

# Draft FY21 IANA Operating Plan and Budget

14 October 2019



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# IANA Operating Plan & Budget

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## 1 Introduction

### **CONTENTS OF THE DOCUMENT**

This document contains the total Draft Fiscal Year 2021 (FY21) Internet Assigned Numbers Authority (IANA) Operating Plan and Budget, which is posted for public comment as required by the Internet Corporation for Assigned Names and Numbers' (ICANN's) Bylaws, and in accordance with ICANN's public comment process.

This document provides the details of the IANA Functions and other IANA Services for FY21 from 1 July 2020 through 30 June 2021. This Draft FY21 IANA Operating Plan and Budget includes the amounts covered in the Draft FY21 Public Technical Identifiers (PTI) Budget and the amounts for the IANA Services performed by ICANN as the IANA Functions Operator, and which are not performed by PTI. All amounts referenced are in U.S. dollars unless otherwise stated.

Section 6 of this document describes the IANA Functions and other IANA Services and the activities performed to deliver them. Where useful, comparative information for FY20 Forecast is provided, which represents the total IANA Functions and other IANA Services forecast information for FY20.

### **YOUR PARTICIPATION**

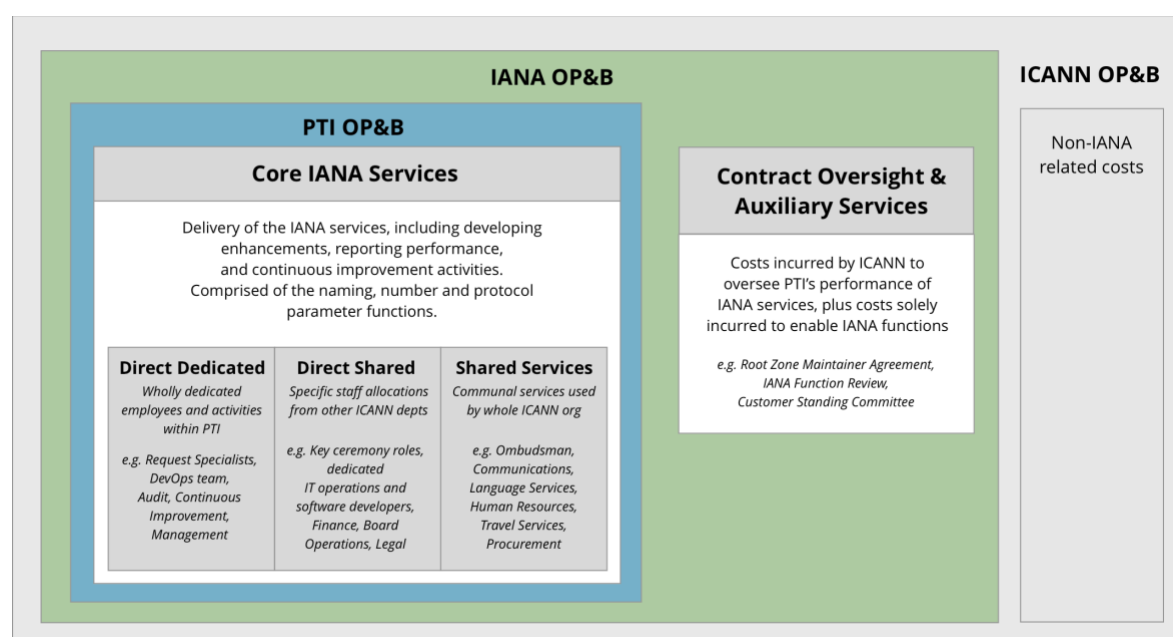
ICANN seeks community input on the Draft FY21 IANA Operating Plan and Budget through the public comment process. Your feedback and participation is an important part of ICANN's planning process and multistakeholder model.



### 3 IANA Budget Overview

The PTI Board adopts the PTI Operating Plan and Budget each year, which constitutes a large component of the IANA Operating Plan and Budget. This is included in ICANN’s Operating Plan and Budget, which is sent to the ICANN Board to review and adopt.

The ICANN-funded PTI operational activities and PTI technical systems enhancements (PTI Services) are outlined in the [Draft FY21 PTI Operating Plan and Budget](#). This represents the PTI Services component in this document. The other component is the IANA Services performed by ICANN, that are not borne directly by PTI in its role as the IANA Functions Operator.



