

# Introduction to PTI's First Year

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ICANN 60  
October 2017

**PTI** | An ICANN Affiliate

# IANA Stewardship Transition High-level Overview

# The U.S. Government's Announcement

**14 March 2014:** U.S. Government announces intent to transition its stewardship of the IANA functions to the global multistakeholder community



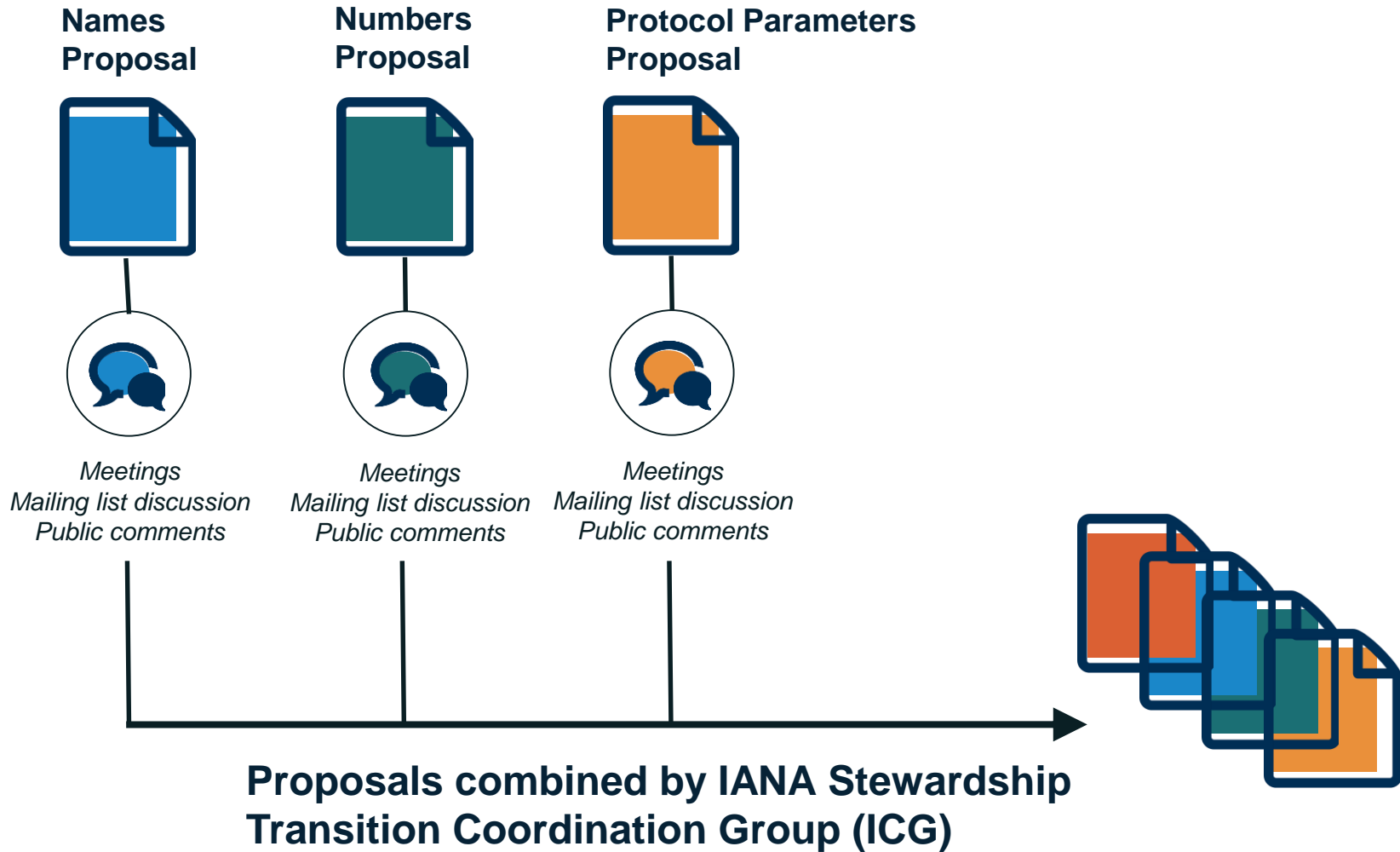
## **The U.S. Government's announcement:**

- ⦿ Marked the final phase of the privatization of the DNS
- ⦿ Further supports and enhances the multistakeholder model of Internet policy making and governance

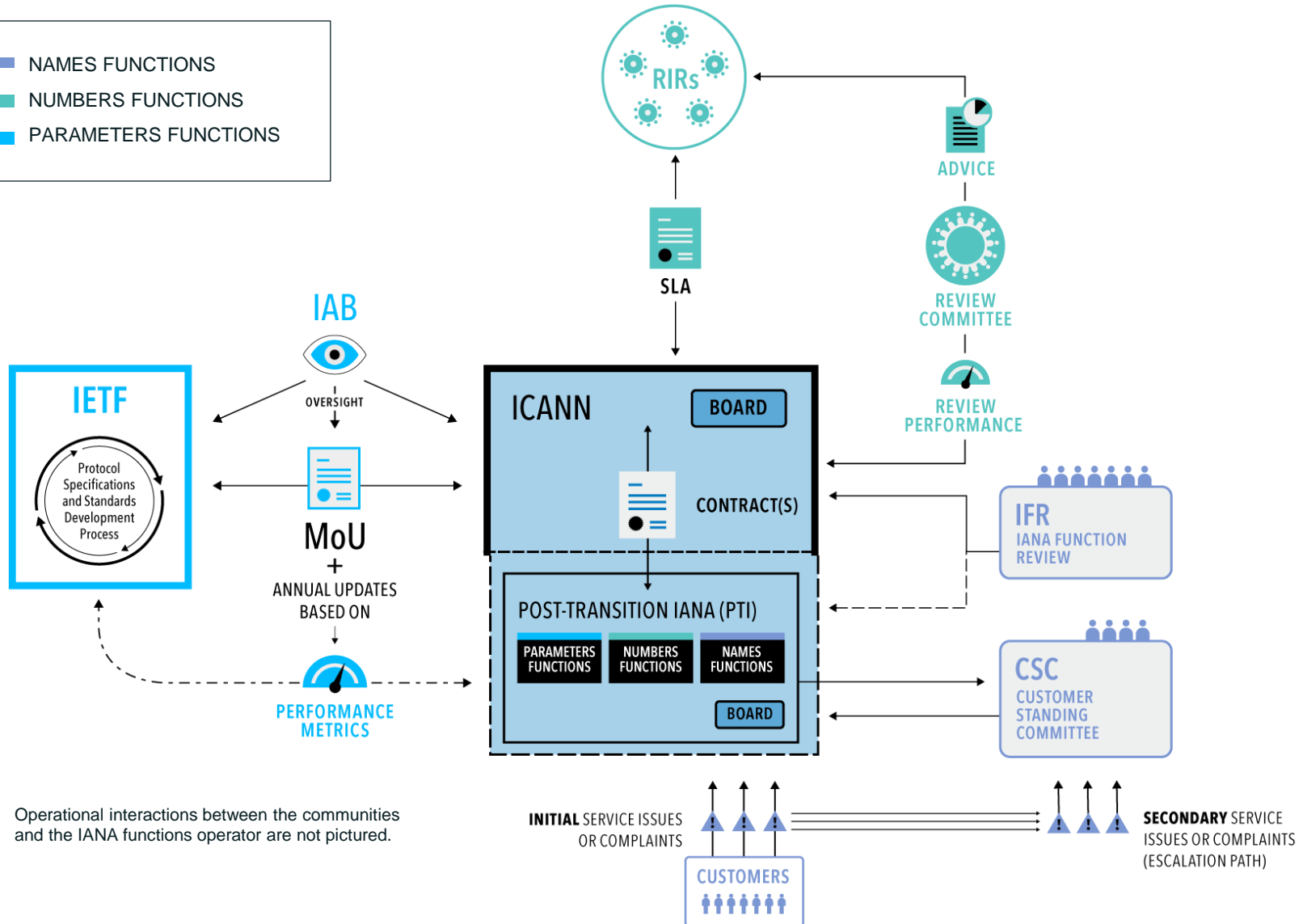
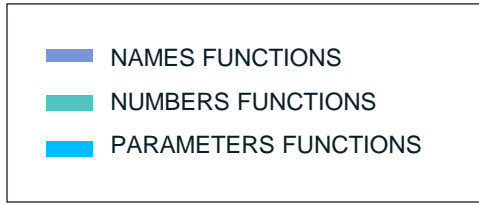
ICANN was asked to serve as a facilitator, based on its role as the IANA functions administrator and global coordinator for the Internet's Domain Name System (DNS)

**30 September 2016:** After more than 2 years of work by the ICANN multistakeholder community, the IANA stewardship transition was completed.

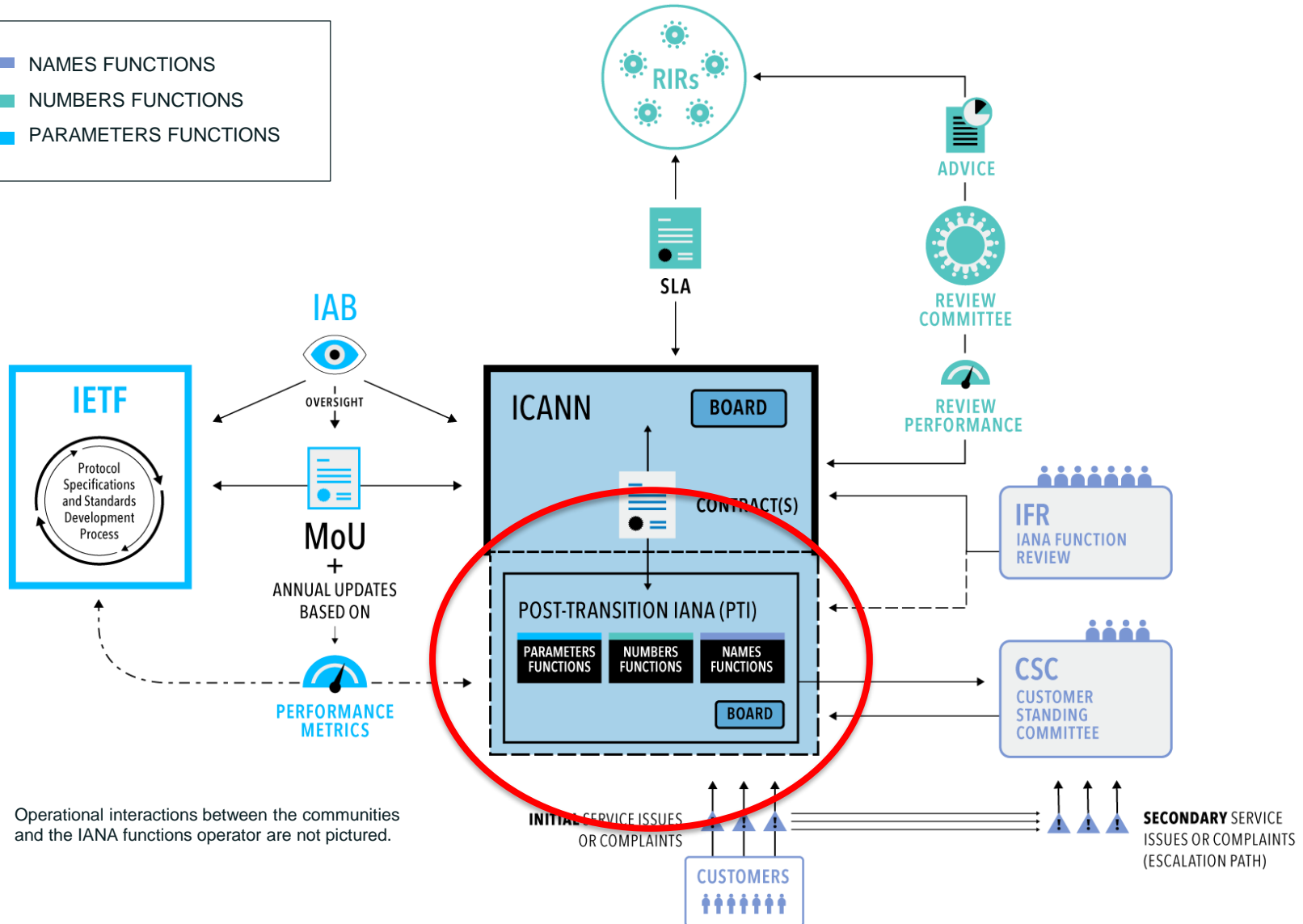
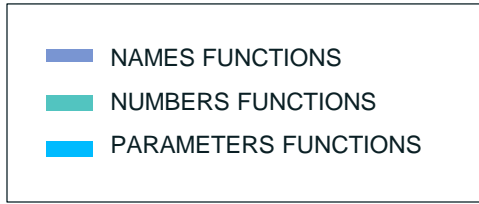
# Request for Transition Proposal Structure



