

Questions About the Draft Plans

#	Question	Contributor	Response / Action to be taken
Section Summary: Questions are provided verbatim on the left along with responses on the right.			
1.	<p>What do the following acronyms represent?</p> <ul style="list-style-type: none"> <li>a. EOP</li> <li>b. ERM</li> <li>c. GSE</li> <li>d. DPRD</li> <li>e. MSSSI</li> </ul>	Chuck Gomes	<p><b>Response:</b></p> <p>The acronyms are defined as follows:</p> <ul style="list-style-type: none"> <li>a. EOP - End of Period (30 Jun 2018)</li> <li>b. ERM - Enterprise Risk Management</li> <li>c. GSE - Global Stakeholder Engagement</li> <li>d. DPRD - Public Responsibility Support</li> <li>e. MSSSI - Multistakeholder Strategy and Strategic Initiatives</li> </ul> <p><b>Action to be taken:</b></p> <p>To be clarified in final document.</p>
2.	<p>The table in Section 3.3 titled Baseline Cash Expenses is difficult to understand. What do the positive (+) and negative (-) colored bars show?</p>	Chuck Gomes	<p><b>Response:</b></p> <p>Positive (+) indicates a year-over-year increase to expenses and negative (-) indicates a year-over-year decrease to expenses.</p> <p><b>Action to be taken:</b></p> <p>To be clarified in final document.</p>

#	Question	Contributor	Response / Action to be taken
3.	<p>In Section 3.6, what do the following column headings mean in the table titled Unfunded Potential FY18 Expenses?</p> <ul style="list-style-type: none"> <li>a. Total Expenses</li> <li>b. Annual Recurring</li> </ul>	Chuck Gomes	<p><b>Response:</b></p> <p>The column headings for the table titled Unfunded Potential FY18 Expenses are defined as follows:</p> <ul style="list-style-type: none"> <li>a. The column labeled “Total Expenses” refers to the total expense for a project that is expected to last longer than one fiscal year. This column refers to projects that have a start date and an end date.</li> <li>b. The column labeled “Annual Recurring” represents the total expense that is expected to occur each year by including this project in the budget. This column refers to expense that is expected to be ongoing each year.</li> </ul> <p><b>Action to be taken:</b> To be clarified in final document.</p>

