**Table of Contents**

[**1**](#_heading=h.gjdgxs) **Executive Summary 3**

[**2**](#_heading=h.30j0zll) **Review Team Recommendations 4**

[**2.1**](#_heading=h.1fob9te) **Recommendation 1 4**

[**2.2**](#_heading=h.3znysh7) **Recommendation 2 4**

[**2.3**](#_heading=h.2et92p0) **Recommendation 3 4**

[**3**](#_heading=h.tyjcwt) **Background on the Review 5**

[**4**](#_heading=h.3dy6vkm) **Review Execution and Methodology 7**

[**5**](#_heading=h.1t3h5sf) **Scope and Review Findings 8**

[**5.1**](#_heading=h.4d34og8) **Bylaws 18.3.(a) 8**

[**5.2**](#_heading=h.2s8eyo1) **Bylaws 18.3.(b) 10**

[**5.3**](#_heading=h.17dp8vu) **Bylaws 18.3.(c) 12**

[**5.4**](#_heading=h.3rdcrjn) **Bylaws 18.3.(d) 13**

[**5.5**](#_heading=h.26in1rg) **Bylaws 18.3.(e) 14**

[**5.6**](#_heading=h.lnxbz9) **Bylaws 18.3.(f) 15**

[**5.7**](#_heading=h.35nkun2) **Bylaws 18.3.(g) 16**

[**5.8**](#_heading=h.1ksv4uv) **Bylaws 18.3.(h) 17**

[**5.9**](#_heading=h.44sinio) **Bylaws 18.3.(i) 18**

[**5.10**](#_heading=h.2jxsxqh) **Bylaws 18.3.(j) 19**

[**5.11**](#_heading=h.z337ya) **Bylaws 18.3.(k) 20**

[**APPENDICES 22**](#_heading=h.3j2qqm3)

[**APPENDIX A: DEFINITIONS 22**](#_heading=h.1y810tw)

[**APPENDIX B: [SECTIONS FROM SCOPE OF WORK NOT USED ABOVE] 22**](#_heading=h.4i7ojhp)

[**APPENDIX C: Relevant sections from Rules of Engagement 22**](#_heading=h.2xcytpi)

[**APPENDIX C: WORKPLAN 22**](#_heading=h.1ci93xb)

[**APPENDIX D: FACT SHEETS 22**](#_heading=h.3whwml4)

# Executive Summary

This report presents the IANA Naming Function Review Team's (IFRT’s) initial findings, analysis, issues, and recommendations, as directed and in compliance with Article 18: IANA Naming Function Reviews. Wherever possible, this report reflects the consensus of the full review team. Where consensus was not achieved on a given recommendation, this report identifies the level of support within the team.

Through the Public Comment process, the IFRT is seeking community input to help inform the final report. There will be further opportunity for public feedback when the team’s Final Report goes up for Public Comment. After, the report will be delivered to the ICANN Board, which will then develop an action plan for implementation of those recommendations.

# Review Team Recommendations

Recommendations are summarized in this table. The full recommendation, with related findings and rationale, may be found in the cited chapters.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## **Recommendation 1**

[insert Recommendation text]

[insert supporting evidence]

[insert summary regarding Recommendation

## **Recommendation 2**

[insert Recommendation text]

[insert supporting evidence]

[insert summary regarding Recommendation

## **Recommendation 3**

[insert Recommendation text]

[insert supporting evidence]

[insert summary regarding Recommendation

# Background on the Review

​The IFR is an accountability mechanism created as part of the ​IANA​ stewardship transition to ensure that Public Technical Identifiers (PTI) meets the needs and expectations of its naming customers.

On 16 September 2018, the first IFR was [​convened by the ICANN Board](https://features.icann.org/convening-first-iana-naming-function-review)​, in compliance with ​[Article 18](https://www.icann.org/resources/pages/governance/bylaws-en/#article18)​ of the ​ICANN​ Bylaws which state:

*The Board, or an appropriate committee thereof, shall cause periodic and/or special reviews (each such review, an "****IFR****") of PTI's performance of the IANA naming function against the contractual requirements set forth in the IANA Naming Function Contract and the IANA Naming Function SOW to be carried out by an IANA Function Review Team ("****IFRT****") established in accordance with Article 18*

The IFR Review began with a call for qualified volunteers to serve on the RT. Choosing from a pool of candidates seeking nominations, ICANN’s Supporting Organizations and Advisory Committees (SO/ACs) nominated a list of candidates to inform SO/AC Chairs' discussions and decision as they assembled composition of the review team. A board member serves on the review team.

