

# Draft IANA FY22 Operating Plan and Budget

Internet Assigned Numbers Authority (IANA)

7 October 2020



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# IANA Operating Plan and Budget

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## 1 Executive Summary

The annual IANA Operating Plan and Budget is comprised of the full Public Technical Identifiers (PTI) budget, as well as other costs associated with governance and delivery of IANA functions that are not performed directly by PTI.

### SEPARATION OF PTI AND IANA BUDGETS

PTI and the IANA services will each be included in the overall IANA budget, as described in this document.

### STRUCTURE OF WORK

The ICANN-funded PTI operational activities and PTI technical systems enhancements (PTI services) are outlined in the draft FY22 PTI Operating Plan and Budget. This represents the PTI services component of the draft FY22 IANA Operating Plan and Budget. The other component of this plan and budget is the IANA services performed by ICANN, that are not borne directly by PTI in its role as the IANA Functions Operator.

### PLANNING AND BUDGET OVERVIEW

This graphic below shows the IANA planning process and the encompassing ICANN planning process. The annual IANA Operating Plan and Budget is included in ICANN's Five-Year Operating Plan and will become a component of ICANN's FY22 Annual Operating Plan and Budget.

## 2 Introduction

### CONTENTS OF THE DOCUMENT

This document contains the draft Fiscal Year 2022 (FY22) 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.

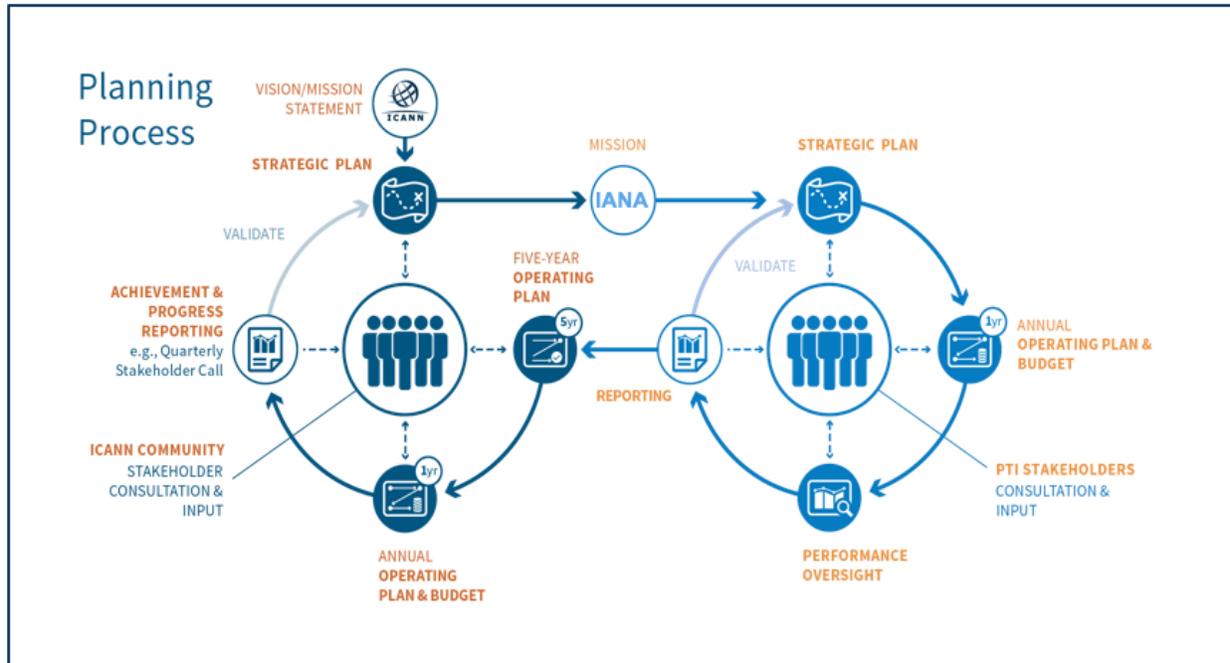
This document provides the details of the IANA functions and other IANA services for FY22, from 1 July 2021 through 30 June 2022. This draft FY22 IANA Operating Plan and Budget includes the amounts covered in the draft FY22 PTI Budget and the amounts for the IANA services performed by ICANN as the IANA 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, other IANA services, and the activities performed to deliver them. Where useful, comparative information for FY21 Budget is provided,

which represent the total of IANA functions and other IANA services budget information for FY21.

