IANA Stewardship Transition Cross Community Working Group (CWG) on Naming Related Functions

CWG RFP 4

Transition Implications

Agenda
Dec 16, 2014

- 1.Welcome
- 2. Background (General & RFP)
- 3. Review of previous call
- 4. Timeline
- 5. Proposed work streams
- 6. Next steps

Welcome

- Co-Chairs of RFP 4
  - Robert Guerra, SSAC Co-Chair
  - Sivasubramanian Muthusamy, ALAC Co-Chair

Background

Background (General)

- Important to describe existing arrangements and how changes proposed in RFP 3 are implemented. That is, what needs to change.
- The aim of this group is to insure the security and stability of the proposal

Background (RFP)

- This section should describe what your community views as the implications of the changes it proposed in Section III. These implications may include:
  1. Description of operational requirements to achieve continuity of service and possible new service integration throughout the transition.
  2. Risks to operational continuity and how they will be addressed.
  3. Description of any legal framework requirements in the absence of the NTIA contract.
  4. Description of how you have tested or evaluated the workability of any new technical or operational methods proposed in this document and how they compare to established arrangements.
  5. Description of how long the proposals in Section III are expected to take to complete, and any intermediate milestones that may occur before they are completed

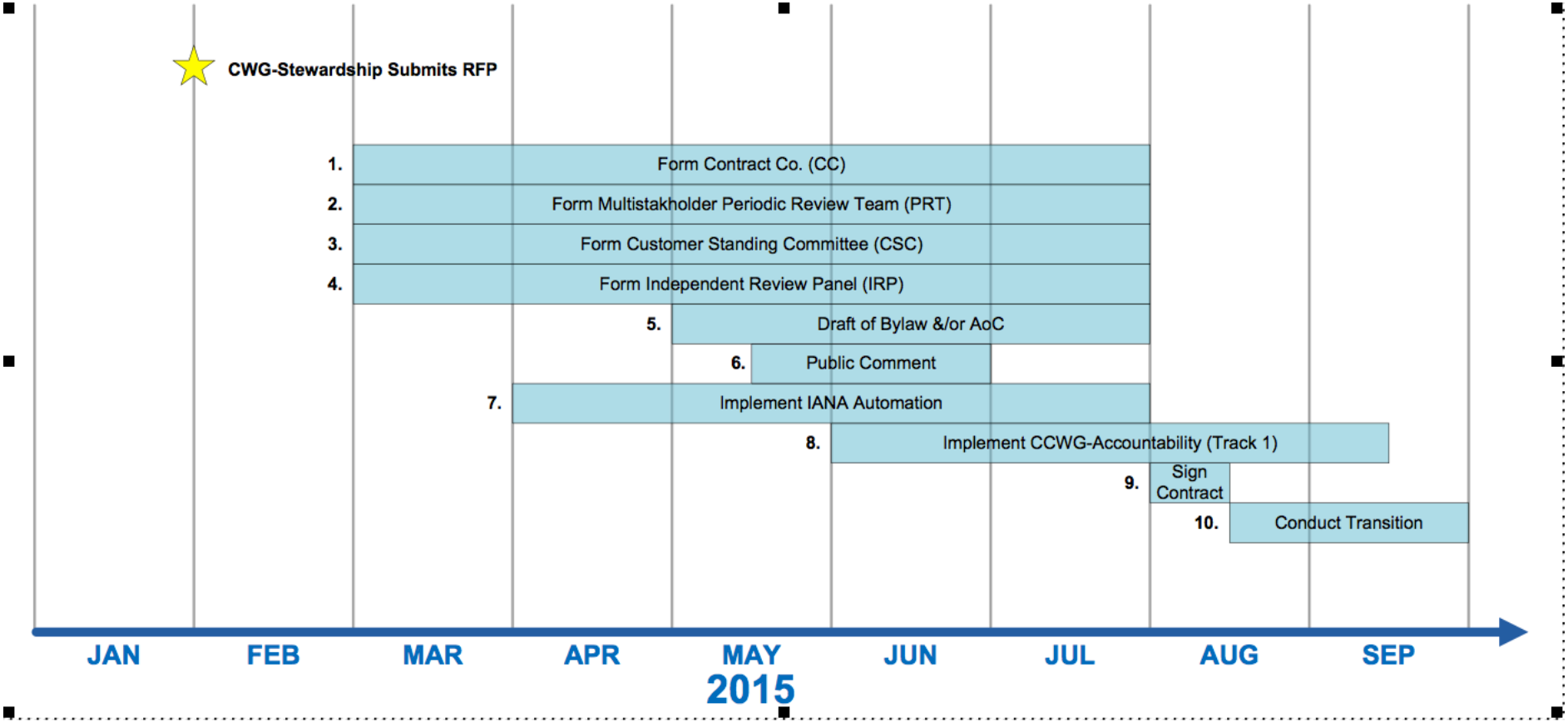
Review of previous call

Previous call items

Timeline

- December 22 : Deadline for submission of public comments
- December 22- 30 : Discussion on how to include public comments into CWG proposal
- January 2 : Revisit CWG proposal
