

# ICANN Org Report to the Board

*Period Covering: 30 March - 4 September 2020*

**November 2020**



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## Office of the CEO

*Göran Marby, President and CEO*

### KEY HIGHLIGHTS & MILESTONES

From March to September, ICANN org has worked diligently to shift its operations to an entirely remote workforce while continuing to make progress on several high-priority projects. Internally, I've instituted several changes to the org's structure, aimed at enhancing our accountability and ability to support the community's work.

### OVERVIEW OF ACTIVITY

Since the start of my tenure, I've emphasized the importance of maintaining a comprehensive risk-mitigation strategy to ensure that ICANN org is poised to deliver on its Bylaws-mandated responsibilities, regardless of the circumstances. While the COVID-19 pandemic has had an impact on how we conduct business, we were quickly able to leverage our existing risk-mitigation strategies to fit the unique needs of this global health crisis and we continue to find innovative solutions for staff interaction and collaboration.

Despite the challenges that have arisen due to the pandemic, we continue to make significant progress toward our outlined goals and priorities, such as replenishing ICANN's Reserve Fund. While ICANN org originally intended to reach 12 months of operating expenses over a period of eight years, as outlined in the Reserve Fund Replenishment Strategy, we were able to reach that milestone in August – five and a half years ahead of schedule. As President and CEO of ICANN org, I have a responsibility to ensure the org's long-term financial stability, and while this milestone is commendable, I'm committed to further expanding the ICANN Reserve Fund through ongoing contributions.

ICANN org continues to support the community's efforts in high-profile areas, such as the Expedited Policy Development Process (EPDP) on the Temporary Specification for generic Top-Level Domain (gTLD) Registration Data. With the Final Report now approved by the Generic Names Supporting Organization (GNSO) Council, we are working with the European Data Protection Authorities (DPAs) to obtain further legal clarity and guidance on outstanding questions. Their input will be invaluable to ensuring the proposed solution brings ICANN into legal compliance with the General Data Protection Regulation (GDPR).

During this period, I instituted [a series of changes](#) to ICANN org's organizational structure to maximize our efficiency, collaboration, and resources. The Global Domains Division (GDD) and Multistakeholder Strategy & Strategic Initiatives (MSSI) have been merged into Global Domains and Strategy (GDS), and is now led by Theresa Swinehart, one of my co-deputies. I also established the Office of the Chief Financial Officer, led by Xavier Calvez, which includes two newly created departments. The first is Planning, which is responsible for all planning-related activities, and the second is Implementation Operations, which will manage all implementation activities, including reviews recommendations.

### TOP ISSUES & MITIGATION

As part of our overall COVID-19 strategy, we continue to maintain a ban on all work-related travel. We are leveraging the lessons learned from ICANN67 and ICANN68 to enhance future virtual ICANN Public Meetings, including the launch of the Pandemic Internet Access Reimbursement Program, a [pilot program](#) aimed at facilitating participation by offering financial

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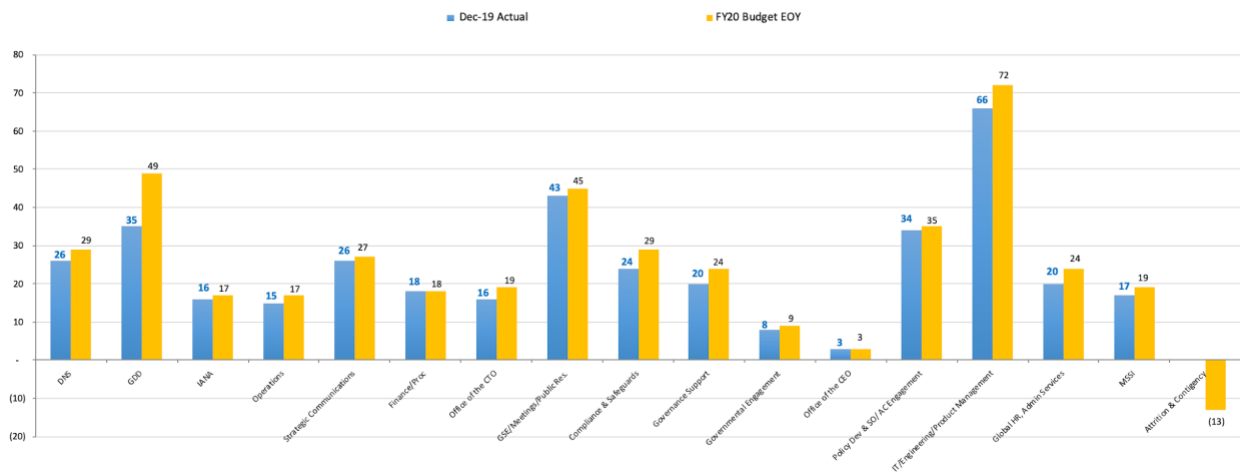
assistance to community members to increase their Internet bandwidth. We are also engaging in a process with the Community to discuss and plan our future meeting strategy. Together, we will provide a set of recommendations to the Board for its consideration.

# Organization People

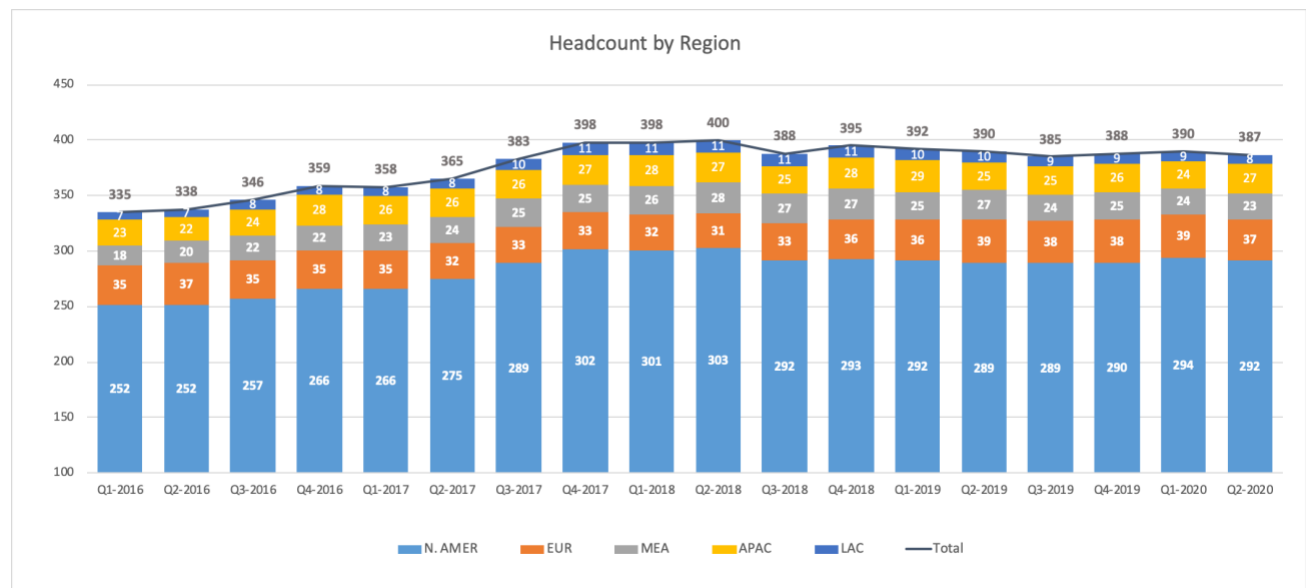
Gina Villavicencio, SVP, Global Human Resources

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

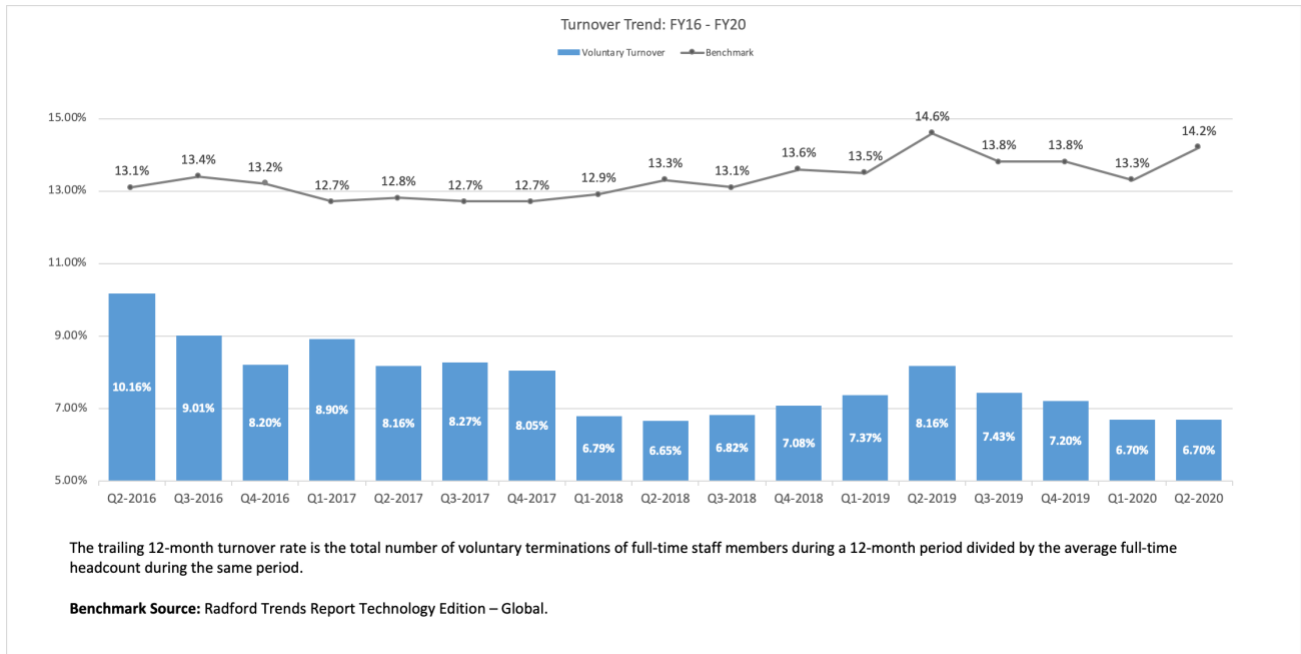
**As of 31 December 2019**, ICANN org had 387 active staff, 30 active requisitions, and one pending hire.



**ICANN Org by Regions:** As of 31 December 2019, the staff distribution by region was 292 (75%) in North America, 37 (10%) in Europe, 23 (6%) in the Middle East and Africa, 27 (7%) in the Asia Pacific, and 8 (2%) in Latin American and Caribbean, for a total of 387.



**Voluntary Turnover** as of 31 December 2019 was 6.70% and has remained the same from the previous reporting period on 30 September 2019. In comparison, the worldwide voluntary benchmark is 14.2%, 7.5% more than the ICANN org voluntary turnover.



Over the last three months, 11 staff members joined ICANN org and 14 departed, resulting in a growth rate of 0%.

**Annual growth rates (from June to June):**

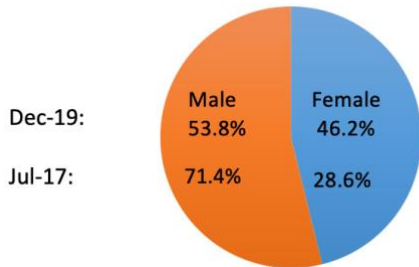
2018 – to Date	0%
2017 – 2018	0%
2016 – 2017	+ 11%
2015 – 2016	+10%
2014 – 2015	+12%
2013 – 2014	+46%

\* The headcount as of 30 June 2018 was 395. Growth rate formula is calculated (present headcount – past headcount) divided by past headcount.

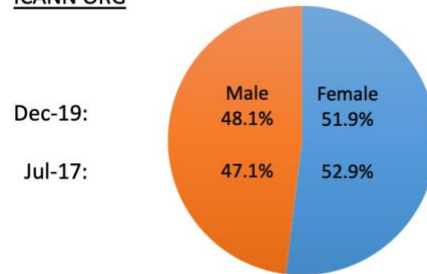
\*Growth rates that are 0% and below are represented simply as 0%.

The **gender diversity** of ICANN org is well-balanced with females (51.9%) having a slight majority. The Executive Team gender balance is improving with 46.2% (female) and 53.8% (male). ICANN org has gender balance from a numerical perspective and continues to provide an opportunity when it comes to leadership positions.

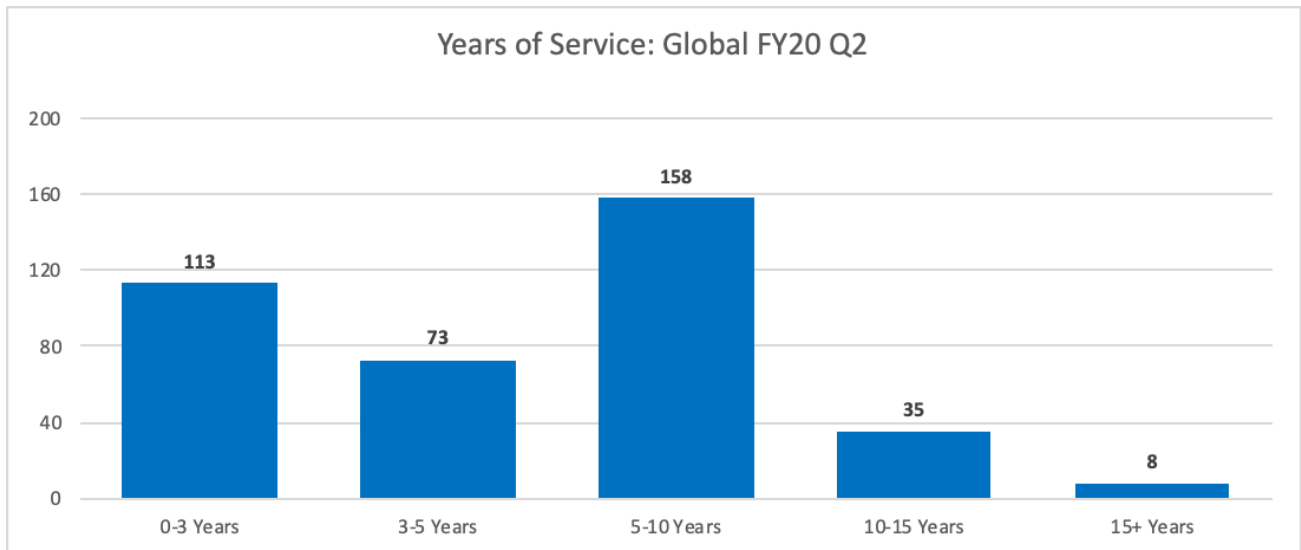
ICANN EXECUTIVES



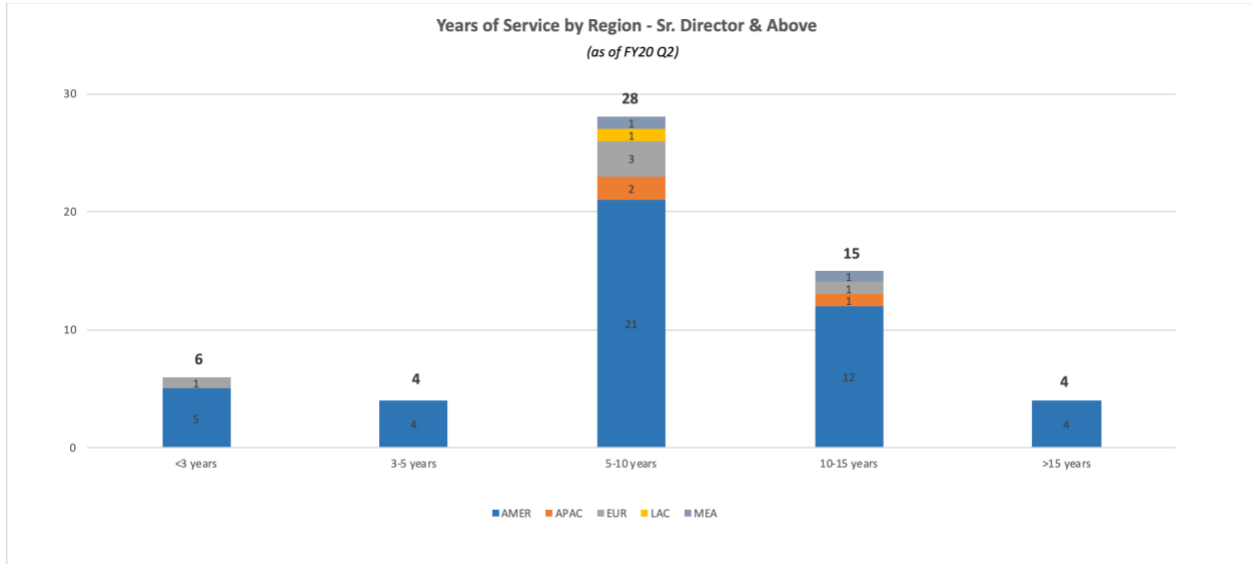
ICANN ORG



**Age distribution** of the organization has also been stable over the last three years, averaging approximately 44 years of age and representing the typical mid-point of most professional careers. The organization's average **years of service** as of December 2019 is 5.3 years, reflecting consistent growth and stability in ICANN org positions.



**Sr. Director & 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 depth of experience and relatively low turnover within senior leadership.





# Organization Finances

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

The FY20 Quarterly Unaudited Financial reporting is located on the Current Financial Information web page: <https://www.icann.org/resources/pages/governance/current-en>

## Financial Overview

The Financial Overview section provides a summary of financial highlights for fiscal year 2020. The financial data included in this report covers 12 months of FY20 unaudited financials ending June 2020. This is the most recent financial information available as of the time of publication of this report.

Impact from the global pandemic was nominal to ICANN financials in the first eight months of the fiscal year (July – February). From March – June, impact was positive in terms of expenses as ICANN org has had materially less than planned expenditures. Funding has remained relatively aligned with budget despite the global pandemic.

Funds Under Management have increased versus the prior year despite initially being negatively impacted by the global pandemic.

USD in millions	FY20 YTD Actual	FY20 YTD Budget	Under / (Over) vs. FY20 Budget	FY19 YTD Actual	Under/(Over) vs. FY19 Actuals
	Total ICANN Operations	Total ICANN Operations	ICANN Operations	Total ICANN Operations	ICANN Operations
Funding	\$140.7	\$140.1	\$0.6	\$136.4	\$4.3
Cash Expenses <sup>(1)</sup>	\$126.1	\$137.1	\$11.1	\$130.0	\$4.0
Excess/(Deficit) Before Contribution	\$14.6	\$3.0	\$11.7	\$6.4	\$8.3
Planned/Actual Reserve Fund Contribution	\$0.0	\$3.0	(\$3.0)	\$3.0	(\$3.0)
Net Operating Excess/(Deficit)	\$14.6	(\$0.0)	\$14.7	\$3.4	\$11.3
End of Period Headcount	387	408	21	388	(1)

1) Expenses exclude depreciation, investment income, and NgTLD Program historical development costs reimbursed to ICANN

**Net Operating Excess at the end of June is \$14.6M, which is \$11.7M higher than budget and \$8.3M higher than the prior year.**

- June year-to-date net excess is \$11.7M higher than budget due to higher than planned Funding of \$0.6M and lower than planned expenses of \$11.1M.
  - Funding is \$0.6M higher than budget primarily due to higher than planned transactions fees from new gTLD \$2.6M, partially offset by lower legacy transaction

- fees (\$0.8M), registrar accreditation fees (\$0.8M), and a delay in the privacy proxy program (\$0.4M).
- o Cash expenses are \$11.1M lower than budget. Professional Services are \$5.6M lower than budget due to a \$3.2M transfer of ITI costs to capital, partially offset by contingency expenses over budget (\$1.4M). There was \$6.2M of savings in Travel and Meetings related to holding ICANN67 and ICANN68 as virtual meetings, as well as travel restrictions. Travel and Meeting expense savings were partially offset by future ICANN Meeting deposit expense write-offs. Admin is \$2.1M lower than budget driven by Regional Offices, ICANN66 Montreal VAT refunds, and lower than planned E&IT costs. Personnel expense is \$2.1M lower than budget due to open positions. Capital is (\$4.9M) higher than budget due to the transfer of \$3.2M in ITI costs initially planned in professional services and unplanned equipment replacements.
- June year-to-date net excess is \$8.3M higher than the prior year due to higher funding of \$4.3M and lower expenses of \$4.0M.
  - o Funding is \$4.3M higher than the prior year primarily due to growth from New gTLD transaction fees and .COM legacy transactions.
  - o Expenses are \$4.0M lower from the prior year driven by Travel and Meetings \$6.1M primarily due to holding ICANN67 and ICANN68 virtually, cancellation of the GDD Summit, and travel restrictions due to the global pandemic; partially offset by Personnel (\$1.6M) due to merit/inflationary increases and one-time costs and Contingency expenses (\$1.6M) due to IMRS Singapore and .ORG change in control legal expenses.

## Financial Overview Expenses

USD in millions Unaudited	FY20 YTD Actual	FY20 YTD Budget	FY20 Actual vs. Budget		FY19 YTD Actual	FY20 Actual vs. FY19 Actual	
Personnel	\$72.6	\$74.6	\$2.1	3%	\$71.0	(\$1.6)	-2%
Travel & Meetings	9.4	15.6	6.2	40%	15.5	6.1	39%
Professional Services	21.4	27.0	5.6	21%	23.4	2.0	9%
Admin and Other <sup>(1)</sup>	15.9	18.0	2.1	12%	16.5	0.6	4%
Capital	6.9	1.9	(4.9)	-254%	3.7	(3.2)	-86%
<b>Cash Expenses</b>	<b>\$126.1</b>	<b>\$137.1</b>	<b>\$11.1</b>	<b>8%</b>	<b>\$130.0</b>	<b>\$4.0</b>	<b>3%</b>
End of Period Headcount	387	408	21	5%	388	(1)	(0%)

(1) Excludes depreciation, bad debt, investment (income)/ expense and (ii) historical development cost reimbursements from the New gTLD Program.

