ICANN75 | AGM – IANA and CSC Update to ccTLDs
Tuesday, September 20, 2022 – 15:00 to 16:00 KUL

KIM CARLSON: Please note that the session is being recorded and governed by the ICANN expected standards of behavior. During the session, questions or comments submitted in chat will be read aloud, if put in the proper form as we will note and chat. If you would like to speak during this session, please raise your hand in Zoom. All participants whether remote or in person will queue up in Zoom. When called upon, virtual participants will unmute their microphones in Zoom. On site participants will use your physical microphones at your desk. For the benefit of other participants, please state your name for the record and speak at a reasonable pace. On-site participants may pick up a receiver and use their own headset to listen to interpretation. Virtual participants may access the interpretation tool via Zoom. And with that, I'll hand the floor over to the incoming chair of the Customer Standing Committee, Brett Carr.

BRETT CARR: Thank you very much. Good afternoon, everybody. My name is Brett Car. I am currently the vice chair of the CSC and from the 1st of October, I'm very happy to have been appointed the chair of the CSC. So this afternoon, we will have two presentations for

you. One from myself, an overview of the CSC. Then I'll hand over to Lise from the PTI to give a presentation from PTI. So we'll get started. Thank you.

So this is the September 2022 overview of the CSC. Next slide, please. For those who don't know, the Customer Standing Committee was appointed as part of the IANA transition to monitor—originally set up SLAs but then to monitor SLAs for the naming community versus PTI. Our mission is to ensure continued satisfactory performance of the naming function from a point of view of the naming customers. We, as I said, we do that by monitoring the SLAs on a monthly basis. Next slide, please.

So this is a little graphic which shows you the relationships that I've just been talking about. There is a contract between ICANN and a PTI to provide services and then the CSC monitors services. Then every five years there is an IANA functions review that goes into a bit more depth to make sure everything is functioning properly. Next slide please.

So the membership as of the first of October, so in about a week's time, we'll be two members from the gTLD appointed by Registry Stakeholder Group, being Dmitry Burkov and Rick Wilhelm, two ccTLD members appointed by the ccNSO, myself and Frederico Neves, four liaisons appointed by their respective organizations, Holly Raiche from ALAC, Milton Mueller from GNSO, Gloria Atwine

Katuuku from the GAC, and Ken Renard from the RSSAC. And then we have one lesson from the PTI, Amy Creamer. Next slide. Thank you.

So the CSC has a charter, and as part of that charter, we have what's called an effectiveness review every three years. The effectiveness review has just taken place and the initial report is out for public comment. The effectiveness review team reported that the CSC is—I'm glad to say—operating effectively and according to its charter, and that is primarily related to the caliber and dedication of the CSC membership, which obviously, I've been a member of for a few years and there's a lot of hard work to get us into this this place. I'm very proud of the rest of the CSC.

There was a couple of small points in the effectiveness review, which will be easily remedied. The CSC again continues to have an excellent relationship with the PTI. There was some additional topics brought up in the effectiveness review. One particular point saying the role of the CSC should not be expanded. There was regular review of the IANA naming function SLAs may be appropriate to ensure that they remain current and relevant. Currently, there is no one really responsible for initiating and managing a review of those SLAs. Whether the CSC should undertake that review is open to comment and we would very much welcome the ccNSO's viewpoint on that. The effectiveness review is out for public comment. So if you have a viewpoint on

whether the CSC should be reviewing those SLAs periodically or you think somebody else should be doing or a different process should be doing it, we'd really like your feedback. Next slide, please.

So this is, again, this slide is talking about the SLA review of them would probably be appropriate. It's not clear who exactly should do that at the moment. So again, we'd like your input. Next slide, please. As I've mentioned a couple of times already, [inaudible] do tend to bang on a bit about SLAs, because it is the most important part of the role. There are currently 64 individual metrics within seven different groups. Things like technical checks, processing time, for things like gTLD creations, etc.

These SLAs are directly related to the IANA naming function contract and were drafted as part of the IANA transition a few years ago. And if you want to take a look at the SLAs, they're listed in the on the PIT website. Next slide, please.

