

Introduction to PTI's First Year

Elise Gerich

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



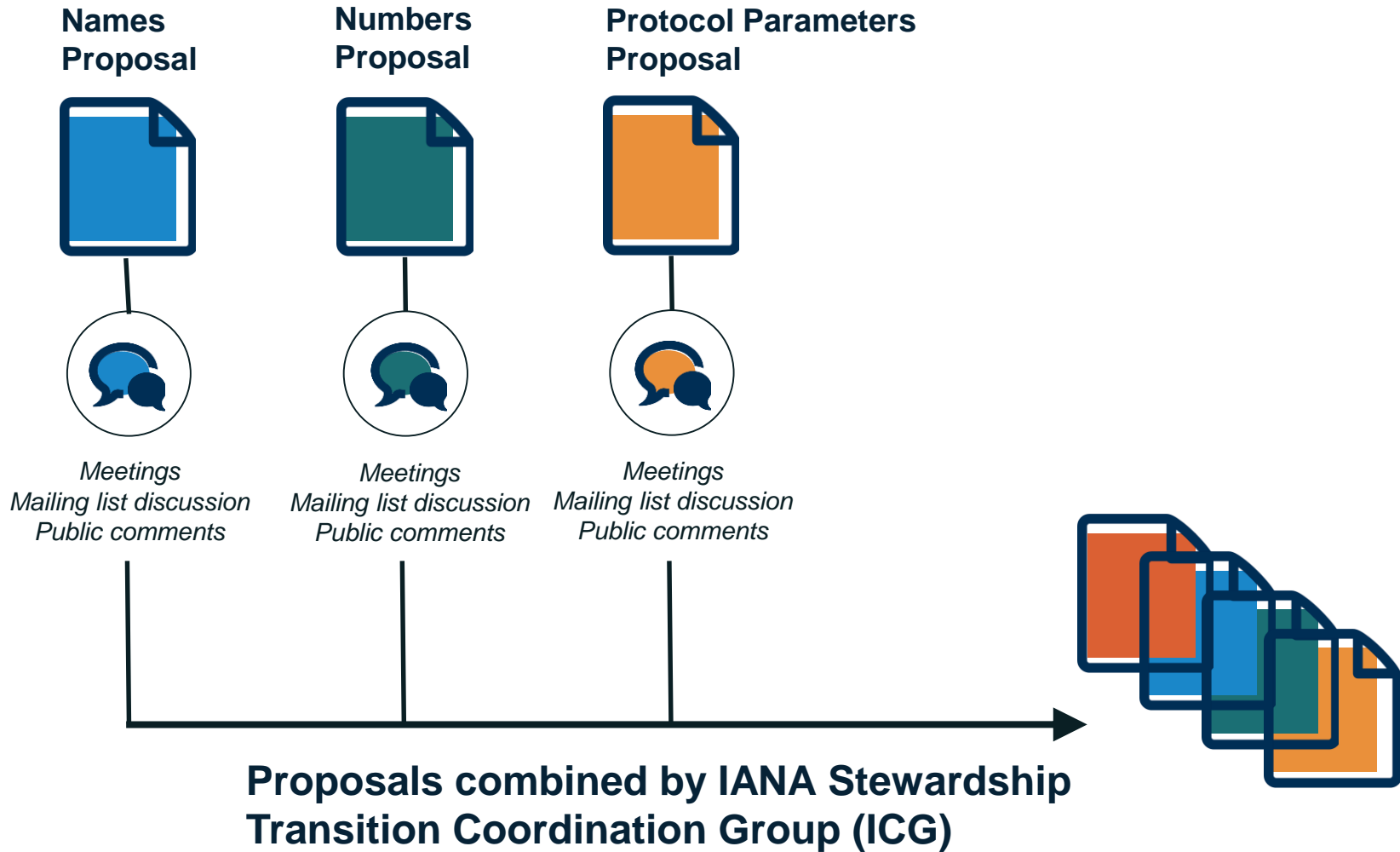
The U.S. Government's announcement:

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

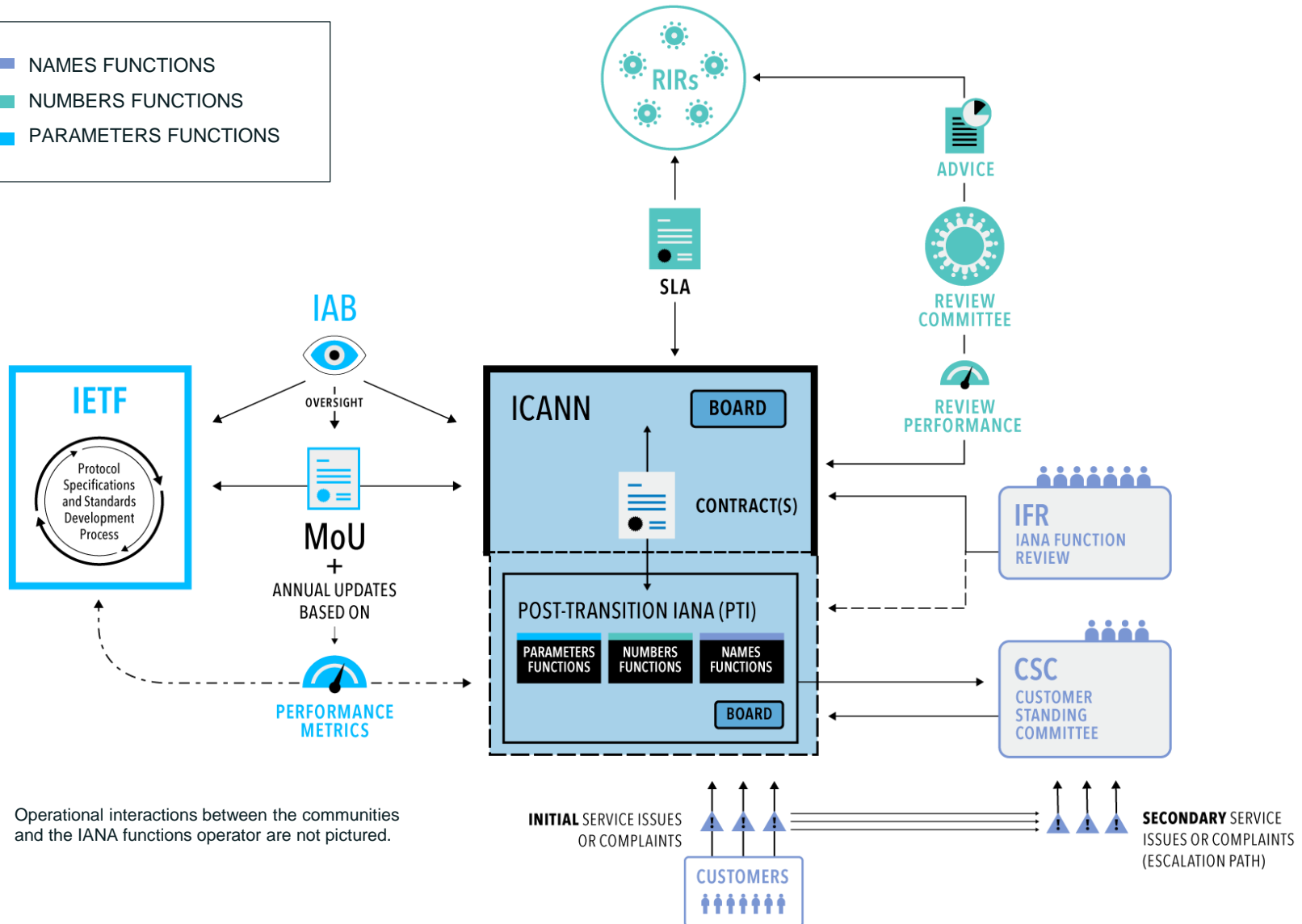
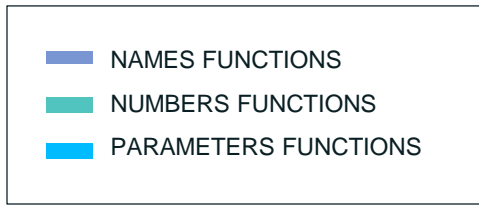
ICANN was asked to serve as a facilitator, based on its role as the IANA functions administrator and global coordinator for the Internet's Domain Name System (DNS)

