

# Instructions



# PGA Meeting 5 November 2024



# Agenda

Continue assessment IANA issues

Review overview document

Summary findings to date (slide 11-44)

Strawdog or Mentimeter to determine nature of Gap?

Agenda In-person meeting

# Continue assessment IANA issues

Confidentiality of (change) requests



# Theme 10 - Request Confidentiality



Requests to perform fundamental actions on a ccTLD (delegate, transfer, revoke) are generally processed confidentially by IANA

At the conclusion of a successful request of this nature, a report is published that distills key factors in the evaluation.

This is a practice, stipulated by contract, but is not policy.

Some have requested greater transparency into individual cases or the ability in the process to contribute their position into the assessment.

The current practice does not provide an explicit pathway for such input.

Do you have any questions?



# Do you believe it is important to that IANA treats requests confidentially?

0%  
Very Important

0%  
Important

0%  
Neutral

0%  
Not Important

0%  
Not Important at all



Why did you rate the importance the way you did?



Does IANA's treatment of requests as confidential illustrate an issue that the ccNSO needs to deal with at some stage?



# Summary results to date

In order of IANA Priority



# Theme 1 - Data Accuracy



## Hypothetical 2: Data accuracy Root Zone database

### Topics to be covered

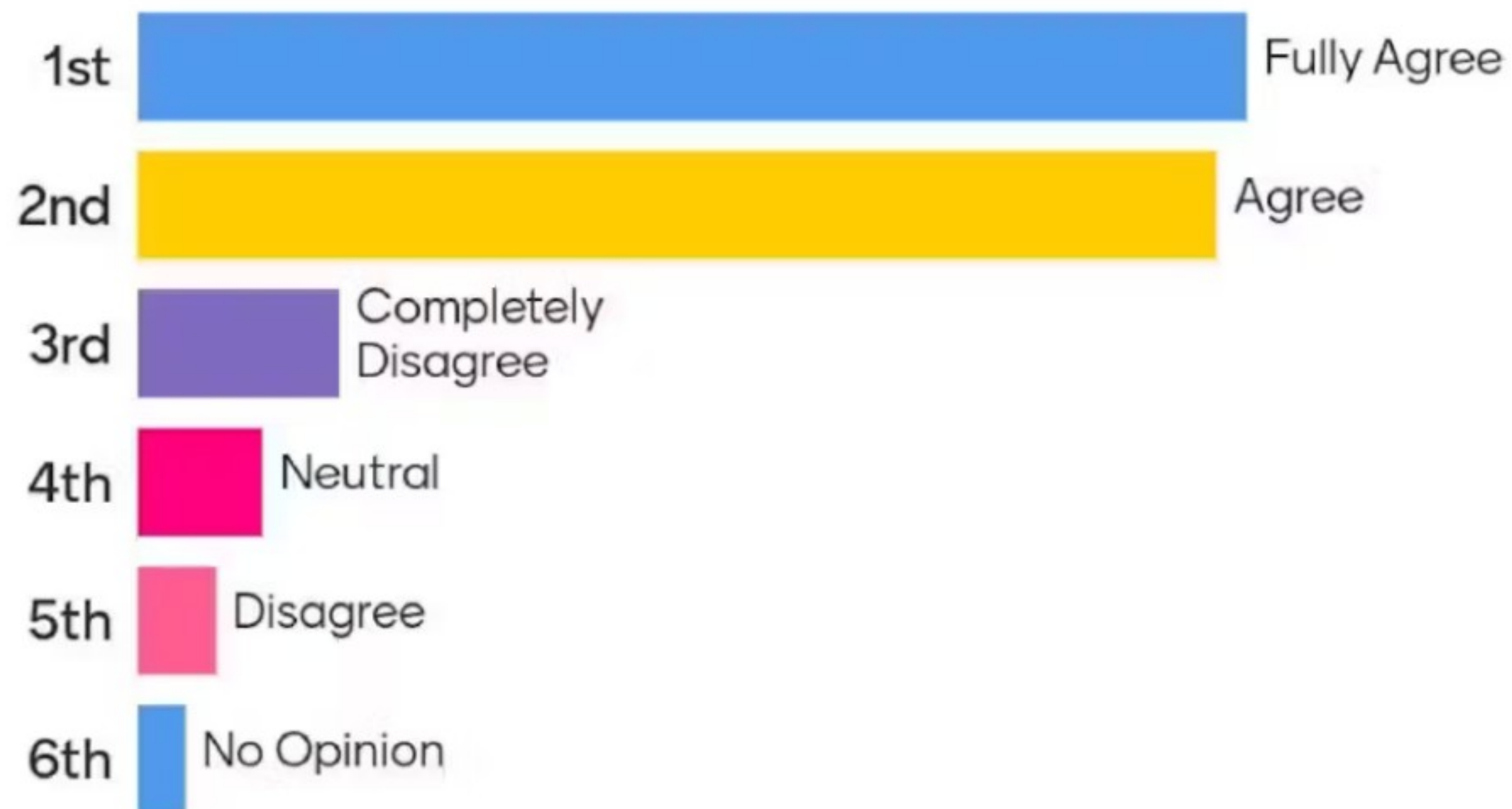
- Do IANA records need to be published?
- Do IANA records need to be accurate?

