

IANA Naming Function Review Matrix

DRAFT DOCUMENT FOR IFRT SCOPE DISCUSSIONS

This document contains two (2) tables: the first groups the IFR related Bylaws by review activity. The second matches the items to be reviewed in the Review Scope, to the existing on-line resources for research. [Click here](#) to jump down to the Review Scope table.

IANA NAMING FUNCTION REVIEW	
Review Scope	<ol style="list-style-type: none"> 1. Review and evaluate the performance of PTI against the requirements set forth in the IANA Naming Function Contract and IANA Naming Function Sow. <i>(18.3.b*)</i> 2. Interpret the IANA Naming Function Contract’s requirements in relation to the needs of its direct customers and the expectations of the broader ICANN community <i>(18.3.a*)</i> 3. Review and evaluate the openness and transparency procedures of PTI and any oversight structures for PTI's performance, including reporting requirements and budget transparency <i>(18.3.d*)</i> 4. Review and evaluate the performance and effectiveness of the Empowered Community (EC) if applicable actions have been taken by the EC <i>(18.3.e*)</i> 5. Review the IANA naming function SLAs for performance period corresponding with the period being reviewed by this Periodic IFR <i>as compared to the performance period prior (will not be applicable to “First Periodic Review”). (18.3.f*)</i> 6. Review and evaluate systemic issues impacting PTI’s performance <i>(18.3.g*)</i> 7. Consider input from the CSC and the community (through a Public Comment session) regarding PTI’s performance as laid out in the IANA Naming Function Contract & SOW <i>(18.3.h & i*)</i> 8. Identify processes/areas for improvement in <i>(18.3.j*)</i>: <ol style="list-style-type: none"> a) IANA Naming Function performance according to IANA Naming Function Contract & SOW b) CSC’s and the Empowered Community’s oversight of PTI
How Reviews are Conducted	<p>The Review Team shall:</p> <ol style="list-style-type: none"> 1. Perform Review according to Review Scope 2. Make recommendations according to Review Scope 3. Initiate a Public Comment period and any other processes for obtaining community input (such as, but not limited to, in-person sessions during ICANN meetings, responses to public surveys and public inputs during meetings <i>18.4.c*)</i> on PTI’s performance under the IANA Naming Function Contract & SOW <i>(18.3.h*)</i> as well as improvement recommendations (technical, process or other) <i>(18.4.d*)</i> 4. Request input from the CSC <i>(18.3.j*)</i>

	<ol style="list-style-type: none"> 5. Review PTI Reports created to meet IANA Naming Function Contract & SOW requirements and that were created during the IFR period being reviewed (18.4.a*) 6. Review CSC Reports created to meet the CSC Charter requirements and that were created during IFR period being reviewed (18.4.b*) 7. Review results of any site visits by the IFRT (18.4.e*) (IV.7.3.b & Annex A: 3.a.ii**) <p>The Review Team should ensure any recommendation:</p> <ol style="list-style-type: none"> 1. is supported by data and analysis of the existing deficiency and a proposal to address (18.5.b*) 2. provides a proposed remedial procedure with an explanation of how this will correct the issue (18.5.b*) 3. provides a timeline for implementing (18.5.b*) 4. provides prioritization if there is more than 1 recommendation (18.5.b*) 5. is not made public to the community or Board if it impacts gTLD registry operator services and received opposition from the Registry Stakeholder Group’s appointed IFRT member (18.5.c*) 6. is not made public to the community or Board if it impacts ccTLD registry operator services and received opposition from the ccNSO’s appointed IFRT member (18.5.c*) 7. that would amend the IANA Naming Contract or SOW or the CSC charter require (18.6.a*): <ol style="list-style-type: none"> a) consultation with the Board and the CSC (18.6.a.i and ii*) b) a public input session for ccTLD and gTLD registry operators (18.6.a.iii*) c) a Public Comment period (18.6.a.iv*) <p>In regards to Review Team actions:</p> <ol style="list-style-type: none"> 1. IFRT actions require a consensus agreement, though consensus does not have a numerical definition 2. Members who disagree with an action may file a minority dissent to be included in meeting minutes/or reports 3. IFRT meetings and work shall be open to the public and follow transparency procedures 4. The Secretary acting for the IFRT will transmit meeting minutes, recordings, transcripts, etc. to mailing lists and icann.org
<p>Recommendations</p>	<p>IFRT may determine whether to make recommendations:</p> <ol style="list-style-type: none"> 1. with respect to items reviewed under REVIEW SCOPE on this document which reflects section 18.3* (18.5.a*) 2. PTI’s performance (18.3.a*) 3. on amending the IANA Naming Function Contract, IANA Naming Function SOW and CSC Charter to account for the needs of the direct customers of the naming services and/or the community at large (18.6.a*) (IV.7.3.c**) <p>But not on:</p> <ol style="list-style-type: none"> 1. Policy or contracting issues NOT included in the IANA Naming Function Contract or SOW (18.5.d*)