# Combined Proposal Overview



# Combined Proposal Overview

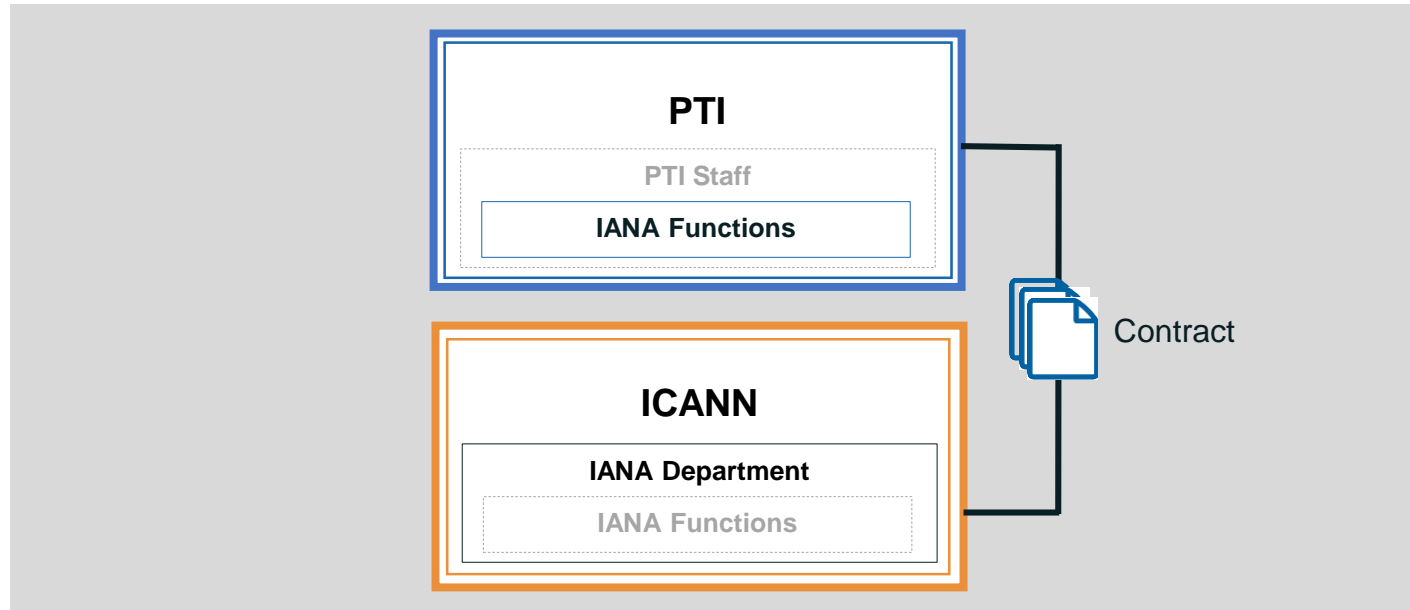


Operational interactions between the communities and the IANA functions operator are not pictured.

# Implementation of PTI

# Establishment of PTI

**Public Technical Identifiers (PTI)** is an affiliate of ICANN that is responsible for performing the IANA functions and delivering the IANA Services, on behalf of ICANN.



PTI implements agreed policies and principles developed by the ICANN multistakeholder community.



# PTI Mission Statement

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- *PTI is responsible for the operational aspects of coordinating the Internet's unique identifiers and maintaining the trust of the community to provide these services in an unbiased, responsible and effective manner.*

# PTI Overview

## Legal

- Nonprofit public benefit corporation
- ICANN is sole Member
- Domiciled in California
- 501(c)(3) tax status

## Organization

- Annual budget developed in consultation with the community
- 4-year strategic plan updated annually
- Annual independent financial audit of PTI financials

## Operations

- Perform name, protocol parameters, and number services via contract and subcontract with ICANN
- All resources required to perform services will be provided by ICANN

## Board

- 5 directors appointed by ICANN
- 3 from ICANN/PTI staff
- 2 elected by ICANN NomCom process

## Officers

- President – Elise Gerich
- Treasurer – Becky Nash
- Secretary – Samantha Eisner

## Staff

- No change in personnel performing the IANA functions
- Existing IANA department staff seconded from ICANN to PTI

# What Stays the Same?

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**The definition of the IANA functions**

Domain Names, Numbering  
Resources, and Protocol Parameters

**The registries related to names,  
numbers and protocol parameters**

**Individuals performing the work**

IANA Department staff are seconded  
to PTI

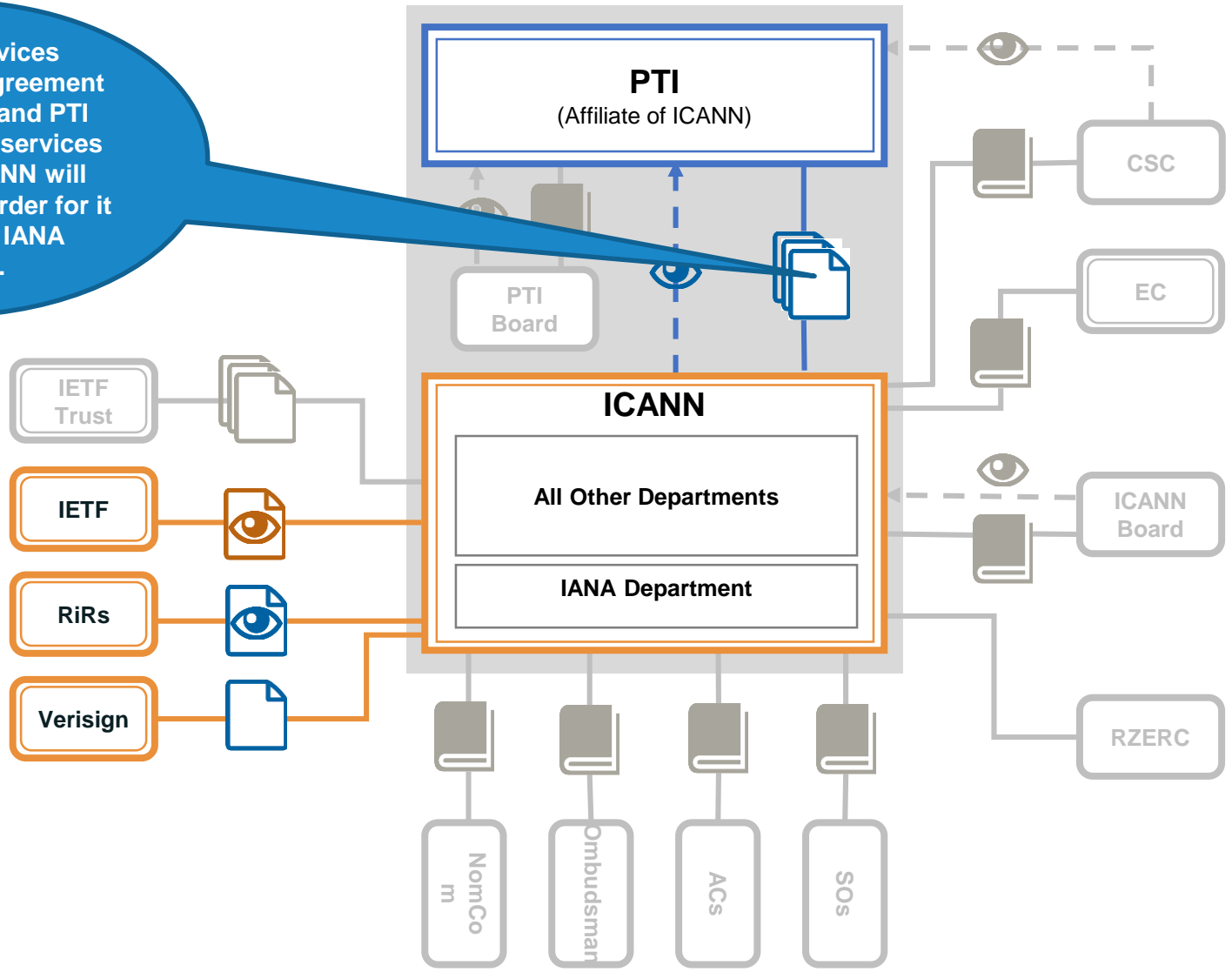
**Location of the operational  
information**

The operational reports of the IANA  
services remain on [iana.org](http://iana.org)

**Methods for submitting changes or  
updates to the registries**

# Relationship between ICANN and PTI

There is a Services subcontracting agreement between ICANN and PTI that specifies the services (HR, IT, etc.) ICANN will provide to PTI in order for it to perform the IANA functions.



