

# CEO Report to the Board

Period Covering: 02 August 2021 - 12 November 2021

November 2021



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# Office of the CEO

Göran Marby, President and CEO

## KEY HIGHLIGHTS AND MILESTONES

- President and CEO Goran Marby, in cooperation with the ICANN Board and the organization's Executive team, published goals for the coming fiscal year 2022.
- The DNS Security Facilitation Initiative Technical Study Group (DSFI-TSG) delivered its final report.
- ICANN continued to increase its efforts to support the mitigation of Domain Name System (DNS) security threats. An informational session was held on 22 October 2021, before the ICANN72 meeting, on this topic with a panel of security professionals and ICANN board members. ICANN also developed a new webpage to demonstrate how it continues to support DNS anti-abuse activities.
- ICANN organization (org) has extended its current ban on travel and face-to-face meetings to at least 31 August 2021 due to the continuing impacts of the pandemic.

## OVERVIEW OF ACTIVITY

I am pleased to announce that I, together with the ICANN Board, organization (org), and Executive team have published the goals for fiscal year 2022. Before the start of each fiscal year, I develop the first seven goals, and the Board provides additional goals. Over the years these goals have evolved with the needs of the organization and the challenges the ICANN ecosystem faces to continue to fulfill its mission. I am sharing them with you as part of our efforts to remain open and transparent.

In May 2021, I established the Domain Name System Security Facilitation Initiative Technical Study Group (DSFI-TSG) in response to learning of significant attacks on the Domain Name System (DNS) such as the [Sea Turtle hijacking](#) and [DNSpionage](#). The group was chartered to investigate these attacks and provide recommendations on how ICANN org may improve the security, stability, and resiliency of the global DNS. By 21 October 2021, the group published its final report.

DNS abuse continues to be a frequent topic of discussion within the ICANN community. The ICANN org has been active in supporting the community to mitigate abuse in a variety of ways, which are now outlined on our dedicated webpage. Additionally, we recently completed an informational session with Board members and a panel of senior Internet security professionals on the topic. The session was designed to allow the ICANN Board to engage directly with various experts as it continues to formulate its views on what are the appropriate roles and responsibilities for ICANN in mitigating DNS abuse.

ICANN org extended its current ban on travel and face-to-face meetings to at least 31 August 2021 due to the continuing impacts of the pandemic. A dedicated team is conducting thorough risk assessments and developing comprehensive travel processes and procedures necessary to ensure the health and safety of the community and staff. We are working with several travel,

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security, and safety experts around the world and closely following guidance from the World Health Organization and the U.S. Centers for Disease Control and Prevention. Despite these difficult times, we continue to work with the community and the Board to make progress toward our many priorities and initiatives.

## TOP ISSUES AND MITIGATION

In collaboration with the Executive team, I will work to make sure ICANN org prioritizes future projects and ensure they are appropriately resourced. Our top goal remains, as always, to enable the ICANN community, Board, and organization to serve the ICANN mission.

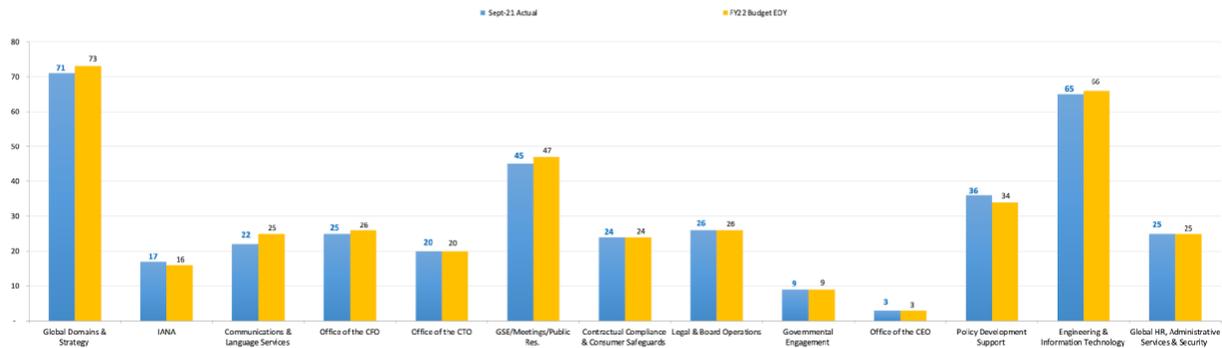
# Organization: People

Gina Villavicencio, SVP, Global Human Resources

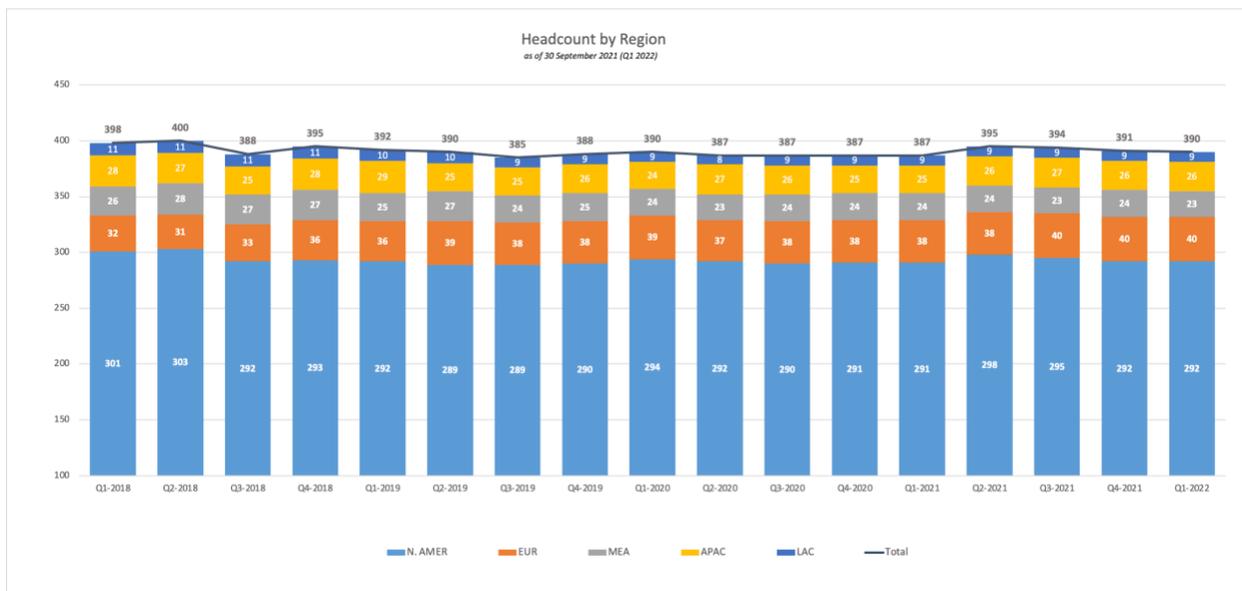
## HIGHLIGHTS

Since the last report, ICANN org metrics, as displayed below, remain relatively stable.

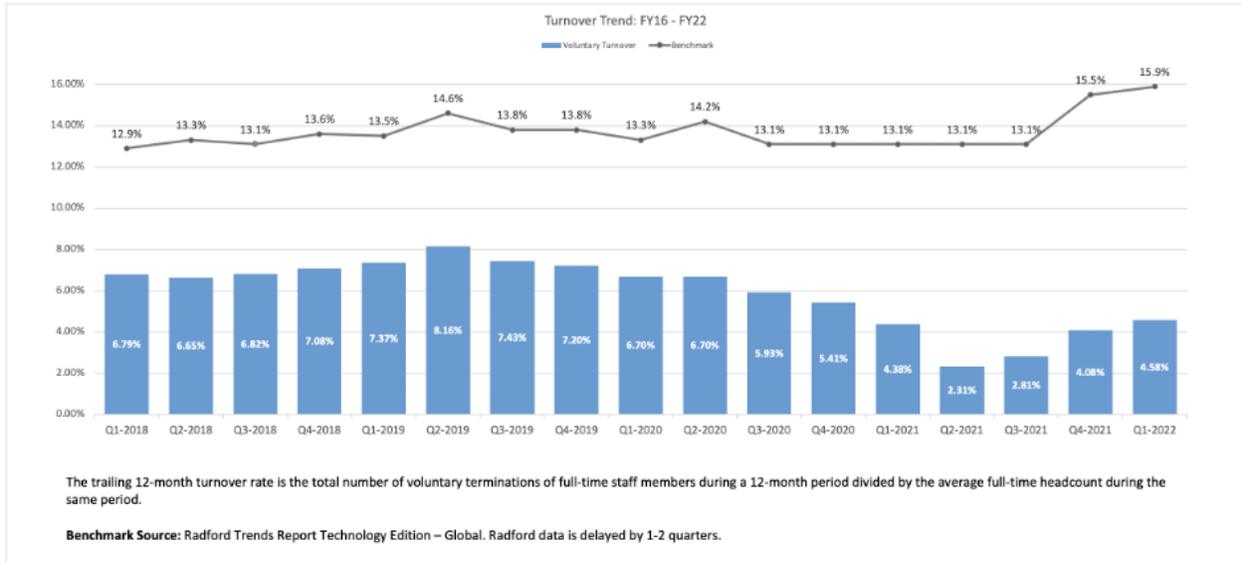
**As of 30 September 2021**, ICANN org had a headcount of 390 active staff. There were 5 pending new hires confirmed beyond 30 September.



**ICANN Org by Regions:** As of 30 September 2021, the staff distribution by region was 292 (75%) in North America, 40 (10%) in Europe, 23 (6%) in the Middle East and Africa, 26 (7%) in Asia Pacific, and 9 (2%) in Latin American and Caribbean, for a total of 390.

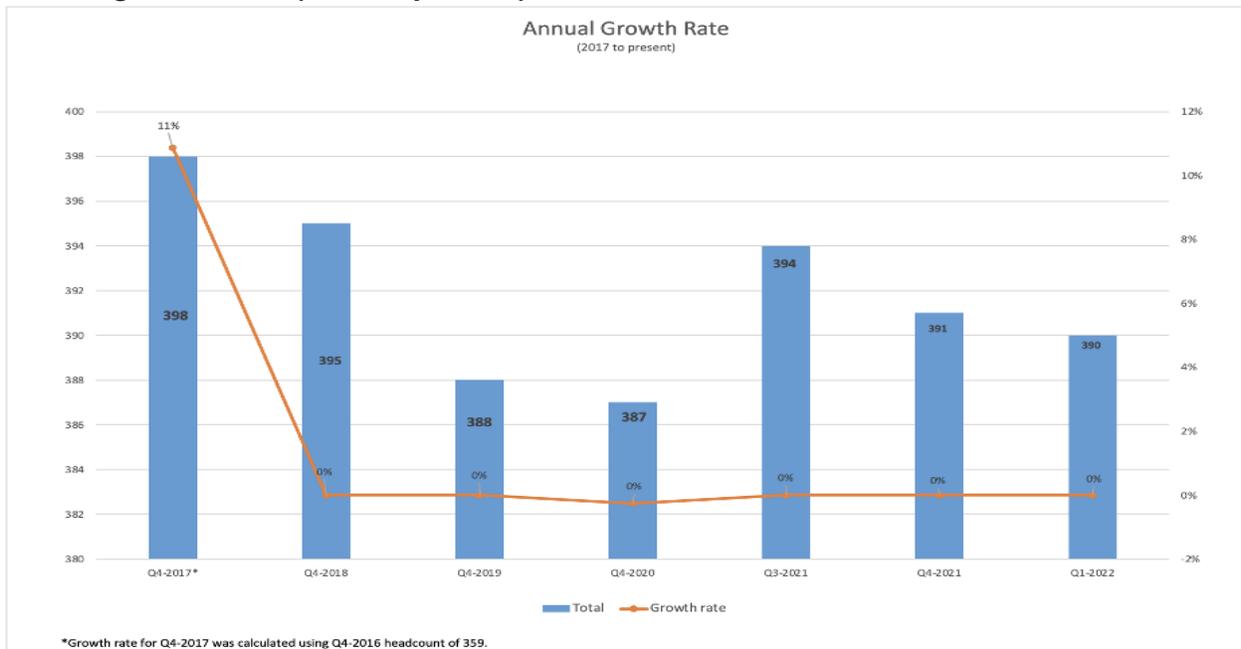


**Voluntary Turnover** as of 30 September 2021 was 4.58% and increased slightly from the previous quarter-end rate of 4.08%. Voluntary turnover has remained substantially lower than the worldwide voluntary turnover benchmark.



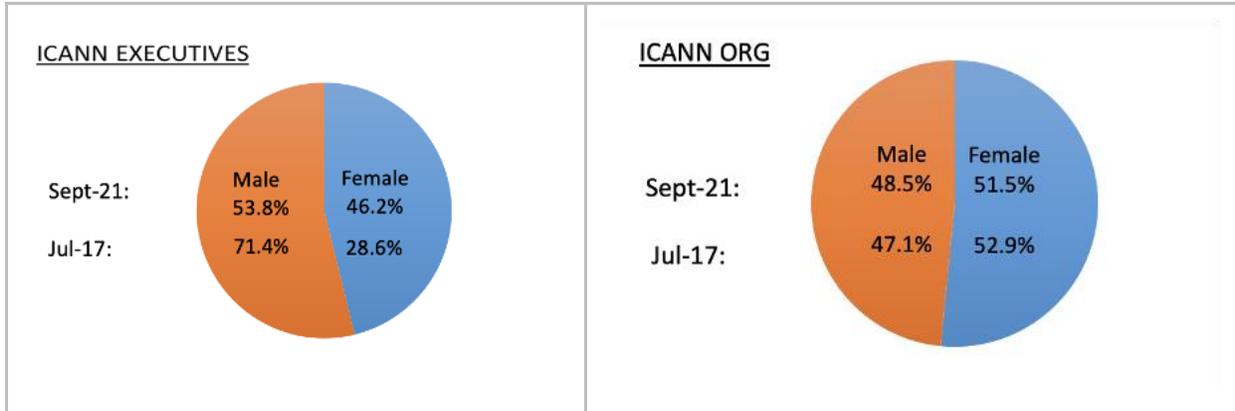
Over the last three months, 4 staff members joined ICANN org and 6 departed, resulting in a growth rate of 0%.

**Annual growth rates (2017 to present):**

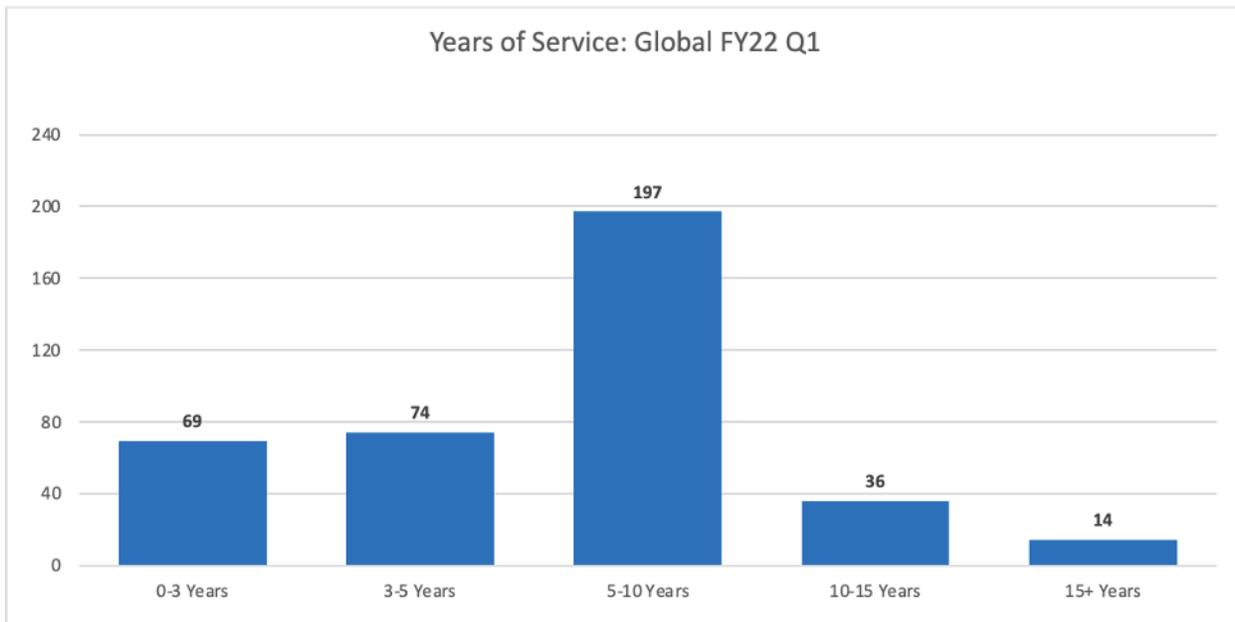


**\*\*Previous charts reflected incorrect growth rates due to a calculation error. This has been corrected and the growth rate has been updated accordingly.**

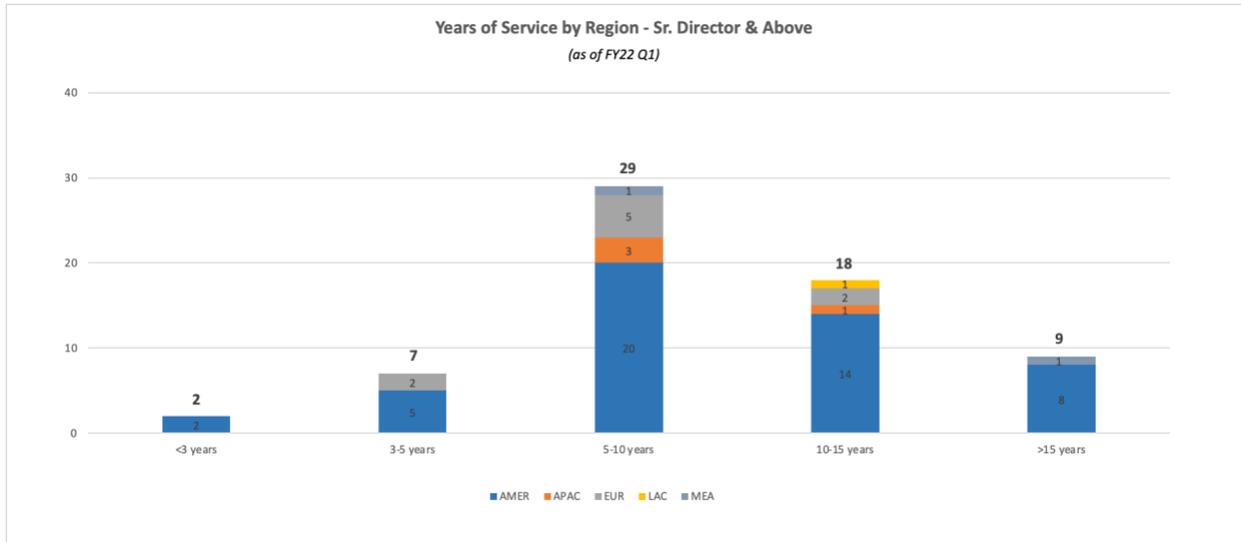
**ICANN Org gender diversity** continues to be well-balanced with females (51.5%) having a slight majority. The Executive team has made substantial progress in leadership roles since FY17, improving its gender composition by 50%. ICANN org is committed to building a culture of diversity and inclusion at all levels of leadership.



**Age distribution** of the organization has also been stable over the last 4 years, averaging approximately 45 years of age and represents the typical mid-point of most professional careers. The organization’s average **years of service** as of September 2021 is 6.7 years, reflecting consistent growth and stability in ICANN org positions.



**Sr. Director and Above** global distribution has remained stable for the last couple of years with the largest population between 5 to 10 years of service. This reflects ICANN org’s depth of experience within senior leadership.



## Organization: Finances

Xavier Calvez, SVP, Planning & Chief Financial Officer (CFO)

### FINANCIAL OVERVIEW

This Financial Overview section provides a summary of financial highlights covering three months of FY22 unaudited financials ending September 2021. This is the most recent financial information available as of the time of publication of this report.

| USD in millions<br>Unaudited              | FY22 YTD<br>Actual        | FY22 YTD<br>Budget        | Under/(Over)<br>vs. FY22<br>Budget | FY21 YTD<br>Actual        | Under/(Over)<br>vs. FY21<br>Actuals |
|---|---------------------------|---------------------------|------------------------------------|---------------------------|-------------------------------------|
|   | Total ICANN<br>Operations | Total ICANN<br>Operations | ICANN<br>Operations                | Total ICANN<br>Operations | ICANN<br>Operations                 |
| <b>Funding</b>                            | <b>\$37.7</b>             | <b>\$34.7</b>             | <b>\$3.0</b>                       | <b>\$35.5</b>             | <b>\$2.2</b>                        |
| Personnel                                 | 18.6                      | 19.3                      | 0.7                                | 18.0                      | -0.7                                |
| Travel & Meetings                         | 0.0                       | 0.0                       | 0.0                                | 0.0                       | 0.0                                 |
| Professional Services                     | 4.9                       | 7.4                       | 2.5                                | 3.9                       | -0.9                                |
| Administration                            | 3.6                       | 4.5                       | 0.9                                | 3.5                       | -0.1                                |
| Capital                                   | 0.2                       | 0.7                       | 0.5                                | 1.3                       | 1.1                                 |
| <b>Cash Expenses <sup>(1)</sup></b>       | <b>\$27.3</b>             | <b>\$31.9</b>             | <b>\$4.6</b>                       | <b>\$26.7</b>             | <b>(\$0.6)</b>                      |
| <b>Net Operating<br/>Excess/(Deficit)</b> | <b>\$10.5</b>             | <b>\$2.8</b>              | <b>\$7.6</b>                       | <b>\$8.8</b>              | <b>\$1.6</b>                        |
| <b>Active Headcount <sup>(2)</sup></b>    | <b>381</b>                | <b>402</b>                | <b>21</b>                          | <b>383</b>                | <b>2</b>                            |

1) Expenses exclude depreciation, investment income, and F/X translation

2) Reflects end of period headcount excluding leaves of absence for Actuals (Budget does not include adjustment for leaves of absence)

**Net Operating Excess at the end of September is \$10.5M, which is \$7.6M higher than budget and \$1.6M higher than the prior year.**

September year to date net excess is \$7.6M higher than budget due to higher than planned funding \$3.0M and lower than planned expenses \$4.6M. Funding for July and August is based on actual data from those months, while funding for September is estimated based on prior months' data.

- Funding is \$3.0M higher than budget driven by:
  - \$2.1M higher than planned transactions fees from Legacy TLDs, primarily due to growth from .com
  - \$0.7M higher than planned registry fixed fees, registrar application fees and accreditation fees due to higher than planned contracted parties.
  - \$0.2M due to timing of ccTLD contributions
- Cash expenses are \$4.6M lower than budget driven by:
  - \$3.9M due to lower than planned contingency spend, timing of projects for professional services, administration, and capital
  - \$0.7M due to lower headcount than planned

## Funding

| Funding Year to Date Three Months Ending 30 Sep 2021 (Unaudited) |               |               |              |               |                |
|--|---------------|---------------|--------------|---------------|----------------|
| In Millions, US dollars  | FY22 Actual   | FY22 Budget   | Inc/(Dec)    | FY21 Actual   | Inc/(Dec)      |
| <b>Transactions</b>  |               |               |              |               |                |
| Legacy transaction fees  | \$22.7        | \$20.6        | \$2.1        | \$20.4        | \$2.3          |
| New gTLD transaction fees  | 2.2           | 2.2           | (0.0)        | 2.2           | (0.1)          |
| <b>Sub-total</b>   | <b>\$24.8</b> | <b>\$22.8</b> | <b>\$2.0</b> | <b>\$22.6</b> | <b>\$2.2</b>   |
| <b>Registry Fixed Fees</b>                                       | <b>\$7.4</b>  | <b>\$7.2</b>  | <b>\$0.2</b> | <b>\$7.4</b>  | <b>(\$0.1)</b> |
| <b>Registrar Fees</b>  |               |               |              |               |                |
| Application fees   | \$0.2         | \$0.0         | \$0.2        | \$0.3         | (\$0.1)        |
| Accreditation fees - annual                                      | 2.7           | 2.3           | 0.3          | 2.6           | 0.0            |
| Per-registrar variable fees                                      | 0.9           | 0.9           | -            | 0.9           | (0.0)          |
| <b>Sub-total</b>   | <b>\$3.7</b>  | <b>\$3.2</b>  | <b>\$0.5</b> | <b>\$3.8</b>  | <b>(\$0.0)</b> |
| <b>Contributions</b>   |               |               |              |               |                |
| ccTLD  | 1.7           | 1.6           | 0.2          | 1.7           | 0.0            |
| RIR  | 0.0           | 0.0           | -            | 0.0           | -              |
| Meeting Sponsorships   | 0.0           | 0.0           | -            | 0.0           | (0.0)          |
| <b>Sub-total</b>   | <b>\$1.8</b>  | <b>\$1.6</b>  | <b>\$0.2</b> | <b>\$1.7</b>  | <b>\$0.1</b>   |
| <b>ICANN Ops Total</b>   | <b>\$37.7</b> | <b>\$34.7</b> | <b>\$3.0</b> | <b>\$35.5</b> | <b>\$2.2</b>   |

### Versus Budget

Funding for July and August is based on actual data from those months, while funding for September is estimated based on prior months' data.

