

HYDERABAD – Introduction to PTI (Public Technical Identifiers): Organization, Reporting Relationships, Deliverables

Saturday, November 05, 2016 – 13:45 to 14:45 IST

ICANN57 | Hyderabad, India

ELISE GERICH: If you'll just give us a couple of minutes, we'll get ready to start. We're trying to get the Adobe Connect room started – wow, that's bright – and get the slide deck up on the presentation. Wait just a couple more minutes. Hello, IT help, IT help.

Well, in case you're wondering, you're in the Introduction to PTI, Public Technical Identifiers. We're just trying to get the remote participation room up, at which time, we'll begin. My name is Elise Gerich and I'll be the presenter. But we're not quite ready until we get the remote participation room up.

Tada, we're almost ready. Tom, are we ready? Yes. Okay. As I just mentioned, this is the Introduction to PTI, representing Public Technical Identifiers. My name is Elise Gerich. Tom, if you'll drive to the next slide.

What I'll do first is just give us a high-level overview of what the IANA Stewardship was. I know many of you contributed very greatly to that transition and thank you, but just to set the stage before we get to the actual PTI bit. Tom, next slide, please.

---

**Note: The following is the output resulting from transcribing an audio file into a word/text document. Although the transcription is largely accurate, in some cases may be incomplete or inaccurate due to inaudible passages and grammatical corrections. It is posted as an aid to the original audio file, but should not be treated as an authoritative record.**

As you all know, the U.S. Government, Department of Commerce, NTIA put out a solicitation, so to speak. They asked for proposal from ICANN on how to transition their stewardship role to the community. That was the announcement. After two years of community work, thank you very much to you all in this room, the U.S. Government, the Department of Commerce, NTIA accepted the proposal that was submitted. On the 30th of September, the transition began, I guess, or ended, so to speak. The retirement of the contract with the U.S. Government happened. Next slide.

The process that led up to that September 30th date included two parallel processes. One was for the IANA Stewardship transition itself which is what would happen to the IANA functions if NTIA stepped out of their role of stewardship. The other process was about the accountability. There were two tracks. I'm only talking about the IANA stewardship track and how we got to PTI. Next slide please, Tom.

Basically, the IANA stewardship transition created a coordination group. That was, the community created this group. There were representatives from all of the community groups. These representatives, their job was to collect proposals from the three primary functions – the names, numbers and protocol parameters – and they were to act as a liaison to those

communities, collect that information and then to compile a compatible proposal that would then be sent in to NTIA. Next.

That's what the ICG did. They collected those three proposals. They reviewed them and had open public comments and community engagement, and on the three proposals had no discrepancies. They compiled them. The ICG didn't make changes to the proposal. That was not their role. Their role was to be a conduit from the communities, the three different communities, to put together the three proposals. They combined those proposals and submitted it to NTIA. Next slide, please.

The combined proposals, you've probably seen this graphic before, had a component from names, numbers and protocol parameters and it said how they would like to have their relationship with ICANN when there was no NTIA in the picture. As you can see from the graphic, basically, the Internet number community, the RIRs, wanted to have an agreement directly with ICANN. Then the protocol parameters community wanted to have an agreement directly with ICANN. The names community wanted to have an agreement where there was a separate affiliate to do the operations of the IANA functions. Part of what the ICG did was to bring those communities together and they all agreed that there would be the creation of a new

entity, an affiliate, to do the IANA functions on behalf of the communities and through agreements with ICANN. Next.

That's where we got the creation of – and this gentleman can't see through me so I'm moving over here – the Post-Transition IANA, PTI. That's what it was called in the proposal that went to NTIA. It was a placeholder name for an affiliate. Next slide, please.

What is PTI, the Post-Transition IANA, and how did it become something else? PTI changed its name from Post-Transition IANA to become Public Technical Identifiers. We kept the acronym that had been used in the proposals that went to NTIA. This is an affiliate of ICANN. It's responsible for performing all of the IANA functions and delivering the IANA services on behalf of ICANN.