# Copy Services in Annex A – ICANN to PTI

## Schedule A

### Schedule of Services

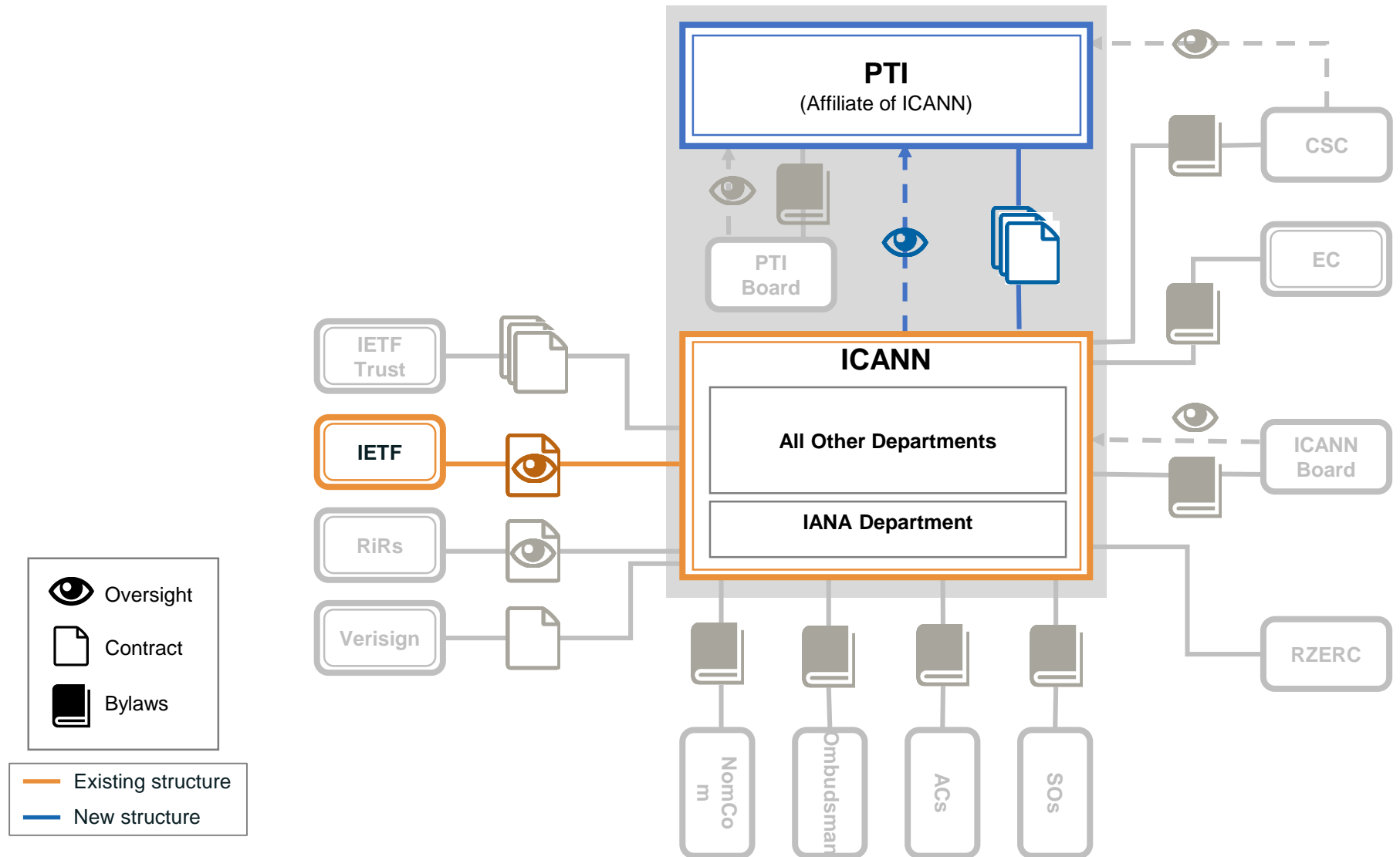
Service	Description
Accounting	Accounting services as needed, including support for general accounting, expense Report processing, cash management, intercompany allocations, payroll banking/reconciliations, and accounts payable support.
Financial Audit	Management of the annual independent audit and internal audit services, including auditing, oversight, and special projects as needed.
Communications	Corporate communications services, including internal and external public affairs, public communications, and employee communications.
Compensation	Compensation services, including development and administration of employee compensation plans and programs, including long-term incentive plans, design and administration of compensation studies and surveys, and design of compensation related communications.
Executive and Administrative	ICANN shall assign a Treasurer and Secretary to PTI and shall provide PTI with reasonable administrative support, including as it relates to PTI's Board of Directors and PTI's interactions with the Customer Standing Committee (as such term is used in ICANN's Bylaws).

Full list of Services is available at: [https://www.icann.org/iana\\_pti\\_docs/153-services-agreement-v-30sep16](https://www.icann.org/iana_pti_docs/153-services-agreement-v-30sep16)

# ICANN Ecosystem with PTI

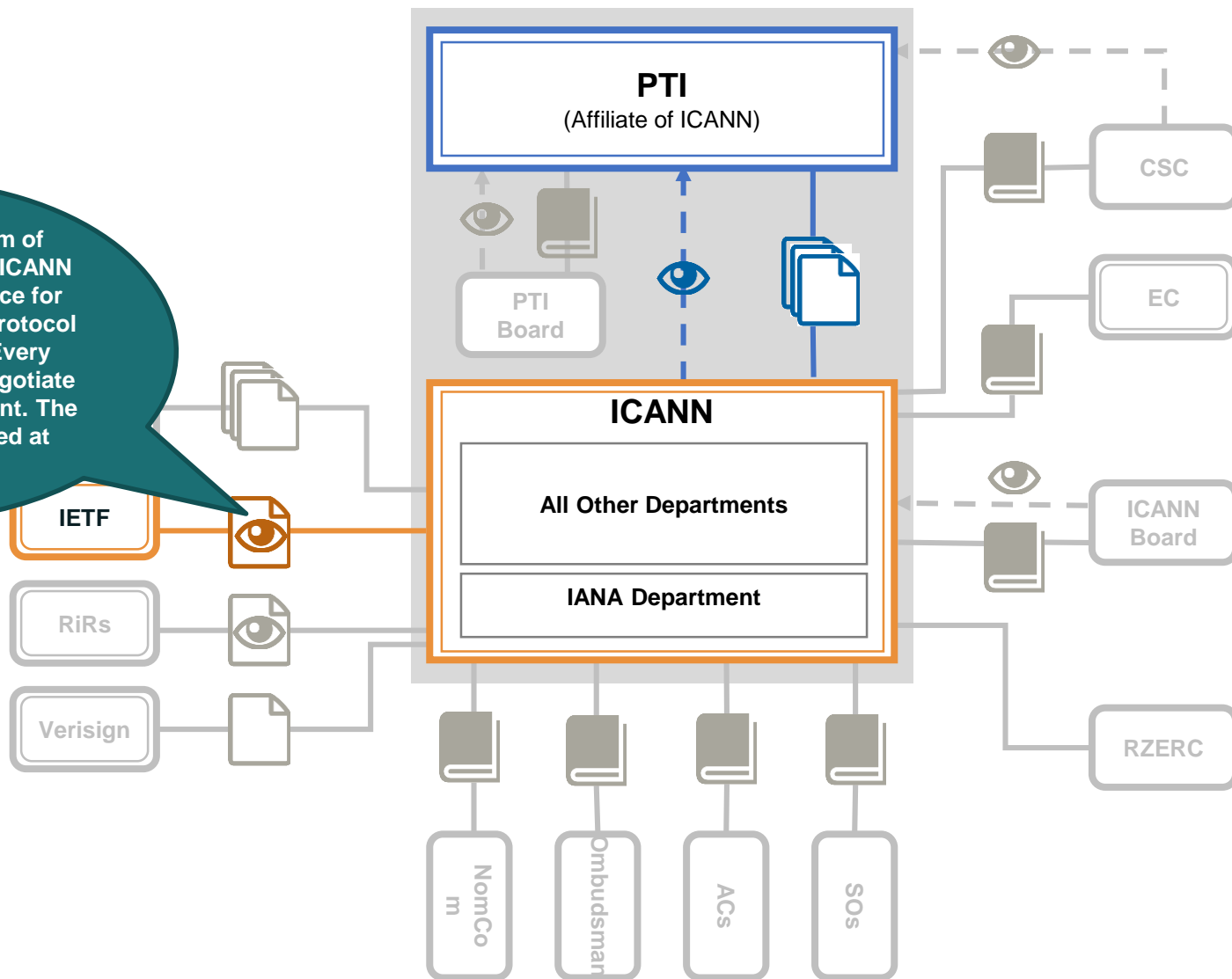
	Domain Names	Numbering Resources	Protocol Parameters
Oversight	ICANN/CSC	Review Committee	IETF & IAB leadership
Policy	ICANN	ASO	IETF
Operations	PTI	ICANN (subcontracted to PTI)	ICANN (subcontracted to PTI)

# Relationship between IETF and PTI



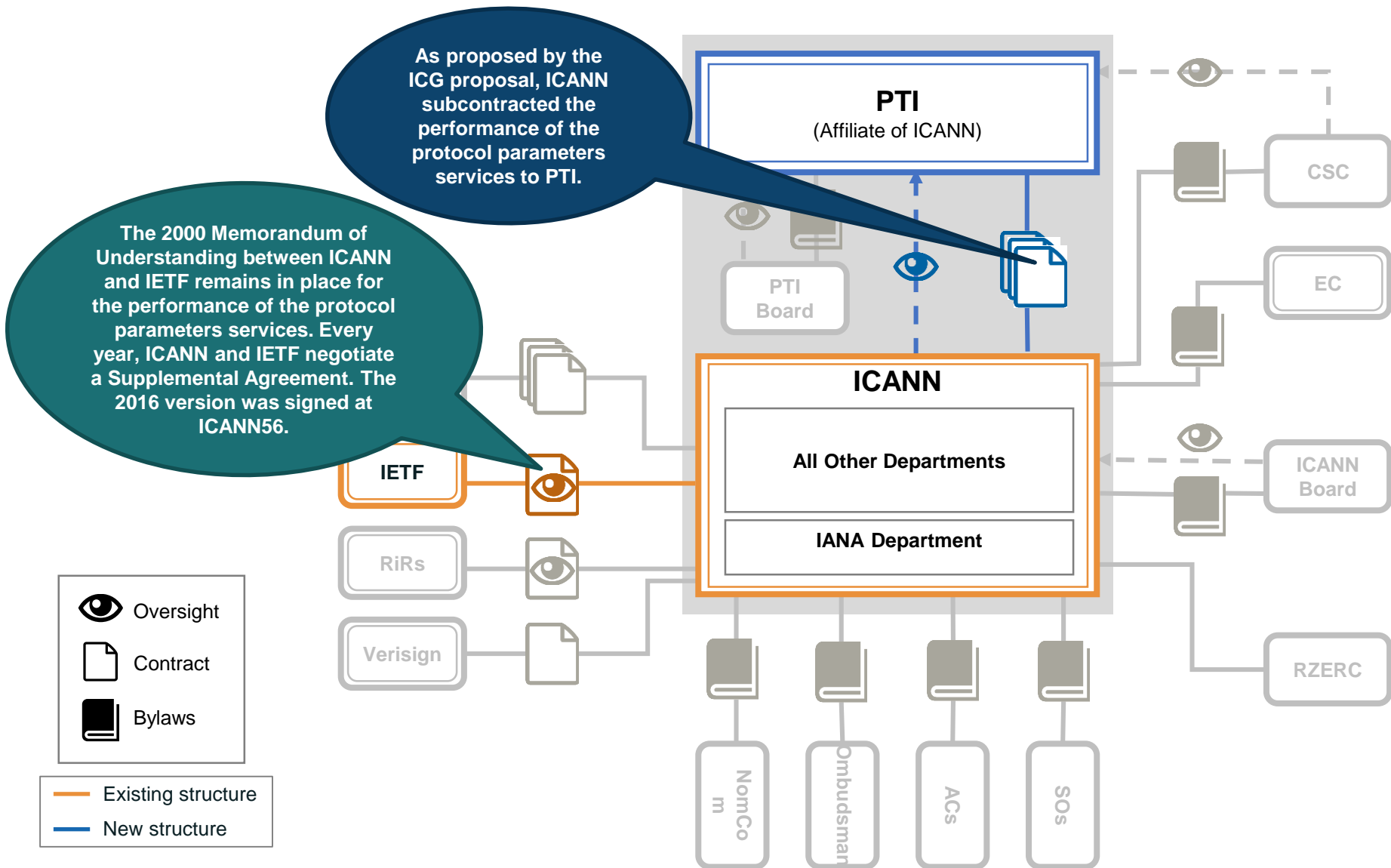
# Relationship between IETF and PTI

The 2000 Memorandum of Understanding between ICANN and IETF remains in place for the performance of the protocol parameters services. Every year, ICANN and IETF negotiate a Supplemental Agreement. The 2016 version was signed at ICANN56.