## YOUR PARTICIPATION

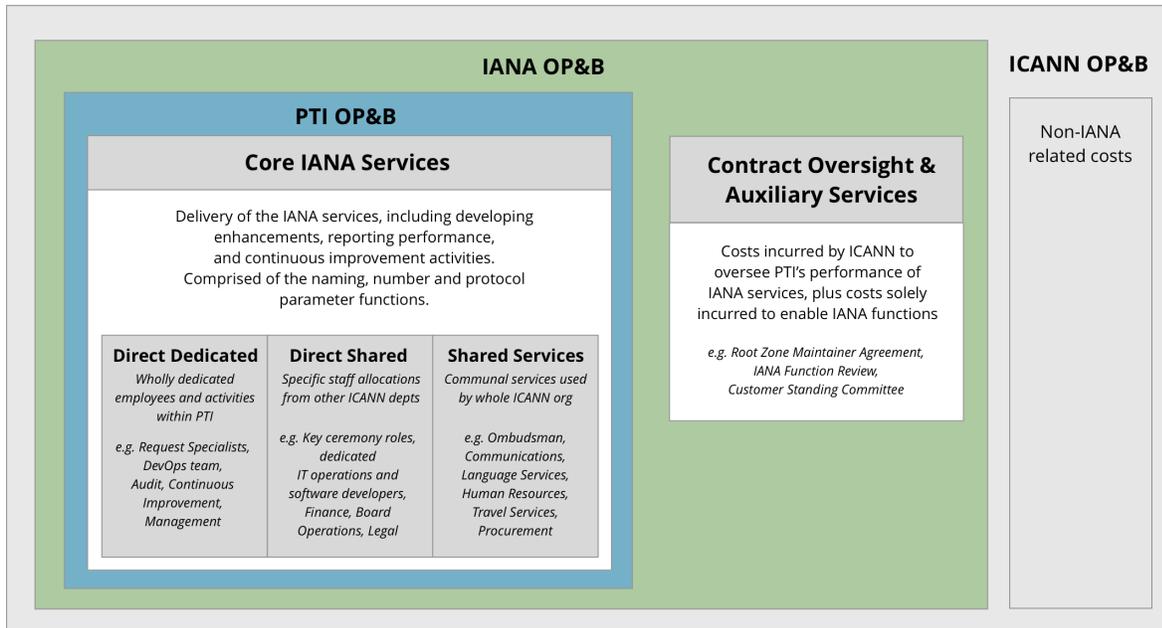
ICANN seeks community input on the draft FY22 IANA Operating Plan and Budget through the Public Comment process. Your feedback and participation is an important part of ICANN's planning process and multistakeholder model.



## 3 IANA Operating Plan and 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 FY22 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 carried out borne directly by PTI in its role as the IANA Functions Operator.



### 3.1 IANA Operating Plan

The IANA functions and other IANA services support ICANN's strategic objectives to sustain a healthy, stable, and resilient unique identifier ecosystem. The IANA functions and other IANA services include four activities: two activities, in which PTI performs work that includes 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 system development and improvement. The two other IANA service 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

Delivery of IANA services and all associated operational responsibilities in addition to maintaining and enhancing processes, tools, and systems.

#### 2. IANA Operations

The IANA services performed by ICANN include activities that ICANN performs as the IANA Functions Operator as well as logistical support for the Customer Standing Committee (CSC) and the Root Zone Evolution Review Committee (RZERC). These services also include the IANA Naming Functions Review (IFR) and the CSC Effectiveness Review, as well as activities supporting the continued evolution of the root server system.

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

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

⦿ Root Systems Operations

Description: Facilitate the continued evolution of the root server system to ensure its ongoing security, stability, and resiliency as a domain name system. As operations change over time, it is crucial to maintain 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: These programs handle work related to the Global Domains and Strategy strategic policy in support of a healthy, secure, stable, and resilient identifier ecosystem.

### 3.2 FY22 IANA Budget

The draft FY22 IANA Budget is \$10.3 million, of which \$9.7 million is for PTI services and \$0.6 million is for IANA services (not performed by PTI). The reason PTI services is \$0.3M less than the FY21 Budget is primarily due to one less headcount and decreases in direct shared and shared services allocations; partially offset by incremental direct costs for capital. The IANA services component is relatively flat compared to the FY21 Budget with only slight increases for inflation.

| FY22 IANA Budget<br>in Millions, USD | FY22 IANA<br>Budget | FY21 IANA<br>Budget | Under/(Over) |             | FY20 IANA<br>Actuals | Under/(Over)   |               |
|--------------------------------------|---------------------|---------------------|--------------|-------------|----------------------|----------------|---------------|
|                                      |                     |                     | Total        | %           |                      | Total          | %             |
| PTI Services                         | \$9.7               | \$10.0              | \$0.3        | 2.8%        | \$7.5                | (\$2.2)        | -29.9%        |
| IANA Services (a)                    | \$0.6               | \$0.6               | (\$0.0)      | -5.2%       | \$0.5                | (\$0.1)        | -12.5%        |
| <b>TOTAL</b>                         | <b>\$10.3</b>       | <b>\$10.6</b>       | <b>\$0.3</b> | <b>2.4%</b> | <b>\$8.0</b>         | <b>(\$2.3)</b> | <b>-28.7%</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.