- January 10 - RFP 4 needs to be completed by this date.
- January 10-12 Final drafting of the CWG proposal
- January 19th, CWG proposal will have to be complete.

Timeline (II)


CWG-Stewardship Submits RFP
1. Form Contract Co. (CC)
2. Form Multistakholder Periodic Review Team (PRT)
3. Form Customer Standing Committee (CSC)
4. Form Independent Review Panel (IRP)
5. Draft of Bylaw &/or AoC
6. Public Comment
7. Implement IANA Automation
8. Implement CCWG-Accountability (Track 1)
9. Sign Contract
10. Conduct Transition
JAN
FEB
MAR
APR
MAY
JUN
JUL
AUG
SEP
2015

Proposed Work Streams

Proposed Work Streams

1. **Describe the current situation**
   - Need to have a better understanding of the current situation with the existing IANA contract. Review technical proposal

2. **Describe the Transition Path**
   - Assume that we are going forward with the Contract Co. option
   - Describe the transition path that is needed to implement Contract Co.

3. **Testing the new Proposal**
   - Need to identify the risks, especially during the transition period

Next steps

- **Current Situation**
  - **1. Current situation**
  - **2. Transition path**
  - **3. Testing the new proposal**
- **Propose weekly calls**
  - Tuesday 13:00 – 16:00 UTC

Work stream 1

- **1. Current situation**
  - **Review existing ICANN/IANA Technical proposal**
    - **http://www.ntia.doc.gov/files/ntia/publications/icann_volume_i_elecsub_part_1_of_3.pdf**
  - Review table of contents and develop text on how this will change depending on RFP 3 (Contract Co. <-> all internal, inclusion of IAP etc.).
  - Propose RFP 4 1st identify the relevant terms in the ICANN proposal as well

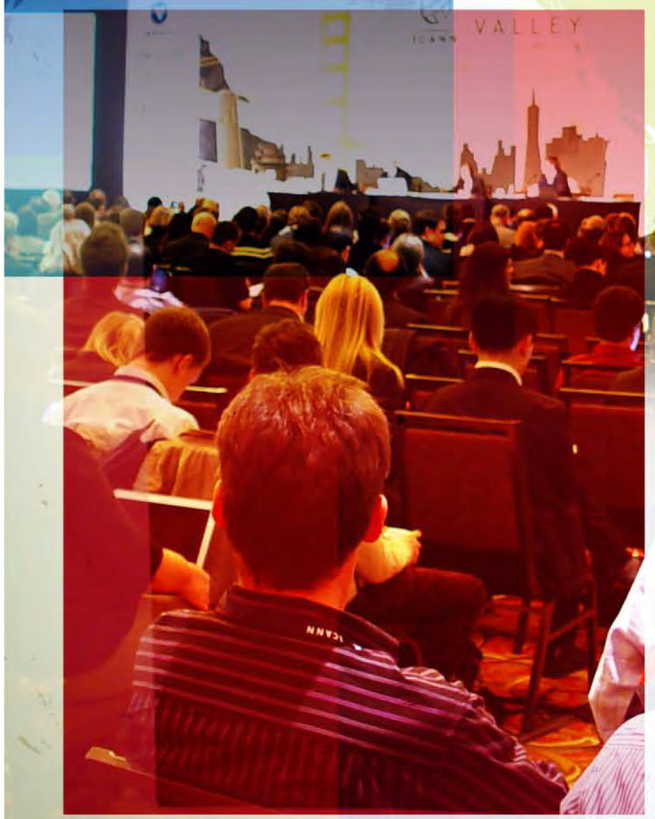
Original

Internet Assigned Numbers Authority (IANA)