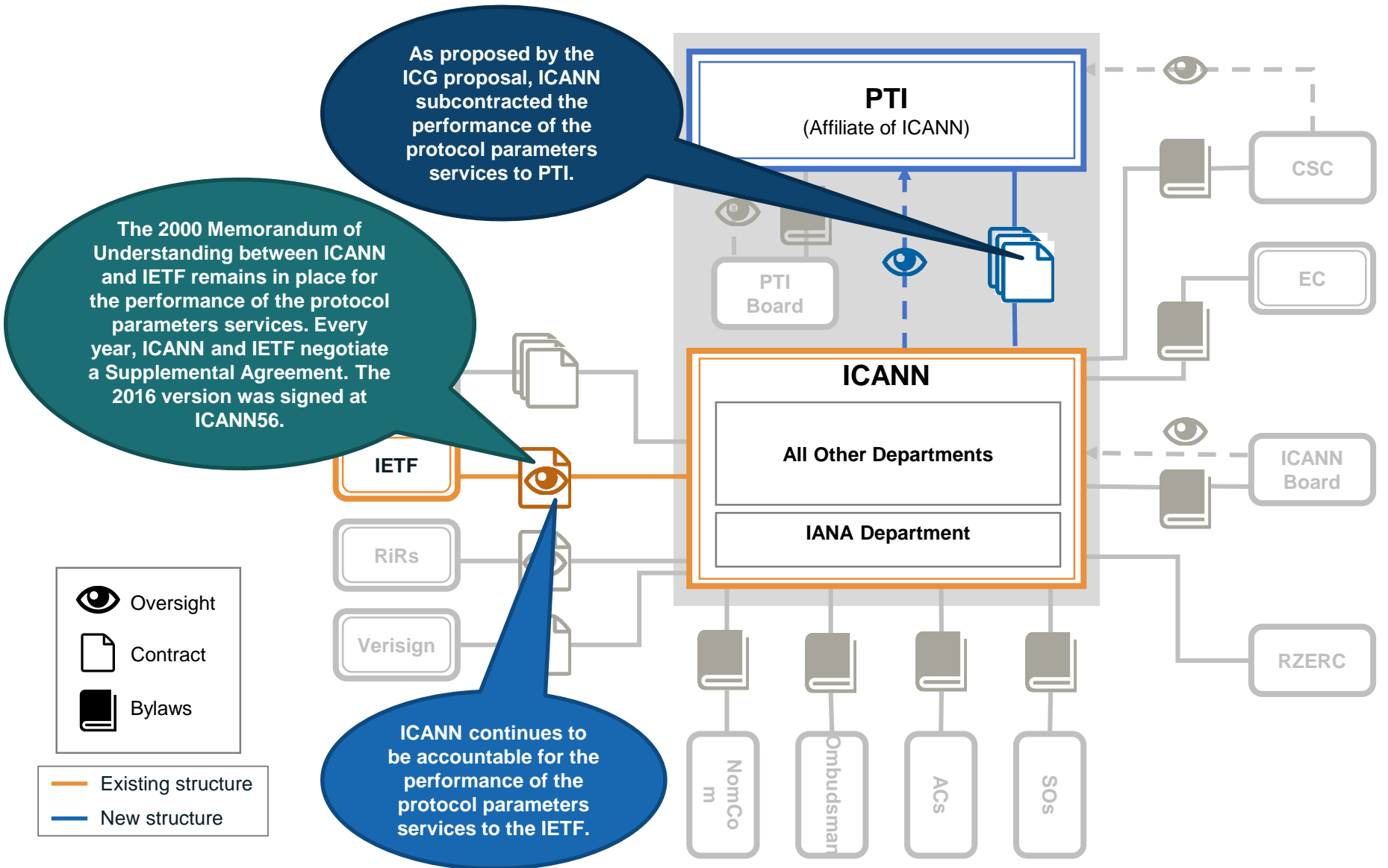




# Relationship between IETF and PTI



# Relationship between IETF and PTI



# Deliverables - IANA Protocol Parameter function

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**Monthly Service Level Agreement Reports**

PTI met all SLAs from Oct 2016 – Sept 2017

**No Change in Documented Procedures**

Documentation on the [iana.org](http://iana.org) website

**Liaison to IAB**

Participation by Protocol Parameter Engagement Sr. Manager

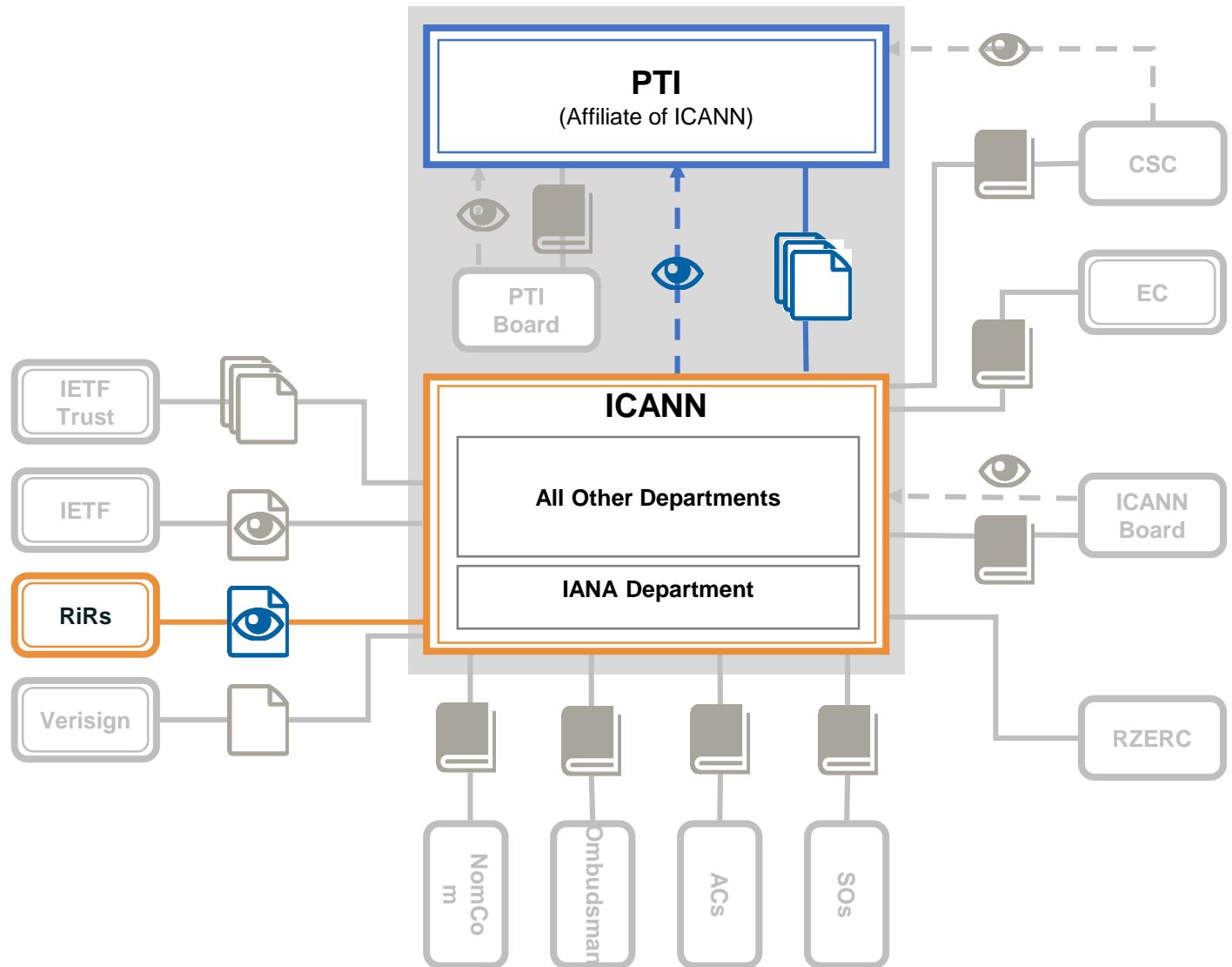
**Location of the operational information**