#	Question	Contributor	Response / Action to be taken
4.	Two indices are referenced in the metrics for '7.4 – 1.3 Evolve Policy Development and Governance Processes, Structures and Meetings to be More Accountable, Inclusive, Efficient, Effective and Responsive'. Where can they be found?	Chuck Gomes	<p><b>Response:</b></p> <p>The draft FY18 Operating Plan and Budget identifies three areas in which success for this goal can be measured by:</p> <ol style="list-style-type: none"> <li>1. Representation and Participation in the policy development and governance processes</li> <li>2. Quantity of Activity index; and</li> <li>3. Quantity of Activity and Productivity index</li> </ol> <p>The precise metrics for these indices are still under development but they are generally depicted on the ICANN KPI Dashboard on the ICANN website at <a href="https://www.icann.org/progress">https://www.icann.org/progress</a> under strategic objective 1.3. That dashboard explains the four “pillars” of activity that are currently being tracked including representation, participation, activity and productivity. A fifth “pillar” (Impact) is still under development and community collaboration on refining metrics for this pillar will be likely necessary.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
5.	Where can the Identifier Technologies Health Index be found for '7.6 – 2.2 Proactively Plan for Changes in the Use of Unique Identifiers and Develop Technology Roadmaps to Help Guide ICANN Activities'	Chuck Gomes	<p><b>Response:</b></p> <p>The Identifier Technologies Health Index (ITHI) can be found at the following link:  <a href="https://www.icann.org/ithi">https://www.icann.org/ithi</a></p> <p>The ITHI is a project that has been transparent and community driven. As can be found on the above link, there has been (and continues to be) public consultation on what constitutes a health indicator, how to define it, and how to measure it. This development work is ongoing and once it has consensus in the community, then we'll move from discovery and development to implementing a measurable index.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
6.	<p>There are a number of Policy Development Process Working Groups in progress. Please clarify what internal deadlines ICANN has set for these working groups, when their activities are budgeted to reach completion, and how many external consultants have been engaged to work on each Working Group, along with details on the tendering process employed to secure their services.</p>	NCSG	<p><b>Response:</b></p> <p>Progress on Policy Development Process Working Groups is carefully tracked by the GNSO Council, and status reports are publicly reported regularly to the Council. The most recent report (typically published shortly before each GNSO Council session) can be located here - <a href="https://gnso.icann.org/en/council/project">https://gnso.icann.org/en/council/project</a>. Each report identifies the status, timetable, community co-chairs, council liaison, internal staff and contractor support for the effort. Given the wide variety of support needs, varying timetables of work and changing community priorities, budgets for individual PDP efforts are not developed for individual PDPs or working groups. ICANN does not establish deadlines for PDP or working group efforts. These are usually determined by the GNSO Council and or the individual groups themselves. There is no common tendering process currently in place to secure services for a particular PDP or working group.</p> <p><b>Action to be taken:</b></p> <p>None.</p>
7.	<p>Please provide a breakdown of how much ICANN will be spending supporting each SO and AC in FY18, including:</p> <ul style="list-style-type: none"> <li>a. staff secretarial support,</li> <li>b. anticipated travel expenditure to both ICANN meetings and ad hoc engagements, such as but not limited to those funded through CROPP,</li> <li>c. website investments and updates,</li> <li>d. translation and interpretation support,</li> <li>e. outreach projects,</li> <li>f. technology licensing (we have been led to believe ICANN is acquiring a Slack license for At-Large), and</li> <li>g. other expenditure.</li> </ul> <p><i>h. For the GNSO, please separate figures for all of the above by Stakeholder Group.</i></p>	NCSG	<p><b>Response:</b></p> <p>ICANN does not currently produce this level of granularity in the budget documents. Details on community support activities by cost category can be found in the list of budgeted projects published at <a href="https://www.icann.org/en/system/files/files/proposed-opplan-budget-portfolio-project-fy18-08mar17-en.pdf">https://www.icann.org/en/system/files/files/proposed-opplan-budget-portfolio-project-fy18-08mar17-en.pdf</a></p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
8.	Within the FY18 budget, has ICANN assumed that the recommendations contained within the Initial Report of the At-Large Review will be adopted? If so, why? If not, how much are these recommendations anticipated to cost to implement?	NCSG	<p><b>Response:</b></p> <p>As a standard part of ICANN Organizational Review process, before the ICANN Board can take action on At-Large Review recommendations, they will consider final recommendations, along with the feasibility and prioritization assessment by the At-Large Organization, broader public input and budgetary impact analysis by the ICANN organization. Given the current status of the At-Large Review, Board action is not expected until the end of FY18 Q1 or later. The At-Large community will then need time to develop implementation plans for Board approval. Therefore, there is not sufficient information at this time to anticipate impact on FY18 budget and no funds have been budgeted.</p> <p><b>Action to be taken:</b></p> <p>None.</p>
9.	Has there been budgeted variations in the number of community members who will, or will not, receive travel support to participate in ICANN activities in FY18? Has travel support been budgeted for the Chairs of the various GNSO Policy Development Process Working Groups?	NCSG	<p><b>Response:</b></p> <p>The number of community members receiving travel support in the base budget, as indicated in the Constituency Travel Guidelines (with approved increases in allocations), has been funded in the FY18 budget.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
10.	Please clarify: it appears that the organisation's headcount has gone down, but salary expenditure has increased by \$8 million. Why is this? Is this a case of ICANN staff moving to consulting roles? If so, how many people does this impact?	NCSG	<p><b>Response:</b></p> <p>Per sections 6.1-6.2 of the draft FY18 Operating Plan and Budget, Total ICANN's average (avg.) and end of period (EOP) headcount is increasing by 46.6 and 16 full time equivalents (FTEs), respectively. This corresponds to an increase in personnel costs of \$7.1M resulting from:</p> <ul style="list-style-type: none"> <li>• Average 26.1 FTEs planned to be hired in FY18.</li> <li>• 44 people estimated to be hired in FY17 working a full year in FY18 versus a partial year in FY17.</li> <li>• Personnel costs increases (merit, taxes, and fringe benefits).</li> <li>• Partially offset by estimated attrition.</li> </ul> <p><b>Action to be taken:</b></p> <p>None.</p>
