoring of the Domain Name Marketplace Health Indicators:
	   a. Evaluate expansion of the initial report version's data coverage, format, and release schedule by continuing to evaluate and acquire relevant datasets that can present indicators suggested by the Advisory Panel.
	   b. Collaborate with the Advisory Panel for inputs on the direction of the Version 1 report.
	2. Show stable healthy year over year growth in the domain name industry.
	3. Continue to execute activities to better inform, educate, service and support registrants.	

FY19	1. Ongoing development and monitoring of the Domain Name Marketplace Health Indicators:
	   a. Continue to fine-tune Version 1 report coverage, report format, release schedule, based on inputs received from the Advisory Panel.
	   b. Collaborate with the Advisory Panel for input on the direction of Version 2 of the report.
	2. Show stable healthy year over year growth in the domain name industry.
	3. Drive completion of the New gTLD Program to 98%.
	4. Implement policy recommendations related to subsequent procedures for new gTLD.
	5. Continue to execute activities to better inform, educate, service and support registrants.	

FY20	1. Ongoing development and monitoring of the Domain Name Marketplace Health Indicators: a. Identification of any revised indicators expected with the support of Advisory Panel for Version 2 of the report.	

	b. Evaluation and acquisition of relevant datasets, tapping into both internal and external sources. Publication schedule, format, and data coverage of Version 2 report will be contingent on data acquisition. 2. Show stable healthy year over year growth in the domain name industry. 3. Drive completion of the New gTLD Program to 99%. 4. Continue to execute activities to better inform, educate, service and support registrants.

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

Portfolios
1. Strategic and Operating Planning
2. Finance and Procurement
3. Enterprise Risk Management
4. Security Operations

Key Performance Indicators
- 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, and financial performance metrics
  - Internal control performance indicators
  - % project completion indices (with emphasis on major projects)
  - % turnover compared to market benchmark
  - % comparisons of actual to target enterprise risk management roadmap achievements
- 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. Enabling the analytics improvements, metric tracking/reporting/review, and process improvement implementation depends on the the IT roadmap implementation.
2. Community bandwidth and focus to provide direction and feedback.

Phasing

FY16	Planned	Status at the end of FY16
	1. Refine the FY15 model – financial framework, roadmap, targets and metrics - with target to achieve within three years the foundation for Key Success Factors (KSFs) (outcome) supported by adequate system advancement in place. 2. Align with budget availability and IT system implementation roadmap. 3. Review and obtain approval by Board, staff and stakeholders	1. Developed roadmap to complete Five-Year Operating Plan update and FY17 Operating Plan and Budget. 2. Launched and completed FY16 total organization continuous improvement internal assessment based on EFQM Excellence Model, identified gaps and developed improvement roadmap. 3. Launched Dashboard reporting beta, progressed to Version 1 and continued to advance on metrics, contents and systems.

		4. Continued to conduct and refine quarterly stakeholders calls increasing accountability and transparency. 5. Completed FY15 financial reporting and annual audit with no deficiencies noted. 6. Concluded enterprise risk management maturity assessment and working on deriving maturity targets to refine risk management discipline. 7. Selected ERP system and began to launch implementation.

FY17	1. Achieve financial roadmap targets.
	2. Review operational processes and implement improvements.
	3. Modify roadmap as needed.
		Intended status at the end of FY17
		1. On-track to meet financial roadmap targets.
		2. We reviewed our operational processes and made improvements intended to:
		   a. Implement integrated workflows across our Enterprise Resource Planning system. This new system replaces multiple legacy systems, simplifies processes, and is designed to deliver efficient and integrated Finance and Procurement functions.
		   b. Measure and manage risk for the ICANN organization.
		   c. The Security Operations function has been expanded to elevate ICANN's security preparedness. The team has embarked on the roadmap developed with international security best practices deployed to fit the unique culture and identity of ICANN.
		3. We updated the roadmap to improve our management of security for ICANN Public Meetings, other key ICANN events, and office locations.

FY18	1. Achieve the foundation for Key Success Factors (outcomes) supported by adequate systems advancement. 2. Continue to improve and achieve elevated target performance levels as per roadmap. 3. Modify roadmap as needed.	
FY19	1. Continue to improve and achieve elevated target performance levels as per roadmap. 2. Modify roadmap as needed. 3. Initiate strategic planning process.	
FY20	1. Complete roadmap as planned. 2. Reassess and plan for future years. 3. Conclude strategic planning process and develop Five-Year Operating Plan.	

