Operating Plan and Budget
Public Comment Discussion

ICANN Planning and ccNSO SOPC

March 2020
# Progress Update

<table>
<thead>
<tr>
<th>What</th>
<th>When</th>
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<tbody>
<tr>
<td>✓ FY21-25 O&amp;FP Public Comment Period #1</td>
<td>14 Jun – 5 Aug 2019</td>
</tr>
<tr>
<td>✓ Overview of FY21-25 O&amp;FP development and Public Comment #1 materials</td>
<td>Pre-ICANN65 Webinar on 17 June 2019</td>
</tr>
<tr>
<td>✓ Review Public Comment #1 inputs and plan development of both FY21-25 O&amp;FP and FY21 OP&amp;B</td>
<td>Board Workshop Sep 2019</td>
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<tr>
<td>✓ Review draft FY21-25 O&amp;FP and FY21 OP&amp;B for Public Comment</td>
<td>10 Dec 2019</td>
</tr>
<tr>
<td>✓ FY21-25 O&amp;FP Public Comment</td>
<td>Dec 2019 – Feb 2020</td>
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<td>✓ FY21 OP&amp;B Public Comment</td>
<td></td>
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<tr>
<td>✓ Community Webinar</td>
<td>Early / Mid-January</td>
</tr>
<tr>
<td>✓ Submit Clarifying Questions</td>
<td>21 January 2020</td>
</tr>
<tr>
<td><strong>Review Public Comment inputs/development of both FY21-25 O&amp;FP and FY21 OP&amp;B</strong></td>
<td><strong>ICANN67 Mar 2020</strong></td>
</tr>
<tr>
<td><strong>Publish Staff Report of Public Comments</strong></td>
<td>27 March 2020</td>
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<tr>
<td><strong>Review for Plan adoption of both plans</strong></td>
<td><strong>Board Workshop May 2020</strong></td>
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<tr>
<td><strong>Empowered Community Period</strong></td>
<td><strong>May – Jun 2020</strong></td>
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Public Comment Overview
Session Objectives

1. Provide thematic overview of submitted comments.

2. Allow community to further clarify comments where necessary.

3. Use clarification to better prepare staff report responses.
The Public Comment window was open from 20 December 2019 – 25 February 2020.

Community Involvement and Engagement continues to remain high.

We are expecting to publish the Staff Report on 27 March 2020.
# Public Comments - By Submitter and Year

<table>
<thead>
<tr>
<th>Groups Submitting Comments</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY21 vs FY19 Higher/(Lower)</th>
<th>FY21 vs FY20 Higher/(Lower)</th>
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Public Comments: Thematic Breakdown FY21

FY21 Operating Plan & Budget Public Comments- 171

- Operating Initiatives: 26%
- Evolve ICANN’s Multistakeholder Model Work Plan: 19%
- Budget Development Process & Document Contents/Structure: 11%
- Financial Management: 11%
- Policy Development & Implementation Support: 7%
- Community Engagement & Services: 6%
- Funding: 4%
- General: 4%
- ICANN org Headcount: 9%
- All Other: 9%

Note: Operating Initiatives are new to the budgeting process in FY21
<table>
<thead>
<tr>
<th>Theme</th>
<th>FY21 Draft Operating Plan &amp; Budget Total</th>
<th>ccNSO Strategic and Operational Planning Committee (SOPC)</th>
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<tr>
<td>Operating Initiatives</td>
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<tr>
<td>Evolve ICANN's Multistakeholder Model Work Plan</td>
<td>33</td>
<td>-</td>
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<tr>
<td>Budget Development Process &amp; Document Contents/Struct</td>
<td>18</td>
<td>6</td>
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<tr>
<td>Financial Management</td>
<td>18</td>
<td>3</td>
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<td>Community Engagement &amp; Services</td>
<td>12</td>
<td>8</td>
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<tr>
<td>Policy Development and Implementation Support</td>
<td>11</td>
<td>4</td>
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<tr>
<td>Funding</td>
<td>7</td>
<td>-</td>
</tr>
<tr>
<td>General</td>
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<td>-</td>
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<tr>
<td>ICANN org Headcount</td>
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<td>ICANN Org Governance</td>
<td>5</td>
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<td>ICANN Org Shared Services</td>
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<tr>
<td>Technical &amp; DNS Security</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>171</strong></td>
<td><strong>48</strong></td>
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</table>
Sample Discussion Topics from Submission