So this is a little snapshot of the SLAs—actually a little snapshot of the monthly report that's produced by PTI. These measurements are based on summarized percentages. The report is made available to the CSC on a monthly basis before our call, which we have every month so that all the members have time to review the results in time to discuss any anomalies or

things that aren't 100% with the PTI. Those are rare occasions, I have to say. Next slide, please.

So based on that report, and our review of it, the CSC produces their own report, and that has three different rankings. It will either be excellent, every metric is 100%. It would be satisfactory, and that might mean a few of the metrics have been missed, or needs improvement. Significant amounts of things have been missed.

I'm very happy to say we get excellent most of the time. We've had the odd satisfactory for various, usually always explained reasons. We've never had a needs improvement. So that's very good. If an SLA is not met for any reason, an explanation is expected and needs to be understood by the CSC, but that has always been the case. Next slide, please.

This is a table showing the results of the of the SLAs over the last few years. And you'll see particularly over the last sort of three years, 2020 2021 and 2022, nearly every month has been 100%. This makes the CSC's job extremely easy. As you can imagine. We've had the odd month where things—you'll see that some 98.5 98.4 in there. They indicate one SLA was missed. And in every one of those cases, it was easily explained by the PTI why that was missed and how it was going to be fixed every case. Next slide please.

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So there have been a few small changes in SLAs over the last few years. One thing that the CSC did a few years ago, we realized that in order to amend the SLA is it required to change the IANA naming functions contract and obviously that is a fairly long winded, bureaucratic process and we don't want to have to change that contract every time we want to change an SLA. So we did some amendments to allow us to do the changes to the SLAs outside of that contract.

There was a process for amending the IANA naming function SLAs put in place and the procedure for modifying the process. Those processes became effective in March 2019 and on the back of that we've made three changes to date. Well, three groups of changes, three technical checks which were changed based on a reassessment. There were some new SLAs created for internationalized domain names, label generation tables, which were a new thing. And then there was a ccTLD creation transfer SLA added as well. Next slide, please.

So the CSC's charter stops it getting directly involved with individual customer complaints. Our role is limited to monitoring the PTI's overall complaint management system and identifying persistent and systemic issues. So if there's a pattern of complaints, then that's the CSC to look at. If it's just an individual complaint from a customer, that's not in our remit. We have something called a remedial action procedures, or RAP, that's

invoked if the CSC determines that a performance issue does exist. Next slide, please.

If you look on the CSC's page, it has an explanation of—a link to the existing complaint process. PTI has a complaint process which includes the ability for a customer to escalate, if that issue is not resolved to their satisfaction, and then all of those escalations will be brought to the CSC's attention. Next slide, please.

If we did—and we never have done, but if we did identify that an underlying constant systemic type problem was occurring, we would initiate a RAP or remedial action procedure. The PTI is obliged to prepare for and followed that plan. And failure to follow the plan can lead to an escalation process which has three levels. Firstly to the PTI board, then to the ICANN CEO, and then to the ICANN Board. If all of that escalation still fails to provide a fix to the problem, then we would hand it over to the ccNSO or GNSO councils to check to see if they could find a solution.

Those procedures were approved in the early part of 2018. And some small changes were made in January 2019. And as I think I might have already mentioned, that procedure has never been followed. There was a suggestion in a meeting I was in yesterday, we may want to do a tabletop exercise, too, because we've never followed that procedure, we might want to do an exercise to

practice that procedure. And I think that's probably a good idea. So that's certainly something we'll discuss. Next slide, please.

There are several links here. Lots of things I've talked about in this presentation in the last slide. So, you know, feel free to browse those. And if that brings up any questions or comments, come and talk to me, or send me an email or you know, I'm happy to help. Thank you. Next slide, please. Might be the last slide. And if anybody's got any questions, I'm happy to try and answer them now as well. As I say, silence is golden. Thank you. I will hand it over to Lise to do the PTI presentation.

