# *ICANN Draft Five-Year Operating Plan*

*Version 2:*

*FY2016- FY2020*

# Introduction

ICANN has drafted a multi-year planning framework based on input from the ICANN community during the development of the Strategic Plan. The framework includes the following three elements:

I. **Strategic Plan -** Developed with community input, to be updated every five years, and includes vision & mission, strategic objectives, goals, key success factors, and strategic risks.

II. **Five-Year Operating Plan** – Developed with community input and to be updated annually to include: five-year planning calendar, strategic goals with corresponding key performance indicators, dependencies, five-year phasing, and list of portfolios; and five-year financial model.

III. **Annual Operating Plan and Budget** – To be derived based on the Five-Year Operating Plan and community input annually, and will include: Portfolios with corresponding key performance indicators, risks, dependencies, activities, budget, and projects.

ICANN's Strategic Plan for fiscal years 2016 through 2020 was approved by the Board and published on 14 October 2014.

To complement the Strategic Plan, the Five-Year Operating Plan has been drafted and is included in the following sections for review.

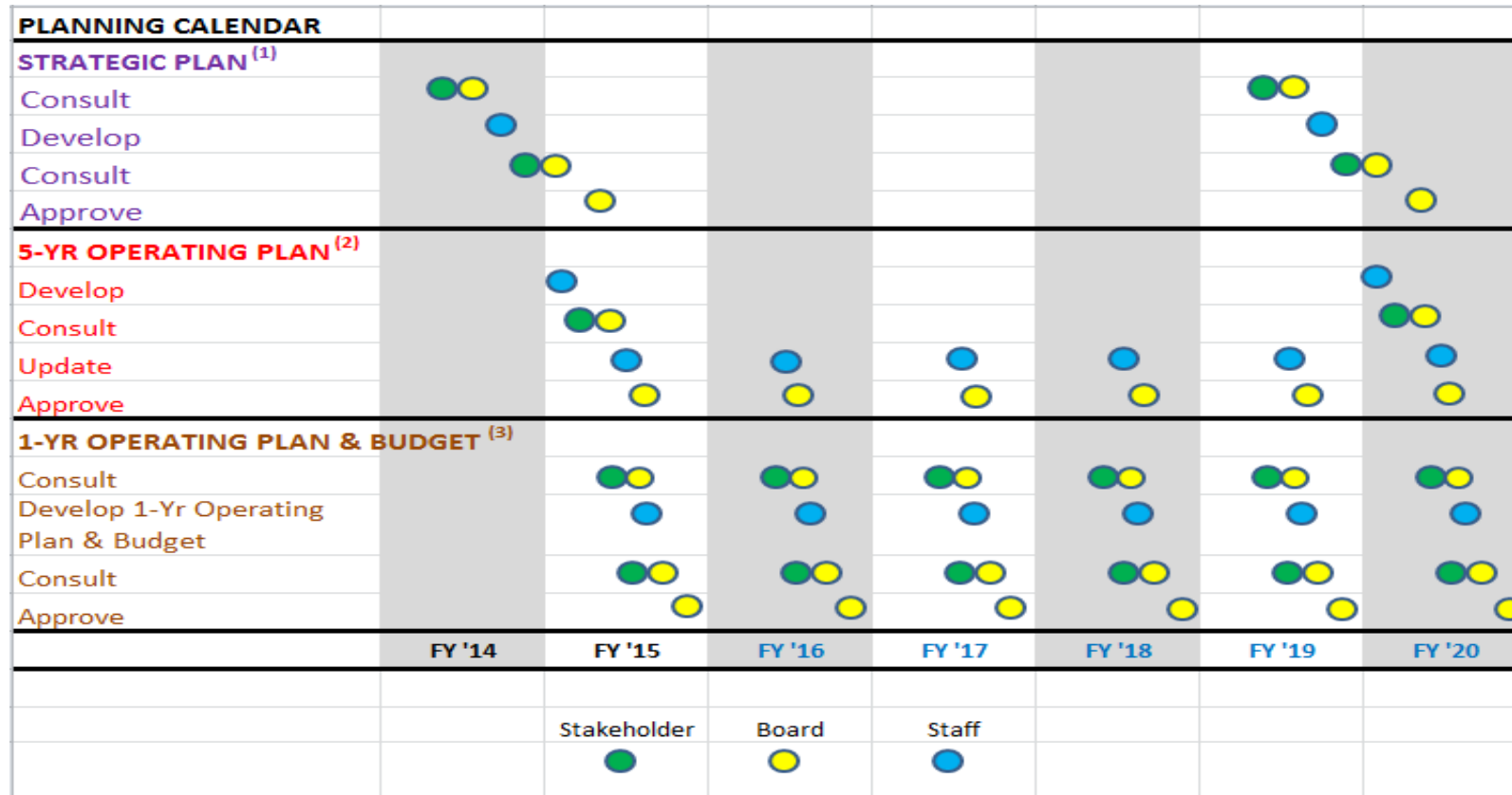The opening remarks by Fadi Chehadé (ICANN President and CEO) at ICANN 51 included an overview of the Planning Process. Please refer to https://www.icann.org/presidents-corner for the recording.

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- ICANN community (community) encompasses ICANN's stakeholders—including its Supporting Organizations, Advisory Committees, and Nominating Committee—Board of Directors, CEO, and staff. ICANN's multistakeholder model, therefore, defines its community.
- Definition of terms can be found in the ICANN online glossary ( https://www.icann.org/resources/pages/glossary-2014-02-03-en)
- Portfolios are referenced from the Portfolio Management System
- Goal level risks are stated in the Strategic Plan (https://www.icann.org/en/system/files/files/draft-strategic-plan-2016-2020-10oct14-en.pdf )

# Planning – Calendar, Community Roles and Responsibilities

The planning process requires the collaborative effort of all aspects of the ICANN community, which encompasses ICANN's stakeholders—including its Supporting Organizations, Advisory Committees, and Nominating Committee—Board of Directors, CEO, and staff, and is part of the bottom-up multi-stakeholder process.

