

# **Adopted FY21 IANA Operating Plan and Budget**

27 January 2020



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# IANA Operating Plan & Budget

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## 1 Introduction

### **CONTENTS OF THE DOCUMENT**

This document contains the total Adopted Fiscal Year 20201 (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 Adopted FY21 IANA Operating Plan and Budget includes the amounts covered in the Adopted 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 Adopted 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.

## 2 Executive Summary

The annual IANA Operating Plan and Budget is comprised of the full PTI budget, plus other costs associated with governance and delivery of IANA Functions that are not borne directly by PTI.

### SEPARATION OF PTI AND IANA BUDGETS

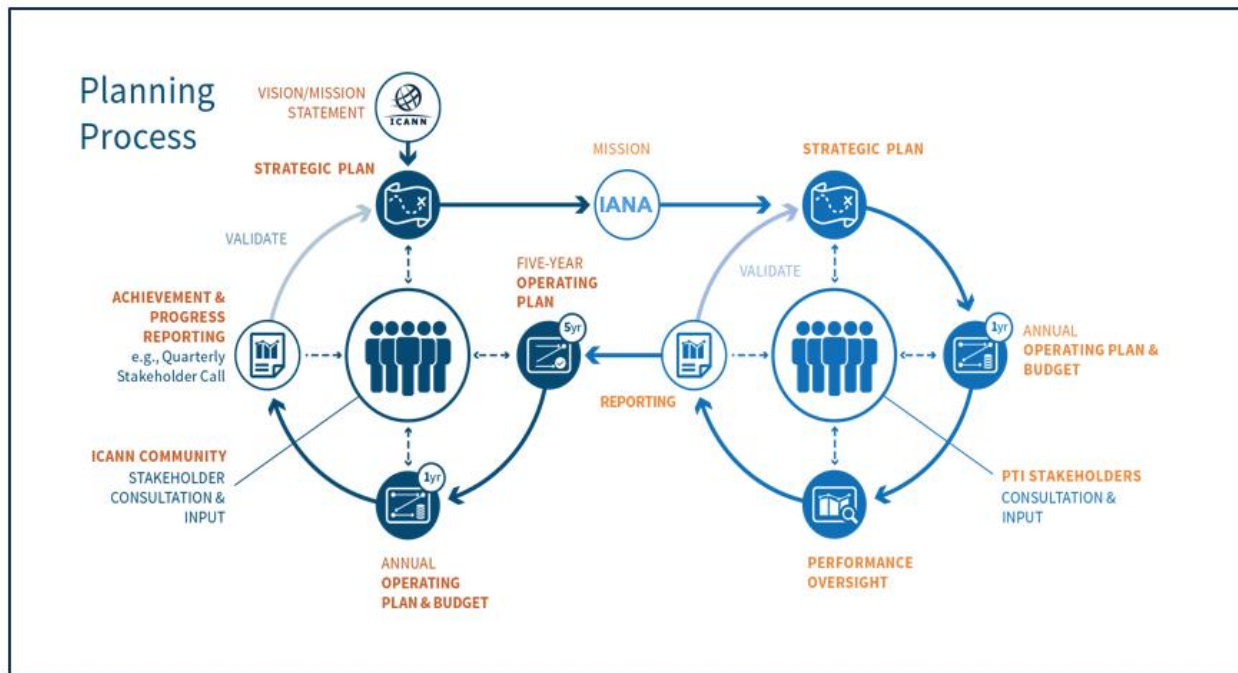
The PTI Services and the IANA Services will each be reflected under the overall IANA Budget, as described in this document.

### STRUCTURE OF WORK

The ICANN-funded PTI operational activities and PTI technical systems enhancements (PTI Services) is outlined in the Adopted FY21 PTI Operating Plan and Budget. This represents the PTI Services component of the Adopted FY21 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

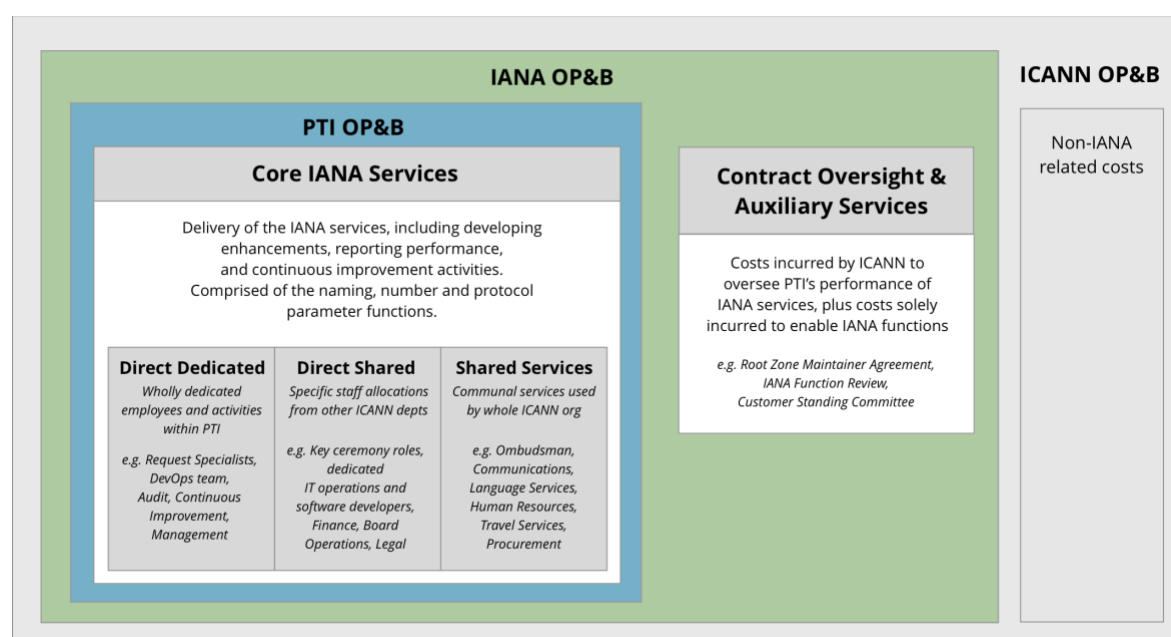
This graphic below shows the IANA planning process and the encompassing ICANN planning process. The Annual IANA Operating Plan and Budget is represented in ICANN's Five-Year Operating Plan, and will become a component of ICANN's FY21 Annual Operating Plan and Budget.



### 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 Adopted 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 Adopted 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<br>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 Adopted IANA Budget

| FY21 IANA Budget<br>in Millions, USD | IANA Budget<br>FY21 | IANA Forecast<br>FY20 | Under/(Over)   |              | IANA Actuals<br>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 Adopted PTI Services and the Adopted IANA Budget Summary

| FY21 PTI Budget<br>in Millions, USD | PTI Services<br>FY21 Budget | PTI Services<br>FY20 Forecast | Under/(Over)   |              | PTI Services<br>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> |
| EXCESS/(DEFICIT)                    | <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<br>in Millions, USD | FY21 IANA<br>Budget | FY20 IANA<br>Forecast | Under/(Over)   |              | FY19 IANA<br>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.