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

Portfolios
1. Cybersecurity Hardening and Control
2. IT Infrastructure and Service Scaling
3. Root Systems Operations

Key Performance Indicators
○ % of global IT infrastructure uptime (scaling from 99.9% in FY 2016 to 99.999% in 2020 for ICANN Community engagement and information web services)

Phasing

FY16	**Planned** 1. Develop and socialize a suite of uptime metrics for IT services. 2. Define, divide and socialize IT services into a three-tier classification. 3. Define, socialize and adopt a baseline Lean Process Capability metric for IANA services. 4. Measure and record a baseline for the IANA services. 5. Define, develop and socialize a metric for on-time, on-budget IT projects delivery.	**Status at the end of FY16** 1. Metrics for all areas of IT have been developed and socialized internally 2. All IT services were classified and this classification has been socialized 3. The process capabilities were documented and reviewed 4. A baseline for availability was established 5. A project delivery metric has been developed and socialized and an internal report is published monthly.
FY17	1. Measure and record a baseline for IT Services uptime by tier 2. Reflective of Post-Transition IANA, measure and record a new baseline of capabilities and costs for IANA functions year over year 3. Report on metric for on-time, on-budget IT projects delivery	**Intended status at the end of FY17** 1. All 85+ business services have baseline monitoring data from eight geographic locations. 2. A history of IANA support has been developed. IANA Service consumption and charge back algorithm to be completed. 3. Monthly metrics for IT services are all posted internally. Status of major community-supporting projects is posted to icann.org for consumption.
FY18	1. Drive IT Services uptime for Tier 1 towards 99.99% availability. 2. Measure and compare metric for the IANA Services against baseline for year over year improvement. 3. Report on metric for on-time, on-budget IT projects delivery, driving to improvement year over year on performance.	
FY19	1. Drive IT Services uptime for Tier 1 to 99.999% availability.	

	2. Drive uptime for Tier 2 towards 99.99% availability.
	3. Measure and compare metric for the IANA Services against baseline for year over year improvement.
	4. Report on metric for on-time, on-budget IT projects delivery, driving to improvement year over year on performance.
FY20	1. Maintain IT Services uptime for Tier 1 to 99.999% availability.
	2. Maintain uptime for Tier 2 to 99.99% availability or better.
	3. Drive uptime for Tier 3 towards 99.9% availability or better.
	4. Measure and compare metric for the IANA Services against baseline for year over year improvement.
	5. Report on metric for on-time, on-budget IT project delivery, driving to improvement year over year on performance.

Strategic Goal 3.3 Develop a globally diverse culture of knowledge and expertise available to ICANN's Board, Organization and stakeholders

Portfolios
1. People Management
2. ICANN Technical University
3. Organizational Assessment and Continuous Improvement
4. Board Operations
5. Global Operations

Key Performance Indicators
⦿ % of achievement in comparison to best practice benchmark metrics of global diverse culture, and knowledge levels of Board, staff and stakeholders
⦿ % of completion - actual to target implementation milestones of global development programs to advance the knowledge and expertise of staff, Board and stakeholders

Dependencies
1. IT system implementation roadmap enabling efficiency and advancement in analytics, metric tracking/reporting/review, process improvement implementation, and mitigation assessment and implementation.
2. Community bandwidth and focus to provide direction and feedback.

Phasing

FY16	Planned	Status at the end of FY16

	1. Build on the FY15 achievements related to this goal KSFs (outcome).
	2. Complete first internal European Foundation for Quality Management (EFQM) radar evaluation & assessment of key areas of focus, identify gaps and developed mitigation/ improvement roadmap.
	3. Identify benchmark organizations and derive key benchmarking metrics
		1. Board Operations continued to improve the Board's training program and was on track with plan and Chairman's direction.
		2. On target with staff talent management roadmap implementation. This included:
		  a. Updated of the new hire orientation program.
		  b. Continuous improvement of staff communication.
		  c. Elevated quality of management development and training
		  d. The development of succession plan.