LISE FUHR: Thank you, Brett. You've done such a good job. There's no question needed. And I have a set of slides too. As you know, this is my last presentation for ccNSO as the PTI Board chair. I hope I'll do other presentations in the future. But I'm stepping down at the end of this ICANN meeting, and we have very good new people taking over. So don't be worried. But I'll also take the opportunity to do my last art gig with you and which is also a bit of a feminist gig to be honest, because most of the [Skagen] painting— [Skagen] is the northern part of Denmark, the most northern, and they have a special light up there. And there are some extremely beautiful pictures from up there.

But all of those are done, most of them that people know are done by men. So now I'm going to show you some [Skagen] paintings done by a woman. And what is special about this is that Anna Ancher, the name of this artist, is that she never had any formal education because women were not allowed into art school back then. She was born in 1859 and died in 1935. And the interesting thing was she was one of the most modern of the [Skagen] painters. She was impressionistic in her paintings and she painted her immediate surroundings. And as you might see, when you see this slide deck—I'm not going to talk more about art when I've done this little rant, but you might see it's the colors that matter for her. It's not as much of the content. But there are some extreme situations painted, you will also see that, but I think the color is beautiful. Some of them are very dramatic. But I appreciate her paintings. And I think I just wanted to share it with all of you.

So with that, next slide, please. Now we come to the content of this session, I want to talk a bit about the new Board member the Board composition. He's also here today. I'd also like to touch base on our Strategy Workshop we had in July, then the suggested changes that we will bring forward to the ICANN Board and to all of you coming out of this strategy workshop. And then last but not least, I'll shortly mentioned the draft PTI FY 24 operating plan and budget. Next slide, please.

So we have a new composition of the Board, because I'll step down. And that leaves room for Tobias Sattler, who's not a newcomer. And many of you might know him. He's been 15 years in this industry, worked for United Domains. He's been the vice chair of the Registrar Stakeholder Group, and also been on the NomCom. And I hope you'll welcome him in the same way you have welcomed me and also James. Looking forward to follow the work of PTI with this new composition. The only thing I'm sad about is we're now only male on the Board. So it's going to be a five male Board, five person full of—the gender is the same. So we of course, in the future, I hope we'll have more women joining but I appreciate the good skills of Tobias. So it's not to make his candidacy less worth. Sorry, Tobias. Next slide, please.

Then, in July, we had a workshop. We have done workshops over the years. Normally we would do them in January. But due to COVID, we had some online workshops for a couple of years. I think they are less efficient than when we meet so we were very happy to meet in July, where we discussed several things. One of them was governance, where we discussed that we need to make sure how to institutionalize hiring international persons too so we make sure that we can hire outside the US, inside the US. So we don't need to think about the nationality of the PTI staff.

We did our annual review of strategic plan. We looked into the emerging risk and trends out there in technology, and we looked

into the alignment of ICANN and PTI's operating plan and budget and their planning cycle. I'll get back to this in a moment. Next slide please.

Then under trust, that's one of our areas in our strategic plan, we reviewed our engagement and outreach plan and communication strategy. For us, it's important that we are not only serving the naming community, also the protocol and the numbering communities are to be served. We [inaudible] during the ICANN meetings, but how do we reach out to the others? Kim and the team are doing a great job there. But should the PTI Board also be a part of this outreach?

We're still working on this engagement and outreach plan. And I think this is of course always a thing that needs to be kept alive and agile plan also due to of course, COVID popping up now and then. So we are assessing and James and Tobias together with the rest of the Board will keep assessing how to do outreach in a time where you cannot trust that you can meet people face to face.

Operational excellence is also one of our goals in our strategic plan. And we discussed ICANN or IANA staffing, not that there is problems with the staffing, it's more how do we ensure that we have a resilient PTI team? If someone leaves, it's not a problem. IF three people leave at the same time, it can be a problem. So we

need to make sure we have the right people to take over if people leave or they get sick or many things that can happen to a team that is not that big. So with a small organization, how do we have a succession plan of the different employees? Next slide, please.