	<p>The IFRT shall produce:</p> <ol style="list-style-type: none"> 1. Draft report of findings & recommendations for public comment <i>(18.10.b*)</i> 2. Final Report of findings & recommendations for the ICANN Board, and icann.org <i>(18.10.c*)</i>
<p>Implementation of Recommendations</p>	<p>If the recommendation is to amend the IANA Naming Function Contract or SOW it requires:</p> <ol style="list-style-type: none"> 1. Both a vote of a supermajority of the ccNSO Council (unless current ccNSO Council procedures do not define a supermajority, in which case a 2/3 vote of Council members) and a GNSO supermajority <i>(18.b.i*)</i> 2. Board approval after a Public Comment period <i>(18.6.b.ii*)</i> <ol style="list-style-type: none"> a) Or if the Board fails to approve it (via rejecting or failing to act), the ccNSO/GNSO approved recommendation will be posted by the ICANN Secretary as a Board Notice initiation of the Empowered Community’s Rejection Action Process with the Board Notice serving as a Rejection Action Petition. The petition must result in approval by the Board or by the Empowered Community (pursuant to Annex D) <i>(18.6.c*)</i> 3. That the EC does not reject the Board’s approval <i>(18.6.b.iii*)</i> 4. That the EC does not reject the Board’s approval <i>(18.6.b.iii*)</i>

*ICANN Bylaws, Article 18 IANA Naming Function Reviews

**IANA Naming Functions Contract

Review Scope Breakdown

	SCOPE PER THE BYLAWS	RESOURCES	SCOPE CATEGORY
1	Review and evaluate the performance of PTI against the requirements set forth in the IANA Naming Function Contract and IANA Naming Function Sow. (18.3.b*)	<p>All Contracts found on: https://pti.icann.org/agreements</p> <p>IANA Naming Function Contract (30 September 2016)</p> <ul style="list-style-type: none"> • Amendments to IANA Naming Function Contract <ul style="list-style-type: none"> ○ Amendment 1 (07 May 2019) ○ Service Level Agreements Table 	Review PTI Performance
2	Interpret the IANA Naming Function Contract's requirements in relation to the needs of its direct customers and the expectations of the broader ICANN community (18.3.a*)	<p>About IANA Naming Services: https://www.iana.org/domains</p> <p>Suggest discussion with the CSC, https://www.icann.org/csc, and read their monthly reports found at: https://www.icann.org/en/csc/reports</p> <p>PTI Customer Service Survey 2019</p> <p>https://www.iana.org/reports/2019/customer-survey-20191210.pdf</p>	Review PTI Performance
3	Review and evaluate the openness and transparency procedures of PTI and any oversight structures for PTI's performance, including reporting requirements and budget transparency (18.3.d*)	<p>https://pti.icann.org/</p> <p><u>TRANSPARENCY</u></p> <ul style="list-style-type: none"> • IANA Performance Reporting • Root KSK Key Ceremonies 	Review PTI Oversight