		3. Supported, and collaborated where needed, on cross-functional efforts to "Empower current and new stakeholders to fully participate in ICANN activities" as part of the stakeholder-endorsed Strategic Goal 5.3. These programs include:
		   a. The development and implementation of an internship framework.
		   b. Development and Public Responsibility Department (DPRD) programs that address participation needs such as NextGen@ICANN, the Fellowship Program, the Newcomer Program, and the Community Onboarding Mentor Pilot Program.
		   c. The relaunch of an improved Online Learning Platform, ICANN Learn.
		   d. Supporting academic outreach efforts by the community and the GSE team.

FY17	1. Develop and perform regular reporting of performance metrics against key benchmark metrics. 2. Identify gaps and implement mitigation	**Intended status at the end of FY17** 1. We deployed v2 of ICANN's KPI Dashboard earlier in FY17. We are developing a new presentation layer for the dashboard data to give the community an interactive interface, which aims to improve understanding of the components of each KPI. 2. Major HR systems improvements have been delivered through ICANN's Enterprise Resource Planning system. The first phase of the implementation was completed in December 2016. 3. HR has been developing and deploying change management and a strategic HR partnership function to better support the organization's needs. 4. How It Works sessions continue to be provided at ICANN and other meetings and are supported by the improved ICANN Learn platform and targeted training activities. Staff-focused informational sessions are provided through lectures from staff, and an invited guest speaker series. 5. We have continued to use comprehensive and non-prescriptive continuous improvement models, the EFQM Excellence Model, SOC/2 and SOC/3, and the 20 Critical Security Controls Framework to identify both strengths and areas for improvement across the organization, and drive the prioritized improvements. 6. Board Operations has improved its structure and systems to elevate the strategically focused quality of services to both the ICANN and PTI Boards. 7. Global Operations work in the hubs is being synchronized with the globalization strategy, especially for local team building, improvement initiatives, and organization-wide best practice programs.

FY18	1. Identify areas form improvement, prioritize, and continue to improve.
	2. Advance on applying systems to refine measurements.
	3. Collaborate with stakeholders on progress evaluation and improvements.
FY19	1. Continue evaluation against best practice and advance.
FY20	1. Continue evaluation against best practice and advance.

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

Portfolios
1. Coordination of ICANN Participation in Internet Governance

Key Performance Indicators
⊙ A trended composite index measuring interactions between ICANN and national governments, regional governmental entities, and Intergovernmental organizations, 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. Changes in perception of ICANN following the successful IANA Stewardship Transition.

Phasing

FY16	**Planned** 1. Increase % participation rates from documented baseline established in FY15. 2. Increase # of demonstration projects in the regions reflecting collaboration with organizations active in the IG ecosystem	**Status at the end of FY16** 1. WSIS participation and successful outcome led to continued follow-up in CSTD, ITU and other forums. 2. Active participation at IGFs at the global regional and national levels. 3. Continued support for the multistakeholder model in global IG forums. 4. Active engagement to support a positive outcome in the OECD Ministerial meeting. 5. Increased total participation rates for FY16 compared to the baseline established in FY15. In addition, participation data was collated to compare FY activity by quarters to show trends. 6. Joint projects were added as key regional metrics.
FY17	1. Continuation of FY16 activities to increase % participation rates documented as baseline established in FY16 2. Continuation of FY16 activities to support the development of global acceptance by stakeholders of the IANA Stewardship Transition	**Intended status at the end of FY17** 1. Increased total participation rates for FY17 compared to the baseline established in FY16. 2. Successful defense of ICANN's multistakeholder community role in the DNS at the WTSA through education and negotiation to prevent resolutions that would have assigned a role in delegation to the ITU.

		3. Statements from governments and Intergovernmental Organizations welcoming the IANA Stewardship Transition.
		4. Management decision to bring some FY18 work forward into second half of FY17 by reviewing and revising the IG engagement strategy and the Government Engagement strategy in preparation for submission to Board WG on Internet Governance.
FY18	1. Complete third year review and revisions of strategy as necessary based upon FY17 work. 2. Evolution of global and regional work plans if necessary to reflect outcome of strategy review and revision.	
FY19	1. Increase from baseline participation rates documented as baseline established in FY18.	
FY20	1. Strong fully structured working relationships with organizations and entities active in the Internet governance ecosystem.	