The calendar below depicts the involvement of the ICANN community and the timeline of the planning process.

| PLANNING CALENDAR | FY '14 | FY '15 | FY '16 | FY '17 | FY '18 | FY '19 | FY '20 |
|---|---|---|---|---|---|---|---|
| **STRATEGIC PLAN** [1] | | | | | | | |
| Consult | | 🟢🟡 | | | | 🟢🟡 | |
| Develop | | 🔵 | | | | 🔵 | |
| Consult | | 🟢🟡 | | | | 🟢🟡 | |
| Approve | | 🟡 | | | | | 🟡 |
| **5-YR OPERATING PLAN** [2] | | | | | | | |
| Develop | | 🔵 | | | | 🔵 | |
| Consult | | 🟢🟡 | | | | 🟢🟡 | |
| Update | | 🔵 | 🔵 | 🔵 | 🔵 | 🔵 | 🔵 |
| Approve | | 🟡 | 🟡 | 🟡 | 🟡 | 🟡 | 🟡 |
| **1-YR OPERATING PLAN & BUDGET** [3] | | | | | | | |
| Consult | | 🟢🟡 | 🟢🟡 | 🟢🟡 | 🟢🟡 | 🟢🟡 | 🟢🟡 |
| Develop 1-Yr Operating Plan & Budget | | 🔵 | 🔵 | 🔵 | 🔵 | 🔵 | 🔵 |
| Consult | | 🟢🟡 | 🟢🟡 | 🟢🟡 | 🟢🟡 | 🟢🟡 | 🟢🟡 |
| Approve | | 🟡 | 🟡 | 🟡 | 🟡 | 🟡 | 🟡 |

| Stakeholder | Board | Staff |
|---|---|---|
| 🟢 | 🟡 | 🔵 |

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[1] The next Strategic Planning effort for FY 2021 – FY 2025 will start in FY 2019.

[2] The Five-Year Operating Plan will be updated annually to reflect how actual performance and recent events at the time would impact the remaining years in the then current planning cycle. The current **Five-Year Operating Plan calendar** is available on page 8.

[3] Strategic Plan for FY 2016 – FY 2020 is linked to the Five-Year Operating Plan, which informs the One-Year Operating Plan and Budget.

The charts below propose a starting point for defining how ICANN community – Board, staff and stakeholders– will be involved in the planning process.  It includes frequency of activities, supporting elements as well as roles and responsibilities.

## Strategic Plan Process:

| Strategic Plan[1] | Frequency | Supporting Elements[2] | Community Roles and Responsibilities | | |
| --- | --- | --- | --- | --- | --- |
| | | | Staff | Board | Stakeholders |
| 1.  Consult | Once every 5 years[3] | Strategic Plan Kick-off<br>--Accomplishments from last planning cycle<br>--Environmental analysis, including SWOT[4] | | Consult on key challenges and opportunities and areas of strategic importance | Consult on key challenges and opportunities and areas of strategic importance |
| 2.  Develop | Once every 5 years | Draft Strategic Plan:<br>--Accomplishments from last planning cycle<br>--Environmental analysis<br>--Vision, Mission<br>--Areas of strategic importance | Develop | | |
| 3.  Consult | Once every 5 years | Public comment and other engagements | | Consult | Consult |
| 4.  Approve | Once every 5 years | Final Strategic Plan<br>--same as above, plus:<br>--Strategic Goals<br>--Key Success Factors (outcomes)<br>--Strategic Risks | Update based on consultations and long-term planning work | Approve | |

[1] Strategic Plan for FY 2016 – FY 2020 is linked to the Five-Year Operating Plan, which informs the One-Year Operating Plan and Budget. The next Strategic Planning effort for FY 2021 – FY 2025 will start in FY 2019.
[2] All documents will be posted and publically available.
[3] The planning cycle will begin approximately 24 months prior to the start of the next planning cycle (FY2021-FY2025), to allow sufficient time for key planning steps.
[4] An important aspect of strategic planning is the environmental analysis, including assessment of Strengths and Weaknesses (internally-focused) and Opportunities and Threats (externally-focused).

## Five-Year Operating Plan Process:

| Five - Year Operating Plan[5] | Frequency | Supporting Elements | Community Roles and Responsibilities | | |
|---|---|---|---|---|---|
| | | | **Staff** | **Board** | **Stakeholders** |
| 1. Develop | Once every 5 years | 1. Planning Calendar<br>2. Five-Year Financial Model<br>3. Draft Summary Five-Year Operating Plan<br>-- Strategic goals with corresponding key performance indicators, dependencies, five-year phasing, and list of portfolios | Develop | | |
| 4. Consult | Once every 5 years | Public comment and other engagements | | Consult | Consult |
| 5. Update | Annually | Annual Reporting<br>--Performance as compared to plan for prior fiscal year, starting with FY 2016<br>--Explanation of variances<br>--Required changes to Five-Year Operating Plan[6] if warranted | Update based on consultations | | |
| 6. Approve | Annually | Final Summary Five-Year Operating Plan | | Approve | |