I'm sorry, Tom. We're at another slide, not that. I've just talked to this but hopefully, it now makes sense.

PTI implements the policies that come through the various policy organizations and through ICANN to PTI. We actually are an operations group. We don't set policy. We implement the policies that the various political – not political – policy groups create. Next slide, please.

There were a lot of things that had to happen for PTI, Public Technical Identifiers, to become an entity, an affiliate. I think you're too far ahead. There, thank you very much.

Basically, there were a lot of legal things that had to happen. There are contracts, incorporation of the affiliate. All that work was done leading up to the transition on September 30th. There's an organization to run and it needs a budget. It needs a strategic plan. It needs independent financials. Operations, which are very similar to the same operations that went on before when PTI was embedded in ICANN, have to happen within PTI now.

It will have a Board, its own PTI Board. Based on the proposals that the communities wrote, there will be five Board members: three from ICANN/PTI and two from the community. There will be officers at the company. We have all three of our officers here in front of you. I'm Elise Gerich. I was designated as the President. Standing under my hand is Becky Nash, she's our treasurer, and then Samantha Eisner who's our secretary. We're all here for the question and answer period afterwards if you have specific questions.

Then finally, there's the staff that's always done the IANA functions work, the people who really deliver the service. Those

are the same people that were delivering the service when ICANN had the IANA functions embedded in them and had a contract with NTIA. Next slide, please.

A lot of people think a lot of things changed but actually, a lot of things stayed the same. We did have changes. I just talked about the PTI affiliate and how that's a change. As you can see on the slides, a lot of things are the same. Basically, the definition of the IANA functions didn't change. The activities, the functions themselves, have been well defined for many, many years and that didn't change.

The registries related to the names, numbers and protocol parameters haven't changed. The same number registries are there, the same top level domain registries, the root zone file is the same. It changes with editions but it's pretty much the same. The protocol parameters registries are the same. They're the ones that are defined by the IETF and their RFCs.

The individuals performing the work are the same. Basically, the IANA department from within ICANN has been seconded to PTI. That's to have the same people with the same expertise and the same relationships doing the same roles.

Then the location of the operational information, where you can find the registries and things of that nature, is in the same place

at the [iana.org](http://iana.org) website. The methods for submitting changes to the registries, if you had credentials to submit a change to the root zone management system, you still have those same credentials. If you were an RIR and wanted to ask for an autonomous system number, you still use the same process that you used before. For the protocol parameters, you still have the same process of creating new registries through the RFC and IANA considerations.

Moving right along. We tried to create a three-by-three matrix that might show how the relationships are now with PTI and other organizations. Basically, on the vertical, we have the oversight role, the policy role and the operations role. Then on the horizontal, you have the three primary functions. As you can see on the operations, it's PTI that does all the operations.

There are different policy groups, different oversight relationships. People might say, “Well, I don’t want that name there or this name there” but from a very high level, I think this is the way it works. PTI is the operational piece through a variety of contracts. Next slide, please.

There will be a few schematics where we're just going to walk you through the relationship from that same picture that you saw a little earlier. This is between the IETF, the protocol

parameters group, and PTI. First of all, the protocol parameters group and the IETF – would you click the button please, thanks – had a memorandum of understanding that was existed since the year 2000. That's been in place for a long, long time.

Every year, the IETF and ICANN had created a supplemental agreement which set service level agreements that the IANA functions operator would deliver on. Well, that's continuing. There's going to be the memorandum of understanding has not changed. It's still in place. In 2016, the supplemental agreement was developed and signed. It's now been subcontracted. Next slide, please.

So that PTI is the organization that delivers on the SLAs defined in the supplemental agreement. In order from PTI to be able to do that, ICANN entered into an agreement, a contract with PTI, to provide the service and to meet those service level agreements. Next click, Tom, please.

Even though it flows that way in their contractual relationships, ICANN remains responsible to the IETF to deliver on those service level agreements. PTI has to operate it, do everything that it has done in order to provide the IANA considerations to the IETF. It reports to ICANN and to the IETF, and ICANN is



ultimately responsible. Okay. Next slide, please. Then just press one more.