As per the ICANN Bylaws, the review team was selected by ICANN’s Supporting Organizations and Advisory Committees (SO/ACs). The ​review team was assembled in September 2019​ and began ​it’s work​.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Name** | **Region** | **SO/AC Nomination** |
| 1 | Frederico Neves | LAC | ccNSO |
| 2 | Peter Koch | EUR | ccNSO |
| 3 | Unguec Stephen Kang | AF | ccNSO nomination of non-ccNSO ccTLD manager |
| 4 | Rick Wilhelm | NA | RySG |
| 5 | Jean-Christophe Vignes | EUR | RySG |
| 6 | Kristian Ørmen | EUR | RrSG |
| 7 | Christian Dawson | NA | Commercial Stakeholder Group |
| 8 | Tomslin Samme-Nlar | AF | Non-Commercial Stakeholder Group |
| 9 | Mr. Andreas Dlamini | AF | GAC |
| 10 | Patrik Fältström | NA | SSAC |
| 11 | Suzanne Woolf | NA | RSSAC |
| 12 | Kaili Kan | AP | ALAC |
| 13 | James Gannon | EUR | CSC liaison |
| 14 | Kim Davies, PTI |  | PTI liaison |
| 15 | Steve Conte, ICANN |  | ICANN liaison |
| 16 | Danko Jevtovic |  | Board liaison |

Notes:

∙ The ASO and IAB declined their right to appoint a liaison to the team.

∙ Per the Bylaws, Section 18.8:

(d) The IFRT shall be led by two co-chairs: one appointed by the GNSO from one of the members appointed pursuant to clauses (c)-(f) of Section 18.7 and one appointed by the ccNSO from one of the members appointed pursuant to clauses (a)-(b) of Section 18.7.

∙ The ccNSO appointed co-Chair is Frederico Neves. The GNSO appointed co-Chair is Tomslin Samme-Nlar

# Review Execution and Methodology

On 31 March 2020, the review team [announced](https://www.icann.org/news/announcement-2020-03-31-en) completion of the IFR’s [Rules of Engagement](https://community.icann.org/display/ifr/Rules+of+Engagement), [Scope of Work](https://community.icann.org/display/ifr/Scope+of+Work) and [Workplan](https://community.icann.org/display/ifr/Work+Plan) to direct their work.

The Scope of Work followed the ICANN Bylaws, defining such points as:

∙ the objective behind each scope requirement and how the team would execute it

∙ what inputs should be sought and considered by the team

∙ where the review had dependencies and where the review should ensure there was no over-lap with other work

∙ expected deliverables

∙ methodology for drafting recommendations

In summary, it provided a methodology for evaluating the performance of PTI against the requirements set forth in the ​IANA Naming Function Contract​ ​and the ​IANA Naming Function SOW​.

O*ption1: paste sections from the Scope of Work into this document*

*Option2: paste sections from the Scope of Work into Appendices( at the end of the document) instead. Perhaps provide a list of bullet points of the section titles from the Scope of Work and link it to the Appendices below?*

# Scope and Review Findings

## Bylaws 18.3.(a)

*“Review and evaluate the performance of PTI against the requirements set forth in the*[*IANA Naming Function Contract*](https://pti.icann.org/agreements) *in relation to the needs of its direct customers and the expectations of the broader ICANN community, and determine whether to make any recommendations with respect to PTI's performance”*

**IFRT’s OBJECTIVE:** Consistent with ICANN’s mission and [Bylaws](https://www.icann.org/resources/pages/governance/bylaws-en), Section 18.3(a), the review team will assess the needs and expectations of IANA Naming function direct customers and the broader community, and then determine if there are any gaps in PTI’s performance.  The IFRT will examine PTI’s performance against SLAs originally developed by the community; review PTI’s annual Customer Service Survey; discuss PTI’s performance with the Customer Standing Committee; solicit input through the first Public Comment of an Initial Draft; and other methods that the Review Team deems appropriate.