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[5] Strategic Plan for FY2016 – FY2020 is linked to the Five-Year Operating Plan, which informs the One-Year Operating Plan and Budget.  The Five-Year Operating Plan will be updated annually to reflect how actual performance and recent events at the time will impact the remaining years in the then current planning cycle.
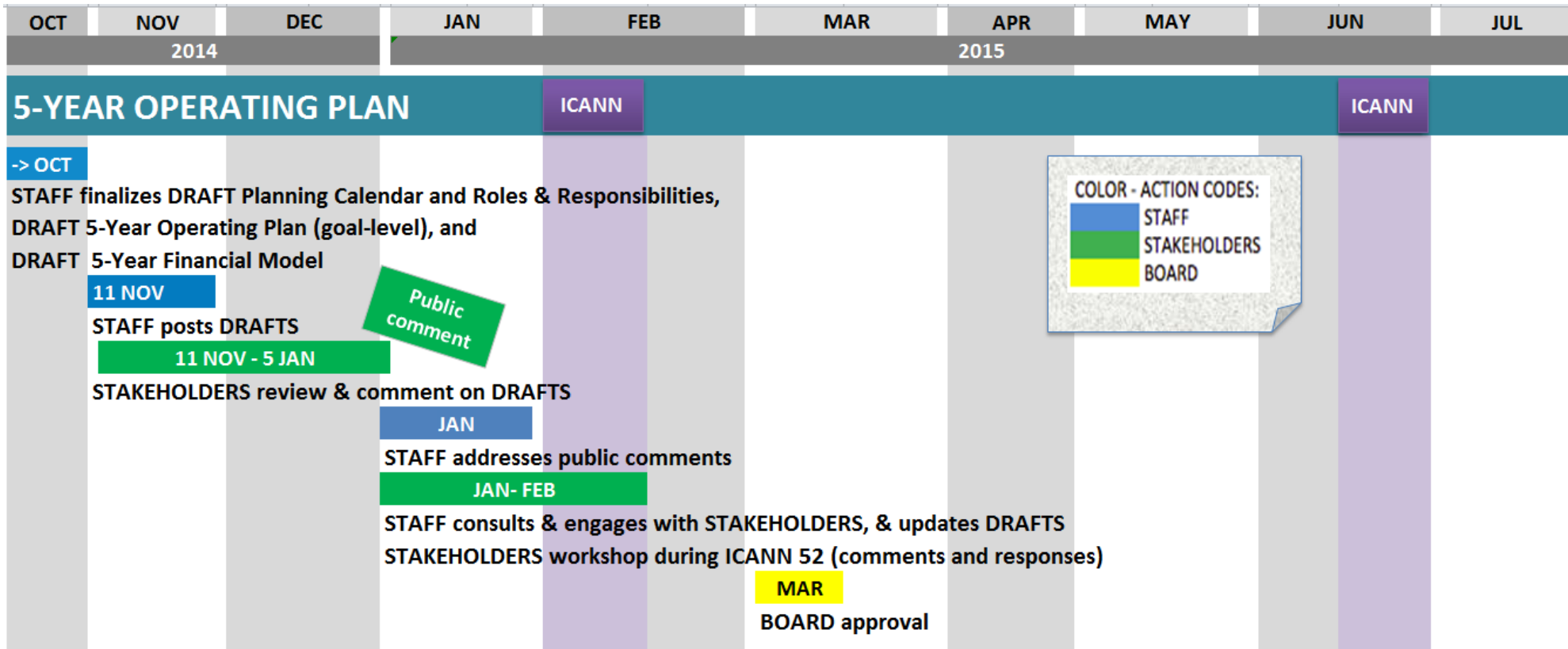
[6] The Five-Year Operating Plan will be updated, when appropriate, for the remaining years within the 5-Yr. cycle.  No changes to the Strategic Plan for FY2016 – FY2020 are anticipated, unless a critically significant event or development is observed, such that it would have a significant impact on the strategy for the remainder of the 5-Yr. cycle.

ICANN **Draft** Five-Year Operating Plan                                     5 February 2015

## Annual Operating Plan and Budget Process:

| One Year Operating Plan & Budget[7] | Frequency | Supporting Elements | Community Roles and Responsibilities | | |
| --- | --- | --- | --- | --- | --- |
| | | | Staff | Board | Stakeholders |
| 1. Consult | Annually | Draft Revenue Model Draft list of Initiatives Engagements | | Consult | Consult |
| 2. Develop 1-Yr. Operating Plan and Budget | Annually | Draft 1-Yr. Operating Plan Draft 1-Yr. Budget | Develop/update based on Five-Year Operating Plan, consultations and recent history of events | | |
| 3. Consult | Annually | Public comment and other engagements | | Consult | Consult |
| 4. Approve | Annually | Final 1-Yr. Operating Plan and Budget | Update based on consultations | Approve | |

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[7] Strategic Plan for FY2016 – FY2020 is linked to the Five-Year Operating Plan, which informs the One-Year Operating Plan and Budget.

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## ICANN Five –Year Operating Plan Current Calendar:



| OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUN | JUL |
|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| 2014 | | | 2015 | | | | | | |

**5-YEAR OPERATING PLAN** — ICANN (FEB) — ICANN (JUN)

**-> OCT**
STAFF finalizes DRAFT Planning Calendar and Roles & Responsibilities,
DRAFT 5-Year Operating Plan (goal-level), and
DRAFT 5-Year Financial Model

**11 NOV**
STAFF posts DRAFTS

**11 NOV - 5 JAN**
STAKEHOLDERS review & comment on DRAFTS

*Public comment*

**JAN**
STAFF addresses public comments

**JAN- FEB**
STAFF consults & engages with STAKEHOLDERS, & updates DRAFTS
STAKEHOLDERS workshop during ICANN 52 (comments and responses)

**MAR**
BOARD approval

COLOR - ACTION CODES:
STAFF
STAKEHOLDERS
BOARD

*Version 1 - as of 10 November 2014. All dates are preliminary and subject to change.*

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# Operating Plan – Strategic Goal Level

ICANN **Draft** Five-Year Operating Plan                     5 February 2015

# Strategic Objective 1 - Evolve and further **globalize** ICANN.

**Strategic Goal 1.1** Further **globalize and regionalize** ICANN functions.

## Portfolios:
1. Raising Stakeholder Awareness of ICANN Worldwide
2. Engagement Planning

## Key Performance Indicators (Metrics):
- Stakeholder engagement index (e.g., regional/national participation statistics from attendance at ICANN meetings; participation in working groups and initiatives; # of documents, meeting sessions available in multiple languages; languages/scripts represented in ICANN community participation; geographic spread of media coverage of ICANN; tracking expansion of the Fellowship program (by region/language and by involvement in ICANN initiatives)
- % of ICANN organizational functions performed across ICANN

## Dependencies:
1. Sufficient funding for media tracking and communications activities to understand success in globalizing ICANN
2. Communications needs may increase/Global Stakeholder Engagement (GSE) focus may shift in event of additional round of new gTLDs during the five year Operating Plan

## Phasing:

| | |
|---|---|
| **FY16** | 1. Integrate global and regional communications strategies.<br>2. Comprehensive regional engagement plans and strategies covering most ICANN regions.<br>3. Further distribute ICANN functions at hub offices. |
| **FY17** | 1. Sustain implementation of communications strategy.<br>2. Wide awareness raising and educational effort if supporting ICANN with another new gTLD round.<br>3. Examine how hubs and engagement offices are supporting ICANN globalization. |
| **FY18** | 1. Reevaluate communications strategy, refresh social media tools and reevaluate ROI from existing platforms.<br>2. Conduct mapping of community to regional engagement; implement recommendations resulting from examination of ICANN hub office and engagement site support of ICANN globalization. |
| **FY19** | 1. Implement integrated global and regional communications strategies in support of ICANN strategies.<br>2. Implement improvements for GSE based on community mapping in FY18. |
| **FY20** | 1. Conduct holistic evaluation of ongoing integrated global and regional communications strategies.<br>2. Survey community on GSE engagement and support of community engagement at high level.<br>3. Implement improvements on review of GSE web, CRM tools from 2019. |