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

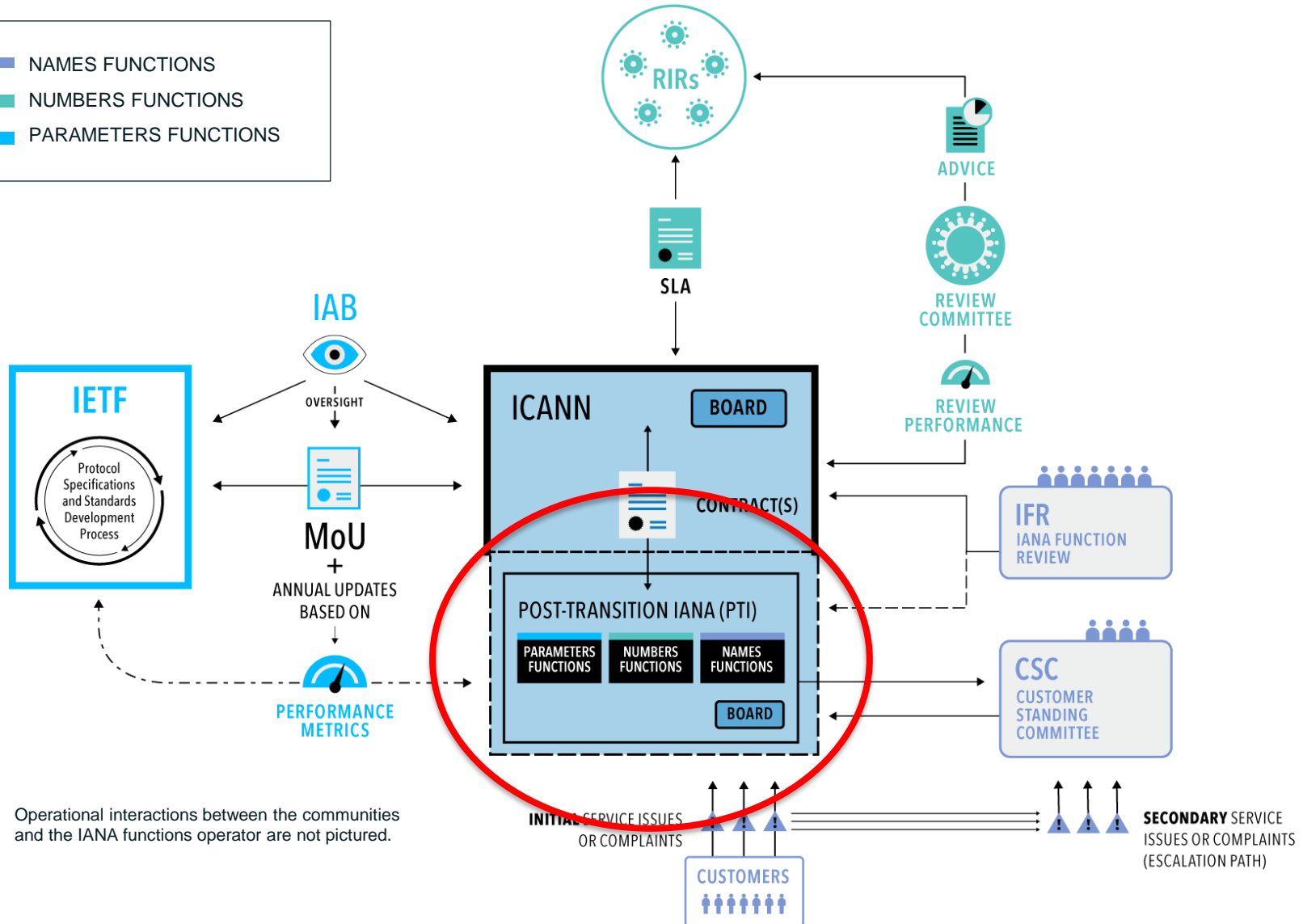
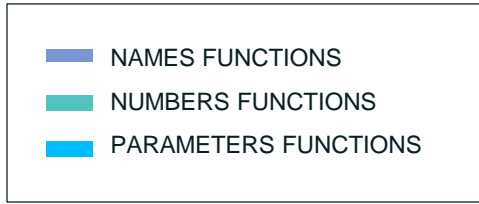


Operational interactions between the communities and the IANA functions operator are not pictured.

INITIAL SERVICE ISSUES OR COMPLAINTS

SECONDARY SERVICE ISSUES OR COMPLAINTS (ESCALATION PATH)

Combined Proposal Overview



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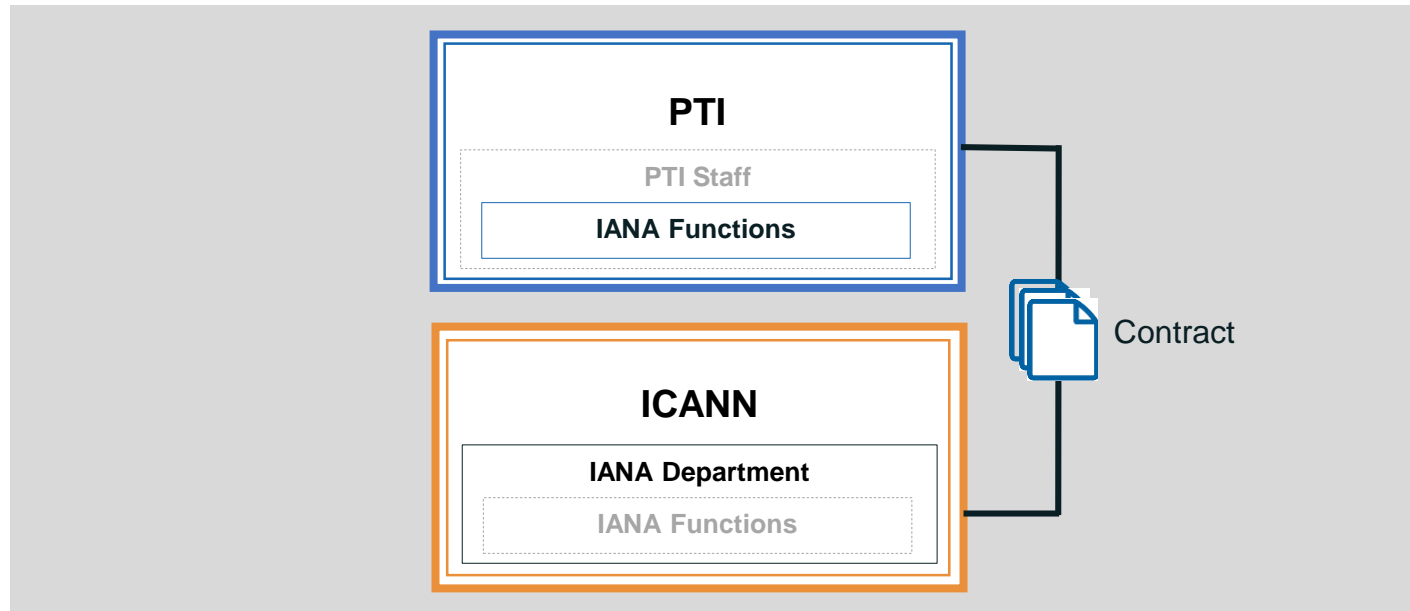
INITIAL SERVICE ISSUES OR COMPLAINTS

SECONDARY SERVICE ISSUES OR COMPLAINTS (ESCALATION PATH)

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

- *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?

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

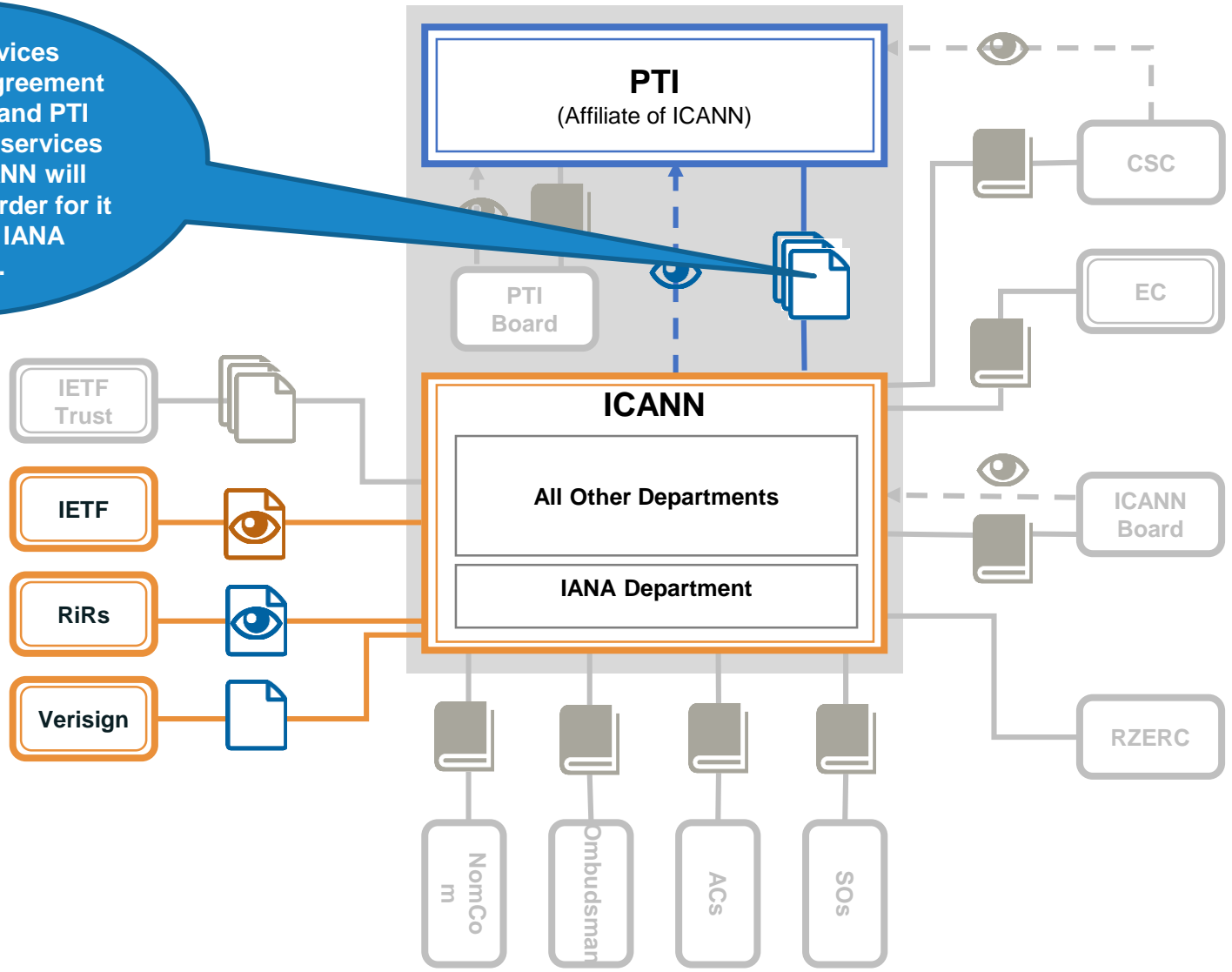
**Location of the operational
information**