If we talk about the relationship between PTI and the RIRs, as part of the proposal, the RIRs developed a service level agreement. They worked long and hard and collaboratively with ICANN on that. They came to an agreement and they signed that. There is a contract between the RIRs and ICANN to deliver the numbers services. Next. Click, please, Tom.

Again, ICANN entered into a contract between ICANN and PTI as the operations arm. PTI will continue to respond to requests from the RIRs and it will meet the SLAs defined in the SLA agreement that the RIRs signed with ICANN. One more click, Tom, please.

Much like the protocol parameters, ICANN is responsible to deliver on the service level agreements directly to the RIRs. PTI delivers those service level agreements to both of them. Next click, please.

I hope this isn't getting too tedious but you're probably beginning to see a little trend. This is about the relationship with the top-level domain communities and what goes into the root zone. If you'll click the button, please.

I think we clicked it few too many but that's all right. You can see there's a new little box up on the right-hand side of the screen, if you're looking at it, that says CSC. That's the Customer Standing Committee. This was a new committee that was created via the proposal that came in from the names community. The Customer Standing Committee is the committee that's supposed to provide oversight. It's a newly created group.

That Customer Standing Committee provides the oversight for the IANA functions. PTI has a reporting responsibility to the Customer Standing Committee. If you'll click again, we can just move to the other part of the responsibility for making changes to the root zone. That's the relationship between Verisign and PTI. If you'll just click, please.

Basically, ICANN entered into a contract with Verisign to provide the Root Zone Maintainer function. For those of you who might not know, I know many in this room are familiar, PTI will process and qualify and make sure that all the criteria are met for any changes that might be made to the root zone. Once that happens, then the organization that actually compiles the root zone and pushes it out is Verisign. There is a division of labor there.

The group that makes sure that the requests meet all the criteria and should go into the root zone are PTI. The group that creates the root zone file and pushes it and distributes it is Verisign. ICANN entered into an agreement with Verisign to do that work. Then it created a subcontract with PTI to work with Verisign collaboratively to fulfill the full naming function activity.

Then if we'll click the next button, I think I talked to that. One more, please. This slide basically talks about so there are lots of things that ICANN provided in the past when the IANA functions were part and embedded in ICANN such as HR support, finance, legal support, facilities, all of those things that a company needs to be successful. We don't all work remotely. Somebody has to support us, like IT support.

ICANN entered into a services agreement with PTI to provide those kinds of administrative supporting functions. There's another contract. I think if you've been keeping count, there's about five contracts between ICANN and PTI in order for PTI to be able to provide the IANA services. Next slide. There's one more. I guess maybe there's six.

This is about the Intellectual Property Rights. The ICG that pulled together all three proposals, remember, had one other thing that made a difference. The trademark for the word IANA and its

logo and other things had been held by ICANN. One of the proposals from the ICG said that the Intellectual Property Right should move to a different trust. That work happened. The Intellectual Property Rights for the IANA logo and the IANA trademark have moved to the IETF Trust. One more click, please.

In order or PTI to be able to use the word IANA and the logo, we had to get a license from ICANN, who has a license from the IETF Trust. That's the last contract, I think. I don't think I have any more that I have to talk about. All of those things have been put in place to allow PTI not only to be incorporated as an entity that could do the IANA functions, but would have the right organizational structure and support to continue with those. If we can move on. Next one, please.

I'm moving from the organizational piece of it to the budget and the financial piece. One of the other things that was in the proposal from the ICG in the combined proposal was that there was a request that the PTI budget be done nine months in advance of the ICANN budget. One of the things that the community was very concerned about was that ICANN might not provide enough funding for PTI. They wanted to make sure that the PTI budget got approved. Then when the ICANN budget was done, PTI budget didn't get cut.