The SLA reports are found on [iana.org](http://iana.org) website

**Submission of 3rd Party SOC2 to IETF leadership**

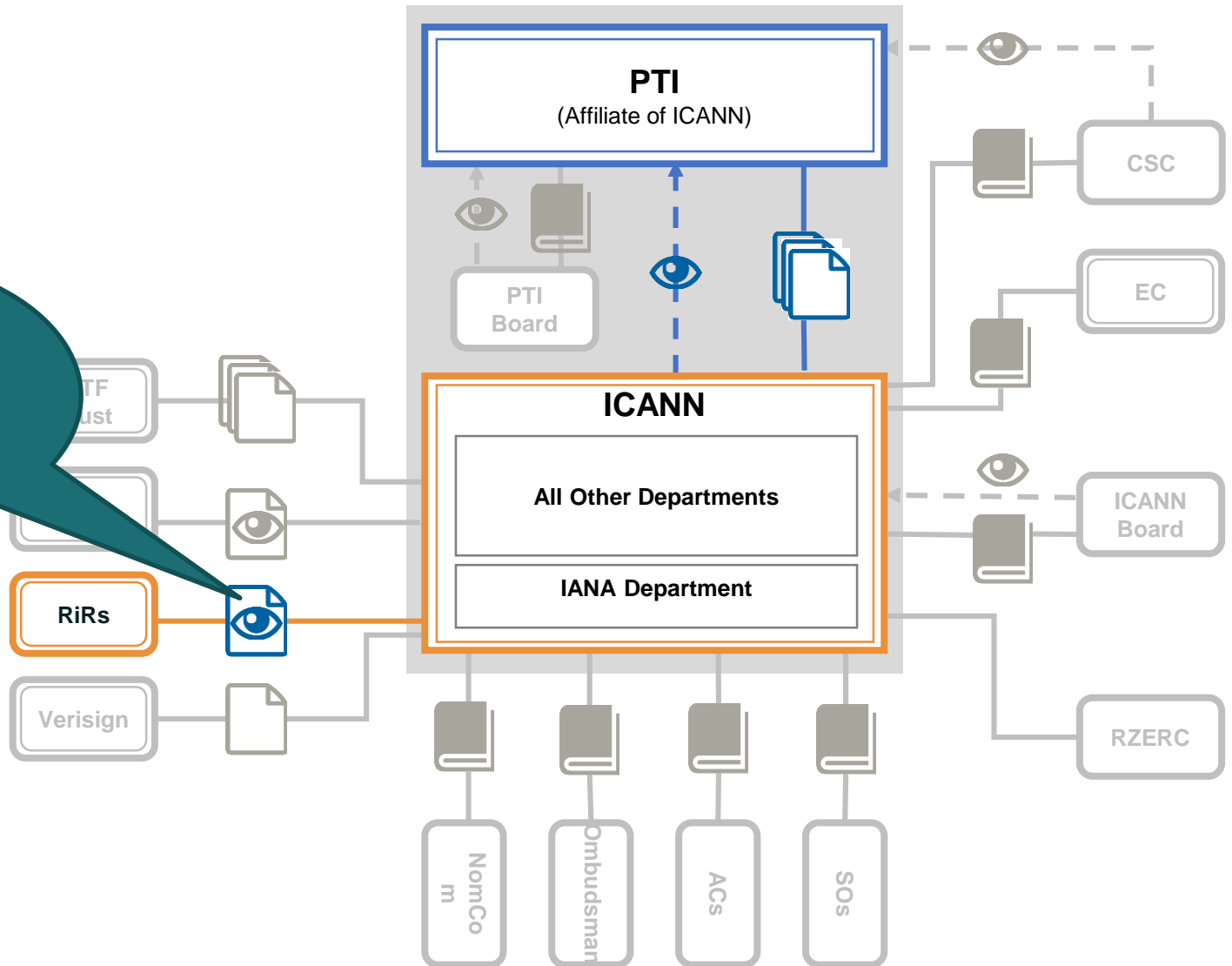
Jan 31, 2018

# Relationship between RIRs and PTI



# Relationship between RIRs and PTI

ICANN entered into a Service Level Agreement with the RIRs for the performance of the IANA number services.



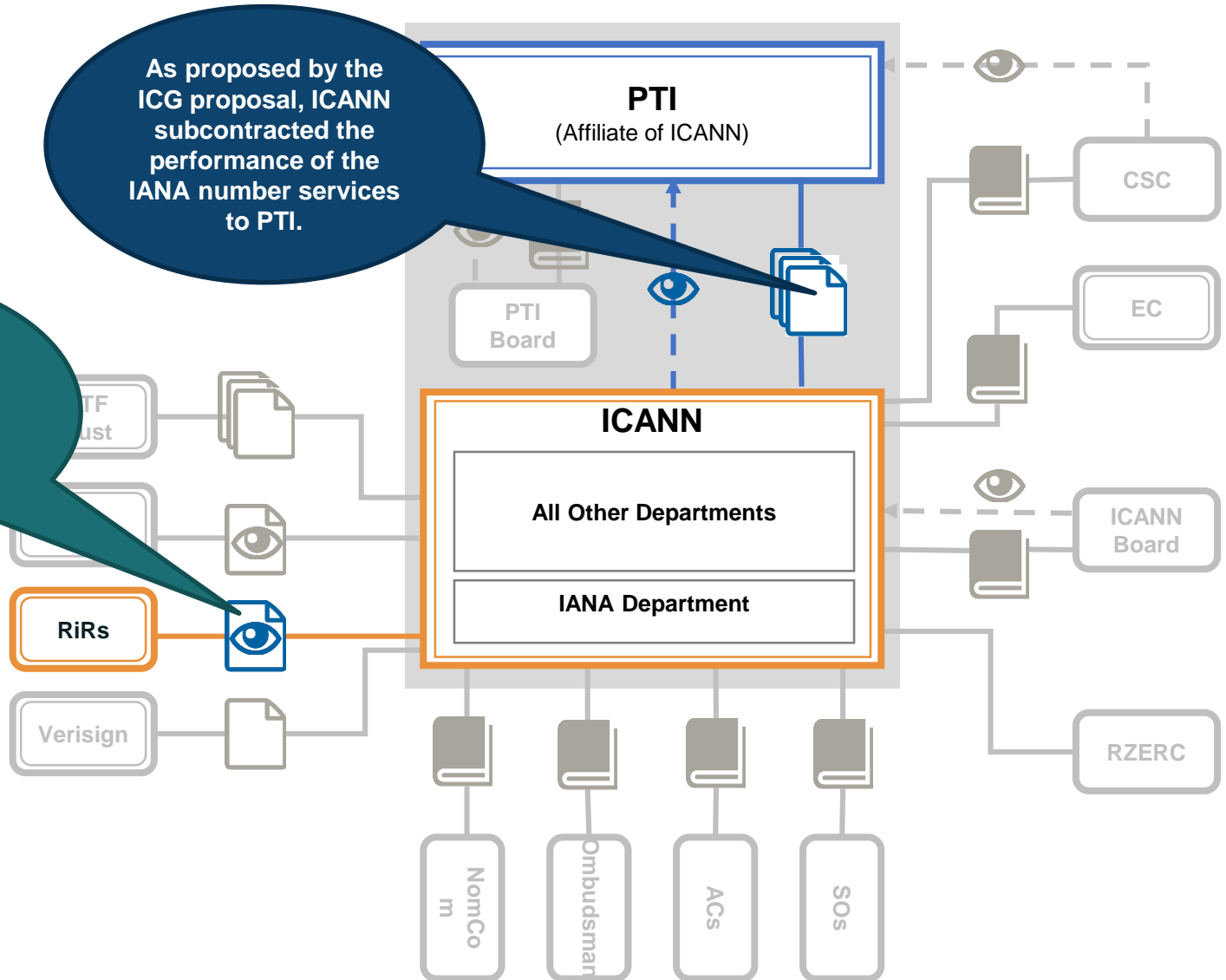
**Legend:**

- Oversight
- Contract
- Bylaws
- Existing structure
- New structure

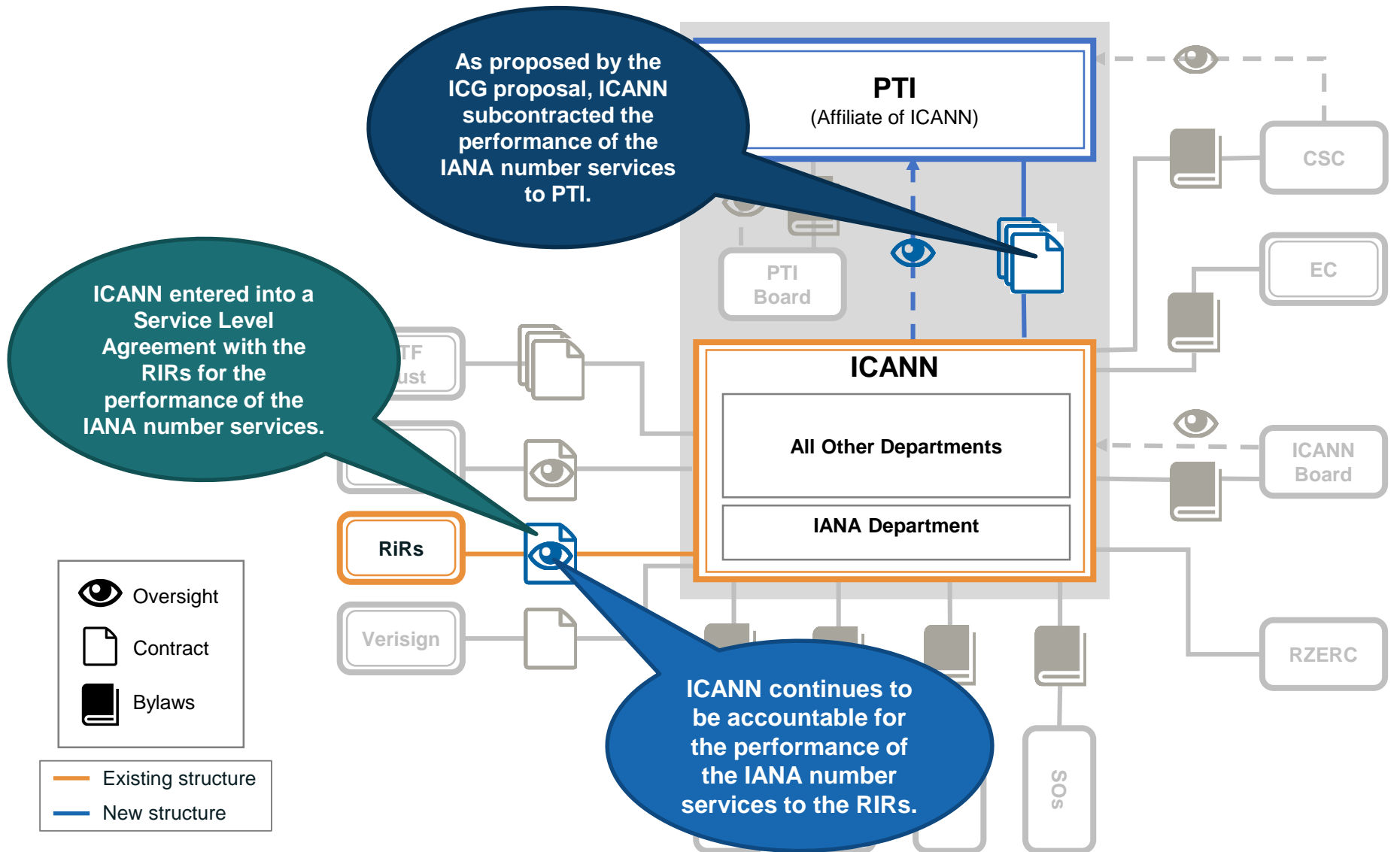
# Relationship between RIRs and PTI

As proposed by the ICG proposal, ICANN subcontracted the performance of the IANA number services to PTI.

ICANN entered into a Service Level Agreement with the RIRs for the performance of the IANA number services.