At this time we would like to have a collaborative discussion regarding public comments that were submitted, below are a few examples from your submission

• “We notice that the headcount remains at 410 HR for the coming five years. While we appreciate the ICANN effort to stabilise the HR, we recommend regular reviews of the HR to evaluate if staff are able to cope with existing and future challenges. “
• “In terms of the 15 Operating Initiatives of the 35 Targeted Objectives, we still fail to understand whether ICANN has applied prioritisation logic, and whether the allocation of budget takes into account their importance. As a matter of fact, we believe that not all the Operating Initiatives are equally important. A cost/benefit analysis of each Initiative may facilitate the understanding of its relevance against the Objectives.“
• “Does ICANN.org need to spend 18 million USD a year to consultants under ‘professional services’”
• “Does ICANN need all these offices worldwide? Their added value should be assessed regularly as we do not see a precise, long-term strategy about local presence.”
Appendix: Operating Initiatives and Functional Activities
Content Structure – 15 Operating Initiatives

**Purpose**
Describes the reasons of why each of the Operating Initiatives is needed.

**Scope**
Describes the scope of work need to be done under each Operating Initiative.

**Targeted Outcome Supported**
Describes the linkage of the Operating Initiatives to the Targeted Outcomes identified in the Strategic plan.

**Progression**
Describes the key milestones, phases, or stages of progression projection of each Operating Initiative.

**Resources**
Features the collaboration needed among cross-functional teams in support of the Operating Initiatives.

**Considerations**
Describes the related dependencies, risks, opportunities of each Operating Initiative, and possible mitigation where applies.
## Operating Initiatives

<table>
<thead>
<tr>
<th></th>
<th>Initiative</th>
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<tbody>
<tr>
<td>1</td>
<td>Support the Evolution of the Root Server System</td>
</tr>
<tr>
<td>2</td>
<td>Facilitate DNS Ecosystem Improvements</td>
</tr>
<tr>
<td>3</td>
<td>Evolve and Strengthen the Multistakeholder Model to Facilitate Diverse and Inclusive Participation in Policy-making</td>
</tr>
<tr>
<td>4</td>
<td>Evolve and Strengthen the ICANN Community’s Decision-making Processes to Ensure Efficient and Effective Policy making</td>
</tr>
<tr>
<td>5</td>
<td>Develop Internal and External Ethics Policies</td>
</tr>
<tr>
<td>6</td>
<td>Root Zone Management Evolution</td>
</tr>
<tr>
<td>7</td>
<td>Promote and Sustain a Competitive Environment in the Domain Name System</td>
</tr>
<tr>
<td>8</td>
<td>Universal Acceptance</td>
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### Operating Initiatives

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>9</td>
<td>Evaluate, Align, and Facilitate Improved Engagement in the Internet Ecosystem</td>
<td>10</td>
</tr>
<tr>
<td>11</td>
<td>Monitor Legislation, Regulation, Norms, Principles, and Initiatives in Collaboration With Others That May Impact the ICANN Mission</td>
<td>12</td>
</tr>
<tr>
<td>13</td>
<td>Implement New gTLD Auction Proceeds Recommendations</td>
<td>14</td>
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<tr>
<td>15</td>
<td>ICANN Reserves</td>
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## Content Structure – Functional Activities (35 in 5 groups)

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Activity</th>
<th>Targeted Outcome Supported</th>
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<tbody>
<tr>
<td>Describes the purpose of the activities of the Functions.</td>
<td>Describes the key activities and strategically-driven changes of each Function. Also lists the Operating Initiatives it leads or supports</td>
<td>Describes the linkage of the Functional Activities to the Targeted Outcomes identified in the Strategic plan.</td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Progression</td>
<td>Resources</td>
<td>Considerations</td>
</tr>
<tr>
<td>Describes the key milestones, phase, or stages of progression projection of the Functional Activities.</td>
<td>Describes how the resources of the Functional teams would fluctuate during the 5-year period, i.e. stable, increase or decrease.</td>
<td>Describes the related dependencies, risks, opportunities of the Functional Activities, and possible mitigation where applies.</td>
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</table>
## Functional Activities – 35 in 5 groups