### Expenses are lower than budget by \$11.1M due to:

- Personnel expense is \$2.1M lower than budget driven by open positions, with a 21 headcount lower than planned (*please see Personnel Variance Analysis for more details*).
- Travel and Meetings expenses are \$6.2M lower than budget driven by holding ICANN67 and ICANN68 as virtual meetings \$4.4M, travel restrictions from the global pandemic \$2.2M, cancellation of the GDD Summit \$0.4M, and non-ICANN meeting travel \$0.8M; partially offset by future ICANN Meeting deposit expense write-offs in the amount of (\$1.4M).
- Professional Services are \$5.6M lower than budget driven by:

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- \$1.3M in GDD & DNS primarily due to lower than planned WHOIS Accuracy Reporting System Suspension \$0.4M, data escrow fees \$0.3M, RSTEP Panel Consultants \$0.2M, and various other projects.
  - \$0.3M in Language Services due to \$0.2M related to non-ICANN Meeting Translation and Transcription Services, and \$0.1M savings in services related to ICANN 67.
  - \$0.9M in Meetings due to audio/visual and shuttle service savings from holding ICANN67 and ICANN68 virtually.
  - \$0.6M in Operations primarily due to ICANN Meeting venue and local Medic/Security support cost savings from travel restrictions.
  - \$0.5M in MSSSI primarily related to the suspension of the eprivacy regulation project and less than planned expenses in General Data Protection Regulation (GDPR) Compliance (due to placeholder costs for travel and professional services).
  - \$0.5M Public Responsibility Support primarily related to ~\$0.2M in savings related to two external consultants that facilitate the use & deployment of Auction Proceeds, and ~\$0.1M from Fellowship Program development & training costs.
  - \$0.4 Contractual Compliance primarily related to ~\$0.3M savings from registrar compliance audits that were unable to be conducted (due to COVID-19).
  - Admin expenses are \$2.1M lower than budget:
    - \$0.8M Driven by lower than planned spend in Regional Offices primarily driven by:
      - Savings in the LA Office primarily from parking tax refunds \$0.2M, and parking expense savings \$0.1M for 3 months due to COVID-19 provisions.
      - \$0.5M savings due to lower than planned Office Supplies and Postage across all offices through the FY & lower than planned DC Office Rent Expense.
    - Lower than planned E&IT expenses \$0.6M, notably in teleconferencing and cell phones, as a result of the pandemic and travel restrictions.
  - Capital is (\$4.9M) higher than budget primarily due to expenses relating to ITI. The ITI project is behind schedule from a timing perspective, our budget assumed the platform would have launched by now. We now expect the platform will go live in Fall 2020.
  - Contingency spend is primarily driven by ITI, Legal expenses for GDPR and .ORG change in control, IMRS Singapore, and Finance Contractors.

## Funding – ICANN Organization

Funding Year to Date Twelve Months Ending 30 Jun 2020 (Unaudited)					
In Millions, US dollars	FY20 Actual	FY20 Budget	Var	LY	Inc/ (Dec)
<b>Transactions</b>					
Registry transaction fees - Legacy	\$49.6	\$50.5	(\$0.9)	\$49.0	\$0.6
Registry transaction fees - New gTLD	7.0	5.5	1.5	4.9	2.1
Registrar transaction fees - Legacy	31.3	31.2	0.1	30.8	0.5
Registrar transaction fees- New gTLD	5.7	4.6	1.1	4.0	1.7
<b>Sub-total</b>	<b>\$93.6</b>	<b>\$91.8</b>	<b>\$1.8</b>	<b>\$88.7</b>	<b>\$4.9</b>
<b>Registry Fixed Fees</b>	<b>\$30.1</b>	<b>\$30.3</b>	<b>(\$0.2)</b>	<b>\$30.3</b>	<b>(\$0.2)</b>
<b>Registrar Accreditation</b>					
Application fees	\$0.3	\$0.2	\$0.1	\$0.3	\$0.0
Accreditation fees - annual	9.8	10.7	(0.8)	9.9	(0.1)
Per-registrar variable fees	3.4	3.4	0.0	3.4	0.0
<b>Sub-total</b>	<b>\$13.6</b>	<b>\$14.3</b>	<b>(\$0.7)</b>	<b>\$13.6</b>	<b>(\$0.0)</b>
<b>Contributions</b>					
RIR	\$0.8	\$0.8	-	\$0.8	-
ccTLD	2.2	2.3	(0.0)	2.5	(0.3)
Meeting Sponsorships	0.2	0.3	(0.1)	0.5	(0.3)
<b>Sub-total</b>	<b>\$3.3</b>	<b>\$3.4</b>	<b>(\$0.1)</b>	<b>\$3.9</b>	<b>(\$0.6)</b>
<b>Other</b>	<b>0.2</b>	<b>0.4</b>	<b>(0.2)</b>	<b>-0.1</b>	<b>0.3</b>
<b>ICANN Ops Total</b>	<b>\$140.7</b>	<b>\$140.1</b>	<b>\$0.6</b>	<b>\$136.6</b>	<b>\$4.2</b>
Registry Total	\$86.7	\$86.3	\$0.4	\$84.2	\$2.5
Registrar Total	50.6	50.0	0.5	48.5	2.1
Other	3.4	3.8	(0.4)	3.9	(0.5)
<b>ICANN Ops Total</b>	<b>\$140.7</b>	<b>\$140.1</b>	<b>\$0.6</b>	<b>\$136.6</b>	<b>\$4.2</b>

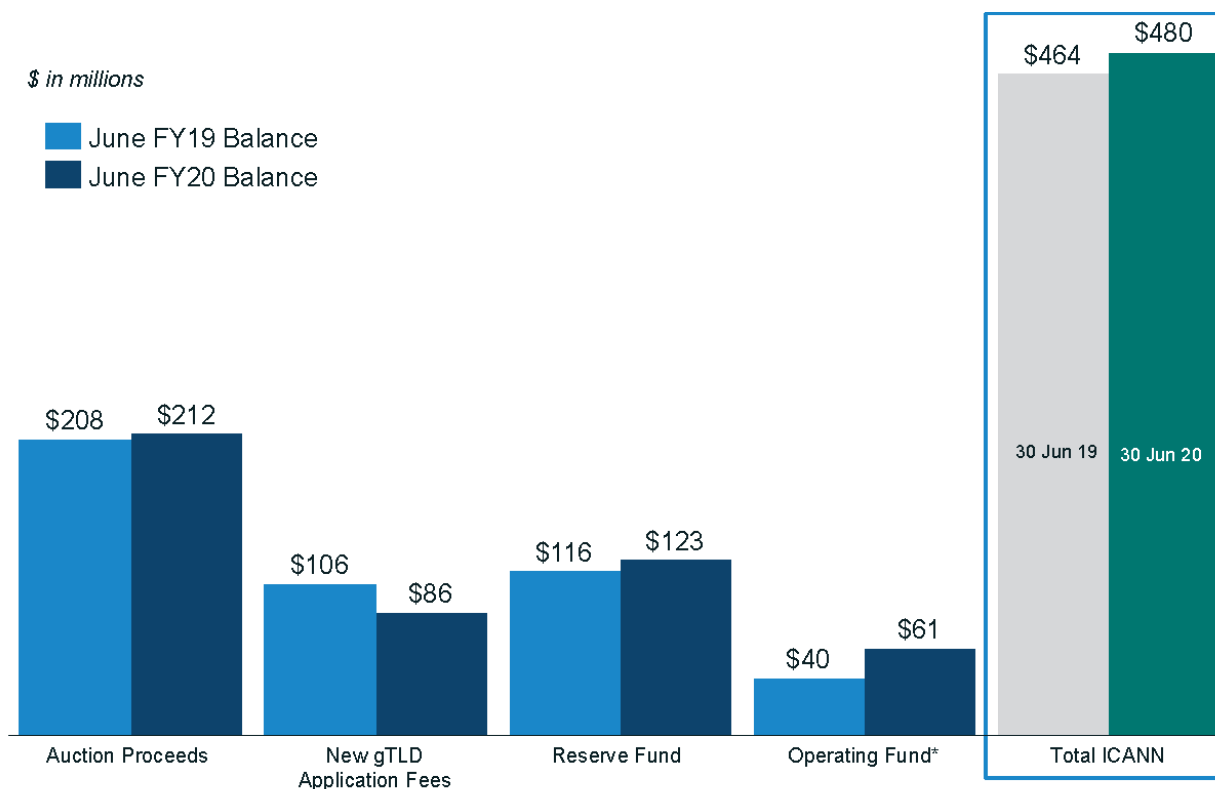
Funding through June is recognized as it is billed:

From July to June, actual transaction fees were \$1.8M higher than planned driven by one-time New gTLD promotional activity, primarily in Q2.

FY20 Funding is \$0.6M higher than budget primarily due to:

- New gTLD transaction fees being \$2.6M higher by than planned, driven by one-time promotional activity primarily in Q2
- Partially offset by:
  - Lower than planned Legacy transaction fees (\$0.8M)
  - Lower than planned Accreditation fees (\$0.8M)
  - Delay in the Privacy Proxy program (\$0.4M)

## Funds Under Management – June Year-to-Date



Total ICANN represents sum of month-end balances for all accounts

\*Blue bars represent month-end balances except for Operating Fund which show rolling 3-month averages

**Funds Under Management as of 30 June 2020 increased by \$15.8M as compared to 30 Jun 2019 (end of FY19) driven primarily by net excess in the operating fund and market gains from the Reserve Fund and Auction Proceeds.**

- Auction Proceeds increased \$4M due to investment gains.
- New gTLD Application Fees decreased \$20M due to a \$20M reimbursement transfer to the ICANN Operating Fund for Program expenses previously incurred.
- The Reserve Fund increased \$7.5M due to a \$3M transfer (FY19 net excess) from the Operating Fund and \$4M of investment gains.
- The Operating Fund increased due to net excess from the current fiscal year and a transfer made from the New gTLD Application fees in the amount of \$20M to reimburse ICANN for New gTLD Program expenses previously incurred and net excess from the current fiscal year.

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# Legal and Complaints Office

*John Jeffrey, General Counsel and Secretary*

## KEY HIGHLIGHTS & MILESTONES

- Final merits hearing took place in Afilias IRP (.WEB). Post-hearing briefs have been submitted.
- Supported the Board in its initial efforts to consider the Final Report of the Cross-Community Working Group on New gTLD Auction Proceeds.
- Supported the org with new initiatives launched by Human Resources implemented to help mitigate the continued challenges of working remotely due to COVID-19.
- Provided legal support for policy development work to consider a system for standardized access/disclosure (SSAD) of nonpublic registration data as a consensus policy.

## OVERVIEW OF ACTIVITY

**Board Operations:** Coordinated and supported the Board work plan prioritization process and sustainable Board continuity planning managing Board workshops and other remote meetings (Committees, Caucuses, WGs, Task Force, weekly Info/social calls). Facilitated onboarding process for new incoming Board member; supported key AGM prep work related to overall scheduling, Stakeholders-Board meetings agenda planning and new slate preparation.

**Complaints Office:** Received two complaints during the reporting period. Of the 54 complaints submitted to date, approximately 60% of closed complaints have led to ICANN org improvements and 31% have resulted in opportunities to educate complainants about the multistakeholder model, ICANN org's remit, and best opportunities to provide input into the multistakeholder model.

**Legal Contracting:** Advised ICANN org on a variety of ongoing contracting-related issues, including: (1) change of control of Neustar-owned registry operator to GoDaddy, Inc.; (2) advice on Registry Agreement/Registrar Accreditation Agreement amendments to add contractual obligation for implementation of Registration Data Access Protocol; (3) renegotiation of multiple contracts (venue, hotels, etc.) relating to COVID-19; and (4) drafting of agreements for virtual ICANN 68 and 69 public meetings.

**Legal Support for GDD and Policy Teams:** Advised teams across ICANN org concerning data privacy matters. Advised the GDD Team on gTLD issues, including implementation of policy recommendations concerning accreditation of privacy and proxy service providers and the phase 1 recommendations of the Expedited Policy Development Process on the Temporary Specification for gTLD Registration Data (EPDP). Preparatory efforts for future policy development work concerning the Transfer Policy. Supported and advised ICANN org teams in preparing materials for the Board. Advised the Global Stakeholder Engagement team concerning ICANN org outreach related to the GDPR and other global privacy legislation.

**Legal Support for Global Stakeholder Engagement, Strategic Initiatives and Implementation of IANA Stewardship Transition:** Provided legal and strategic inputs into ICANN org's efforts to bring the pending recommendations from the Competition and Consumer Choice & Trust (CCT) review to the Board for further action, as well as considering the third Accountability and Transparency Review Final Report for Board action, including through additional community engagement. Supported the work of the IANA Naming Function Review

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Team through presentations and availability to answer questions. Supported the OEC's work to conclude Organizational Reviews of the ccNSO, Nominating Committee and ALAC to a close.

**Litigation and Internal Services:** DCA's appeal in .AFRICA lawsuit is pending. Panel in .HOTEL IRP denied in part and granted in part Claimants' request for emergency interim relief; .HOTEL contention set remains on hold during pendency of the IRP. Discovery is in process in the Namecheap IRP (.ORG, .INFO, and .BIZ). ICANN prevailed in arbitration against .WED registry operator for noncompliance with payment obligations. Updated process for payment of outside counsel legal fees in significant matters. Provided legal support for PTI and ICANN FY20 audits.

## TOP ISSUES & 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

Theresa Swinehart, SVP, Global Domains & Strategy

## KEY HIGHLIGHTS & MILESTONES

### Integration of GDD and MSSI

- Key developments during this period include the [integration](#) of the Global Domains Division (GDD) with the Multistakeholder Strategy & Strategic Initiatives team, to create a new department: Global Domains and Strategy (GDS). This integration allows ICANN org to address subject areas that bridge policy, review recommendations, strategy, and specific initiatives impacting stakeholders. It also enables ICANN org to further leverage natural synergies and efficiencies, strengthen collaboration, ensure coordination with relevant policy implementation planning activities, and better support stakeholders and the community.
- Please see the Reviews section (Support and Implementation) for comprehensive reporting on reviews and Work Stream 2.

### Data Protection and Privacy

- Continued to oversee the coordination of an ICANN org cross-functional team focused on seeking input from the European Data Protection Board about whether a Unified Access Model is possible under the European Union's General Data Protection Regulation.
- Provided ongoing support for Phase 2 of the Expedited Policy Development Process, as one of two liaisons to the policy development group. This included providing feedback on possible implementation considerations for the team's proposed recommendations. The EPDP Phase 2 team [submitted](#) its final report to the GNSO Council on 31 July 2020.
- Published seven new pieces of correspondence related to data protection and privacy, which can be viewed [here](#).

### Evolving ICANN's Multistakeholder Model (MSM)

- After the [public comment addressing the draft "Evolving ICANN's Multistakeholder Model" work plan included as Appendix C for the FY21-25 Operating and Financial Plan](#) was closed on 25 February 2020, the Board received the input from the community and agreed that a holistic approach to evolving the multistakeholder model must not duplicate work underway or put additional strain on volunteers. Consequently, the plan was updated with the work areas proposed by the community with the caveat from the Board regarding the workload and alignment of priorities between the Board, the community, and the ICANN org.
- The [updated plan was published and submitted for public comment](#) on 4 June 2020 and closed on 2 August 2020. Input from this public comment period was published in the ICANN org [report](#), discussed by the Board Caucus, and integrated in the work plan. The final version of the work plan will be published later in 2020.
- The Global Domains and Strategy Division (GDS) will hand the project to the ICANN org's new implementation function to track the progress of the work.

### Domain Name Marketplace Indicators

- In June, the updated [Domain Name Marketplace Indicators](#) was released through the ICANN Open Data Platform. The indicators reflect industry metrics related to generic top-level domains (gTLDs) and country code top-level domains (ccTLDs), with the aim of fostering greater transparency for reputable information on the evolution of the domain name marketplace. This launch represents a key milestone as the new platform allows for improved access to, and presentation of, metrics and data.



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## Registrant Program

- Published the [third edition of its ongoing reporting series on Issues and Challenges Impacting Domain Name Registrants](#), containing updated data from the ICANN Global Support Center (GSC) and Contractual Compliance. The report also provides observations of registrant issues and challenges from GSC and Contractual Compliance based on their interactions with registrants.
- Launched an ICANN Learn course entitled, *Registrant Basics: Essentials for Domain Name Holders*, aimed at educating registrants and the broader end user community about the rights and responsibilities of registrants and some of the ICANN policies that impact them. This course is intended to dispel confusion about domain names, ICANN's role, and the policies that affect registrants when registering and managing domain names.
- Published a [blog](#) about how to identify phishing scams, DNSSEC-signing domain names, and other tips to help registrants responsibly and securely manage their domain names. The ["Do you have a domain name? Here's what you need to know" blog series](#) is part of the Registrant Program's broader effort to educate registrants about their rights and responsibilities, the domain name ecosystem, how to navigate it, and the ICANN policies that impact them.
- Given issues in the domain name industry ecosystem in light of the COVID-19 pandemic, ICANN org [invoked](#) section 3.7.5.1 of the 2013 [Registrar Accreditation Agreement](#) for the [second time](#). This clause permits registrars to temporarily forebear from cancelling domain name registrations that were unable to be renewed as a result of a natural disaster. The COVID-19 pandemic once again highlights the potential need for a policy initiative to protect registrants when they are unable to renew their domains as a result of natural disasters or other extraordinary circumstances. In the interim, we encourage contracted parties to take these circumstances into consideration when reviewing renewal delinquencies.

## Internationalized Domain Names (IDNs) and Universal Acceptance (UA)

- Launched an internal, cross-functional IDN-UA Steering Committee that will cover both IDN Implementation and UA-readiness as per ICANN's FY21-25 Strategic Plan. The steering committee will complement the work being done by the community. The primary objectives of the Steering Committee include: 1) Effectively strategize, plan and communicate cross-functional IDN and UA related work by ICANN org as defined in the scope, and 2) Review and monitor the progress of its planned work to achieve its effective and coordinated implementation.
- Completed the String Evaluation of the proposed Internationalized Domain Name (IDN) country code top-level domain (ccTLD) string for Israel. Details of the evaluation are provided [here](#). With this evaluation completed, 62 string requests for a total of 43 countries/territories have now successfully passed through the String Evaluation. Of these, 60 IDN ccTLDs representing 41 countries and territories are delegated in the DNS root zone, with the remainder either readying to apply, or actively applying, for delegation of the string.
- Began working with registries and registry service providers to ensure there is a complete and current set of IDN tables used for generic top-level domains in IANA Repository of IDN Practices. Ensuring that the most current version of the IDN tables are published in the repository is a Registry Agreement contractual obligation, and will serve as a building block for continued improvements related to IDN implementation.

## Naming Services portal (NSp)

Rolled out the Contractual Compliance solution within the NSp, which will allow contracted parties to interact and communicate with ICANN from a single platform. This solution will also

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support new functions, such as viewing and responding to compliance cases from ICANN Contractual Compliance from within the portal.

### **Contracted Parties Satisfaction Survey**

ICANN org [published](#) the results of the 2020 Contracted Parties Satisfaction Survey, which is used to improve processes and services. In general, respondents believe GDD has a clear understanding of the current domain industry and the challenges faced by the contracted parties. They also value the relationship that GDD has established with their organizations and its ability to collaborate with the contracted parties. As for areas of improvement, responses included the need to open the survey to other parts of the ICANN organization for feedback such as Finance and Contractual Compliance, additional language support in Korean and Vietnamese, and account management support in Spanish. In addition, 81 percent of respondents stated they can do more to voice their opinions to the GDD and 83 percent found the results of the annual Contracted Parties Satisfaction Survey informative and useful.

## **OVERVIEW OF ACTIVITY**

### **SLA Monitoring System – Additional Compliance Checks**

- Completed the implementation of additional compliance checks in the service-level-agreement (SLA) monitoring system. This release incorporates monitoring for five additional service level requirements from the registry agreement. Next steps include adding support for Registration Data Access Protocol (RDAP) monitoring for registries and WHOIS, web WHOIS, and RDAP monitoring for registrars.

### **ICANN68 (Policy Forum)**

- Held a webinar during ICANN68 Prep Week: [Universal Acceptance Annual Strategic Action Plan Webinar](#)
- Supported an At-Large policy session at ICANN68 Virtual Policy Forum on: [Aligning UA and IDNs with the Multilingual Internet: End-user perspectives](#)
- Provided support to the community for several sessions on a range of topics including Subsequent Procedures.

### **New gTLD Program - Subsequent Procedures**

- ICANN org completed a series of regular updates to the Board Caucus on New gTLD Subsequent Procedures Policy Development Process, to brief members on the recommendations under development.
- The PDP Working Group posted its [Draft Final Report](#) for public comment on 20 August 2020.

### **Service Delivery & Support**

- A total of 921 service requests were completed during the period, including the renewal of 143 Registrar Accreditation Agreements (RAAs). The RAAs of 13 registrars were terminated (all voluntarily) and one new registrar was accredited (in Asia Pacific). Eleven Registry Services Evaluation Policy (RSEP) requests for 256 gTLDs were completed and 8 gTLD Registry Agreements were terminated.
- The Global Support team answered 2,695 phone calls and closed 8,659 cases. ICANN's contracted parties represented 16 percent of the inquiries. The remaining 84 percent were from registrants and the community. The team achieved an overall customer satisfaction score of 4.2 on a 5-point scale related to "How satisfied are you with the service you received from ICANN?"

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### **Action Request Register (ARR)**

- The ICANN Board received 29 advisories related to ALAC, RSSAC, SSAC, and GAC advice, which translates to 43 pieces of individual advice (advisories often contain more than one piece of advice). Twenty five require action from the ICANN Board, and 18 are statements and/or informational advisories that don't contain a specific recommendation for the ICANN Board. In addition, the ALAC issued nine public statements.
- ICANN org handled 200 cases related to the work of processing correspondence using the ARR framework. Of those, 23 were letters requiring substantive responses, which were published on the ICANN correspondence page. ICANN also published 10 letters directed to the ICANN community; these letters are used to inform the community or request information on various topics.