# Strategic Objective 1 - Evolve and further **globalize** ICANN.

**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. Broadcast and Engage with Global Stakeholders

## Key Performance Indicators (Metrics):
* # of regional engagement strategies by type and status (e.g., development, implementation and maintenance)

## Dependencies:
1. Retaining expertise to support ICANN's efforts across the hubs and regions in multiple languages for a diverse range of stakeholders

## Phasing:

| | |
|---|---|
| FY16 | 1. Implement Global Stakeholder Engagement (GSE) web tools for supporting stakeholder engagement activities at regional and local level.<br> 2. Examine effectiveness of regional strategies launched in FY13-14. |
| FY17 | 1. Increase # of community participants in regional strategies and programs from FY15 levels.<br>2. Complete first cycle activities under regional engagement strategies and regional plan. |
| FY18 | 1. Conduct mapping of community to regional engagement.<br>2. Kick off new regional engagement strategy cycle across community-driven regional strategies begun in FY14.<br>3. Enhance online ICANN meeting hubs to contribute and increase engagement during meetings.<br>4. Review effectiveness of ICANN web tools for supporting globalization and regionalization for community. |
| FY19 | 1. Implement improvements for GSE based on community mapping in FY18.<br>2. Increase participation of active participants across technical community, civil society, governments and business stakeholders. |
| FY20 | 1. ICANN participants cover all regions.<br>2. Achieve participation from all sectors of community and increase in contributions to ICANN policy development.<br>3. Survey community on GSE engagement and support of community engagement at high level<br>4. Implement improvements on review of GSE web, Customer relationship management (CRM) tools from 2019. |

# Strategic Objective 1 - Evolve and further **globalize** ICANN.

**Strategic Goal 1.3** Evolve **policy development and governance processes, structures and meetings** to be more accountable, inclusive, efficient, effective and responsive.

## Portfolios:

1. Evolving Multistakeholder Model
2. Reinforce Stakeholder Effectiveness, Collaboration and Communication Capabilities
3. Organizational Reviews
4. Support Policy Development, Policy Related and Advisory Activities

## Key Performance Indicators (Metrics):

- # of participants in the policy development and governance processes by type, status and location
- # of Quality of service index.  (e.g., "active" participants in policy development calls and meetings; # of publication subscribers/readers in "print" and on web; # of public comments submitted in ICANN Public Forums; Twitter Subscribers & Tweets; etc.)

## Dependencies:

1. Making available IT/Online Community Services (OCS) an integral part of ensuring that improved tools and mechanisms reach and can be accessed by our global stakeholders
2. Dedicated communications strategies and services will be required to ensure successful outcomes
3. The legal team may be called upon to provide inputs and guidance in the policy and decision-making process

## Phasing:

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|---|---|
| FY16 | 1. Complete a comprehensive inventory of all resources and capabilities that ICANN provides to the current stakeholder communities.<br>2.  Complete a comprehensive assessment of delivery of all resources and capabilities that are provided to the stakeholders.<br>3. Analyze, evaluate and plan for how to balance resource abilities and capabilities among stakeholders.<br>4. Evolve Generic Names Supporting Organization *(*GNSO) Secretariat Pilot program into permanent support status.<br>5.  Assess implementation of Accountability and Transparency Review Team 2 (ATRT2) Recommendation 7, in preparation for ATRT3. |
| FY17 | 1. Complete assessment of language services capabilities for proficiency, accuracy consistency and reliability.<br>2. Review ICANN's Language Services Policy.<br>3. Conduct final SO-AC Special request process.<br>4. Assess effectiveness and value of telecoms vendors. |

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|---|---|
| **FY18** | 1. Implement adopted ATRT3 recommendations.<br>2. Complete a comprehensive assessment of delivery of all resources and capabilities that are provided to the stakeholders (every two years).<br>3. Analyze, evaluate and plan for how to balance resource abilities and capabilities among stakeholders (every two years).<br>4. Assess progress toward 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. |
| **FY19** | 1. Assess implementation of adopted ATRT3 recommendations in preparation for ATRT4. |
| **FY20** | 1. Stakeholders and staff collaboratively using observed wide use of improved tools and mechanisms for global participation and representation, including the use of remote participation to engage stakeholders from emerging regions. |

**TLDs** **IPs**

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

**Strategic Goal 2.1** Foster and coordinate a healthy, secure, **stable, and resilient** identifier ecosystem.

## Portfolios:
1. IANA Department Operations
2. Root Zone Update System Enhancement
3. Root Server System Evolution
4. Advice Registry Management
5. Security, Stability and Resiliency of Internet Identifiers

## Key Performance Indicators (Metrics):
- # of Domain Name System (DNS)/Unique Identifiers operation health index

## Dependencies:
1. IT department support
2. Budget availability
3. Community bandwidth and support

## Phasing:

| | |
|---|---|
| **FY16** | 1. Develop and achieve community approval of all DNS/Unique Identifiers health metrics. 2. Develop and achieve community approval of the Stability and Resiliency Exercises specified. 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 (YoY). 5. Develop and achieve community approval of the Identifier registration data access/update system requirements specified |
| **FY17** | 1. All DNS/Unique Identifiers health metrics V1 implemented and baselines posted. 2. Stability and Resiliency Exercises implemented and baselines posted. 3. ICANN legitimacy survey implemented and baseline posted. 4. Collaborate with community to reduce gap of IPv6 and DNSSEC deployment by 5% year over year (YoY). 5. Prototype Identifier registration data access/update system developed and tested with the community. |
| **FY18** | 1. All DNS/Unique Identifiers health metrics V1 results reviewed and improvements to metrics as well as functions are recommended. 2. Stability and Resiliency Exercises repeated, gap analysis performed, and necessary improvements made. 3. ICANN legitimacy survey repeated, gap analysis performed, and necessary improvements made. 4. Collaborate with community to reduce gap of IPv6 and DNSSEC deployment by 5% year over year (YoY). |

| | |
|---|---|
| | 5. Identifier registration data access/update system requirements revised and approved by the community. |
| **FY19** | 1. All DNS/Unique Identifiers health metrics V2 implemented and baselines posted. |
| | 2. Stability and Resiliency Exercises repeated, gap analysis performed, and necessary improvements made. |
| | 3. ICANN legitimacy survey repeated, gap analysis performed, and necessary improvements made. |
| | 4 Collaborate with community to reduce gap of IPv6 and DNSSEC deployment by 5% year over year (YoY). |
| | 5. Revised Identifier registration data access/update system implemented and beta tested by the community. |
| **FY20** | 1. All DNS/Unique Identifiers health functions recommendations implemented and V2 metrics are reviewed for progress. |
| | 2. Stability and Resiliency Exercises repeated, gap analysis performed, and necessary improvements made. |
| | 3. ICANN legitimacy survey repeated, gap analysis performed, and necessary improvements made. |
| | 4. Collaborate with community to reduce gap of IPv6 and DNSSEC deployment by 5% year over year (YoY). |
| | 5. Revised Identifier registration data access/update system put into production. |