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

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

### Community Engagement and Services
- Global Stakeholder Engagement
  - Regional Offices
- Public Responsibility Support
- Government & IGOs Engagement
- gTLD Accounts & Services
- Consumer Safeguards
- Communications & Language Services
- Global Meetings Operations
- Ombudsman
Functional Activities – 35 in 5 groups

ICANN Org Governance
- Board Management
- Office of CEO
- Governance Support
- Nominating Committee Support
- Complaints Office
- Strategic Planning & Strategic Initiatives
- Accountability Reviews

ICANN Shared Services
- Operations Planning
- Finance & Procurement
- Risk Management
- Engineering & Information Technology
- Global Human Resources & Administrative Services
- Global Support Center
- Board Operations
- Security Operations
- ICANN Offices
Appendix: PTI and IANA Timelines
PTI and ICANN FY21 Planning Timeline

<table>
<thead>
<tr>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
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<tr>
<td>Planning Process Kickoff</td>
<td>PTI &amp; IANA Draft</td>
<td>PTI Board &amp; ICANN BFC Review Drafts</td>
<td>PTI Board &amp; ICANN BFC Approve Drafts (Informal)</td>
<td>ICANN 63</td>
<td>ICANN Draft</td>
<td>ICANN BFC Reviews Draft</td>
<td>ICANN BFC Approve Draft (Informal)</td>
<td>ICANN Public Comment</td>
<td>Report/Revise</td>
<td>ICANN 64</td>
<td>EC Period</td>
<td>ICANN 65</td>
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<td>Webinar Kickoff</td>
<td>PTI &amp; IANA Public Comment</td>
<td>PTI Board / ICANN BFC Review Proposed OP&amp;BS</td>
<td>PTI Board Adopts PTI / BFC Approves IANA</td>
<td>ICANN Board Reviews IANA</td>
<td>ICANN Board Adopts IANA</td>
<td>ICANN Board Reviews Proposed</td>
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9 Months Before FY21 Begins

45 Days Before FY21 Begins
## FY21 Operating Plan and Budget Process Timeline – PTI & IANA

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<td>14 Oct – 27 Nov 2019</td>
<td>Community</td>
<td>48 Days including 7 days for ICANN 66</td>
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<td>PTI &amp; IANA Staff Report on Public Comment</td>
<td>16 Dec 2019</td>
<td>PTI Board &amp; ICANN BFC</td>
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<td>Submitted to PTI Board &amp; ICANN BFC for Review</td>
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<td>PTI &amp; IANA Staff Report on Public Comment</td>
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<td>Published</td>
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<td>PTI OP&amp;B Adopted</td>
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<td>ICANN BFC recommends IANA Budget Approval</td>
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<td>ICANN BFC</td>
<td>ICANN BFC recommends to the ICANN Board to approve</td>
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<td>ICANN Board Adopted IANA Budget</td>
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<td>ICANN Board</td>
<td>The adopted plan is input into the IANA Functions Budget in the Total ICANN OP &amp; Budget</td>
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Appendix: Financial Plan
5-Year Funding and Expense Assumptions

• The Five-year Plan will use the base scenario funding projections

• The Five-year Plan will include a planned annual contribution to the Reserve Fund

• The Five-year headcount is expected to remain relatively stable

• The Five-year Plan will be a balanced budget where expenses, plus a planned contribution to the reserve fund, will not exceed funding
Potential Implementation Projects and Activities

- ICANN org supports the community-based activities, which leads to reviews recommendations and cross-community working group recommendations, policy drafts, and advice recommendations.

- At any point in time, there are such recommendations and policies that are at any of these stages of progress: initiation, development, finalization, board consideration, implementation planning, implementation.

- As recommendations and policies move forward and reach the stage of Board consideration, ICANN org can then design the expected implementation work.

- The resources supporting the implementation of these activities consist mainly of the ICANN org staff contributing as required based on the nature of implementation work.

- Some additional specific resources may be required on a case by case basis. During the annual planning cycle, the implementation activities expected to be occurring during the year planned for are incorporated into the annual operating plan.

