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Agenda:

- **DRAFT PTI and IANA FY22 Operating Plan and Budgets**
- **IANA Naming Function Review (IFR) Initial Report**
- **Recommendation prioritization**

  Small groups?

  WS2, ATRT3, SSR, CCRT, MSM, …

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DRAFT PTI and IANA FY22 Operating Plan and Budgets:

FY22 PTI Budget in Millions, USD	PTI Services FY22 Budget	PTI Services FY21 Budget	Under/(Over) Total	%	PTI Services FY20 Actuals	Under/(Over) Total	%
FUNDING	**$9.7**	**$10.0**	**$0.3**	**2.8%**	**$7.5**	**($2.2)**	**-29.9%**
Personnel	$6.1	$6.3	$0.2	3.8%	$4.9	($1.2)	-24.7%
Travel & Meetings	$0.6	$0.5	($0.1)	-16.9%	$0.2	($0.4)	-224.1%
Professional Services	$1.3	$1.4	$0.1	5.0%	$0.9	($0.4)	-50.4%
Administration	$0.9	$0.9	$0.1	8.8%	$1.2	$0.4	31.4%
Contingency	$0.5	$0.5	$0.0	0.0%	$0.0	($0.5)	0.0%
Capital	$0.3	$0.1	($0.2)	-173.9%	$0.3	($0.0)	-7.6%
Depreciation (a)	$0.1	$0.3	$0.2	63.0%	$0.0	($0.1)	-5251.3%
TOTAL CASH EXPENSES	**$9.7**	**$10.0**	**$0.3**	**2.8%**	**$7.5**	**($2.2)**	**-29.9%**
EXCESS/(DEFICIT)	**$0.0**	**$0.0**	**$0.0**	**0.0%**	**$0.0**	**$0.0**	**0.0%**
Average Headcount (FTE) (b)	22.0	23.0	1.0	4.3%	19.9	(2.1)	-10.4%

(a) Depreciation is treated as a cash expense for PTI since it will be reimbursed to ICANN

(b) FTE: Full-time staff equivalent

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DRAFT PTI and IANA FY22 Operating Plan and Budgets:

5.3 Scope of work

PTI operationalizes work using two portfolios of projects: one is focused on operational activities and the other is focused on system development and improvement. To help readers understand the management structure, the PTI operations portfolio has been divided into groups of similarly themed projects: core operational activities and operational improvement activities.

5.3.1   Operational Activities

Within the portfolio of operational activities, there are two categories: an activity to perform the core operational service delivery and an activity to continuously re-evaluate and improve service delivery.

5.3.1.1   Core Operations

The core operations include project and non-project based work dedicated towards the delivery of the IANA functions. It includes:

- Ongoing daily activities required to provide the IANA functions, such as processing requests, responding to inquiries, and other recurring activities.
- Customer-related activities in which PTI participates, such as conferences, meetings, and other community events.
- Evaluating, planning, and implementing enhancements to the KMF and the related security system setup for the Domain Name System Security Extensions (DNSSEC) of the root zone.
- Performing key signing ceremonies. This work includes:
  - Reviewing the policy and procedures documents.
  - Selecting Trusted Community Representatives (TCRs) for each of the ceremonies.
  - Updating ceremony scripts and other administrative tasks related to the signing of the root zone.

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5.3.1.2   Operational Improvement Activities

Operational improvement activities contain project work dedicated towards the continuous improvement in the delivery of the IANA functions. They include:

- Engaging a third-party auditor to audit the IANA Registry Assignment and Maintenance Systems (RAMS) using the Service Organization Controls 2 (SOC2) Framework and the DNSSEC systems and processes using the Service Organization Controls 3 (SOC3) Framework.
- Conducting an annual customer service survey about customer satisfaction with the performance of the IANA functions.
- Planning and executing a table-top exercise to test the Contingency and Continuity of Operations Plan (CCOP) and identify strengths and areas for improvement.
- Conducting an internal quality management assessment with the European Foundation for Quality Management (EFQM) Excellence Model to identify strengths and areas for improvement.
  - More information: **iana.org/about/audits**
- Training and developing staff on planning, scheduling, and completing training activities related to audit, security, and business excellence as well as other relevant training programs.