The operational reports of the IANA
services remain on iana.org

**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

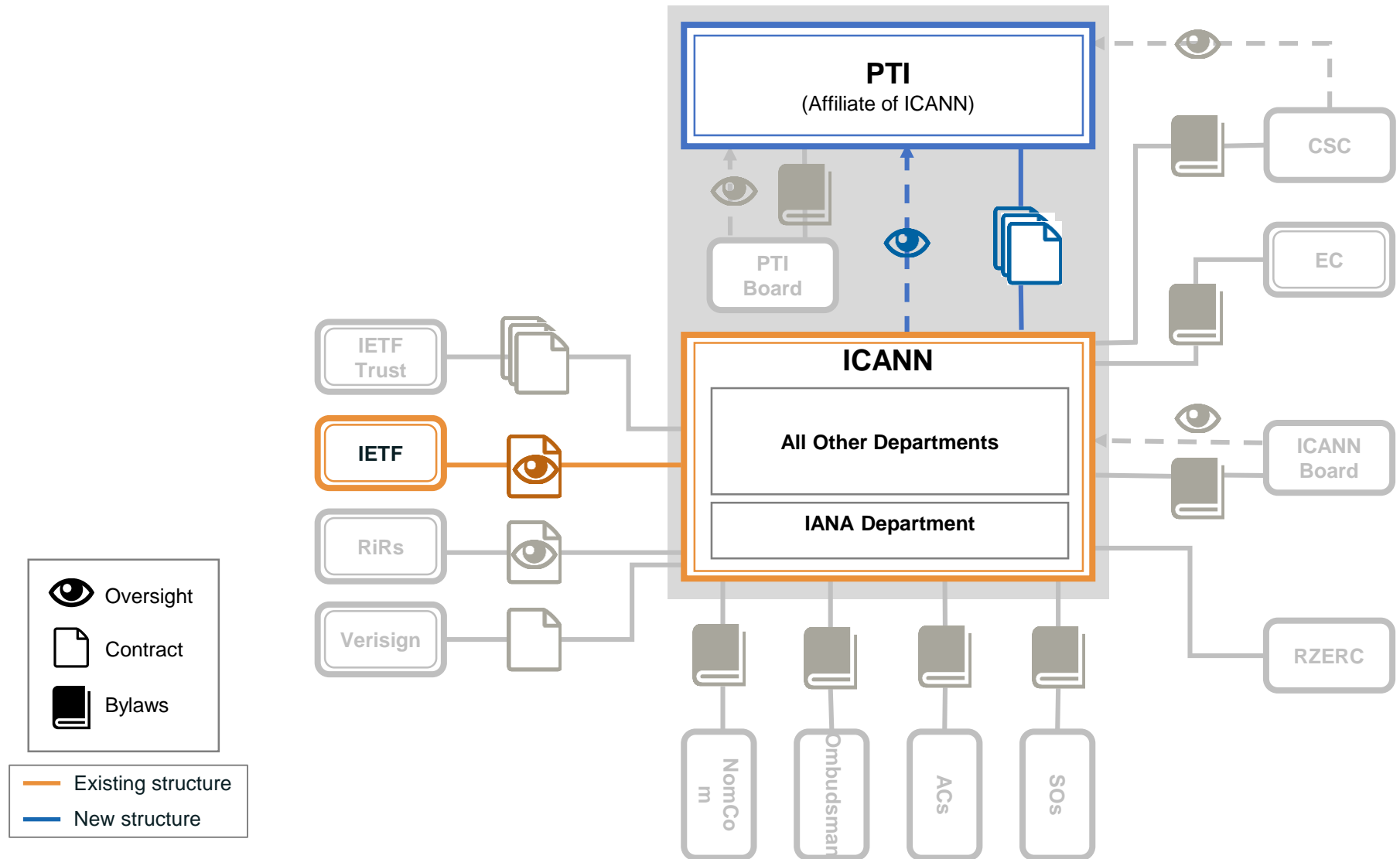
Service	Description
Accounting	Accounting services as needed, including support for general accounting, expense Report processing, cash management, intercompany allocations, payroll banking/reconciliations, and accounts payable support.
Financial Audit	Management of the annual independent audit and internal 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

ICANN Ecosystem with PTI

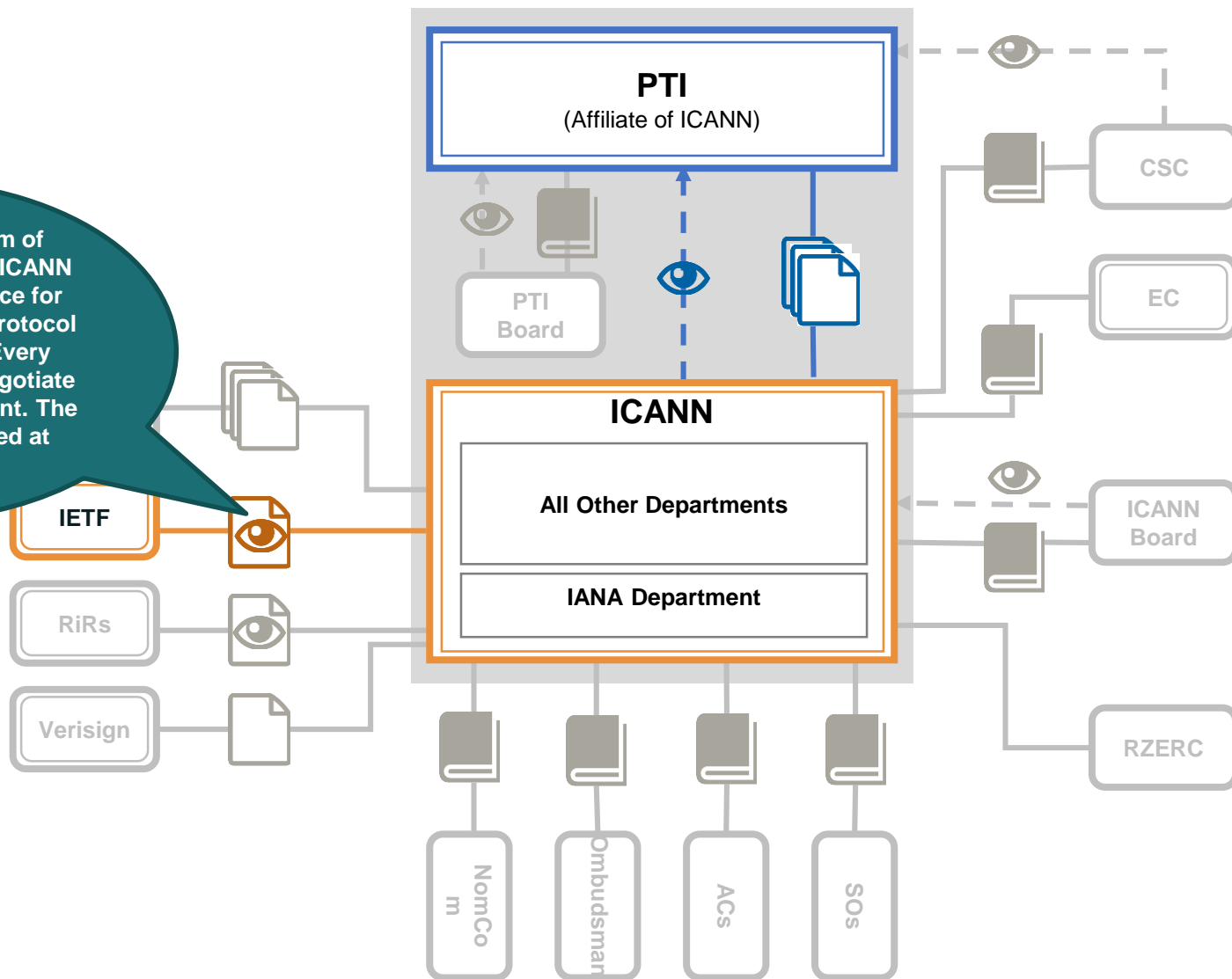
	Domain Names	Numbering Resources	Protocol Parameters
Oversight	ICANN/CSC	Review Committee	IETF & IAB leadership
Policy	ICANN	ASO	IETF
Operations	PTI	ICANN (subcontracted to PTI)	ICANN (subcontracted to PTI)