Funding for the first three months of the fiscal year is \$3.0M higher than budget primarily due to higher than planned:

- Transaction fees from Legacy \$2.1M driven by growth from Legacy TLDs, primarily .com
- Accreditation fees \$0.3M due to more accredited registrars than planned
  - FY22 Q1 estimate of 2,518 registrars versus FY22 Q1 Budget of 2,335 (+183)
- Registry Fixed Fees \$0.2M due to more contracted TLD operators than planned
  - FY22 Q1 estimate of 1,177 TLD operators versus FY22 Q1 Budget of 1,150 (+27)
- Higher than planned registrar application fees \$0.2M
- Timing of ccTLD contributions \$0.2M

### Versus Prior Year

Funding is \$2.2M higher than prior year due to:

- Growth of Legacy TLDs, primarily .com \$2.3M

## Expenses

| USD in millions<br>Unaudited       | FY22 YTD<br>Actual | FY22 YTD<br>Budget | FY22 Actual vs.<br>Budget | FY21 YTD<br>Actual | FY22 Actual vs.<br>FY21 Actual |
|------------------------------------|--------------------|--------------------|---------------------------|--------------------|--------------------------------|
| Personnel                          | \$18.6             | \$19.3             | \$0.7 -4%                 | \$18.0             | (\$0.7) -4%                    |
| Travel & Meetings                  | 0.0                | 0.0                | (0.0) 5%                  | 0.0                | (0.0) -80%                     |
| Professional Services              | 4.9                | 7.4                | 2.5 -34%                  | 3.9                | (0.9) -23%                     |
| Administration <sup>(1)</sup>      | 3.6                | 4.5                | 0.9 -20%                  | 3.5                | (0.1) -3%                      |
| Capital                            | 0.2                | 0.7                | 0.5 -71%                  | 1.3                | 1.1 86%                        |
| <b>Cash Expenses<sup>(1)</sup></b> | <b>\$27.3</b>      | <b>\$31.9</b>      | <b>\$4.6 14%</b>          | <b>\$26.7</b>      | <b>(\$0.6) -2%</b>             |

(1) Excludes depreciation, bad debt, investment (income)/ expense

### Expenses are \$4.6M lower than budget due to:

- Personnel expense is \$0.7M lower than budget primarily driven by lower headcount.
  - *Personnel costs are inclusive of enhancements the org has made to staff working situations, such as Be Well Days.*
- Travel and Meetings expenses are flat to budget.
- Professional Services are \$2.5M lower than budget primarily due to \$0.8M timing of projects across various departments, \$1.0M SSR contribution timing, and \$0.7M lower than planned contingency spend.
- Admin is \$0.9M under budget primarily due to timing of sponsorships and contributions. Office closures and parking credits are also contributing.
- Capital is \$0.5M under budget driven by timing of planned purchases.

### Expenses are \$0.6M higher than the prior year:

- Driven by Personnel (\$0.7M) due to headcount higher than prior year by 2 FTE on average and inflationary increases.

## New gTLD Year to Date Financials – September

| USD in millions<br>Unaudited | FY22 YTD<br>Actual<br>New gTLD | FY22 YTD<br>Budget<br>New gTLD | Under / (Over)<br>vs. FY22 Budget<br>New gTLD | FY21 Actuals<br>New gTLD | Under/(Over) vs.<br>FY22 Actuals<br>New gTLD |
|------------------------------|--------------------------------|--------------------------------|---|--------------------------|--|
| Funding                      | \$0.0                          | \$0.0                          | \$0.0   | \$0.0                    | \$0.0  |
| Cash Expenses <sup>(1)</sup> | \$0.6                          | \$1.5                          | \$0.8   | \$0.8                    | \$0.2  |
| Risk Costs                   | \$0.7                          | \$0.0                          | (\$0.7)                                       | \$2.2                    | \$1.5  |
| <b>Excess/(Deficit)</b>      | <b>(\$1.4)</b>                 | <b>(\$1.5)</b>                 | <b>(\$0.1)</b>                                | <b>(\$3.1)</b>           | <b>(\$1.7)</b>                               |

1.) Expenses exclude depreciation, investment income, and FX translation

- Cash Expenses were lower than planned primarily due to less expenses for Universal Acceptance and technical enhancements for RDAP and IGO/NGO names clearing house capabilities.
  - Cash expenses are aligned to the prior year.
- Risk costs are not budgeted due to the difficulty in estimating these expenses.
- The overall Funding for the New gTLD program (*see table below*) has not changed; however, there was a specific change to the recognition in FY20 and FY21.

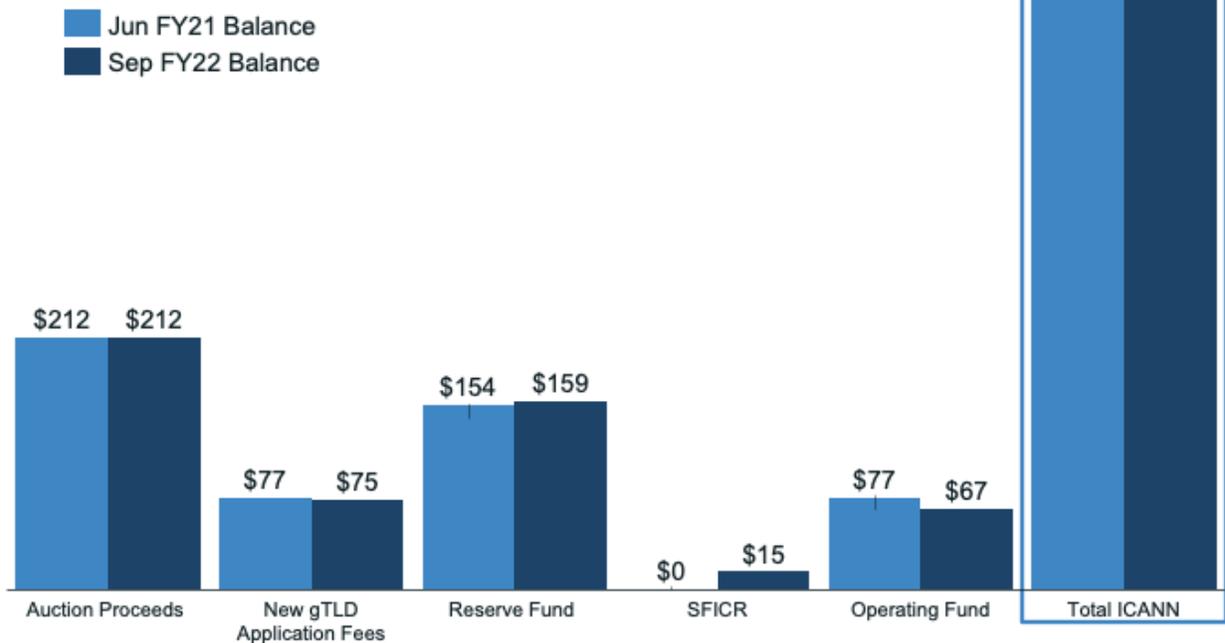
## New gTLD Multi-Year Program

| New gTLD Program<br>2012 Round          | Statement of Activities by Fiscal Year |                |                  |                |                              | Statement of<br>Activities for Full<br>Program<br>(Dec 2021)<br>Current Estimate |
|---|--|----------------|------------------|----------------|------------------------------|--|
|   | FY12 -<br>FY20<br>Actual               | FY21<br>Actual | FY22<br>Forecast | FY23<br>Budget | FY24 &<br>Beyond<br>Forecast |  |
| New gTLD Applicant Fees                 | 360                                    | 0              | 0                | 0              | 1                            | 361  |
| Refunds                                 | (52)                                   | -              | (0)              | (0)            | (0)                          | (53)   |
| <b>Applicant Fees (Net of Refunds)</b>  | <b>\$ 308</b>                          | <b>\$ 0</b>    | <b>\$ 0</b>      | <b>\$ 0</b>    | <b>\$ 0</b>                  | <b>\$ 308</b>  |
| Initial and Extended Evaluation         | (68)                                   | -              | -                | -              | -                            | (68)   |
| Quality Control and Objection Processes | (11)                                   | -              | -                | -              | -                            | (11)   |
| Pre-delegation                          | (12)                                   | -              | -                | -              | -                            | (12)   |
| Program Costs                           | (38)                                   | (2)            | (3)              | (2)            | (9)                          | (54)   |
| Staff Costs                             | (56)                                   | (1)            | (1)              | (1)            | (1)                          | (61)   |
| <b>Operating Expenses</b>               | <b>\$ (185)</b>                        | <b>\$ (4)</b>  | <b>\$ (4)</b>    | <b>\$ (4)</b>  | <b>\$ (10)</b>               | <b>\$ (206)</b>  |
| Historical Development Costs            | (32)                                   | -              | -                | -              | -                            | (32)   |
| Risk Costs                              | (25)                                   | (4)            | (1)              | -              | -                            | (31)   |
| <b>Non Operating Expenses</b>           | <b>\$ (58)</b>                         | <b>\$ (4)</b>  | <b>\$ (1)</b>    | <b>\$ -</b>    | <b>\$ -</b>                  | <b>\$ (63)</b>   |
| <b>Other Income/(Expense)</b>           | <b>\$ (2)</b>                          | <b>\$ -</b>    | <b>\$ -</b>      | <b>\$ -</b>    | <b>\$ -</b>                  | <b>\$ (2)</b>  |
| <b>Investment Income/(Expense)</b>      | <b>\$ 11</b>                           | <b>\$ 0</b>    | <b>\$ 0</b>      | <b>\$ -</b>    | <b>\$ -</b>                  | <b>\$ 11</b>   |
| <b>Total Expenses</b>                   | <b>\$ (234)</b>                        | <b>\$ (8)</b>  | <b>\$ (5)</b>    | <b>\$ (4)</b>  | <b>\$ (10)</b>               | <b>\$ (259)</b>  |
| <b>Net Remaining New gTLD Funds</b>     | <b>\$ 74</b>                           | <b>\$ (8)</b>  | <b>\$ (5)</b>    | <b>\$ (3)</b>  | <b>\$ (10)</b>               | <b>\$ 49</b>   |

- Risk costs and Investment Income are not projected due to the difficulty in estimating these items.

## Funds Under Management

\$ in millions



**Funds Under Management as of 30 September 2021 increased by \$6M as compared to 30 Jun 2021 (end of FY21) driven primarily by net excess in the operating fund and market gains from the Reserve Fund.**

- Auction Proceeds remained flat with no investment gains or losses.
- New gTLD Application Fees decreased \$1.7M due to reimbursement to ICANN Operations for \$1.3M and \$0.4M of expenses paid partially offset by investment gains.
  - The Reserve Fund increased \$4.3M due to a Board Approved transfer of \$5M in August 2021; partially offset by investment losses of \$0.7M.
- The Reserve Fund balance now covers 13 months of budgeted expenses (*\$143M in FY22 Budget*).
- The Board Approved transfer of \$15M to the SFICR occurred in July 2021.
- The Operating Fund decreased \$10.4M due to Reserve Fund transfer of \$5M, transfer to the SFICR of \$15M, partially offset by net excess from this fiscal year and the collection of funding in July.

## Procurement

*Xavier Calvez, SVP, Planning & Chief Financial Officer (CFO)*

### KEY HIGHLIGHTS AND MILESTONES

Procurement supported the organization in various purchasing related activities throughout the reporting period to ensure that goods and services were procured at the right time, place and at

the right price. Procurement also supported the org with strategic sourcing (RFP) efforts and supplier negotiations. As part of the Procurement 2.0 initiative, a key process improvement was made by training staff globally on procurement policies and processes. This is with the objective of increasing compliance and the level of maturity of procurement over time.

## OVERVIEW OF ACTIVITY

**Procurement Operations:** Purchase orders for the reporting period (2 August 2021 thru 15 November 2021) totaled \$9,858,486, issued to 185 unique suppliers with an average PO amount just under \$42K. The PO amount for this period was an increase of almost 20% compared to the activity during the same period last year (2020), which was \$8,227,180. Since the numbers from 2020 were right after the pandemic hit when spending was reduced to a minimum, this relative increase by 20% suggests a soft bounce back of projects that may have been put on hold earlier on. Note that the spending is still reduced from normal times due to the pandemic still in force (reduced spending for face-to-face meetings and related activities like catering, hotels, vendor services, etc.).

A summary of procurement operations metrics for the reporting period is provided below:

| Purchasing Operations Metrics for Reporting Period (2 Aug thru 15 Nov 2021) |  |  |             |               |             |
|---|--|--|-------------|---------------|-------------|
| Metrics   | Reporting Period<br>(2 Aug - 15 Nov '21) | November '21<br><small>(All transactions thru 7 Nov were included to allow for preparation of this report on time)</small> | October '21 | September '21 | August '21  |
| Number of PO's  | 235                                      | 9  | 57          | 85            | 84          |
| Total PO Amount (\$)  | \$9,858,486                              | \$92,677   | \$4,790,357 | \$2,036,116   | \$2,939,336 |
| Average PO Amount (\$)  | \$41,951                                 | \$10,297   | \$84,041    | \$23,954      | \$34,992    |
| Average Cycle time <sup>1</sup> (days)                                      | 21.7                                     | 20.2   | 17.6        | 23.1          | 23.1        |
| Number of unique suppliers that were issued                                 | 185                                      | 7  | 45          | 80            | 72          |

1. Cycle time is defined as the number of days it takes from submission of a purchase request in Oracle to creation of the associated purchase order (PO). Steps included: Approvals per contracting & disbursement policy; contract revisions by Legal-Contracting; and obtaining contract signatures.

**Strategic Sourcing (RFPs):** Procurement continued to support the organization with the various phases of sourcing (RFP) activities throughout the reporting period. Six (6) sourcing events (RFPs/RFIs) were concluded within the reporting period, including an RFI for the SSAD ODP project work ongoing. In addition, planning and preparation for ten (10) new RFP processes commenced in the same period. Notable in this list is an RFP to select a Public Relations agency. This is a large uptick of projects from the previous reporting period, indicating a strong comeback while we edge towards the end of the pandemic.

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# Governance: Legal, Board Operations, and Complaints Office

John Jeffrey, General Counsel and Secretary

## KEY HIGHLIGHTS AND MILESTONES

The Governance Function continues to provide advice and guidance to support key areas of work across many aspects of ICANN org. The following are key highlights and milestones for the reporting period:

### BOARD OPERATIONS

- Focused on content, coordination, and logistical support of ICANN72 | Virtual Annual General Meeting to facilitate the Board's preparation for the various meetings with Stakeholders.
- Managed and supported the on-boarding of the newly appointed Board Directors, which included 30 sessions across various time zones.
- Coordinated with the OCTO, GDD and Policy teams to organize the first ever [Informational Session on DNS Abuse: Panel Discussion with the ICANN Board](#).

### DISPUTE-RELATED MATTERS AND INTERNAL SERVICES

- Responded to four subpoenas regarding information mostly concerning reserved or Special Use IP addresses that have not been assigned to any particular entity or individual for use.
- Managed four pending Independent Review Processes (IRPs):
  - Afiliias IRP (.WEB) – awaiting the Panel's decision regarding Afiliias' request for "interpretation and correction" of the IRP Final Declaration.
  - HOTEL IRP – Panel denied Claimants' request that the IRP be halted until resolution of the pending lawsuit.
  - Namecheap IRP (.ORG, .INFO, .BIZ) – extensive disputes and motion practice regarding discovery is in process.
  - .GCC IRP – awaiting Emergency Panelist's decision regarding ICANN's request that confidential material not be used as evidence in the IRP, and the Board adopted [Resolution 2021.09.12.08](#) authorizing the President and CEO to seek a stay of the .GCC IRP and open an informal dialogue with the GAC regarding the rationale for the GAC consensus advice on the .GCC application.

### LEGAL CONTRACTING

- Handled contract advice, drafting, and negotiation for the renewal of leases in Los Angeles and Singapore and ongoing work for the Information Transparency Initiative.
- Advised ICANN org on a wide variety of ongoing contracting-related issues, with approximately 380 new requests for contract drafting or advice during the period.

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## LEGAL SUPPORT FOR GDD AND STRATEGY AND POLICY TEAMS

- Supported implementation activities for the Operational Design Phase for the System for Standardized Access and Disclosure (SSAD).
- Supported internal and Board Caucus work to reach the milestone of the [Board initiation](#) of an Operational Design Phase for the New gTLD Subsequent Procedures PDP.
- Helped to advance open implementation questions in the Expedited Policy Development Process (EPDP) Phase 1 regarding the [Thick Whois Policy](#) and the [Registrant Organization Field](#).

## LEGAL SUPPORT FOR GLOBAL STAKEHOLDER ENGAGEMENT, STRATEGIC INITIATIVES AND IMPLEMENTATION OF IANA STEWARDSHIP TRANSITION

- Supported Board efforts on consideration of the Nominating Committee Review Implementation Working Group proposals and engaged directly with Working Group on key deliverables.
- Engaged with the Root Server Operators to develop success criteria for the Root Server System Governance work on behalf of the ICANN Managed Root Server team.
- Supported the development and execution of Memorandum of Understanding with the North American Network Operators' Group, Inc.
- Provided legal advice to support ICANN org's continued response to the COVID-19 Pandemic, including preparations to bring ICANN org back into offices, return to travel, and hosting ICANN meetings.

## TOP ISSUES AND MITIGATION

We provide support and briefing documents in ongoing litigation, in support of Independent Review Process filings concerning new gTLD Program applications. The litigation issues are mitigated by maintaining a litigation readiness plan for relevant legal filings as well as utilization of the Risk Fund for costs. We provide an attorney-client privileged version of a litigation report to the Board under separate cover. Ongoing litigation activities are published on the litigation page on the ICANN website: <https://www.icann.org/resources/pages/governance/litigation-en>.

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# Global Domains and Strategy (GDS)

Theresa Swinehart, SVP, Global Domains & Strategy

## DATA PROTECTION AND PRIVACY

The work on Data Protection and Privacy continued during this period building on both Expedited Policy Development Phase (EPDP) Phase 1 and Phase 2 activities including:

### EPDP Phase 1

- ICANN org and the community members of the Implementation Review Team (IRT) continue to make progress on the implementation of the EPDP Phase 1 and EPDP Phase 2 Priority 2 policy recommendations.
- On 23 October the ICANN Board [corresponded](#) with the GNSO Council regarding the clarification of supplemental Recommendation 12 and confirming how the supplemental guidance will be implemented in the Registration Data Policy prior to adoption.
- The GNSO Council is in process of reviewing the letter prior to responding to the Board.
- To clear the way forward on the progress of the EPDP Phase 1 implementation efforts, ICANN org [proposed](#) to the IRT a method to implement the GNSO Council motion on Recommendation 7 within the Registration Data Policy.
- Data Processing Agreement negotiation continues with the Contracted Parties.

### EPDP Phase 2

- For the 18 recommendations related to the System for Standardized Access/Disclosure, please see below.

### EPDP Phase 2A

- The team submitted its [Final Report](#) to the GNSO Council on 3 September 2021. The GNSO Council [adopted the Final Report and its recommendations](#) during the GNSO Council meeting at ICANN72.
- In addition to responses to the GNSO Council instructions and asking the GNSO Council to follow current and future legislative developments, the Final Report includes four recommendations, namely:
  1. A recommendation that a field or fields **MUST** be created to facilitate differentiation between legal and natural person registration data and/or if that registration data contains personal or non-personal data. ICANN org is expected to coordinate the implementation of this recommendation with the technical community. Once created, this field(s) is optional for use by contracted parties who choose to differentiate. contracted parties who choose to differentiate are not required to use the field(s).
  2. A recommendation that includes guidance developed by the EPDP team to assist contracted parties who choose to differentiate.
  3. A recommendation that should any possible future work within ICANN be undertaken in relation to the development of a GDPR Code of Conduct, the

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guidance developed concerning legal/natural differentiation should be considered.

4. A recommendation that includes guidance for those contracted parties who choose to publish a pseudonymized registrant-based or registration-based email address in the publicly accessible RDDS.
- The GNSO Council requested ICANN org to convene an Implementation Review Team to work on the implementation of the recommendations.

### **System for Standardized Access/Disclosure (SSAD) Operational Design Phase (ODP)**

- In August, surveys of the community and contracted parties to determine interest in an SSAD and the current volume of nonpublic data disclosure requests were closed after several deadline extensions due to low participation numbers. In the end, 399 community and 101 contracted party responses were collected.
- On 23 September, the SSAD ODP project team informed the ICANN Board that the timeline for the delivery of the Operational Design Assessment (ODA) needed to be extended past the original six-month timeframe.
- On 24 September, the SSAD ODP team held a [webinar](#) to update the community on the project's progress and timeline extension. The team also presented the analysis of the community and contracted party surveys, Request for Information (RFI) results, and market research. The recording and presentation can be found [here](#).
- On 28 September, the SSAD ODP project team published a [blog](#) outlining the reasons for the timeline extension, and to give the community an opportunity to provide feedback on a number of SSAD-related assumptions. The recording and presentation can be found [here](#).
- On 24 October, the SSAD ODP project team presented a new timeline to the ICANN Board during its October Board Workshop. The ODA is now expected to be completed and delivered to the Board in February 2022.
- On 28 October, the SSAD ODP project team held a third project update [webinar](#) during ICANN72. The session outlined the new project timeline, presented design aspects related to Contractual Compliance and identity verification methodology, and posed questions to the community to consider. A recap [blog](#) of the session, outlining additional questions for the community to consider, was published after the meeting.
- The GAC survey, aimed at collecting information on the accreditation of governmental entities, was extended a second time to the end of October in order to allow time for additional responses. A total of 10 countries/territories responded (7 full responses).
- The SSAD ODP project team will hold a fourth community webinar on 18 November to discuss the business process and system designs of the SSAD and a fifth community webinar in December to discuss the cost and fee structures.
- Throughout this period, ICANN subject matter experts conducted assessment work that will help inform the ODA.

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## Registrant Program

During the reporting period, the Registrant Program team focused on ensuring that registrant perspectives were reflected in ICANN org's ongoing work, services, and reviews. The Registrant Program team:

- Reviewed the [RrSG Draft White Paper: Registrant Protections in DNS Abuse Mitigation](#).
- Provided background materials for the Review of Transfer Policy Development Process (PDP) and reviewed preliminary draft recommendations of the working group.
- Provided content to ICANN's Global Stakeholder Engagement (GSE) team for an educational workshop held by the Italian International Chamber of Commerce (ICC).
- Supported ICANN regional communications with registrant-related materials to include in global Domain Name System (DNS) events like the APAC DNS Forum.
- Continued to share and promote registrant resources through ICANN channels including newsletters, social media, and events.

## INTERNATIONALIZED DOMAIN NAMES (IDNs) AND UNIVERSAL ACCEPTANCE (UA)

- IDNs and UA are a key focus for ICANN org and the ICANN Board. This semester these topics were included in ICANN President and Chief Executive Officer Göran Marby's [FY22](#) goals and in the ICANN Board's [FY22 operational priorities](#).
- ICANN org's IDN and UA Steering Committee continues to meet regularly to plan, coordinate, and implement relevant work.