- Facilitating research and community discussion of operational improvement opportunities. In particular, an activity to develop an operational approach to support new cryptographic algorithms in the DNS root zone and explore opportunities to reconfigure maintenance of the DNS trust anchor in order to allow for more resilient operations in light of global pandemics.

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DRAFT PTI and IANA FY22 Operating Plan and Budgets:

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DRAFT PTI and IANA FY22 Operating Plan and Budgets:

5.3.2   System Enhancements

This portfolio of projects is focused on software enhancements, tool development, and other discrete development projects to improve delivery of the IANA functions. The four focus areas for system enhancements are:

- Developing and deploying automation systems to support the common registry workflow used for protocol parameter assignments and other IANA registries. This is a multi-phase project with incremental releases continuing in FY22.
- Continuing to evolve and adapt the RZMS to support increased customer demands and the evolution of underlying community-developed policies.
- Delivering updates to the IANA website to effectively deliver registry information and associated procedures and documentation. Improvement areas include:
  - Enhanced browsing and searching of registry data
  - Improved machine-readable data, including customer application programming interface (API) and data representation
  - Optimized experience for common customer interactions, including via mobile devices
- Root Zone DNSSEC Management Enhancements
  - Asset inventory control system for KSK management
  - Next generation KSR/SKR exchange platform

PTI's software development work program is calibrated to maintain steady improvements that are in line with the current level of development activity. While more resources could be applied to speed up development or expand the number of areas of active work, customer feedback has indicated high levels of satisfaction with the current rate of work and does not suggest we alter the level of resources available for our software development projects.

DRAFT PTI and IANA FY22 Operating Plan and Budgets:

Draft Comment: ALAC appreciates the opportunity to comment of the DRAFT PTI and IANA FY22 Operating Plan and Budgets. The budget, and specially the operating plans look good, both as an improvement of PTI and IANA functions, also as a transparent initiative to let the community know the Operational Improvements Activities and System Enhancements in advance.

Only concern is the 30% increase in the budget from the last real results (FY20), even though as a community it is understable the importance of the PTI & IANA functions for ICANN and for the Internet, the income of ICANN is almost flat.

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IANA Naming Function Review (IFR) Initial Report

This report presents the IANA Naming Function Review Team's (IFRT's) initial findings, analysis, issues, and recommendations, as directed and in compliance with Article 18: IANA Naming Function Reviews.

The IANA function review team, in our evaluation of PTIs performance, has found that PTI is operating with a great deal of operational efficiency and is serving the needs of the IANA customers. The IFRT has identified no major areas of deficiency or operational improvement that PTI has not already identified internally or in conjunction with the CSC.

This report reflects the consensus of the full review team. Where consensus was not achieved on a given recommendation, this report identifies the level of support within the team.

IANA Naming Function Review (IFR) Initial Report

2.1 IFRT Recommendation 1

Recommendation ID: **IFRT-2020-Rec1**

Contractual Reference: IANA Naming Function Contract, Article IX, Section 9.3 (a), (b), (c)

Recommendation Summary: The IFRT recommends that PTI publishes the IANA functions transition plan as required by the IANA Naming Function Contract.

Expected Due Date: ICANN Board Recommendation Approval + 30 Days

Evaluation Criteria
1. The Transition Plan is posted publicly on iana.org

Priority: High

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IANA Naming Function Review (IFR) Initial Report

2.2 IFRT Recommendation 2

Recommendation ID: **IFRT-2020-Rec2**

Contractual Reference: IANA Naming Function Contract, Article VI, Section 6.1 (d)

Recommendation Summary: The IFRT recommends that the Annual Attestation of the PTI President that PTI has complied with the requirements of Section 6.1 of the IANA Naming Function Contract be posted on iana.org annually.