So we suggest that we in the coming months will look at aligning the PTI's strategic plan cycle with ICANN's strategic plan cycle, that is the four-year cycle to be aligned with five-year cycle. We have talked about this before. We're very close to have some suggestions to be sent out to the community. It is being discussed with ICANN Board. And I hope that soon you will be consulted on this. To me, it's a very easy fix. And it shouldn't be controversial in any way.

Then I think we should look also at the timing for the operating plan and budget because it starts extremely early. So we have to plan for a future that we don't—budgets are difficult to do anyway, but doing them nine months before the financial year starts, it's a long time. So I would recommend that be looked at and that's also the recommendation of the Board. But since I'm stepping down, someone else will take care of this.

And then the last part, as I talked about, I think it's important we strengthen the future resilience of the PTI and IANA team by adding a few more headcounts and operationalize how to take over if people leave. Next slide, please. That's the last slide.

Then, the draft PTI fiscal year 24 operating plan and budget has been sent out for public consultation with a deadline of 31st of October. And the assumptions for the plan is that the strategic objectives are unchanged. We have a high level of customer satisfaction as we just heard with Brett, the team complies very well with their SLAs.

But of course, we need to keep improving. So there are changes to be done but more incremental changes, not big ones. Even though we know there's uncertainty on COVID, we plan to start again doing business travel, face to face meetings, and other engagement activities will be resumed.

And you need to know that some of the projects that the community are suggesting for PTI to do has not been approved by the ICANN Board. So they are not taking into this budget. That's all in the material that is following the budget. But just for you to be aware, that can be foreseen there is contingencies or there is a sum that can be used for projects that are unforeseen.

There is a slight increase in the cost. But looking at the rise of salaries, of travel, of all other things equal, I think it's completely justified. And I might even say it's a bit too low. But we still believe it's a prudent budget. With that, I think that was the last slide. I only have a thank you for listening slide. But I will see if there are

any questions. I know it's a long day. Good. I will then hand over to Marilia.

MARILIA HIRANO: Thank you, Lise. I don't have art to follow that. But I always appreciate the history behind Lise's art in her presentations. Hello, everyone. My name is Marilia Hirano. I am the director of IANA strategic programs. I'm going to talk about follow up, go into more details on what Lise just shared on this strategy, on some of the work that IANA has been doing to actually accomplish those objectives. Next slide, please.

So going to give you updates on a little bit of our operations, which Brett also touched on so briefly there and then strategic projects, the status of them, and community engagement updates, and then if we have any questions on any of the presentations, we can do that after. Next slide.

Just a snapshot here of the team. This is the current composition of the IANA team. Amy Creamer is sitting here in the front row. She's our Director of Operations. If you were in the RZM session earlier, you would have seen her present on that. Kim, of course, here. And then we also have George who is part of the operations team as well. So if you need to talk to us, we're available during ICANN 75. Next slide.

So just a bit on the operations following up on Brett's comments on the SLAs. This is from June through August, the average there about 99.47%, August, and July, 100%, and then June, we had 98.4. By the numbers, to get an idea during this period, we processed 1056 DNS root zone requests, 23 [.int]requests, and we completed a key ceremony with in-person attendees in the period. That was on the West Coast. Next slide.

here was a lot of talk about our customer satisfaction. I just wanted to show some numbers. We do have a post-interaction survey that we run once the request is closed. So here you'll see that for the naming, the domain name customers, the response rate is pretty high and the satisfaction rate even better. So just to echo what Lise and Brett had said, our customers, we maintain high satisfaction from our customers.

Now I'm going to go into project status from our strategic priorities. So, for fiscal year 23, in our plan, as you will see in the public comment, if you participate for fiscal year 24, we break down our plan into four major buckets, and the first one is operations.

Currently, we have scheduled the next key ceremony, and then implementation of the ICANN project management framework. We have been working diligently on that with the broader ICANN organization. And still in the pipeline for the fiscal year,

implementation of ccTLD retirement policy. And of course, that's contingent of the ICANN Board approval. That's scheduled to start on q2 of the fiscal year. And then next, key ceremonies are also planned and as well as the regular key management facility improvements that we do annually. Next slide.