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

Portfolios
1. Support GAC Engagement
2. Engagement with Governments and Intergovernmental Organizations

Key Performance Indicators
- Increase # of GAC members attending ICANN meetings, reported by region

Dependencies
1. Changes in government resource budgeting that affects participation rates in the face-to-face GAC sessions at ICANN meetings.

Phasing

FY16	Planned	Status at the end of FY16
	1. Updated Government Engagement Strategy is reflected in the work plan for each region. 2. Baseline determination completed to map existing entities within the Internet governance (IG) ecosystem and their posture toward ICANN and the multistakeholder model	1. Effective regional webinars were held increasing regional awareness and participation. 2. Active engagement to work toward successful ICANN 55 High-Level Government Meeting and African Ministerial meeting. 3. Active engagement to work toward GAC support for the IANA Stewardship Transition process. 4. Effective participation in GAC and ICANN work.
FY17	1. Increase the # of governmental entities actively participating in ICANN	Intended status at the end of FY17 1. Completion of a regional capacity building workshop for regional GAC members as part of the demand driven engagement. 2. Planning for FY18 events in support of GAC member participation and engagement. 3. Started the review and revision of government engagement strategy as part of process of presentation of strategy to the Board.

FY18	1. Third year review of strategy and implementation of any changes developed through review and revision brought forward to FY17.
	2. Revise global and regional work plans to reflect outcome of strategy review.
	3. Two informational and technical skills workshops for regional GAC members as part of demand driven engagement.
FY19	1. Increase # of governmental entities actively participating in ICANN processes and stakeholder groups.
FY20	1. Continued information and technical skills workshops to enhance relationships with governmental entities that encourage them to work collaboratively and support the adoption of the multistakeholder IG approaches on national, regional and global levels.

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

Portfolios
1. Support Internet Governance Ecosystem Advancement

Key Performance Indicators
- Quarterly trend data showing cumulative participation in Internet Governance ecosystem evolution.

Phasing

FY16	Planned	Status at the end of FY16
	1. Increase in # of cooperation agreements with respective Internet organizations and regional and national multistakeholder IG approaches over baseline established in FY 2015. 2. Increase # national IG multistakeholder approaches over baseline established in 2015	1. Worked to develop and finalize cooperation agreements with Intergovernmental Organizations/International Organizations (such as GSMA, CTO, OSCE and others). 2. Increased participation of governments and IGOs in ICANN work. 3. Promoted multistakeholder model for Internet Governance at national and regional levels.
FY17	1. Identification of potential best practices among national and regional multistakeholder IG approaches. These best practices are to be highlighted in outreach work for further adoption of multistakeholder model IG governance mechanisms. 2. Establish a baseline measurement of projects and work reflecting collaboration with respective Internet organizations.	**Intended status at the end of FY17** A review of the Key Success Factor for Goal 4.3 in the strategic plan shows that they have been broadly achieved: 1. ICANN is an effective contributor and supporter of a global and reliable Internet governance ecosystem and that addresses technical and non-technical issues for the global community. 2. Recognition by decision-makers across stakeholder sectors of the multistakeholder approach to govern the Internet. Global support for the IANA Stewardship Transition demonstrates the trust and endorsement of the multistakeholder model and the trust shown to the stakeholder community to undertake the oversight of ICANN. 3. Demonstrate leadership by implementing best practices in multistakeholder mechanisms within the distributed Internet Governance ecosystem while encouraging all stakeholders to implement the principles endorsed at

	NETmundial. NETmundial principles were endorsed globally and the platform was retired at the request and in coordination with the global community. 4. Proliferation of national and regional multistakeholder Internet governance structures. The figures in the ICANN KPI Dashboard chart 4.3 show a consistent yearly increase in FY15, FY16 and so far in FY17. In light of the changes in requests from the global community and our focus on demand driven engagement, we have updated our reporting to reflect our changed focus. Following the IANA Stewardship Transition, all engagement activity is evaluated against ICANN's restated Bylaws language. The global engagement strategy review and revision work was brought forward into FY17 to address this need.
FY18	1. Third year review of the goals and delivery strategy for those goals with the mission and mandate of the post-transition ICANN. 2. Evolution and improvement of global engagement work plan based on completed review. 3. Definition of new measurements for activity if the work of 4.3 is still separate from 4.1 - if so continuation of FY17 projects and work to reflect collaboration with respective Internet organizations.
FY19	1. Revise global strategy and goals as reflected in revised regional implementation strategies and work plans. 2. Develop measurement mechanism to assess perception of whether technical and non-technical IG issues are successfully addressed using multistakeholder model.
FY20	1. ICANN involvement, consistent with its mission and within its mandate, in a full implementation of a distributed trusted fully inclusive multistakeholder Internet Governance ecosystem. 2. Perception that technical and non-technical Internet Governance issues are successfully addressed using multistakeholder model.