**IFRT’s FINDINGS:**

insert text here.

*Option 1*: Write some summary text here and refer to 18.4.(c) for contract breakdown.

*Option 2*: Put findings from relevant contract sections here and under Bylaws 18.4.(b) section in this report, which follows. Under 18.4.(c) put summary text that refers back to (a) and (b). If selecting Option 2, then here are contract sections which match with this scope text above.

*∙ Contract section Article VIII, Section 8.1 to 8.2, IANA Problem Resolution Process: Customer Service complaints, the CSC’s Remedial Action Procedure, etc. [assigned to* ***Fred & Tomslin****]*

*∙ Contract section Article IV, Section 4.7, Root Zone Management– PTI following Root Zone Management policies set by ccNSO & GNSO. [assigned to* ***Fred & Peter****]*

*∙ Contract section Annex A, 1, Responsibility and Respect for Stakeholders: PTI will manage the RZM [assigned to* ***Fred & Peter****]*

*∙ Contract section Article IV, Section 4.4, Performance of IANA Naming Function, PTI to treat all customers equally,. [assigned to* ***Peter****]*

*∙ Contract section Article IV, Section 4., User Instructions: PTI to maintain user guides [assigned to* ***Peter****]*

*∙ Contract section Annex A, 3 (e), Customer Service Survey – PTI to do annually and CSC to review [assigned to* ***Peter****]*

*∙ Contract section Article VIII, Section 8.3 all, Notice and Mitigation Plan– PTI to report complaints,*

## Bylaws 18.3.(b)

*“Review and evaluate the performance of PTI against the requirements set forth in the*[*IANA Naming Function Contract*](https://pti.icann.org/agreements) *and*[*IANA Naming Function SOW*](https://pti.icann.org/iana-naming-function-services-service-level-agreements)*”*

**IFRT’s OBJECTIVE**: Consistent with ICANN’s mission and [Bylaws](https://www.icann.org/resources/pages/governance/bylaws-en), Section 18.3(b), the review team will assess all IANA Naming Function related requirements in the contract and SOW and determine if PTI has met these.  The IFRT will do so through such means as interviews with PTI and ICANN staff and/or community subject matter experts, available monthly reporting and monitoring tools, as well as IANA audit reports that apply to IANA Naming Functions.

**IFRT’s FINDINGS:**

*Option 1*: Write some summary text here and refer to 18.4.(c) for contract breakdown.

*Option 2*: Put findings from relevant contract sections here and under Bylaws 18.4.(b) section in this report, which follows. Under 18.4.(c) put summary text that refers back to (a) and (b). If selecting Option 2, then here are contract sections which match with this scope text above.

*∙ Contract section Article X, Section 10.1 all, Fees: PTI not to directly charge fees to customer.*

*∙ Contract section Article VII, Section 7.3 all, IANA Naming Function Reviews– the Board may call for a special IFR*

*∙ Contract section Article IV, Section 4.5, Separation of Policy Development and Operational Roles: PTI will not influence Policy making [****Peter: will speak to ccNSO, J.C.: will speak to GNSO, James can give support to J.C.****]*

*∙ Contract section Annex A, 1 (a), Root Zone Maintainer: what RZM entails [assigned to* ***Fred & Peter****]*

*∙ Contract section Annex A, 1 (c), Root Zone Maintainer: DNSSEC implementation [assigned to* ***Fred & Peter****]*

*∙ Contract section Article IV, Section 4.8 all, Management of the .INT TLD [assigned to* ***Peter & James****]*

*∙ Contract section Article V, Section 5.2 (a)., Continuity of Operations: Redundancy Requirements [assigned to* ***Rick and James****]*

*∙ Contract section Article XI, Sections 11.1 – 11.4, Computing Systems, [assigned to* ***Rick & Fred****]*

*∙ Contract section Article IX, Section 9.3 (a – d), Transition Plan, [assigned to* ***Suzanne****]*

*∙ Contract section Article IV, Section 4.9 (a), General Manager; Key Personnel. [assigned to* ***Kaili****]*

*∙ Contract section Article IV, Section 4.10, Inspection Of All Deliverables And Reports Before Publication. [assigned to* ***Tomslin****]*