## IDN Program (see Public Comment section below for related information)

- Announced recent improvements to ICANN's IDN Table Review process in a [blog](#).
- Continued to provide support to the GNSO's IDN EPDP and ccNSO's IDN ccPDP4, integrating RZ-LGR, and detailing how to support variant top-level domains.
- The IDN Program held a [Root Zone Label Generation Rules Update](#) session during ICANN72 Prep Week, where the Latin and Japanese Script Generation Panels presented their RZ-LGR proposals that have been published for Public Comment.
- Developed the IDN Annual Progress Report for FY21.

## UA Program

- [Launched](#) the Introduction to Universal Acceptance (UA) ICANN Learn course in August. The [course](#) is intended for the general Internet community, technology enablers and developers, email service providers, governments, and policymakers.
- Published the [UA-Readiness Report for FY21](#), which summarizes the scope of UA and testing frameworks, documents updated UA-readiness gap analysis, provides remediation guidance, and outlines the key activities and accomplishments of the Universal Acceptance Steering Group (UASG) during the past fiscal year (July 2020-June 2021).
- Conducted UA-related outreach:
  - Understanding UA Seminar, AccessPlus Webinar, Uganda, 30 September.
  - Role of ccTLDs in Promoting UA, NIXI Webinar, India, 28 September.
  - Introduction to UA, Southeast Asia IGF, Indonesia, 1 September.

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- The UA Program hosted the ICANN72 Prep Week session, [Progress and Next Steps for Universal Acceptance](#), that provided the community with a recap of the progress made in FY21 and outlined the UA-readiness work planned for FY22.
  - The UA Program supported the UASG-led sessions with At-Large Advisory Committee (ALAC) and the Governmental Advisory Committee (GAC) for ICANN72, which discussed ways these two committees can better collaborate on UA with the UASG.
  - Published weekly social media content to promote UASG resources, blogs, and industry news.
    - UASG Blogs/Announcements
    - [Working Towards a Multilingual and Digitally Inclusive Internet: FY21 Progress and Looking Ahead](#)
    - [Learn How You Can Help Build a More Digitally Inclusive Internet](#)
    - [UASG Adds Spam Filter Testing to Evaluation of Internationalized Email Support Among Global Systems](#)

### **Contractual Activity**

- Renewed the .AERO Legacy TLD Registry Agreement, effective 10 September 2021.
- Public comment period for the .NAME Registry Agreement Amendment No. 5 completed 20 October. Amendment execution on target for December 2021.

### **Contracted Parties**

- Continued to directly engage with contracted parties individually, with the registry and registrar stakeholder groups, the Contracted Parties House, and industry events.
- Reached agreement, in principle, on negotiated points with Contracted Party House to sunset WHOIS services obligations and include the Registration Data Access Protocol (RDAP) reporting and service level requirements into the Base gTLD Registry Agreement and Registrar Accreditation Agreement.
- In August, ICANN org expanded the [Expedited Registry Security Response \(ERSR\)](#) process to enable registrars to submit waiver requests. As a result, the ERSR was renamed the "Security Response Waiver (SRW)".
- Launched the annual Contracted Parties 2021 survey on 1 November, which is intended to solicit feedback regarding the GDS team performance and suggestions for improvements. Results are expected to be shared in February.
- Introduced registry and registrar billing and accounts receivable enhancements to the Naming Services portal.
- Conducted and received approval of the registrar variable accreditation fees for FY22 as per section 3.9.2 of the [Registrar Accreditation Agreement](#). Additional information regarding these fees can be found in the [FY22 Budget](#) (page 27).

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## OVERVIEW OF ACTIVITY

### ICANN72 Virtual Meeting

- The GDS team held three Prep Week sessions leading up to the ICANN72 Annual General Meeting:
  - [Progress and Next Steps for Universal Acceptance](#): provided the community with a recap of the progress made in FY21 and outlined the UA-readiness work planned for FY22.
  - [Root Zone Label Generation Rules Update](#): The Latin and Japanese Script Generation Panels presented their RZ-LGR proposals published for Public Comment. The Integration Panel outlined next steps in integrating the finalized Armenian, Cyrillic, Greek, Japanese, Korean, and Latin script RZ-LGR proposals into RZ-LGR version 5 (RZ-LGR-5).
  - [ICANN Reviews and Implementation Status Update](#): provided the community with an update on the progress of ICANN Reviews, including implementation planning and scheduling of related Board-approved recommendations, and efforts to improve future reviews.
- The GDS team held one session during ICANN72:
  - [SSAD ODP Project Update #3 and Community Discussion](#): presented specific design aspects of the SSAD related to Contractual Compliance and identity verification methodology to gather feedback from the community.

### New gTLD Subsequent Procedures

- Continued to facilitate and support Board review and discussion of Subsequent Procedures policy recommendations and the Operational Design Phase (ODP) during weekly Board Caucus meetings.
- Developed cost and resourcing estimates for ODP work to inform Board deliberations; shared and discussed with Board Finance Committee and SubPro Board caucus group.
- Drafted and edited the New gTLD Subsequent Procedures ODP Scoping Document with Board member feedback. The Board approved the document on 12 September.
- Established and began outlining the Internal Project Organization phase of activities required for launching the New gTLD Subsequent Procedures ODP, including Project Management Framework Development and plans for required resource build-out.
- Unveiled dedicated New gTLD Subsequent Procedures ODP webpage and supporting documents to increase awareness, educate the community, and provide additional engagement opportunities for direct community feedback.
- Published announcement on the status of the ODP related to the Subsequent Procedures, [ICANN Board Resolves on ODP for the Subsequent Procedures Final Report Outputs](#). (14 September)
- Held community-focused New gTLD Subsequent Procedures ODP [webinar](#) (28 September).

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## Domain Name System Security Threat Mitigation Program

- In October 2021, ICANN org [reported](#) that following discussions with the leadership of the contracted parties, [the org reached an agreement in principle](#) where the org can gain consistent and dependable access to the identifier of the registrar (registrar ID) for each domain name registration with a change to the Base Generic Top-Level Domain (gTLD) Registry Agreement. The required change would enable the org to use an existing data set provided by registries for research purposes such as DAAR and ICANN can extend the level of reporting data to the registrar level. DAAR's aim is to develop a robust, reliable, and reproducible methodology for analyzing security threat activity, which the ICANN community may use to make informed policy decisions. [READ MORE in "A Step Toward More Comprehensive DNS Security Threat Analysis."](#)
- A cross functional sub team of ICANN's DNS Security Threat Program supported and enabled the [Board's panel discussion about DNS abuse](#) with industry representatives as part of the Board Workshop prior to the ICANN72 Meeting in October 2021.

## Operations, Service Delivery, and Support

### Global Support

- The Global Support team answered 1,152 phone calls and closed 4,039 cases. ICANN's contracted parties represented 14 percent of the case volume while the remaining 86 percent were from registrants and the community. The team sent 30 [notifications](#) to contracted parties during this period. The overall customer satisfaction score for Contracted Parties was 4.8 on a 5-point scale for the question "How satisfied are you with the service you received from ICANN?"

### Contracted Party Service Delivery

- A total of 521 service requests were completed during the period. A total of 20 Registrar Accreditation Agreements (RAAs) were renewed and 32 RAAs were terminated (all voluntarily). Seventeen new registrars were accredited in four regions: 53 percent in Asia Pacific, 24 percent in Europe, 18 percent in North America and 5 percent in Africa. Nine Registry Agreement (RA) assignments were completed for 11 gTLDs and 1 gTLD RA was terminated (voluntarily). Thirty-three Continued Operations Instrument (COI)-related cases were completed and 19 COI obligation end notifications were sent out for 26 gTLDs.

### Board Advice

- The ICANN Board received 3 advisories: AL-ALAC-ST-0821-01-01-EN, RSSAC057 and SAC119. The advisories translate to 6 pieces of individual advice as advisories often contain more than one piece of advice. Five items require action from the ICANN Board, and one was a statement and/or informational advisory that did not contain a specific recommendation for the ICANN Board.

## Correspondence

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- ICANN org handled 72 cases related to the work of processing Correspondence. Of those, 13 were letters resulting in substantive responses and were published on the ICANN Correspondence page. ICANN also published 6 letters directed to the ICANN community to inform the community or request information on various topics.

### **New gTLD Program**

- As of 12 November 2021, 31 applications remain in the 2012 round with 1 application actively working toward contracting. During this period, no applicants withdrew from the new gTLD Program.

### **Public Comment Activity**

- Proposed Amendment 5 to the .name Registry Agreement (opened 10 September, closed 10 October)
- Proposal for Japanese Script Root Zone Label Generation Rules (opened 30 September, closes 16 November)
- Proposal for Latin Script Root Zone Label Generation Rules (opened 23 September, closes 23 November)

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# Reviews: Support and Accountability (RSA)

Theresa Swinehart, SVP, Global Domains & Strategy

## KEY HIGHLIGHTS AND MILESTONES

### Specific Reviews

#### Second Security, Stability, and Resiliency Review (SSR2)

- Since the [Board action on 22 July](#), the responsibility for managing the overall work of [SSR2 Review Implementation](#) transitioned to the Implementation Operations team, while the Review Support and Accountability team continues the work on 34 pending recommendations. This work involves preparing the Board to take action to approve or reject, once the pending conditions noted in the [Scorecard](#) have been resolved. This work applies to three of the six categories:
  - Recommendations the Board determines to be pending, likely to be approved once further information is gathered to enable approval.
  - Recommendations that the Board determines to be pending, holding to seek clarity or further information.
  - Recommendations the Board determines to be pending, likely to be rejected unless additional information shows implementation is feasible.
- Some of the pending recommendations are complex and have dependencies on other work. The SSR2 and Competition, Consumer Trust and Consumer Choice (CCT) review teams both issued a significant number of recommendations that address Domain Name System (DNS) Abuse and Threat Mitigation.
- The team is considering all of these recommendations in a comprehensive manner, in order to fully understand how to approach implementation in a way that respects the multistakeholder processes and the extensive work already underway, while making meaningful improvements.
- The Board met with the SSR2 Implementation Shepherds on [29 September](#) to further clarify the overarching considerations that lead to the categories of Board Action on SSR2 recommendations.
- The Board acknowledged the important role of Implementation Shepherds' involvement in the next phase, as outlined within the [Operating Standards](#). [Further dialog will continue, facilitated by groupings of clarifying questions to be sent to Implementation Shepherds.](#)
- As part of the Board's continued analysis and assessment of the pending recommendations, the Board and ICANN org will engage with the [SSR2 Implementation Shepherds](#) to seek clarification. The Board will also take into account the differing opinions registered through [Public Comment](#) that suggest more community engagement and discussion may be required to consider how to best address overarching issues in a balanced way.

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## Organizational Reviews

### Country Code Names Supporting Organization (ccNSO2) Review

ICANN organization's RSA team prepared the Organizational Effectiveness Committee (OEC) and the Board to take action on ccNSO2 Review at the Board's general meeting on 28 October 2021. The Board took the following actions - see [Board resolution](#):

- Approved the ccNSO2 Review Final Report, as well as the Feasibility Assessment from the ccNSO2 Review Working Party
- Acknowledged the ccNSO implementation work, and encouraged continuation of the monitoring process for the three recommendations still in progress
- Approved initiation of the Standard Bylaws Amendment Process to allow for the ccNSO Council's requested changes to Articles 10 and Annex B of the ICANN Bylaws

### Nominating Committee (NomCom) Review

- The NomCom Review Implementation Working Group (NomComRIWG) made progress towards completing its implementation work with the goal of wrapping up implementation by the end of calendar year 2021.
- To identify and inform remaining implementation work, ICANN org and NomCom support staff developed a comprehensive spreadsheet for tracking all 27 recommendations, implementation steps, and status. Organizing the information this way allowed for greater delineation of roles and responsibilities for remaining implementation steps across the NomComRIWG, ICANN org, Board, and the forthcoming NomCom Standing Committee.
- NomComRIWG implementation work is complete on 25 out of 27 of the review recommendations. Remaining NomComRIWG work pertains to the NomCom Standing Committee Charter (Recommendation 24) and the ICANN Unaffiliated Directors definition, both of which are in process.
- During the [23 September](#) meeting, the NomComRIWG decided to withdraw its proposed Bylaws changes on NomCom Rebalancing (Recommendation 10) based upon:
  - Its joint meeting with the OEC where the OEC suggested additional community socialization was needed (see [minutes](#), [supporting documents](#), and [NomComRIWG meeting record](#))
  - Conducting additional outreach to the GNSO via informal meetings and also invited the GNSO Stakeholder Group/Constituency (SG/C) chairs to the meeting held on [9 September](#).
  - Results of these discussions made clear that several constituencies in the GNSO held strong objections to conducting a rebalancing exercise themselves and thus objected to the proposed Bylaw changes.
  - The OEC's suggestion, via ICANN org, that the NomComRIWG consider concluding its work on Recommendation 10, noting the continued strong opposition on the proposal by chief affected parties, the stakeholder groups of the GNSO.
- The NomComRIWG has begun work on its December 2021 Implementation Status Report to the OEC. The report is anticipated to reflect that the NomComRIWG's role in

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implementation is complete on all of the review recommendations, subject to public comments on the proposals to amend Bylaws.

## OVERVIEW OF ACTIVITY

- Transitioned the responsibility for one Specific Review (SSR2) to Implementation Operations, while continuing the work on the 34 pending recommendations; supported one Organizational Review in preparation for Board consideration – ccNSO; and two Organizational Reviews during their implementation work (NomCom and RSSAC).
- Completed the Annual Review Implementation Report and the Annual Transparency Report, both included in ICANN’s Annual Report.
- Supported the Implementation Operations team in developing the Implementation Planning Roadmap for WS2 Recommendations 7.2 - 7.3.3 related to ICANN Accountability Mechanisms, responsiveness to the community, and service level targets.
- Partnered with Implementation Operations to provide the Status of Reviews and Implementation Update via a recorded webinar during the [ICANN72 Prep Week](#).
- Initiated the implementation of WS2 Recommendation 7.2 - 7.3.3 related to ICANN Accountability Mechanisms, responsiveness to the community, and service level targets.

## TOP ISSUES AND MITIGATION

As the current cycle of Specific and Organizational Reviews is concluding, the focus is on the implementation of recommendations, as well as on applying lessons learned to improve reviews in the next cycle.

- Reviews are how we integrate continuous improvement into our work to help the multistakeholder model evolve.
- ICANN org (including RSA, Implementation Operations and other functions) is exploring with community input how to achieve more impactful review outcomes – more concise recommendations that have a clear path to implementation, so that when the implementation is complete, community, Board, and org all agree that something significant has been improved because of this work.
- The redesign of reviews to be more effective and impactful will take significant work and resources; there are complexities and dependencies which will impact the timing of future reviews.
- Work is also underway to make the vast amount of information on reviews more user-friendly along with the status and timing of prioritization, implementation work and resourcing.

In connection with the Board action on the SSR2 Review, the Board acknowledged process restrictions that require the Board to "reject because the recommendation cannot be approved in full," even though the Board agrees in principle with the intent of the recommendation.

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- The Board encourages ICANN org to work with the community on ways to address these process restrictions.
  - This could include socializing the existing process restrictions and the associated gaps via a thought paper. Addressing possible existing process restrictions will proceed in collaboration with the ICANN community within the context of broader work to improve future outcomes from ICANN's review program.

## FACT SHEETS

### **Nominating Committee Review Implementation Working Group (NomComRIWG) – FY22** [Fact Sheets](#)

#### Key Data Points for FY22 (Q1)

- Participation rate: 44%
- Milestones completed: 87 calls | 695 hours

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# Reviews: Implementation

Xavier Calvez, SVP, Planning & Chief Financial Officer (CFO)

## KEY HIGHLIGHTS AND MILESTONES

- On 12 October 2021, the Implementation Operations and the Review Support and Accountability teams, jointly, participated in the ICANN72 Prep Week by hosting a webinar and presenting on the progress of ICANN Reviews, status of implementation work pertaining to the Board-approved recommendations resulting from Specific Reviews (CCT, RDS-WHOIS2, SSR2, and ATRT3) and the Cross-Community Working Group on Enhancing ICANN Accountability, Work Stream 2 (CCWG-WS2). The teams also touched base on the work on the Evolution of the ICANN's Multistakeholder Model and the work being done towards establishing periodic reporting to keep the community informed of the progress on the implementation of these recommendations. More information about this presentation and the recording of this webinar can be found on the ICANN72 meeting [webpage](#).
- On 4 November 2021, the hiring of the new VP Implementation Operations was announced on [icann.org](#). Giovanni Seppia is scheduled to start early January 2022.
- On 5 November 2021, the Implementation Operations team published a [blog](#) to provide an update on the status of implementation of over 100 consensus recommendations contained in the Cross-Community Working Group on Enhancing ICANN Accountability, Work Stream 2 (WS2) Final Report and announce that the implementation design of WS2 has now concluded. The implementation design helped shed light on what work may proceed now, allowed us to refine the list of dependencies and the related sequence of events, and identified how to best support community groups in their implementation planning, as appropriate. ICANN org will continue to support the community in reviewing existing documentation and procedures, discussions regarding prioritization and timelines, as well as any additional work that may be required, such as drafting. ICANN org is committed to moving this FY22 priority forward. With implementation design now complete, the Implementation Operations team expects much progress over the coming months and will provide updates to the community.

## OVERVIEW OF ACTIVITY

### Implementation of Recommendations:

ICANN org is currently processing the Board-approved recommendations from the CCT, RDS-WHOIS2, ATRT3, and SSR2 review teams, the CCWG-WS2 recommendations, and the work on the Evolution of ICANN's Multistakeholder Model through various steps, including the development of an implementation plan, prioritization, scheduling of the implementation into the strategic and operating plans of the organization, and actual implementation.

The FY22 plans include the implementation of Board-approved recommendations of the CCWG-WS2 as a priority, as well as facilitation and implementation of the Enhancing the Multistakeholder Model work plan, which is critical to ensuring that the multistakeholder model

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can evolve and meet the ever-changing needs of ICANN’s global community. All other Board-approved recommendations are subject to prioritization efforts except one ATRT3 recommendation which itself calls for the development of a prioritization process.

Currently, ICANN org is working on designing a reporting approach, which will be complex and multi-faceted, cross-functional, and interconnecting various tools and systems already in place. The objective for designing this reporting approach is to increase transparency into the progress ICANN org is making towards implementing recommendations. This is in addition to the “Annual Review Implementation Report” that ICANN org produces per our Bylaws by the end of October, to report on the yearly progress on the reviews and implementation of its recommendations.

## TOP ISSUES AND MITIGATION

Recommendations generated by community-led review efforts are numerous, complex and require significant time and resources to implement effectively. In some instances, there are dependencies on other community work and events. As a large number of recommendations emerge from reviews, and other community-formed groups, there is a need to ensure that the org has the tools and processes in place to absorb, appropriately implement on Board-approved recommendations, and transparently report on the progress of work.

Therefore, ICANN org has developed a foundational structure to ensure proper and effective implementation of Board-approved recommendations. Work is already underway to move Board-approved recommendations of the CCT, RDS-WHOIS2, ATRT3, SSR2 review teams, the CCWG-WS2 recommendations, and the work on the Evolution of ICANN’s Multistakeholder Model through various critical steps, including the development of an implementation plan, the prioritization, the scheduling of the implementation into the strategic and operating plans of the organization, and the actual implementation.

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# Contractual Compliance and Consumer Safeguards

Jamie Hedlund, *Senior Vice President, Contractual Compliance and U.S. Government Engagement.*

## KEY HIGHLIGHTS AND MILESTONES

- Currently in the planning phase for the next audit.
- Presented updates to the GAC PSWG concerning compliance activity related to enforcement of the Temporary Specification (specifically relating to access to/disclosure of non-public Registration Data) during the pre-ICANN72 GAC PSWG informal meeting.
- Presented updates to the community concerning compliance activity related to enforcement of the Temporary Specification during the [pre-ICANN72 Contractual Compliance Program Update webinar](#).

## OVERVIEW OF ACTIVITY

**Notices of Breach, Suspension, Termination and Non-Renewal:** On 11 October 2021, ICANN sent a [Notice of Breach](#) to the registrar Alice's Registry, Inc. The registrar is in California (US). The breach is a result of the failure of the registrar to pay accreditation fees and provide an interactive web page and port 43 Whois service providing free public query-based access to up-to-date data concerning all active registered names sponsored by Alice's Registry. Additional concerns regarding the registrar's lack of timely responses to ICANN Contractual Compliance matters and information indicating that the registrar's business entity may be suspended were included in the Notice of Breach. The deadline to cure was 1 November 2021. There were no notices of termination issued, and no enforcement notices escalated to legal (mediation) during this reporting period.

**Contractual Compliance Enforcement:** All notices can be found [here](#).

**Compliance Matters Related to Registrars and Registry Operators:** During this reporting period, Contractual Compliance received 3201 new complaints (2933 against registrars, and 268 against registry operators); sent 1226 inquiries and notices (collectively referred to as "compliance notifications") to contracted parties; and closed 3716 complaints without contacting the contracted party.

**Contractual Compliance Performance Measurement:** Performance metrics provide information to the community on compliance activities through dashboards and reports. The monthly dashboards available for this reporting period are accessible using the following link: [2021 Monthly Dashboards](#)

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**Registrar and Registry Compliance Checks:** In response to requests from Global Domains Strategy (GDS) to verify that a contracted party is in good standing, a total of 1576 registrars, and 14 TLDs went through compliance reviews during this reporting period.

**Compliance Outreach Activities:** On 24 September 2021, the Contractual Compliance Istanbul team provided an update on results of a recently conducted audit on registrars' compliance with Domain Name System (DNS) abuse obligations for Turkish registrars. The session was delivered upon request from the Turkish registrars in the Turkish language. The session was conducted in collaboration with the Global Stakeholder Engagement (GSE) team and delivered in the Turkish language. During the session the team provided clarifications on DNS abuse obligations imposed on registrars defined in the RAA and the results and methodology of the audit. The team also addressed questions and provided further clarifications about the ICANN Contractual Compliance Audit program.

## TOP ISSUES AND MITIGATION

None during this reporting period.

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# Risk Management

Xavier Calvez, SVP, Planning & Chief Financial Officer (CFO)

## KEY HIGHLIGHTS AND MILESTONES

- Published ICANN org Risk Management Framework paper and public presentation of the paper during ICANN72 Prep Week.
- The Risk Management function led the annual Board Risk Workshop.
- E&IT presented its annual update on Information Security at ICANN org to both the BRC and the Board at the Board Risk Workshop.

## OVERVIEW OF ACTIVITY

The ICANN org Risk Management Framework paper was published on icann.org with the help of the Legal and Comms teams. The development of the paper had been widely discussed within the org, including the CEO Risk Management Committee, and the BRC, and was one of the final steps to complete the implementation of the Risk Management Target Model. With the help of the org Comms team, a new Risk Management page was established on icann.org where the paper was posted, <https://www.icann.org/risk-management>.

The public presentation followed the paper very closely with some introductory remarks from Xavier and some concluding remarks from Lito which did a good job to emphasize the BRC's and Board's active oversight of risk management.

The annual Board Risk Workshop was led by the Risk Management function. The Workshop is held around the time of the AGM or shortly thereafter as an opportunity for new Board members to learn about risk management activities at the org and is a refresher for experienced Board members. Org executives are also invited. The Workshop starts with the basics - how "risk" is defined at ICANN org, describes the development of the Risk Management Framework, and cover's the org's Risk Management Policy, Risk Identification Management Process, and the Risk Appetite Statement.

An important part of the Board Risk Workshop was a presentation from E&IT of its annual Information Security update. The presentation covered the org's Information Security (InfoSec) Programs in place, which included updates on the InfoSec Ambassador Program, Computer Security Incident Response Team (CSIRT) processes, device management, penetration testing, tabletop exercises, automated systems for auditing and reporting and the NIST cybersecurity framework. The update was earlier reviewed and discussed by the BRC.