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

Portfolios
1. Contractual Compliance Functions
2. Contractual Compliance Initiatives and Improvements
3. Contractual Compliance and Safeguards

Key Performance Indicators
⊙ % of Contractual Compliance service level targets that are met
⊙ Ensure that the safeguards role becomes an important part of the ICANN organization's portfolio of responsibilities and is fully integrated and active within the ICANN Community

Dependencies
1. External:
   a. ICANN Community expectations.
   b. Understanding of the contractual compliance and safeguards scope.
   c. Ability to reach consensus.
2. Internal:
   a. Resources (people and systems).
   b. Ability to clarify expectations and implement where applicable.
3. Contracted parties:
   a. Compliance with the contract and policies.
   b. Interpretation of the contract and policies.
   c. Impact of local laws and regulations.

Phasing

FY16	Planned	Status at the end of FY16
	Planned 1. Assess current practices and documentation. 2. Assemble and refine Accountability-related KPIs, in line with Accountability Framework proposed by One World Trust in response to recommendations of Accountability and Transparency Review Teams to implement a means of measuring ICANN's accountability.	**Status at the end of FY16** FY16 was on target – 1. On-going effort for continuous improvement

	3. Identify and propose best practices. 4. Propose measurements and benchmarks	2. This work moved to 5.2 mid-year and is reported there 3. This work moved to 2.1 mid-year and is reported there 4. Measurement metrics for contractual compliance service level targets are included in the ICANN Beta KPI Dashboard
FY17	1. Implement agreed-upon plan and practices 2. Implement ongoing measurement, benchmarking and reporting of accuracy rates	**Intended status at the end of FY17** Several key initiatives were launched. They include: ⊙ Increased monitoring and audits ⊙ Focused efforts on areas of non-compliance such as WHOIS inaccuracy ⊙ Outreach to community members ⊙ Improved reporting on compliance activities ⊙ Increased engagement with working groups and policy teams The Compliance Dashboard has more information.
FY18	1. Implement Overall Satisfaction Survey (based on the feedback Contractual Compliance requests from reporters and contracted parties at the closure of a complaint) and report the results and outcomes. 2. Implement ongoing measurement, benchmarking and reporting. 3. Assess current practices in light of the changing environment and adjust as needed. 4. Integrate role within ICANN organization and the community. 5. Develop strategic outreach plan and execute. 6. Develop a report on the role of safeguards in the DNS market place, including successes and areas for improvement.	
FY19	1. Implement agreed-upon plan and practices. 2. Implement ongoing measurement, benchmarking and reporting.	
FY20	1. Assess and adjust plan and practices as needed.	

Strategic Goal 5.1 Act as a Steward of the Public Interest

Portfolios
1. Legal Advisory Function
2. Public Interest Decision Making
3. Legal Internal Support
4. Support ICANN Board

Key Performance Indicators
⦿ # of ICANN decisions and advice (Board, staff and stakeholders) that are rationalized based on common consensus-based definitions and understandings of public interest within ICANN's remit

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

Phasing

	Planned	Status at the end of FY16
FY16	1. Create Framework for ICANN Supporting Organizations and Advisory Committee to assist them in assessing how their actions are aligned to the public interest	1. A High Interest Session on this topic was held at ICANN55 where discussions took place on next steps and planning. Detailed progress on this collaborative dialogue- along with details on developments to date are on the Community Wiki.
FY17	1. Measure and baseline the % of actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making	**Intended status at the end of FY17** 1. The Community deferred this work while it focused on the IANA Stewardship Transition. Now that the bulk of the IANA Stewardship Transition work has been completed, work resumed at ICANN57 and is on target for a definition to be agreed by June 2017.
FY18	1. Increase from the baseline the % actions by ICANN in decision making and how rationales are including the public interest assessments as 2. part of decision making.	
FY19	1. Continue to increase from the baseline the % actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making.	