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 an expenditure is shown with a dash.

## 4 Appendices

### Appendix A — FY22 Draft IANA Budget

| FY22 IANA Budget<br>in Millions, USD | IANA Budget<br>FY22 | IANA Budget<br>FY21 | Under/(Over) |             | IANA Actuals<br>FY20 | Under/(Over)   |               |
|--------------------------------------|---------------------|---------------------|--------------|-------------|----------------------|----------------|---------------|
|                                      |                     |                     | Total        | %           |                      | Total          | %             |
| <b>FUNDING</b>                       | <b>\$10.3</b>       | <b>\$10.6</b>       | <b>\$0.3</b> | <b>2.4%</b> | <b>\$8.0</b>         | <b>(\$2.3)</b> | <b>-28.7%</b> |
| Personnel                            | \$6.4               | \$6.6               | \$0.2        | 3.3%        | \$5.1                | (\$1.2)        | -24.3%        |
| Travel & Meetings                    | \$0.6               | \$0.5               | (\$0.1)      | -16.8%      | \$0.2                | (\$0.4)        | -238.0%       |
| Professional Services                | \$1.6               | \$1.7               | \$0.1        | 4.1%        | \$1.2                | (\$0.4)        | -37.6%        |
| 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%      |
| <b>TOTAL CASH EXPENSES</b>           | <b>\$10.3</b>       | <b>\$10.6</b>       | <b>\$0.3</b> | <b>2.4%</b> | <b>\$8.0</b>         | <b>(\$2.3)</b> | <b>-28.7%</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 (F) (b)            | 23.5                | 24.7                | 1.2          | 4.8%        | 21.2                 | (2.3)          | -10.8%        |

(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 — FY22 Draft PTI Services and the Draft IANA Budget Summary

| FY22 PTI Budget<br>in Millions, USD | PTI Services<br>FY22 Budget | PTI Services<br>FY21 Budget | Under/(Over) |             | PTI Services<br>FY20 Actuals | Under/(Over)   |               |
|-------------------------------------|-----------------------------|-----------------------------|--------------|-------------|------------------------------|----------------|---------------|
|                                     |                             |                             | Total        | %           |                              | Total          | %             |
| <b>FUNDING</b>                      | <b>\$9.7</b>                | <b>\$10.0</b>               | <b>\$0.3</b> | <b>2.8%</b> | <b>\$7.5</b>                 | <b>(\$2.2)</b> | <b>-29.9%</b> |
| 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%      |
| <b>TOTAL CASH EXPENSES</b>          | <b>\$9.7</b>                | <b>\$10.0</b>               | <b>\$0.3</b> | <b>2.8%</b> | <b>\$7.5</b>                 | <b>(\$2.2)</b> | <b>-29.9%</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)         | 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

| FY22 IANA Budget<br>in Millions, USD | FY22 IANA<br>Budget | FY21 IANA<br>Budget | Under/(Over) |             | FY20 IANA<br>Actuals | Under/(Over)   |               |
|--------------------------------------|---------------------|---------------------|--------------|-------------|----------------------|----------------|---------------|
|                                      |                     |                     | Total        | %           |                      | Total          | %             |
| PTI Services                         | \$9.7               | \$10.0              | \$0.3        | 2.8%        | \$7.5                | (\$2.2)        | -29.9%        |
| IANA Services (c)                    | \$0.6               | \$0.6               | (\$0.0)      | -5.2%       | \$0.5                | (\$0.1)        | -12.5%        |
| <b>TOTAL</b>                         | <b>\$10.3</b>       | <b>\$10.6</b>       | <b>\$0.3</b> | <b>2.4%</b> | <b>\$8.0</b>         | <b>(\$2.3)</b> | <b>-28.7%</b> |
| Average Headcount (FTE)              | 23.5                | 24.7                | 1.2          | 4.8%        | 21.2                 | (2.3)          | -10.8%        |

(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.

(b) FTE: Full-time staff equivalent

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 an 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 be concluded in order for the FY22 IANA Budget and Operating Plan to go into effect. If FY22 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 the purposes of FY22, 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.