### **New gTLD Program**

- As of 4 September 2020, 35 applications remain in the 2012 Round with two applications actively working toward contracting. During this period, no applicants withdrew from the Program and agreements for eight TLDs were subsequently terminated and removed from the root zone

### **Contracted Parties Notification**

- GDD sent 24 [notifications](#) to contacted parties during this period.

### **Public Comment Activity**

- Reference Label Generation Rulesets (LGRs) for the Second Level (opened 24 Aug., closes 15 Oct.)
- GNSO New gTLD Subsequent Procedures Draft Final Report (opened 20 Aug., closes 30 Sept.)
- Label Generation Rules for the Root Zone Version 4 (RZ-LGR-4) (opened 29 Jun., closed 11 Aug.)
- Third Accountability and Transparency Review Team (ATR3) Final Report (opened 16 Jun., closed 31 Jul.)
- Enhancing the Effectiveness of ICANN's Multistakeholder Model – Next Steps (opened 4 Jun., closed 2 Aug.)
- Proposal for Malayalam Script Root Zone Label Generation Rules – Second Public Comment Proceeding (opened 7 May, closed 17 Jun.)
- Draft PTI FY21-24 Strategic Plan (opened 20 Apr., closed 1 Jun.)
- Guidelines for Developing Reference Label Generation Rules (LGRs) for the Second Level Version 2 (opened 30 Mar., closed 12 May)
- Proposal for Bangla Script Root Zone Label Generation Rules (opened 2 Mar., closed 23 Apr.)
- Proposal for Chinese Script Root Zone Label Generation Rules (opened 28 Feb., closed 20 Apr.)

### **Universal Acceptance Steering Group (UASG)**

- Continued to work with the community to organize Universal Acceptance Ambassadors and local initiatives to address UA-readiness.
  - Current UA Ambassador presence in: Benin, Brazil, China, Egypt, India, Nigeria, South Africa, Turkey, United States

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- Current local initiative presence in: CIS-EE (Armenia, Belarus, Georgia, Latvia, Russia, Serbia, and Ukraine), China, India, and Thailand, CIS-EE, China, Egypt, India, and Latin America/Caribbean.
  - Conducted technical training through UA train-the-trainer program from May-July 2020, training 40+ trainers from 15+ countries, and including ICANN internal staff from GSE and TE teams. The training covers developing UA reading applications and configuring mailsevers to support internationalized email addresses. Materials are published at the [UA Training Wiki page](#). The training is also being disseminated globally, including Networking from Home program of APNIC, at APNIC50 and CSNOG2020.
  - Published weekly social media content to promote UASG resources, blogs and industry news. Created the “Get to Know the UA Ambassadors” series to promote the work of global UA volunteers.
  - Published educational material including:
    - Case Study - ICANN: [https://uasg.tech/wp-content/uploads/2020/03/UASG\\_ICANN\\_Case\\_Study\\_UASG013C.2.pdf](https://uasg.tech/wp-content/uploads/2020/03/UASG_ICANN_Case_Study_UASG013C.2.pdf) [[uasg.tech](#)]
      - Blog promo: <https://uasg.tech/2020/04/icann-ua-case-study-published/> [[uasg.tech](#)]
    - Documentation
      - Country-Based Evaluation of Websites for Acceptance of Email Addresses in 2020 (UASG 027): <https://uasg.tech/wp-content/uploads/documents/UASG027-en-digital.pdf> [[uasg.tech](#)]
        - Blog promo: <https://uasg.tech/2020/05/now-available-country-based-evaluation-of-websites-for-acceptance-of-email-addresses-in-2020/> [[uasg.tech](#)]
      - Universal Acceptance Readiness Framework (UASG 026): <https://uasg.tech/wp-content/uploads/documents/UASG026-en-digital.pdf> [[uasg.tech](#)]
        - Blog promo: <https://uasg.tech/2020/04/new-resource-for-developers-introducing-the-universal-acceptance-readiness-framework/> [[uasg.tech](#)]
    - Blogs (additional blogs on UA initiatives not outlined in the above activities)
      - New UA Ambassadors: <https://uasg.tech/2020/06/uasg-welcomes-six-new-ua-ambassadors/> [[uasg.tech](#)]
      - UA FY21 Action Plan Webinar: <https://uasg.tech/2020/08/youre-invited-to-the-ua-fy21-action-plan-webinar/> [[uasg.tech](#)]

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# Contractual Compliance and Consumer Safeguards

*Jamie Hedlund, SVP, Contractual Compliance & Consumer Safeguards and Managing Director  
– Washington D.C. office*

## OVERVIEW OF ACTIVITY

### **NSp Compliance**

The Naming Services portal for Compliance (“NSp Compliance”), Phase 1, was successfully launched on 29 August 2020. NSp Compliance provides greater functionality and includes “smart forms” tailored to individual complaint types. It also comprises improved data-captured capabilities for enhanced reporting.

Migration to NSp will encompass two phases: Phase 1, which includes all functionally needed to address compliance cases triggered by external complaints. Phase 2 will include internally created compliance cases resulting from monitoring systems.

**Tickets existing in the legacy system prior to the launch will not be migrated. They will remain in the legacy system until they are closed. Therefore, for a period of time, the Compliance team will work on both systems.**

### **Notices of Breach, Suspension, Termination and Non-Renewal**

None during this reporting period.

All Contractual Compliance Enforcement notices can be found on [ICANN.org](https://www.icann.org).

### **Audit Program**

Following the successful completion of the registry operator audit focused on Domain Name System (DNS) security threats (report available [here](#)), ICANN Compliance, jointly with OCTO, has developed the approach and currently is gathering information to launch a registrar audit also focused on DNS security threats. The approach and audit questionnaire have been discussed with the Registrar Stakeholder Group (RrSG).

The most recent discussion with RrSG regarding the audit approach took place on 14 September 2020 during which most of the remaining RrSG’s concerns were addressed.

The RrSG have recently indicated that registrars want Data Processing Agreements (DPAs) executed with ICANN before the next audit can launch. Discussions with the RrSG and ICANN Legal are ongoing.

Compliance, along with ICANN Procurement, has finalized the review of responses and proposed fees received in response to the Request for Proposal for the audit vendor. A final decision is pending while we will continue to use the current vendor (KPMG) for the upcoming Registrar audit.

### **Compliance Matters Related to Registrars and Registry Operators**

During this reporting period, Contractual Compliance received a total of 9,431 new complaints (8,200 in registrar complaint types, and 1,231 in registry operator complaint types) and sent 1662 inquiries and notices (collectively referred to as “compliance notifications”) to contracted parties. This number (1662) refers to 1st, 2nd and 3rd compliance notifications and does not

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account for notifications sent to request clarification or additional evidence following a contracted party's response.

The majority of notifications sent to registrars addressed obligations related to the accuracy of the WHOIS data associated with domain names, the handling of abuse reports and RDAP implementation. The majority of notifications sent to registry operators addressed obligations related to zone file access requests. From March to August, Contractual Compliance closed 8,122 complaints without contacting the contracted party due to the complaint being out of scope of ICANN's policies and agreements. Examples of complaints closed without contacting the contracted party are where complainant did not respond to ICANN Contractual Compliance's request for evidence, complained about a domain registered in a country-code top level domain, submitted duplicate complaint before resolution of original complaint or about an issue already resolved at the time the complaint was reviewed (e.g., domain subject to WHOIS inaccuracy complaint already). In all cases, the Compliance team educated complainants on ICANN's scope and provided alternatives.

The 2020 Monthly Dashboards for March – August are published on [ICANN.org](https://www.icann.org).

### **Registration Data Access Protocol (RDAP) Implementation**

The Contractual Compliance team continued processing Registration Data Access Protocol (RDAP) service-related compliance notifications. From October 2019 to August 2020, the Compliance team sent notifications to 291 registrars and 15 registry operators with respect to the implementation of RDAP service and registration of base Uniform Resource Locators (URLs). As a result, 255 registrars uploaded their URL to the Naming Services portal (NSp), and 12 registries registered their URL with IANA. The Compliance team continues to collaborate with contracted parties that have not yet implemented RDAP but have presented remediation measures to become compliant. These contracted parties are requested to provide regular updates to their open compliance tickets regarding their progress towards remediation. To date, Compliance has received no third-party complaints concerning RDAP. There has been no indication that any registrars or registry operators have ceased to operate WHOIS services.

The Compliance team continues to participate in regular cross-functional meetings surrounding the current status of RDAP enforcement, development of RDAP implementation into contractual amendments and timeline of transition from RDAP to sunset of WHOIS.

### **Policy and Working Group Efforts**

The Compliance team continues to work with the MSSI team on multiple reviews assessing the recommendations produced by review teams. During this reporting period, the following activities took place:

- Competition, Consumer Trust & Consumer Choice Final Recommendations – reviewing and finalizing materials for Board consideration.
- Provided input regarding metrics used for the Domain Name Marketplace Indicators initiative.
- Continued providing contractual compliance input for implementation of the Expedited Policy Development Process (EPDP) on Temporary Specification for gTLD Registration Data Phase 1 recommendations and participating in review of report for EPDP Phase 2.

### **Compliance Outreach**

No formal Outreach sessions were conducted during this reporting period.



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## **Registrar and Registry Compliance Checks**

A total of 5983 registrars and 106 TLDs went through compliance reviews from March to August 2020 by the request from the Global Domains Division (GDD) to ensure that a contracted party is in good standing.

## **Enforcement of the Temporary Specification for gTLD Registration Data via the Interim Registration Data Policy**

In March, Contractual Compliance continued to process Temporary Specification-related compliance inquiries; sent five new inquiries concerning the display of Registration Data in RDDS (Sections 2.2-2.6 Appendix A); and three new inquiries concerning third-party access to non-public Registration Data (Section 4.1 Appendix A).

In April, Contractual Compliance continued to process Temporary Specification-related compliance inquiries; sent three new inquiries concerning the display of Registration Data in RDDS (Sections 2.2-2.6 Appendix A) and one new inquiry concerning third-party access to non-public Registration Data (Section 4.1 Appendix A); and conducted outreach calls with two registrars concerning ongoing third-party access to non-public Registration Data inquiries.

In May, Contractual Compliance continued to process Temporary Specification-related compliance inquiries and sent two new inquiries concerning the display of Registration Data in RDDS (Sections 2.2-2.6 Appendix A) and one new inquiry concerning third-party access to non-public Registration Data (Section 4.1 Appendix A).

In June, Contractual Compliance continued to process Temporary Specification-related compliance inquiries and initiated four new inquiries concerning the display of Registration Data in RDDS (Sections 2.2-2.6 Appendix A).

In July, Contractual Compliance continued to process Temporary Specification-related compliance inquiries and initiated five new inquiries concerning the display of Registration Data in RDDS (Sections 2.2-2.6 Appendix A).

In August, Contractual Compliance continued to process Temporary Specification-related compliance inquiries; initiated three new inquiries concerning the display of Registration Data in RDDS (Sections 2.2-2.6 Appendix A); and one new inquiry concerning consent to display Registration Data in the RDDS by the Registered Name Holder (Section 7.2).

The Contractual Compliance team continued addressing previously submitted cases currently under remediation or pending further response and collaboration. It also continued educating complainants on Temporary Specification requirements for out of scope/invalid complaints (e.g., where complainants believe Registration Data redacted per the Temporary Specification is “missing” from public WHOIS, privacy/proxy service data are redactions, or that all non-European data should be displayed, etc.).

In March, the Compliance team began participating on the GDD project for responding to the GAC Montreal Communique concerning key education initiatives surrounding third-party access to non-public Registration Data, mainly creating a voluntary form for third-party requesters to submit requests to registrars.

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Additionally, in May, the Contractual Compliance team added to its monthly dashboard metrics related to complaints received related to alleged violations of the Temporary Specification, compliance notices/inquiries sent and closed during the month of May which related to the Temporary Specification, as well as the reasons for the closure. These types of metrics will continue to be provided in subsequent monthly reports.

During this reporting period, the Compliance team continued:

- providing contractual compliance input for implementation of EPDP Phase 1 recommendations, specifically concerning policy language and enforcement;
- providing metrics related to complaints received related to alleged violations of the Temporary Specification and compliance notices/inquiries sent and closed during the month;
- participating in weekly EPDP recommendation 27 analysis, including identification of impacts on ICANN policies & procedures, contractual obligations under the Registrar Accreditation Agreement and Registry Agreements, and how such impacts affect contractual obligations;
- participating in sub-team meetings concerning rationale documents to identify conflicting IRT input and impacts on contractual obligations;
- Participating on the GDD project for responding to the GAC Montreal Communique concerning key education initiatives surrounding third-party access to non-public Registration Data, mainly creating a voluntary form for third-party requesters to submit requests to registrars;
- participating in review of initial report and draft final report for EPDP Phase 2;
- participating in sub-team meetings for conflict assessment between the RAA/RAs and EPDP Phase 1 recommendations; and
- participating in review of initial report and draft final report for EPDP Phase 2, including assessment of implementation challenges and presentation to the Executive team.

### **Annual Compliance Certification Review Efforts**

Contractual Compliance continued its review of both registrar and registry operator annual compliance certifications. These certifications are required of contracted parties on an annual basis and are due by 20 January each year. The certifications are confirmation by the contracted parties that they have conducted internal reviews and were in compliance with their contractual obligations for the prior year. Currently, three Registrars have not provided ICANN with the annual certifications for 2019 and Compliance is following up accordingly.

For registries, Contractual Compliance is continuing to review the content and form of each certificate submitted and follow up for missing certificates. Most of the reviewed TLDs do not require further inquiries from Compliance.

### **TOP ISSUES & MITIGATION**

None during this reporting period.



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# Risk Management

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

## KEY HIGHLIGHTS & MILESTONES

The org's first draft Risk Appetite Statement was presented to the Board.

## OVERVIEW OF ACTIVITY

The ICANN Org draft Risk Appetite Statement was presented to the Board. A Board Resolution for endorsement of the statement by the Board is being prepared for the Board's consideration. The statement will set the tone for risk management throughout the Org with the endorsement of the Board and Org executive management. The Org Risk Liaison Network incorporated existential threats into the Risk Register as part of the Board Operational Priorities, with the results being presented to the Board Risk Committee. The Existential Threat analysis will be used to inform the strategic planning process. It is also important to note that the cadence of processes established under the Risk Management Framework have continued as planned, evidencing the embedding of the Framework in the org and the evolution of a risk aware culture in the org.

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# Planning

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

## KEY HIGHLIGHTS & MILESTONES

- ICANN org announced the formation of a new Planning Department, effective 1 July 2020. The focus of the function is to continuously develop the effectiveness of the organization through adequate planning and measurement of the delivery against plans.
- The Planning team's primary goal is to facilitate the organization's planning process.
- The planning activities include all the identification and evaluation of external trends, threats and opportunities, definition of the strategy, definition of the operational delivery of the strategy developed, as well as the measurement and reporting of performance against the adopted plans.
- The Planning team leads engagement efforts and interacts with a broad range of stakeholders including the public, the ICANN community of stakeholders, the ICANN Board of Directors, the executive management of the organization, and all functional levels of the organization.
- The ICANN Board adopted ICANN's FY21-25 Operating and Financial Plan and FY21 Budget on 7 May 2020. The Empowered Community period terminated and the FY21 ICANN Plans went into effect at the beginning of the FY21 fiscal year on 1 July 2020.
- The FY21-25 Operating and Financial Plan demonstrate how ICANN org will implement the Strategic Plan for Fiscal Years 2021–2025 that was adopted by the ICANN Board in June 2019. The FY21 Operating Plan and Budget reflects the planned activities for 1 July 2020 through 30 June 2021. In addition, the plans adopted take into account the potential impacts of the COVID-19 pandemic on ICANN org's current and planned work.
- The FY22 Planning process was launched in July 2020 with the planning of the FY22-FY26 Rolling Plans and the annual FY22 Operating plan and budget. A PTI/IANA Community Webinar was held in August 2020. The FY22 Process and Calendar was presented to the BFC in September 2020. In addition, a community webinar is scheduled for ICANN 69 Prep Week.

## OVERVIEW OF ACTIVITY

### **Strategic Outlook and Strategic Planning:**

Following the 21 trend sessions conducted with ICANN org and community between November 2019 and March 2020. The Trends analysis phase of the 2020 Strategic Outlook took place, resulting in a report being reviewed by the ICANN org Executive Team and the Board. Discussions with the Board on evaluating the trends as part of a rolling planning process are underway.

### **Operating Plans and Budget:**

The [Proposed for Board Adoption FY21-25 Operating and Financial Plan and Proposed for Board Adoption FY21 Operating Plan and Budget](#), which present ICANN's latest operating plans and financial projections due to the impact of the COVID-19 pandemic on ICANN org's current and planned work, were published to the community at the time they were sent to the ICANN Board. Two community webinars were held in April to discuss the impact of the COVID-19 pandemic on ICANN org's Revised Draft FY21-25 Operating and Financial Plan and FY21 Operating Plan and Budget. The Plans were adopted by the ICANN Board in May. The Empowered Community period terminated and the FY21 ICANN the plans went into effect at the beginning of the FY21 fiscal year on 1 July 2020.

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The FY22 planning process was launched after the creation of the new Planning Department. A review of the FY22 Process and Calendar will be presented to the BFC in September. Then a community webinar is scheduled for ICANN 69 Prep Week.

Reporting of Progress toward the FY21-25 Strategic Plan is important to ICANN's accountability and transparency. The team has been assessing improvements over the current reporting mechanisms while incorporating community feedback to develop an enhanced reporting of the progress toward the new five-year plan.

## TOP ISSUES & MITIGATION

With the ICANN Meetings as virtual meeting sessions and the amount of work that the community, Board and org have to do, there is a need for a more formal and structured approach for planning at ICANN. The establishment of the Planning Department allows for dedicated resources to be focused on all aspects of planning work.

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# Global Human Resources, Administrative Services, Security Operations

*Gina Villavicencio, SVP, Global Human Resources*

## KEY HIGHLIGHTS & MILESTONES

All three departments contributed to the org's efforts in response to support staff while the COVID-19 pandemic swept across the globe. In addition, the advancement of discussions around the impact of civil unrest in the U.S. and how staff can foster allyship was also done. Security Operations continued to play a critical role in coordinating, planning, and facilitating the org's crisis response and planning for a return to normal operations. Human Resources and Administrative Services provided tools, resources, and support to management and staff to assist the transition to full work-from-home culture and manage personal and work challenges. Additionally, Human Resources facilitated a major restructure of MSSSI, GDD, Finance, and Operations teams resulting in the new Global Domains and Strategy (GDS) function, as well as a new Planning department amongst other organizational changes. In addition, the annual staff engagement survey was completed, and a refresh of the Performance Management process was done for all managers and staff. Staff learning and development focused on effective communication, teamwork, and valuing differences.

## OVERVIEW OF ACTIVITY

### Global Human Resources:

- **Organizational & Staff Changes:** Facilitated integration of the MSSSI and GDD functions to create the new Global Domains and Strategy (GDS) function under the executive leadership of Theresa Swinehart and established a new org-wide planning department as part of the Office of the Chief Financial Officer (OCFO). Following the departure of the Chief Operations Officer, Susanna Bennett, those departments were integrated into other functional areas of the org: Security Operations joined Global Human Resources, Board Operations joined Legal, and Risk Management joined OCFO. As a financial precaution due to COVID-19, all existing vacancies were reviewed and more than half were temporarily deprioritized. During the period, 13 vacancies were filled.
- **Annual Staff Engagement Survey:** The survey was completed in June with 97% overall participation, a six-point increase over the previous year. Functional results were cascaded through August, one month sooner than last year. Significant improvements were achieved in selected areas of focus including new initiatives implementation, establishing a project management framework, professional growth opportunities through prioritizing internal hiring where possible, establishing a common online platform for learning branded as ICANN University, and improving internal communications and regional collaboration. Continued focus remains on work prioritization and planning, professional development, and maintaining and improving communications.
- **Performance Management:** Completed the FY20 SR2 review cycle for all staff. Revamped the Performance Management system to drive efficiency and improve consistency of performance reviews in advance of FY21 SR1 reviews starting in October 2020.
- **Staff Learning and Development:** Completed the centralization of all staff training modules onto the ICANN University platform with the addition of compliance and security training courses, and transitioned compliance training for the Board and contractors to the ICANN Learn platform. Facilitated new workshops for staff on business writing and language skills to improve communications. Continued to drive the development of leadership skills for managers through our ICANN Leadership Education and Development (LEAD) program.

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- **Benefits & Compensation:** Provided communications to staff on enhanced benefits and other key information for COVID-19 and partnered with Administrative Services on the ICANN Be Well program to provide new tools and services to staff, including providing staff and their families with access to Headspace, an award-winning mindfulness and sleep application. Completed the 401k fiduciary advisor selection and contract process. Completed the group benefits renewal for Turkey staff resulting in a better plan for staff, improved administrative efficiency and cost savings. Distributed At-Risk payments for eligible staff in July. Completed the ACMR review processes for all staff, but postponed any pay changes as a financial precaution due to COVID-19 with a commitment to review the delay no later than November 2020.

#### **Administrative Services:**

- Supported the org's response to COVID-19 and work-from-home policy, including partnering with Security Operations and other teams to assist with development of protocols and procedures for the safe return of staff to normal operations and arranging for needed equipment and supplies to staff for transitioning to work from home. Completed office modifications in Los Angeles to create a more efficient flow of workspace and partnered with Security Operations to upgrade security in both the Istanbul and Los Angeles offices. Continued efforts on the Global Health and Wellness program were also made.