FY20	1. Reach goal of all material actions including a consideration of decision making and how rationales are including the public interest assessments as part of decision making.

Strategic Goal 5.2 Promote Ethics, Transparency and Accountability Across the ICANN Community

Portfolios
1. Specific Reviews (Bylaws Article 4, Section 4.6)
2. Organizational Reviews
3. Conflicts of Interest and Organizational Ethics
4. Accountability and Transparency Mechanisms
5. Strategic Initiatives
6. Enhancing ICANN Accountability – WS2

Key Performance Indicators
- Public interest framework index (based on elements reported in Section 5.2 of the KPI Dashboard)
  - Develop a framework for increasing trust in ICANN's fulfillment of its commitments through efficient and effective Reviews
  - Broad and diverse participation in ICANN Reviews
  - Community engagement in using ICANN Reviews to drive continuous improvement in accountability, transparency and organizational effectiveness (such as community participation in public comments pertaining to Reviews and other forms of engagement)
  - Transparent and timely reporting mechanisms on the progress of each review

Dependencies
1. Community, Board and staff agreement on a clear, actionable Accountability and Ethical Framework.
2. The outcomes of work to enhance ICANN's accountability.
3. Under the new Bylaws, the selection of Review Team members for Specific Reviews is now the responsibility of the ICANN Community.
4. Community participation in conducting Reviews.
5. Ability of the Cross-Community Working Group on Enhancing Accountability (WS2) to complete it work on a timely basis, in accordance with the deadlines agreed to by the Co-Chair and Board.

Phasing

FY16	Planned	Status at the end of FY16
	1. Create and publish revised Accountability and Ethical Framework and develop baseline metrics to measure to demonstrate impact on organization	1. Work supporting the IANA Stewardship Transition continued with the IANA Stewardship Transition Coordination Group finalizing its proposal on schedule and the CCWG-Accountability sought consensus from its six Chartering Organizations with delivery of final proposal in February 2016

		2. ATRT2 implementation is proceeding on-schedule with quarterly updates published 3. The Competition, Consumer Trust and Consumer Choice Review started on schedule. 4. Community feedback has been respected and the Second Security, Stability and Resiliency of the DNS Review and the Second WHOIS Policy Review have been delayed 5. The independent examiner report on the review of the Generic Names Supporting Organization was published and the review of the At-Large Organization is scheduled 6. The reviews process has been enhanced based on best practices and improved reviews web pages have been published

FY17	1. Measure against the baseline metrics developed in FY16 and show increase in acceptance and impact of Accountability and Ethical Framework
	2. Continue to review for improvements and enhancements. Measure and baseline the % of actions by ICANN in decision making and how rationales are including the public interest assessments as part of decision making
	3. Complete the first AoC Review on Competition, Consumer Choice and Trust in new gTLDs
	4. Launch and conduct the second AoC Review on Security, Stability and Resiliency
	5. Launch and conduct the second AoC Review on WHOIS
	6. Preparation for and launch the third AoC Review on Accountability and Transparency
		Intended status at the end of FY17
		1. Measurements:
		   a. Expanded reporting within the dashboard measuring against targets
		   b. Publication of Annual Transparency Report targeted for third quarter FY17, to include narrative explanations and underlying data, where applicable.
		2. Support the completion of the work of Cross Community Working Group on Accountability.
		3. Competition, Consumer Choice and Trust:
		   a. Review of Competition, Consumer Choice and Trust in new gTLDs (CCT) targeted for completion in FY17
		   b. CCT Review Fact Sheet developed and published on a quarterly basis.
		4. Second Review of Security, Stability and Resiliency of the DNS (SSR2) started in June 2016 and the Review Team is expected to convene and begin working in the second half of FY17. Implementation of SSR1 recommendations will be completed in the second half of FY17.
		5. Second Registration Directory Service (RDS2) Review (formerly WHOIS Review) started in October 2016 and the Review Team is expected to begin working in the second half of FY17. Implementation of WHOIS recommendations will be completed in the second half of FY17.