Relationship between IETF and PTI



Relationship between IETF and PTI

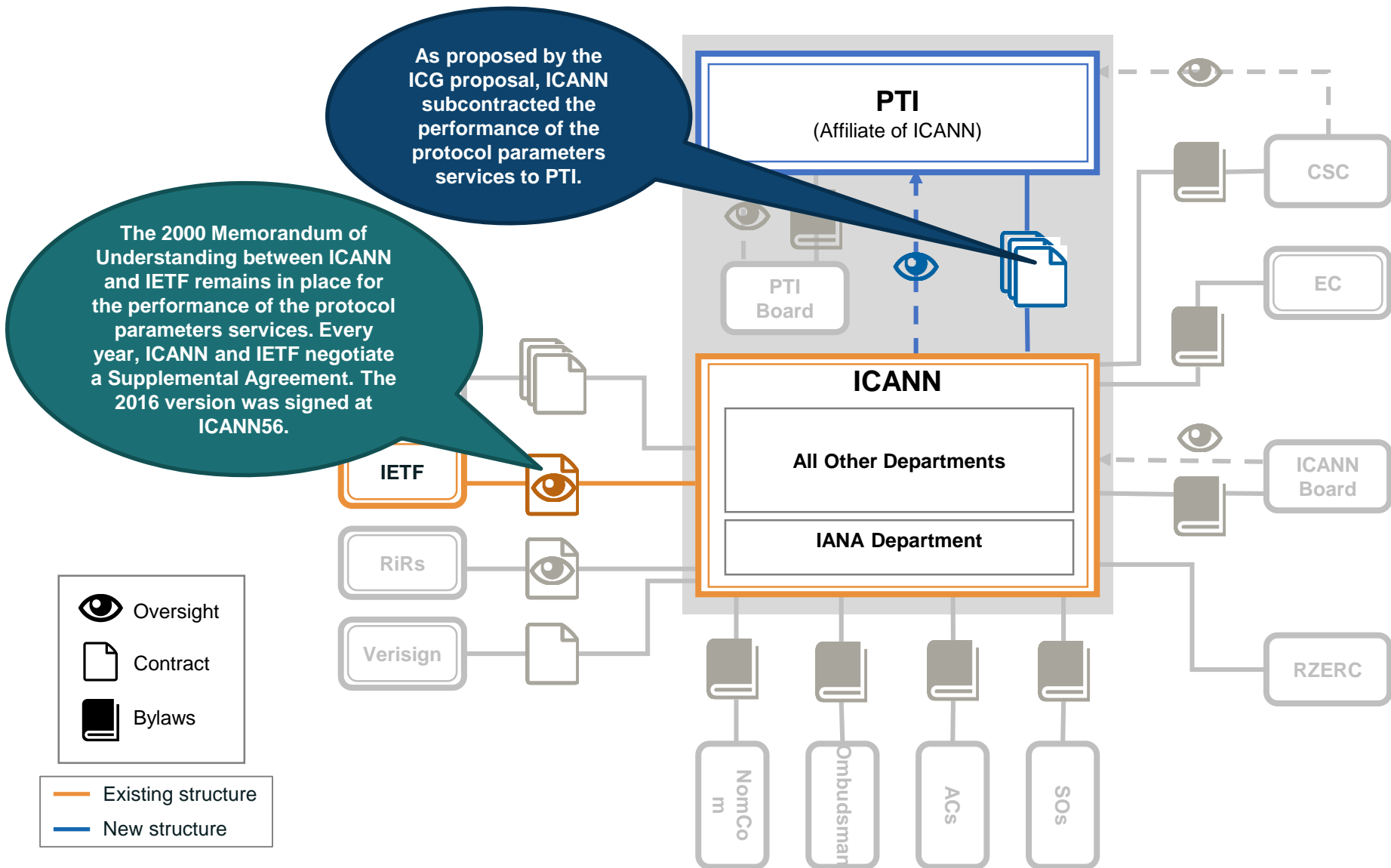
The 2000 Memorandum of Understanding between ICANN and IETF remains in place for the performance of the protocol parameters services. Every year, ICANN and IETF negotiate a Supplemental Agreement. The 2016 version was signed at ICANN56.