### FY21 IANA BUDGET

The Draft FY21 IANA Budget is \$10.6M, of which \$10.0M is for PTI Services and \$0.6M is for IANA Services (not performed by PTI). The PTI Services increased by \$0.1M versus FY20 Forecast primarily driven by inflationary Personnel increases, partially offset by decreases in direct shared activities. The IANA Services component is flat to FY20 Forecast.

FY21 IANA Budget in Millions, USD	FY21 IANA Budget	FY20 IANA Forecast	Under/(Over)		FY19 IANA Actuals	Under/(Over)	
			Total	%		Total	%
PTI Services	\$10.0	\$9.9	(\$0.1)	-1.2%	\$7.9	(\$2.1)	-26.8%
IANA Services (a)	\$0.6	\$0.6	\$0.0	2.9%	\$0.4	(\$0.2)	-36.2%
<b>TOTAL</b>	<b>\$10.6</b>	<b>\$10.5</b>	<b>(\$0.1)</b>	<b>-1.0%</b>	<b>\$8.3</b>	<b>(\$2.3)</b>	<b>-27.3%</b>

(a) IANA Services includes the Root Zone Maintainer function, Customer Standing Committee, Root Zone Evolution Committee and IANA Naming Function reviews. These costs are funded by ICANN Operations.

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Dollar figures are shown in millions of U.S. dollars with a granularity of \$100,000. Due to rounding, numbers presented may not add up precisely to the totals indicated and percentages may not precisely reflect the absolute figures. An absence of any expenditure is shown with a dash.

## 4 IANA Operating Plan and Budget

The IANA Functions and other IANA Services support ICANN's strategic objectives to support a healthy, stable, and resilient unique identifier ecosystem. The IANA Functions and other IANA Services include four activities: two activities where PTI operationalizes work that include operational activities and system enhancements, and two activities for the IANA Services within ICANN that include activities performed as the IANA Functions Operator.

Of the two PTI activities, one is focused on operational activities and the other is focused on systems enhancements and development. The two other IANA Services activities include the activities that ICANN performs as the IANA Functions Operator.

PTI is structured in two groups of thematically aligned activities:

### 1. PTI Operations

Description: Delivery of IANA Services and all associated operational responsibilities, plus work to maintain and enhance processes, tools, and systems.

### 2. IANA Operations

The IANA Services performed by ICANN include the activities that ICANN performs as the IANA Functions Operator and logistical support for the Customer Standing Committee (CSC) and the Root Zone Evolution Review Committee. This includes scheduled reviews such as of the IANA Naming Functions (IFR) and of CSC effectiveness, as well as the activities supporting the continued evolution of the root server system.

### Support Policy Development, Policy-Related and Advisory Activities

Description: Optimize efficiency and effectiveness of community policy development and advice efforts.

### Root Systems Operations

Description: Facilitating the continued evolution of the root server system to ensure its ongoing security, stability, and resiliency as domain name system technology and operations change over time: maintenance of relationships with the root server operators, Root Server System Advisory Committee (RSSAC), and related stakeholders. This includes the activities that ICANN performs as the IANA Functions Operator.

### Global Domains Division (GDD) Strategic Programs

Description: Work related to Global Domains Division strategic programs in support of a healthy, secure, stable and resilient identifier ecosystem.

## 5 Appendices

### Appendix A — FY21 Draft IANA Budget

FY21 IANA Budget in Millions, USD	IANA Budget FY21	IANA Forecast FY20	Under/(Over)		IANA Actuals FY19	Under/(Over)	
			Total	%		Total	%
<b>FUNDING</b>	<b>\$10.6</b>	<b>\$10.5</b>	<b>(\$0.1)</b>	<b>-1.0%</b>	<b>\$8.3</b>	<b>(\$2.3)</b>	<b>-27.3%</b>
Personnel	\$6.6	\$6.3	(\$0.3)	-5.0%	\$4.9	(\$1.7)	-34.2%
Travel & Meetings	\$0.5	\$0.5	\$0.0	0.1%	\$0.5	(\$0.0)	-7.9%
Professional Services	\$1.7	\$1.7	\$0.0	0.1%	\$1.5	(\$0.2)	-10.2%
Administration	\$0.9	\$1.1	\$0.2	18.3%	\$0.9	(\$0.0)	-4.7%
Contingency	\$0.5	\$0.5	\$0.0	0.0%	\$0.0	(\$0.5)	0.0%
Capital	\$0.1	\$0.1	\$0.0	0.0%	\$0.3	\$0.2	64.0%
Depreciation (a)	\$0.3	\$0.3	\$0.0	0.0%	\$0.1	(\$0.2)	-425.4%
<b>TOTAL CASH EXPENSES</b>	<b>\$10.6</b>	<b>\$10.5</b>	<b>(\$0.1)</b>	<b>-1.0%</b>	<b>\$8.2</b>	<b>(\$2.4)</b>	<b>-29.2%</b>
EXCESS/(DEFICIT)	\$0.0	\$0.0	\$0.0	100.0%	\$0.1	\$0.1	100.0%
Average Headcount (FTE) (b)	24.7	24.9	0.2	0.8%	21.0	(3.7)	-17.6%