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# Planning

Xavier Calvez, SVP, Planning & Chief Financial Officer (CFO)

## KEY HIGHLIGHTS AND MILESTONES

- DRAFT PTI and IANA FY23 Operating Plans and Budgets were posted for [public comment](#) from 9 September 2021 to 25 October 2021.
- On 28 October 2021, the Board approved the [FY23 Strategic Outlook Trends Report](#) and resolved to keep the ICANN Strategic Plan for fiscal years 2021 to 2025 in force and unchanged.
- Two [community webinars](#) were held on 15 September 2021 to kick off the FY23 operating plan and budget planning process. Production of the Draft FY23–27 Operating and Financial Plan and Draft FY23 Operating Plan and Budget is underway. The draft plans will be published for public comment early December 2021.
- The Planning team facilitated Community consultations between June and October to consult the community on the design of a Planning and Prioritization Framework, including a public webinar during [ICANN 72 prep week](#).

## OVERVIEW OF ACTIVITY

### Strategic Outlook and Strategic Planning

The Planning team completed the final step of the FY23 Strategic Outlook process, supporting the Executive team and the Board Strategic Planning Committee (BSPC) in assessing the impacts of new trends or of shifts in existing trends observed in 2021. The BSPC concluded that the strategic objectives of the organization set forth in the current strategic plan for fiscal years 2021 to 2025 do not need to change. On 28 October 2021, the Board resolved to keep the strategic plan in force and unchanged. The Planning team consolidated the results of this year's process in the FY23 Strategic Outlook Trend Report. The report was published on [www.icann.org](http://www.icann.org) November 2021.

The Planning team also supported the BSPC in launching a new program of Board strategic planning sessions. The program allows the Board to regularly review ICANN's strategic objectives and goals and assess progress towards achieving them. A first pilot session was run during the September Board workshop, on the strategic objective relating to Financials. These sessions will contribute to the formation of strategic thinking going into the next strategic plan development process.

### Operating Plans and Budget

In August, the planning team collaborated with the IANA team to produce the draft FY23 IANA and Operating Plan and Budget and the PTI Operating Plan and Budget. These plans were posted for [public comment](#) from 9 September to 25 October 2021. The Public Comment Staff Report is scheduled for publication in November 2021.

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On September 15, 2021, ICANN org held two [community webinars](#) to present the ICANN FY23 Operating Plan and Budget planning process. During the webinar, the team discussed ICANN's FY23 planning assumptions, process and timeline. Production of the Draft ICANN FY23-27 Operating and Financial Plan and Draft FY23 Operating Plan and Budget is underway. The draft plans will be published for public comment early December 2021.

### Prioritization of ICANN's Work Project

One of the scope of the "planning at ICANN" Operating Initiative in ICANN's Operating Plan is to develop and implement a prioritization framework to enhance ICANN's overall planning process. The team is collaborating with the community, Board, and org to develop the draft framework. The planning team has conducted consultations with community groups, and held a public consultation during [ICANN 72 Prep Week](#). All input received from the consultation will be considered by ICANN org as the team develops the draft prioritization framework. A draft framework will be posted as a supporting document when the FY23 draft plans post for public comment in early December 2021.

### TOP ISSUES AND MITIGATION

None.

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# Global Human Resources, Administrative Services, and Security Operations

Gina Villavicencio, SVP, Global Human Resources

## KEY HIGHLIGHTS AND MILESTONES

- Support and planning of ICANN's response to COVID-19 and the work-from-home requirement continued to be one of the main focuses for all three functional teams, including facilitation of Return To Normal Operations (RTNO) planning procedures and protocols to ensure readiness for the safe and secure return to offices, travel, and face-to-face events.
- Renewed the office lease for Los Angeles' current location
- Continued efforts to enhance people manager's skills through specialized training

## OVERVIEW OF ACTIVITY

### Global Human Resources:

- Continued to support the ongoing requirement for all staff to work remotely as a result of the org's response to COVID-19; and, assisted with the development of RTNO procedures and protocols for staff to resume working from offices, in-person meetings, and travel with minimum risk.
- During this reporting period, 8 vacancies were filled in the Europe, Middle East and Africa, and North-America regions, including one director and one vice president level. A total of 7 staff left the org, and we are currently recruiting for 46 open positions.
- Completed communication of the annual Staff Engagement Survey results and facilitated feedback and action-planning meetings with each function and region across the org.
- Initiated the FY22 SR1 performance management review process. HR Business Partners conducted 14 sessions with executives and team leaders across all functions to discuss and align on team performance for 382 eligible staff.
- Provided follow-up support and manager training for the new Career Framework that was launched in May 2021 to ensure managers fully understand and know how to utilize the new career framework, including how to have career development conversations with staff, and to ensure staff's understanding of growth and development opportunities.
- Continued to develop our leadership team through our LEAD program (Leadership Education & Development), including training on The ART of Behavior Interviewing to enhance people managers' interviewing skills, Engaging & Retaining Staff, Addressing Poor Performance and Holding Career Framework and Development Discussions.

### Administrative Services

- Renewed the lease for the Los Angeles office's current location.
- Completed the FY22 plan for the org's Global Health and Wellness program. Events and activities during this reporting period included recognition of World Health Day and

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other global and local occasions to encourage social engagement with staff while continuing to work remotely.

- Continued support of the org's COVID-19 response for ICANN staff working remotely and for RTNO planning and preparations: Partnered with Security Operations and other functional and regional teams to assist with the development of protocols and procedures; arranged for needed equipment and supplies to staff; and maintained all ICANN offices globally for necessary day-to-day operations.

## Security Operations

- Continued day-to-day management of ICANN's response to COVID-19, with the ongoing operationalization of the return to office process and the finalization of the return to travel and face-to-face events methodology and framework.
- Facilitated the planning review for ICANN73 and provided ongoing COVID-19 assessments for such events and travel. Sourced and commenced onboarding of a pre-travel tool to better prepare travelers and minimize risks to their health, safety and security.
- Continued support of the Travel Safety Committee (TSC) to identify, assess and treat potential risks for staff's requests to travel and conduct face-to-face activities prior to full methodology and framework operationalization.

## TOP ISSUES AND MITIGATION

- Ongoing response to the COVID-19 pandemic; no significant impact to ICANN's operations have resulted to date as the org continues to be agile in its responses.

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# Engineering and Information Technology

Ashwin Rangan, SVP, Engineering & Chief Information Officer (CIO)

## KEY HIGHLIGHTS AND MILESTONES

E&IT continues to make strides in several key areas. Process improvements continue with the adoption of the Project Management Framework by 60% of the projects currently in-flight, as well as continued efforts to fully document all internal processes through the application of CMM. In addition, information security remains front and center with InfoSec continuing their table top training with great effect, exercising the Computer Security Incident Response Team (CSIRT) Process. Lastly, we continue the forward progress of the travel modernization efforts, as well as single-sign on, both important to the community.

## OVERVIEW OF ACTIVITY

Follows the Pillar-Plank rubric for reporting.

### The Pillars

#### Front Office Relationship and Delivery (FORD) Team

**The Information Transparency Initiative (ITI):** The ITI team deployed the new Public Comment feature as well as the ability to subscribe to Public Comment proceedings on 31 August 2021.

**ccNSO and GNSO Websites:** The platform upgrade for both ccNSO and GNSO websites from existing Drupal 8 (which was End of Life) to Drupal 9 has been deployed and is complete.

**Single Sign-On:** Continued progress has been made to move community-facing services to ICANN Account, our single sign-on (SSO) and secure authentication solution. Multi Factor Authentication (MFA) capability was completed and a plan for promoting adoption within the communities is proposed.

**Travel Support Modernization:** A cross-functional team has looked at improving efficiencies and the onboarding experience for Funded Travelers. The Executive team has reviewed the proposal and the research of vendor solutions is underway.

**Naming Services portal (NSp):** After launching the last compliance module to NSp on 30 July 2021, compliance tickets are no longer being created in Kayako.

**SLAM FY20 Enhancements Phase-2: Zabbix 5 upgrade + DNS Reboot:** SLA Monitoring (SLAM) System has been upgraded from Core Zabbix v3.0 to Zabbix v5.0. This included updating the algorithm to monitor DNS TCP more frequently, as well as the ability to monitor a specific number of TLDs NameServers per TLD.

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## Staff Operations Pillar

**Return to Normal Operations (RTNO):** The Implementation of the seat management system was initiated, and we expect to make the application available to all staff early next year.

**Concur Travel and Expense:** A security incident reported to ICANN on July 16, 2019 (<https://www.icann.org/cybersecurityincidentlog>) revealed a possible GDPR issue with our Concur Travel and Expense application. The Board, Constituent Travelers and Staff shared the same instance of Concur. Following a detailed review of the Concur platform, ICANN legal and Information Security teams recommended moving the Board and Constituent Travelers into a separate instance of Concur. This new instance will go live in December 2021.

## The Planks

### Software Engineering

**Testim Tool Implementation:** Software Engineering has integrated Testim coverage to an additional 7 applications, bringing the new total of applications and services using Testim to 15. Testim has proven to be a valuable tool for ICANN by providing significant time savings with an increase in overall quality for application testing.

**Process Improvements:** Software Engineering has integrated the Project Management Framework into new projects within the function, starting with Application Monitoring. This allows Software Engineering to use a unified approach across the entire application portfolio and provide better, more efficient, data for project tracking and future estimation.

### Data Center and Cloud Ops (DCCO), Meetings Tech Services (MTS) and End User Support (EUS)

**DCCO – Email Address Internationalization Readiness:** We have completed 2 of the 3 main milestones for EAI readiness with our core email systems. The remaining milestone is for Proofpoint Email Protection to complete their updates to support EAI and they are on track for an updated release by FY22 SR2.

**MTS – Hybrid Meetings:** We are documenting the measures MTS must take to contribute to equitable participation in a return to hybrid meetings. MTS is planning an exercise to update, test, and repack the ICANN Meetings Shipment to ensure all network and participation equipment is prepared in advance for a return to hybrid meetings.

**EUS – Technical Support Requests:** For the period of 1 January 2020 to 1 November 2021, End User Support fielded 5,623 general support requests. The same period in 2020, 1 January to 1 November, EUS worked 6,788 general support requests, a 17% reduction. The trend of decreasing support is in line with long term EUS goals, and is the result of improved automation, standardization and cross functional documentation. EUS has projects underway to continue to

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improve ICANN Org’s device and software experiences, and we expect a further reduction as we move forward.

## Security and Network Engineering

**Information Security – Overall Information Security posture:** The InfoSec team developed Incident Response Tabletop Exercises (TTX) has continued. These targeted exercises have brought the ICANN Computer Security Incident Response Team (CSIRT) Process in front of staff who are less familiar with it, and these drills have provided them insights on how to identify and respond to information security findings, events and incidents. The IANA Audit TTX took place, proctored by an external team who developed the exercise, with a closing report delivered for the audit control. The same external team will proctor the ICANN Executives and Leadership TTX in early Dec of 2021. The InfoSec team delivered a “User Endpoint Protections” Decision Paper to E&IT Leadership, which covers where we are and recommendations to enhance and cover gaps. Lastly, the InfoSec team has started evaluating our Security Information and Event Management (SIEM) platform and planning enhancements to it.

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# Identifier Research, Operations, and Security (IROS)

John Crain, Chief Security, Stability & Resiliency Officer

## Office of the Chief Technology Officer (OCTO)

### KEY HIGHLIGHTS AND MILESTONES

- Domain Abuse Activity Reporting (DAAR)
- Artificial Intelligence (AI) research platform
- Domain Name Security Threat Information Collection and Reporting (DNSTICR)
- Name Collision Analysis Project Study 2 continues
- RSSAC028 study vendor selection RFP opens
- Identifier Technologies Health Indicators (ITHI) update
- New OCTO document published
- OCTO hands-on lab platform continues to grow
- KINDNS has a new SME
- ICANN signed a new MoU with NANOG
- New engagement roadmaps completed for national CERTs and for mobile operators
- Conducted 62 technical engagement and capacity building events
- Trust and Public Safety Engagement activities

### OVERVIEW OF ACTIVITIES

#### Domain Abuse Activity Reporting (DAAR)

ICANN org managed to provide the necessary input for extending the level of reporting data in the Domain Abuse Activity Reporting (DAAR) project to the registrar level. Following discussions with the leadership of the contracted parties, ICANN org have reached an agreement in principle to change to the Base Generic Top-Level Domain (gTLD) Registry Agreement. The required change would enable ICANN org to use an existing data set provided by registries for research purposes such as DAAR. There are currently ongoing discussions about the specifics of the change with the Contracted Parties House.

#### Artificial Intelligence Research Platform

OCTO staff continues to investigate accelerated-hardware solutions to conduct research that requires the usage of deep learning algorithms. Cloud-based instances with low latency network fabric that include graphical processing units (GPUs) are being benchmarked as well as different AI frameworks such as Torch, Keras and Theano among others. This platform will be used to train the deep learning models used for the project on predicting domain names threats.

#### Domain Name Security Threat Information Collection and Reporting (DNSTICR)

OCTO staff continue to monitor for new registrations related to the COVID-19 pandemic and report those to the sponsoring registrar where sufficient evidence of phishing or malware distribution is found. An evaluation was performed of whether DNSTICR could be used to look

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for abusive registrations based on governmental organisations' acronyms. It seems that the utility would be limited, and could not fulfil the scope required for the level of detection and alerting required.

### Name Collision Analysis Project (NCAP) Study 2 continues

The NCAP Discussion Group (NCAP DG) continues its work on NCAP Study 2. This group consists of SSAC members and other parties interested in the issue of name collisions. Unlike NCAP Study 1, which was performed by a contractor, the NCAP DG itself is completing the work for Study 2 with assistance from a contracted technical writer and technical investigator. ICANN org is providing secretariat and project management services. Study 2 is expected to be completed in mid 2022.

### RSSAC028 Study Vendor Selection RFP Opens

OCTO published a request for proposals (RFP) to implement the main study called for in [RSSAC028](#), "Technical Analysis of the Naming Scheme Used For Individual Root Servers". This study was also requested by RZERC. It is expected that a contractor will be found early in 2022, and the study should be complete by the end of 2022.

### Identifier Technologies Health Indicators (ITHI) Update

OCTO is in the process of onboarding the Fiji TLD .fj into the ITHI measurement pool. A large North American ISP has also agreed to join the effort.

### New OCTO Document Published

The OCTO team published one new document in the OCTO document series: [OCTO-027](#), "Hyperlocal Root Zone Technical Analysis".

### OCTO Hands-on Lab Platform Continues To Grow

More than 150 community members enjoyed hands-on workshops led by OCTO staff to train them on DNSSEC, RPKI, and RDAP. These hands-on workshops use our lab platform to login to virtual machines where OCTO staff have set up a training environment for them to issue commands and get a feel for how real-world DNS, RPKI, and RDAP work.

### KINDNS Has A New SME

In September, the Knowledge-Sharing and Instantiating Norms for DNS and Naming Security (KINDNS) initiative was pleased to hire Philip Regnauld as the new SME to drive our efforts to create baseline best practices for KINDNS participants. Philip is recognized across the world as an expert DNS engineer. He took over from the previous SME and started working on documenting the identified best practices.

### ICANN Signed A New MoU With NANOG

At the end of September, OCTO led discussions with NANOG to strengthen our cooperation in technical capacity building in North America. The discussion led to a Memorandum of Understanding (MoU). This MoU memorializes efforts to jointly conduct capacity building and technical engagement. Early focus is on historically black colleges and universities in the U.S., and in underserved communities in Canada, the U.S., and the Caribbean. This is the first MoU of that kind signed by ICANN to cover the North America region.

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## New Engagement Roadmaps Completed For National CERTs And For Mobile Operators

Finalized new engagement roadmaps with two important communities: National Community Emergency Response Teams (CERTs) and with mobile operators. These roadmaps represent the first time we have formalized, and have begun executing on, a strategy to materially strengthen our relationships within these communities.

## Conducted 62 Technical Engagement And Capacity Building Events

The OCTO TE team conducted 62 events to build technical capacity and engage with communities. Twelve events were held in the LAC region, 15 were in the APAC region, 5 were in Europe, one was in North America, and 28 were in Africa and the Middle East regions.

## Trust and Public Safety Engagement Activities

During this last semester, the trust and public safety engagement role, now integrated to OCTO's Technical Engagement team, delivered training on DNS security threats to GAC representatives from Africa, provided significant assistance to the United Nations Office on Drugs and Crime in a regional event in Latin America, delivered a training to Interpol's ASEAN Cybercrime Operations Desk (10 countries) and a separate one to the Korean National Police Agency. In addition to these activities, work under this role continued providing guidance to the Global Cyber Alliance's Strategic Advisory Committee, and strengthening work with Europol towards increased law enforcement engagement with the Registrar Stakeholder Group.

An important event to highlight during the period under review is the training on DNS security, threats and investigations we organized and led for Interpol's Global Cyber Crime Directorate and Afripol. The workshop conveyed active participation of cybercrime units from 16 african countries. Presentations were from ICANN org experts, the US Federal Trade Commission, the UK National Crime Agency, the national CERTs from Mauritius and Benin, the Zambian police, Interpol, the Canadian Radio-television and Telecommunications Commission, and the Global Forum on Cyber Expertise. Apart from the obvious DNS-related topics, focus was given to the building of trust and the need for international collaboration for addressing threats.

## TOP ISSUES AND MITIGATION

None.

## Internet Assigned Numbers Authority (IANA)

Kim Davies, VP, IANA Functions

### Service Performance

- The IANA services met or exceeded all of the service level agreements for the period.
- Core IANA request-processing activities have been sustained at normal levels during COVID-19-related restrictions.
- Key signing ceremonies have resumed a normal quarterly cadence and with limited in-person community participation.

### wPerformance in Brief

This represents a summary view of comprehensive reporting available on the IANA website at <http://iana.org/performance>

|                                     | Aug   | Sep   | Oct   | Overall |
|-------------------------------------|-------|-------|-------|---------|
| <b>DNS Root Zone</b>                |       |       |       |         |
| SLAs Met                            | 100%  | 100%  | 100%  | 100%    |
| Metrics Met                         | 64/64 | 64/64 | 64/64 | —       |
| CSC assessed satisfactory or higher |       |       |       | 3/3     |
| Request Volume                      | 117   | 168   | 577   | 862     |
| TLDs in Root Zone                   | 1498  | 1497  | 1496  | —       |
| <b>DNS Root KSK**</b>               |       |       |       |         |
| Metrics Met                         | —     | —     | 5/5   | —       |
| Scheduled Items Met                 | —     | —     | 6/7   | —       |
| <b>.INT Top-Level Domain</b>        |       |       |       |         |
| New .INT registered                 | 0     | 0     | 0     | 0       |
| .INT modifications                  | 1     | 4     | 2     | 7       |
| Request Volume                      | 9     | 11    | 19    | 39      |
| <b>Protocol Parameters</b>          |       |       |       |         |
| SLAs Met                            | 100%  | 100%  | 100%  | 100%    |
| Met MOU requirement (90%)           |       |       |       | 3/3     |
| Met internal target (95%)           |       |       |       | 3/3     |
| Request Volume                      | 188   | 210   | 205   | 603     |

## Number Resources

|                     |      |      |      |      |
|---------------------|------|------|------|------|
| SLAs Met            | 100% | 100% | 100% | 100% |
| Metrics Met         | 4/4  | 4/4  | 4/4  | —    |
| Met SLA requirement |      |      |      | 3/3  |
| Request Volume      | 0    | 0    | 1    | 1    |

## Label Generation Rulesets

|                 |    |   |   |    |
|-----------------|----|---|---|----|
| New LGRs posted | 16 | 0 | 0 | 16 |
| LGRs modified   | 10 | 0 | 0 | 10 |
| Request Volume  | 5  | 0 | 0 | 5  |

## General Enquiries

|                |     |    |    |     |
|----------------|-----|----|----|-----|
| Request Volume | 105 | 63 | 74 | 242 |
|----------------|-----|----|----|-----|

\*\* Only applicable to months where ceremonies are held. Due to COVID-19 restrictions, the February 2021 key ceremony generated signatures for three calendar quarters. No further signatures will be generated until Q4 2021.

## Customer Satisfaction

- IANA continues to measure customer satisfaction after requests are completed. For this reporting period, overall customer satisfaction rated 98.7% while the participation rate was 42.7%.

### Satisfaction in Brief

|               | Aug   | Sep   | Oct   |
|---------------|-------|-------|-------|
| Response Rate | 51.6% | 38.6% | 37.9% |
| Satisfaction  | 100%  | 100%  | 96%   |

## Other Updates and Initiatives

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- The IANA website was updated to integrate some of the aforementioned statistics and other key indicators into a simple at-a-glance view, which will be updated monthly. This view can be found at <https://www.iana.org/performance>
  - A new security incident reporting log has been established. Should a security incident occur, relevant details will be posted on this log. This log is located at <https://www.iana.org/performance/security>

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# Global Stakeholder Engagement (GSE), Meetings, and Public Responsibility Support (PRS)

Sally Costerton, Sr. Advisor to President & SVP, Global Stakeholder Engagement

## KEY HIGHLIGHTS AND MILESTONES

This report covers Global Stakeholder Engagement (GSE), Meetings and the Public Responsibility Support Department activities from 2 August to 12 November 2021. While in-person meetings are slowly beginning to return in certain locations, GSE continues to deliver and participate in a wide variety of virtual regional events. There is strong demand for ICANN org training and webinars on technical and security topics, such as the DNS security threat mitigation program, DNSSEC, the root server system, and Universal Acceptance. GSE also supported OCTO on the execution of a Memorandum of Understanding with NANOG (the North America Network Operators Group).

PRS continues to respond to the demand for remote training for the community with new remote training with new ICANN Learn content, including A Brief History of ICANN, a component of the history project exploring significant milestones of ICANN's early days, and An Introduction to Universal Acceptance (UA), which complements the communications campaign to broaden global knowledge of the importance of UA.

A fleet of skill-building courses to support the work of the community will be launched throughout November 2021, including: Influencing Skills, Effective Writing Skills, and Navigating Challenging Conversations. Forthcoming course launches will emphasize translated content.

Due to the COVID-19 pandemic, all face-to-face meetings have been canceled through 2021. ICANN Meetings and Events staff have been focusing their energy on: improvements to the virtual meeting experience and implementation of new features to facilitate networking opportunities for participants; continued consultation with the community leaders on hybrid meeting planning; and involvement in A-CMT discussions and planning on the return to normal operations, specifically for ICANN in-person meetings and events, including a regional meeting strategy for meetings and travel for early 2022. Virtual ICANN72 By the Numbers data report can be found here: <https://meetings.icann.org/en/remote72/icann72-technical-report-10nov21-en>, and other [previous meeting reports](#).

## OVERVIEW OF ACTIVITY

The Global Stakeholder Engagement team is beginning to see an increase of in-person events with hybrid options in some locations, particularly in Europe, Russia and the United States. GSE continues to participate virtually. GSE supported a variety of online engagement events and

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training between August and November 2021. These included ICANN-supported regional events: pre-ICANN 72 events and regional ICANN Readouts for the APAC Space, China, India, Middle East; eco (for the German Internet community); Japan; a virtual session for the ICANN CEO with the Swedish Internet community facilitated by ISOC Sweden; and facilitated virtual webinars for the Nordic Internet community with OCTO.

GSE also participated in the Caribbean IGF 17; Bangladesh IGF; Korea IGF 2021; the first Somalia IGF; Pacific IGF 2021 and APTLD 80; APNIC 52; NANOG 82; West Africa School on Internet Governance and the West Africa IGF; South East Asia IGF 2021; Benin IGF; Central Asia IGF; Kenya School on Internet Governance and Kenya IGF; Togo School on Internet Governance and IGF; AFRISIG 2021; university trainings in Jamaica and Trinidad & Tobago; Somalia NOG 2021; the Beijing Cyber Security Conference 2021; Wuzhen Summit 2021; Broadband India Forum; Virtual School on Internet Governance; ISOC Indigenous Connectivity Summit; and the Caribbean Telecommunications Union ICT Week 2021, among other regional events. ICANN supported FFGI 2021 (Africa School on Internet Governance in French), which had 113 participants from 13 African nations.