These principles and approach apply to the FY21 Budget and Five-Year plan
## FY21-FY25 Financial Projections

*(in Millions USD)*

<table>
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<th>5-Year Projections</th>
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<th>FY22 Projections</th>
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<td><strong>Total</strong></td>
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<td>$ 143.6</td>
<td></td>
</tr>
</tbody>
</table>
Operating Initiatives Financial Projections

- A high and low scenario envelope was estimated for all Operating Initiatives; for modeling purposes we use the mid-point
- Financials were estimated for initiatives that require incremental efforts; it is assumed that some initiatives are already being worked on with existing budget

<table>
<thead>
<tr>
<th>Operating Initiatives</th>
<th>5-year Financial Estimate (low)</th>
<th>5-Year Financial Estimate (mid pt)</th>
<th>5-Year Financial Estimate (high)</th>
<th>Assumptions for Mid Pt Scenario</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Support the evolution of the Root Server system</td>
<td>$3.0</td>
<td>$4.5</td>
<td>$6.0</td>
<td>2 FTE for the 5-year period and meeting facilitation costs</td>
</tr>
<tr>
<td>2 Facilitate Improvements of the DNS Ecosystem</td>
<td>4.0</td>
<td>6.0</td>
<td>8.0</td>
<td>1 FTE for the 5-year period along with costs for engagement and research. This excludes outcomes from the policies that will result from EPDP Phase 1 and 2.</td>
</tr>
<tr>
<td>3 Evolve and strengthen the multistakeholder model to facilitate diverse and inclusive participation in policy-making</td>
<td>3.0</td>
<td>4.3</td>
<td>5.5</td>
<td>Project Manager role to facilitate and advise, similar to current Multistakeholder Model Initiative. Includes consultant cost and funds for implementation relating to the recommendations and outcomes.</td>
</tr>
<tr>
<td>4 Evolve and strengthen the ICANN community’s decision-making processes to ensure efficient and effective policy making</td>
<td>1.0</td>
<td>1.5</td>
<td>2.0</td>
<td>1 FTE for the 5-year period</td>
</tr>
<tr>
<td>5 Develop internal and external ethics policies</td>
<td>0.5</td>
<td>0.8</td>
<td>1.0</td>
<td>3rd party costs to help administer the tracking and facilitation of the program.</td>
</tr>
<tr>
<td>6 Continue the Root Zone Management evolution</td>
<td>3.0</td>
<td>4.5</td>
<td>6.0</td>
<td>Hardware and connectivity costs based on Singapore cluster.</td>
</tr>
<tr>
<td>7 Promote and sustain a competitive environment in the Domain Name System</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td>8 Universal Acceptance</td>
<td>1.5</td>
<td>2.0</td>
<td>2.5</td>
<td>ICANN org is already investing in Universal Acceptance, this assumes we will spend another $500K/yr.</td>
</tr>
<tr>
<td>9 Evaluate, align and improve engagement in the Internet ecosystem</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td>10 Targeted engagement to improve government and IGO engagement and participation in ICANN</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td>11 Monitor legislation, regulation, norms, principles and initiatives in collaboration with others that may impact the ICANN mission</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td>12 Formalize the ICANN org funding model and improve understanding of the long-term drivers of the domain name market</td>
<td>0.5</td>
<td>1.0</td>
<td>1.5</td>
<td>1 FTE for the 5-year period and funds for 3rd party research.</td>
</tr>
<tr>
<td>13 Implement New gTLD auction proceeds recommendation</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td>14 ICANN Planning</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td>15 ICANN Reserves</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>This initiative is included within the existing budget of the functional activity</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$16.5</strong></td>
<td><strong>$24.5</strong></td>
<td><strong>$32.5</strong></td>
<td></td>
</tr>
</tbody>
</table>
Additional Budget Request: FY21 Key Dates

Community Kick off and Submission period
11 November 2019 - 31 January 2020

Notify SO/ACs of Publication
6 May 2020 - 12 May 2020

Publication on Website
12 May 2020
ICANN headcount has stabilized in alignment with Funding
Reserve Fund Replenishment Strategy

- In alignment with the Board Approved Reserve Fund Replenishment Strategy, the FY21 Budget will include a planned contribution

$62
$70
$116
$121
$126

FY17 Actual  FY18 Actual  FY19 Actual*  FY20 Forecast**  FY21 Draft Budget**

*$36M was transferred from Auction Proceeds to Reserve Fund in FY19  ** Includes contribution and estimated investment gains