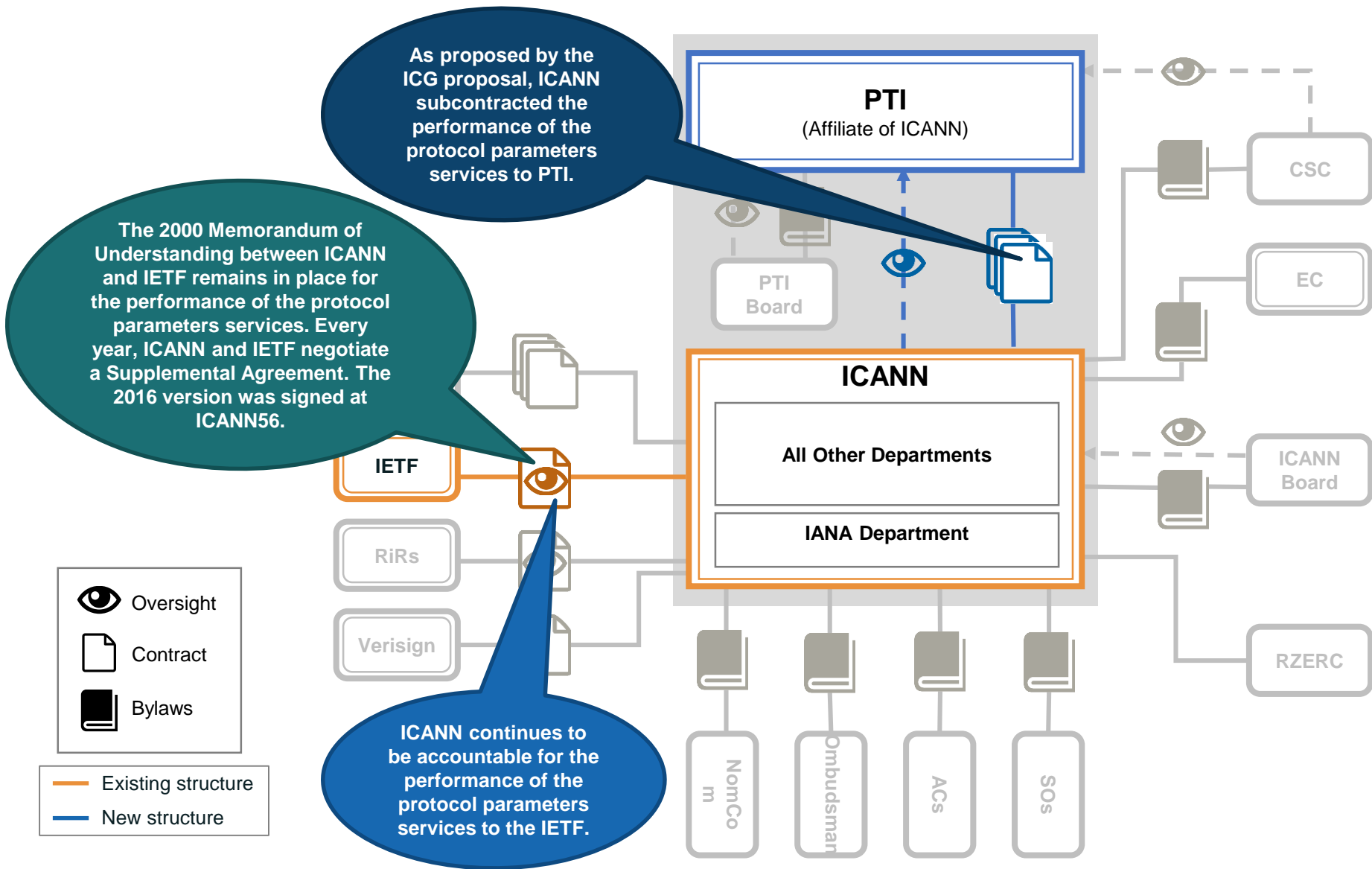
-  Oversight
-  Contract
-  Bylaws

- Existing structure
- New structure

Relationship between IETF and PTI



Relationship between IETF and PTI



Deliverables - IANA Protocol Parameter function

Monthly Service Level Agreement Reports

PTI met all SLAs from Oct 2016 – Sept 2017

No Change in Documented Procedures

Documentation on the iana.org website

Liaison to IAB

Participation by Protocol Parameter Engagement Sr. Manager

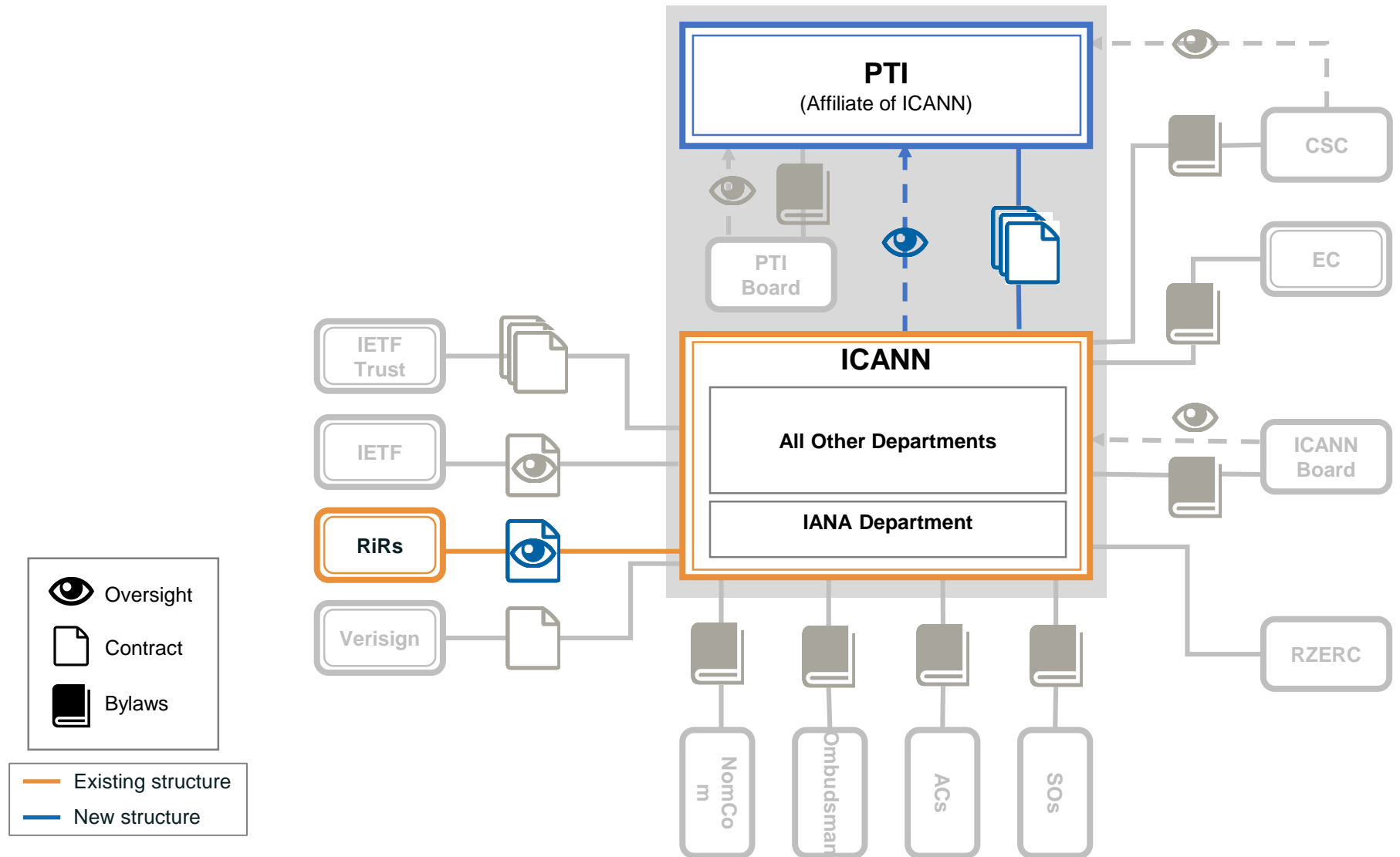
Location of the operational information

The SLA reports are found on iana.org website

Submission of 3rd Party SOC2 to IETF leadership

Jan 31, 2018

Relationship between RIRs and PTI

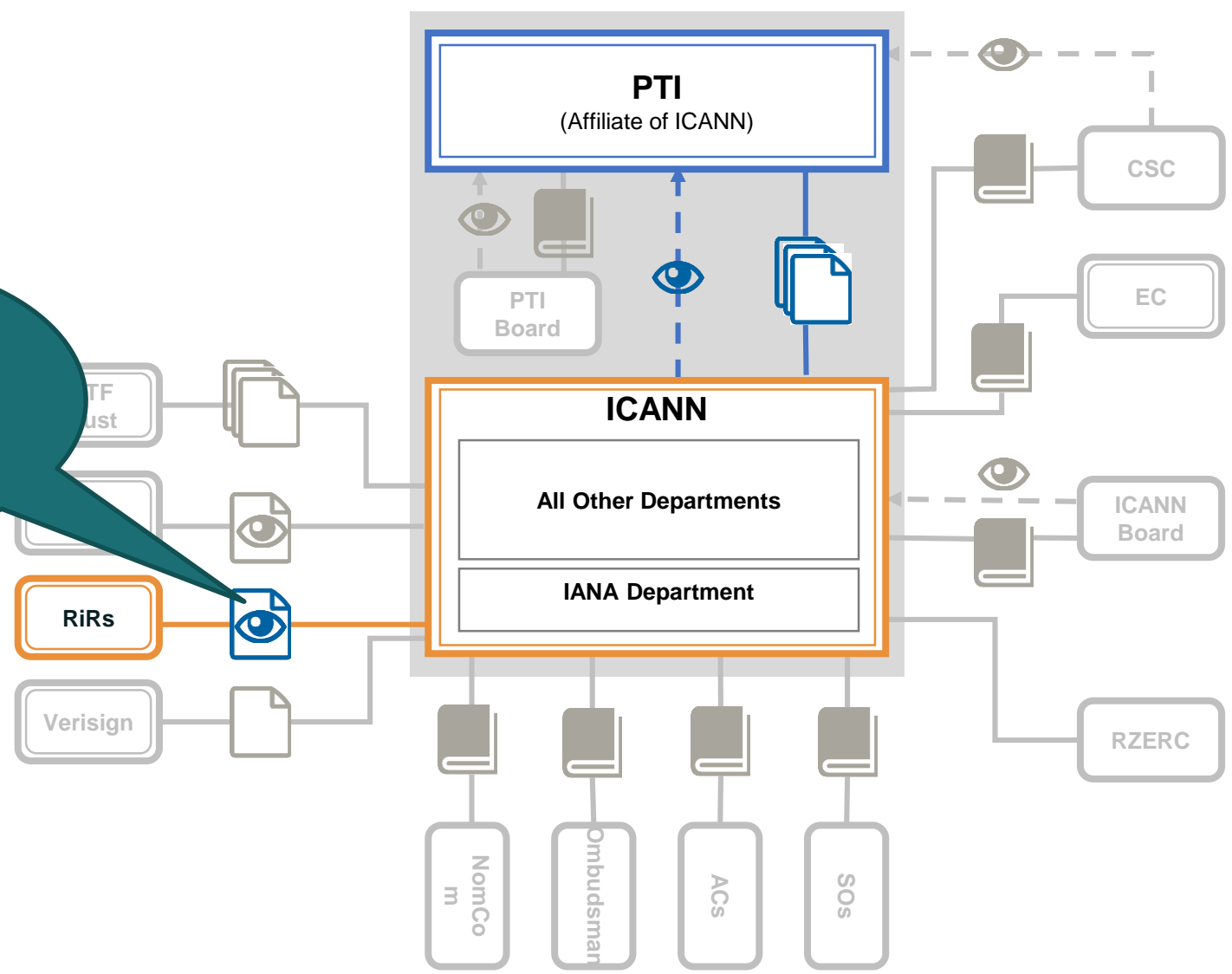


Relationship between RIRs and PTI

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

- Oversight
- Contract
- Bylaws

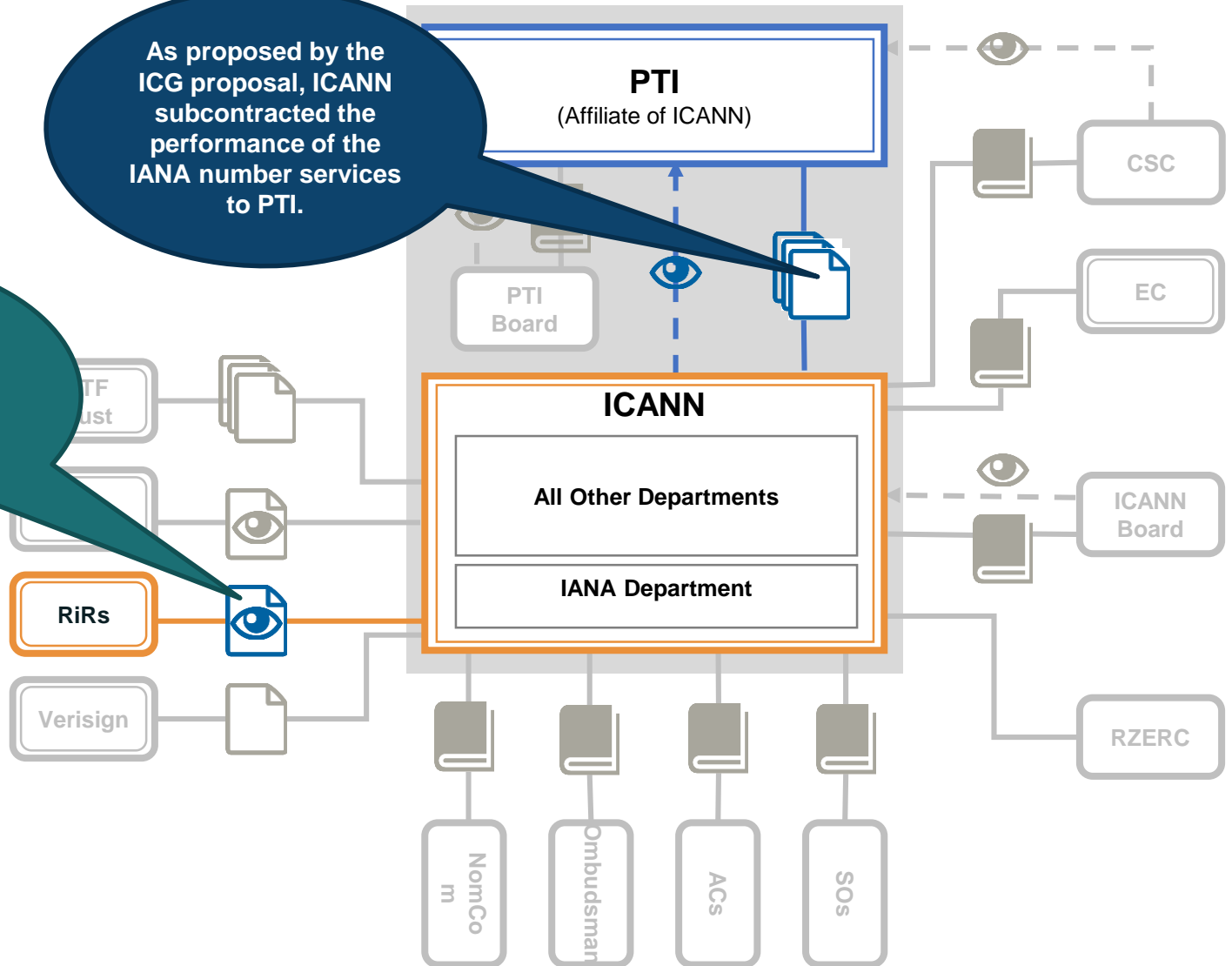
— Existing structure
— New structure



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.