Expected Due Date: ICANN Board Recommendation Approval + 90 Days

Evaluation Criteria
1. The annual attestations for previous years are posted publicly on pti.icann.org
2. A procedure is put in place to ensure future attestations are published on pti.icann.org.

Priority: Medium

IANA Naming Function Review (IFR) Initial Report

2.3 IFRT Recommendation 3

Recommendation ID: **IFRT-2020-Rec3**

Contractual Reference: ICANN Bylaws Section 18.3(j) and IANA Naming Function Contract Article VIII, Section 8.2

Recommendation Summary: The IFRT in conjunction with the CSC has identified a duplication in the ICANN Bylaws. The remedial action procedures as generated by the CSC and PTI are

IFR Initial Report

referred to as components in the initiation of the Special IFR as outlined in Section 18.12.a of the ICANN bylaws. However, the CSC and the IFRT have identified that section 18.12.a (ii) is redundant as the RAP and the IANA problem resolution process were combined into a single set of procedures (the RAPs) by the CSC.

The recommendation is that ICANN board considers removing the redundant section 18.12.a (ii)

Expected Due Date: ICANN Board Recommendation Approval + 365 Days

Evaluation Criteria
1. The ICANN board initiates a legal review of Section 18.12.a (ii) of the ICANN bylaws.
2. If the legal review agrees with the recommendation of the IFRT, a vote should take place within 365 days of the ICANN board approval of this recommendation to remove or amend Section 18.12.a (ii) of the ICANN bylaws.

Priority: Medium

IANA Naming Function Review (IFR) Initial Report

2.4 IFRT Recommendation 4

Recommendation ID: **IFRT-2020-Rec4**

Contractual Reference: IANA Naming Function Contract, Article VII, Section 7.1 (a)

Expected Due Date: ICANN Board Recommendation Approval + 180 Days

Recommendation Summary: In Article 7 Section 7.1 (a) the IFRT recommends that this statement ,"The relevant policies under which the changes are made shall be noted within each monthly report", be removed from the contract, as it is a legacy statement from the NTIA contract that is no longer required. Implementation of this requirement has long been recognized as being operationally impracticable, ever since the time of the NTIA contract, and the IFRT is satisfied that its continued inclusion in the Contract adds no value to the reports.

Evaluation Criteria
2. The contractual text is updated, and the new contract is posted publicly

Priority: Low

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IANA Naming Function Review (IFR) Initial Report:

Draft Comment: ALAC appreciates the opportunity to comment of the IANA Naming Function Review (IFR) Initial Report. We encourage the ICANN Board to fulfill these recommendations as indicated in the report.

ALAC also congratulates the IANA Naming Function Review Team for the methodology used in the elaboration of the review.

Recommendation prioritization

WS2: Nearly 100 recommendations

CCTRT: 35 recommendations.

SSR2: 31 recommendations (including the need to implement the 28 SSR1 recommendations.

Enhancing the Effectiveness of ICANN's Multistakeholder Model: Work in progress, more comments than recommendations

ATRT2: 46 (51) recommendations.

ATRT3: 5 recommendations.

RPM: 7 Procedures
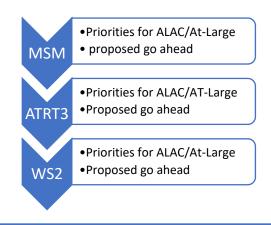
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Recommendation prioritization

Although some of this recommendations were already adopted by the board, and implemented by ICANN org, some are still to be implemented, or back to the sub Pro, or WG, or SO/AC to develop.

Sometimes this recommendations sounds very good (more transparency => more reviews => more work for us), but, can we, as a volunteer community commit to this work?

Or, maintaining a Good level of review to a manageable time/work is still transparent enough?

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Recommendation prioritization – Proposal for the OFBWG

MSM
- Priorities for ALAC/At-Large
- proposed go ahead

ATRT3
- Priorities for ALAC/AT-Large
- Proposed go ahead

WS2
- Priorities for ALAC/At-Large
- Proposed go ahead

Budget   Reviews   ABR's