#### **Security Operations:**

- Continued to shape and manage ICANN's crisis response to the COVID-19 pandemic through activation of strategic and tactical crisis management teams; orchestration of planning and critical decision-making for ICANN events, work from home, and return to the office. A key focus has been the creation of a robust process and framework methodology for returning to normal operations with a focus of re-opening offices in a phased office-by-office manner. Additionally, provided support and guidance to staff during recent periods of civil unrest and activated the Los Angeles Emergency Response Team (ERT) to ensure the safety of staff members affected by local wildfires.

## **TOP ISSUES & MITIGATION**

Top issues included focus on staff mental health and wellbeing while balancing home/work priorities, in addition to reprioritizing hiring needs across the organization against funding forecasts.

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# Engineering & Information Technology

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

## KEY HIGHLIGHTS & MILESTONES

In June, we successfully transitioned ICANN68 to a virtual meeting, this time with remote simultaneous translation in the six UN languages, plus Portuguese — yet another first for ICANN. In Singapore the installation and configuration of the IMRS continues on schedule. If all goes per plan, that node should be live in the Oct-Dec quarter. After extensive development and beta testing, NSp - Compliance launched into production in August, a significant milestone for the contracted parties. After the next phase, we will retire Kayako, thus eliminating a platform and simplifying our systems topology. We have begun UAT for working group enrollment. For community members this service will enhance the experience of enrolling into working groups, reviews, etc., and increase the efficiency of the policy support team. It is a critical capability in the org's ability to plot stakeholder journeys. And in May, ITI launched a preview site, allowing the community members to test new functionality and provide much needed feedback to the development team. If all goes per plan, ITI remains on track to launch in March 2021.

## OVERVIEW OF ACTIVITY

*Follows the Pillar-Plank rubric for reporting.*

### The Pillars

#### **Front Office Relationship & Delivery (FORD) Team**

**UA:** The ICANN Universal Acceptance case study was published to UASG shortly after ICANN67. Work on UA readiness for Proofpoint, ICANN org's email spam/security vendor, is steady and encouraging.

**Platform Reduction:** The E&IT platform reduction strategy has been reviewed and updated. ICANN org services are currently on a path to move from the (today's count) 111 services across 15 platforms to 79, across 6 platforms by 2024.

#### **Community Collaboration Pillar**

**The Information Transparency Initiative (ITI):** A preview site was launched on 15 May which provides the community hands on experience with a culmination of all development to date.

**Open Data Platform (ODP):** Three new metrics were published for the Domain Name Marketplace Indicators dataset. Evaluating synergies with ITI, with the objective of moving tabular content from icann.org to ODP.

**Working Group Enrollment:** The majority of development is complete with integration to ICANN Account, and an authenticated portal enabling one to join groups and complete their Statement of Interest.

#### **Community Engagement Pillar**

**Single Sign-On:** Key progress has been made to move applications on to ICANN Account, our single sign on (SSO) solution that now allows a single password and authentication for Meetings, Learn, CZDS, Fellowship, Information Transparency Initiative (ITI), and Open Data Platform (ODP). Working Group Enrollment, Concur for Board, and NextGen are in progress.

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**Travel Support Modernization:** A cross functional team has looked at improving efficiencies and the onboarding experience for Funded Travelers and identified potential process and system improvements.

**NextGen and Fellowship:** NextGen has started implementation in the new consolidated platform, Wizehive; and Fellowship is ready to launch in the next application round.

**Community Relationship Management (CRM):** Phase 1 completed in June with delivery of project plan for optimizing the platform for improved internal efficiencies and governance for connecting the org.

### **Contracted Parties Pillar**

**Naming Services portal.** The complete NSp-Compliance service was promoted to production on 28 August 2020. Next phase work to retire Kayako has begun.

### **Technical Services Pillar**

**RRI/MoSAPI Access Model-TLS client authentication:** Registration Reporting Interfaces (RRI) and Monitoring System API (MoSAPI) added new functionality to allow users to leverage a new authentication method (TLS Client Authentication using DNS-Based Authentication of Named Entities – DANE) besides the current Basic Authentication (with username and password credentials). Production deployment was on 14 July 2020.

**.com/.net transition:** Zone File Access (ZFA) and Bulk Registration Data Access (BRDA) system were modified to support the Verisign transition for .com/.net file format and content.

### **Staff Operations Pillar**

**Budget Owner and Executive team leader reports:** Now budget owners and executives can run ad hoc budgetary control reports from Oracle dashboard for consolidated and individual reports for their departments.

**Swiss Payment Automation:** Completed Successfully. Once users submit payment batches, upon approval, ACH and wire payments are transmitted to HSBC Belgium automatically.

**ICANN U Optimization:** Learn Module successfully implemented – go-live date 21 January 2020. Next step – Job Description Builder will be configured this Fall.

**FP&A Reports from Oracle:** All PBCS reports now migrated to Oracle cloud platform for instant refresh and validation.

## **The Planks**

### **Software Engineering**

**Continuous Integration & Continuous Delivery:** All primary services have been enhanced to support Continuous Integration and Continuous Delivery where capable. We are now in the process of optimizing these services to leverage production specific namespaces, giving our engineering teams more flexibility and control while preserving the integrity of the other systems and services. Furthermore, we have begun to implement a new technology called Helm, which allows us to templatize our deployments and give the deployment specification itself version control capabilities, allowing us to better control and manage our services.



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**Meetings Technical Services (MTS) Technical Architecture:** We have successfully migrated a critical component of the MTS technical architecture to our Kubernetes clusters. This component is responsible for scheduling and publishing during ICANN meetings and was previously run on a local device, which created a risk of downtime in the event the specific local device failed or was not available.

**Testim Tool Onboarding:** We have officially acquired the Testim.io testing application to allow faster, and higher quality automation testing. This tool was piloted over one month and yielded significant time savings and cost savings when comparing figures creating everything using our previous methods.

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

**Data Center & Cloud Ops – Authentication Standardization and Audit:** We are making excellent progress with both assessment and remediation of our services against our updated authentication standards. We are prioritizing services based on data sensitivity. Many services have been cleared as compliant and several services have already been remediated to comply with the new standards. We expect all necessary improvements to be completed in FY21.

**Meetings Technical Services – ICANN68 Virtual Meeting:** Successfully transitioned ICANN68 Kuala Lumpur to a fully virtual meeting. Zoom was used as the main platform for participation, with Remote Simultaneous Interpretation (RSI) in all 6 UN languages and real time transcription (RTT) services supported for many sessions.

**Meetings Technical Services - CMM Journey:** Continued Phase 2 of our CMM Project Plan. We completed our first disaster recovery tabletop exercise in cooperation with the meetings team to address several common scenarios to determine how we would collectively respond. This included a risk register being drafted to help address any organizational weaknesses moving forward.

**End User Support – Laptop Support and Management:** During lockdown, the rate of staff physically damaging their machines has remained steady, requiring processes to be developed for fully remote replacements. Laptops of 2012-2013 vintage targeted for replacement (53 total), effort coming to an end. Identification of laptops unable to run Zoom Virtual Backgrounds due to hardware restrictions complete (99 approved for upgrade), project to replace these machines approved and funded, launching shortly.

**End User Support – Technical Support Requests:** Efforts to reduce downtime amongst staff due to technical difficulties continues to prove successful. 1,902 technical support requests from 1 May 2020 to 31 July 2020 vs. 2,481 requests during the same period in 2019 is a clear indication that EUS-led automation, standardization, and administration restriction efforts are proving valuable.

### **Security and Network Engineering**

#### **Network and DNS Engineering – ICANN Managed Root Server (IMRS) Singapore**

**Location:** The hardware and services are in place for IMRS Singapore with two technical phases remaining to be completed: Performance Testing and an Information Security Penetration Test. Both of these phases are on track and ICANN will be ready, from a technical perspective, to enable the instance on 30 September.



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**Information Security – Overall Information Security Posture:** The vulnerability discovery and reward program through HackerOne, which focuses on ICANN’s external services, was activated in July. Since then, ICANN has issued rewards for two medium-severity vulnerabilities and four low-severity vulnerabilities, amounting to US\$400 in total.

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# Identifier Research, Operations, and Security (IROS)

David Conrad, SVP & Chief Technology Officer

## Office of the Chief Technology Officer (OCTO)

### KEY HIGHLIGHTS & MILESTONES

- Several documents in our document series were published and a number of technical presentations to the community were given;
- Research on COVID-19 lockdowns and DNS traffic was performed and presentations on the results of that research were given;
- Research on COVID-19 pandemic related domain names and their usage was undertaken;
- Name Collision Analysis Project (NCAP) Study 1 was completed;
- Work continues on improvements to the DAAR processes and reports;
- OCTO continues to facilitate the project now formally known as the DNS Security Facilitation Initiative (DSFI);
- Technical Engagement work continues;
- A new series of virtual iExpert talks has been initiated; and
- A project on DNS Demographics has been started.
- The first IANA Naming Functions Review (IFR) started and completed all of their research and have finished the first draft of their Initial Report

### OVERVIEW OF ACTIVITY

#### **OCTO publications and presentations**

OCTO published two new documents in our series: [OCTO-007](#) (Study of the Prevalence of DNS Queries for CORP, HOME, and MAIL) and [OCTO-013](#) (DNS Purchasing Guide for Government Procurement Officers). In addition, [OCTO-006](#) (DNSSEC: Securing the DNS) was updated. OCTO team members also made technical presentations at several events, including APTLD and LACTLD, Africa DNS forum, LACNOG, Beijing Cyber Security (BCS) Conference, UK Multistakeholder Advisory Group on Internet Governance (UK-MAGIG),

#### **Research and presentation on COVID-19 lockdowns and DNS traffic**

OCTO Research looked into the effects of the March COVID-19 lockdown in France on traffic to the ICANN-Managed Root Server (IMRS). Traffic to IMRS instances in France increased over 25% coincident with the lockdown, and overall traffic to the IMRS increased a similar amount. Hypothesized reasons include more devices on home networks generating queries through more recursive resolvers, reducing the effects of caching, and more instances of Google Chromium-based browsers in use. These browsers generate a significant number of queries for non-existent TLDs at the root name servers. This research was presented several times, including at a well-attended webinar in the European region.

#### **OCTO researched on COVID-19 pandemic related domain names and their usage**

OCTO SSR has been contributing to this COVID-19 anti-abuse effort, using our knowledge and expertise to put actionable intelligence into the hands of those able to disrupt malicious campaigns. We are filtering lists created from zone files and enriching them with data from external sources to identify domain names that may be malicious from the majority that are not. Where there is sufficient supporting data to indicate a domain name has been used in relation to malware or phishing attacks the domain name, along with the supporting data is reported to the registrar on record. A [blog](#) was published discussing the project.

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### **Name Collision Analysis Project (NCAP) Study 1 is complete**

NCAP Study 1 is complete. The Public Comment on the final NCAP Study 1 report concluded on 30 March 2020. Seven comments were received, but none resulted in material changes to the report. Study 1 was delivered to the Board Technical Committee on schedule on 30 June 2020 and [published on the ICANN web site](#).

### **OCTO SSR continues to work on improvements to the DAAR processes and reports**

OCTO staff have been participating in discussions with the RySG's DAAR working group, which resulted in recommendations regarding the DAAR system. On 09 September 2020, RySG submitted the [Working Group's findings and recommendations](#) to David Conrad, Chief Technical Officer at ICANN. These recommendations will be a basis for further discussion with the wider community and are expected to lead to an improvement to the reports. Further we have seen the voluntary inclusion of multiple ccTLDs into the DAAR system and expect to see their data included in future reports.

### **OCTO continues to facilitate the project now formally known as the DNS Security Facilitation Initiative (DSFI).**

The DNS Security Facilitation Initiative (DSFI) and its associated Technical Study Group are supported by the OCTO department with the dedication of project management, technical writing and administrative support. Further, ICANN's OCTOs Chief SSR Officer is participating and supporting as a subject matter expert.

### **Continuous support to increase Technical Engagement**

During the period under review the Technical Engagement team onboarded three new regional liaison staff to cover Africa, Middle East and Latin America. This completed the first phase of the regionalization process of our engagement strategy. Using the opportunity of travel limitation over the past months, the new team focused on work to improve our training catalogue and content and now have 15 courses touching all aspects of ICANN's technical mission. In order to be able to deliver these courses online we also focused on designing and deploying a virtual lab environment to allow participants to get hands-on practice. The modular cloud based training lab is now operational and will start to be used during next quarter's engagements.

In order to adjust to the new virtual engagement situation we have created lighter versions of a few course modules as high-level webinars that can be delivered in different regions. In total, 43 virtual training and webinars were conducted in three languages (French, English and Portuguese) over the past few months.

With the increased engagement on Universal Acceptance (UA), the team has worked with the newly formed internal UA group to support their awareness and newly launched technical training plan. We were able to cover courses for software developers (java) and system admin, taking into consideration Email Address Internationalization (EAI) and new generation of TLDs (IDNs and nTLDs).

### **Internal technical knowledge sharing through iExpert Series.**

We have launched a new version of our iExpert series with the goal to further expose the rest of the organization to technical expertise and projects from OCTO. Over the period under review we have facilitated seven iExpert Series that cover various topics including the finding from the analysis of IMRS traffic after COVID-19 lockdown, the work underway to map the DNS Core, an overview of the DNS Security Facilitation Initiative (DSFI), and an analysis of potential impact of

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5G technology on the DNS. The recording of these talks will soon be uploaded to ICANN University for wider access.

### Launch of a DNS Demographics dashboard project

We have launched a DNS Demographics dashboard project to better inform local and regional technical engagement through critical DNS infrastructure elements. The project led by the Technical Engagement team aims at working with the Research team to collect and publish essential data that can help to better understand the status of the DNS in a specific country or region in order to help refine and tailor our messaging and technical content for them (matching their needs and helping to bridge gaps identified). As we refine and improve our ability to measure and properly identify local demographics we will be able to better measure the impact of our engagement over time while giving local communities a tool to assess their own progress and impact on the overall resiliency of the global DNS.

### IANA Functions Review (IFR)

Key data points:

- Completion, based on duration: 64%
- Budget spent and committed: 0%
- Participation rate: 77%
- Milestones completed: 75%

More information can be found on the [Fact Sheet](#) posted on the [IFR Wiki](#).

## Internet Assigned Numbers Authority (IANA)

### SERVICE PERFORMANCE

- The IANA services met or exceeded all of the service level agreements for the period.
- Core IANA request processing activity has been sustained to normal levels during COVID-19 related restrictions.

#### Performance in brief

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

	April	May	June	July	Overall
<b>DNS Root Zone</b>					
SLAs Met	100%	100%	100%	100%	—
Metrics Met	63/63	63/63	64/64	64/64	—
CSC assessed satisfactory or higher	✓	✓	✓	✓	4/4
Request Volume	1521	250	602	140	2513
TLDs in Root Zone	1514	1512	1510	1507	—

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## DNS Root KSK\*\*

Metrics Met	5/5	—	—	—	—
Scheduled Items Met	6/7	—	—	—	—

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## .INT Top-Level Domain

New .INT registered	1	1	2	1	5
.INT modifications	4	3	5	5	17
Request Volume	15	12	20	19	66

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## Protocol Parameters

SLAs Met	100%	100%	100%	100%	—
Met MOU requirement (90%)	✓	✓	✓	✓	3/3
Met internal target (95%)	✓	✓	✓	✓	3/3
Request Volume	349	257	285	243	1134

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## Number Resources

SLAs Met	100%	100%	100%	100%	100%
Metrics Met	4/4	4/4	4/4	4/4	—
Met SLA requirement	✓	✓	✓	✓	4/4
Request Volume	1	1	0	0	2

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## Label Generation Rulesets

New LGRs posted	5	0	1	1	7
LGRs modified	0	0	0	0	0
Request Volume	1	0	2	2	5

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## General Enquiries

Request Volume	121	104	125	103	453
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## CUSTOMER SATISFACTION

- The second Annual Customer Survey focused on engagement will be launched in October with a plan to release results in December.

- IANA continues to measure customer satisfaction after requests are completed. For this reporting period, overall customer satisfaction rated 90.9 percent while the participation rate was 46.1%.

#### Satisfaction in brief

	Apr	May	Jun	Jul
Response Rate	46.4%	56.9%	37.0%	44.3%
Satisfaction	93.8%	86.5%	96.3%	87.1%

## OTHER UPDATES AND INITIATIVES

- IANA operations continue despite challenges and restrictions posted by the **coronavirus pandemic**. An exceptional key signing ceremony was performed in April, and preliminary planning work is underway for the next ceremony due to be held in early 2021. The IANA work is being performed remotely.
- PTI's first dedicated four year **strategic plan** was adopted by the PTI Board, and came into force in July.
- The **operating plan and budget** development cycle for fiscal year 2022 has commenced for PTI and IANA. Kick-off webinars were held in August, and a draft will be put for public comment in October. This work begins earlier than the ICANN cycle, per bylaws requirements, so that the output of this process can be integrated into the ICANN operating plan and budget.

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

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

## KEY HIGHLIGHTS & MILESTONES

This report covers Global Stakeholder Engagement (GSE), Meetings and the Public Responsibility Support Department activities from 30 March 2020 to 4 September 2020.

Global Stakeholder Engagement welcomed a new hire into the team in Singapore and a new Managing Director for the Middle East and Africa Regional Office in Istanbul. During this period, Global Stakeholder Engagement supported ICANN org efforts to shift community engagement activities from in-person events to virtual sessions in response to COVID-19. GSE participated in the virtual ICANN 68 meeting and delivered a number of engagements as events shifted online, including the first ever online Africa DNS Forum in July. The team finalized regional engagement plans for Africa, Asia Pacific, Latin America & the Caribbean, and the Middle East and Adjoining Countries, incorporating public comment into each regional plan.

Public Responsibility Support responded to the demand for remote training for the community with new online learning content during this period. Building on the *DNS Fundamentals* course, [ICANN Learn](#), ICANN's online capacity-development platform, now also hosts a *Policy Development Fundamentals* course. These two courses provide a solid foundation for training ICANN-related topics and will be translated into the standard U.N. languages and Portuguese.

*The Registrant Basics: Essentials for Domain Name Holders* course was also launched in response to community demand, representing a successful interdepartmental collaboration between PRS, Communications, Global Domains Division, and the Office of the Chief Technology Officer.

PRS also launched a refreshed and more accessible update of the *Get to Know the Generic Names Supporting Organization (GNSO)* course along with new skill-building courses including *Constructive Dialogues*, and *Enhancing Your Listening Skills*. Upcoming courses will cover topics such as *ICANN's Picket Fence*, *Effective Virtual Meetings*, and *Coaching and Mentoring at ICANN*.

The Meetings team successfully managed the virtual ICANN 68 meeting, along with advance preparation for upcoming ICANN meetings in 2020 and 2021. Due to the COVID-19 pandemic, all face-to-face meetings were cancelled through the end of 2020. The Meetings department has been working diligently to re-negotiate all the previously signed and in-progress contracts for the 2020 cancelled meetings, to be refunded or rescheduled in 2021 or 2022. These re-negotiations include the venues, hotels, and service vendor contracts (Catering, Transportation, AV, etc.) for ICANN67 in Cancun, ICANN68 in Kuala Lumpur, ICANN69 in Hamburg, and GDD Summit et al in Paris.

## OVERVIEW OF ACTIVITY

Global Stakeholder Engagement added one new staff person during this period. Yien Chyn Tan joined GSE as an internal hire from ICANN Compliance in the Singapore office. She will be working as a GSE Regional Specialist in the APAC team.

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In August, Baher Esmat was appointed as the Managing Director of the Middle East and Africa Regional Office in Istanbul, succeeding Nick Tomasso. The responsibility is in addition to Baher's role as Vice President for Stakeholder Engagement, Middle East. We thank Nick for his three years of service as MD of the MEA regional office and are glad to continue working with him as Vice President for Global Meeting Operations.

On 8 September 2020, Naela Sarras was announced as the new Vice President for Stakeholder Engagement, North America, succeeding Chris Mondini. She is currently transitioning from her role as Director of IANA Operations in Los Angeles.

With the suspension of global travel and in-person meetings due to COVID-19, Global Stakeholder Engagement supported a variety of online engagement events and trainings between March and September 2020. These included the first online Africa DNS Forum, which saw 257 unique attendees over the two-day program. The team organized the APAC Space Web Conference in July 2020; Scaling Up Cyber Hygiene with Ashwin Rangan (for Indian stakeholders, in August 2020); ICANN68 Readouts for China, Japan, India, Middle East, Eastern Europe & Central Asia; ICANN 68 Prep Sessions; a Middle East Space session on ATRT3; and the India Universal Acceptance Local Initiative virtual meeting.

GSE also supported Capacity Building Week in Brazil (September 2020); participated in the Beijing Cyber Security Conference (August 2020); the Caribbean Internet Governance Forum; IGF-USA; Pakistan School on Internet Governance; China IGF; Macau IGF; Benin IGF & School on Internet Governance; CARICOM ICT Space Working Group Meeting; the Digital Dialogues in India (June & July 2020); virtual PacNOG 26; a virtual meeting of the Benin ccTLD; Cyber Polygon Conference; US-Japan Cyber Dialogue; DNS-OARC 32a online; cybersecurity discussions for the United Nations in collaboration with the ICANN Government Engagement team; among other regional virtual events.

**Public Responsibility Support (PRS)** is working in collaboration with the ICANN community and Incite Learning to revamp the Charing Skills Program. Drawing from the content of the newly improved, eventually face-to-face program, a 90-minute webinar will be developed for planned delivery after ICANN69.

Due to the virtual nature of ICANN68, the [ICANN Community Childcare Grants Pilot Program](#) was canceled; the grant will be available to the community at the next in-person meeting. The next iteration of the ICANN Academy Leadership Program is set to take place at ICANN70.

### **Global Meetings Operations**

The Meetings team continues to work on preparing and negotiating terms for upcoming meetings in 2021, and 2022, including ICANN70 in Cancun, ICANN71 in The Hague, ICANN72 in Seattle, ICANN73 in San Juan, ICANN74 in The Hague, ICANN75 in Kuala Lumpur, and GDD Summit et al. in North America.