- Oversight
- Contract
- Bylaws

- Existing structure
- New structure

Deliverables - IANA Numbering function

Monthly Service Level Agreement Reports

PTI met all SLAs from Mar 2017 – Sept 2017

No Change in Documented Procedures

Documentation on the iana.org website

In-person reports at RIR meetings

Physically attend at least one of each RIR meetings per year

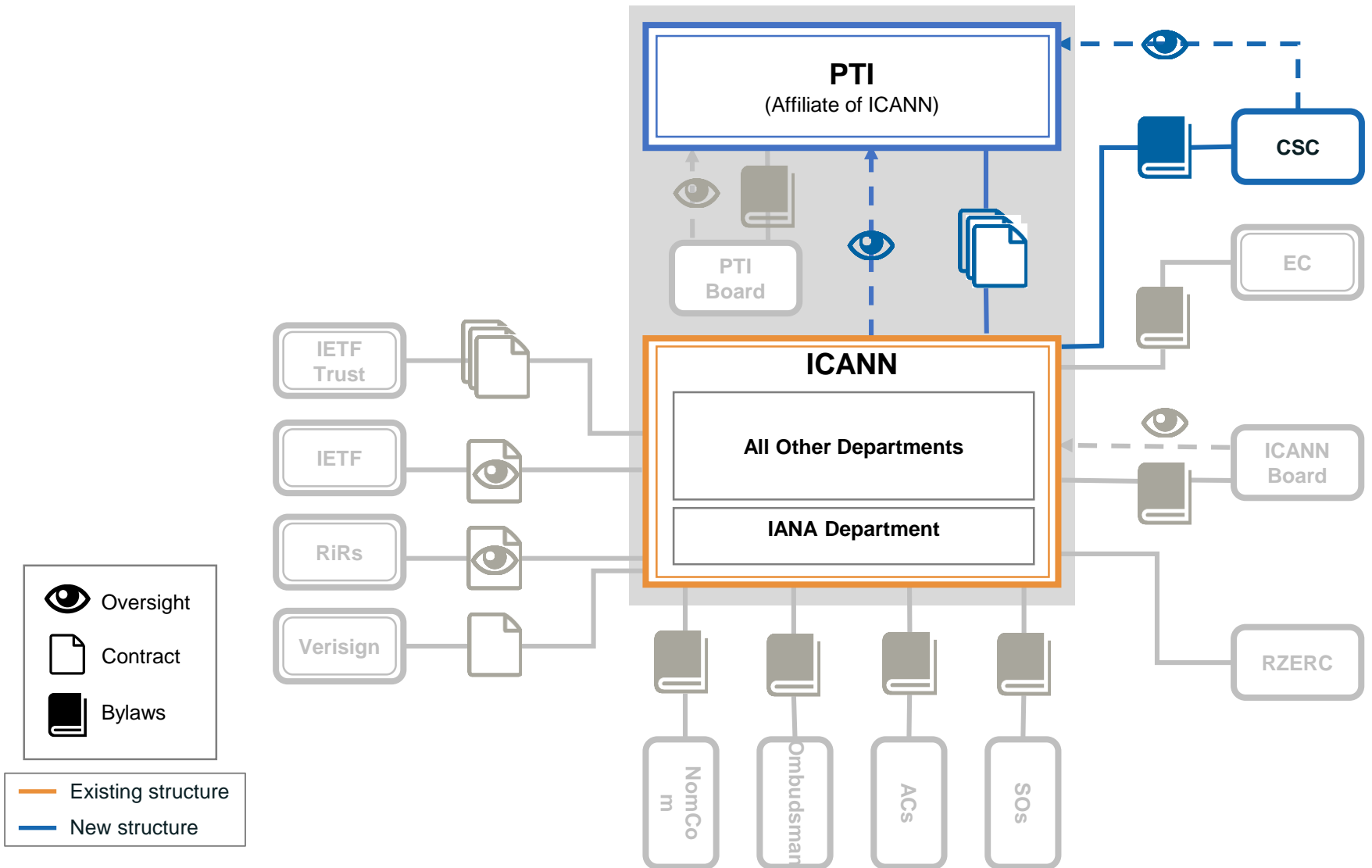
Location of the operational information

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Submission of 3rd Party SOC2 to Numbering Review Committee

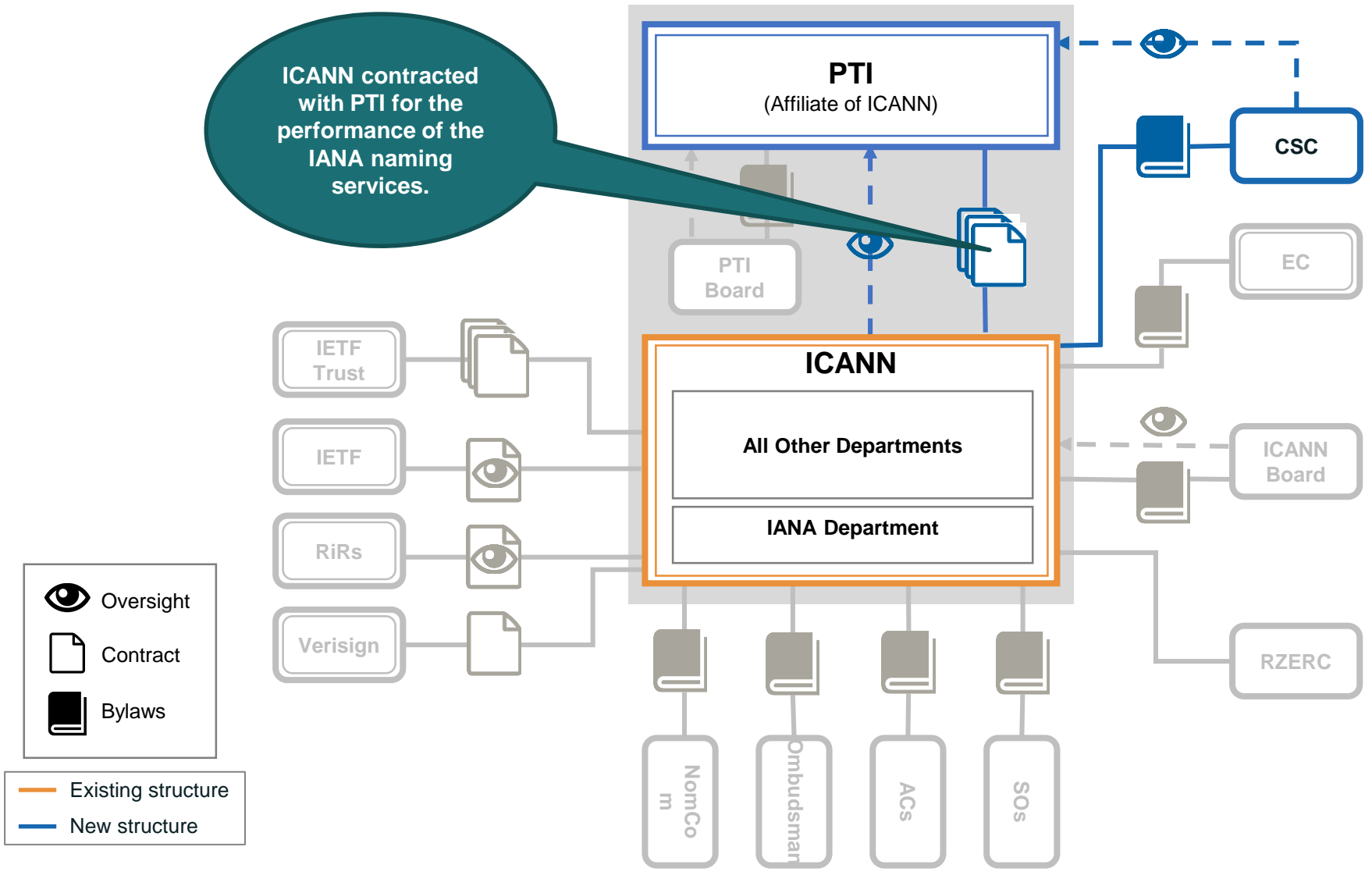
January 31st 2018

Relationship between TLD community and PTI



Relationship between TLD community and PTI

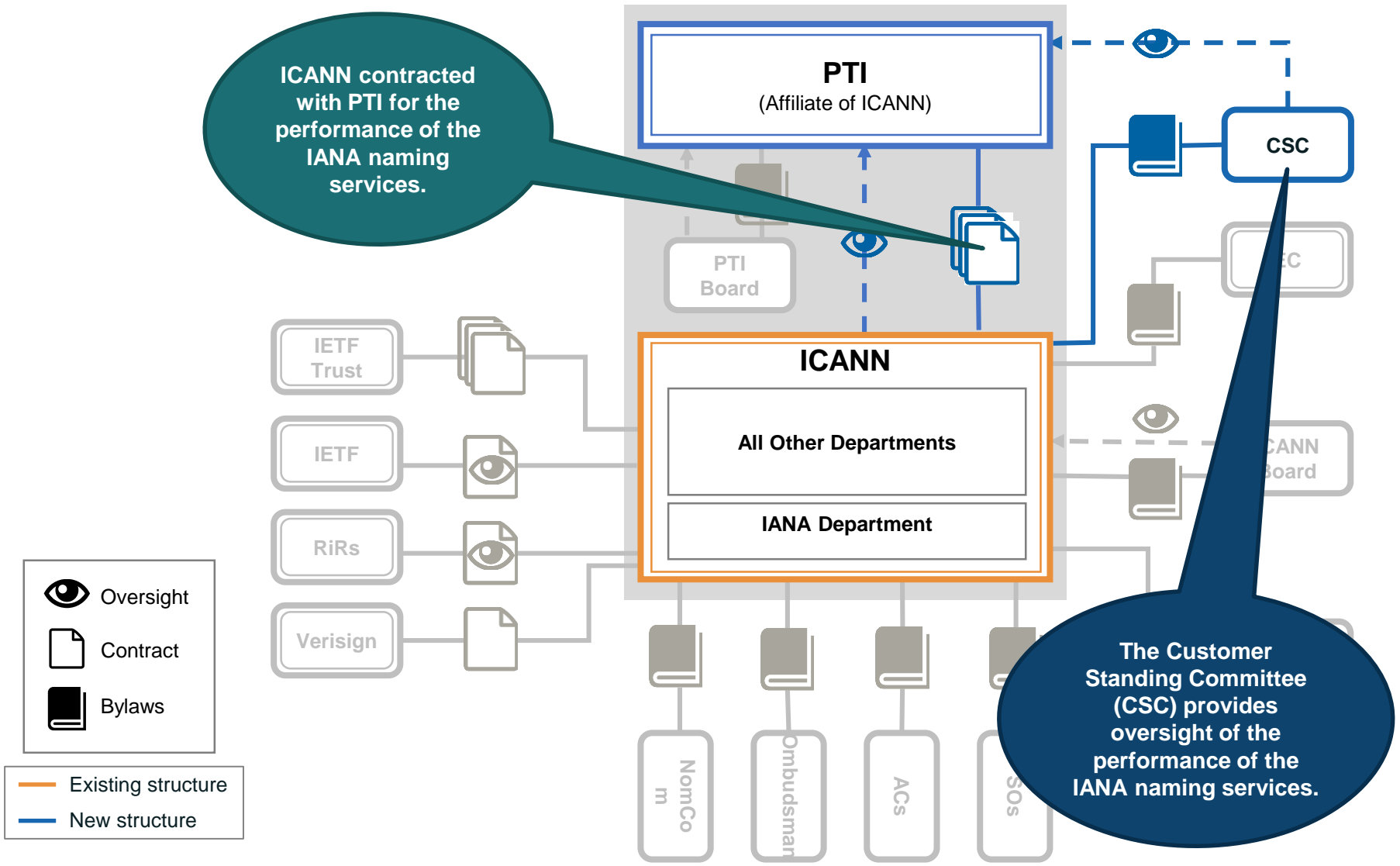
ICANN contracted with PTI for the performance of the IANA naming services.