On the technical services category, we have the redesigned root zone management system which we had a session here, it's our focus here at ICANN 75, which is due to launch in Q2 of fiscal year 23. We also have in progress the algorithm rollover study, which is due to complete in Q4. Still planned to start is an enhancement of security features within the root zone management system, and the IANA.org website redesign.

On operational excellence—and Lise touched a bit on that. So currently, we have our annual customer engagement survey and I'll talk a little bit more about that in a moment. We do have two information security audits that we run and the SOC-2 audit report. It will be issued in Q3 and the SOC-3 audit report in Q4.

Planned testing of IANA's contingency and continuity plan, which we plan to do in Q2 of this fiscal year. And our EFQM external assessment to start in Q4, which is our quality management organizational assessment. On governance, currently, we have started evolving the PTI Board support structure and evaluation of IANA long-term staffing needs, which is what Lise touched on.

And still planned for the fiscal year is the IANA intellectual property assignment agreement discussions and this is discussions that are going to happen with the IETF. And then be the PTI fiscal year 25 to 28, which is our next strategic planning phase, to start later this year. Next slide.

Then we go to our operating priorities for fiscal year 24, which is the plan that is now for public comment. So priorities for our operations. Besides of course continuing to meet our SLAs and maintaining our customer service satisfaction, we plan on recalling the recovery key shareholders to test their cards and then generate new card sets, establish periodic test recall schedules and rotate trusted community representatives with new volunteers. So that's the priority in addition to our day-to-day work.

Reevaluate Information security audit practices, need to make sure that as we build new systems and upgrade our existing systems and that processes are changed and that the current framework is still fit for purpose and that meets the needs of the organization. So we have work planned there for fiscal year 24.

On the technical services side, of course, continue to evolve and adapt root zone management system. So we can continue to support increased customer demands. And as policies continue

to be approved, our system continues to be able to meet them, the implementation of those policies.

On governance, we will continue to provide subject matter expertise to relevant policy development as we do today, and organizational and specific reviews. So that was a snapshot. Of course, details are in the plan. So if you please, if you can look at that, it's going to be open until the 31st of October.

On engagement, as I said, we are going to kick off our customer engagement survey. If you are a ccTLD operator, or if you are in the ccNSO Council, you are invited to participate in our engagement survey. These are quick reminders of what the results were last year for the ccNSO Council and ccTLD operators. We have the highest rated statements and the lowest rated statements there. And with the lowest at 3.5. And 3.7, it's still high, three is a neutral response. So you have strongly agree all the way to strongly disagree with three being neutral. So it's not like we have any dissatisfied customers with any of these statements.

And then in the bottom, you'll see the participation rate from the ccNSO Council has been 38%, which is very satisfactory. When we first launched this survey, we had a less than 15% response rate. So it really increased over the past couple of years. So thank you for participating, we hope you continue to do it. And with the

ccTLD operators, we had 10% participation. So we're hoping that this year we can increase that rate. Next slide.

Just a little bit of the trends from the 2021 survey that we're watching and some of the things we do have mitigations in place and to make sure that risks don't materialize. So the first one being alternative DNS resolution technologies, which we closely monitor, collaborating with experts within the ICANN organization and also community cybersecurity threats mitigation that as I said, we have two information security audits, we conduct tabletop exercises for our business continuity and disaster recovery plans. And we do have an open position for an information security expert within PTI. So that position is open on the ICANN careers page.

Data privacy concerns was another trend. So we do follow ICANN Org's guidelines for data privacy. We work in close collaboration with the legal department. So we are always monitoring the regulations that come out in discussions that are happening in that area.

And the last trend that we are monitoring, and I'm excited to see if anything changes this year as we resume face to face activities, last year, there was a strong ask that we continue to engage remotely. That was 50% of our respondents wanted us to engage remotely, 41% said hybrid, remote, in-person, continue to do the

hybrid methodology. And then only 17 said they wanted to go back to how it was before the pandemic on face to face.