# Relationship between RIRs and PTI



# Deliverables - IANA Numbering function

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**Monthly Service Level Agreement Reports**

PTI met all SLAs from Mar 2017 – Sept 2017

**No Change in Documented Procedures**

Documentation on the [iana.org](http://iana.org) website

**In-person reports at RIR meetings**

Physically attend at least one of each RIR meetings per year

**Location of the operational information**

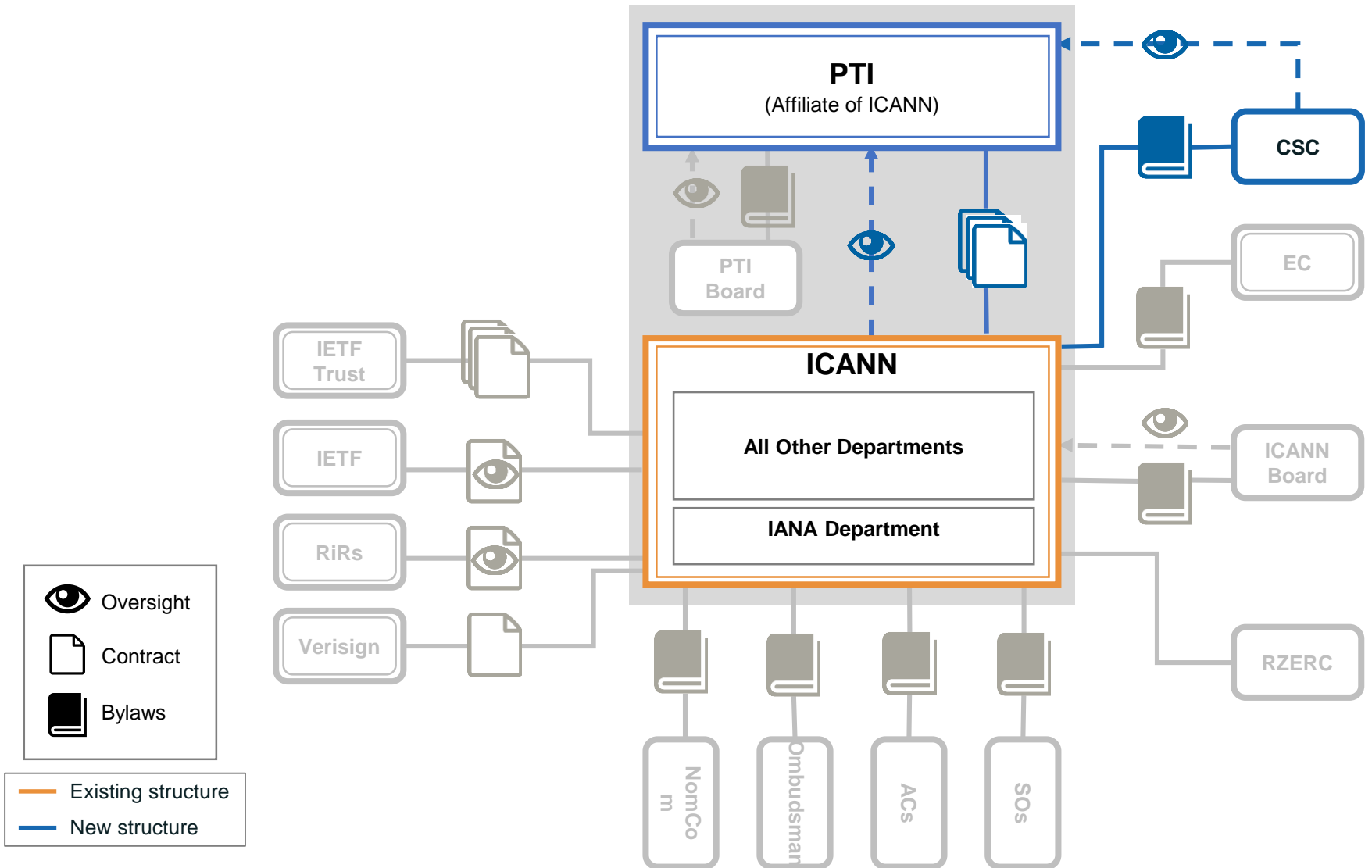
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**Submission of 3rd Party SOC2 to Numbering Review Committee**

January 31st 2018

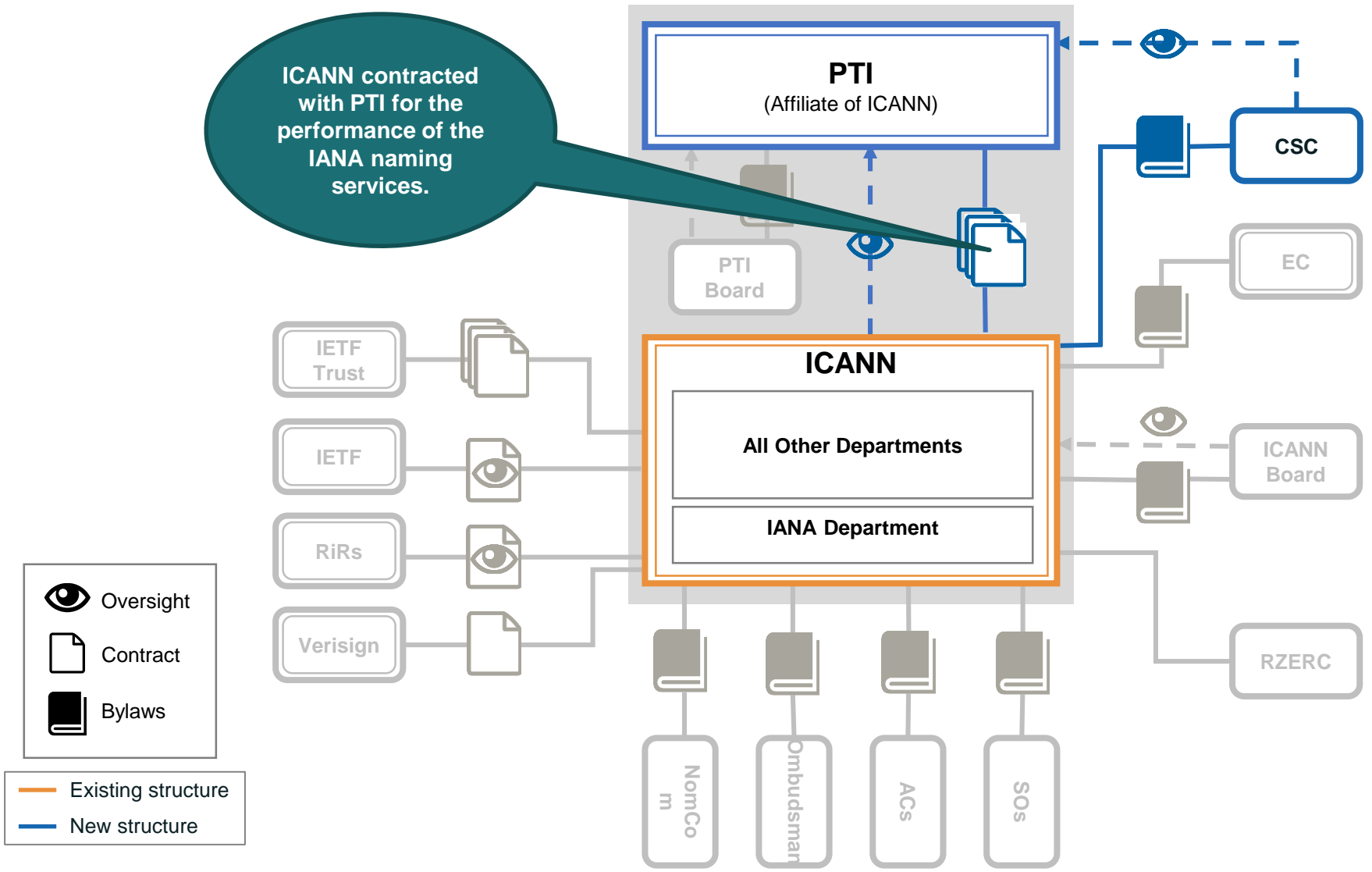


# Relationship between TLD community and PTI



# Relationship between TLD community and PTI

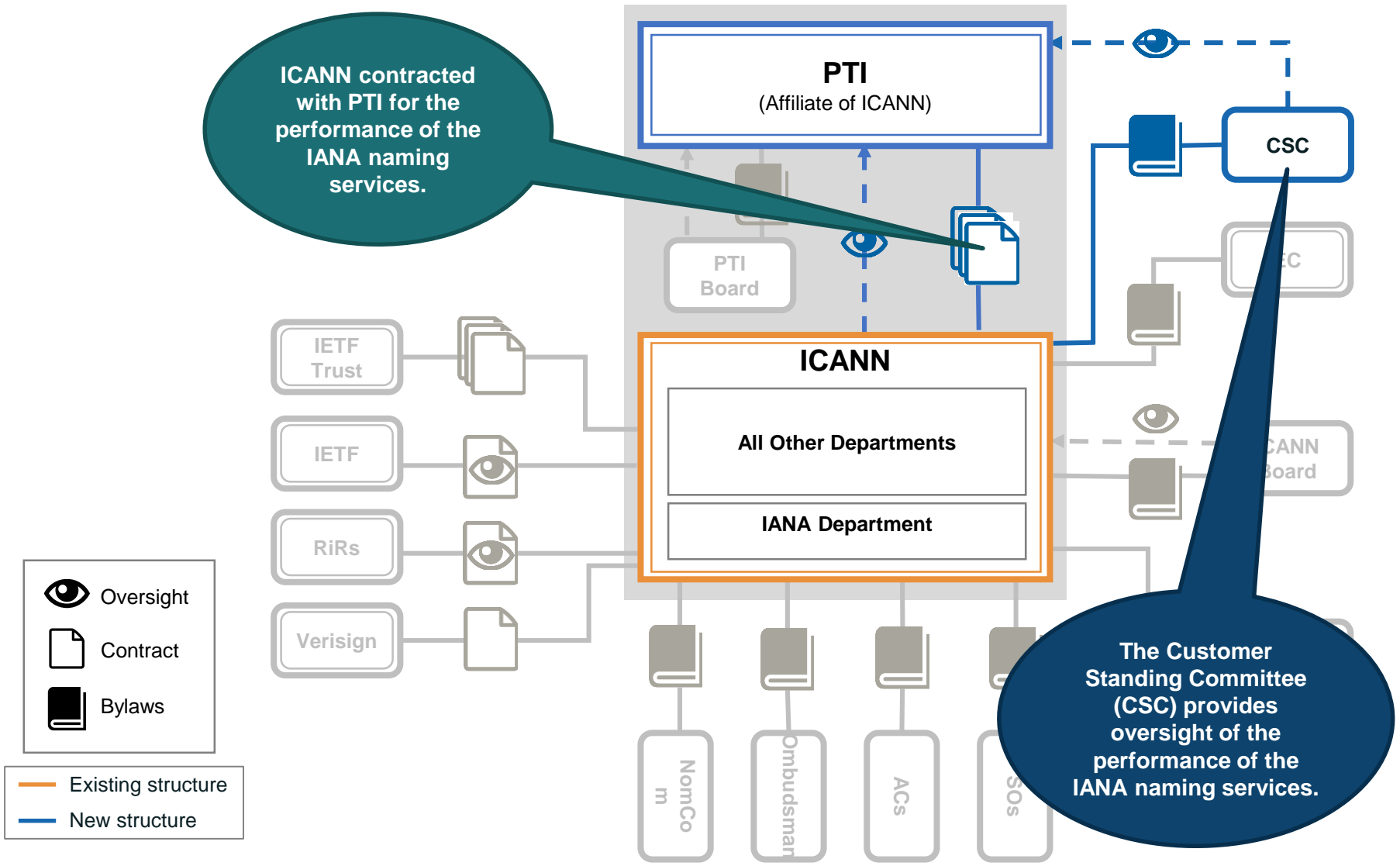
ICANN contracted with PTI for the performance of the IANA naming services.



# Relationship between TLD community and PTI

ICANN contracted with PTI for the performance of the IANA naming services.

The Customer Standing Committee (CSC) provides oversight of the performance of the IANA naming services.