*∙ Contract section Article V, Section 5.1 all., Constructive Working Relationship [assigned to* ***Fred & Tomslin****]*

*∙ Contract section Article V, Section 5.3 all, Performance Exclusions, [assigned to* ***Christian Dawson****]*

*∙ Contract section Annex A, 4 (a -b), DNSSEC at the authoritative Root Zone, [assigned to* ***Rick****]*

*∙ Contract section Annex A, 4 c, Security Authorization and Management Policy [assigned to* ***Rick & Tomslin****]*

*∙ Contract section Annex A, 4 d, IT Access Control [assigned to* ***Rick & Tomslin****]*

*∙ Contract section Annex A, 4 e, Security Training [assigned to* ***Rick****]*

*∙ Contract section Annex A, 4 f, Audit and Accountability Procedures [assigned to* ***Rick****]*

*∙ Contract section Annex A, 4 g, Physical Protection Requirements [assigned to* ***Rick & Tomslin****]*

## Bylaws 18.3.(c)

*“Review the*[*IANA Naming Function SOW*](https://pti.icann.org/iana-naming-function-services-service-level-agreements) *and determine whether to recommend any amendments to the*[*IANA Naming Function Contract*](https://pti.icann.org/agreements) *and IANA Naming Function SOW to account for the needs of the direct customers of the naming services and/or the community at large”*

**IFRT’s OBJECTIVE:** Consistent with ICANN’s mission and [Bylaws](https://www.icann.org/resources/pages/governance/bylaws-en), Section 18.3(c), and based on the analysis conducted for 18.3.(a) and 18.3.(i) in particular, the Review Team will review the IANA Naming Function Contract and SOW to determine if the needs of IANA Naming customers are fully covered through a review team analysis.

**IFRT’s FINDINGS:**

*Option 1*: Write some summary text here and refer to 18.4.(a)(b)(d) for contract breakdown.

*Option 2*: Put findings from ALL CONTRACT SECTIONS here.

.

## Bylaws 18.3.(d)

*“Review and evaluate the openness and transparency procedures of PTI and any oversight structures for PTI's performance, including reporting requirements and budget transparency”*

**IFRT’s OBJECTIVE:** Consistent with ICANN’s mission and [Bylaws](https://www.icann.org/resources/pages/governance/bylaws-en), Section 18.3(c), the review team will assess PTI’s procedures while considering any customer feedback on the openness and transparency for such procedures as assessed in 18.3.(a) and (i).  The review team considers PTI oversight structures to include, but not exclusive to: Board oversight, management, community committees and other accountability mechanisms.

**IFRT’s FINDINGS:**

insert text here.

*Option 1*: Write some summary text here and refer to 18.4.(c) for contract breakdown.

*Option 2*: Put findings from relevant contract sections here and under Bylaws 18.4.(b) section in this report, which follows. Under 18.4.(c) put summary text that refers back to (a) and (b). If selecting Option 2, then here are contract sections which match with this scope text above.

*∙ Contract section Article VI, Section 6.1 (d), Transparency [assigned to* ***Kristian Ørmen****]*

*∙ Contract section Article VII, Section 7.2 (a - d), Performance Monitoring specifically by the CSC [assigned to* ***Tomslin & James****]*

*∙ Contract section Annex A, 3 (b), Monthly Reporting, SLAs, etc as can be attested by the CSC*

*∙ Contract section* Article X, Section 10.2*), Budget*

*∙ Contract section Article VI, Section 6.1 (a - d), Transparency [assigned to* ***Kristian Ørmen****]*

*∙ Contract section Article VII, Section 7.1 (a - b), Audits [assigned to* ***Andreas****]*

*∙ Contract section Article IV, Section 4.3 (d), Scope of the IANA Naming Function: PTI’s ability to make modifications to performance [assigned to* ***Suzanne****]*

*∙ Contract section Article IV, Section 4.3 (b), .int [assigned to* ***Tomslin****]*

*∙ Contract section Article IV, Section 4.3 (c), IDNs [assigned to* ***Tomslin****]*

## Bylaws 18.3.(e)

*“Review and evaluate the performance and effectiveness of the Empowered Community (EC) with respect to actions taken by the EC, if any, pursuant to Section 16.2, Section 18.6, Section 18.12, Section 19.1, Section 19.4, Section 22.4(b) and Annex D”*

**IFRT’s FINDINGS:**

to date, no Empowered Community (EC) actions have occurred in relation to Bylaws Section 16.2, 18.6, 18.12, 19.1, 19.4, 22.4(b) and Annex D.