So we of course continue to allow opportunities for remote participation through webinars and other conferences that we participate, but we are monitoring this trend closely to see if we need to make any changes and adjustments to our engagement strategy. Next slide.

Here is just a couple of examples of engagement opportunities that we had and that we share, that we participated in. We had the ICANN trainee series for the Nordic region. We participated in a webinar from LACRALO where we talked about IANA in a post transition governance. We participated in Day of Internet 2022, where we talked about key signing key ceremonies.

We had another webinar for the fiscal year 24 PTI operating plan and budget that happened in early August, if I remember correctly. And then another webinar we did recently on maintaining top-level domain health and now we are focusing on RZMS here at ICANN 75. We have more coming up. Next slide.

So upcoming events that IANA will be present in besides being here, we are available for one on ones with TLDs. If you want to talk to us, just reach out and we'll schedule time. We have a quarterly key signing ceremony that I mentioned happening in November. This is going to be east coast. And we have the ICANN

DNS symposium. We are going to have an IANA community day in that event where we're going to talk about the current systems that we're building and algorithm rollovers. There's a big agenda for us there. So stay tuned. And if you are planning on attending, there will be a few of us there.

We also have requests for community participation on public comments, a couple of public comments there besides the budget that we talked about. We have the RIR SLAs on reverse DNS that was recently opened too. The annual IANA engagement survey that I mentioned, you will be seeing an invite, a pre-invitation announcement from us. And then you'll see our vendor, Echo Research send the official invite. It is a unique link. So it's just for you through your email.

And then we are seeking volunteers for the algorithm rollover design team. And that will go out in October with more information. Next slide, please. Yeah. And that was it. That's what I had. If anybody has any questions … And if not, I will hand it off to Kim so he can do the final piece.

CLAUDIA RUIZ: We have a hand up.

[MANJU CHEN:]

I have a question. Because you mentioned about the ccTLD retirement policy, because I checked, it seems you already made a proposal for that. On the ICANN website, there is a proposed policy. So what is the current status for this policy?

KIM DAVIES:

Thank you for the question. My understanding is it's before the ICANN Board for adoption, possibly as early as this week. And then our expectation is it will be recommended for implementation to IANA. So we would be developing an implementation of that in the coming months. I suspect there's no retirements in the short-term immediate future. So I think there is a specific urgency on the operationalization front. But nonetheless, that would be the course of action. Thank you.

MANJU CHEN:

Thank you.

MARILIA HIRANO:

Okay, Kim, go ahead.

KIM DAVIES:

Seems like there's no other questions. Yes, thank you, everyone. And thanks, Marilia, for giving the IANA update at this meeting. I just wanted to seize the opportunity while I'm up here to sort of

acknowledge and recognize that with the conclusion of Lise Fuhr's term on the PTI Board and also the conclusion of Lars-Johan Liman's term on the Customer Standing Committee, for both of those organizations, it represents the first time there's been a full turnover of the membership of both of those bodies. So, in my mind, at least this kind of represents sort of the conclusion of the implementation phase of what we now know as the post-transition IANA.

And looking back, there was a lot of work involved. Lise has been the chair of PTI for most of that time. Liman has been the chair for the last few years. Prior to that, it was Byron Holland, chairing the CSC. But I just wanted to recognize that you heard during the CSC presentation that we have an excellent constructive relationship with the CSC. I don't think you could be going better.

And I think the PTI Board is extremely collaborative and well established. And I think establishing the norms of both of those entities, building them up from scratch in 2016 till now has required a lot of effort by a lot of people. But since we now have a completely new membership of both the Board and the CSC, it seems like a great opportunity just to recognize the contributions of Lise, in absentia, the contributions of Lars-Johan, and also all the others that have contributed to the success of those groups. So just wanted to put that on the record and thank Lise, Lars-Johan and everyone else for the work that they've contributed.

So with that, I think that brings us to the end of the session. If you have any questions for the IANA team, feel free to come grab us in the corridors if you see us. Otherwise, have a great rest of your meeting. Thank you.

CLAUDIA RUIZ: Thank you, you can now stop the recording.

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