U.S. Department of Commerce, National Telecommunications and Information Administration

Volume I – Technical Proposal

Solicitation Number: SA1301-12-RP-0043
May 31, 2012



Submitted to:
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ICANN

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Work stream 2

- **2. Transition path**

  - **List and describe changes from existing NTIA/ICANN/IANA proposal**
    - **Draft text to get us started has been developed by support staff.**
    - **Needs comments/review**
    - **Needs to be done for different proposal(s) under review.**

RFP4 - Transition Implications (draft/Work stream 2)

1. Requirements of the ICG

   IV. Transition Implications

   This section should describe what your community views as the implications of the changes it proposed in Section III. These implications may include some or all of the following, or other implications specific to your community:

   Description of operational requirements to achieve continuity of service and possible new service integration throughout the transition.
   Risks to operational continuity and how they will be addressed.
   Description of any legal framework requirements in the absence of the NTIA contract.
   Description of how you have tested or evaluated the workability of any new technical or operational methods proposed in this document and how they compare to established arrangements.
   Description of how long the proposals in Section III are expected to take to complete, and any intermediate milestones that may occur before they are completed.

2. List of changes from RFP3

   2.1. NTIA acting as the IANA Functions Contract Administrator – contracting functions

      2.1.1. The CWG suggests replication of the existing arrangement, with a formal contract between the IANA Functions Operator (currently ICANN) and an independent entity (currently the U.S. Department of Commerce/NTIA). Because the NTIA will no longer be the IANA Functions Contract Administrator, it will be replaced by another entity as party to a contract with the IANA Functions Operator. The CWG is proposing that this entity would likely be a newly formed non-profit corporation ("Contract Co.").

   2.2. NTIA acting as the IANA Functions Contract Administrator – administration functions. This arrangement will be further split into two parts, carried out by the Customer Standing Committee (CSC) and the Multistakeholder Review Team (MRT).

      2.2.1. Customer Standing Committee - The CWG is proposing that the CSC take on the NTIA's responsibilities with respect to managing the IANA Functions Operator's reports on performance. The CSC would take on

certain duties currently performed by the Contracting Officer (CO) or Contracting Officer's Representative (COR) per the NTIA Contract with the IANA Functions Operator. The CSC would be primarily made up of a number of representatives of registry operators; it is possible that liaisons or representatives from other SO/ACs, as well as other individuals with relevant expertise, will also form part of the CSC (exact composition and manner of selection TBD). Input from the CSC would feed into and inform the work of the MRT. The CSC would receive and review IANA Operator reports and escalate any significant issues to the MRT. Specifically, the CSC would take on the duties currently performed by the CO or COR for the following items currently required by the NTIA Contract and expected to be required by the post-transition IANA contract.

2.2.2. Multistakeholder Review Team (MRT) - The CWG is proposing that the MRT take on a number of the NTIA's responsibilities identified in the IANA Functions Contract which are not covered by the CSC, as well as several additional responsibilities. The MRT would be a multi-stakeholder body with seats allocated to all relevant communities (exact composition TBD). Representatives would be formally selected by their communities. Representatives to the MRT would not be paid. It is expected that the PRT would likely meet in conjunction with ICANN meetings to minimize costs and that remote participation options would be provided. The MRT would meet annually to review overall IANA operator performance and other concerns. It would also be convened on an ad hoc basis to address issues as they are escalated by the CSC. The operation of the MRT would be based on the concept of maximum public transparency.