# Strategic Objective 2 - Support a healthy, stable and resilient unique identifier ecosystem.

**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. WHOIS Core Function/ Service & Improvements
2. Identifier Evolution
3. Technical Experts Group

## Key Performance Indicators (Metrics):
- % of registered domain names to internet users regionally and globally

## Dependencies:
1. Budget availability
2. Community Bandwidth and support

## Phasing:

| FY16 | 1. Department fully staffed. |
|------|------------------------------|
|      | 2. Draft Technology Roadmap developed. |
|      | 3. Relationships with protocol/technology development organizations enhanced. |
|      | 4. Ratio of registered DN to active IP addresses base lined. |
|      | 5. Ratio of registered DN to internet users regionally and globally base lined. |
| FY17 | 1. Technology Roadmap approved by Community. |
|      | 2. At least five identifier technology-related white papers are published. |
|      | 3. Demonstrate growth in ratios in developing regions. |
| FY18 | 1. Implementation of year 1 of technology roadmap done. |
|      | 2. At least two additional identifier technology-related white papers are published. |
|      | 3. Demonstrate growth in ratios in developing regions. |
| FY19 | 1. Implementation of year 2 of technology roadmap done. |
|      | 2. Additional identifier technology-related white papers are published. |
|      | 3. Demonstrate growth in ratios in developing regions. |
| FY20 | 1. Review of technology Roadmap and recommendations received. |
|      | 2. Implementation of year 3 of technology roadmap done. |
|      | 3. Additional identifier technology-related white papers are published. |
|      | 4. Demonstrate growth in ratios in developing region |

# Strategic Objective 2 - Support a healthy, stable and resilient **unique identifier ecosystem**.

**Goal 2.3** Support the evolution of domain name marketplace to be **robust, stable and trusted.**

## Portfolios:

1. GDD Strategic Programs
2. GDD Operations
3. Public Safety Registrations
4. Registrant Interest Representation

5. Contractual Compliance Improvements
6. Contractual Compliance Initiatives
7. GDD Online Services Product Management
8. GDD Technical Services

9. Internationalized Domain Names
10. New gTLD Program
11. Outreach and Relationship Management with Existing and new Registry, Registrar Community

## Key Performance Indicators (Metrics):

* # of contractual compliance complaints to ICANN and # of abuse incidents compared to the # of Registrants
* % of GDD Service Level Agreement (SLA) target met

## Dependencies:

1. IT department support
2. Budget availability
3. Community Bandwidth and support

## Phasing:

| FY16 | 1. Multistakeholder Satisfaction Survey baseline completed.<br>2. Baseline of Domain Name industry segments defined. |
|------|---|
| FY17 | 1. Improve multistakeholder satisfaction by reducing survey gap by at least 10% YoY.<br>2. Show stable healthy year over year (YoY) growth in the DN industry.<br>3. Finish the current round of the New gTLD program and have agreement on the start of next round. |
| FY18 | 1. Improve multistakeholder satisfaction by reducing survey gap by at least 10% YoY.<br>2. Show stable healthy YoY growth in the DN industry. |
| FY19 | 1. Improve multistakeholder satisfaction by reducing survey gap by at least 10% YoY.<br>2. Show stable healthy YoY growth in the DN industry. |
| FY20 | 1. Improve multistakeholder satisfaction by reducing survey gap by at least 10% YoY.<br>2. Show stable healthy YoY growth in the DN industry. |

# Strategic Objective 3 - Advance organizational, technological and operational excellence.

**Goal 3.1** Ensure ICANN's **long-term financial accountability, stability and sustainability.**

## Portfolios:
1. Strategic and Operating Planning
2. Enterprise Risk Management
3. Support Operations

## Key Performance Indicators (Metrics):
- Accountability, stability & sustainability indices (composite index with financial ratios and business continuation readiness) including:
- Actual to budget reserve fund balance & utilization, and financial performance metrics,
- Internal control performance indicators
- % project completion indices (with emphasis on major projects)
- % comparisons of actual to target succession plan readiness
- % comparisons of actual to target emergency/disaster preparation readiness

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

## Phasing:

| 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.<br>2. Align with budget availability and IT system implementation roadmap.<br>3. Review and obtain approval by Board, staff and stakeholders. |
|------|---|
| FY17 | 1. Achieve financial roadmap targets.<br>2. Review operational processes for improvements.<br>3. Modify roadmap as needed and approved by Board, staff and stakeholders. |
| FY18 | 1. Achieve the foundation for KSFs (outcome) supported by adequate system advancement in place.<br>2. Continue to improve and achieve elevated target performance levels as per roadmap.<br>3. Modify roadmap as needed and approved by Board, staff and stakeholders. |

| | |
|---|---|
| **FY19** | 1. Continue to improve and achieve elevated target performance levels as per roadmap. |
| | 2. Modify roadmap as needed and approved by Board, staff and stakeholders. |
| **FY20** | 1. Complete roadmap as planned. |
| | 2. Reassess and plan for future years. |

# Strategic Objective 3 - Advance organizational, technological and operational excellence.

## Goal 3.2 Ensure structured coordination of ICANN's technical resources.

### Portfolios:
1. Cyber Security
2. IT Infrastructure and Service Scaling

### Key Performance Indicators (Metrics):
- % of global IT infrastructure uptime (scaling from 99.9% in FY 2016 to 99.999 % in 2020 for top tier services)