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

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 website

Submission of 3rd Party SOC2 to ICANN leadership

January 31st 2018

Deliverables – FOI recommendations

Terminology changes

Example: Redelegation → Transfer
Sponsoring organization → Manager

Updated documentation

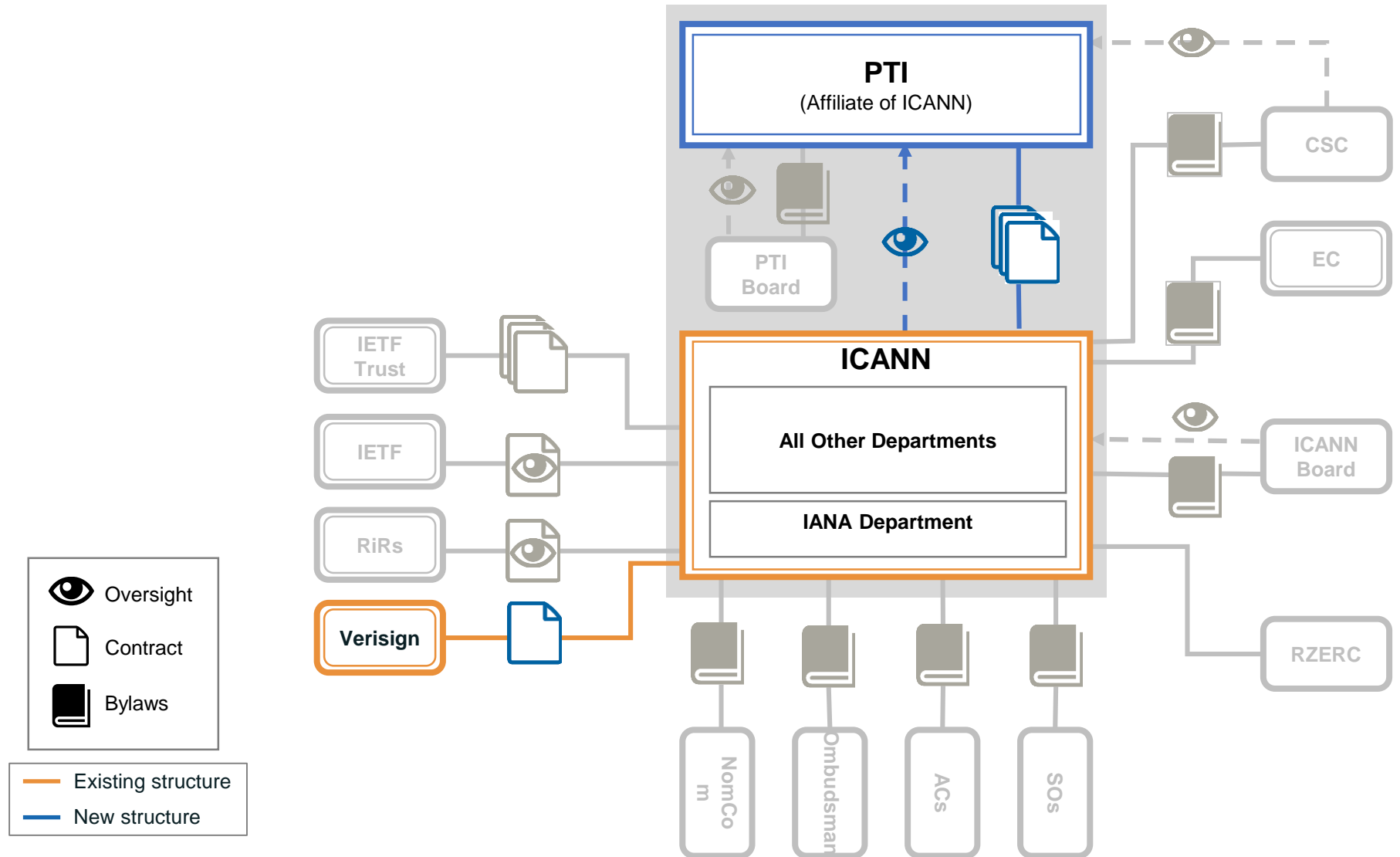
Documentation on iana.org website

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

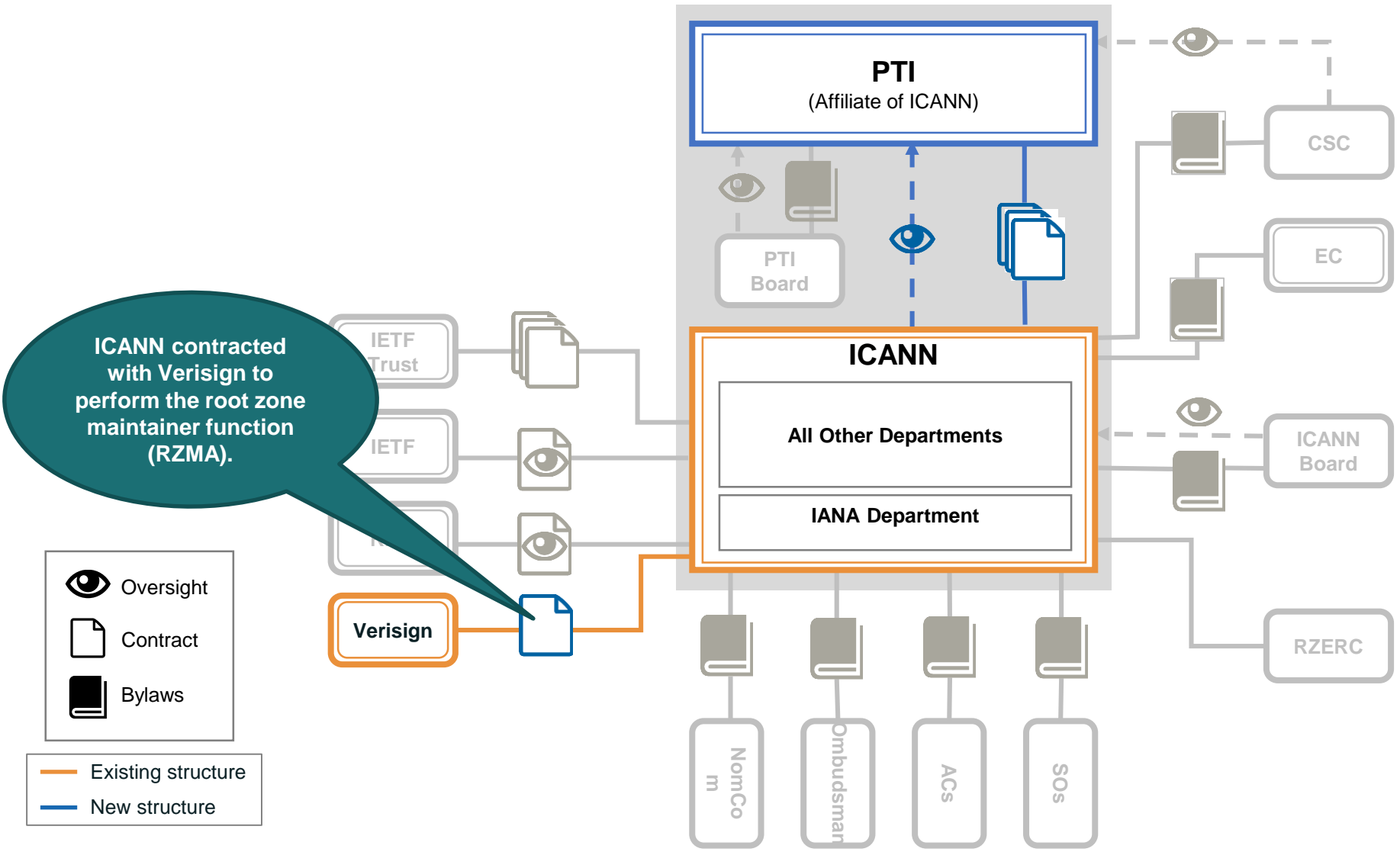
**Terminology changes reflected in
systems**