During this time, the Meetings Department continues to support internal initiatives, including the Bandwidth Reimbursement pilot program, Proposed Re-Opening of Face-to-Face meetings (Internal), Meetings Re-Opening Proposal (External), and several other related papers and supporting initiatives relating to COVID-19 impacts. As well, the Meetings Team continues to support the Community-driven virtual meetings for ICANN67, ICANN68, and ICANN69, looking to make the best of the virtual environment and limitations. There is also a focus on continuing



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educational opportunities as time permits for individual team members, including Meeting Planning Certification and Project Management Certification.

Virtual Meeting by the number data reports can be found here:

- [ICANN67 By the Numbers Report](#)
- [ICANN68 By the Numbers Report](#)

### **Travel Services Department**

Impacts of the COVID-19 pandemic resulted in a large number of flights being cancelled for ICANN in 2020. In total, we cancelled 459 previously booked flights, with 383 that were non-refundable tickets, and 76 were refundable tickets. The travel team has worked hard with FCM and airlines to mitigate the losses as best as possible. To date, the travel team has recovered \$240,011 in credits, and has \$122,887 in refunds being issued back to ICANN. The final loss was limited to \$196,808, however, as the travel ban continues to be extended, we may see some credits being expired into losses.

## **TOP ISSUES & MITIGATION**

During this period, Global Stakeholder Engagement finalized revised regional engagement plans for Africa, Latin America and the Caribbean, and the Middle East and Adjoining Countries, incorporating public comment and feedback from regional stakeholders. This review completes the alignment of the community-driven regional engagement plans with the FY21-25 ICANN Strategic Plan. Global Stakeholder Engagement participated in the latest Strategic Outlook effort as part of the preparation for the FY22-26 Strategic and Operating Plan cycle. Global Stakeholder Engagement also contributed to the cross-functional implementation team analyzing the Sub Pro Working Group Final Report, CCT Recommendations, ATRT3 final report.

Global Stakeholder Engagement facilitated community discussions on DNS ecosystem security, the Registration Data Access Protocol, Universal Acceptance, Internationalized Domain Names, DNSSEC, root server system evolution and ICANN meeting readouts post-ICANN 67 and pre and post-ICANN 68. The GSE team continues to work with OCTO to deliver DNS ecosystem security talks for ICANN org departments and community stakeholders.

The ICANN Fellowship program will accommodate first-time fellow selectees deferred from ICANN67 at ICANN70 in Cancún, Mexico, in March 2021. Selectees from ICANN67, who were returning fellows, and ICANN68 (for which the cohort consists entirely of Fellowship program alumni) are deferred to participate at the ICANN71 Policy Forum in The Hague, Netherlands, Europe, in June 2021. PRS is making plans so that if additional meetings are held virtually an enhanced Fellowship program will be delivered online, incorporating all the key elements of the current in-person program along with additional opportunities made possible by a remote format.

The NextGen program draws participants from the region in which the meeting is set. Therefore, the ICANN67 NextGen selectees were deferred to ICANN70, which is set to be held in the same location. If it is decided that ICANN70 will also be held virtually, the program participants will participate virtually in an enhanced remote NextGen program. Due to the fact that no public ICANN meetings are scheduled in the Asia Pacific region in 2021, the decision to defer the NextGen@68 selectees has been rescinded. ICANN68 selectees will participate remotely at the forthcoming ICANN69 meeting in October in conjunction with the ICANN69 participants.

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PRS continues to support two ICANN Board operational priorities for calendar year 2020: Developing a Public Interest Framework and the Working Group on Anti-Harassment.

### **Travel Services**

The internal travel audit and review has entered Phase 2 (of 3). Phase 1 identified 59 areas of opportunity or risks for ICANN. Phase 2 (Officially “Travel Modernization Project”) is working to find solutions to mitigate or directly resolve identified opportunities or risks. Phase 3 in 2021 will implement the approved solutions or mitigations.

During this restricted travel period, Travel Support is working on; the above mentioned internal audit and review, leading a major revision and update to the Staff Travel and Expense Policy, onboarding Ria Otones to the Travel Support team (who continues to support Policy part-time), participating and supporting Meeting department initiatives and papers.

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# Global Communications & Language Services

*Sally Newell Cohen, SVP, Global Communications*

## KEY HIGHLIGHTS & MILESTONES

Following the pivot to a fully remote workforce, ICANN org's Global Communications and Language Services teams refocused their efforts to better support the rapidly changing needs of our internal and external stakeholder groups. We continue to make progress against our outlined priorities, such as the launch of the Information Transparency Initiative (ITI). Our regional communications teams are actively engaged with media, especially in regard to several high-profile topics, such as the Board's decision regarding .ORG. Internally, we launched a number of initiatives aimed at increasing staff's interaction with org leadership during this extended period of remote working.

## OVERVIEW OF ACTIVITY

**ICANN68:** The Communications and Language Services teams effectively leveraged the lessons learned from ICANN67, the org's first virtual Public Meeting, to enhance service offerings and support during ICANN68. The team produced an array of materials, including announcements, blogs, messaging, daily newsletters and session recaps, social media, and videos, while also providing remote participation support and production for key meeting sessions.

**Language Services:** During ICANN68, the Language Services team deployed the use of the Remote Simultaneous Interpretation (RSI) platform – a significant improvement over the ICANN67 interpretation setup, which was developed in just under 3 weeks. After months of research and training, the team was able to provide interpretation support in all United Nations languages and Portuguese. The team was comprised of 29 contracted interpreters, our in-house Language Expert-Head Interpreters, for a total of 34 working interpreters, as well as our specific interpretation technical team of 4 RSI experts, working concurrently, and entirely remotely. The RSI Platform was set up in two countries. The main platform was setup in Australia, and a second exact replica in Singapore as a contingency plan for possible connectivity issues.

**Information Transparency Initiative (ITI):** As summarized in the [May 2020 CEO Report to the Board](#), the ITI team launched a [testing site](#), which is a preview of the new <https://icann.org>. President and CEO Göran Marby shared details about this launch in a [May 2020 Blog](#), which outlined how the community could access the site to experiment with the new search experience for several content types including:

- Announcements and Blogs
- Public Comment
- Registry Agreements
- Board Meeting Materials
- Accredited Registrars
- Reviews

This launch was accompanied [by promotion](#) of two webinars ([Webinar One](#) and [Webinar Two](#)) to provide the community with an opportunity to share feedback and ask questions directly to the ITI team. Since February 2019, the ITI team has also worked closely (on a regular basis) with a group of community leaders to gather requirements and feedback before launching new content and features.

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Behind the scenes, authoring requirements have been implemented in the document management system, which will allow staff to create and edit their own content. The ITI team conducted over 30 usability sessions with staff to get feedback on the authoring experience. In-depth trainings and more usability sessions are scheduled to continue throughout FY21.

In September 2020, the ITI team launched two more content types including Correspondence and Acronyms and Terms. Bug fixes and enhancements were also deployed to Board Meeting Materials. The ITI team will continue to launch new content types to the [preview site](#) on a regular basis, with improvements to Registry Agreements scheduled to relaunch in FY21 Q2. More community webinars will accompany these respective launches.

The overall feedback from the community has been very positive, with most stakeholders who provided feedback saying they were impressed with the simplicity of the user experience and usefulness of the improved search experience. The majority of <https://icann.org> content (87 percent) with the improved ITI-search experience, will be available in FY21 Q3. The new ITI site is scheduled to fully replace the existing <https://icann.org> in FY22 Q1-Q2.

**Open Data Platform (ODP):** Since the March 2020 launch of ODP Version 1.0, more datasets have been added to the platform including:

- Identifier Technology Health Indicators (ITHI)
- New datasets within the Domain Name Marketplace Indicators

Some bugs were discovered with the Registry Reports datasets. The deployment to fix these bugs, including additional enhancements, is scheduled for FY21 Q3. Once this deployment is complete, the ODP team is working with ICANN org functions, the Office of the Chief Technology Officer (OCTO) and Global Domains Strategy (GDS), on prioritizing the next datasets to make available on this platform.

**Media Engagement:** During this reporting period, ICANN org saw heightened media interest as a result of the Board's decision to reject the proposed change of control and entity conversation request submitted by the Public Interest Registry (PIR). Between 30 April and 4 May 2020, more than 1,100 pieces were published, with significant coverage originating out of the United States and United Kingdom, including pieces from major outlets, including *The New York Times*, *The Wall Street Journal*, *Associated Press*, and *ABC News*. The regional teams also conducted proactive media engagement on a wide range of issues, including DNS security, Universal Acceptance, and Internationalized Domain Names.

## TOP ISSUES & MITIGATION

Despite the challenges that have arisen as a result of the ongoing COVID-19 pandemic, both the Communications and Language Services team were able to adapt to the circumstances and support the needs of both external and internal stakeholders. With a number of high-priority topics all vying for attention, the team has worked diligently to plan and execute meaningful, effective communications strategy tailored to the needs of each project. We continue to find opportunities to tighten messaging and ensure consistency across the organization.

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# Policy Development Support

David Olive, SVP, Policy Development Support

## KEY HIGHLIGHTS & MILESTONES

### **Empowered Community and Empowered Community Administration**

- On 22 April 2020, the Empowered Community Administration designated Matthew Shears to fill Seat 14 of the ICANN Board, following his re-appointment by the GNSO Non-Contracted Parties House for a second term to commence after the 2020 Annual General Meeting.
- On 6 June 2020, the Empowered Community Administration notified the ICANN Secretary that the Bylaws-prescribed Rejection Process in respect of the FY21-25 Operating & Financial Plan and the FY21 Operating Plan & Budget had been terminated. This notification was made in light of the fact that no petitions to reject any of these documents had been submitted to any Decisional Participant of the Empowered Community.

### **Address Supporting Organization (ASO)**

- On 7 July 2020, the ASO Address Council re-appointed Panjak Chaturvedi as its delegate to the ICANN Nominating Committee for 2021. Chaturvedi is an active participant in the Asia Pacific Network Information Centre (APNIC) community.

### **Country Code Names Supporting Organization (ccNSO)**

- In May 2020, the ccNSO Council initiated the fourth policy development process (ccPDP4) on the de-selection of Internationalized Domain Name (IDN) country code top-level domain (ccTLD) strings by adopting the Issue Report. This PDP builds on previous work under ccPDP2 and the IDN ccTLD Fast Track Process.
- The third ccPDP on the retirement of ccTLDs and developing a review mechanism for decisions pertaining to the delegation, transfer, revocation and retirement of ccTLDs progressed steadily. The working group on retirement concluded its public consultation process. The second working group on a review mechanism started its work during this reporting period.
- The ccNSO Council adopted the amended ccNSO Guideline for Nomination of ICANN Board Seats 11 and 12 and launched the call for volunteers in June 2020 for Seat 12. The guidelines needed to be amended to take into account the potential duration of the background check of candidates, which needs to be completed before the ccNSO members' question and answer session with candidates at the ICANN Annual General Meeting.
- The ccNSO Council re-selected Brett Carr as a member of the Customer Standing Committee (CSC) and approved the full slate of CSC members.
- The ccNSO Review Working Party and ccNSO Council completed their initial assessment of the report from the independent examiner and discussed the findings with the ICANN Board Organizational Effectiveness Committee.
- During the reporting period, the ccNSO Council held a workshop focused on strengthening the ccNSO in light of the work items it needs to complete.
- The ccNSO Council met four times during the reporting period, including a meeting during ICANN68, which was open to all persons with an interest in ccNSO-related matters.

### **Generic Names Supporting Organization (GNSO)**

#### ***GNSO Council Activities***

- On 24 June 2020, the GNSO Council requested a Preliminary Issue Report on the Transfer Policy, which is scheduled to be published for Public Comment by 10 October 2020.

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- The GNSO Council made substantial progress on developing its work prioritization tools, a focus of the GNSO Council for several years. The GNSO Council is now managing its work via a program management tool and what it has called an Action Decision Radar (ADR), which provides a snapshot of anticipated work for the next several months. The program management tools and ADR will be subject to analysis and ongoing improvement.
  - The GNSO Council provided a Public Comment submission to the Third Accountability and Transparency Review Team (ATRT3) Final Report and the Enhancing the Effectiveness of ICANN's Multistakeholder Model – Next Steps Public Comment proceedings.
  - The GNSO Council met five times during the reporting period, including a public session during ICANN68.

### ***Policy Development Processes***

- The Expedited Policy Development Process (EPDP) on the Temporary Specification for gTLD Registration Data Phase 2 delivered its Final Report to the GNSO Council on 31 July 2020. Minority statements were accepted through 24 August 2020, and all statements received by the deadline were incorporated into the Final Report. A webinar was held on 3 September 2020 to better inform the GNSO Council of the recommendations contained within the Final Report, in advance of their consideration of the report.
- The New gTLD Subsequent Procedures PDP spent the period working to reach agreement on the contents, including draft recommendations and other outcomes, for its draft Final Report, which was published for Public Comment on 20 August 2020.
- The Review of All Rights Protection Mechanisms in All gTLDs PDP spent the period considering Public Comment submissions received on its Initial Report, establishing two subgroups to expedite that review process.

### **At-Large/At-Large Advisory Committee (ALAC)**

At-Large has been productive during this period in the three tracks of policy advice; outreach and engagement, including capacity building; and operations.

### ***Policy Advice***

- At-Large published 16 statements, notably the ALAC Statement on the Expedited Policy Development Process on the Temporary Specification for gTLD Registration Data, the ALAC Statement on Enhancing the Effectiveness of ICANN's Multistakeholder Model -- Next Steps, and the ALAC Statement on the Final Report of the Cross-Community Working Group on New gTLD Auction Proceeds.
- This also includes three Regional At-Large Organization (RALO) statements.

### ***Outreach and Engagement***

- The At-Large Capacity Building Working Group is hosting a series of capacity building webinars.
- The Subcommittee on Outreach and Engagement focused on the development of a FY21 strategy that incorporated virtual activities.
- Two At-Large ICANN Learn courses have been developed: An introductory course and a course on At-Large participation in policy development. They are expected to launch around ICANN69.

### ***Operations***

- The At-Large Review Implementation Working Group completed the At-Large Review 2 Implementation (ARI) Final Report, and submitted it to the ICANN Board Organizational Effectiveness Committee (OEC). The ICANN Board approved it on 10 September 2020.



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- All ALAC and regional elections and selections were completed. As of early September, the selections for ALAC leadership positions are underway.

### **ICANN68**

- At-Large held 11 sessions including several plenary sessions on the topics of DNS abuse, Public Interest Commitments (PICs) and PIC Dispute Resolution Procedure (PICDRP) improvements, new generic top-level domain (gTLD) applicants, and Universal Acceptance.

### **Regional At-Large Organization (RALO) Activities**

- Engagement across all RALOs remains steady.
- In this reporting period, the RALOs held regular regional leadership meetings to discuss issues impacting all RALOs.
- Each RALO has adapted their outreach and engagement plans in light of the pandemic. RALO leaders have discussed their plans with the respective Global Stakeholder Engagement (GSE) vice president and At-Large support team. This was one of the first tasks of the At-Large Regional Policy Engagement Program (ARPEP) project led by the At-Large support team.

### **African Regional At-Large Organization (AFRALO)**

- AFRALO members created a working group on the review of the 2020 Operating Principles membership section to debate the individual membership rules on issues such as rights, obligations, leadership positions, and voting.
- AFRALO members submitted a Public Comment on the ICANN Africa Regional Plan for Fiscal Years 2021-2025.
- AFRALO leaders and the GSE and At-Large support teams worked jointly to draft the AFRALO FY21 Outreach & Engagement Strategic Plan. The FY21 plan takes into account the COVID-19 pandemic and the ICANN regional strategy for Africa. As customary, the AFRALO – AFRICANN community met at ICANN68 to discuss the statement, “Enhancing the Resilience of the ICANN Community in the Face of Calamities”. The statement was submitted to the ICANN Board for consideration.
- AFRALO-AFRICANN members are drafting a statement intended to be discussed at ICANN69 on Universal Acceptance.
- AFRALO published its second quarterly newsletter with the support of the At-Large support team.

### **Asian, Australasian and Pacific Islands Regional At-Large Organization (APRALO)**

- APRALO is in the process of implementing an APRALO Policy Forum platform, targeting members interested in policy discussions at a regional level. This initiative is led by ALAC member Justine Chew.
- APRALO focused on the FY21 Outreach and Engagement Strategic Plans for submission by the end of June 2020.
- During ICANN68, APRALO was the host RALO for the meeting and played an active and visible role in ICANN68 events.
- APRALO continues to publish its monthly newsletter.

### **European Regional At-Large Organization (EURALO)**

- EURALO focused on the FY21 Outreach and Engagement Strategic Plans for submission by the end of June 2020.

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- EuroDIG was held virtually between 10-12 June 2020 with many EURALO members attending.
  - EURALO published two newsletters in May and June 2020.

### ***Latin American and Caribbean Islands Regional At-Large Organization (LACRALO)***

- LACRALO approved its new Rules of Procedures after approximately three years of work that started with the LACRALO Mediation and Roadmap, facilitated by CBI Consulting and ICANN org. The mediation process first produced the Operating Principles approved in December 2018. The Rules of Procedures further define how to implement the governance structure envisioned by the Operating Principles. Both documents provide a foundation for LACRALO to conduct its affairs with certainty, transparency, and fairness.
- The LACRALO Board is part of the new governance structure of LACRALO. The LACRALO Board holds regular calls to discuss progress on several LACRALO working groups, initiatives, and projects.
- LACRALO drafted and submitted a comment on the Latin America and Caribbean (LAC) Regional Strategic Plan for FY21-25.

### **North American Regional At-Large Organization (NARALO)**

- The NARALO leadership drafted the NARALO FY21 Outreach & Engagement Strategic Plan with the support of the GSE and At-Large support teams.
- The NARALO monthly calls changed their format in July to prioritize capacity building. Every monthly teleconference is now focusing on a topic of interest to the NARALO community.
- NARALO continues to publish its quarterly newsletter.

### **At-Large Membership**

- Five new At-Large Structures (ALSes) increased the total from 241 to 245.
- Eight new Individual Members increased the total from 130 to 138. There were no new Observers, which remained at a total of 20.

### **Governmental Advisory Committee (GAC)**

- The GAC established a consistent process to identify Public Comment opportunities and determine the appropriate level of GAC engagement in Public Comment.
- The GAC contributed to a number of cross-community efforts in the months covered by this report, including Public Comment submissions on the Second Security, Stability, and Resiliency (SSR2) Review Team Draft Report, the Third Accountability and Transparency Review Team (ATRT3) Final Report, and the Enhancing the Effectiveness of ICANN's Multistakeholder Model – Next Steps.
- The GAC also produced a statement on the Final Report of the Cross-Community Working Group on New gTLD Auction Proceeds and a minority statement on the Final Report of Phase 2 of the Expedited Policy Development Process (EPDP) on the Temporary Specification for gTLD Registration Data.
- The GAC conducted a fully virtual meeting agenda during ICANN68, with 18 plenary sessions on a variety of topics of interest to governments.
- The GAC produced the ICANN68 GAC Communiqué in which it commented on a number of issues of importance to governments including new gTLDs subsequent procedures; the EPDP on gTLD registration data, detailing topics of high interest to the GAC like the need for evolution of any proposed System for Standardized Access/Disclosure, the distinction between natural and legal entities, data accuracy, data controllership, and anonymized emails; DNS abuse; international governmental organization protections; and



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implementation of the Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 recommendations. The Communiqué also included follow up on previous GAC advice regarding the GNSO EPDP on gTLD registration data.

- The GAC initiated its 2020 leadership election, which will conclude by the end of ICANN69.

### **Root Server System Advisory Committee (RSSAC)**

- On 17 June 2020, the RSSAC published RSSAC023v2: History of the Root Server System. The updated history includes new sections on terminology, DNS root provision modification in 1998 the IANA transition, and the process to develop a proposed governance model for the DNS root server system. Several Root Server Operators (RSOs) updated their historical sections.
- On 2 June 2020, the RSSAC published RSSAC051: RSSAC Statement on Draft Public Technical Identifiers (PTI) FY21-24 Strategic Plan. The RSSAC supports the five strategic objectives outlined in the draft strategic plan that fall within its remit.
- On 13 May 2020, the RSSAC published RSSAC050: RSSAC Statement on Identification of Root Server Operators. The RSSAC advises that letters (e.g., A, B) and abbreviated identifiers (e.g., A-root, B-root) no longer be used to identify operators because they do not have the same relevance in growing RSS capacity, architecture decisions, or ensuring the appropriate focus and attribution to the operators. The best way to identify an RSO is to use the organization name.
- On 14 April 2020, the RSSAC published RSSAC049: RSSAC Statement on Joining the Empowered Community. This statement acknowledges that potential outcomes from the Root Server System Governance Working Group (RSS GWG) could alter the role of a future RSSAC within ICANN, and therefore, the RSSAC states their belief it is their responsibility to join the ICANN Empowered Community.

### **Security and Stability Advisory Committee (SSAC)**

- The SSAC published two comments, SAC111 and SAC112, related to Phase 2 of the Expedited Policy Development Process (EPDP) on the Temporary Specification for gTLD Registration Data.
- The SSAC work party on DNS abuse made considerable progress on a document that outlines potential efforts to standardize community strategies and processes surrounding abuse identification and mitigation.
- The SSAC hosted the Domain Name System Security Extensions (DNSSEC) and Security workshop at ICANN67 and ICANN68. The SSAC and ccNSO co-hosted a plenary session during ICANN68 on the DNS and the Internet of Things.

### **Customer Standing Committee (CSC)**

- The CSC has met four times during the reporting period. The focus was on its task to monitor the performance of Public Technical Identifiers (PTI) against the Service Level Agreements (SLAs) related to the IANA Naming Function Contract and report its findings to the community.
- In addition and as part of its tasks, the CSC requested that the ccNSO and GNSO Councils approve an amendment to the SLA on the ccTLD Creation and Transfer Process. Both the ccNSO and GNSO Councils approved the SLA changes, which became effective on 1 June 2020 and are reported against as of 1 July 2020.