***\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*THIS SECTION COMPLETE\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\****

## Bylaws 18.3.(f)

*“Review and evaluate the performance of the IANA naming function according to established service level expectations during the IFR period being reviewed and compared to the immediately preceding Periodic IFR period”*

**IFRT’s FINDINGS:**

As this is the first IANA Naming Function Review, Bylaws 18.3 (f) does not apply.

***\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*THIS SECTION COMPLETE\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\****

## Bylaws 18.3.(g)

*“Review and evaluate whether there are any systemic issues that are impacting PTI's performance under the IANA Naming Function Contract and IANA Naming Function SOW”*

**IFRT’s OBJECTIVE:** Consistent with ICANN’s mission and [Bylaws](https://www.icann.org/resources/pages/governance/bylaws-en), Section 18.3(g), the IFRT will review any complaints and escalations to IANA to evaluate if there are any systemic and/or recurring issues, while also considering input from the community.

**IFRT’s FINDINGS:**

[summary paragraph; may refer to other Scope sections where there is overlap]

## Bylaws 18.3.(h)

*“Initiate public comment periods and other processes for community input on PTI's performance under the IANA Naming Function Contract and IANA Naming Function SOW (such public comment periods shall comply with the designated practice for public comment periods within ICANN)”*

**IFRT’s OBJECTIVE:** Consistent with ICANN’s mission and Bylaws, Section 18.3(h), the review team will solicit input from the community on PTI’s performance though such means as holding consultations with the community; a Public Comment period such as for an Initial Draft; and other methods that the Review Team deems appropriate.

**IFRT’s FINDINGS:**

The IFRT is putting forth this initial Draft Report to the community through the Public Comment process as a method to obtain community opinion and input as well as meeting the mandate of Bylaws Section 18.3.h.

## Bylaws 18.3.(i)

*“Consider input from the CSC and the community on PTI's performance under the IANA Naming Function Contract and IANA Naming Function SOW”*

**IFRT’s OBJECTIVE**:Consistent with ICANN’s mission and Bylaws, Section 18.3(i), the review team will discuss PTI’s performance with the Customer Standing Committee; and solicit input from the community through such means as holding consultations with the community; a Public Comment period such as for an Initial Draft; and other methods that the Review Team deems appropriate.

**IFRT’s FINDINGS:**

[*description of IFRT’s contact with the CSC; perhaps a summary of the IFRT’s understanding of the CSC’s opinion of PTI’s performance*]

## Bylaws 18.3.(j)

*“Identify process or other areas for improvement in the performance of the IANA naming function under the IANA Naming Function Contract and IANA Naming Function SOW and the performance of the CSC and the EC as it relates to oversight of PTI”*

**IFRT’s OBJECTIVE:**Consistent with ICANN’s mission and [Bylaws](https://www.icann.org/resources/pages/governance/bylaws-en), Section 18.3(j), based on the Review Team’s findings from 18.3.(a) to 18.3.(i), the Review Team will make recommendations for specific measurable steps that can be taken to improve any deficiencies or gaps.

**IFRT’s FINDINGS:**

## Bylaws 18.3.(k)

*“Consider and assess any changes implemented since the immediately preceding IFR and their implications for the performance of PTI under the IANA Naming Function Contract and IANA Naming Function SOW.”*

**OBJECTIVE:**As this is the first IANA Naming Function Review, Bylaws 18.3 (k) does not apply.

***\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*THIS SECTION COMPLETE\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\****

Appendix text will be filled in by Amy, as it will just be cut and pasted from the scoping documents. Example:

# APPENDICES

## APPENDIX A: DEFINITIONS

## APPENDIX B: [SECTIONS FROM SCOPE OF WORK NOT USED ABOVE]

## APPENDIX C: Relevant sections from Rules of Engagement

## APPENDIX C: WORKPLAN

## APPENDIX D: FACT SHEETS