		6. Third Accountability and Transparency Review (ATRT3) started in January 2017 and the Review Team is expected to convene and begin working in the second half of FY17. Implementation of ATRT2 recommendations will be completed in the second half of FY17.
		7. Organizational Reviews:
		    a. Review of the GNSO was completed in June 2016 and moved into implementation, which will continue through FY18.
		    b. Review of the At-Large Community started, with Final Report expected in FY17.
		    c. Review of the Nominating Committee (NomCom) will start in the second half of FY17.
		    d. Review of the ASO started and is expected to be completed in FY17.
		8. Operating Standards for reviews developed through community consultation.

FY18		1. Meet increased metrics developed in FY16-FY17 and show increase in acceptance and impact of Accountability and Ethical Framework. 2. Reviews Streamlining and Recalibration work in consultation with the community. 3. Support the completion of the work of Cross Community Working Group on Accountability. 4. Coordinate the operationalization of the output of Cross Community Working Group on Accountability. 5. Implementation of the recommendations from the first Review on Competition, Consumer Choice and Trust in new gTLDs. 6. Conclude the second Specific Review on Security, Stability and Resiliency of the DNS; begin planning for implementation. 7. Conclude the second Specific Review on Registration Directory Service; begin planning for implementation. 8. Conclude the third Specific Review on Accountability and Transparency; begin planning for implementation. 9. Conclude Organizational Reviews of ASO and NomCom, and start Reviews of RSSAC, SSAC and ccNSO and begin planning for implementation. Continue implementation of GNSO Review and At-Large Review. 10. Evolve Operating Standards for Reviews as a well-understood and accepted guide for conducting reviews
FY19		1. Meet increased metrics developed in FY16-FY18 and show increase in acceptance and impact of Accountability and Ethical Framework. 2. Reviews Streamlining and Recalibration work in consultation with the community. 3. Continue implementation of recommendations of Specific and Organizational Reviews, following project management best practices.
FY20		1. Reach five-year goals in acceptance and impact on organization set out in the Accountability and Ethical Framework. 2. Reviews Streamlining and Recalibration work in consultation with the community. 3. Continue implementation of recommendations of Specific and Organizational Reviews, following project management best practices.

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

Portfolios
1. Supporting Public Interest Initiatives
2. Supporting Stakeholder Participation
3. Supporting Education

Key Performance Indicators
⊙ # of stakeholders participating in development and public responsibility programs, tools, and collaborations

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

Phasing

FY16	**Planned**	**Status at the end of FY16**
	1. Establish engagement baseline for under-represented countries and communities and other underrepresented groups and address critical engagement gaps	1. Development and Public Responsibility Department efforts to address current critical multistakeholder gaps can be tracked through the ICANN Beta Dashboard. More work is underway to increase understanding of current gaps and underrepresented groups, along with potential remedies in the form of programs, tools, or collaborative efforts in the greater ecosystem.
FY17	1. Increase access, knowledge, and capability of priority groups through a fully operational Development and Public Responsibility Department	**Intended status at the end of FY17** 1. Tools and programs were improved to better serve the community. The Fellowship Program's eligibility criteria were changed to lower barriers to participation. ICANN Learn was further enhanced by increasing the number of courses available in multiple languages and overall quality of content. Relevant content was updated, while outdated courses were discontinued, guided by feedback from the community. Collaborations were focused on education and capacity development efforts across regions, with youth and underrepresented groups as key targets. Work is underway to better understand gaps in participation from underrepresented groups. Potential