### **Root Zone Evolution Review Committee (RZERC)**

- The Internet Engineering Task Force (IETF) appointed Tim April as its new liaison to the RZERC. Tim April also serves on the SSAC.

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- The RZERC continues to make progress on two work items brought to the committee by the Root Zone Maintainer: Protecting root zone content and signing root name server data.

#### **Cross-Community Working Group on New gTLD Auction Proceeds (CCWG AP)**

- The Cross-Community Working Group on New gTLD Auction Proceeds completed its work and delivered its Final Report in early June 2020.
- The Final Report has been adopted by all seven chartering organizations: The ASO, ccNSO, GNSO, ALAC, GAC, RSSAC, and SSAC.

#### **Root Server System Governance Working Group (GWG)**

- The GWG is developing a final governance model for the RSS based on RSSAC037, the Concept Paper, and stakeholder feedback received from the 2019 Public Comment proceeding. The GWG convenes every other week.
- Since June 2020, the GWG has deliberated the contours of an emerging proposal. There are two writing teams refining the details.

## TOP ISSUES & MITIGATION

### **Empowered Community and Empowered Community Administration**

- The Empowered Community Administration awaits written notice from the Nominating Committee on its ICANN Board appointments for members whose terms are to begin at the 2020 Annual General Meeting.
- Under the Bylaws, the Nominating Committee is required to notify the Empowered Community Administration of these appointments at least two months prior to the start of the Annual General Meeting.
- Due to the COVID-19 pandemic, the Nominating Committee now plans to announce its appointments in October, and the Empowered Community Administration understands that the Nominating Committee has informed the ICANN Board and org of the revised timeline.

### **Address Supporting Organization (ASO)**

- The ASO Address Council (AC) will soon begin the selection process for ICANN Board Seat 9.
- All nominated candidates must meet the selection criteria and conflict of interest requirements. No nominations can be accepted from candidates residing in the APNIC region.
- The ASO AC expects to announce its appointment by the end of April 2021.

### **Generic Names Supporting Organization (GNSO)**

#### ***Expedited Policy Development Process (EPDP) on the Temporary Specification for gTLD Registration Data Phase 2***

- The EPDP team was able to deliver its Final Report on 31 July 2020, approximately a month after the scheduled delivery date and also provided additional time for late-arriving minority statements.
- The EPDP team was unable to achieve consensus on all recommendations in the report, with six designated as strong support but significant opposition and two designated as divergence.
- The GNSO Council has the option to vote on the recommendations as two separate sets of recommendations (for instance, one set pertaining to the System for Standardized Access/Disclosure to non-public registration data (SSAD) and the other on priority 2 items).

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- The GNSO Council will also need to consider how it will handle the priority 2 items that did not result in consensus recommendations in the Final Report (e.g., legal vs. natural, accuracy).

#### ***New gTLD Subsequent Procedures PDP***

- The working group published its draft Final Report for Public Comment on 20 August 2020. This is approximately a month later than indicated in the Project Change Request submitted to the GNSO Council to request an extension to its work plan. Nevertheless, the co-chairs believe that the end-of-year delivery date of the Final Report to the GNSO Council should be achievable.
- The topics that caused the draft Final Report to take longer than anticipated may still be challenging once all Public Comment submissions are received and considered by the working group. The working group will need to establish a work plan with regular reporting to avoid delay.

#### ***Review of All Rights Protection Mechanisms (RPMs) in All gTLDs PDP***

- The working group has successfully considered all Public Comment submissions received for the Initial Report and has reached agreement on the majority of areas. However, substantive work remains that will likely cause the working group to miss its mid-October target for delivery of the Final Report to the GNSO Council.
- The working group intends to submit a Project Change Request to the GNSO Council, asking for an additional extension to the work plan.

#### ***IGO-INGO Access to Curative Rights Protection Mechanisms/IGO Work Track***

- With the GNSO Council having adopted Recommendations 1 through 4 and referred Recommendation 5 to the Review of All Rights Protection Mechanisms (RPMs) Policy Development Process, Recommendations 1 through 4 remain with the ICANN Board.
- While the Addendum to the RPMs PDP was successfully adopted by the GNSO Council in early 2020, capacity issues remain in initiating new work.

#### **Country Code Names Supporting Organization (ccNSO)**

- Recent developments have resulted in the ccNSO needing to consider consolidating the two parts of ccPDP3 into a single work stream, to save time by combining the decision-making process.
- The ccPDP4 started in early September 2020 and includes a diverse group of participants from ALAC, the ccTLD community, GAC, GNSO, and SSAC. The first work items will be an agreement on internal rules of engagement and the task of appointing a chair and vice chair. After the initial work has been completed, they will begin to work on updating the recommendations contained in the Final Report of ccPDP2.
- The ccNSO membership will select a director for ICANN Board Seat 12 directly following a question and answer session with the candidate(s) during ICANN69.
- The ccNSO Council 2021 election process launched in September 2020 and will conclude by December 2020. The re-elected councilors will begin their terms at the end of ICANN70.
- The ccNSO will continue to implement Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 and ccNSO Review recommendations.

#### **At-Large/At-Large Advisory Committee (ALAC)**

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- The Consolidated Policy Working Group has been focusing on preparing the At-Large statement for the Public Comment proceeding on the New gTLD Subsequent Procedures draft Final Report.
  - The At-Large Implementation Working Group will continue to move forward on Issues 2 and 16 to ensure full implementation.
  - The focus of the At-Large sessions for ICANN69 will be in the three tracks of policy advice, outreach and engagement, and operations. Several At-Large plenary sessions are being planned, including on Public Interest Commitments, Internet governance issues, and human rights.

### **Governmental Advisory Committee (GAC)**

- Through extended internal conversations and dialogues, the GAC continues to engage and manage four policy advice priority issues identified for 2020, including:
- New gTLD subsequent procedures
- WHOIS and data protection policy
- DNS abuse mitigation
- International governmental organization protections for names and acronyms

Other issues of substantial importance to the GAC during this reporting period include:

- The Third Accountability and Transparency Review: Implications for the GAC based on specific suggestions for operational improvements
- Universal Acceptance and Internationalized Domain Name readiness
- Planning for implementation of Cross-Community Working Group on Enhancing ICANN Accountability Work Stream 2 recommendations
- Improving onboarding and capacity building capabilities and resources for governmental participants in ICANN

### **Root Server System Advisory Committee (RSSAC)**

- The RSSAC Caucus has a work party to develop a tool to gather a local perspective of the Root Server System (RSS). The RSSAC wishes to have a tool or set of tools that can easily measure the local perspective of the RSS at various points of the Internet. The tool(s) should collect enough information to identify some of the reasons why the local perspective is performing at the measured level to differentiate potential mis-configurations or inadequate infrastructure from the true need for a new instance.
- The RSSAC Caucus has a work party studying the effects and mitigations of a rogue Root Server Operator (RSO). This work party is examining scenarios where an RSO, or someone acting as an RSO, serves incorrect zone data or otherwise violates any of the 11 principles outlined in RSSAC037. The purpose of this work is to understand the risks of potential rogue operators as well as prepare mitigations and proper responses to limit harm to the global Internet.

### **Security and Stability Advisory Committee (SSAC)**

- The SSAC recently formed a new work party which will examine the security and stability implications of route hijacking on the Internet's routing system and the DNS. This topic was identified as part of the SSAC environmental scan of threats and risks to the DNS initiated at its September 2019 workshop.
- The SSAC DNS abuse work party is close to completing its first document that outlines potential efforts to standardize community strategies and processes surrounding abuse identification and mitigation. Future study areas may include a discussion of reliable data

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sources of malicious activities, an examination of effective practices currently in place by certain top-level domain registries and registrars, or an exercise to establish evidentiary standards for effective reporting of technical abuse.

#### **Customer Standing Committee (CSC)**

- The CSC expects the full slate of its membership will be approved by the GNSO Council; the ccNSO Council has already done so.

#### **Root Zone Evolution Review Committee (RZERC)**

- The RZERC is discussing the idea of data protection for the root zone in general, and a proposal for such a technique titled Message Digests for DNS Zones (ZONEMD), in particular. This proposal embeds a cryptographic digest of zone data into the zone itself, with a new ZONEMD Resource Record type.
- The RZERC is also discussing signing root zone name server data with the Domain Name System Security Extensions (DNSSEC). The root zone has been signed with the DNSSEC since 2010. However, in the design of DNSSEC, only the authoritative zone data is signed. Non-authoritative data, and glue data in particular, is not signed. The RZERC is discussing the potential benefits of signing root zone name server data and deciding if it will make a comment to the ICANN Board on this topic.

#### **Cross-Community Working Group on New gTLD Auction Proceeds (CCWG AP)**

- Following adoption by all the Chartering Organizations, the CCWG AP Final Report and its recommendations will be submitted to the ICANN Board for its consideration.

#### **Root Server System Governance Working Group (GWG)**

- The GWG is expected to proactively engage and consult with RSS stakeholders as part of its consensus-based decision making.
- ICANN org continues to coordinate resources and support for the GWG and its work.

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# Government and IGO Engagement

*Mandy Carver, SVP, Government and IGO Engagement*

## KEY HIGHLIGHTS & MILESTONES

The range of events from March 2020 through September 4th, 2020 covered:

Virtual outreach and engagement events in New York City; monitoring ongoing discussions at the UN General Assembly – the Open-Ended Working Group (OEWG) on cybersecurity, the Government Group of Experts (GGE) on cybersecurity, and the Open-Ended Committee of Expert (OECE), tasked with drafting the UN cybercrime convention. GE organized an on-line technical briefing jointly for UN diplomats in New York and Geneva, with 116 participants.

GE also attended virtual sessions of the OECD’s Committee on Digital Economy Policy (CDEP) and sessions of CDEP’s working parties. It collaborated with ITAC in that context.

GE continued engagement with European Institutions on key legislative initiatives that are ongoing or are currently unfolding at the EU level. GE attended and presented at the virtual meeting of the High-Level Group on Internet Governance (HLIG) of the European Commission and the EU Member States that took place in June ahead of the ICANN68 meeting.

The TDAG-20 – the Telecommunications Development Advisory Group (TDAG), which was to have been a face-to-face conference in Geneva in March was instead converted into plans for a four-day virtual meeting in early June. When the June meetings also had to move to a virtual setting the planned CEO roundtable discussion was canceled and instead the CEO was invited by the ITU-D to speak to the virtual Global Regulators meeting in September (GSR 2020). To have the CEO address this global regulatory meeting was a new engagement venue for ICANN and an important outreach opportunity to an aspect of governments that we had not engaged with on that level before.

Additionally, the ITU WSIS Forum for that was to have been held in early April was postponed until the end of August when ICANN hosted a joint panel with ITU-D on the two organizations capacity building programs for governments.

Other processes have moved to an entirely virtual framework so that work such as following the ITU study groups and dialogs about new protocols continues. The WTSA preparatory discussions continue but the WTSA originally planned for October or November 2020 has currently been postponed to Feb/March 2021. And there is now one proposal from the host of the 2021 virtual WTSA to further postpone the meetings until possibly later in 2021.

## OVERVIEW OF ACTIVITY

### 1. Liaising with the Government Advisory Committee (GAC)

Work with the GAC during this time period focused on a discussion with the leadership and preparation for briefing materials for virtual ICANN68 and the preparation of materials for virtual ICANN 69.

The GE team continued to support the GAC capacity building program in accordance with the Underserved Regions Working Group (USRWG) work plan although the session for the Pacific Islands initially anticipated for 2019 which had been rescheduled twice was canceled.



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The loss of third-party meetings in the regions with which to partner prevented the previously planned work. Two surveys were organized during the summer to identify potential hot topics for GAC members from Asia and Pacific regions in order to organize GAC capacity building webinars during FY21 Q2. GAC representatives from both regions have been asked to identify potential dates for those webinars.

For virtual ICANN68 and ICANN69, GE worked with the GAC Support staff to develop briefing materials for the GAC building on the process developed in previous meetings.

A workshop on COVID19 and DNS security has been organized with GSE Africa during the Africa DNS Forum.

## **2. Government and IGOs Engagement**

Even in the challenging conditions of the global pandemic, the Government and IGO Engagement team continues its work with governments, global and regional intergovernmental organizations, as well as the country missions and permanent representatives to the various IGOs in Geneva, Brussels and New York. In April, an ICANN briefing on the technical functioning of the Internet, responding to questions from the diplomats, brought together 116 participants from New York and Geneva, as well as some capitals. It was the first time that such a briefing linked missions in New York and Geneva which is an on-going interest of the UN. The briefing was co-hosted by the Permanent Missions of Bulgaria and Estonia to the UN in New York and to the UN Office in Geneva. In the post event evaluation survey GE received positive feedback from the participants in the briefing.

In July, GE published a paper with updates from the work of the three working groups on cybersecurity and cybercrime (OEWG, GGE and OECE). We continued our remote outreach efforts with bilateral virtual meetings and continued building good relations with countries like the UAE, Israel, Finland, United Kingdom, US and others. In addition, internal briefings kept ICANN informed about the latest developments in these cyber discussions.

GE continued its engagement with European Institutions. Two contributions to public consultations launched by the European Commission (EC) and one contribution to a public consultation launched by the European Data Protection Board (EDPB) were prepared in collaboration with legal and submitted: [a contribution to the EC consultation on the 2020 review and evaluation of the application of the GDPR two years after its entry into force](#), [a contribution to the Digital Services Act consultation of the EC](#) and [a contribution to the EDPB consultation on the latter's guidelines on the concept of controller and processor in the GDPR](#). In that context and with a view to keep the community informed on key initiatives, GE published [a paper on EU Policy](#), [a paper on the GDPR 2020 Review](#) and [a paper on the DSA](#).

GE staff continued monitoring the ITU Council Working Group Internet meetings in Geneva, the ITU TDAG meetings as well as sessions of ITU-D Study group 1 and 2 as well as discussion in ITU-T Study Group 13 and Focus Group 2030. A recurring topic in many settings has been the dialog about “New IP.” Part of the questions around “New IP” have to do with definition and what the intent is for “New IP” – i.e. what is meant by “New IP”; what problem does it seek to solve and does it? Government engagement is working with OCTO and other colleagues to help governments define what the issues are that they have identified with the DNS and whether the “New IP” addresses these issues. The phrase “New IP” has been used so many times in such diverse settings that it is not currently clear what the proponents believe the concept is.

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GE continues to monitor the high-level discussions in the UN General Assembly and the discussions of resolutions that could potentially impact ICANN's remit. Cyber security and norms in Cyber Space topics continue to dominate discussions in various forum with increasing numbers of groups active in the space. GE continued to monitor the UN discussions within the cybersecurity-related Open-Ended Working Group (OEWG) and its intercessional meeting with community stakeholders; and the discussions in the Global Group of Experts (GGE) while sharing information with GAC leadership, the Board members and OCTO on these initiatives. During the OEWG session at the UN virtual bilateral meetings were held with representatives from Finland, Bulgaria, the UK, Israel, the US, Russia, Estonia, Switzerland, Brazil country delegations as well as UNDESA, UNIDIR, ITU New York Office, the ITU Geneva office and the Office of the Secretary General. We are also monitoring the next steps, and internal discussions at the UN as follow up from the publication of the report of the UN High-Level Panel on Digital Cooperation, and the lead up to the UN 75<sup>th</sup> Anniversary.

The GE team continued its work with colleagues on discussions in the ICANN community and the larger IG ecosystem on data protection and the GDPR as part of the broader outreach and engagement work with governments and IGOs.

### **3. Participation in Internet Governance Discussions**

GE continued its active support of the global IGF through participation in the Multistakeholder Advisory Group (MAG) meetings in February, March and September and by planning work to finalize ICANN's participation in the virtual IGF2020. The virtual IGF 2020 will be hosted by the IGF Secretariat and the UN. Poland will host the IGF 2021 in the hope of being able to have a face to face meeting by next year.

## **TOP ISSUES & MITIGATION**

GE, in collaboration with the GSE, continues to monitor the development of the e-privacy initiatives and various cybersecurity topics as they are raised in various fora. The GDPR, its impact on ICANN Org processes and procedures and the development of mechanisms to more effectively monitor developing legislative and regulatory initiatives globally remains an important focus.

GE has continued publishing papers on various government and IGO activity. Since March these have included a paper on The General Data Protection Regulation 2020 review; a European Union Update paper on the Digital Services Act and a United Nations Update on Cyber Related Discussions. These and other earlier papers can be found at <https://www.icann.org/resources/pages/government-engagement-publications-2020-03-02-en>.

On-going discussions on privacy, data protection, jurisdiction and commerce are being monitored in various event and governance processes. Outreach and engagement with DPAs continue. The GE team is also monitoring closely the discussions at the UN General Assembly First Committee Working Groups (OEWG, GGE) on cybersecurity and potential public consultation for any potential impact to ICANN's remit.

GE continues to follow closely the Digital Sovereignty debate considered as a major political topic in several regions (Europe, South America and Africa). The current discussions are mostly focused on the influence of major US and Chinese Internet platforms. Even if the current scope of the debate excludes ICANN and the DNS, the ICANN Jurisdiction issue (WS2) does suggest caution with respect to the position expressed by some countries (Brazil, France among other, cf minority statement to the WS2 Jurisdiction report.)



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# Reviews (Support/Accountability)

Theresa Swinehart, SVP, Global Domains & Strategy

## KEY HIGHLIGHTS & MILESTONES

### Specific Reviews

#### **Accountability and Transparency (ATRT3)**

- The Third Accountability and Transparency Review Team [report](#) was submitted to the Board for consideration on 1 June 2020. Per the ICANN Bylaws (Section 4.6(a)(vii)(C)), the Board shall consider the final report within six months of receipt of the final report, i.e. by 1 December 2020.
- The final report was [posted for public comment](#) from 16 June to 31 July and ICANN org has prepared a detailed [staff report of comments](#). This summary includes general comments on the ATRT3 Final Report, overarching comments on the two ATRT3 recommendations designated as high priority by the ATRT3 – recommendation on Reviews (including comments pertaining to Specific and Organizational Reviews) and Prioritization of Community Recommendations.
- The ATRT3 Board Caucus Group has engaged with the [ATRT3 implementation shepherds](#) to clarify aspects of the ATRT3 work and help with the understanding of the review team’s intent.

#### **Security, Stability and Resiliency of DNS (SSR2)**

- The SSR2 Review Team is working in sub-teams to address the 18 public comments (amounting to 300+ individual comments) on the SSR2 draft report and will amend its report as appropriate. The staff report is available [here](#).

### Organizational Reviews

#### **At-Large2 Review**

- The At-Large2 Review Implementation Working Group (ARIWG) submitted its [Final Implementation Report](#) to the OEC on 29 June 2020. The Final Implementation Report indicates that out of the eight recommendations, six are implemented and two still need to be completed. The relevant implementation work for these two issues (“Member Engagement and Criteria” and “Absence of consistent performance metrics”), is, by its nature, ongoing and/or dependent on factors beyond the control of the At-Large.
- ICANN Board [accepted the final implementation report](#) of the second At-Large Review Recommendations ([Final Report](#)), upon a recommendation from the OEC, signifying the conclusion of the second review of the At-Large.
- The Board requested the At-Large Advisory Committee to provide the OEC with a written or oral progress update on the two outstanding implementation steps for the two recommendations by 31 December 2020; and in the event that implementation is not completed by 31 December 2020, the ALAC shall continue to provide such updates to the OEC on a six-monthly basis until such time that the implementation efforts conclude.

#### **ccNSO2 Review**

- The [Feasibility Assessment and Initial Implementation Plan](#) (FAIIP) was submitted to the OEC on 30 June 2020. Of the 15 recommendations listed in the final report, 13 issues and 6 recommendations were supported by the ccNSO Review Working Party. Two recommendations were considered already implemented.
- On 11 August 2020, Independent Examiner presented their findings and recommendations listed in the [final report](#), and ccNSO RWP presented their FAIIP.

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- OEC is in the process of following-up with the ccNSO to inform their assessment of the FAIP.

### **NomCom Review**

- NomCom Review Implementation Working Group submitted to the OEC its [First Implementation Progress Report](#) on 30 June 2020. Out of the 27 recommendations in the progress report, two were marked as completed, 21 are being implemented, and four have not yet started.

### **RSSAC2 Review**

- The RSSAC2 Review Implementation Work Party (RIWP) started implementation work and submitted its first six-monthly [implementation progress report](#) to the OEC on 30 June 2020. This report notes that out of the six recommendations, two have been implemented, two are in progress, and two have not yet started as they are dependent on the progress of Route Server System Governance Working Group.

### **SSAC2 Review**

- The SSAC2 Review Implementation Work Party (RIWP) started implementation and submitted its first six-monthly [detailed implementation report](#) to the OEC on 30 June 2020. Of the 24 recommendations submitted for implementation, 17 were reported as completed, and seven (7) are in the process of being implemented.

### **Streamlining of Reviews**

- The community, Board, and ICANN org identified a number of problems with how the current reviews work and there is widespread support for streamlining reviews. ATRT3 recommendations propose solutions that would address several (but not all) key issues related to reviews and prioritization of recommendations.
- A comparative analysis has identified 17 additional problems with reviews that are not addressed by ATRT3 recommendations based upon review streamlining proposals, public comments and communications.
- In October 2019 the OEC and BPCR developed a resource titled [“Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussion”](#) in consultation with the ATRT3 leadership as well as the leadership of all other community-led reviews. This document provides a good starting point to explore how to meet remaining challenges not addressed by ATRT3 recommendations.