Now, I should make a point of saying that PTI is really a cost center because we have no revenue, we, PTI. Therefore, our revenue or the money that we spend to do the functions all comes from ICANN. When we submit a budget to the community and then to ICANN, ICANN then funds PTI to that amount of money.

What we've done is we started creating a budget for FY18. Now, the fiscal year FY18 starts on July 1st of 2017. It's a long way from now. We worked together as a team and worked with the PTI Board members to propose a budget. That budget has been put out for public comment. As you can see, it's right now, while we're in this meeting, out there for public comment so that you can see the proposed budget. This is the timeline for trying to get the proposed budget adopted, and then it compares the timeline to ICANN's timeline. Next slide, please.

In addition to the budget, PTI obviously has an operating plan. That's part of the budget. That's how we decide how to fund the operating plan. Our goals are part of ICANN's strategic goals. Remember, PTI is an affiliate of ICANN. It's a member organization and its sole member is ICANN. The adopted part of PTI's budget and operating plan will be part of ICANN's adopted operating plan and budget. Next slide, please.

This is another graphic to show you the timeline in a different way. Basically, the public comment period is from October 21st to November 30th. Then by January, the PTI Board plans to adopt the budget and submit it to ICANN. Then the ICANN Board approval is after that. Next slide, please.

This is the PTI organization. As you can see, we're the same people that have been doing the job for many, many years. We've got the IANA specialist, the cryptographic key managers. We've got our technical development team. We've got our IETF Protocol Engagement team. This is the team that supports the IANA functions.

I want to thank you for your attention to our presentation. But now Becky, Sam and I are here to answer any questions that you might have on any part of the presentation or about PTI in general. Any questions? Yes. I will walk the mic to you.

[JAN SCHULT]:

Yes. Thanks, Elise. Two questions for you. One was this PTI Public Technical Identifiers. I'm not a technical person. Does this have any logic except keeping the acronym? Can you please translate it for us? That's one question.

The other question is when we look at the ICANN-Verisign agreement on the root zone maintainer, are there any differences between that and the old agreement that operated between NTIA and Verisign?

ELISE GERICH:

Okay. I'll answer the first one, which is the PTI name. The logic was, well, everyone seems to use it, let's just keep it. We had considered quite a few other names and nobody seemed to like any of them. You heard people talk about it, "Well, when PTI is in place. When PTI does this." We thought, okay, let's just try and figure out a way to come up with a PTI.

However, I should tell you that one of the disadvantages was we couldn't get `pti.com` or `pti.net` or `pti.org`. Those domain names were already. PTI will continue to have everything on the `www.iana.org` website. That won't change. Plus, that's been embedded in most people's browsers and everything else for a very, very long time so that doesn't change. All the submissions to us go to the same e-mail address at `iana@iana.org`. So whereas, where PTI, the organization, our website is still `iana.org`, much like ICANN was the organization that did the functions before and they still used `iana.org` also. I don't know, Becky or Sam, anything you want to say about PTI? No?

Okay. The question about the Root Zone Maintainer Agreement. Trang, you want to speak? I'm sorry. This is Trang Nguyen. She is from ICANN. She was the program lead for the implementation of the transition.

TRANG NGUYEN:

Thank you, Elise. Thank you for the question. With regards to the Root Zone Maintainer Agreement between ICANN and Verisign, the services, the maintainer services, are exactly the same. Meaning the services that Verisign previously provided under its contract with NTIA are the same as the services that it would now provide on behalf of ICANN.

The agreement itself though does solidify a bit some of the service level agreements. Whereas I think in the previous arrangement that Verisign had with NTIA, there were certain general understandings in terms of how often the root zone file may get updated, etc., and uptime for systems, etc. Those are much more solidified in the current RZMA agreement that's between ICANN and Verisign.



ELISE GERICH: Becky or Sam, did you want to add to that? No? Does that answer your question? Could you move to the table and just talk into the mic? Thank you.

[JAN SCHULT]: I guess one thing that would be interesting is the old agreement between NTIA and the Verisign was a zero contract. Is there any money involved in this one? Does ICANN pay Verisign for the \$300,000 or whatever it takes to maintain the root zone?