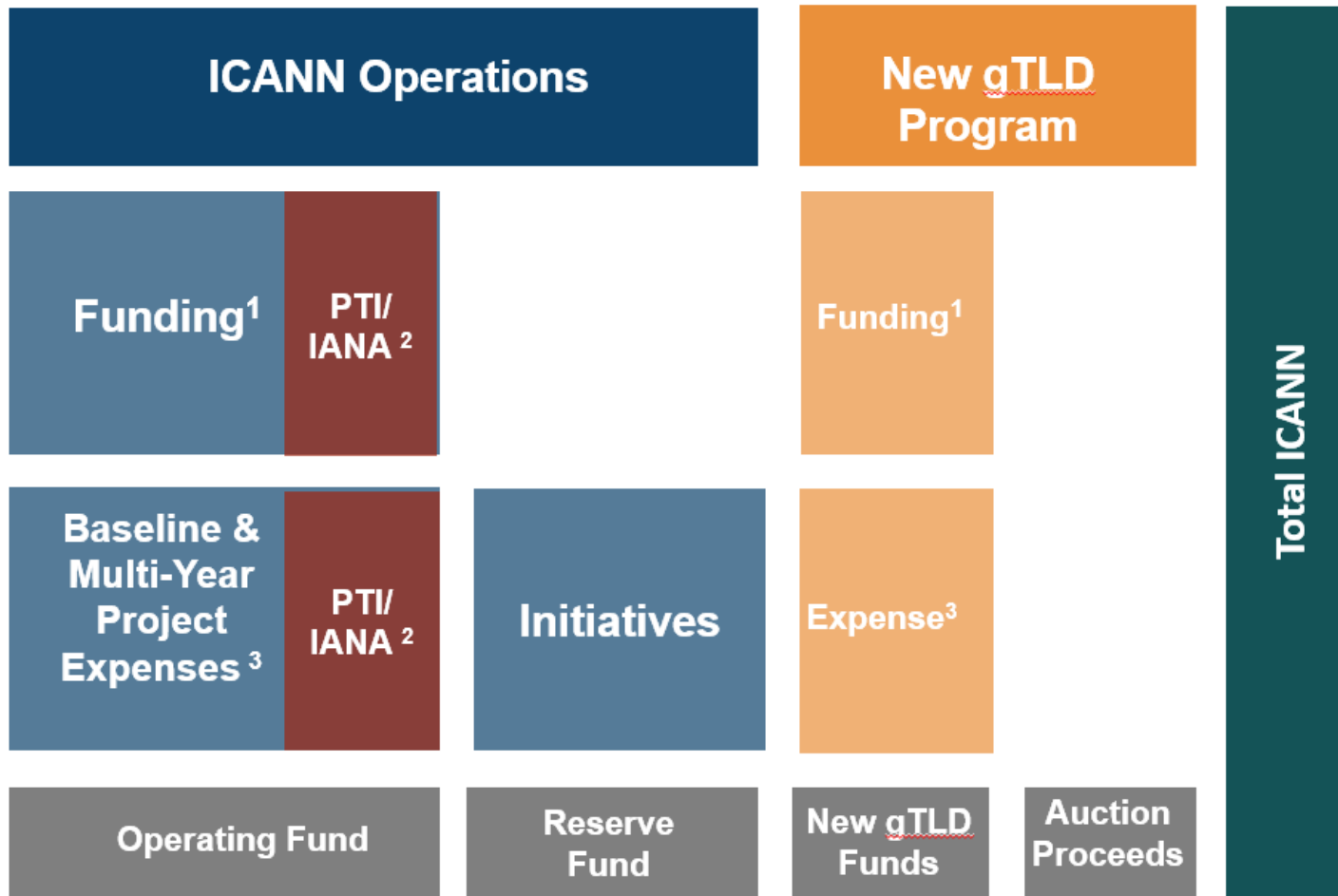|		next steps to address issues related to diversity and inclusion in multistakeholder participation through pilot programs, tools, or collaborative efforts will be produced on an ongoing basis, going beyond end of FY17.
FY18	1.	Continue improvement of increased access, knowledge, and capability of target audiences and consolidation of regional strategies.
FY19	1.	Continue improvement of increased access, knowledge, and capability of target audiences.
FY20	1.	Assess efforts and impact on target audiences and plan for evolution of operations to continue to address evolving community needs.

Financial Management Strategy

Introduction

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

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

The financial management strategy is not:

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

Approach to Five-Year Financial Management Strategy

ICANN Operations

New gTLD Program

Funding[1] PTI/ IANA [2]

Funding[1]

Total ICANN

Baseline & Multi-Year Project Expenses [3] PTI/ IANA [2]

Initiatives

Expense[3]

Operating Fund

Reserve Fund

New gTLD Funds

Auction Proceeds

[1] Funding was previously labeled Revenue
[2] IANA Services includes ICANN's and PTI's IANA Expenses
[3] Excludes depreciation and bad debt expenses

Principles

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

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

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