### Dependencies:
1. Budget availability

### Phasing:

| | |
|---|---|
| **FY16** | 1. Develop and socialize a suite of uptime metrics for IT Services.<br>2. Define, divide and socialize IT services into a 3-tier classification.<br>3. Define, socialize and adopt a baseline Lean Process Capability metric for IANA functions.<br>4. Measure and record a baseline for the IANA functions.<br>5. Define, develop and socialize a metric for on-time, on-budget IT projects delivery. |
| **FY17** | 1. Measure and record a baseline for IT Services uptime by Tier.<br>2. Measure and compare metric for the IANA functions against baseline for YoY improvement.<br>3.  Report on metric for on-time, on-budget IT projects delivery. |
| **FY18** | 1. Drive IT Services uptime for Tier 1 towards 99.99% availability.<br>2. Measure and compare metric for the IANA functions against baseline for YoY improvement.<br>3. Report on metric for on-time, on-budget IT projects delivery, driving to improvement YoY on performance. |
| **FY19** | 1. Drive IT Services uptime for Tier 1 to 99.999% availability.<br>2. Drive uptime for Tier 2 towards 99.99% availability.<br>3. Measure and compare metric for the IANA functions against baseline for YoY improvement.<br>4. Report on metric for on-time, on-budget IT projects delivery, driving to improvement YoY on performance. |
| **FY20** | 1. Maintain IT Services uptime for Tier 1 to 99.999% availability.<br>2. Maintain uptime for Tier 2 to 99.99% availability or better.<br>3.  Drive uptime for Tier 3 towards 99.9% availability or better.<br>4. Measure and compare metric for the IANA functions against baseline for YoY improvement.<br>5. Report on metric for on-time, on-budget IT project delivery, driving to improvement YoY on performance. |
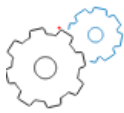
# Strategic Objective 3 - Advance organizational, technological and operational excellence.

**Goal 3.3** Develop a globally diverse **culture of knowledge and expertise** available to ICANN's Board, staff and stakeholders.

## Portfolios:
1. Business Excellence applying EFQM standards
2. Globalizing Operations
3. Talent Management
4. ICANN Technical University

## Key Performance Indicators (Metrics):
- % of achievement in comparison to best practice benchmark metrics of global diverse culture, and knowledge levels of Board, staff and stakeholders
- % of completion measurements - actual to target implementation milestones of development programs of successors, key staff, all staff advancements, Board and stakeholders

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

## Phasing:

| FY16 | 1. Build on the FY15 achievements related to this goal KSFs (outcome).<br>2. Complete 1st internal EFQM radar evaluation & assessment of key areas of focus, identify gaps and developed mitigation/ improvement roadmap.<br>3. Identify benchmark organizations and derive key benchmarking metrics. |
|------|------------------------------------------------------------------------------------------------------------------------------------|
| FY17 | 1.Key areas of focus -<br>   a. Develop and perform regular reporting of performance metrics against key benchmarking metrics.<br>   b. Create visibility of gaps to benchmarks and develop mitigation roadmap.<br>   c. Complete gap mitigation. |
| FY18 | 1. Key areas of focus -<br>   a. Complete EFQM assessment / audit<br>   b. Close gaps by the mitigation methods |

| | |
|---|---|
| | 2. Second tier focus areas -<br>   a. Complete internal EFQM assessment<br>   b. Identified gaps<br>   c. Develop mitigation/ improvement roadmap |
| **FY19** | 1. Second tier focus areas -<br>   a. Develop and perform regular reporting of performance metrics against benchmarking metrics.<br>   b. Create visibility of gaps to benchmarks and develop mitigation roadmap.<br>   c. Complete gap mitigation. |
| **FY20** | 1. Second tier focus areas -<br>   a. Complete EFQM assessment / audit<br>   b. Close gaps by the mitigation methods<br>2. Achieve Five-year EFQM roadmap.<br>3. Develop and implement continuous refinement plan. |

# Strategic Objective 4 - Promote ICANN's role and **multistakeholder** approach.

**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 (IG)
2. Build Stronger Partnerships with Internet Organizations and Initiatives

## Key Performance Indicators (Metrics):
- # of Memorandum of Understandings (MOUs) with international organizations with mutual recognition of roles with ICANN

## Dependencies:
1. Successful NTIA IANA functions stewardship transition
2. Revision of MoUs to more clearly recognize ICANN's role
3. Completion of a mapping exercise in FY15 to establish baseline % participation rates
4. Completion of a mapping exercise in FY15 to establish baseline measure of # of countries with multistakeholder model IG structures

## Phasing:

| | |
|------|------------------------------------------------------------------------------------------------|
| FY16 | 1. Increase % participation rates from documented baseline established in FY 2015.<br>2. Increase # national IG multistakeholder structures over baseline established in 2015. |
| FY17 | 1. Increase % participation rates documented as baseline established in FY 2016.<br>2. Well-functioning and global acceptance by stakeholders of the post NTIA IANA functions stewardship transition, as reflected in feedback from stakeholders. |
| FY18 | 1. Third year review of strategy and mapping exercises.<br>2. Evolution of global and regional work plans to reflect outcome of review.<br>3. Identification of potential best practices among national and regional multistakeholder IG structures to be highlighted in outreach work for further adoption of multistakeholder model IG governance mechanisms. |
| FY19 | 1. Increase from baseline participation rates documented as baseline established in FY 2018. |
| FY20 | 1. Strong fully structured working relationships with organizations and entities active in the IG following a successful IANA stewardship transition. |

## Strategic Objective 4 - Promote ICANN's role and **multistakeholder** approach.

**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 IGOs

### Key Performance Indicators (Metrics):
- Increase # of GAC members (level of actual active participation and level of representation at ICANN meetings)

### Dependencies:
1. Positive outcome of the ITU Plenipot-14
2. UN General Assembly discussions in December 2014 and the WSIS 2015 processes

### Phasing:

| | |
|------|--------------------------------------------------------------------------------------------|
| FY16 | 1. Updated Government engagement strategy is reflected in the work plan for each region.<br>2. Baseline determination completed to map existing entities within the IG ecosystem and their posture toward ICANN and the multistakeholder model |
| FY17 | 1. Increase the # of governmental entities actively participating in ICANN.<br>2. Increase the # of frameworks for partnership and in the number of MS IG models adopted. |
| FY18 | 1. Third year review of strategy.<br>2. Revise global and regional work plans to reflect outcome of strategy review.<br>3. Identification of potential best practices among national and regional multistakeholder IG structures to be highlighted in outreach work for further adoption of multistakeholder model IG governance mechanisms. |
| FY19 | 1. Increase # of governmental entities actively participating in ICANN;<br>2. Increase # of frameworks for partnership and in the number of MS IG models adopted. |
| FY20 | 1. Enhanced relationships with governments that encourage them to support the adoption of the multistakeholder IG model on national, regional and global levels. |