2.3. NTIA acting as the Root Zone Management Process Administrator – Currently IANA must submit a request for all changes to the Root Zone or Root Zone WHOIS database[1] to the NTIA. NTIA verifies the request and then authorizes the Root Zone Maintainer to make the change. The CWG is considering whether to replace this this process with the following:

2.3.1. Public posting of all IANA change requests - IANA will be required to publicly post all requests for changes to the Root Zone File or the Root Zone WHOIS database as a notification that a change is being made. IANA will also continue to be required to produce and publish Delegation and Redelegation Reports.

2.3.2. Independent certification for delegation and re-delegation requests - The CWG is considering replacing the authorization role, at least with

[1] From the Operator Technical Proposal Volume 1 (https://www.icann.org/en/system/files/files/contract-i-1-31may12-en.pdf)

regard to ccTLDs, with a written opinion from counsel (independent of ICANN) that each delegation and re-delegation request meets the policy requirements cited in the publicly posted reports. The CWG is still in the process of discussing whether and how to replace the authorization role currently played by the NTIA with respect to delegation and redelegation requests, especially those for gTLDs.

2.3.3. Independent Appeals Panel. The CWG recommends that all decisions and actions (including deliberate inaction) of the IANA Functions Operator that affect the Root Zone or Root Zone WHOIS database be subject to an independent and binding appeals panel. The Appeals Mechanism should also cover any policy implementation actions that affect the execution of changes to the Root Zone File or Root Zone WHOIS and how relevant policies are applied. Where disputes arise as to the implementation of "IANA related policies." By way of example, this mechanism could be used in disputes over the consistency of ccTLD delegation or re-delegation decisions with accepted policy and would provide the affected parties recourse to an Independent Appeals Panel. Appeals would be available to customers of IANA, and likely to other parties who feel that they were affected by an IANA action or decision. The CWG generally believes that this panel need not be a permanent body, but rather could be handled the same way as commercial disputes are often resolved, through the use of a binding arbitration process, an independent arbitration organization, such as the ICC, ICDR or AAA, or a standing list of qualified panelists under established rules promulgated by such an organization. In any case, the CWG recommends that a three person panel would be used, with each party to a dispute choosing one of the three panelists, with these two panelists choosing the third panelist.

3. Linkages
4. Evaluation of changes

4.1. NTIA acting as the Root Zone Management Process Administrator - Public posting of all IANA change requests for changes to the Root Zone or its Whois Database.

4.1.1. Description of operational requirements to achieve continuity of service and possible new service integration throughout the transition.

4.1.1.1. The IANA Functions Contractor (IANA) currently sends all requests for changes to the Root Zone or its Whois Database to the NTIA for authorization. Of these delegation and re-delegation requests, the IANA Reports, are published in the ICANN Board

minutes and on the IANA site after the action is completed. Other changes such as name server updates or contact name modifications are not published individually. A summary is published in the Root Zone monthly audit.

4.1.1.2. This change only aims to have all change requests published when they are made. For delegations and re-delegations this is simply a question of timing given IANA already publishes them. For other changes it would be a question of establishing a format for publishing these and posting them.

4.1.1.3. This has no impact on processes for changes to the Root Zone or its Whois Database.

4.1.2. Risks to operational continuity and how they will be addressed.

4.1.2.1. There are no risks to operational continuity.

4.1.3. Description of any legal framework requirements in the absence of the NTIA contract.

4.1.3.1. None, this is internal to IANA.

4.1.4. Description of how you have tested or evaluated the workability of any new technical or operational methods proposed in this document and how they compare to established arrangements.

4.1.4.1. This is an extremely minor modification that simply seeks to publish certain information that is already being produced in a different timeframe and format. Complete failure of publishing non delegation or re-delegation request information as proposed here would have no operational impact on the Root Zone.

4.1.5. Description of how long the proposals in Section III are expected to take to complete, and any intermediate milestones that may occur before they are completed.

4.1.5.1. This should be completed by IANA prior to transition or within three months of the transition.

Work stream 3

- **3. Testing the new proposal**

  - **Key focus here on security and stability**

  - Need to identify the risks and key periods (ie. Transition)
  - Transition period is a critical moment, need to make sure to document and discuss risks and issues that might arise.

THANK YOU