During the ICANN72 Prep Week, PRS and the GSE North America team hosted the “What to Expect at ICANN72” newcomer session. PRS also hosted a Prep Week session on the “Public Interest Framework: An Update,” aimed to share with the community background and context about the public interest at ICANN, as well as an update on the ongoing global public interest framework pilot.

At ICANN72, ICANN accommodated 38 fellows and 6 NextGen@ICANN participants from 27 countries. They received guidance from community-appointed mentors, attended a session with the ICANN Board members and CEO, and participated in a tailored training on consensus building by the Policy team. Fellows also engaged with regional GSE representatives in a “Meet & Greet” session. NextGen participants presented on various topics such as DNS abuse, gateway protocols, and Privacy & Proxy Services Accreditation. GSE also hosted its first North America Space during ICANN 72, along with the LAC Space and Middle East Space sessions.

For ICANN73, ICANN org has selected 39 fellows and is expected to select 12 NextGen@ICANN participants by 26 November 2021. PRS continues to support cross-functional Workstream 2 implementation efforts in the areas of diversity and human rights. Due to the virtual nature of ICANN72, the ICANN Community Childcare Grants Pilot Program was canceled; the grant will be available to the community at the next in-person meeting.

## Global Meetings Operations

During this time, the Meetings department continues to support internal initiatives including: investigating whether it is feasible to start hosting smaller in-person or hybrid meetings prior to ICANN 74; planning for ICANN 74 as a potential hybrid meeting with in-person and virtual attendees; and consulting with the community and org to better define what a “hybrid” meeting

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will look like for ICANN and community meetings. With the completion of ICANN 72 in October 2021, planning continues on the community-driven virtual meeting for ICANN73, and for upcoming ICANN 74 and ICANN 75.

## TOP ISSUES AND MITIGATION

The APAC team supported the Asia Pacific Regional IGF, which was conducted in a hybrid format in Kathmandu, Nepal and two physical hubs in India. The event had 942 registrations from 72 countries. Of those, 609 attended (559 online and 50 in-person from 51 countries). The team also hosted the ICANN TW Workshop 2021, focusing on youth capacity building efforts and DNS security topics.

Universal Acceptance is an area of emphasis for GSE, and during this period, the team delivered a webinar on UA for CITC in Saudi Arabia; PANDI Meeting 12 to promote UA in Indonesia; a webinar on UA for the Tunisian Internet community; a training program on UA for the Pakistan Internet community; The team also delivered a webinar on DAAR for African ccTLDs; delivered an RDAP webinar for .KW; a DNS operations workshop for Saudi Arabia; virtual ICANN training days for the Uzbek Internet community; and participated in a pre-ICANN 72 session for the GAC on DNS abuse to explain ICANN's DNS security threat mitigation program to new GAC members.

At the direction of the CEO, GSE has initiated a review of its charter and priorities, to ensure engagement efforts are aligned with the 2022 CEO goals. Briefings on the revised GSE charter and priorities are planned for December 2021 with the ICANN Executive team and for the ICANN Board at a future date.

PRS continues to support two ICANN Board Operational Priorities for calendar year 2021: Developing a Public Interest Framework and the Working Group on Anti-Harassment.

Global Meetings Operations continues work on the Bandwidth Reimbursement program for ICANN 73; the Return to Normal Operations roadmap including new in-person health and safety measures and protocols (w/SecOps, A-CMT); Travel Modernization Project; Meeting attendance data analysis and trends from 2021; supporting initiatives related to participation data analysis of COVID-19 impacts; virtual meeting enhancements; and several other related papers and initiatives.

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# Global Communications and Language Services

Sally Newell Cohen, SVP, Global Communications

## Key Highlights

Global Communications and Language Services is made up of two departments: Language Services and Communications. The Communications team is reorganizing to evolve the services and support it provides to the Board, community and org. We are hiring new positions and creating new, smaller teams focused on specific and related topic areas or services. The aim of these changes is to allow our Comms Liaisons to focus on communications strategy and planning to generate greater external awareness of ICANN, and to increase the capacity and expertise of our team:

- Team 1: Global Domains and Strategy
- Team 2: Technical Engagement, Research and Security and Americas
- Team 3 Government and Legislation, and Europe, Middle East and Africa (EMEA)
- Team 4: Stakeholder Journey, and Asia Pacific (APAC)
- Team 5: Digital and Creative Services Team
- Team 6: Internal Communications
- Team 7: Media Relations

## Overview of Activities

### Information Transparency Initiative (ITI) Update

#### Public Comment

In August 2021, the ITI team reached another important milestone with the release of an improved [Public Comment feature](#). Several improvements were made including:

- Submissions available in search results
- Number of submissions published to individual proceedings available in real time
- Filtered search by category or date range
- Improved keyword(s) search for proceedings, submissions, and files
- Email subscription alerts for individual proceedings and their submissions
- New guided form submission feature
- Submission management feature allowing individual users or ICANN groups to track their submissions
- New consolidated Other Public Consultations page to provide the community with a central location for other ICANN community surveys or public consultations that fall outside the Public Comment process
- Improved layout and user experience

To accompany this release, the team held multiple [community training webinars](#), published a [Public Comment Step-by-Step Submission Guidelines](#), created [new explanatory content and an](#)

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[infographic](#), and published [several blogs](#) and social media posts to promote this improved feature.

## Language Services

During the last FY21 quarter (August 2<sup>nd</sup> to November 12<sup>th</sup>) the ICANN Language Services department supported the Org by delivering the following:

|               |              |                 |
|---------------|--------------|-----------------|
| Translations  | 248 Projects | 2,026,499 Words |
| General       | 99 Projects  | 760,423 Words   |
| GAC           | 31 Projects  | 415,872 Words   |
| Board         | 26 Projects  | 668,719 Words   |
| Newsletters   | 11 Projects  | 14,216 Words    |
| Announcements | 49 Projects  | 78,280 Words    |
| Blogs         | 32 Projects  | 88,989 Words    |

### Teleconference Interpretation

|  |                 |
|--|-----------------|
| Number of Calls – into, at least, 3 langs each call. | 61 Calls        |
| Interpreters Supporting Service                      | 26 Interpreters |
| Representing Transcriptions                          | 8,153 Minutes   |

### Transcriptions

|               |           |                |
|---------------|-----------|----------------|
| GNSO          | 143 Calls | 9,624 Minutes  |
| ICANN General | 128 Calls | 14,343 Minutes |

During the last quarter, we also provided RSI support in all UN Languages for several IGF sessions:

- The Internet governance ecosystem (23 Sept.)
- Privacy rights and legitimate uses of personal data (7 Oct.)
- Balancing freedom of speech and the fight against harmful content-The role of Internet platforms (21 Oct.)
- AI governance-Automated decision-making and human-centric approaches (4 Nov.)
- Meet the Internet Governance Forum (18 Nov.)

From 12-28 October, ICANN Language Services supported the ICANN72 Prep Week and ICANN72 Virtual Annual General Meeting. During ICANN72 support was provided as follows:

- 47 Sessions – Received Remote Simultaneous Interpretation (RSI) support
- 6 Languages – Were supported throughout the meeting (AR, ES, FR, PT, RU, ZH)
- 44 Interpreters – Were engaged and working throughout the meetings
- 13 Tech Experts – Supported the interpreter’s team from Congress Rental
- 30 Sessions – Received RTT (Real Time Transcription) support
- 6 Captioners – Provided Real Time Transcription
- 25K Minutes – Approximate number of minutes that will be transcribed

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The RSI experience continues to be well received by the multiple users. This new development, carried out by Congress Rental and Language Services with the participation of the Meetings Technical Services team, provided a more unified experience for users. They could participate by connecting to Zoom and selecting the language of choice to hear and speak, all in one place, allowing for a more seamless and inviting interaction in their native language.

Additionally, and as a project completely separate from the daily tasks, the ICANN LS Team has started two team projects:

#### Project 1

##### **LS Contingency Plan**

The purpose of this plan is to develop a clear, step-by-step plan to ensure continuity of service in the event of a variety of scenarios. The plan contemplates 10 scenarios, ranging from simple (such as a team member being out of office for an extended planned or unplanned event) to complex (software or systems breakdown).

This project was successfully completed in July.

#### Project 2

##### **Language Services BRAIN**

The LS Brain is a major project: a single repository where all LS team processes and procedures will reside along with the LS Contingency Plan. The LS team will continue working on this project in its next LS team Virtual Working Week, scheduled to take place in early 2022, and will share it with the Org once ready.

## Regional And Functional Highlights For The Period

### **Asia Pacific Office (APAC)**

- Drafted talking points for Göran Marby's participation in the Pacific Internet Governance Forum 2021 (6-9 September).
- Drafted talking points for a video recording of John Crain to participate in Wuzhen Summit 2021 (26-28 September).
- Developed a communications plan for APAC DNS Forum (30 March – 1 April 2022) and the pre-event webinars taking place from September 2021 to February 2022. Leveraged announcement, social media, and a new monthly newsletter to communicate news of the Forum and webinars to interested audiences.
- Supported Samiran Gupta's podcast interview with Internet Moguls of the World where he shared about ICANN's technical developments on IDNs and UA.
- Edited Zhang Jian-Chuan's blog on China's Personal Information Protection Law and facilitated translation and posting on 21 Oct.

### **Europe and the Middle East (EMEA)**

- **ICANN Europe Training Series – Nordic Region** – Promotion for the October and November sessions.

- **Connecting Tomorrow – Luxembourg** – Talking points for Göran Marby’s opening session remarks. Video can be seen [here](#).
- **Columbia University Lecture and UCLA Panels** - Talking Points on governance, the multistakeholder model, and technical Internet governance in support of Göran Marby’s participation.
- **Europe Journalist Roadshow** – coordination of informal introductions to Chris Mondini for key journalists, opening the door for further media collaboration. The intention of this effort was not to generate articles, rather to create a network of contacts and encourage journalists to keep ICANN on their contact books when they are working on a relevant story, and develop human capital and trust with ICANN to minimise the risk of misguided negative coverage of anything related to ICANN.
- **Europe Media Outreach Planning for Göran Marby interviews:** Generating a drumbeat of media content to orient discussions among governments at the Internet Governance Forum 2021 on 6 -10 December in Katowice, Poland, profiling Göran Marby as a thought leader on the evolution of the Internet and raising awareness of ICANN projects (UA/IDN) and public affairs (unintended consequences).
- **Coalition for Digital Africa:** Finalized initial communications plan, and completed Phase 1 deliverables of key high-level messaging, and an FAQ.
- **ME – Website Development Scope of Work Document-** Worked with the Middle East team on scope of work document development, for a website developer and designer to evolve and maintain both the Middle East DNS Forum website and the Middle East and Adjoining Countries School of Internet Governance
- Media coverage:
  - **Finnish ICT Magazine – Sytyke: 11/9/2021**  
[No new services without internet](#)
  - **Article Placement: Abu-Ghazaleh Intellectual Property (AGIP) Bulletin,** September 10th, 2021 (pdf)  
*“Working Towards a Multilingual and Digitally Inclusive Internet: FY21 Progress and Looking Ahead - By Ajay Data, UASG Chair”*

### **Global Domains and Strategy (GDS)**

- Issued a request for proposal (RFP) to identify a public relations service provider to partner to build awareness of the importance of enabling Internet users to access the Internet in languages and scripts other than English or American Standard Code for Information Interchange (ASCII) character sets.
- This effort is the beginning of what will be a multiyear approach in support of the next round of generic top-level domain (gTLD) applications, pending approval by the ICANN Board.

### **ICANN72 Support**

- Promoted through announcements, blogs and social media.
- Published daily newsletters with updates and features.

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- Developed and implemented communications plan for Community Excellence Award, Tarek Kamel Award, Community Recognition Program, and ICANN meetings to create awareness and engagement.
  - Produced profiles of NextGen and Fellows for ICANN72 newsletters to recognize participants and generate interest among future participants.

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# Policy Development Support

David Olive, SVP, Policy Development Support & Managing Director – Washington, D.C.

## HIGHLIGHTS AND MILESTONES

### Policy Development

- **ASO Global Policy Development** | The ASO Address Council held a workshop in October 2021 to review the global policy development process and how regional policy development informs its work.
- **ccPDP3 Part 1** | The ccNSO membership supported the proposed policy for the retirement of country code top-level domain (ccTLD) strings. The ccNSO Council unanimously adopted the “Board Report” which contains the voting results and the Final Report.
- **ccPDP4** | Work continues on the (de)selection of Internationalized Domain Name (IDN) ccTLD strings. The working group has completed its first pass of the basic policy document. The sub-group on variant management is making progress, and the second sub-group defining the deselection event for IDN ccTLDs started its work in September 2021.
- **GNSO EPDP on the Temporary Specification for Generic Top-Level Domain (gTLD) Registration Data Phase 2A** | The EPDP team delivered its Final Report to the GNSO Council on 3 September 2021, which the GNSO Council approved on 27 October 2021.
- **GNSO EPDP on Specific Curative Rights Protections for Intergovernmental Organizations** | The EPDP Team published its Initial Report for Public Comment on 14 September 2021; the EPDP Team has begun to review all submissions.
- **Other Ongoing GNSO Work** | The PDP on the Transfer Policy Review - Phase 1 is making significant progress and is tracking well against its project plan. The EPDP on Internationalized Domain Names and the Registration Data Accuracy Scoping Team are both in early stages of work.

### Advisory Work

- The ALAC submitted **ALAC Advice to the ICANN Board on EPDP Phase 2** (12 August 2021) and a **Minority Statement on the EPDP-TempSpec Phase 2A Final Report** (10 September 2021). The ALAC also submitted statements on Public Comment proceedings on the Initial Report of the EPDP on Specific Curative Rights Protections for IGOs and the Draft PTI and IANA FY23 Operating Plan and Budgets.
- During ICANN72, the **2022 GAC vice chair election concluded**. The terms for the five vice chairs will start after ICANN73 and extend through ICANN76.
- The RSSAC has started to update its RSSAC047 advisory on **metrics for the root server system**. An RSSAC Caucus work party will correct technical errors based on implementation experience and add a periodic review of the metrics in the second version of the publication.

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- The SSAC has chartered a **Routing Security Work Party** to investigate issues of Internet routing security. The scope of the work party is to examine the security and stability implications of routing security issues on the Internet's routing system and DNS.

## ICANN72

- The **second virtual Annual General Meeting** featured 91 sessions, a Public Forum, an ICANN org Executive team Question and Answer Session, the announcement of the 2021 recipient of the Tarek Kamel Award for Capacity Building, and the recognition of 49 ICANN community leaders.
- The “**Designing Hybrid ICANN Public Meetings to Equalize In-Person and Remote Participation**” plenary session featured a panel of speakers who shared their experiences and perspectives. Former ICANN Board Vice Chair Chris Disspain then moderated an open discussion that generated suggestions for further ICANN discussion.
- Between 12-14 October 2021, ICANN org hosted 12 webinars as part of **ICANN72 Prep Week**. Topics ranged from an introduction for newcomers to project updates from several ICANN org functions. The Policy Update had 272 participants, while the eleven other webinars had between 63 and 217 participants.
- During the week before ICANN72, the **At-Large community held six open sessions** on priority issues such as closed generics; DNS abuse; and ICANN accountability, transparency, and ICANN reviews.
- The Policy Development Support team published the **ICANN72 Policy Outlook Report** (659 downloads) and the **GNSO Policy Briefing: ICANN72 Edition** (474 downloads).

## Top Issues and Mitigation

### Policy Consideration

- **ccPDP3** | With the completion of the first part of the third ccNSO policy development process on the retirement of ccTLDs, the ICANN Board will now conduct a Public Comment proceeding on the policy recommendations.
- **Amendments to the ICANN Bylaws** | At the request of the ccNSO, the ICANN Board will now conduct a Public Comment proceeding on the requested amendment of Article 10 and Annex B of the ICANN Bylaws.
- **GNSO EPDP-TempSpec Phase 2A** | While the GNSO Council approved the EPDP Team Final Report by the required supermajority, there remains dissatisfaction from some that the recommendations do not go far enough. However, there is also an appreciation that the recommendations still represent progress, even if perhaps not their ideal outcome.
- **ICANN Board Consideration of GNSO Policy Recommendations and Policy Implementation** | Several community groups, including during ICANN72, have raised concerns about the lack of information provided to the community about ICANN Board consideration of policy recommendations following GNSO Council decisions. The community also noted concerns about both the pace of ICANN Board consideration and

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policy implementation and the need for updates when timelines are longer than anticipated.

## Advice Tracking

- The **ALAC is currently developing its responses to the clarifying questions from the ICANN Board** about its advice on the EPDP-TempSpec Phase 2 and New gTLD Subsequent Procedures.
- **ICANN72 GAC Communiqué** | The ICANN72 GAC Communiqué included GAC consensus advice to the ICANN Board regarding the Final Report of the Second Security, Stability, and Resiliency Review (SSR2) and the related ICANN Board Scorecard. The GAC also reflected on previous advice to the ICANN Board, including domain name registration directory services and data protection and the EPDP-TempSpec Phase 1 policy implementation. The communiqué also provided GAC views on a number of issues of importance including new gTLD subsequent procedures, DNS abuse, and registration data accuracy.
- **Root Server System Governance Success Criteria** | The RSSAC recently approved two publications: RSSAC058 contains success criteria for any proposed root server system governance structure (RSS GS). The success criteria form a framework to assess the degree to which any proposed RSS GS conforms with previous RSSAC statements concerning RSS governance. The success criteria also serve as a framework to compare and contrast different proposals for an RSS GS. RSSAC059 contains recommendations on how these success criteria should be integrated with the recommendations from RSSAC038. Both RSSAC058 and RSSAC059 should be read in combination with previous RSSAC advice on evolving root server system governance.
- **SSAC Comments on New gTLD Subsequent Procedures** | The SSAC has been considering the feedback it received on SAC114. It has asked that the ICANN Board pause its consideration of the advice to provide the SSAC with more time to respond to and address the concerns.

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# Government and IGO Engagement

Mandy Carver, SVP, Government and IGO Engagement

## KEY HIGHLIGHTS AND MILESTONES

### Engagement at the UN in New York City and Geneva

- The GE team followed the developments at the different discussions at the UN General Assembly First, Second and Third Committees, which have the potential to touch on ICANN's mission. A text of a Russia-China proposal for the UN Cybercrime Convention was published. Russia and the US issued a draft resolution on cybersecurity.

### Engagement at the ITU in Geneva

- During the September closed (for governments only) meeting of the ITU Council Working Group on International Internet-related Public Policy Issues (CWG-Internet) two documents were presented by Russia which directly addressed the management of the DNS.

### Engagement with European Institutions

- 23 September, 9 November, Centre for European Policy Studies (CEPS) meetings on the revised Directive on Security of Network and Information Systems (NIS2) in which EU public officials attended
- 12 October, stakeholder dialogue on the EU toolbox against counterfeiting: workshop on domain names (with EU Commission)
- 10 November, High level meeting on Internet governance (with the European Commission)

### Engagement with other IGOs

- 9 November, Organisation for Economic Co-operation and Development (OECD) Security in the Digital Economy (SDE) meeting

## OVERVIEW OF ACTIVITY

### Governmental Advisory Committee (GAC) Engagement

- The GE team organized monthly calls with the GAC Leadership to provide updates on IGOs' activities. In addition to geopolitical updates, several GAC related issues such as the African Union's acronym release request from the protected list of IGO identifiers and a potential upcoming High Level Governmental Meeting have been discussed with the GAC Leadership during these calls.
- The GE team reviewed the ICANN GAC meeting briefings prepared by GAC support and took part in the pre-ICANN72 oral briefing call with the GAC.
- The GE team provided support to the CEO on several GAC related issues including DNS abuse mitigation and EPDP Phase 2.

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## Government and IGO Engagement

The GE team continued its work following and analyzing geopolitical issues that have the potential to impact ICANN's mission and technical remit.

At the UN, the GE team followed the deliberations around the proposed text (by Russia and China) on a new UN Cybercrime Convention, which has the potential to touch on ICANN's mission. The first substantive session of the ad-hoc committee (AHC) to discuss the convention will take place the second half of January 2022. The AHC plans to finish its work in 2024.

At the ITU, the CWG-Internet discussed in length the Russian Federation [proposal](#) for a new topic for public consultation, which directly aimed at ICANN's mission. Several countries objected to this topic being included and it was not accepted. Both this proposal and the [accompanying](#) "Risk analysis of the existing Internet governance and operational model" are a clear sign of escalation of the attempts to introduce ICANN-related issues for discussion at the ITU. ICANN submitted a [contribution](#) and presented it during the CWG-Internet consultations on the role of the Internet in mitigating the impact of Covid-19. The GE team followed the work of the Informal Expert Group which is drafting the ITU Secretary-General report to the World Telecommunications Policy Forum (WTPF), and also took part at a CEPT session.

With regards to engagement in the European Union, the GE team is in an open dialogue with the European institutions as the drafting of the EU directive on Security of Network and Information Systems (NIS2) and the Digital Services Act (DSA) proceeds. The GE team regularly met with representatives of EU institutions to discuss aspects of the proposed legislation. The GE team in Europe also regularly attended public events and meetings to speak about the DNS, the role of ICANN, and aspects of the EU proposals. The European-based members of the GE team and Global Stakeholder Engagement (GSE) team have also started an outreach strategy to the GAC members in the European Union and to other government representatives, to outline the work of the GE team in Europe and at the UN and to discuss the EU legislation of importance for ICANN. In parallel, GE continued to have regular exchanges with stakeholders, inside and outside the ICANN community, on legislative developments in Europe. GE also worked with colleagues in GSE and OCTO on legislative and political developments in other regions.

ICANN reported its government related activities to include public meetings and bilateral meetings to the GAC with its [Bi-Monthly Report 66](#) covering events from August to October.

**Global Hybrid IGF:** The GE team continued to plan and coordinate for ICANN's participation in IGF 2021. While this is a hybrid event to be held in Katowice, Poland from 6-10 December, ICANN is taking a "virtual first" approach and does not plan to send a delegation. ICANN has planned a robust remote participation program to include organizing one [pre-event](#) session, an [Open Forum](#), and one [Workshop](#); in addition to having an e-booth in the IGF Village. ICANN has organized the Open Forum, "The building blocks to meaningful connectivity," which is scheduled for 9 December with proposed speakers, CEO Göran Marby and Board Chairman Maarten Botterman. The pre-event organized by ICANN is a Youth IGF "Tutorial on the DNS

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Root,” and the workshop organized by ICANN is “The State of the DNS Privacy Technologies.” ICANN’s CEO has been invited to speak at the High-Level Exchange panel, “Governance models to promote inclusive and diverse development - What stands in the way?” ICANN is also collaborating with other organizations to provide speakers for other sessions at the IGF2021.

The GE team provided a geopolitical and Internet governance update to the Board on 23 September.

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# Regional Office Reports

## APAC (Singapore)

Jia-Rong Low, VP, Stakeholder Engagement & Managing Director - Asia Pacific

### Regional Office Report – Asia Pacific (Singapore)

#### OVERVIEW OF SIGNIFICANT ACTIVITIES

During this reporting period, we published the APAC Regional Plan [FY21 achievements and FY22 highlights](#).