# Deliverables - IANA Naming function

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**Monthly Service Level Agreement Reports**

Satisfactory Oct 2016 – Sept 2017

**Real-time Service Level Dashboard**

<https://www.sle-dashboard.iana.org>

**Customer Standing Committee**

Active as of Oct 2016

**Location of the operational information**

The SLA reports found on [iana.org](http://iana.org) website

**Submission of 3rd Party SOC2 to ICANN leadership**

January 31st 2018

# Deliverables – FOI recommendations

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**Terminology changes**

Example: Redelegation → Transfer  
Sponsoring organization → Manager

**Updated documentation**

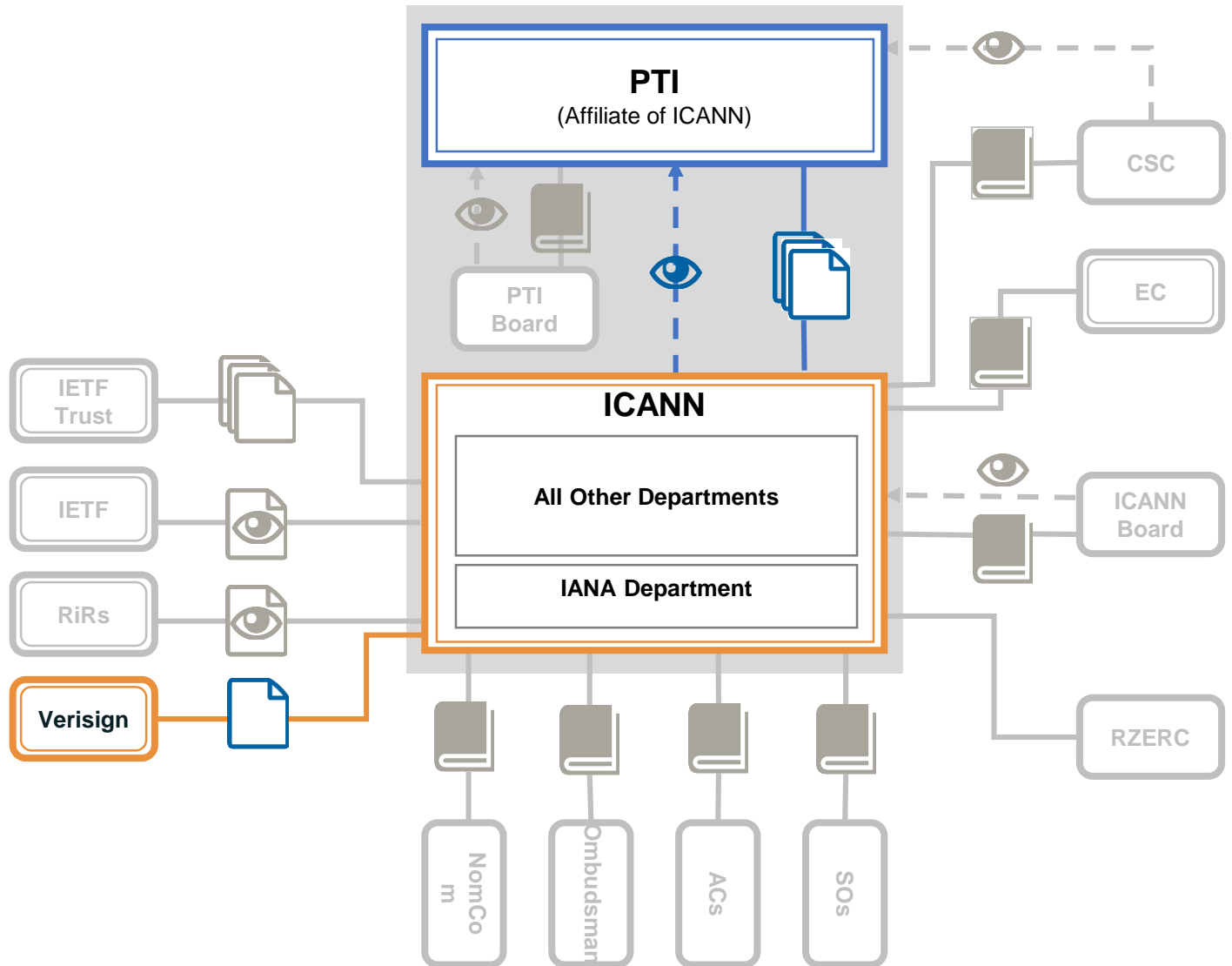
Documentation on [iana.org](https://iana.org) website

**Updated procedure to obtain  
incumbent consent for transfer**

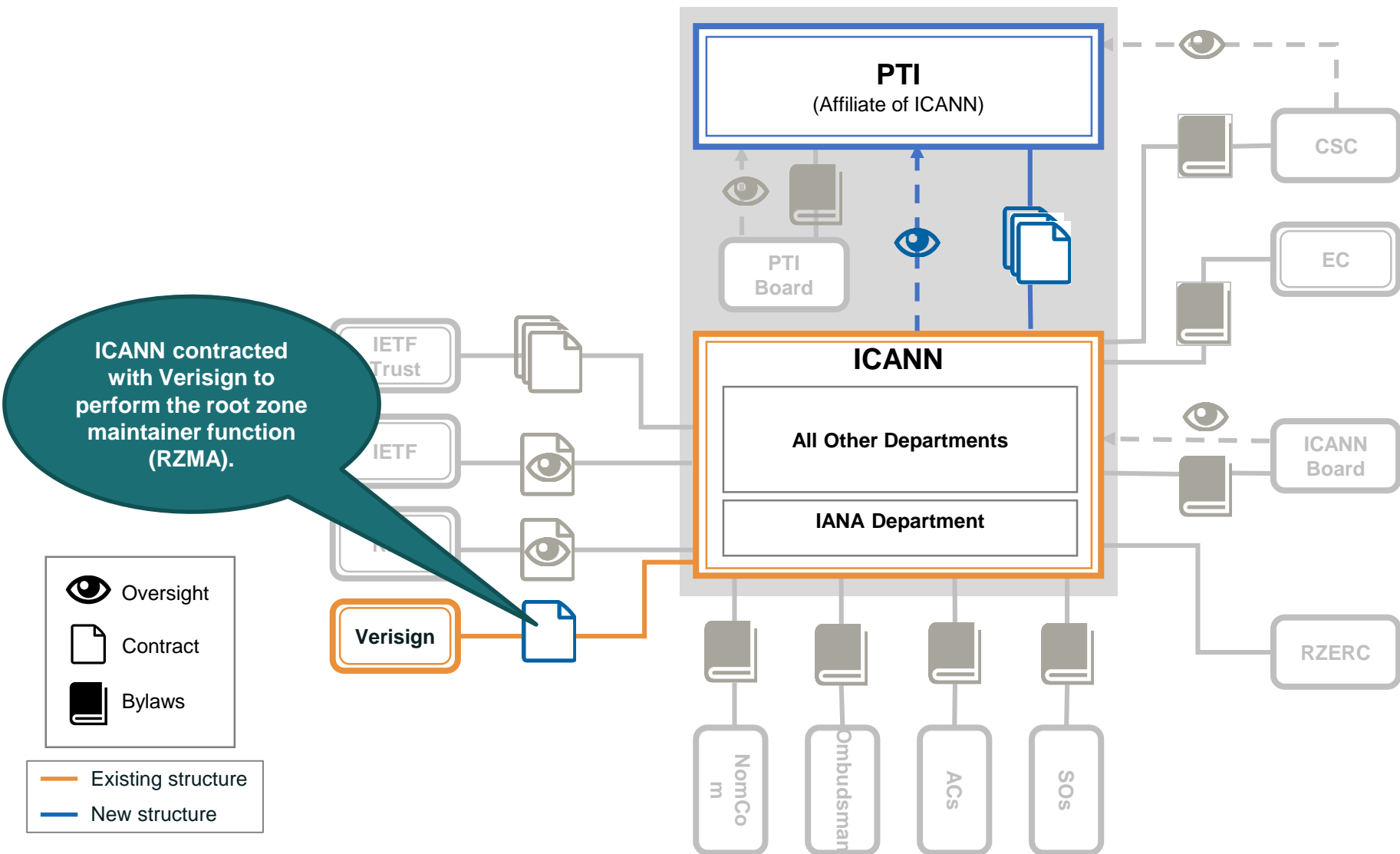
**Terminology changes reflected in  
systems**

Example: RZMS User Interface,  
[iana.org](https://iana.org)

# Relationship between Verisign and PTI



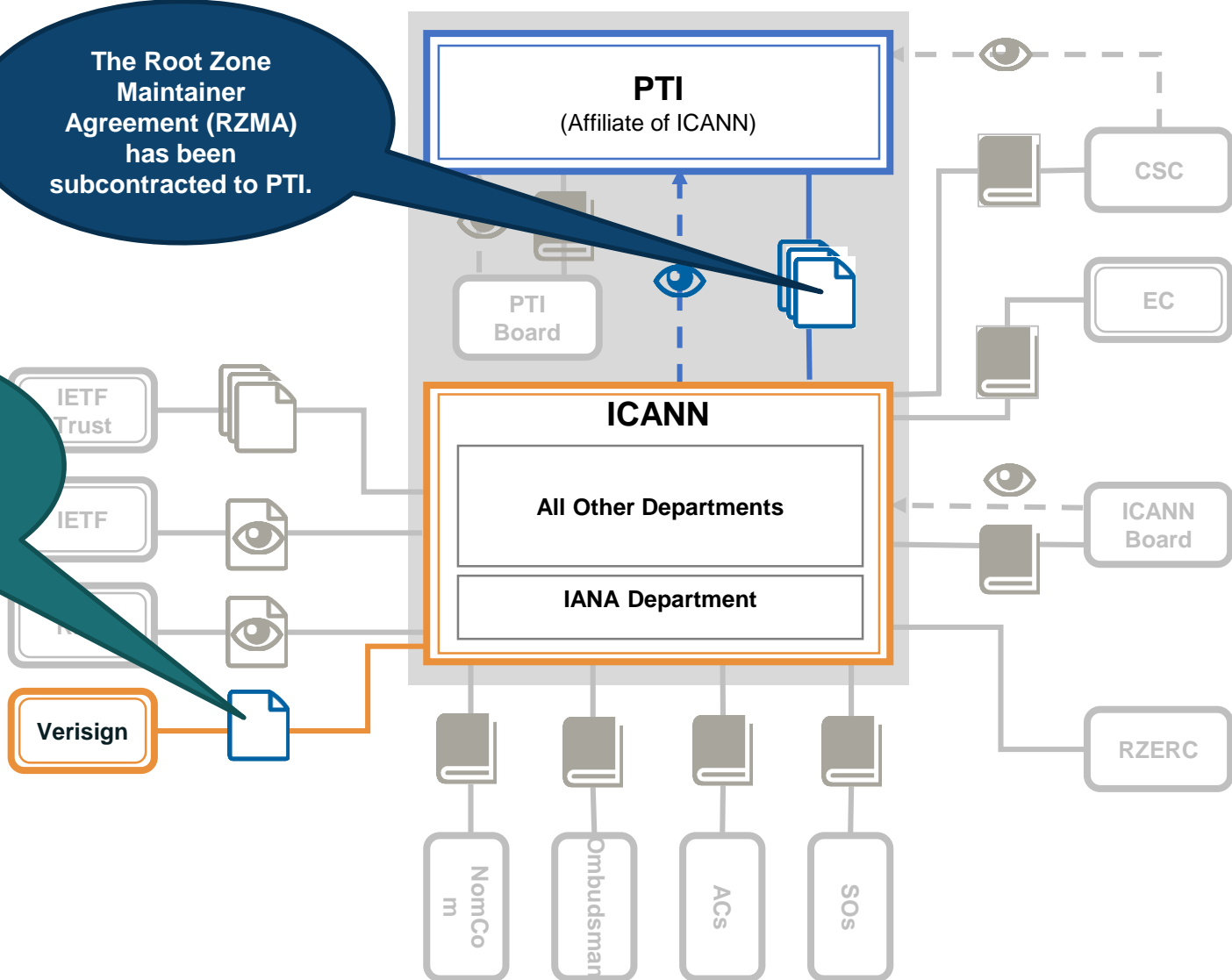
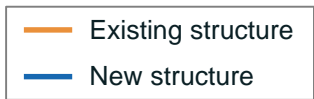
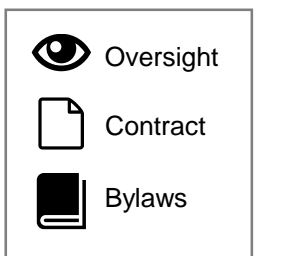
# Relationship between Verisign and PTI



# Relationship between Verisign and PTI

The Root Zone Maintainer Agreement (RZMA) has been subcontracted to PTI.