### **Work Stream 2 (WS2)**

- Following the ICANN Board’s [resolution](#) to adopt the consensus recommendations contained in the WS2 [Final Report](#), ICANN provided an [update](#) on WS2 progress that has been made.
- ICANN created an Implementation Operations team (in effect as of 1 July), which is responsible for the work of prioritizing, planning and implementing recommendations, including those resulting from Work Stream 2.
- ICANN will continue to engage with the community to align around the approach needed to balance the long-term commitment needed to develop a prioritization framework with the near-term timelines for other commitments such as WS2 implementation.

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## OVERVIEW OF ACTIVITY

- Supported the work of two Specific Reviews – ATRT3 and SSR2; one Organizational Review in preparation for Board consideration – ccNSO; and four Organizational Reviews during their implementation work (At-Large, NomCom, RSSAC and SSAC).
- Supported ongoing work to improve ICANN’s Bylaws-mandated reviews. This includes the work by the ICANN Board, ICANN org, and community on streamlining of reviews, in close alignment with the findings and recommendations from the ATRT3.

## TOP ISSUES & MITIGATION

The Bylaws have introduced new requirements applicable to Specific Reviews. Yet, the community has not had time to develop mechanisms and processes to support these requirements. For example, there is no clear method for review teams to develop recommendations while taking into account budgeting and resourcing of the implementation process. The aforementioned draft proposal on resourcing and prioritization of community recommendations, addresses some of the issues and proposes possible solutions. In addition, the Board continues to engage with the community, including review teams and implementation shepherds, in a collaborative effort to improve the outcomes from reviews. The ongoing process of streamlining reviews aims to improve the effectiveness of future reviews and ensure ICANN’s reviews remain an effective accountability measure.

# FACT SHEETS

## Competition, Consumer Trust and Consumer Choice Review (CCT) (final fact sheet October 2018)

### Key Data Points:

- Completion, based on duration: 100%
- Budget spent and committed: 100%
- Participation rate: 64%
- Milestones completed: 100%

### Competition, Consumer Trust and Consumer Choice (CCT) Review

Fact sheet as of: 31-Oct-2018

**Overview:**  
ICANN is committed to ensuring that, as it contemplates expanding the top-level domain space, the various issues that are involved will be adequately addressed prior to implementation.

These include issues such as competition, consumer protection, security, stability and resiliency, malicious abuse issues, sovereignty concerns, and rights protection.

The AoC also requires ICANN to convene a community-driven review to examine the extent to which the introduction or expansion of gTLDs has promoted competition, consumer trust and consumer choice, as well as the effectiveness of: The application and evaluation process and safeguards put in place to mitigate issues involved in the introduction or expansion

Wiki Page: [CCT Wiki Home Page](#)  
CCT-RT Email: [input-to-csdr@icann.org](mailto:input-to-csdr@icann.org)  
Review Questions: [reviews@icann.org](mailto:reviews@icann.org)

CCT Chair: Jonathan Zuck  
Competition and Consumer Choice Subteam Chair: Jordyn Buchanan  
Safeguards & Trust Subteam Chair: Lauren Kapin

**Review Status (as of 31 Oct 2018)**

Start Date: 13-Jan-2016      Review Duration to Date: **32 Months**  
Expected Completion: 8-Sep-2018      Total Expected Duration: **32 Months**

**100%**

**Complete, Based on Duration**

**100%**

**Budget Spent/Committed**

**Section I: People (as of 31 Oct 2018)**

Review Team members: **15**

ICANN Org individuals involved at various times throughout Review: **13**

**Volunteer Participation Rate**

64%

Face-to-face meetings: **8 Meetings**  
Calls (plenary and subteam): **142 Calls**  
Volunteer meeting & call time: **3,366 Hours**  
Personnel support time<sup>(1)</sup>: **11,653 Hours**  
(estimated hours and/or organizational support)

<sup>(1)</sup> Does not include time for Executives, Legal, IT Personnel and Other Organizational Support

**Section II: Financial Resources (as of 31 Oct 2018)**

Direct Review Costs <sup>(1)</sup>	FY19 Approved Budget <sup>(2)</sup>	FY19 Budget Spent to Date <sup>(2)</sup>	Committed FY19 Services <sup>(2)</sup>	Remaining FY19 Budget	ACURA Expenses: Review to Date <sup>(2)</sup>	Total Spent and Committed to Date
Professional Services - IAG-CCT	\$ -	\$ -	\$ -	\$ -	\$ 210,000	\$ 210,000
Professional Services - CCT	\$ -	\$ 650	\$ -	\$ (650)	\$ 1,540,000	\$ 1,540,000
Travel	\$ -	\$ 5,490	\$ -	\$ (5,490)	\$ 420,000	\$ 420,000
<b>Total</b>	<b>\$ -</b>	<b>\$ 6,140</b>	<b>\$ -</b>	<b>\$ (6,140)</b>	<b>\$ 2,170,000</b>	<b>\$ 2,170,000</b>

<sup>(1)</sup> Excludes ICANN Organization and overhead allocation. <sup>(2)</sup> Includes incremental approved professional services budget of \$160,000.  
<sup>(3)</sup> Based on the most recent month and financials (may not include recent expenditures). Represents expenses incurred since inception of work. <sup>(4)</sup> Professional services includes services from signed contracts to be provided or invoiced; travel includes upcoming scheduled meetings. ICANN.org

**Section III: Milestones (as of 31 Oct 2018)**

**Project Management**  
20% of total effort

- Adopt terms of reference
- Adopt work plan
- Assemble subteams
- Prepare templates
- Solidify list of projects
- Adopt discussion paper template
- Adopt report shell/framework

**Research and Studies**  
20% of total effort

- Identify data/sources needed for work
- Analyze data from research and studies

**Draft Report**  
25% of total effort

- Assemble initial conclusions
- Populate discussion papers with findings and potential recs.
- Reach agreement on discussions papers
- Discuss/approve/consolidate findings and interim recommendations
- Approve interim recommendations
- Seek Board/ICANN Organization input on implementability of interim
- Circulate interim recommendation to Subsequent Procedures PDP WG
- Socialize interim recommendations with community
- Build and approve Draft Report for public comment
- Issue draft report for public comment and socialize draft recommendations with
- Produce summary of public comment received
- GDD to provide input on draft recommendations

**New Sections**  
10% of total effort

- Review studied input and incorporate as appropriate
- Produce additional recommendations/new sections, as appropriate and edit report
- Approve additional recommendations
- Publish new sections of the report for public comment
- Socialize changes to report with community
- Seek ICANN Org and Board Caucus WG input on implementability of
- Circulate to New gTLD Subsequent Procedures PDP WG
- Produce summary of public comments

**Final Report**  
25% of total effort

- Review public comment input received and incorporate as appropriate
- Seek Board/ICANN Organization input on implementability of final recommendations
- Circulate final recommendations to Subsequent Procedures PDP WG for input
- Finalize Report
- Adopt final recommendations and report
- Send final report to ICANN Board

**TOTAL:**  
Milestones Completed  
**100%**

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# Registration Directory Service Review (RDS)

(final version included in the Review Team's Final Report August 2019)

## Key Data Points:

- Completion, based on duration: 100%
- Budget spent and committed: 42%
- Participation rate: 71%
- Milestones completed: 100%

## Registration Directory Service (RDS-WHOIS2) Review

Fact Sheet as of: 3-Aug-2019

NOTE: Information in this fact sheet was presented in the Final Report and reflects financial data through the end of June 2019. Additional expenses may appear in future financial reports and will be posted on the wiki here: <https://com.msu.edu/icann.org/dotlaw/WHOIS2/FactsSheet>

**Overview:**  
The Board shall cause a periodic review to assess the effectiveness of the then current gTLD registry directory service and whether its implementation meets the legitimate needs of law enforcement, promoting consumer trust and safeguarding registrant data ("Directory Service Review").

The Review Team will consider the Organisation for Economic Co-operation and Development ("OECD") Guidelines on the Protection of Privacy and Transborder Flows of Personal Data as defined by the OECD in 1980 and amended in 2013 and as may be amended from time to time.

The Review Team shall assess the extent to which prior Directory Service Review recommendations have been implemented and the extent to which implementation has resulted in the intended effect.

Wiki Page: [RDS-WHOIS2 Wiki Home Page](#)  
 Contact the RDS-WHOIS2-RT: [input-to-rds-whois2-rt@icann.org](mailto:input-to-rds-whois2-rt@icann.org)  
 Review Questions: [review@icann.org](mailto:review@icann.org)

Interim RDS-WHOIS2 Co-Chairs: Cathrin Bauer-Bulst  
 Alan Greenberg  
 Susan Kawaguchi

### Section I: People (as of 3 August 2019)

Review Team members: 11	Volunteer Participation Rate:  71%
ICANN org (individuals involved at various times throughout Review): 21	ICANN org (hours and cross-organizational): 747 Hours
Face-to-face meetings: 10 Days	Calls: plenary, leadership, subteam: 117 Calls
	Volunteer meeting & call time: 1,023 Hours

### Review Status (as of 3 August 2019)

Start Date: Jun-17      Review Duration to Date: 26 Month(s)  
 Expected Completion: Aug-19      Total Expected Duration: 26 Months

100% Complete, Based on Duration  
 42% Budget Spent/Committed by Review Team

### Section II: Financial Resources (as of 3 August 2019)

Direct Review Costs <sup>(1)</sup>	Approved Budget	Spent to Date <sup>(2)</sup>	Committed Services <sup>(3)</sup>	Total Spent and Committed to Date	Remaining Budget
Professional Services	\$200,000	\$10,000	\$0	\$10,000	\$190,000
Travel <sup>(4)</sup>	\$200,000	\$150,000	\$0	\$150,000	\$50,000
ICANN Org Support	\$150,000	\$70,000	\$0	\$70,000	\$80,000
<b>Total</b>	<b>\$550,000</b>	<b>\$230,000</b>	<b>\$0</b>	<b>\$230,000</b>	<b>\$320,000</b>

<sup>(1)</sup> Excludes ICANN organization and overhead allocation.  
<sup>(2)</sup> Based on the most recent month and financials (may not include recent transactions).  
<sup>(3)</sup> Professional services include services from signed contracts to be provided or invoiced. Travel includes anticipated expenses for relevant meetings.  
<sup>(4)</sup> As noted in FY19 Operating Plan, a new "standard" assumption of 10 supported travelers was implemented for each review. This resulted in a revised baseline travel budget of \$195,000.

### Section III: Milestones (as of 3 August 2019)

Review Planning	Research & Studies	Draft Report	Final Report	TOTAL:
20% of total effort	20% of total effort (to be reviewed by RT)	35% of total effort	25% of total effort	100% Milestones Completed
 <input checked="" type="checkbox"/> Determine role of observers <input checked="" type="checkbox"/> Determine leadership <input checked="" type="checkbox"/> Finalize legal docs (Conflict of Interest policy, NDA, Statement of Interest) <input checked="" type="checkbox"/> Adopt methodology and framework that identifies prioritized focus of RT work (Scope) <input checked="" type="checkbox"/> Adopt and publish Terms of Reference/communication with Board <input checked="" type="checkbox"/> Adopt and publish Work Plan <input checked="" type="checkbox"/> Define Review Team project management roles and responsibilities, including budget <input checked="" type="checkbox"/> Identify need for and deliver proposal on division of work <input checked="" type="checkbox"/> Develop and adopt outreach plan <input checked="" type="checkbox"/> Send adopted Terms of Reference and Workplan to Board	 <input checked="" type="checkbox"/> Assemble repository of background materials <input checked="" type="checkbox"/> Identify briefings/data sources needed <input checked="" type="checkbox"/> Determine need for independent expert(s) and develop Statement of Work	 <input checked="" type="checkbox"/> Subteams to present initial findings to Review Team <input checked="" type="checkbox"/> Develop/adopt template for findings, recommendations and report <input checked="" type="checkbox"/> Assemble findings and potential recommendations <input checked="" type="checkbox"/> Cross-check interim recommendations with scope/Bylaws, obtain feasibility assessment <input checked="" type="checkbox"/> Socialize draft recommendations with community <input checked="" type="checkbox"/> Publish Draft Report for Public Comment <input checked="" type="checkbox"/> Adopt public comment summary for publication	 <input checked="" type="checkbox"/> Review public comment received and incorporate as appropriate <input checked="" type="checkbox"/> Cross-check final draft recommendations with scope/Bylaws and obtain feasibility assessment <input checked="" type="checkbox"/> Approve final findings, recommendations and report for Board consideration <input checked="" type="checkbox"/> Submit Final Report to ICANN Board <input checked="" type="checkbox"/> Identify one or two Review Team Members to remain available for clarification as may be needed during the planning phase of implementation of Review Team Recommendations	



# Second Security, Stability and Resiliency Review (SSR2)

(most recent quarterly version published June 2020)

## Key Data Points:

- Completion, based on duration: 76%
- Budget spent and committed: 79%
- Participation rate: 65%
- Milestones completed: 85%

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

Fact Sheet as of: 30 June 2020

**Overview:**  
The Board shall cause a periodic review of ICANN's execution of its commitment to enhance the operational stability, reliability, resiliency, security, and global interoperability of the systems and processes, both internal and external, that directly affect and/or are affected by the Internet's system of unique identifiers that ICANN coordinates ("SSR Review").

Wiki Page: [SSR2 Wiki Home Page](#)  
Contact the SSR2-RT: [input-to-ssr2@icann.org](mailto:input-to-ssr2@icann.org)  
Review Questions: [reviews@icann.org](mailto:reviews@icann.org)

SSR2 Chair: Russ Housley  
SSR2 Vice-Chairs: Laurin Weisinger, Denise Michel, Eric Osterweil

**Review Status (as of 30 June 2020)**

Start Date: Mar-17      Actual Review Duration: **34** Months  
Expected Completion: Oct-20      Months Since Review Kickoff: **41** Months  
\*Expected completion extended due to 7 mo. pause      Total Expected Duration: **45** Months

**76%** Complete Based on Duration  
\*7 month pause not included

**79%** Budget Spent/Committed by Review Team

**Section I: People (as of 30 June 2020)**

Review Team members: **17**  
Assigned ICANN Org Members: **4**  
TOTAL ICANN Org Participants<sup>(1)</sup>: **29**

**Volunteer Participation Rate: 65%**

Face-to-face meetings (plenary/subteam): **29** Days  
Calls (plenary/subteam): **105** Calls  
Volunteer meeting & call time: **2,627** Hours  
Personnel support time<sup>(2)</sup> (estimated hours and cross-organizational): **5,666** Hours

(1) Does not include time for Executives, Legal, IT Personnel and Other Organizational Support. Does not include 7 months of SSR2 pause.  
(2) All ICANN Org individuals participating in calls/meetings at various times throughout the review.

**Section II: Financial Resources (as of 30 June 2020) - Additional funding needed to complete the Review Team's work was approved by the Board in November 2019.**

Direct Review Costs <sup>(1)</sup>	Approved Budget	Spent to Date <sup>(2)</sup>	Committed Services <sup>(3)</sup>	Total Spent and Committed to Date	Remaining Budget
Professional Services	\$310,000	\$100,000	\$60,000	\$160,000	\$150,000
Travel <sup>(4)</sup>	\$440,000	\$420,000	\$0	\$420,000	\$20,000
ICANN Org Support	\$50,000	\$50,000	\$0	\$50,000	\$0
<b>Total</b>	<b>\$800,000</b>	<b>\$570,000</b>	<b>\$60,000</b>	<b>\$630,000</b>	<b>\$170,000</b>

(1) Excludes ICANN organization and overhead allocation.  
(2) Based on the most recent month and financials (may not include recent expenditures). Represents expenses incurred since inception of work.  
(3) Professional services includes services from signed contracts to be provided or invoiced.  
(4) As noted in FY19 Operating Plan, a new "standard" assumption of 10 supported travelers was implemented for each review. This resulted in a revised baseline travel budget of \$195,000.

**Section III: Milestones (as of 30 June 2020)**

Milestones reflect Review Team work plan.\* Incomplete milestones reflect approximate percent completion rate.

Review Planning 15% of total effort	Research/Conduct Review 40% of total effort	Draft Report 25% of total effort	Final Report 20% of total effort	TOTAL: 85% Completed
<p><b>100% Complete</b></p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Determine leadership</li> <li><input checked="" type="checkbox"/> Adopt and publish Terms of Reference</li> <li><input checked="" type="checkbox"/> Adopt and publish Workplan</li> <li><input checked="" type="checkbox"/> Send adopted Terms of Reference to ICANN Board</li> <li><input checked="" type="checkbox"/> Develop and adopt outreach plan</li> <li><input checked="" type="checkbox"/> Develop and adopt template for findings and recommendations</li> </ul>	<p><b>100% Complete</b></p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Complete repository of background materials</li> <li><input checked="" type="checkbox"/> Identify briefings/data sources needed</li> <li><input checked="" type="checkbox"/> Receive answers from ICANN staff, and generate any follow-up queries</li> <li><input checked="" type="checkbox"/> Workstream 1 - SSR1 Evaluation of implementation</li> <li><input checked="" type="checkbox"/> Workstream 2 - ICANN SSR</li> <li><input checked="" type="checkbox"/> Workstream 3 - DNS SSR</li> <li><input checked="" type="checkbox"/> Workstream 4 - Future Challenges</li> <li><input checked="" type="checkbox"/> Workstream 5 - IANA Transition</li> </ul>	<p><b>100% Complete</b></p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Administrative duties, formatting</li> <li><input checked="" type="checkbox"/> Internal review of workstream output and draft recommendations</li> <li><input checked="" type="checkbox"/> Outreach on draft recommendations</li> <li><input checked="" type="checkbox"/> Assemble draft report</li> <li><input checked="" type="checkbox"/> Approve draft findings and recommendations</li> <li><input checked="" type="checkbox"/> Publish draft report</li> <li><input checked="" type="checkbox"/> Public comment period and outreach on draft report</li> </ul>	<p><b>25% Complete</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Update Draft Report</li> <li><input type="checkbox"/> Approval Process</li> <li><input type="checkbox"/> Send Final Report</li> </ul>	

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## Reviews (Implementation)

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

### KEY HIGHLIGHTS & MILESTONES

- ICANN org announced the formation of the Implementation Operations team, effective 1 July 2020. The Implementation Operations function was created to tackle a fundamental need in the ICANN ecosystem to systematically address the many recommendations and related implementation work. This function will ensure efficient support of the reviews process, from inception to implementation, through collaborative and efficient planning and delivery, and that the Board-adopted recommendations can be implemented in a timely and sustainable manner.
- Following Board [action](#) on Competition, Consumer Trust, and Consumer Choice (CCT) Final Recommendations, ICANN org has been working diligently to address the additional information the Board requested, on the recommendations placed in 'Pending' status, in the Scorecard associated with the Board resolution. ICANN org regularly consults with the Board Caucus Group on the CCT-RT in order to finalize its analyses and prepare for Board action. Based on the work completed to date, the Board expects to make a decision on some of these recommendations in October 2020 during the Annual General Meeting (ICANN69). ICANN org will continue to track recommendations that have been passed through to other parts of the community, to the extent information becomes available. On 20 August 2020, ICANN Board chair published a [blog](#) to provide the community with a more comprehensive update on the status of the CCT Recommendations and next steps.
- The Board and ICANN org are committed to diligent tracking and progress reporting through various activities, such as periodic updates to the Board and community, and expansion of project management diligence and best practices. Section 4.5 of the ICANN Bylaws mandates an Annual Review Implementation Report, to provide an overview of implementation status of all review processes. In accordance with ICANN org's regular publication cycle, the report for fiscal year 2020 will be published in October 2020.

### OVERVIEW OF ACTIVITY

#### **Implementation of Recommendations:**

As reflected in Board actions on the Plan for Implementation of CCT-RT Accepted Recommendations and the RDS-WHOIS2 Final Recommendations, the Board believes that implementation work, where no significant incremental costs and resources are needed, should begin as soon as possible, subject to availability of resources within the context of broader ICANN work. Any recommendations that require significant resources and budget should be included into operational planning and budgeting processes, allowing for appropriate community consideration and prioritization, as applicable, of planned work.

The Board [adopted](#) the Cross Community Working Group (CCWG)-Accountability Work Stream 2 (WS2) [Final Report](#) at ICANN66 and directed ICANN org to implement the recommendations using the considerations noted in the [WS2 Implementation Assessment Report](#). This includes moving forward with those recommendations that do not need a budget cycle to implement, as well as providing support (as available) to the ICANN community for those parts of the WS2 recommendations that are community driven in implementation. ICANN org plans to provide regular updates on the status of this work.

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## TOP ISSUES & MITIGATION

While implementing recommendations is not a new activity for ICANN org, implementation efforts, up to now, were performed in an unstructured and unplanned fashion. However, as ICANN org matures and the number of recommendations resulting from reviews and various cross-community working groups and projects increases, the need for a more formal and structured implementation approach intensifies. Community-issued recommendations are numerous, complex, and require significant time and resources to implement effectively. In some instances, there are dependencies on other community work and events.

The establishment of the Implementation Operations team allows for dedicated resources to be focused on implementation work. Recognizing that successful implementation is about more than just knowing the recommendation and the intended outcome, it is equally as important, if not more so, to determine how the activities to accomplish the desired outcome of a recommendation will be carried out, resources needed to perform them, and when and how often these activities will need to be performed. The Implementation Operations function will institute a formal and structured approach to implementation, defining the numerous, and important, steps that must be included in an effective implementation process to ensure the ac



## Regional Office Reports

### APAC (Singapore)

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

#### Overview of Significant Activities

Amidst the COVID-19 pandemic, community members within the region remained active via virtual engagements.