Our key activities focused on contributing to the following goals (as laid out in the [APAC Regional Plan](#) which contributes to the ICANN FY21-25 Strategic Plan):

| Goal  | Highlights of Activities   |
|---|--|
| Raise awareness on the evolving root server system and how the DNS works.   | We shared on the future handling of rogue Root Server Operators (RSOs) in relation to <a href="#">RSSAC056</a> , at the Beijing Cybersecurity Conference 2021.   |
| Enhance knowledge about DNS operations and security.                        | We spoke on DNS security related topics at the Pacific Internet Governance Forum (PaclGF2021) & APTLD80 joint conference, and at the 2021 ICANN TW Workshop.   |
| Encourage and promote DNSSEC deployment.                                    | We presented on DNSSEC deployment measurements and key life cycles at the PaclGF2021 and APNIC52 respectively. We also delivered a DNSSEC training for the Papua New Guinea University of Technology (.pg ccTLD).  |
| Support and grow active, informed, and effective stakeholder participation. | We held one APAC Space session, and supported Japan's ICANN71 Readout.   |
| Support regional and local Internet Governance (IG) fora.                   | Two pre-event monthly webinars on “Understanding DNS” and “State of the Domain Name Industry—Challenges & Opportunities”, were conducted for the inaugural <a href="#">APAC DNS Forum 2022</a> . We also spoke on various topics such as RDAP protocols and the pandemic's impacts on Schools of Internet Governance, at three other regional IG fora. |

|   |  |
|---|--|
| Develop youth leaders through the Asia Pacific Internet Governance Academy (APIGA).       | <a href="#">APIGA 2021</a> was held as a six-week virtual program from 1 Oct-12 Nov, with active participation from 30 youths.   |
| Support UA activities in the region, particularly the UASG and UA Local Initiatives (LI). | We conducted UA workshops at the Korea IGF 2021 and the Southeast Asia IGF 2021. We also held a UA readiness training for the National Internet Exchange of India (.in ccTLD). Further, we supported a Thailand Local Initiative project-- ไทย UA GitHub Pull Request Hackathon. |
| Detect and monitor legislative initiatives that could impact ICANN.                       | We engaged with the community via a <a href="#">blog</a> on the recent developments of China's Personal Information Protection Law.  |
| Inform relevant stakeholders about ICANN's role in the Internet ecosystem.                | ICANN President and CEO Göran Marby emphasized ICANN's technical role at the PaclGF2021. We also spoke on technical Internet governance at the Wuzhen Summit (World Internet Conference).  |

## Europe (Brussels)

Chris Mondini, VP, Stakeholder Engagement, Europe & Managing Director, Brussels

### KEY HIGHLIGHTS AND MILESTONES

We continue to work closely with the Regional Security and Crisis Management teams on plans for eventual office re-openings in Geneva and Brussels. After a glimmer of hope in September that we could move beyond “phase 0”, pandemic developments have unfortunately kept us there. Most, but not all, requests for exceptions to the ban on work travel within the region have been declined.

### OVERVIEW OF ACTIVITY

We continued to expand **technical engagement** and training across the region. We offered regular training sessions for the Nordic internet community throughout the autumn: DNS 101, History of the Root Server System and DNSSEC. This was done in cooperation with all five Nordic ccTLDs, who signed on as co-conveners and helped to attract a large audience. The dedicated email list for the Nordic region ([nordics@icann.org](mailto:nordics@icann.org)) has seen a steady growth in subscribers and activity.

We engaged in the German speaking region, by delivering DNSSEC 101 Training and a series of ICANN Public Meeting Readouts. A special email list for Germany, Austria and Switzerland

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was also created (DACH Mailing list [dach@icann.org](mailto:dach@icann.org)) with an enthusiastic group of initial subscribers.

ICANN participates in the EU CyberNet group of experts on European cybersecurity issues. Accepted as members were Adiel Akplogan, David Huberman, Patrick Jones, Chris Mondini and Gabriella Schitteck. Patrick Jones gave a network-wide talk on Internet Governance, generating comments and questions from cybersecurity practitioners. We also delivered a Cybersecurity training for the South Eastern Europe Dialogue on Internet Governance (SEEDIG) series of webinars.

ICANN organized and held ICANN Training Days, a new initiative that combines different training tailored for the specific needs of particular regional or professional communities. In Uzbekistan, ICANN Training Days for the .UZ ccTLD led to the signing of .UZ with DNSSEC.

European team members continue preparation of Internet Measurement Days - to be held in December in both the Czech Republic and Georgia. These events are organized together with RIPE NCC to highlight DNS related research projects such as ICANN ITHI and RIPE Atlas.

**Government engagement** continued to focus on communication about effects of proposed legislation in Brussels, London and elsewhere on the functioning of the Domain Name System (DNS), ICANN's mission, and the ICANN community.

We held a number of direct calls with Governmental Advisory Committee (GAC) members, inviting them to be joined by colleagues working with Intergovernmental organizations on Internet governance issues. GAC members from Austria, Germany, Italy, Netherlands and Spain each dedicated time to exchange views on ICANN policy matters, United Nations (UN) and International Telecommunications Union (ITU) discussions, and legislative proposals of the European Union (EU). This last topic, on EU legislation, was a follow-up to a letter from the ICANN Org CEO to EU GAC members over the Summer.

An exception to the travel ban was granted for the Managing Director, Chris Mondini, to travel by car to Luxembourg for a meeting with key government representatives, from the GAC representative up to the Prime Minister, who is also the minister of Information and Communications Technology (ICT). This was on the occasion of a virtual speech by the ICANN CEO on the theme of "Connecting Tomorrow" emphasizing ICANN's role in fostering an expanding, interoperable and multilingual Internet to serve local and global communities.

Finally, in conjunction with Ripe NCC, we developed a training session covering Internet technology and operations for Parliamentarians participating in the IGF2021.

We launched a dedicated **business engagement** plan to reach business associations across Europe dedicated to digital issues. This required a refresh of existing presentation materials targeted at businesses, linking their success and revenues to technical Internet governance and ICANN's mission and mandate. The inaugural session was a two-hour training to the Italian

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Chamber of Commerce on ICANN basics, cybersecurity, the DNS industry and developments in new gTLDs policy, attracting 130 participants.

The team continues to be active in national **Internet Governance Forums (IGF)** and preparations for the global IGF, to be held as a hybrid meeting in December in Katowice, Poland. This work has helped to inform ICANN Org and Community discussions on the modalities for effective and inclusive hybrid meetings.

In Italy, we sponsored and represented ICANN at another record-breaking Italian IGF with several panels on technical Internet Governance, EU legislative initiatives and a cybersecurity training for SMEs. Over 1,100 participants with representatives across all key ministries and C-suite business executives were in attendance.

October and November is a time for IGFs in Eastern Europe and Central Asia. Mikhail Anisimov, Mandy Carver, Sally Costerton and Champika Wijayatunga took part in a number of virtual events in Kyrgyzstan, Armenia, Turkmenistan and Ukraine to present the concepts around Technical Internet Governance, plus ICANN projects and priorities.

With our European partners RIPE NCC and Internet Society Europe, ICANN organized a training session on Internet technology and operations for IGF Youth participants in the global IGF. ICANN also worked to find and involve mentors – both from ICANN staff and ICANN community – on a number of topics, such as Universal Access, Cybersecurity and Privacy & Data Protection.

The past weeks have seen an active focus on the post-Brexit **United Kingdom**, where we conducted a series of meetings across all stakeholder groups, including industry associations and connectivity providers. A government reshuffle offers excellent opportunities to ensure the UK government continues to champion multistakeholder Internet governance and support ICANN's mission and mandate. To reach new audiences beyond government, we are re-energizing our connections to existing partners with a number of direct meetings with ISPs, think tanks, etc. The Digital Policy Alliance (DPA) of the House of Lords organized a presentation by Vint Cerf on Internet governance issues, which included a clear reference to the importance of ICANN's mission. The relationship Adam Peake has built with the DPA facilitated this talk.

It was announced that Giovanni Seppia will be joining ICANN in January 2022 in the newly created role of Vice President, Implementation Operations, and will be based in Italy for the time being.

## TOP ISSUES AND MITIGATION

Emerging from remote work, expanding technical engagement, and making new contacts continue to be top of mind, alongside engagement on legislative initiatives impacting the DNS.

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## Geneva Engagement Office

Mandy Carver, SVP, Government and IGO Engagement

### KEY REGIONAL ACTIVITIES

The Geneva-based staff continued to pursue their virtual engagement work with relevant stakeholders in IGOs and NGOs. This included work with the IGF Secretariat and the organizational work for ICANN participation in the global IGF2021. GE continued to follow the work of the ITU, its resolutions, and its conference development processes including TDAG and wider work conducted in ITU-D, TSAG and the ITU SG discussions, and the “WTSA-21” and “WTDC-21” preparation discussions.

The GE team continued to follow the World Intellectual Property Organization (WIPO) Standing Committee on the Law of Trademarks, Industrial Designs and Geographical Indications (including the WIPO Symposium on Geographical Indications) from 6 to 8 September. The Geneva-based staff worked on the Coalition for Digital Africa project with a particular focus on ICANN/ITU-D collaboration.

## Middle East, Africa (Istanbul)

Baher Esmat, Vice President, Stakeholder Engagement – Middle East & Managing Director – Middle East & Managing Director MEA

### KEY HIGHLIGHTS AND MILESTONES

Our engagement in the Middle East and Africa (MEA) region continues to remain in a virtual format due to the ongoing COVID-19 pandemic. Trends show good regional demand for technical engagement around DNS security and stability, and unique identifiers.

Engaging with new audiences is one of the key regional priorities. DNSSEC and Universal Acceptance remain to be topics of interest for many stakeholders in the region. Also, National DNS Fora, National Schools of IG, as well as the active engagement with stakeholders from Academia, Governments and Youth communities, has helped the MEA engagement team promote ICANN work across a wider range audience.

### OVERVIEW OF MEA ACTIVITIES

- Reaching out to new audiences:
  - ICANN101 training track for the Pakistani end-user community organized with the ISOC Islamabad Chapter.
  - Webinar on Universal Acceptance for Saudi Arabian software development community.
  - Meeting with the Turkish Digital Transformation Office to introduce ICANN and explore areas of mutual interest and collaboration.
  - Meeting with TurkTelekom to discuss DNSSEC validation and IMRS instances.

- Capacity building:
  - Informational Webinar with African ccTLD Operators, a critical stakeholder group of Africa's DNS ecosystem.
  - Webinar on RDAP for the .KW registry (Kuwait) and their accredited registrars.
  - DNS Operations hands-on workshop for the .SA registry (Saudi Arabia).
  - DNS Operations hands-on workshop at Somalia NOG (SOMNOG).
  - Virtual lecture on ICANN and the DNS for Law students at Bahcesehir University, Istanbul.
  - Webinar on DNS Security Threats with the Ankara Legal Hackers.
- Virtual roundtable with Turkish Registrars - a regular gathering with ICANN Accredited Registrars based in Turkey.
- GSE team supported and participated in several Internet Governance Schools: Arusha Women SIG (AruWSIG); KeSIG (Kenya); 9<sup>th</sup> Africa School of Internet Governance (AfriSIG 2021); Nigeria SIG, Togo SIG; ZASIG (South Africa).
- GSE team supported and participated in several national and regional IGFs: KeIGF (Kenya); 1st Somalia IGF; Benin IGF; Nigeria IGF; Togo IGF; Tanzania IGF; ZAIGF. The latter is the culmination of a series of engagements between the GSE Africa team and the South African Community through the ZA Domain Name Authority ZADNA.
- Conferences:
  - FFGI annual event - opportunity for engaging with the African French speaking community.
  - Symposium TIC (Technologies de l'Information et de la Communication) Afrique 2021 where ICANN staff participated remotely with presentations on IDN, UA and DNS abuse.
  - Tanzania Research and Education Network (TERNET), the "1st International Conference on Digital Transformation".
  - 8th Africa Working Group Meeting on Cybercrime for Heads of Units – Interpol: DAAR initiative was presented.
  - Somalia NOG 5: keynote speech on ICANN's role, and a presentation on DNSSEC.
- The Policy team members based in the MEA Regional Office facilitated, planned and coordinated the Dr. Tarek Kamel Award for Capacity Building, the Community Recognition program at the AGM as well as ICANN72 RSSAC, GAC, ALAC/At-Large and Plenary sessions. They also supported the new Public Comment feature launch and transition to the new feature.

## TOP ISSUES AND MITIGATION

Several regional events are moving back to face-to-face. As ICANN continues its engagement virtually due to the ongoing pandemic, the general trend of “zoom fatigue” is ongoing. The regional community is waiting for ICANN engagement activities to go back to normal. The uncertainty caused by the pandemic makes planning for any in-person or even hybrid events very challenging.

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## Latin America and the Caribbean (Montevideo)

Rodrigo de la Parra, VP, Stakeholder Engagement & Managing Director - Latin America & Caribbean

### OVERVIEW OF SIGNIFICANT ACTIVITIES

This quarter was marked by high level engagement from ICANN Board Chair and ICANN CEO in key events in the region. Marteen Botterman participated in the 24<sup>th</sup> General Conference of Caribbean Ministers under the auspices of the Caribbean Telecommunications Union and Göran Marby presented on the Webit Panel – Connectivity as a Key Driver for Economic Reactivation in Latin America in the Post Pandemic Scenario. Also, Göran Marby participated in the Virtual South School on Internet Governance.

### REGIONAL EVENTS

| Date     | Event Name                                       | Location          | Remarks  |
|----------|--|-------------------|--|
| 08/24    | Caribbean Internet Governance Forum 17           | Online            | Highlighted the relevance of Internet principles for the operation of the Internet and the DNS                     |
| 09/21    | Caribbean Telecommunications Union ICT Week 2021 | Online            | ICANN's Board Chair Marteen Botterman addressed the the 24th General Conference of Caribbean Governments Ministers |
| 09/29    | CaribNOG 22                                      | Online            | IMRS promotion.  |
| 10/8     | South School on Internet Governance              | Online            | Raise awareness on Technical Internet Governance   |
| 10/11-15 | LACNIC36   | Hybrid Montevideo | ICANN LAC team engaged with the participants through our virtual booth and led a tutorial on security routing.     |
| 10/26    | LAC Space @ICANN72                               | Online            | Enhance participation from LAC stakeholders in ICANN meetings.   |

|       |   |        |  |
|-------|---|--------|--|
| 10/28 | Latin American Congress for Digital Transformation (CLTD)   | Online | Outreach to business and governments in the LAC region. Raise awareness on Technical Internet Governance.  |
| 10/28 | Webit – Connectivity as a Key Driver for Economic Reactivation in Latin America in the Post Pandemic Scenario | Online | ICANN’s CEO Göran Marby participated in this high-level panel highlighting the important role ICANN and the DNS play in supporting connectivity in developing regions. |
|       |   |        |  |
| 10/29 | Virtual Roadshow Central America  | Online | Targeted engagement in Central America.  |

## OTHER ACTIVITIES

ICANN org organized a special presentation before LACRALO on new gTLDs next round.

## Latin America and the Caribbean (LAC) Communications

- On 12 November, Rodrigo de la Parra was featured in the front cover of the magazine Connect World. This magazine is printed and distributed regionally in Latin America to ICT corporate level decision makers (22,000 print copies) and shared online with 1116,898 online subscribers (the permanent storage online receives up to 5.8 million page impressions per month and 112,647 unique visitors per month). Rodrigo’s article “The Technology Behind the Internet: Enabling Business in Latin America and the Caribbean” can be read here (English): <https://connect-world.com/category/latin-america/latin-america-2021/>
- On 28 October 2021, ICANN’s regional vice president and managing director Rodrigo de la Parra, was interviewed live by ASIET and broadcasted on *UCL Televisión*, a TV channel that aims to transmit the identity, values and talent of Latin Americans to the world. During this interview, Rodrigo de la Parra focused on opportunities for telecommunications companies to participate in ICANN. You can watch the interview (in Spanish), here: <https://www.youtube.com/watch?v=IUxh1qGZXqY>.

- During this period, the communications team also supported ICANN’s CEO and President Goran Marby in drafting talking points for the Webit event “Connectivity as a key driver for economic reactivation in Latin America in the post pandemic scenario” held on 28 October 2021. This event was an open discussion among high-level policymakers and business leaders. The Global Webit Series are broadcasted by TheVirtual.Show (www.TVS.events [tvs.events]). The Webit community involves over 1.5 million digerati or experts.
- The communication team planned a virtual booth during the LACNIC36 meeting held from 11-15 October 2021, where various material (infographics, videos, fact sheets, newsletter, reports) and the contact of each member of the GSE, communications and regional technical engagement team members were shared. You can visit the virtual fair, here: <https://sponsorship.lacnic.net/>
- As part of the [regional social media campaign](#) launched in May 2021, ICANN’s Latin American and Caribbean team shared 3 new DNS Security Threat terms and acronyms during this period. The tweets shared via our language handles in Spanish, Portuguese, and French, received a total of 19 retweets and 40 likes.
- Blog published during this period:
  - [Early Successes of ICANN’s DAAR Adoption in the LAC Region](#) (23 September 2021)

## North America (Washington, D.C.)

David Olive, SVP, Policy Development Support & Managing Director – Washington, D.C.

- David Olive hosted a virtual All-Hands meeting for the DC regional staff on 29 September. The main purpose of the call was to provide a Return to Office status report from the Regional Security Senior Manager and to introduce the HR liaison to this group.
- During this period, the communications team also supported ICANN’s CEO and President Goran Marby in drafting talking points for the following events:
  - Panel on Tech Power and Accountability, organized by the UCLA (5 November 2021).
  - Lecture for the graduate course, “US Foreign Policy and the Geopolitics of the Internet,” offered by the Columbia’s School of International and Public Affairs (11 October 2021).
- The communications team shared a Save the Date for the regional training series on Universal Acceptance with NARALO to be held early 2022, both [via mailing](#) and two social media posts (via Twitter, Facebook, and LinkedIn). The tweets received a good engagement with 26 retweets and 33 likes.
- NA-related announcements and blogs published during this period:
  - [Virtual Seattle Welcomes You to ICANN72](#) (20 October 2021)
  - [ICANN Signs a Memorandum of Understanding with NANOG](#) (27 September 2021)

- 
- [Shaping the Future of the Internet: A Webinar on ICANN's Newcomer Programs](#) (26 August 2021)
  - The NA regional engagement plan was published on August 2021: <https://www.icann.org/en/system/files/files/na-engagement-plan-fy2021-2025-24aug21-en.pdf>
  - The NA Stakeholder Engagement team has organized the first ever North America Space session during ICANN72. Topics to be discussed at the meeting were intended for all North America stakeholders. The full schedule of this session included:
    - A welcome from the President and CEO of ICANN, Göran Marby
    - A welcome and updates from the region's Board members
    - An engagement plan update
    - An Operational Design Phase (ODP) update
  - Revisit the main highlights from the ICANN72 public meeting with the NA recap newsletter: <https://conta.cc/30vLBF8>
  - During this period, the communications team also supported ICANN's CEO and President Goran Marby in drafting talking points for the following events:
    - Panel on Tech Power and Accountability, organized by the UCLA (5 November 2021)
    - Lecture for the graduate course, "US Foreign Policy and the Geopolitics of the Internet," offered by the Columbia's School of International and Public Affairs (11 October 2021)
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# ICANN Social Media Report

## Social Media Metrics: Executive Summary

Social media plays an important role in our engagement with global stakeholders. The ICANN organization’s Communications team continues to invest time, resources, and budget to expand our global social media reach. The team operates 17 accounts and pages in multiple languages.

## ICANN Social Media Accounts

| Platform          | Accounts | Details   | Multilingual |
|-------------------|----------|---|--------------|
| <b>Twitter</b>    | 8        | English, French, Arabic, Russian, Portuguese, Spanish, ICANN President & CEO, and ICANN CTO handles | Yes          |
| <b>Facebook</b>   | 1        | Multilingual platform in the six U.N. languages, primarily focused on English                       | Yes          |
| <b>LinkedIn</b>   | 1        | English   | No           |
| <b>YouTube</b>    | 1        | Videos in all 6 U.N. languages  | Yes          |
| <b>Instagram</b>  | 1        | English   | No           |
| <b>WeChat</b>     | 1        | Chinese   | No           |
| <b>Weibo</b>      | 1        | Chinese   | No           |
| <b>Youku</b>      | 1        | Chinese   | No           |
| <b>Flickr</b>     | 1        | N/A   | N/A          |
| <b>SoundCloud</b> | 1        | English   | No           |

## SOCIAL MEDIA STRATEGY

ICANN’s social media platforms help increase and encourage engagement with and awareness of our content in multiple languages. Stakeholders also interact directly with ICANN to pose questions or send comments. This allows us to create a direct dialogue with stakeholders that would otherwise not exist. The Communications team responds to hundreds of direct messages posted to our social media channels each month.

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The Communications team also amplifies messages from the social media handles and pages of ICANN's Supporting Organizations and Advisory Committees (SOs/ACs) and influential ICANN stakeholders. This allows for an even broader reach of content, leveraging ICANN's large follower base to reach a wider audience.

## HOW TO MEASURE EFFECTIVENESS AND ROI?

Evaluating the effectiveness of social media ROI is not an exact science. The methodologies that social media companies use in calculating and reporting metrics are opaque. This makes it difficult to determine the quantifiable impact that ICANN's social media activities have on engagement.

Furthermore, there is no **independent** verification of the data that social media platforms provide. It is in the best interests of the platforms to report **more followers** and more **engaged** followers. The data should be viewed with skepticism and used primarily to determine which posts lead to verifiable engagements (clicks to pages, applications, surveys, etc.) as mere awareness is difficult to measure.

The number of followers that ICANN has on Twitter, Facebook, etc., should also be viewed with a critical eye as a portion of those followers will be bots (fake followers). Newsletter platform metrics are more verifiable, as subscribers themselves need to opt in and bots and honeypot email addresses will result in suspension of the account.

Although it is difficult to measure the exact effectiveness of social media versus the level of effort, we can show trends in the engagement rate of content posted to ICANN's social media accounts, gauge follower interest in a particular topic, and reach audiences outside our traditional stakeholder base.

## IMPACT OF COVID-19 ON ENGAGEMENT AND PAID POSTS

Globally, companies and institutions continue to report a decrease in engagement as user behavior has changed during the pandemic and subsequent lockdowns.

Also, social media platforms have ramped up their prioritization of paid posts, meaning organic reach is declining. Newsletter platforms already have a paid model and the content served to the subscriber is independent from the platform's control.

Newsletter open and click rates have been somewhat curtailed with Apple's new privacy settings, which allow users to block tracking of open and clicks.

# Industry Average and ICANN Key Performance Indicator Targets

| Platform    | Industry Average Engagement Rate** | Industry Average Click Rate | Industry Average Open Rate | ICANN KPI Targets*             |
|-------------|------------------------------------|-----------------------------|----------------------------|--------------------------------|
| Twitter     | 0.045%                             | N/A                         | N/A                        | 0.5%                           |
| Facebook    | 0.08%                              | N/A                         | N/A                        | 1.0%                           |
| Instagram   | 0.98%                              | N/A                         | N/A                        | 2.5%                           |
| LinkedIn    | 0.35%                              | N/A                         | N/A                        | 2.0%                           |
| Newsletters | N/A                                | 1.5%                        | 20.2%                      | 21% Open Rate<br>5% Click Rate |

\*ICANN’s KPI targets for social media engagement fluctuate based on industry average data and changes yearly. ICANN aims to overperform versus the industry average and bases targets on the engagement rate considered “good” for specific platforms for that specific year and was revised in November 2021. ICANN KPI targets for newsletter open and click rates are similarly based on industry average data and change yearly. ICANN sets its target to overperform on open rates and click rate and was revised in November 2021.

\*\*The Industry Average Social Media Engagement Rate documented above was updated in November 2021 and is based on findings from ICANN’s social media publishing platform Hootsuite. The Industry Average for Newsletter Open and Click rates documented above was updated in November 2021 and is based on ICANN’s newsletter publishing platform [Constant Contact](#).

## KEY FINDINGS: CROSS-PLATFORM

Each platform measures engagement rate differently, but it remains a meaningful metric we can use to observe trends and the effectiveness of platforms:

- Given the pause on travel and all in-person meetings, this has had an impact on our follower growth and engagement rate. Without the benefits of in-person engagement and ability to capture photos, our level of engagement will remain stagnant or lower.
- Despite the impact of the pandemic, ICANN continues to overperform against its KPI targets. And Twitter, Facebook, LinkedIn, and Instagram, continue to gain followers in 2020, a notable achievement as many businesses and nonprofits are currently experiencing a decrease in followers.
- We do anticipate an increase in social media activity when in-person activities resume.