# Strategic Objective 4 - Promote ICANN's role and **multistakeholder** approach.

**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 (Metrics):
- # of governments and other stakeholders willing to have a national multistakeholder distributed IG structure

## Dependencies:
1. Completion of FY15 base line mapping of organizations participating in the IG ecosystem
2. Revision of MoU agreements to include clearer language endorsing multistakeholder distributed IG structure
3. Completion of FY15 baseline mapping of national and regional multistakeholder IG structures

## Phasing:

| | |
|---|---|
| **FY16** | 1. Increase in # of partnerships and agreements with respective Internet organizations and  regional and national multistakeholder IG structures over baseline established in FY 2015. |
| **FY17** | 1. Increase in # of partnerships and agreements with respective Internet organizations and regional and national multistakeholder IG structures over baseline established in FY 2016.<br>2. Increase # of demonstration projects in the regions reflecting collaboration with organizations active in the IG ecosystem. |
| **FY18** | 1. Year three review of the goals and delivery strategy for those goals.<br>a. Evolution and improvement of global engagement work plan based upon completed review.<br>b. Increase in # of projects and work reflecting collaboration with respective Internet organizations over baseline established in FY 2017. |
| **FY19** | 1. Revise global strategy and goals reflected in regional strategies and work plans.<br>2. Increase in # of projects and work reflecting collaboration with respective Internet organizations over baseline established in FY 2018. |
| **FY20** | 1. ICANN involvement, consistent with its mission and within its mandate, in a full implementation of a distributed trusted fully inclusive multistakeholder IG ecosystem; perception that technical and non-technical IG issues are successfully addressed using multistakeholder model. |

**Strategic Objective 4 -** Promote ICANN's role and **multistakeholder** approach.

**Strategic Goal 4.4** Promote role clarity and establish mechanisms to increase trust within the ecosystem rooted in the public interest.

## Portfolios:
1. Strategic Initiatives

## Key Performance Indicators (Metrics):
- Develop key measures of trust for the Trust Index (e.g. (1) agreed upon roles, responsibilities and accountability of the Board, staff and stakeholders; (2) Board, staff and stakeholders behavior norms with significant impact on trust, and ongoing performance relative to such norms; (3) benchmarks of multistakeholder engagement best practices, and ongoing performance relative to such benchmarks)

## Dependencies:
1. External: ICANN community
2. Internal: Policy, GSE, Communications and Legal (in the context of the Board)
3. Touch points with Board, staff and stakeholders

## Phasing:

| FY16 | 1. Assess current practices and documentation.<br>2. Identify and propose best practices.<br>3. Propose measurements and benchmarks. |
|------|-------------------------------------------------------------|
| FY17 | 1. Implement agreed-upon plan and practices.<br>2. Implement ongoing measurement, benchmarking and reporting. |
| FY18 | 1. Implement agreed-upon plan and practices.<br>2. Implement ongoing measurement, benchmarking and reporting. |
| FY19 | 1. Implement agreed-upon plan and practices.<br>2. Implement ongoing measurement, benchmarking and reporting. |
| FY20 | 1. Assess and adjust plan and practices as needed. |

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

## 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 (Metrics):
- # of ICANN decisions and advice (Board, staff and stakeholders) that are rationalized based on common consensus based definition of public interest

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

### Phasing:

| | |
|---|---|
| **FY16** | 1. Create Framework for ICANN's SOs and ACs to assist them in assessing how their actions are aligned to the public interest. |
| **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. |
| **FY18** | 1. 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. |
| **FY19** | 1. Continue to increase on 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 Objective 5 - Develop and implement a **global public interest** framework bounded by ICANN's mission.

**Strategic Goal 5.2** Promote **ethics, transparency and accountability** across the ICANN community.

## Portfolios:

1. Affirmation of Commitments (AoC) Accountability & Transparency Review
2. AoC Whois Policy Review
3. AoC SSR Review
4. AoC Competition, Consumer Trust & Consumer Choice Review
5. Accountability and Transparency Mechanisms
6. Conflicts of Interest and Organizational Ethics
7. IANA Functions Stewardship Transition & Enhancing ICANN Accountability

## Key Performance Indicators (Metrics):

- Public interest framework index (e.g., DIDP and correspondence posted on time, compliance with the conflict of interest policy and compliance with the Board Code of Conduct)

## Dependencies:

1. Stakeholder Community, Board and Executive agreement on a clear, actionable Accountability and Ethical Framework

## Phasing:

| | |
|---|---|
| FY16 | 1. Create and public revised Accountability and Ethical Framework and develop baseline metrics to measure to demonstrate impact on organization. |
| FY17 | 1. Measure against the baseline metrics developed in 2016 and show increase in acceptance and impact of Accountability and Ethical Framework.<br>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. |
| FY18 | 1. Meet increased metrics developed in 2016-2017 and show increase in acceptance and impact of Accountability and Ethical Framework.<br>2. Continue to review for improvements and enhancements. |
| FY19 | 1. Meet increased metrics developed in 2016-2018 and show increase in acceptance and impact of Accountability and Ethical Framework.<br>2. Continue to review for improvements and enhancements. |
| FY20 | 1. Reach five year goals in acceptance and impact on organization set out in the Accountability and Ethical Framework.<br>2. Continue to review for improvements and enhancements. |

| | 3.  Continue to review for improvements and enhancements. |
|---|---|

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

### **Strategic Goal 5.3 Empower current and new stakeholders** to fully participate in ICANN activities.

### **Portfolios:**
1.  Strengthening Development and Public Responsibility Department
2.  Participation in Global Internet Cooperation and Development
3.  Education and Academic Outreach
4.  Supporting the Next Generation

### **Key Performance Indicators (Metrics):**
*   # of stakeholders participating in public responsibility programs

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

### **Phasing:**
| FY16 | 1. Establish engagement baseline for under-represented countries and communities and other underrepresented groups and address critical engagement gaps. |
|---|---|
| FY17 | 1. Increase access, knowledge, and capability of priority groups through goal efforts through fully operational Development and Public Responsibility Department (DPRD). |
| 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. |

# Five-Year Financial Model

# Introduction

The financial model provides a long-term perspective on ICANN's high-level revenue and expenses trends. It is a forward looking perspective based on assumptions.