Example: RZMS User Interface,
iana.org

Relationship between Verisign and PTI






Relationship between Verisign and PTI



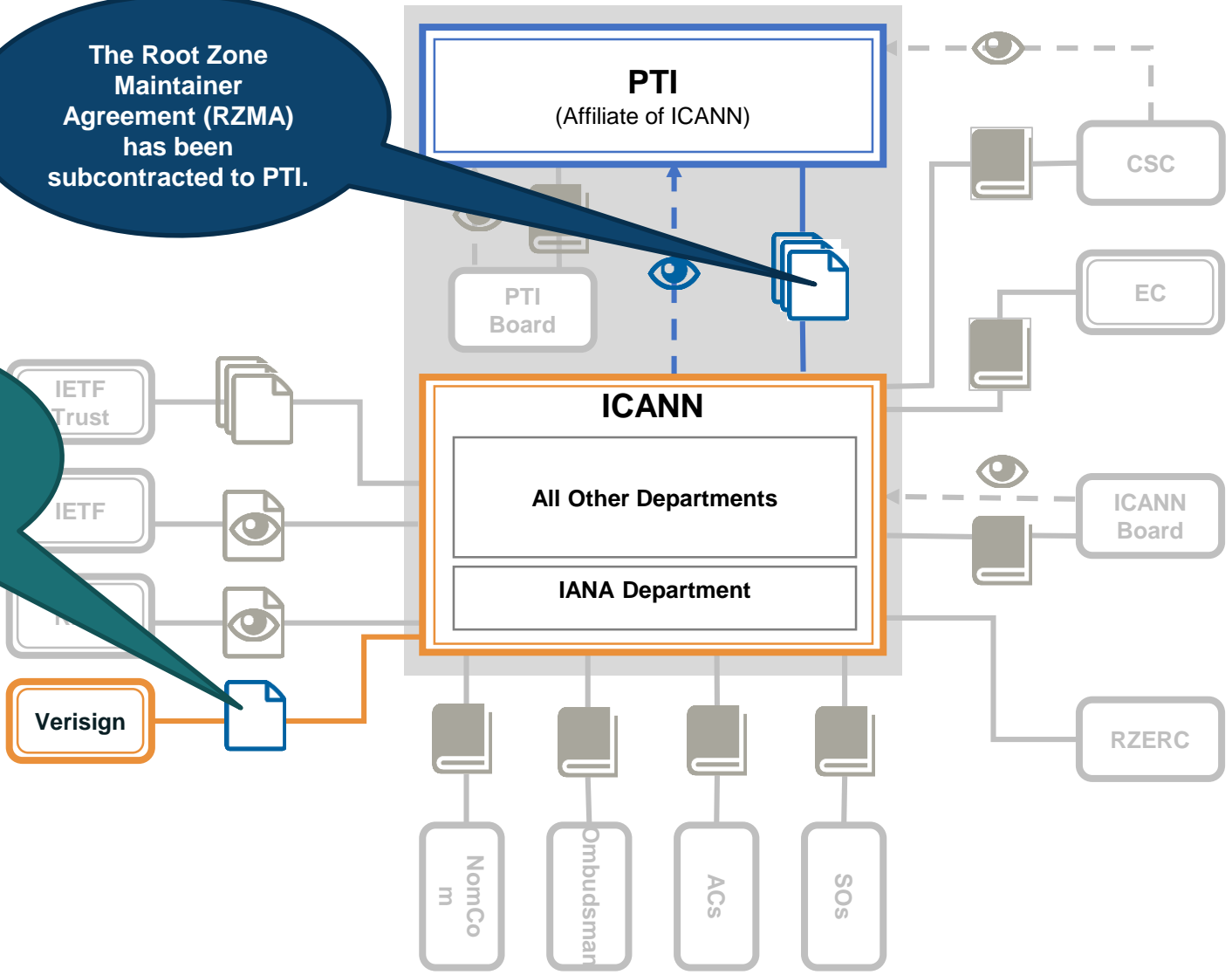
Relationship between Verisign and PTI

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

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

-  Oversight
-  Contract
-  Bylaws

- Existing structure
- New structure



Deliverables – Root Zone Maintainer

Monthly Service Level Agreement Reports

Posted on 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

- 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%
TOTAL	\$10.4	\$9.6	\$0.8	8.3%

*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
Total	\$6.1	\$1.6	\$2.7	\$10.4

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
Total	\$5.7	\$1.4	\$2.4	\$9.6

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
Total	\$0.4	\$0.2	\$0.3	\$0.8

Contacts are the same

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

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To find governance documents, directors, agreements, and meetings of PTI, visit pti.icann.org.

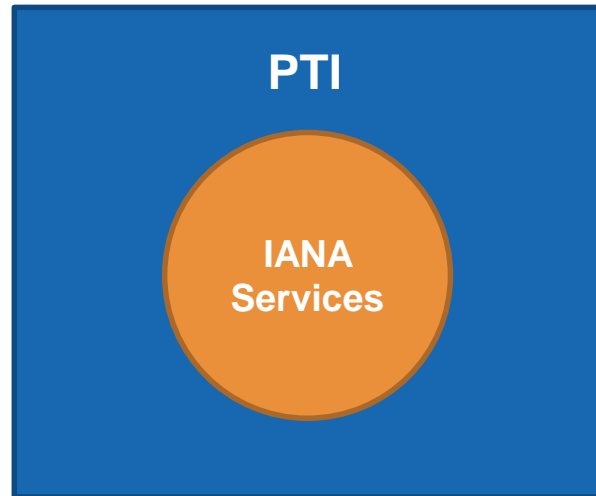


PTI

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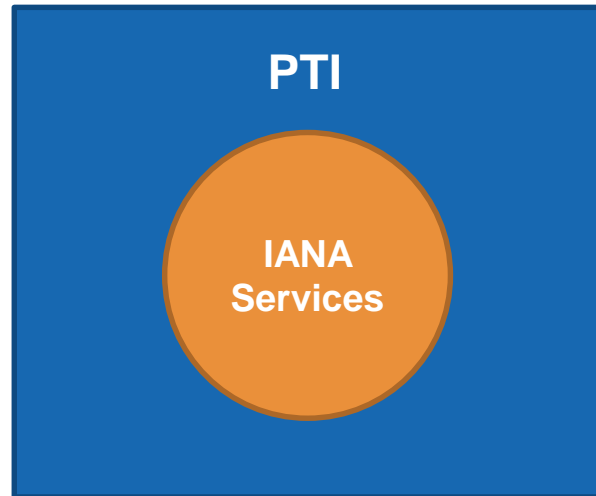


The operational reports of the IANA services, including deliverables and information on the IANA functions visit iana.org.

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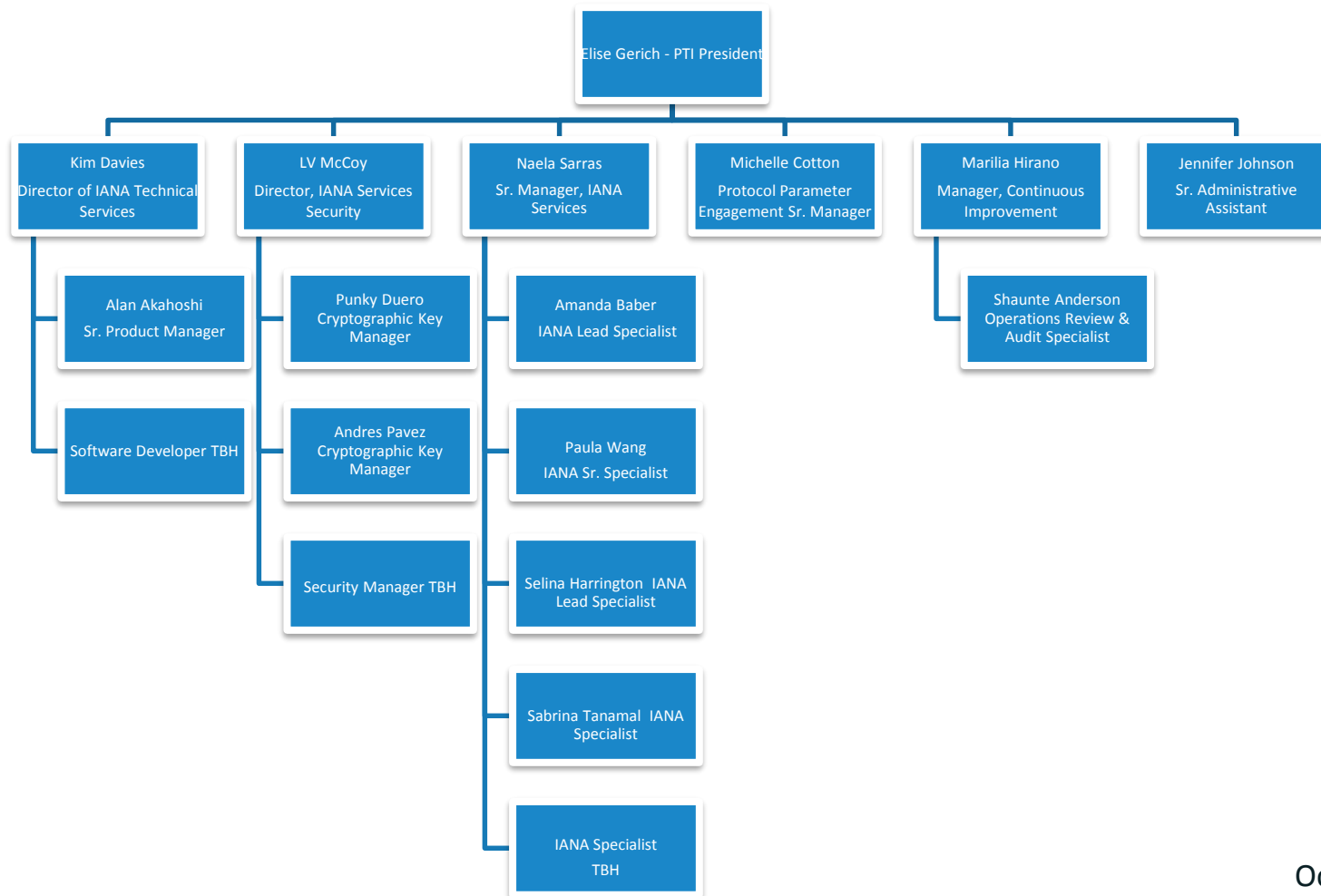
Operational questions can still be sent to:

- iana@iana.org

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

- elise.gerich@icann.org or elise.gerich@iana.org

PTI Organization FY18



Thank You!
Questions?

October 2017