ICANN contracted with Verisign to perform the root zone maintainer function (RZMA).





# Deliverables – Root Zone Maintainer

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**Monthly Service Level Agreement Reports**

Posted on [iana.org](http://iana.org) website

**ZSK Emergency Plan**

Delivered to ICANN management

**End-to-end of RZMS enhancements**

Sept 2017

**Transition to Successor Plan**

Delivered to ICANN management

# PTI's Budget

# PTI FY19 Budget Planning Status

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- Draft FY19 Operating Plan and Budget developed in August – September 2017
- The six-week Public Comment is in progress - October 9 thru November 26
- Adoption of FY19 budget expected in early January 2018

# FY19 PTI Budget Overview

1

## PTI Funding/ICANN Funding

Funding from ICANN of 100% of Expenses, \$10.4M

2

## PTI baseline cash expenses

Baseline expenses \$10.2 (including \$0.5M contingency) increased \$0.7M over FY18 due to higher personnel costs of \$0.6 million for annual merit and increased Direct Shared support.

3

## PTI contingency

Contingency is 10% of the direct dedicated costs to support unanticipated costs for FY19

4

## Capital Budget

Capital for FY19 is for a new Key Management Software and Key Management Facility (KMF) improvements

5

## PTI Ops FY19 Net Excess / Deficit

PTI's Budget is balanced with Total Cash Expenses funded by ICANN

TOTAL PTI in Millions, USD	PTI Operations FY19 Budget	PTI Operations FY18 Budget	Increase/(Decrease)	
			Total	%
Operating Expenses*	\$10.2	\$9.5	\$0.7	6.9%
Capital	\$0.2	\$0.1	\$0.1	157.6%
<b>TOTAL</b>	<b>\$10.4</b>	<b>\$9.6</b>	<b>\$0.8</b>	<b>8.3%</b>

\*Includes depreciation

# Draft FY19 PTI Budget by PTI Services

PTI Operations FY19 Budget In Millions, USD	Names	Numbers	Protocol Parameters	FY 19 Budget
Direct costs / Dedicated resources	3.0	0.8	1.4	5.1
Direct costs / Shared resources	1.4	0.3	0.6	2.4
Support Services Allocations	1.7	0.5	0.8	2.9
<b>Total</b>	<b>\$6.1</b>	<b>\$1.6</b>	<b>\$2.7</b>	<b>\$10.4</b>

PTI Operations FY18 Budget In Millions, USD	Names	Numbers	Protocol Parameters	FY 18 Budget
Direct costs / Dedicated resources	2.7	0.7	1.2	4.6
Direct costs / Shared resources	1.4	0.3	0.5	2.2
Support Services Allocations	1.7	0.4	0.7	2.8
<b>Total</b>	<b>\$5.7</b>	<b>\$1.4</b>	<b>\$2.4</b>	<b>\$9.6</b>

Variance FY19 vs FY18 In Millions, USD	Names	Numbers	Protocol Parameters	Variance
Direct costs / Dedicated resources	0.3	0.1	0.2	0.5
Direct costs / Shared resources	0.1	0.0	0.1	0.2
Support Services Allocations	0.0	0.0	0.0	0.1
<b>Total</b>	<b>\$0.4</b>	<b>\$0.2</b>	<b>\$0.3</b>	<b>\$0.8</b>

# Contacts are the same

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**I have a question about the IANA services, who do I contact?**

# Contacts are the same

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To find governance documents, directors, agreements, and meetings of PTI, visit [pti.icann.org](https://pti.icann.org).



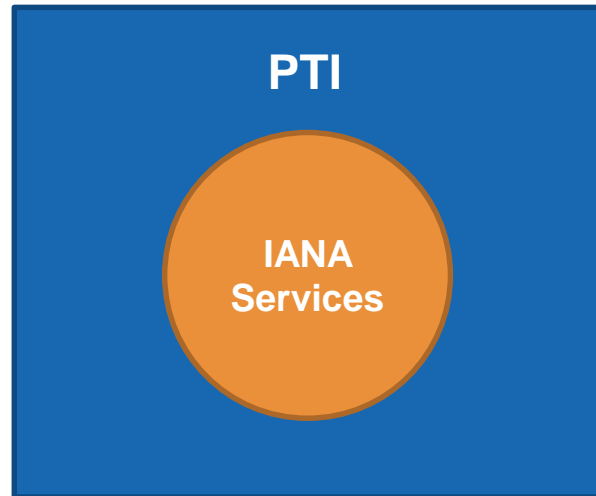
PTI

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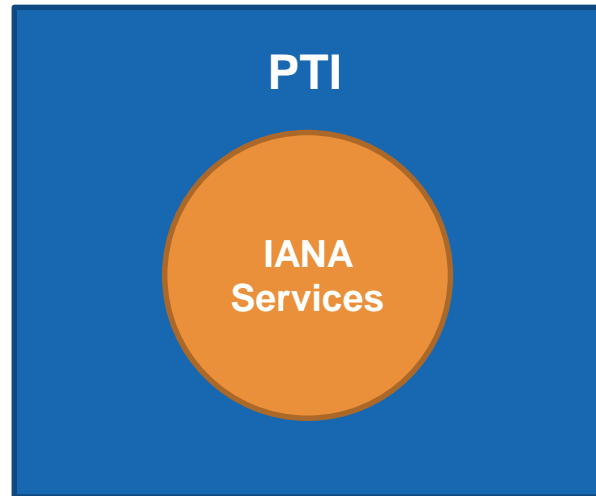


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Operational questions can still be sent to:

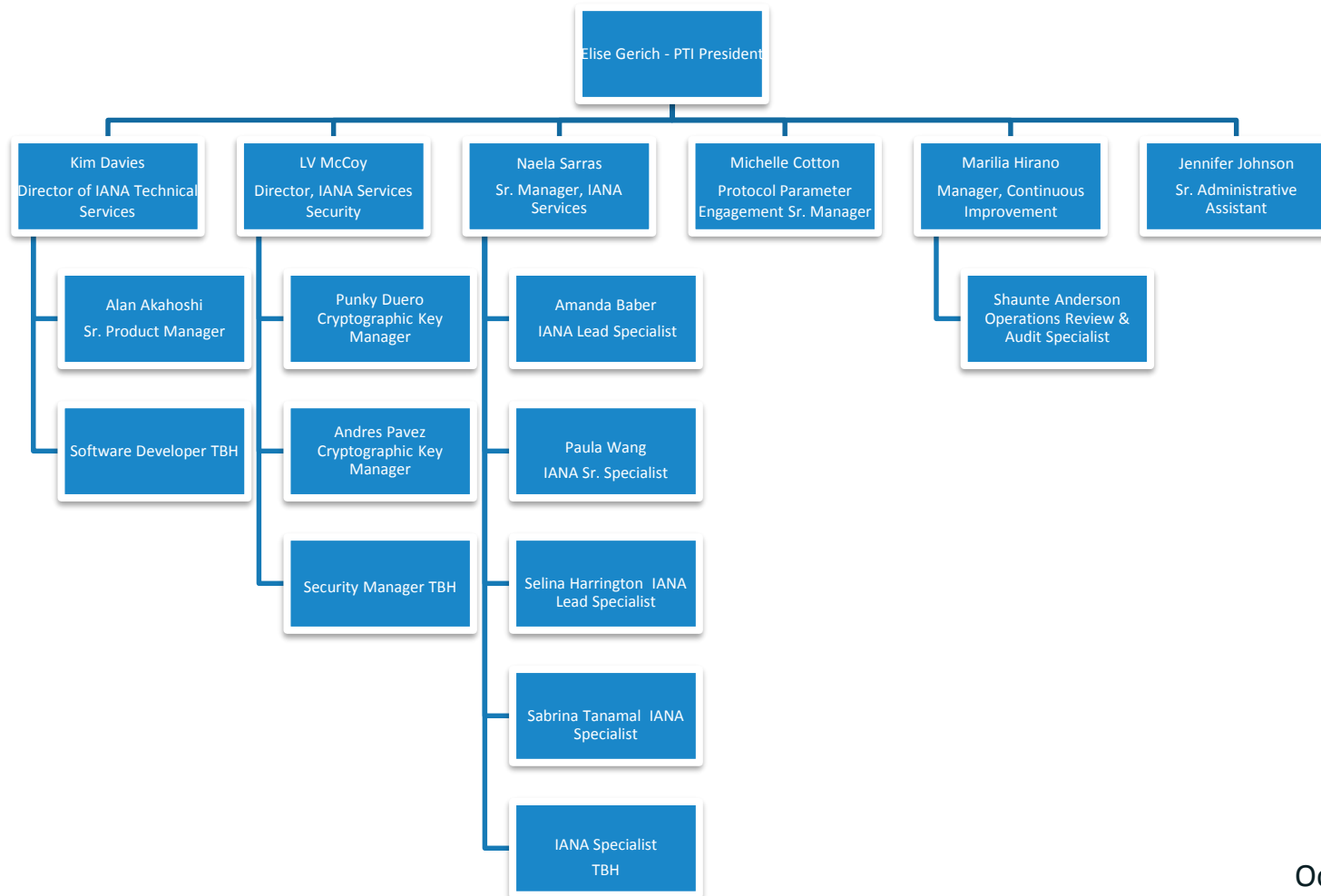
- [iana@iana.org](mailto:iana@iana.org)

PTI staff will receive emails sent to either an ICANN or IANA email address:

- [elise.gerich@icann.org](mailto:elise.gerich@icann.org) or [elise.gerich@iana.org](mailto:elise.gerich@iana.org)

# PTI Organization

## FY18



**Thank You!**  
**Questions?**

October 2017