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

The financial model is not:
- the result of a detailed budget-like exercise
- a public position statement
- fixed for a long time

# 1. Approach to Five-Year Financial Model

ICANN **Draft** Five-Year Operating Plan                5 February 2015
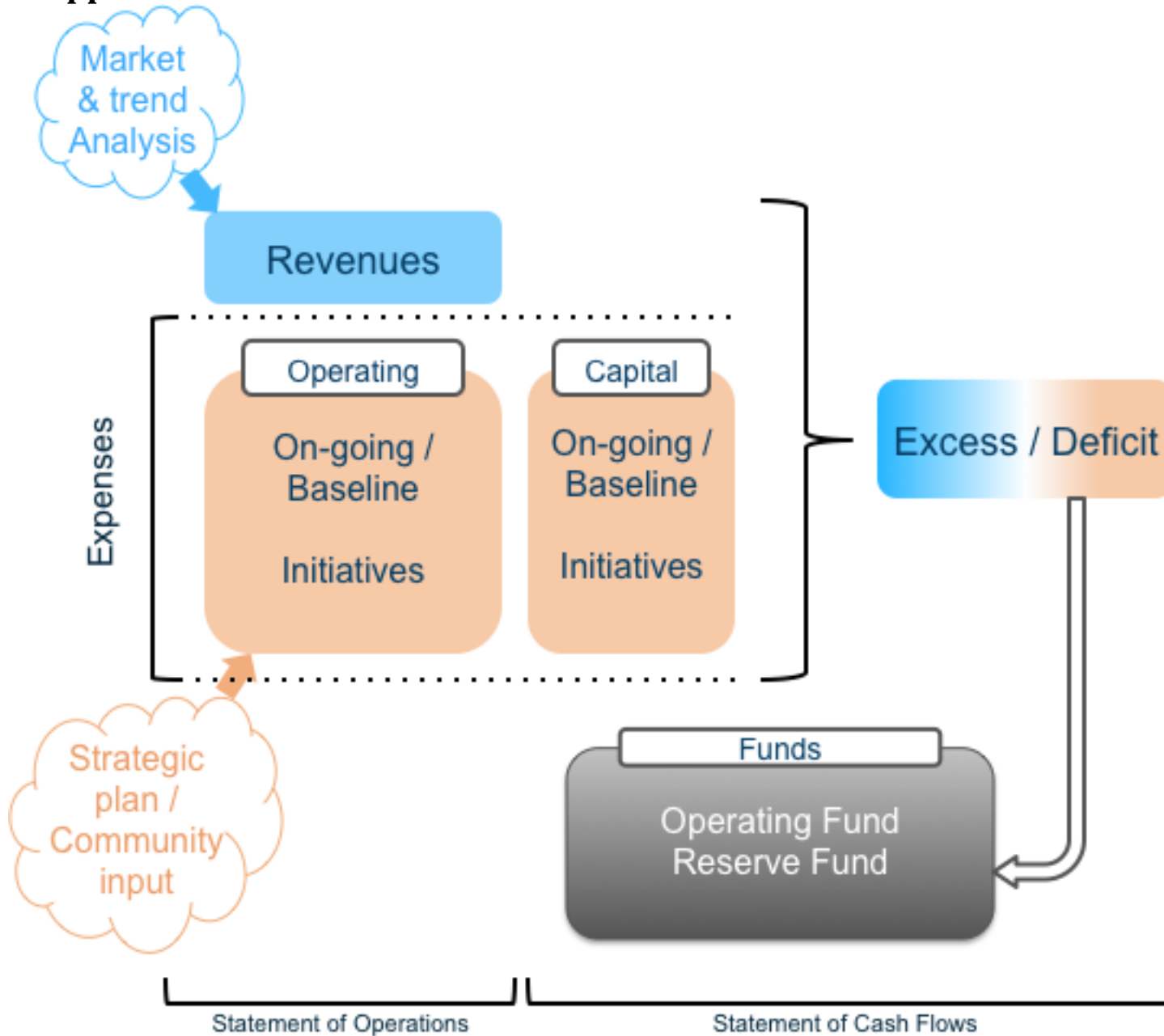
## 2. Principles:

The five-year financial model should:
a. Reflect a conservative approach.
b. Assume that incoming funds should equal or exceed outgoing funds
c. Assume that the level of outgoing funds reflect the costs of the resources required to achieve the strategic and operating plans.
d. Include an assumption on maintaining the appropriate level of cash reserve.
e. Be developed and communicated with clear assumptions.
f. Provide the sensitivity of fluctuations (e.g., scenarios).
g. Define aggregates (envelopes), not itemized components.

# 3. Assumptions

a.  Revenue Assumptions:

-   Market and historical trends impacting the evolution of registration volumes, separately for historical Top Level Domains (previous to the current round) and for new TLDs.
-   For new Top Level Domains, registration volumes exceeding the billing threshold for the registry transaction-based fees.
-   Number of active Top Level Domains (delegated in the root), including resulting from a subsequent generic Top Level Domains (gTLD) application round.
-   Fee per unit.
-   Contributions received from country code Top Level Domain operators, Regional Internet Registries.
-   Sponsorship contribution received.
-   Revenues for the New gTLD Program: duration, and level of application refunds.

b.  Expenses Assumptions:

-   Year-on-year variation of operating and capital expenses.
-   Non-cash expenses (e. g. depreciation of fixed assets).
-   Special/large initiatives and related expenses (e.g. USG transition, ATRT2, Whois, infrastructure expansion/improvements,…).
-   Expenses for the new gTLD program: divided between evaluation costs, historical development costs repayment, hard-to-predict costs (including risks). Evaluation costs to be split into direct costs by phase (initial evaluation, extended evaluation, other phases), and overheads (new gTLD team costs, administration costs, costs allocation)..

# 4. Contents of the financial model

a. Financial statements

- Statement of Operations ("P&L")
- Statement of Cash flows

b. Assumptions, including scenarios

c. Risks and Opportunities

ICANN