ELISE GERICH: Trang, do you want to answer that? I can, but go ahead.

TRANG NGUYEN: Yes. This vendor contract between ICANN and Verisign does provide for a nominal fee that ICANN would pay Verisign for the maintainer services. It a \$25,000 a month fee that ICANN will pay to Verisign.

ELISE GERICH: Okay. I've been told that we have one remote question, Tom.

[TOM]: Yes, we have one remote question from [Christopher Wilkinson]. The question is, “I am familiar with the multiple PTI contracts. Who has the authority to amend each of those contracts in the future?”

ELISE GERICH: Sam Eisner will respond.

SAMANTHA EISNER: Thanks, [Christopher]. For the various contracts, the key contract between ICANN and PTI is the IANA naming functions agreement. There are amendment clauses within that between ICANN and PTI. However, the ability to amend that agreement and many of the very important elements that go to what came out of the transition proposals actually require either CSC approval or some approvals from the customers of the IANA naming functions agreement. That is actually specified within the ICANN bylaws. There is not the capability to change some of those material terms in that naming functions agreement without community and customer approval of that.

The agreements with PTI for the performance of the protocol parameters and the numbering functions are subcontracting agreements so they don't actually provide within them any

ability to impact the underlying agreements which are the agreements that ICANN has either with the RIRs or with the IETF for the performance of those functions.

If either the protocol parameters agreement or the numbering agreement needs to change between the relevant community and ICANN, each one has their own amendment process set in that requires the inputs from the impacted communities there. There are multiple layers of protection built in. Neither ICANN nor PTI have the opportunity unilaterally amend any of those agreements.

ELISE GERICH:

Okay. Thank you, Sam. Are there any other questions or any remote questions? Yes. Can you come to the table and use one of the – all right, you'll come to me? Thank you.

UNIDENTIFIED MALE

Lots of [members] are getting baffled about the number of root keys over the [inaudible] root keys. Somebody that [inaudible] sound root keys [inaudible] root keys, somebody [inaudible] root keys. How we will make this people to change their minds and how will they learn who are the real owners of the root keys?

ELISE GERICH: I'm not sure I understand the question.

UNIDENTIFIED MALE: Yes, the root keys, the seven root keys or 14 root keys, the root [is stressful] when maintain the global root keys that people are thinking about the Government of India is still thinking about it.

ELISE GERICH: You mean the root servers that there's 13 root servers and 12 root server operators. That's something that's outside of the IANA services function. It's not part of the NTIA agreement. The signing, the KSKs? Baher, could you maybe restate the question? The root keys, yes, that we change every quarterly. What's the problem with that?

DAVEY SONG: I think the question asked is a story spreading over the Internet about the key ceremony that seven people come together to root the key, to generate the new keys. I think that's the question, right?

ELISE GERICH:

Right. Okay. We signed the root zone with DNSSEC in 2010. At which point, we have quarterly ceremonies that we meet and we refresh the pair of keys, The ZSK gets signed by the KSK. There's been a plan that's published on both the IANA website as well as the ICANN website for refreshing the key signing key, the KSK, which is the one that we maintain. That plan has been gone to be executed. The first step was taken last week when we generated a new KSK. It's in waiting. It's not yet deployed. There are several other steps. There's eight phases for the entire plan to roll the key.

This was the first step to generate a new KSK which is held in waiting while the other steps take place. In about a year from now, then we will replace the current KSK with the next KSK. Was that your question? Okay. Good. Thank you. Thanks for clarifying it. I'm sorry I was having trouble understanding the question.

Do we have any other questions or comments? Well, I want to thank you all for your attention. If you think of anything, you now know who Sam, Becky and I are. If you have questions about PTI, I'm sure we'll be happy to address them.

Becky or Sam, do you want to say anything? Okay. Well, thank you. You have a little more time left today. Thanks very much.

**[END OF TRANSCRIPTION]**