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

(b) FTE: Full-time staff equivalent

### Appendix B — FY21 Draft PTI Services and the Draft IANA Budget Summary

FY21 PTI Budget in Millions, USD	PTI Services FY21 Budget	PTI Services FY20 Forecast	Under/(Over)		PTI Services FY19 Actuals	Under/(Over)	
			Total	%		Total	%
<b>FUNDING</b>	<b>\$10.0</b>	<b>\$9.9</b>	<b>(\$0.1)</b>	<b>-1.2%</b>	<b>\$7.9</b>	<b>(\$2.1)</b>	<b>-26.8%</b>
Personnel	\$6.3	\$6.0	(\$0.3)	-5.6%	\$4.9	(\$1.4)	-29.0%
Travel & Meetings	\$0.5	\$0.5	\$0.0	1.5%	\$0.5	(\$0.0)	-3.4%
Professional Services	\$1.4	\$1.4	\$0.0	0.1%	\$1.2	(\$0.2)	-12.7%
Administration	\$0.9	\$1.1	\$0.2	18.3%	\$0.9	(\$0.0)	-4.7%
Contingency	\$0.5	\$0.5	\$0.0	0.0%	\$0.0	(\$0.5)	0.0%
Capital	\$0.1	\$0.1	\$0.0	0.0%	\$0.3	\$0.2	64.0%
Depreciation (a)	\$0.3	\$0.3	\$0.0	0.0%	\$0.1	(\$0.2)	-425.4%
<b>TOTAL CASH EXPENSES</b>	<b>\$10.0</b>	<b>\$9.9</b>	<b>(\$0.1)</b>	<b>-1.2%</b>	<b>\$7.9</b>	<b>(\$2.1)</b>	<b>-26.8%</b>
<b>EXCESS/(DEFICIT)</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>0.0%</b>	<b>\$0.0</b>	<b>\$0.0</b>	<b>0.0%</b>
Average Headcount (FTE) (b)	23.0	23.0	0.0	0.2%	21.0	(2.0)	-9.5%

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

(b) FTE: Full-time staff equivalent

FY21 IANA Budget in Millions, USD	FY21 IANA Budget	FY20 IANA Forecast	Under/(Over)		FY19 IANA Actuals	Under/(Over)	
			Total	%		Total	%
PTI Services	\$10.0	\$9.9	(\$0.1)	-1.2%	\$7.9	(\$2.1)	-26.8%
IANA Services (c)	\$0.6	\$0.6	\$0.0	2.9%	\$0.4	(\$0.2)	-36.2%
<b>TOTAL</b>	<b>\$10.6</b>	<b>\$10.5</b>	<b>(\$0.1)</b>	<b>-1.0%</b>	<b>\$8.3</b>	<b>(\$2.3)</b>	<b>-27.3%</b>

(c) IANA Services includes the Root Zone Maintainer function, Customer Standing Committee, Root Zone Evolution Committee and IANA Naming Function reviews. These costs are funded by ICANN Operations.

Dollar figures are shown in millions of U.S. dollars with a granularity of \$100,000. Due to rounding, numbers presented may not add up precisely to the totals indicated and percentages may not precisely reflect the absolute figures. An absence of any expenditure is shown with a dash.

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## Appendix C — IANA Caretaker Budget

Under the ICANN Bylaws, after the ICANN Board approves the IANA Budget and Operating Plan, the Empowered Community has the right to reject it. The rejection process must conclude in order for the FY21 IANA Budget and Operating Plan to go into effect. If FY21 begins prior to the completion of the Empowered Community's rejection process, the Caretaker IANA Budget must go into effect until that rejection process has concluded pursuant to Annex D of the ICANN Bylaws.

For purposes of FY21, the "Caretaker IANA Budget" as described in Annex F to ICANN's Bylaws, is defined as the FY20 IANA Operating Plan and Budget as approved by the ICANN Board in May 2019.