		<ul style="list-style-type: none"> • PTI produces monthly reports on its performance for its three functional areas. • The IANA Dashboard provides real-time reporting of performance metrics defined by the naming community for root zone management performance. • Audit Programs • Soc 3 Audit for 2018 • Soc 2 for 2018 <p><u>OVERSIGHT</u></p> <p>PTI Finances</p> <p>Audit Committee Charter</p> <p>PTI Board Meetings</p> <p>Director's list</p> <p>PTI Board of Directors' Code of Conduct</p> <p>Conflicts of Interest Policy</p> <p>Expected Standards of Behavior</p>	
4	Review and evaluate the performance and effectiveness of the Empowered Community (EC) if applicable actions have been taken by the EC (18.3.e*)	The Empowered Community has not rejected any PTI Operational Plans and Budgets to date. All activities for EC.	Review PTI Oversight

		IANA Budget for FY20 IANA's Budget for FY19: Terminated 3 March 2018 IANA's Budget for FY18: Terminated 17 July 2017	
5	Review the IANA naming function SLAs for performance period corresponding with the period being reviewed by this Periodic IFR as compared to the performance period prior (will not be applicable to “First Periodic Review”). (18.3.f*)	NOT APPLICABLE TO FIRST IFR	
6	Review and evaluate systemic issues impacting PTI's performance (18.3.g*)	<p>Naming function SLAs are monitored by the CSC, and to date, no systemic issues have been identified. However, it was determined that during the IANA Stewardship Transition, three sets of SLAs did not correctly reflect the monitored process, and these SLAs have been or are to be changed:</p> <p>COMPLETED: Change to Technical Checks (did not require Public Comment) went into effect 01 July 2019</p> <p>APPROVED, PENDING IMPLEMENTATION: Publishing LGRs Public Comment at</p> <p>IN PUBLIC COMMENT NOW: Changes to ccTLD Creation & Transfer:</p>	Review PTI Performance
7	Consider input from the CSC and the community (through a Public Comment session) regarding PTI's performance as laid out in the IANA Naming Function Contract & SOW (18.3.h & i*)	Interview with the CSC at ICANN67 and the IFRT will hold a Public Comment for their Initial Report Draft.	Review PTI Oversight
8	Identify processes/areas for improvement in (18.3.j*):	Recommend interviewing PTI	Review PTI Processes
8.a.	IANA Naming Function performance according to IANA Naming Function Contract & SOW	https://sle-dashboard.iana.org/	Review PTI Performance

		<p><u>CONTRACT & SLAS</u></p> <ul style="list-style-type: none"> • All Contracts found on: https://pti.icann.org/agreements <p>IANA Naming Function Contract (30 September 2016)</p> <ul style="list-style-type: none"> ○ Amendment 1 (07 May 2019) ○ Service Level Agreements Table <p><u>PERFORMANCE</u></p> <ul style="list-style-type: none"> • IANA Performance Reporting <ul style="list-style-type: none"> • PTI produces monthly reports on its performance for its three functional areas. <ul style="list-style-type: none"> • The IANA Dashboard provides real-time reporting of performance metrics defined by the naming community for root zone management performance. <ul style="list-style-type: none"> • Audit Programs <ul style="list-style-type: none"> • Soc 3 Audit for 2018 <ul style="list-style-type: none"> • Soc 2 for 2018 : not online, but will be provided by PTI for IFRT review only 	
8.b.	CSC's and the Empowered Community's oversight of PTI	<p>Two Reviews have recently completed regarding the CSC:</p> <ol style="list-style-type: none"> 1. Review of the CSC's Charter Wiki: <p>Final Report</p>	Review PTI Oversight

		2. CSC Effectiveness Review Wiki Final Report	
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