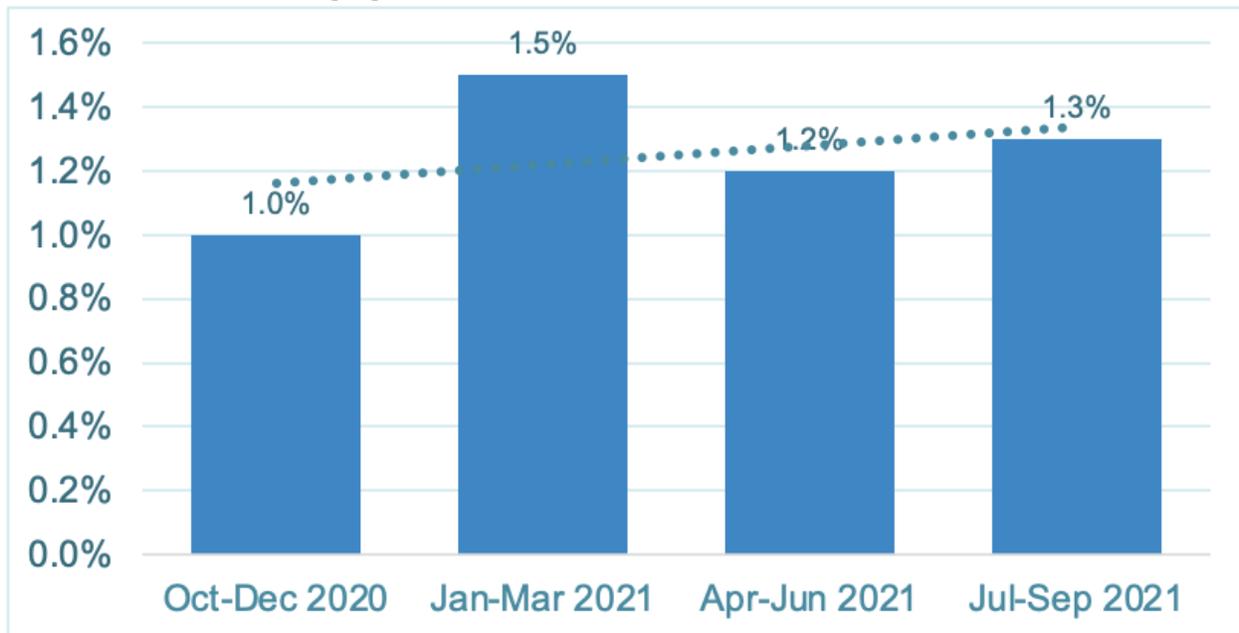
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## TWITTER @ICANN HIGHLIGHTS

1 July - 30 September 2021

- The industry average engagement rate is 0.045% and our KPI target is 0.5%.
- ICANN earned a 1.3% engagement rate from July-Sept. 2021, overperforming on our KPI target. This is a slight increase from the previous quarter.
- The account saw average follower growth, rebounding from a decrease during the previous quarter.

### Twitter @ICANN Engagement Rate



## Twitter @ICANN Follower Growth



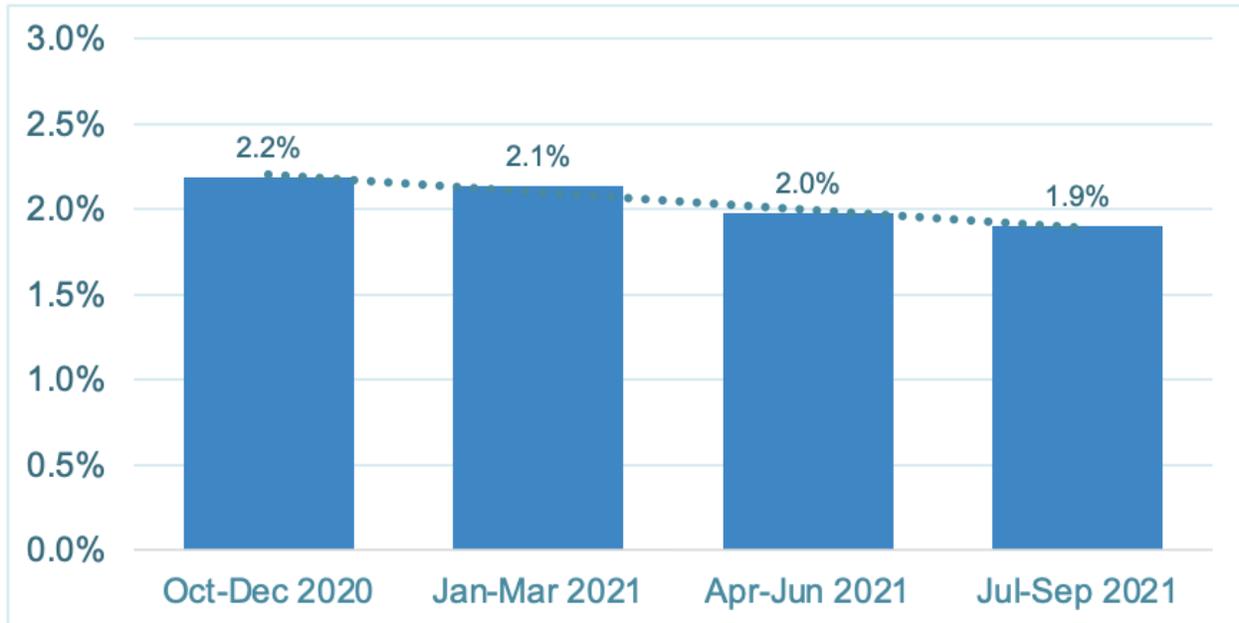
\*Note: We did not include data for other ICANN Twitter handles as the activity, engagement, or number of followers is too low to be meaningful.

## FACEBOOK HIGHLIGHTS

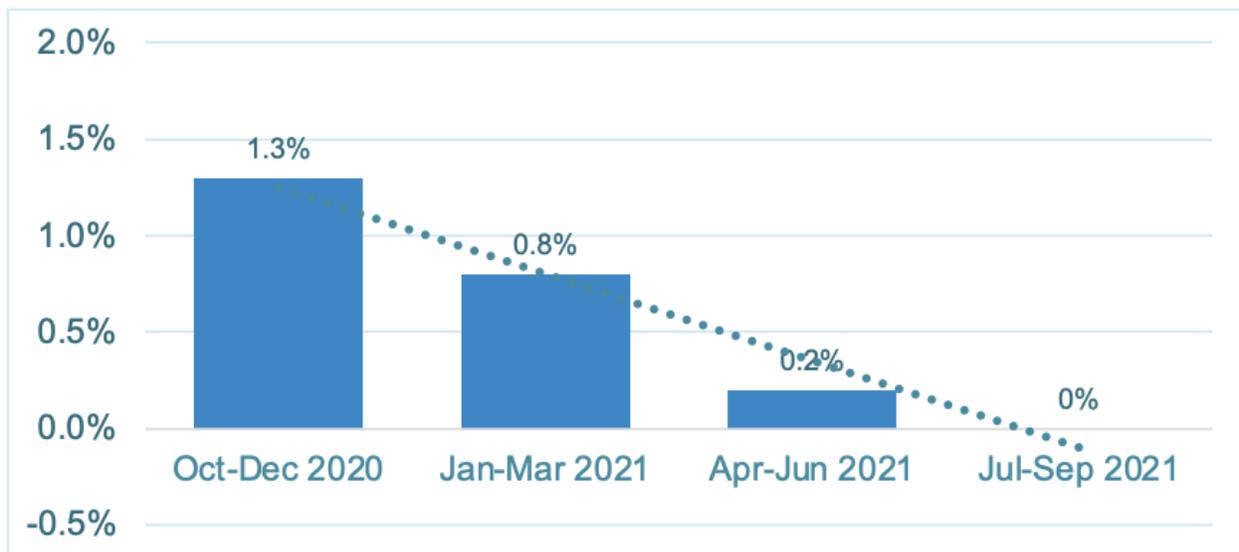
1 July - 30 September 2021

- The industry average engagement rate is 0.08% and our KPI target is 1.0%.
- ICANN earned a 1.9% engagement rate from July-September 2021, overperforming on our KPI target. The engagement rate is showing a downward trend in activity over the previous three quarters.
- There was a decrease in follower growth over the previous quarter and an overall downward trend.

## Facebook Engagement Rate



## Facebook Follower Growth



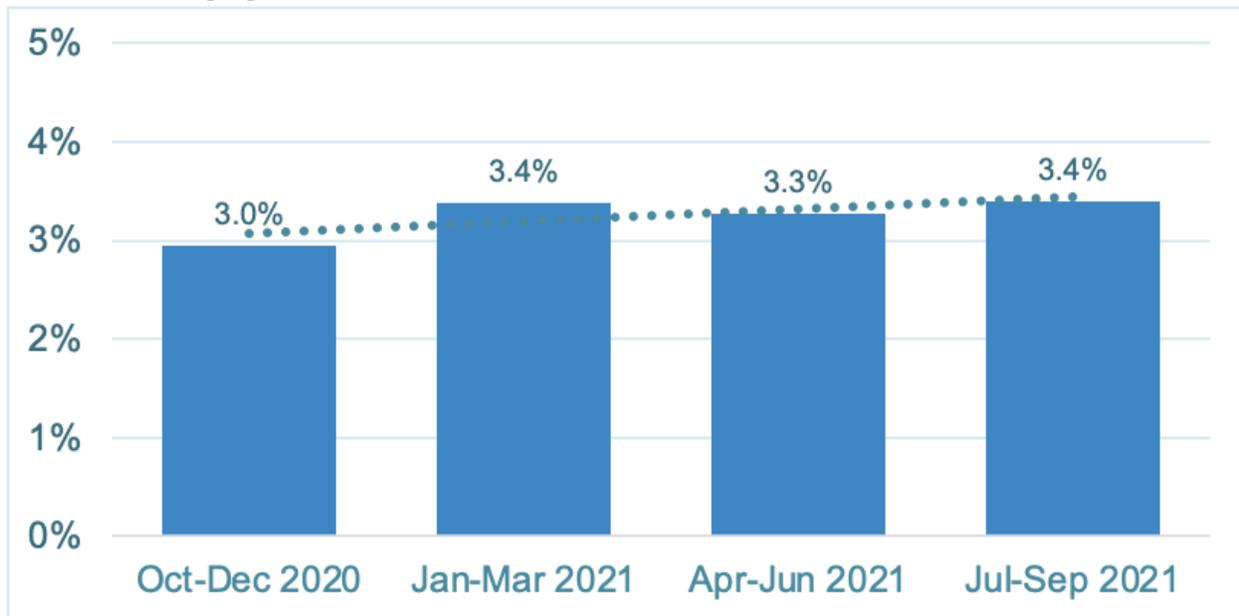
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## LINKEDIN HIGHLIGHTS

1 July - 30 September 2021

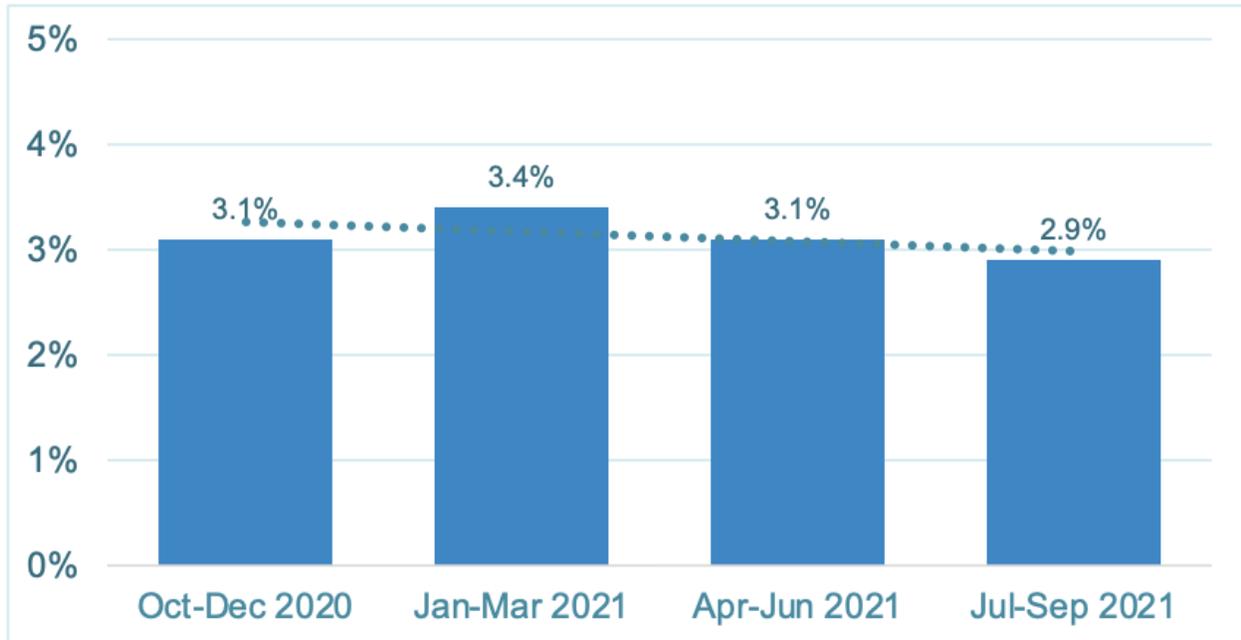
- The industry average engagement rate is 0.35% and our KPI target is 2.0%.
- ICANN earned a 3.4% engagement rate from July-September 2021, overperforming on our KPI target. The engagement rate remained steady compared to the previous quarters.
- There was a decrease in follower growth from the previous quarter and an overall downward trend.

### LinkedIn Engagement Rate



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## LinkedIn Follower Growth

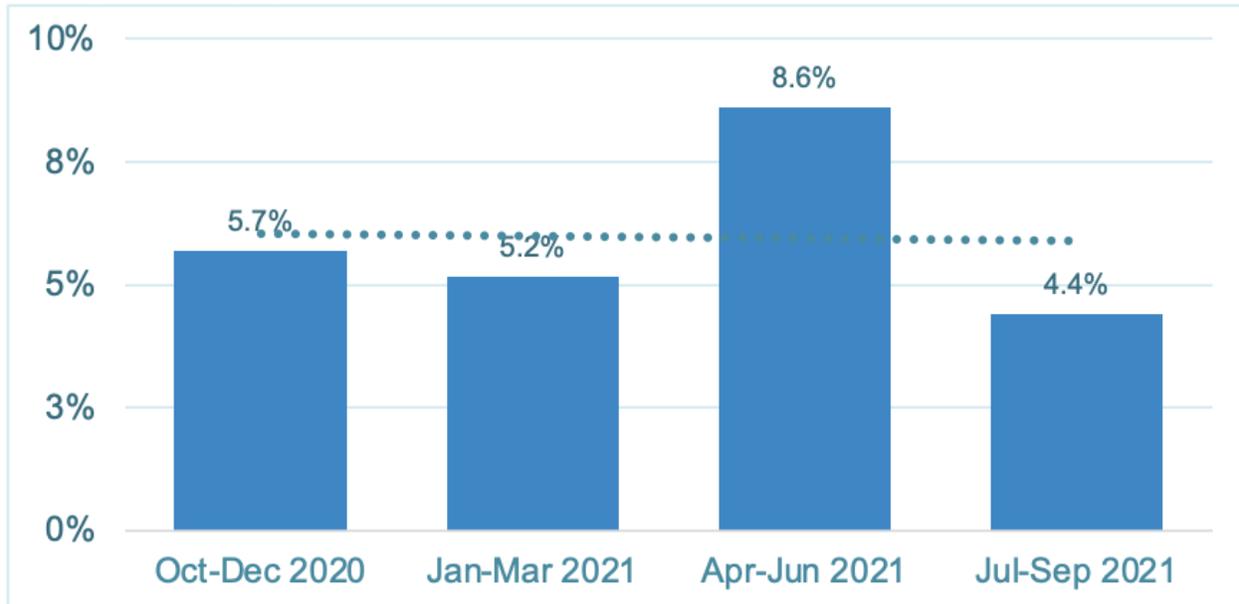


## INSTAGRAM HIGHLIGHTS

1 July -30 September 2021

- The industry average engagement rate is .98% and our KPI target is 2.5%.
- ICANN earned a 4.4% engagement rate from July-September 2021, overperforming on our KPI target, but lower than the previous quarter.
- There was a dramatic increase in follower growth (23.8%) over the previous quarter (13.2%).

## Instagram Engagement Rate



## Instagram Follower Growth



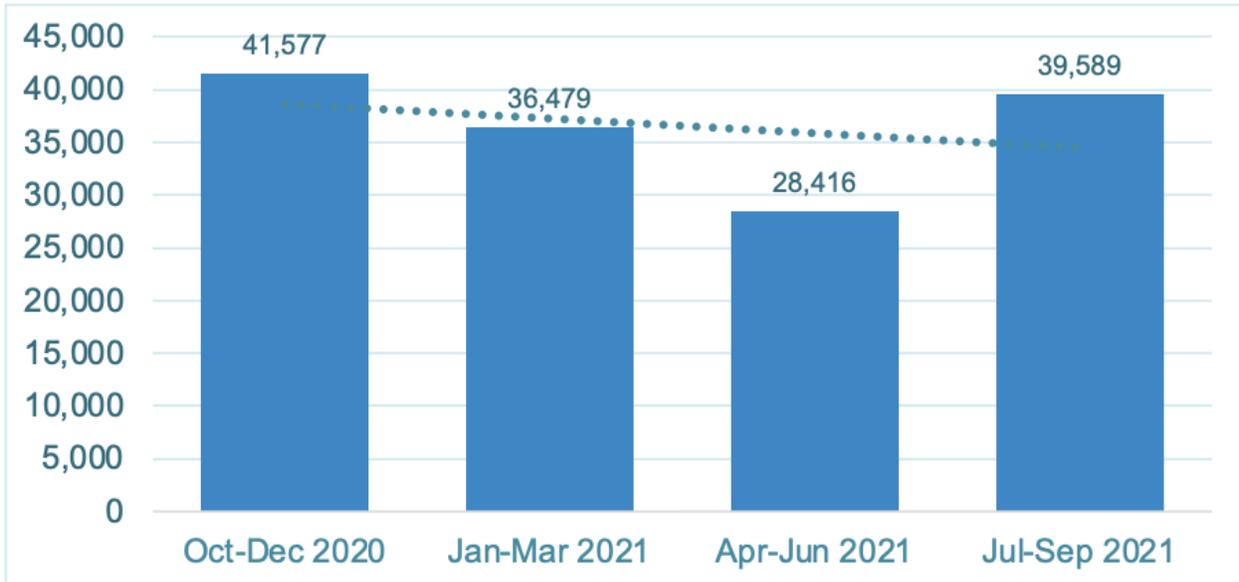
## YOUTUBE HIGHLIGHTS

1 July -30 September 2021

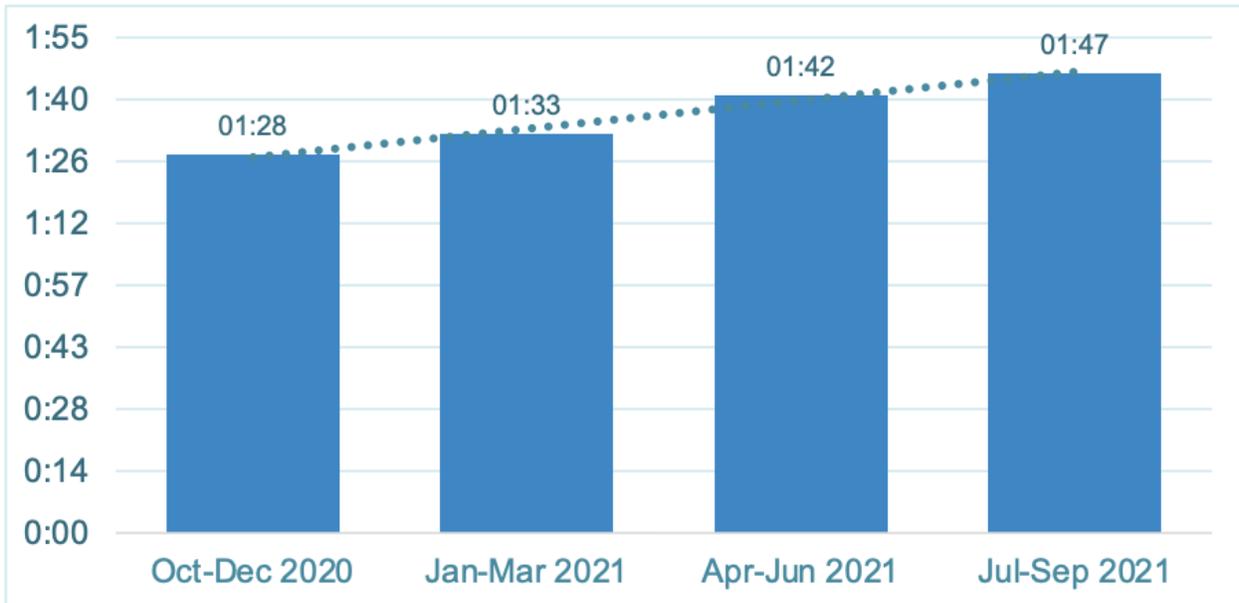
- YouTube measures performance using the number of views and the average duration of a view. It is difficult to set KPI targets as there are no industry averages.
- YouTube views were higher in July-Sept 2021 (39,589) versus the previous quarter (28,416), an increase of 39%.

- The average duration of a video view was slightly higher for July-Sept. 2021, 1:47, versus 1:42 in April-June 2021.

### YouTube Video Views



### YouTube Average Duration



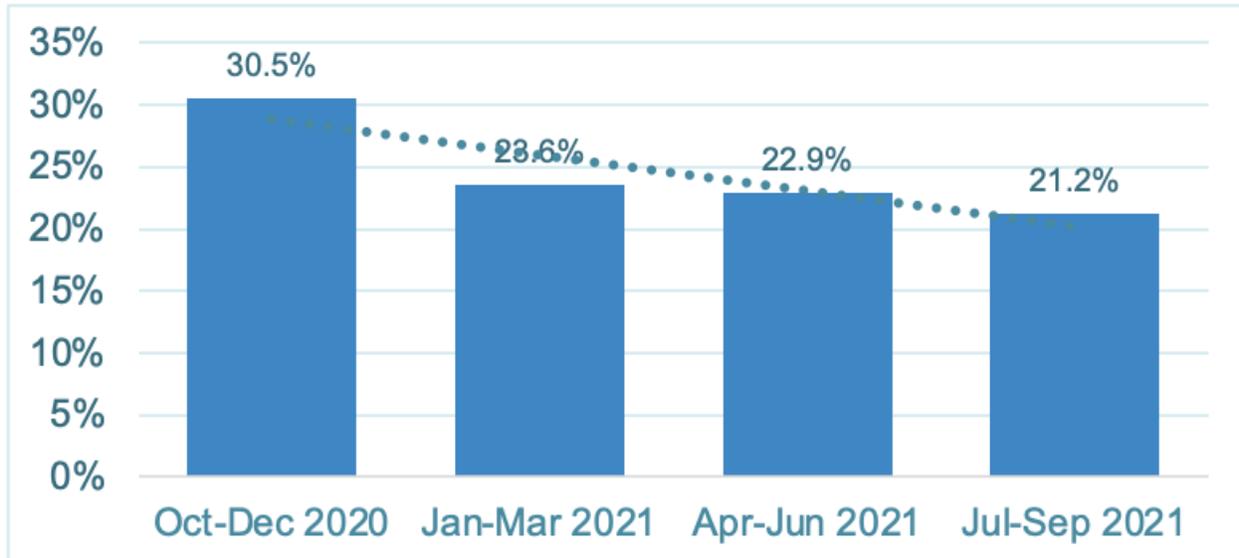
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## NEWSLETTERS HIGHLIGHTS

1 July -30 September 2021

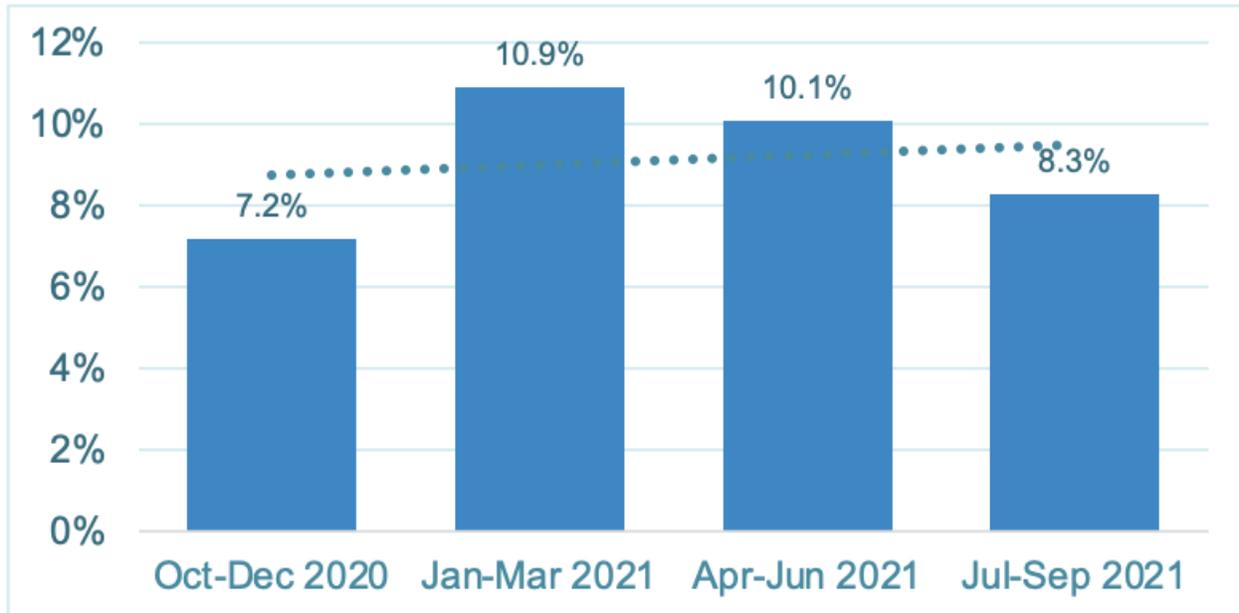
- Newsletter performance is measured by open rate and click rate (the number of subscribers who click on links within the newsletter). The industry average is 20.2% for open rates and 1.5% for click rates, and our KPI targets are 21% open rates and 5% click rates.
- The average open rate for ICANN regional newsletters was 21.2%, exceeding our target but lower than the previous quarter (Apr-Jun 2021, 22.9%), and an overall downward trend since 2020.
- The average click rate, 8.3%, exceeded our target but was lower than the previous quarter, which earned a 10.1% click rate.
- Our Public Meeting newsletters continue to earn higher open and click rates compared with our regional newsletters.