11.	How many staff retreats does ICANN as an organisation arrange per year? Please provide breakdowns on the number of participants, cost, and departments participating.	NCSG	<p><b>Response:</b></p> <p>The number of retreats varies each year. Departments plan retreats based both on the department's needs, as well as the organization's priorities. Some groups have retreats involving all team members and some hold programs specifically for the managers within the departments. Retreats serve an important role in the staff development process. They provide training opportunities as well as alignment on priorities and projects, particularly for disbursed teams. They also serve a team building role.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
12.	Please explain the 53% decrease in capital from the FY17 forecast to the FY18 proposal?	NCSG	<p><b>Response:</b></p> <p>The decrease in capital projects expenses in FY18 is primarily due to the planned completion of prior year projects in FY17, such as the Root Zone Management System (RZMS), Salesforce, Enterprise Resource Planning (ERP), and 4<sup>th</sup> floor buildout of the Playa Vista office space.</p> <p><b>Action to be taken:</b></p> <p>None.</p>
13.	Please explain the 71% increase in the Ombudsperson's baseline cash expenditure projection. Is this a result of the Ombudsperson's new responsibilities following the transition or is this accounted for by something else? Was this formally requested by the Office of the Ombudsperson in that Office's initial request to ICANN management? Do these new expenses involve the hiring of additional personnel and, if so, is it anticipated that this will be done by the Office of the Ombudsperson itself (which is contracted to provide services to ICANN and not a direct employee) or by ICANN?	NCSG	<p><b>Response:</b></p> <p>The 71% increase is due to the expansion of the Ombudsman role including, the necessity for the Office of the Ombudsman to contract legal services directly related to the new role of the Ombudsman in the Reconsideration Request process as per changes to the ICANN Bylaws which came into effect Oct. 1, 2017. The FY18 increases are primarily driven by personnel, which at this time assumes no new hiring in FY18, and professional services (legal fees) for Reconsideration Requests.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
14.	What expenses are anticipated and/or allocated (including salary, FTE) for the new Complaints Officer?	NCSG	<p><b>Response:</b></p> <p>Details about the Complaints Officer budget can be found in the draft FY18 Operating Plan and Budget under:</p> <ul style="list-style-type: none"> <li>• Objective 5. Develop and implement a global public interest framework bounded by ICANN's mission</li> <li>• Goal 5.2 Promote ethics, transparency and accountability across the ICANN community</li> <li>• Portfolio 5.2.4 Accountability and Transparency Mechanisms</li> <li>• Project 154404 -FY18 Ongoing Establish Office of the Complaints Officer</li> </ul> <p>ICANN does not provide staff salaries except as required in tax filings and in the annual Staff Remuneration Practices document on icann.org.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
15.	Please explain what 7.12 - 4.2.1 "Support GAC Engagement" entails.	NCSG	<p><b>Response:</b></p> <p>Strategic Goal 4.2.1 is about encouraging government awareness of the role of the GAC in the ICANN multistakeholder model and encouraging the governments to join the GAC and, once they are members, to actively participate in the GAC. This is done through outreach in various international and regional intergovernmental venues to explain the multistakeholder model and raise awareness about the role of the GAC and the nature of issues addressed within the ICANN policy development process. In addition, we do demand driven engagement work for the GAC through work with the GAC Underserved Regions Working Group (URWG) and the GAC Public Safety Working Group (PSWG). ICANN, through the GE and GSE teams and subject matter experts in the various departments, provide capacity building workshops in the regions coordinated with the URWG and PSWG and built around topics and agendas requested by the GAC members.</p> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
16.	What specific initiatives and improvements are funded under 7.14 - 4.4.2 “Contractual Compliance Initiatives and Improvements”.	NCSG	<p><b>Response:</b></p> <p><b>4.4.2 - Contractual Compliance Initiatives and Improvements</b> consists of three projects:</p> <ol style="list-style-type: none"> <li>1. Contract, Policy and Working Group Work – Compliance team effort to participate and support the different initiatives, for ex. <ol style="list-style-type: none"> <li>a. PPSAI</li> <li>b. IGO-INGO RPMs</li> <li>c. IGO-INGO RP Implementation</li> <li>d. New gTLD Subsequent Procedures</li> <li>e. Next-Generation Whois</li> <li>f. Review of all gTLD RPMS</li> <li>g. Thick Whois Implementation</li> <li>h. Translation/Transliteration of Contact Info</li> <li>i. RDAP</li> <li>j. gTLD marketplace health index</li> <li>k. CCT Review</li> <li>l. Spec 11 3b Security Framework and Advisory</li> <li>m. PSWG</li> <li>n. Etc.</li> </ol> </li> <li>2. Compliance Improvement of operations, reporting and metrics <ol style="list-style-type: none"> <li>a. Enhancement or Updates to system, metrics, documentations based on community feedback</li> <li>b. Continuous improvement of system and reporting for operational efficiency</li> </ol> </li> <li>3. Online Learning efforts <ol style="list-style-type: none"> <li>a. Video and infographic on different areas in compliance (topic tbd)</li> </ol> </li> </ol> <p><b>Action to be taken:</b></p> <p>None.</p>

#	Question	Contributor	Response / Action to be taken
17.	What specific measures are being taken, if any, to increase the reserve fund?	NCSG	<p><b>Response:</b></p> <p>The Draft FY18 Operating Plan and Budget does not include any specific measures to increase the reserve fund, however, the Draft FY18 Operating Plan and Budget represents a balanced budget for ICANN Operations including PTI where funding equals expenses. In addition, the Draft FY18 Operating Plan and Budget does not include any initiatives to be funded by the reserve fund.</p> <p><b>Action to be taken:</b></p> <p>None.</p>
18.	Why is ALAC budgeted for over \$300,000 for website improvements when they spent approximately this amount of money two years ago for website developments and improvements	Ayden Ferdeline and Kathy Kleiman/ Personal Capacity	<p><b>Response:</b></p> <p>The \$300k budgeted is for enhancements to both ICANN.org and the ALAC website. This was clarified on the updated Draft FY18 Operating Plan and Budget published on 13 March 2017. The estimated budget for the ALAC website enhancements is \$135K (35%) to \$155 (40%). Actual spend will be dependent on the number of change requests received/processed.</p> <p><b>Action to be taken:</b></p> <p>None.</p>