#### Key Regional Activities

Date	Event Name	Location	Remarks
Apr 7 Apr 21	<b><u>ICANN67 Readouts</u></b> ICANN Readouts are community-led debrief sessions of the recent ICANN meeting.	Virtual (India) (Japan)	<ul style="list-style-type: none"> <li>Readouts were organized by India and Japan communities, attended by 30 and 37 participants respectively.</li> </ul>
Apr 28 May 21	<b><u>APAC Space</u></b> APAC Space is a regional platform to discuss ICANN-related policy issues.	Web Conference	<ul style="list-style-type: none"> <li>2 sessions were held to consult the community on the draft APAC Regional Plan FY21-25.</li> <li>The sessions were attended by 51 and 45 participants respectively.</li> </ul>
May 11	<b><u>India Universal Acceptance (UA) Local Initiative</u></b> Formal Launch	Virtual (India)	<ul style="list-style-type: none"> <li>The Indian Language Internet Alliance (ILIA) officially launched the UA Local Initiative program. 60 participants attended.</li> </ul>
Jun 12 Jun 17	<b><u>UA Awareness Webinars</u></b>	(India) (Nepal)	<ul style="list-style-type: none"> <li>UA awareness-raising webinars were organized for India and Nepal communities.</li> <li>42 and 35 participants attended, respectively.</li> </ul>
Jun 4	<b><u>COVID-19 and Digital Transformation</u></b> Organized by the Pacific Islands Private Sector Organisation (PIPSO)	Virtual (Fiji)	<ul style="list-style-type: none"> <li>We engaged on various ICANN-related topics such as Domain Name System (DNS) and DNS Abuse.</li> <li>The session was attended by 40 participants.</li> </ul>
Jun 16- 23	<b><u>ICANN68</u></b>	Virtual (Malaysia)	<p>The APAC regional office led the following activities:</p> <ul style="list-style-type: none"> <li>Prep Session: ICANN PDP Working Group Roleplay for 33 ICANN Fellows.</li> <li>GNSO IPC APAC Open House,</li> </ul>

			<ul style="list-style-type: none"> <li>attended by 86 participants.</li> <li>APAC Space - The impact of COVID-19 in the APAC region, attended by 117 participants.</li> </ul>
Jun 30-Jul 8	<b><u>PacNOG26</u></b> PacNOG is the premier event for technical capacity development for network operators in the Pacific Islands sub-region.	Virtual (Fiji)	<ul style="list-style-type: none"> <li>We conducted DNS Security tutorials in partnership with the Network Startup Resource Center (NSRC),</li> <li>We also engaged on UA and Email Address Internationalization (EAI).</li> </ul>
Jul 3	<b><u>Macao IGF</u></b>	Virtual (Macao)	<ul style="list-style-type: none"> <li>We presented the published paper "<a href="#">5G Technology</a>".</li> <li>92 participants attended.</li> </ul>
Jul 4 - Aug 4	<b><u>ICANN68 Readouts</u></b>	Virtual	<ul style="list-style-type: none"> <li>Regional readouts were conducted by Youth4IG (a youth-community platform) and at APAC Space, attended by 20 and 46 participants respectively.</li> <li>Readouts were also held in India, China and Japan, attended by 30, 41 and 35 participants respectively.</li> </ul>
Jul 24	<b><u>Inaugural China Internet Governance Forum (IGF)</u></b>	Virtual (China)	<ul style="list-style-type: none"> <li>ICANN Board Chair Maarten Botterman delivered congratulatory remarks and recognized the Chinese community's engagement with ICANN on Internationalized Domain Names (IDNs) and EAI.</li> <li>The session attracted about eight million real-time online views.</li> </ul>
Aug 6	<b><u>DNS Abuse &amp; Scaling Up Cyber Hygiene - During &amp; Post COVID</u></b>	Web Conference	<ul style="list-style-type: none"> <li>CIO Ashwin Rangan presented on the topic "Staying Safe in Cyberspace – 8 Attacks You Should Know".</li> <li>114 participants attended.</li> </ul>
Aug 6-7	<b><u>Indian Network Operators Group (INNOG3)</u></b>	Virtual (India)	<ul style="list-style-type: none"> <li>We engaged on topics about ICANN and the DNS.</li> </ul>
Aug 12	<b><u>Beijing Cyber Security (BCS) Conference</u></b> BCS is an annual conference focusing on	Virtual (China)	<ul style="list-style-type: none"> <li>CTO David Conrad delivered a keynote address focusing on the security of the DNS ecosystem. The session was attended by 16,000 participants.</li> </ul>

	cybersecurity		<ul style="list-style-type: none"> <li>We also engaged in deepening understanding of the Root Server System. The session was attended by 800 participants.</li> </ul>
Sep 3-4	<b>APTLD78</b> APTLD gathers the Asia Pacific ccTLDs twice yearly.	Virtual (Chinese Taipei)	<ul style="list-style-type: none"> <li>We engaged on various topics including ICANN updates, ITHI and DNSSEC deployment.</li> </ul>

## Other Activities

Amidst the COVID-19 pandemic, community members within the region remained active via virtual engagements.

- The [APAC Regional Plan FY 21-25](#) was finalized and published, following months of consultations with the APAC community. The plan maps focus areas and activities against objectives and goals laid out in [ICANN's FY21-25 Strategic Plan](#).
- We installed and [announced](#) the first ICANN Managed Root Server (IMRS) instance in the Republic of Palau (Palau).
- The 4th version of the [China Domain Name Industry Report](#) (Chinese only) was released. ICANN-related content includes:
  - Summary of SubPro PDP and EPDP Phase 2;
  - RSS governance based on ICANN org and RSSAC's documents and reports that we have shared.
- OCTO Technical Engagement team delivered the following:
  - DNS and Cybersecurity Webinar organized by Kubernetes Sri Lanka Community Group (Jun);
  - DNS Ecosystem Security Webinar organized by APNIC (Aug); and
  - DNS/DNSSEC training with ccTLD .bd (Sep).
- Media engagement: India's PC Quest magazine featured ICANN in a written Q&A highlighting that the DNS architecture is suited to scale for increased Internet usage during remote work scenarios amidst the COVID-19 pandemic.

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## Europe (Brussels)

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

This six-month reporting period has seen the Brussels office settle into “working-from-home” status, with a focus on the team’s health, safety and morale. This has required close collaboration with Human Resources and ICANN’s Health and Safety Team, as well as regular communication with staff – the Brussels team, as well as colleagues across the region. Nowhere in Europe has been spared the impacts of COVID-19. Every team member found their work and personal lives disrupted to varying degrees.

Europe’s COVID-19 experience starkly demonstrates the unpredictable nature of pandemics. By the end of March, Europe had become the global epicenter of new cases and nearly 300 million people began living under some form of lockdown. Many governments considered these lockdowns sufficiently successful to allow for gradual relaxation of restrictions beginning in May and June.

Based on EU guidance, member states also resumed regional travel in June and limited international travel in July. By mid-to-late summer, cases were again surging across much of Europe and in some areas as badly as during the first peak in April. In response, governments across the region are adopting more localized restrictions and constantly evolving border controls.

With Summer holidays over, European have returned to work and school - in many cases still “virtually”. In light of evolving developments and the risk landscape, ICANN org extended its ban on office re-openings, business travel, and in-person meetings until at least 31 Dec. The org’s Adaptive Crisis Management Team continues to closely monitor and assess the situation globally, regionally, and locally.

A similar team approach has been taken to address eventual return to full operations, with ICANN offices in Europe ordering protective equipment and supplies in preparation for an eventual reopening.

### Overview of Significant Activities

During this period ICANN’s Government Engagement team in led important efforts to submit comments as part of European Commission consultation processes. These related to a two-year review of the General Data Protection Regulation (GDPR) and the proposed Digital Services Act (DSA). In both cases, comments submitted expounded upon the technical functioning of the Domain Name System (DNS) and the unintended consequences or pitfalls that can arise from vaguely interpreted or imprecisely drafted legislation.

We continued to hold virtual Stakeholder Assemblies via Zoom on topics related to the DNS and ICANN policy development, and we held a particularly successful Russian-language session reviewing the achievements of the ICANN68 meeting. We deepened our collaboration at a regional level with partner organizations including Internet Society (ISOC), RIPE NCC and CENTR, focused on such topics as the strengthening of EuroDIG (Europe’s regional IGF) and European Union policy proposals.

Across Europe, most events have been cancelled, rescheduled or moved to an online format, due to COVID-19. The GSMA’s Mobile World Congress, the largest event in which we planned

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to participate was the first of a series of high-profile cancellations affecting ICANN engagement. Regional events where ICANN participates as a sponsor or by providing speakers (or both) were reorganized in a virtual format, including the EuroDIG and SEEDIG6. We have adapted well to this new mode of engagement.

We are strongly promoting ICANN's technical administrative functions, with a push for European participation in OCTO projects such as DAAR and IHTI, the installation of an IMRS (formerly known as L-Root) in Italy in July. This has included the publication of blogs and direct outreach to Internet Service Providers (ISPs) and organizations like the GSMA.

Our engagement with academic institutions such as Leiden University (Netherlands), Lund University (Sweden) and Lodz University (Poland), moved seamlessly online, with successfully completed lectures and invitations to future events.

September was a busy month in the period, with events ranging from the German, Italian and UK IGFs, to NamesCon. There were also Cybersecurity and Network Operator gatherings – all happening online and requesting ICANN speakers. And, of course, preparations for ICANN69 will assure that European partners and stakeholders in ICANN's work are highlighted and celebrated.

Finally, we are exploring additional partnerships and collaboration opportunities with organizations like EuroISPA (ISP association), EU CyberNet, Digital Policy Alliance (UK), and the Portulans Institute.

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## Geneva Engagement Office

*Mandy Carver, SVP, Government and IGO Engagement*

Due to COVID-19 lockdown, during this time period the Government and IGO engagement function in Geneva had to change the nature of engagement with the IGOs there. Many of the planned participations in face-to-face meetings and conferences were canceled or postponed. The WSIS Forum went from a planned single week in March to a series of webinars spread over the July through September time period. Therefore, the Geneva based GE team participation in the WSIS Forum ended up as a successfully organized panel on capacity building activities for governments held at the end of July. ICANN invited ITU-D to share the panel and the session covered both ICANN and the ITU-D programs for capacity building event for governments. In addition, the Senior Director represented ICANN in the Appreciation Ceremony for WSIS Forum 2020 Partners - High-level Dialogue.

Several other events were changed, which led to the cancelation of planned activity. One example was the TDAG meeting for June which were initially instead planned to include CEO roundtables and dialog opportunities. That face-to-face meeting was canceled and the online meetings re-focused to cover operational requirements for TDAG. As a result, the invitation to the CEO was changed from the TDAG meetings in June instead to an invitation to speak to the 2020 global regulators conference which was held online in September. The Geneva team organized the CEO's participation in the GSR20 meeting which was an important new venue for ICANN engagement.

GE continues to follow the TDAG, TSAG and the ITU SG discussions and the WTSA preparation discussions. Two topic areas have garnered increasing attention – the concept of DNS abuse using Covid-19 lures and the concept of “New IP.” ICANN Geneva based staff will continue to follow the discussions to determine the appropriate level of engagement and outreach opportunities in the WTSA when the decisions are made about timing and location for that conference.

In addition, the Geneva-based staff has also engaged with various other IGOs and NGOs. This includes work with the IGF Secretariat and the organizational work for the ICANN participation in the virtual global IGF2020. Team members participated in the CSTD 23rd session virtual meeting and various other UN and UNIDIR online events and webinars. Geneva based GE team members have also attended several online sessions provided by organizations such as Diplo Foundation and Geneva Internet Platform, pursuing their engagement work online and through the phone.

GE has promoted awareness of the work done by OCTO on the questions of DNS Abuse. ICANN organized a joint online event for the diplomats in New York and Geneva so that the members of the permanent missions who will be engaged in discussions within the UN structures have access to factual information on how the Internet works. On “New IP”, part of the discussion has to do with what the definition is for New IP and what the intent is for “New IP” – i.e. what is meant by “New IP”; what problem does it seek to solve, and does it solve it? Government Engagement is working with OCTO and other colleagues to help governments define what the issues are that they have identified with the DNS and whether “New IP” addresses these issues. The phrase “New IP” has been used so many times in such diverse settings that it is not currently entirely clear whether the proponents all are using the concept in the same way. ICANN continues to work with technical partners to follow these debates.

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GE organized with OCTO a webinar on 5G for the members of the FRATEL network (the network of Francophone regulators). This initiative was very well received and paved the way for a good collaboration between ICANN and FRATEL (mostly based on the promotion of OCTO notes and ICANN technical expertise sharing).

The Geneva based team also continues to actively monitor the security dialog in the Digital Economy Expert Workshop, the work of the Going Digital II Steering Group and the dialog about geographic indicators in several IGO. Lastly GE in Geneva and Brussels continues to cover the work of the ITAC-OECD involving the Committee on Digital Economy Policy and its working parties on Data Governance and Privacy in the Digital Economy (DGP), and the Working Party on Security in the Digital Economy (SDE) among others.



## Middle East, Africa (Istanbul)

Vice President, Stakeholder Engagement - Middle East & Managing Director - Middle East & Managing Director MEA

### Overview of Significant Activities

The COVID-19 pandemic has impacted the overall approach to engagement in the Middle East and Africa regions. The GSE Africa team continues to partner with various ccTLD Registries in Africa to initiate their respective remote engagements efforts with their local communities during this period. To this end, a number of ccTLDs have launched or are in the process of launching thematic webinar series targeted at their national stakeholders on DNS security, branding to online marketing as well as policy-focused discussions. The objective is to enhance the brand awareness and visibility of ccTLDs as important components of the digital economy.

### Key Regional Activities

Date	Event Name	Location	Remarks
March 23	ICANN67 Online Readout Session - Middle East	Virtual	Covered key updates from ICANN67.
April 2	ICANN67 Online Readout Session – Africa	Virtual	Covered key updates from ICANN67.
April 3	Training Series for (.tr) ccTLD Operator Team	Virtual	Introduced ICANN’s role and its technical function.
April 12	Turkey Internet Week 2020	Virtual	Presented on DNS Abuse trends during COVID-19.
April 14	Academic Engagement with Bilgi University IT Law Institute	Virtual	Online lecture about ICANN and its engagement with students.
April 15	Middle East Space - Universal Acceptance of Arabic Script Based Domain Names and Email Addresses	Virtual	Purpose was to discuss and draft a Community statement on the topic.
April 22	ICANN67 Online Readout Session - Turkey	Virtual	Updated Turkish stakeholders on key topics from ICANN67.
April 27	Webinar on Understand DoT and DoH	Virtual	Educational webinar to explain DNS over HTTPS and DNS over TLS.
April 30	Webinar on Universal Acceptance and Local	Virtual	The objective was to underscore the fundamental importance of UA as a

	Initiatives in Africa		foundational requirement for a truly multilingual Internet.
May 14	Webinar on ICANN's Open Data Platform	Virtual	Organized as a joint GSE Middle East and GSE Africa event and in close collaboration with the different teams behind the program, the webinar explained ICANN's Open Data Platform.
May 14	Joint Call with Africa Regional Regulatory Associations	Virtual	Leaders from The West Africa Telecommunication Regulators Assembly, The East African Communications Organization, The Assembly of Telecommunication Regulators of Central Africa and The Communication Regulators' Association of Southern Africa attended this call to brainstorm on the best approach to keep ICANN's engagements with Regulators and key ICT players in Africa alive.
May 18	Webinar on Universal Acceptance - Turkey	Virtual	Purpose was to raise awareness about UA readiness and initiate Local UA studies.
May 26	Conference call with SO/AC and Community Leaders	Virtual	This brainstorming meeting was for ICANN Staff and Community to discuss on better ways to conduct Community engagement activities during this pandemic period. The ICANN Pandemic Internet Access Reimbursement pilot program is a solution to one of the issues raised during that call.
June 3	Middle East Space - Universal Acceptance of Arabic Script Based Domain Names and Email Addresses Follow-Up	Virtual	Follow-up webinar to the one of April 15 where the statement was discussed and finalized.
July 2	Webinar on Introduction to ICANN - Communication Regulatory Authority - Qatar	Virtual	Presented on ICANN, its mission and structure.
July 21	ICANN68 Middle East and Africa Online Readout Session	Virtual	Covered key topics discussed or presented during ICANN68.

July 22	ICANN Training Series for the Ministry of Transformation and Infrastructure - Turkey	Virtual	A series of educational webinars on several topics to strengthen our collaboration with the Government.
July 27	Middle East Space - ATRT 3	Virtual	Community input on ATRT 3 discussed and submitted through ICANN's public comment process.
July 27-28	8 <sup>th</sup> Africa DNS Forum	Virtual	This inaugural virtual flagship event of the Forum was held successfully with ICANN Org's support.
August 17	Pakistan School on IG 2020	Virtual	Presented on ICANN and its ecosystem.

## Other Activities

- The [2021-2025 MEAC Regional Plan](#) final document was published on May 14<sup>th</sup> and the [FY21 Action Plan](#) was published a month later. Several calls were held with stakeholders from across the region to walk them through the FY21 regional Action Plan and discuss areas of potential collaboration. [The Africa Regional Plan for Fiscal years 2021 – 2015](#) was finalized and published on July 16<sup>th</sup>.
- On 30 June 2020, the term of ICANN's [2016-2020 MEAC Strategy](#) came to an end. A complete review and assessment is being undertaken, the results are yet to be released.
- The GSE Africa team maintained active participation on other engagement fora and participated in a number of Schools of IG and IGFs that have been held in the region within this period. They include the West Africa SIG and IGF as well as other national (Benin, Ghana) IGF and SIG (July 2020), FFGI (Africa Francophone version of School of Internet Governance) and the Africa WSIS +15 Session.

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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

Our virtual engagement activities in the LAC region have been divided in two different categories. One has focused on the concept of targeted engagement in the form of a series of webinars and trainings with specific organizations in the region, including LACTLD, LACRALO, CITEL, ISPs associations from Paraguay, Bolivia and Brazil, and the Mexican Association of Universities and High-Level Education Institutes. The other category focuses on engagement for the general public, we have named this series of events as ICANN LAC Talks and they have included topics of relevance such as 5G and the DNS, Universal Acceptance, Impact of COVID 19 on the DNS.

Nicolas Antoniello joined ICANN as a Regional Technical Engagement Manager for Latin America and the Caribbean. Nicolás is leading the execution of the technical engagement strategy in Latin America and the Caribbean (LAC) region in coordination with other regional engagement functions at ICANN. He is an engineer and studied at Universidad de la República in Montevideo, Uruguay, and the Universidad Complutense in Madrid, Spain. Before joining ICANN, Antoniello was a Senior Advisor to the Uruguayan Government's National Telecommunications Minister and worked for the National Telecommunications Company (ANTEL)

### Key Regional Activities

Date	Event Name	Location	Remarks
9 April	ARIN/CaribNOG Webinar Series on COVID-19 Impact	Online	The first session in the North American Regional Internet Registry (ARIN) and CaribNOG webinar series, COVID-19 and the Caribbean Internet, in collaboration with regional Caribbean partners the Organization of Eastern Caribbean states (OECS) Commission, the Latin American Internet Registry (LACNIC), the Internet Society (ISOC), and ICANN. These weekly webinars on COVID-19 and the Caribbean Internet explore the impact on Caribbean Internet infrastructure, network security, and electronic service delivery, telecommunications regulation, public policy, and public safety.
April	Rights Protection Mechanisms Session for Digital Law MBA Students in São Paulo	Online	ICANN was invited for the second time by the Escola Paulista de Direito (EPD) to teach a session on Rights Protection Mechanisms and Dispute Resolution for domain names registered under gTLDs. The MBA course in Digital Law is

			coordinated by Professor Rony Vainzof and was streamed online due to the social distancing measures. Over 50 students actively participated in the session.
29-30 April	DNS 101 Webinars for ANUIES (Mexico) and ASISPY (Paraguay)	Online	We delivered two webinars on the “nuts and bolts” of the Domain Name System (How the DNS Works: DNS 101) to two large regional groups: ASISPY and ANUIES.
9 July	ICANN LAC Talks: Universal Acceptance	Online	As part of the ICANN LAC talks, our regional community presented on progress made on UA in the LAC region.
26 August	ICANN LAC Talks: Past, Present and Future of the DNS	Online	The fifth edition of ICANN LAC Talks featured David Conrad, ICANN’s Chief Technology Officer, talking with LAC stakeholders about the Internet’s system of unique identifiers. During the session on 26 August, Conrad addressed challenges and opportunities posed by the COVID-19 pandemic and engaged with participants in a deeper conversation about the Internet’s current state.

## Other Activities

During the period of this report our Regional Strategic Plan FY21-25 underwent public comment and after review of our regional community LAC Strategy Council is finalized and has begun implementation. In July, we held our Capacity Development Week for all staff attached to the Montevideo Office. The training included management and communications courses plus substantive training in policy, technical and domain industry topics.

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

Jamie Hedlund, SVP, Contractual Compliance & Consumer Safeguards and Managing Director  
– Washington D.C. office

### Overview of Significant Activities

As a result of the ongoing COVID-19 pandemic, all staff based out of the Washington, D.C. office are working remotely. We continue to engage with regional stakeholders, where possible, and are tracking legislative activity that might have an impact on ICANN's ability to fulfill its Bylaws-mandated responsibilities.

### Key Regional Activities

Date	Event Name	Location	Remarks
June 9	Cybersecurity Issues Webinar at United Nations (UN)	Virtual	<ul style="list-style-type: none"><li>• Webinar hosted by GSE in collaboration with GE and the International Institute for Communications</li><li>• Discussion held by Veni Markovski and Timo Koster, Ambassador-at-Large, Security Policy &amp; Cyber at the Ministry of Foreign Affairs of the Kingdom of the Netherlands</li><li>• Outlined ICANN's engagement at the UN, including educational efforts for diplomats</li></ul>
July 22-23	Internet Governance Forum USA (IGF-USA) 2020	Virtual	<ul style="list-style-type: none"><li>• Sessions featured discussions on privacy and public health, artificial intelligence, network security, and 5G</li></ul>
Sept 14	Update on Cybersecurity Discussions at the UN	Virtual	<ul style="list-style-type: none"><li>• Co-hosted by ICANN and Civic Hall, a non-profit center based in New York City</li><li>• Veni Markovski and Jim Lewis, SVP at the Center for Strategic and International Studies, provided an overview of the discussions taking place within the UN</li></ul>

