Strawman Amended Process for Amending the IANA Naming SLAs

1. Introduction

In its conversations with the CSC, PTI and PTI Board, the second CSC Effectiveness Review Team, the question whether the IANA Naming Function SLAs should be reviewed periodically was a recurring theme.

The current SLAs were developed as part of the IANA Stewardship Transition Process and are reflected in the 2016 IANA Naming Function Contract. Given the passage of time, the Review Team was advised by both PTI and the PTI Board that it would be timely to assess the adequacy of the current SLAs by way of a review and that the CSC is considered well placed to conduct such a review, in consultation with the broader ICANN community

The Review Team recommended that the CSC in close cooperation with PTI would develop a framework that could be used to conduct regular reviews of the SLAs. The Review Team suggested that the process for Amending IANA Service Level Agreements could be starting point for such a framework. The framework will require the support of the direct customers of PTI.

2. Changing procedure for Amending the IANA Naming Service Level Agreements

The procedure to change the process is included in the basic document for Amending SLAs (https://www.icann.org/en/system/files/files/iana-naming-function-sla-amendment-process-28mar19-en.pdf). Accordingly:

> **Section 2.** The CSC, PTI, and ICANN[*] should meet to discuss the proposed need to modify the Process and mutually consider if it is advisable to continue to explore a potential modification, as well as identify the portions of the Process requiring modification.

> **Section 3.** Unless otherwise appropriate, PTI or ICANN* shall draft the proposed modification for consideration by CSC, PTI and ICANN* to determine if the modification achieves the desired impact. Once there is agreement on proposed text, PTI and/or ICANN* will publicly post the draft change recommendation for public comment through ICANN's Public Comment process.

2. Strawman changes to Process for Amending the IANA Naming Service Level Agreements

(https://www.icann.org/en/system/files/files/iana-naming-function-sla-amendment-process-28mar19-en.pdf)

Following the discussion in Hamburg the following changes are included in the strawman to explore feasibility of including a regular and general review of the SLAs in the current process.

1 Process for Amending the IANA Naming Service Level Agreements

The following process for amending IANA Naming Service Level Agreements (SLAs) has been developed and agreed to by the Customer Standing Committee (CSC), ICANN and PTI. This process was developed to enable timely amendments to service levels that fall into a number of defined categories.

The SLAs are enforceable by ICANN through the IANA Naming Functions Contract it holds with PTI. None of the requirements in the process for amending IANA Naming SLAs override any obligations within the IANA Naming Functions Contract. Pursuant to that agreement, PTI's obligations to consult or notify ICANN are not modified through this process for amending IANA Naming SLAs.

I. Procedure for determining that a SLA needs amending

1. An IANA Naming Function SLA change request may come from the CSC or PTI*. The change request, along with reasoning for the change, must be distributed to the parties.

2. The CSC and PTI should meet to discuss the change request; this may be done during the CSC's regular monthly meeting or during a separate conference call.

To determine the merit of the change request, the CSC and PTI should consider:

> a. Which category applies to the SLA change request, as this will determine if community consultation is required:
>
>> i. New SLA Item
>> ii. Remove SLA Item
>> iii. Change SLA Item definition and target/threshold
>>
>> iv. Change SLA Item target/threshold only

> > v. Regular, Review of full slate of SLAs. For purposes of this process, regular means at most five years after the previous general review of full slate of SLAs was concluded and SLAs become effective.

Note that although a review of the full slate of SLAs may not result in a change, the SLA change process was designed in such a way to determine when the community needs to be informed and/or consulted.

> b. The benefit it would provide the community

> c. Determine the change's feasibility such as: Can it be achieved? What changes will be required to achieve the proposed amended SLA(s) including but not limited to system changes, operational changes and an estimated implementation plan?

> d. Estimate the cost of the change, based on the implementation requirements mentioned above.

3. The end results of the discussions between the CSC and PTI regarding the SLA change should be submitted in writing by PTI to the CSC or from the CSC to PTI. The end result is either:

> a. A mutual decision is to change the SLA(s). If this is agreed, the IANA Naming SLA Amendment procedure (section II) shall apply.

> b. It is not agreed upon, after communicating that to each other in writing, the process ends.

II. IANA Naming SLA Amendment Procedure

1. If the CSC and PTI reach a mutual decision to proceed with the SLA change, PTI should draft a change recommendation, which includes an impact analysis that expands with further detail based on their earlier discussions during the "procedure for determining that a SLA needs amending" stage. The analysis should review such items as the impact on potential resources, budget requirements following the PTI and ICANN budgetary processes, and an implementation plan per the PTI and/or ICANN implementation process, should the SLA changes be approved.

   Prior to moving forward with the recommendation, the CSC and PTI should agree on how PTI** can support the implementation of the draft SLA change recommendation. PTI and/or ICANN shall publicly post the draft SLA change recommendation including the data it will be based on, and its impact on the community following the completion of this analysis.

2. Naming Customer Consultation: All five (5) categories of SLA changes require the CSC to present the change request to inform their stakeholders (i.e. Naming Customers) of the draft SLA recommendation.
3. Community Consultation: In addition, four (4) SLA change categories require further community consultation:
   a. new SLA,
   b. remove SLA,
   c. change SLA item definition and target/threshold and
   d. General update SLAs

Community Consultation includes:

    a. A Public Comment Period complying with ICANN's designated practice for public comment periods, per the CSC Charter 17.3.d.

    b. Based on the potential degree of impact if the draft SLA change recommendation is approved, the CSC may decide to perform community consultations such as, but not limited to, open sessions at ICANN meetings, etc.

    c. Upon completion, community feedback should be taken into consideration in the final SLA change recommendation. If community feedback results in significant changes to the SLA change recommendation, then the CSC and PTI should mutually agree to the revisions.

    d. When a final draft SLA change recommendation is agreed upon between the CSC and PTI, the CSC should seek approval from the GNSO and ccNSO Councils with these potential outcomes:

        I. Both the GNSO and ccNSO Councils do not approve. Process ENDS.

        ii. One Supporting Organization Council approves, but the other Supporting Organization Council does not approve. Process ENDS.

        iii. Both the GNSO and ccNSO Councils approve. Proceed to implementation.

4. After approval from the GNSO and ccNSO Councils, or in the case of Procedure (iv): change SLA target/threshold only, which does not require the Councils' approval, the implementation process for the SLA change** is initiated. PTI implements the SLA changes in accordance with the implementation plan provided earlier in the process for the final SLA change recommendation.

5. ICANN and PTI will update the SLA webpage. Upon the effective date of the SLA change, the previous SLA will be archived on the SLA webpage.

* ICANN can direct PTI to initiate a SLA change request.
**If the implementation requires ICANN or PTI Board approval, this must take place before agreement on implementation between CSC and PTI or it begins.