### Newsletter Open Rate



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## Newsletter Click Rate

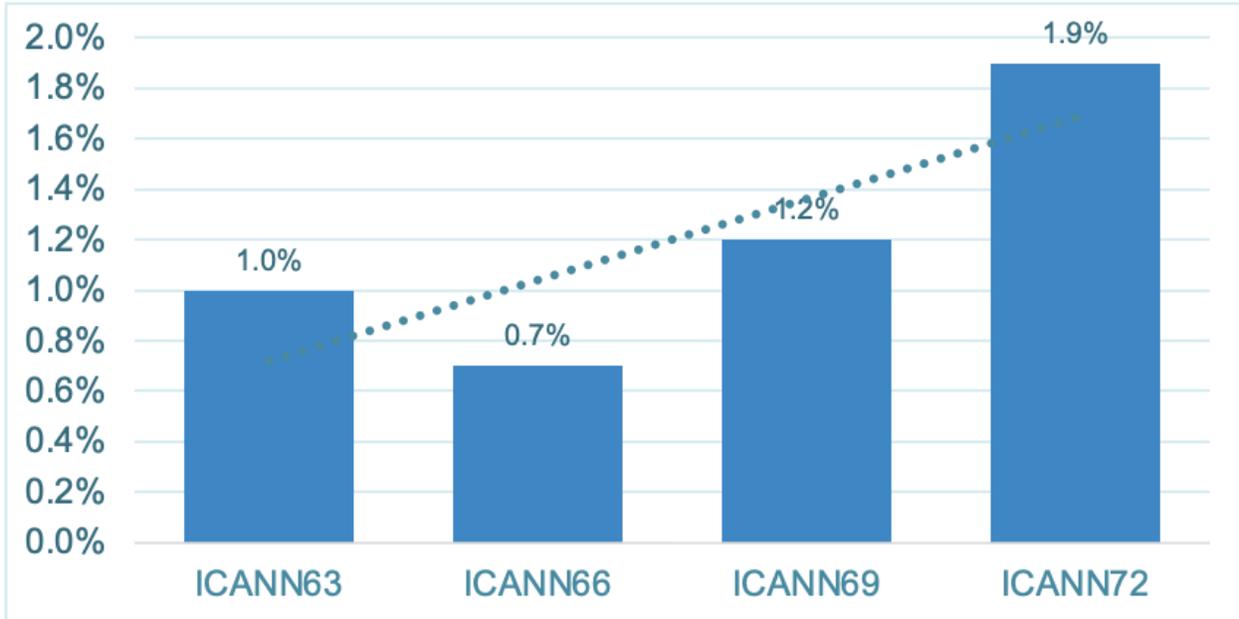


## KEY FINDINGS: PUBLIC MEETING ANNUAL GENERAL MEETINGS SOCIAL MEDIA HIGHLIGHTS\*

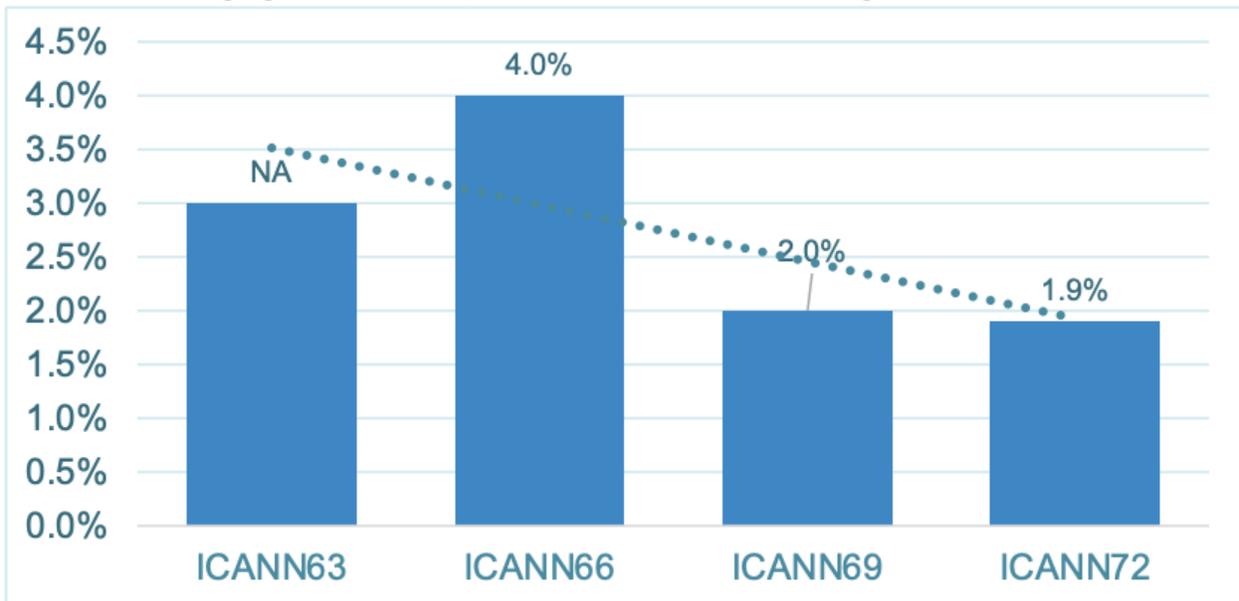
The following data reflects ICANN's social media performance during the previous four Annual General Meetings:

- Twitter engagement is trending upward over the previous four Annual General Meetings whereas LinkedIn, Facebook, and Instagram engagement are trending downward.
- ICANN72 newsletters earned mixed results over the previous Annual General Meetings, trending slightly lower in open rates but steady in click rates.

## Twitter @ICANN Engagement Rate, Annual General Meetings

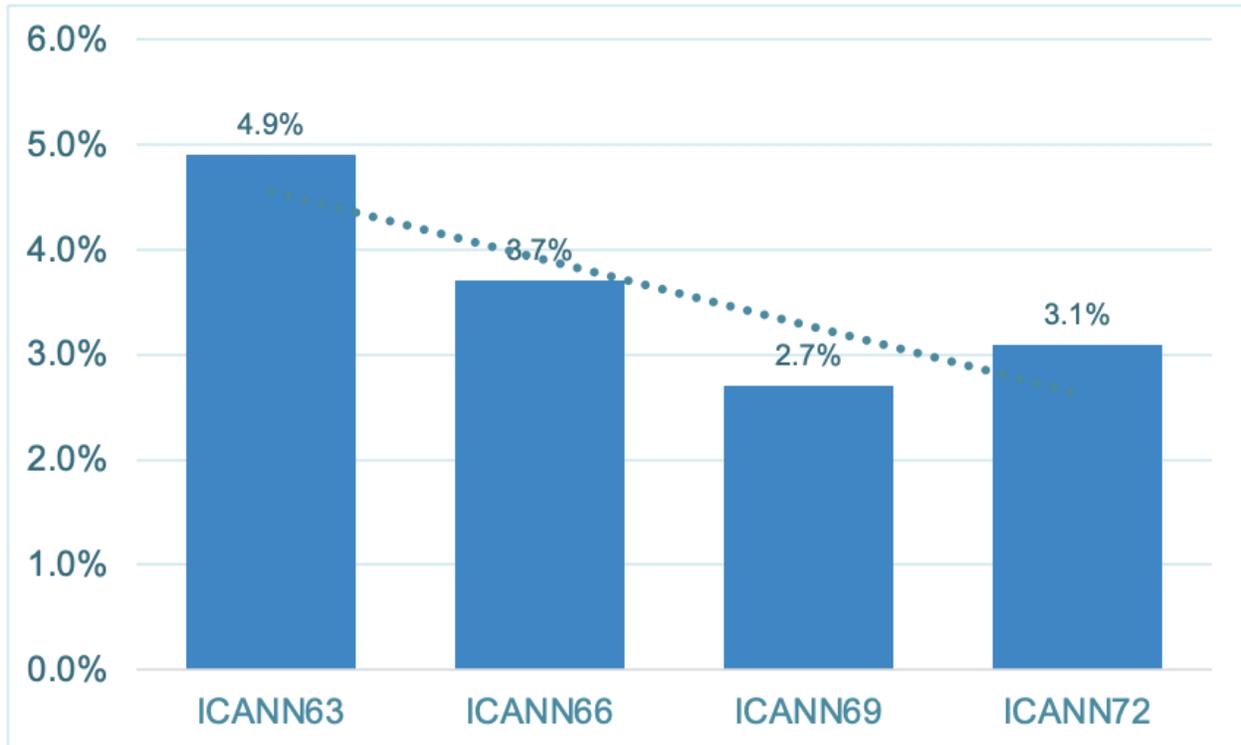


## Facebook Engagement Rate, Annual General Meetings

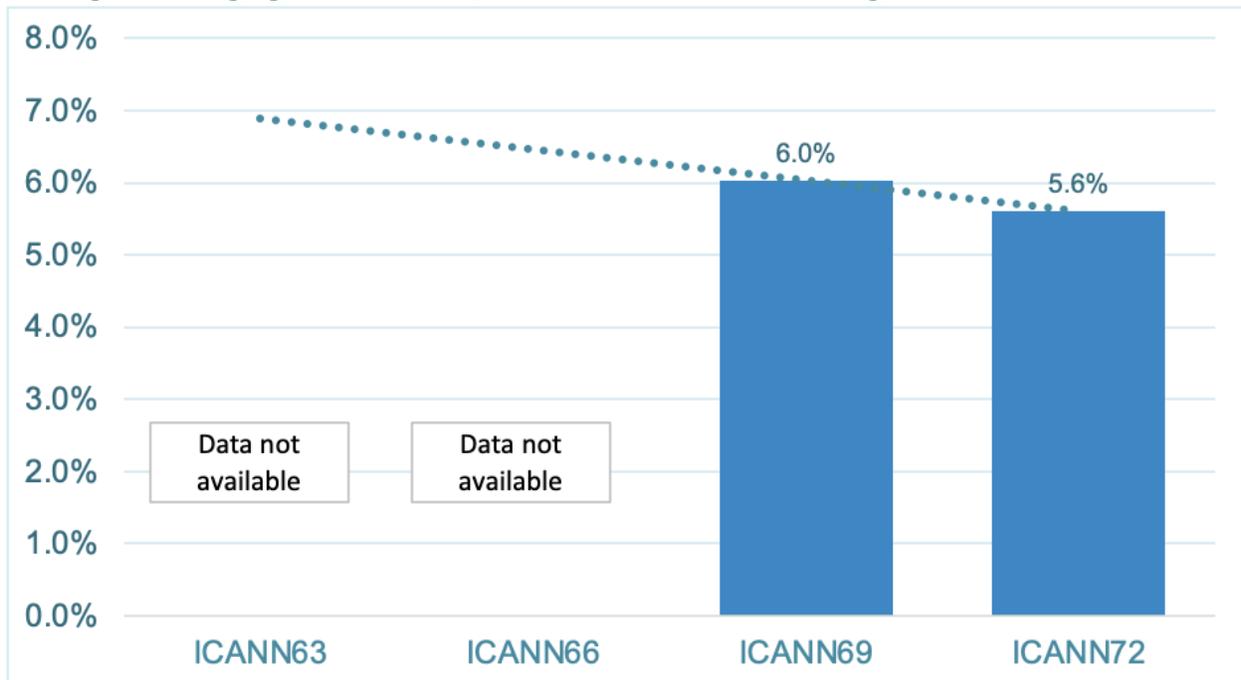


\*Note: We compare Public Meeting data against Public Meetings of the same type, as the Annual General meeting has more participants than the Community or Policy Forums.

## LinkedIn Engagement Rate, Annual General Meetings



## Instagram Engagement Rate, Annual General Meetings

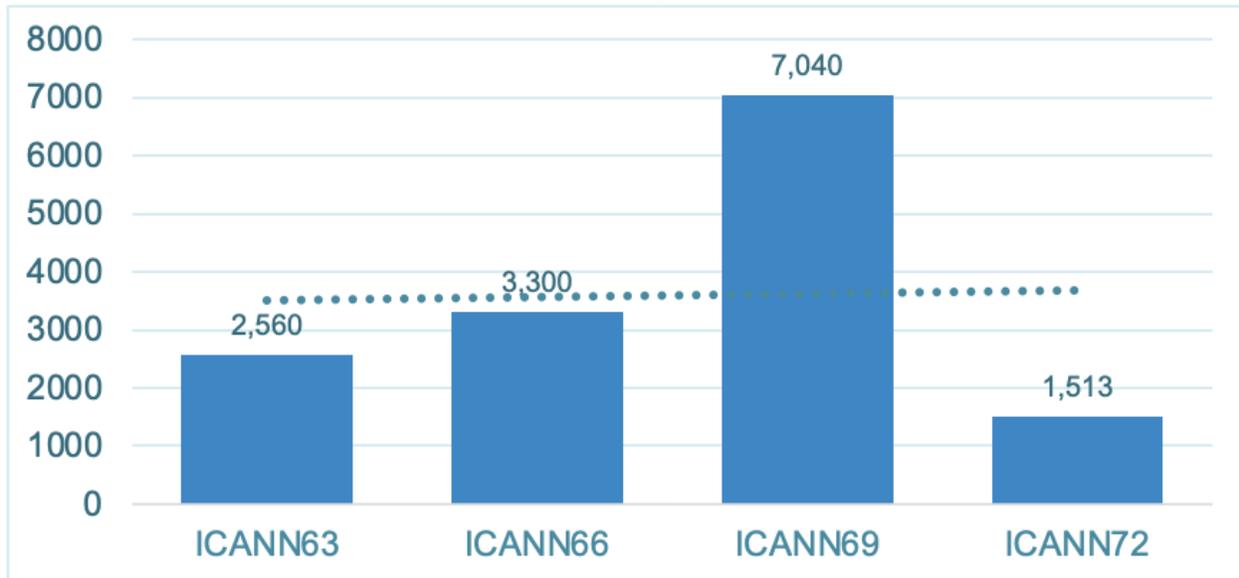


## YOUTUBE

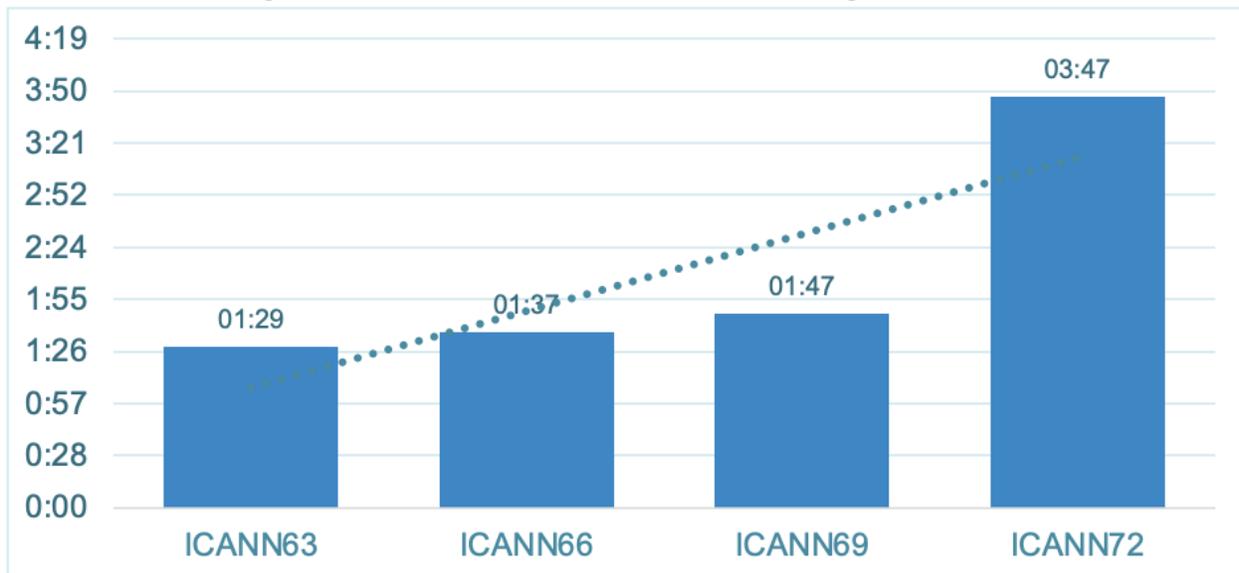
The following data reflects ICANN's YouTube performance during the previous four Annual General Meetings:

- View performance is mixed, with a strong increase in ICANN69, a decline for ICANN72, and an uneven performance over the previous four Annual General Meetings. View performance was impacted by the inability to conduct in-person video interviews and no new explanatory videos published to our channel.
- The average duration of watching our videos is trending upwards over the past four Annual General Meetings, with possible outlier increase for ICANN72.

### YouTube Views, Annual General Meetings



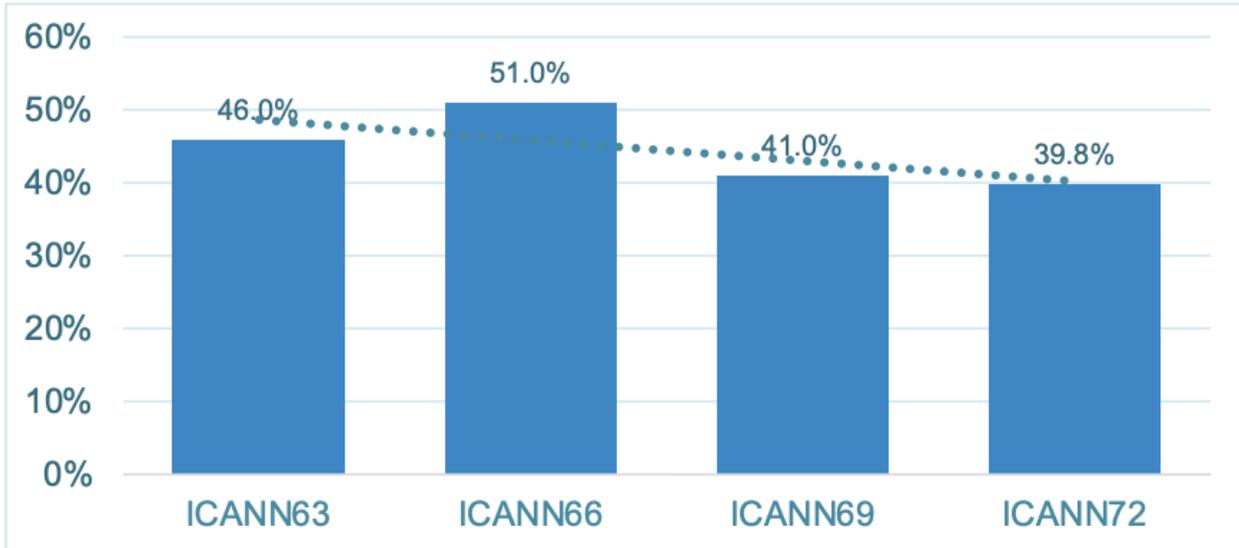
### YouTube Average Duration, Annual General Meetings



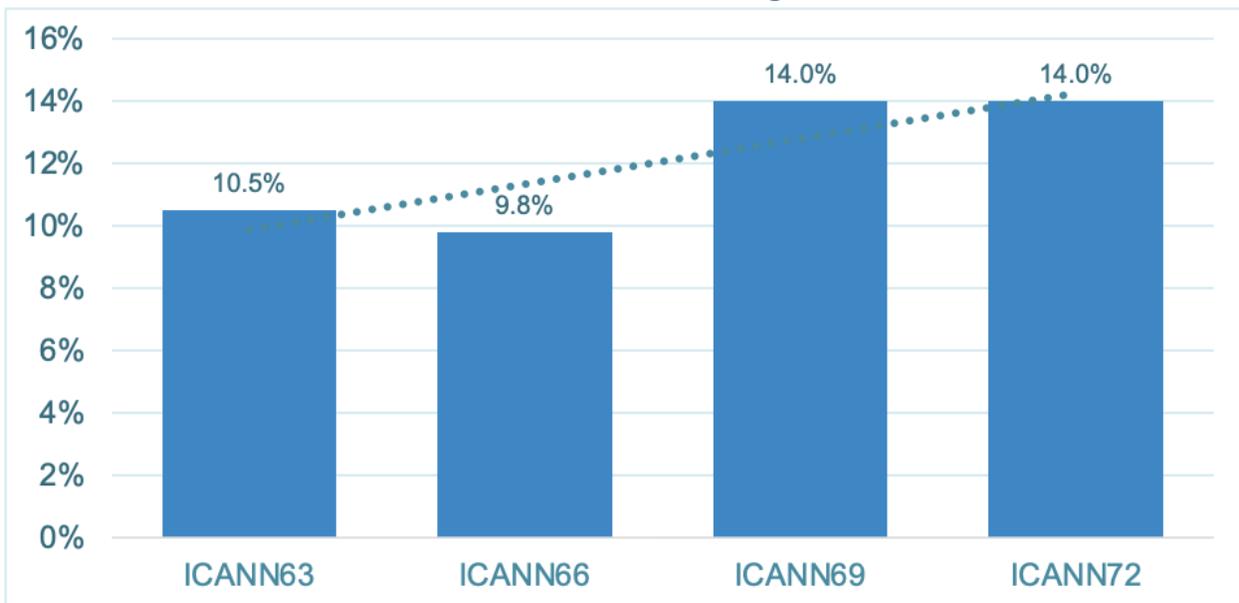
## ANNUAL GENERAL MEETING NEWSLETTERS

- Newsletter open rate performance during Annual General Meetings is trending lower. This can be attributable to the virtual meeting format and lack of in-person images.
- The average click rate is trending slightly higher.

### Newsletters Open Rate, Annual General Meeting



### Newsletters Click Rate, Annual General Meetings





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