## IANA Data Accuracy

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- IANA maintains Root Zone Database, definitive record of who is recognized to run the ccTLD and its delegation details
- Operational reality may differ, e.g. de facto ccTLD manager that is not recognized by IANA, may have moved or changed contact details without updating record.
- Some is through oversight, some is deliberate
- IANA only acts to update based on customer request, not pro-active
- What to do when delta is identified?
  - Is there a role for IANA to be pro-active beyond asking nicely?
  - What if the change does not comply with policy?
- What legal obligation on published accurate data?

# Do the issues raised illustrate a GAP that needs to be filled?



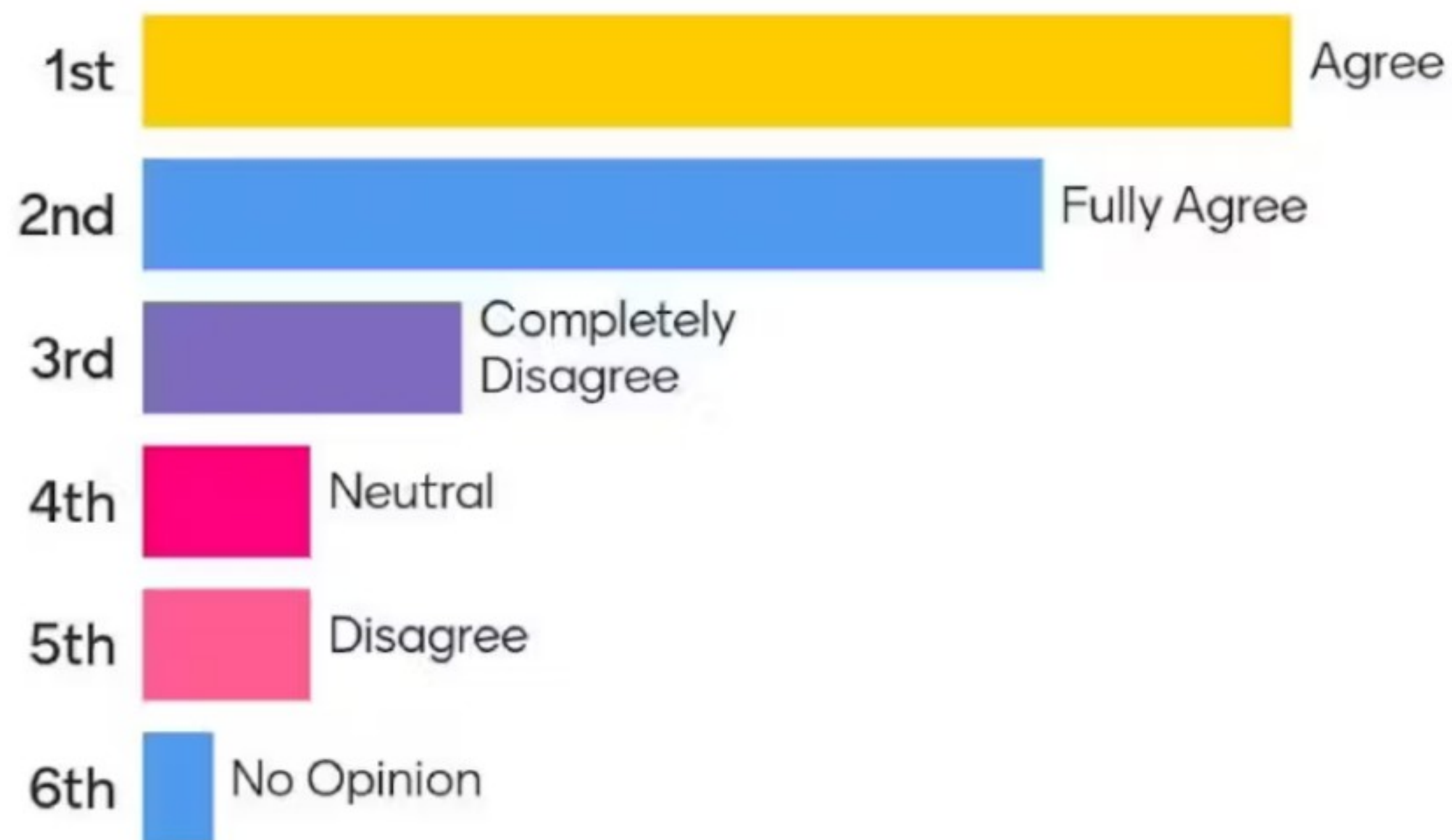
# Theme 2 - Purpose of public records

# #1 Purpose of public records

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- No framework to specify why we publish certain data
- Public interest is assumed
- No guidance of what is an appropriate admin/tech contact
- Historical record keeping
- How empowered is IANA to change the model?

# Do the issues raised illustrate a GAP that needs to be filled?



# Theme 3 - Enforcement and/or graduated compliance options



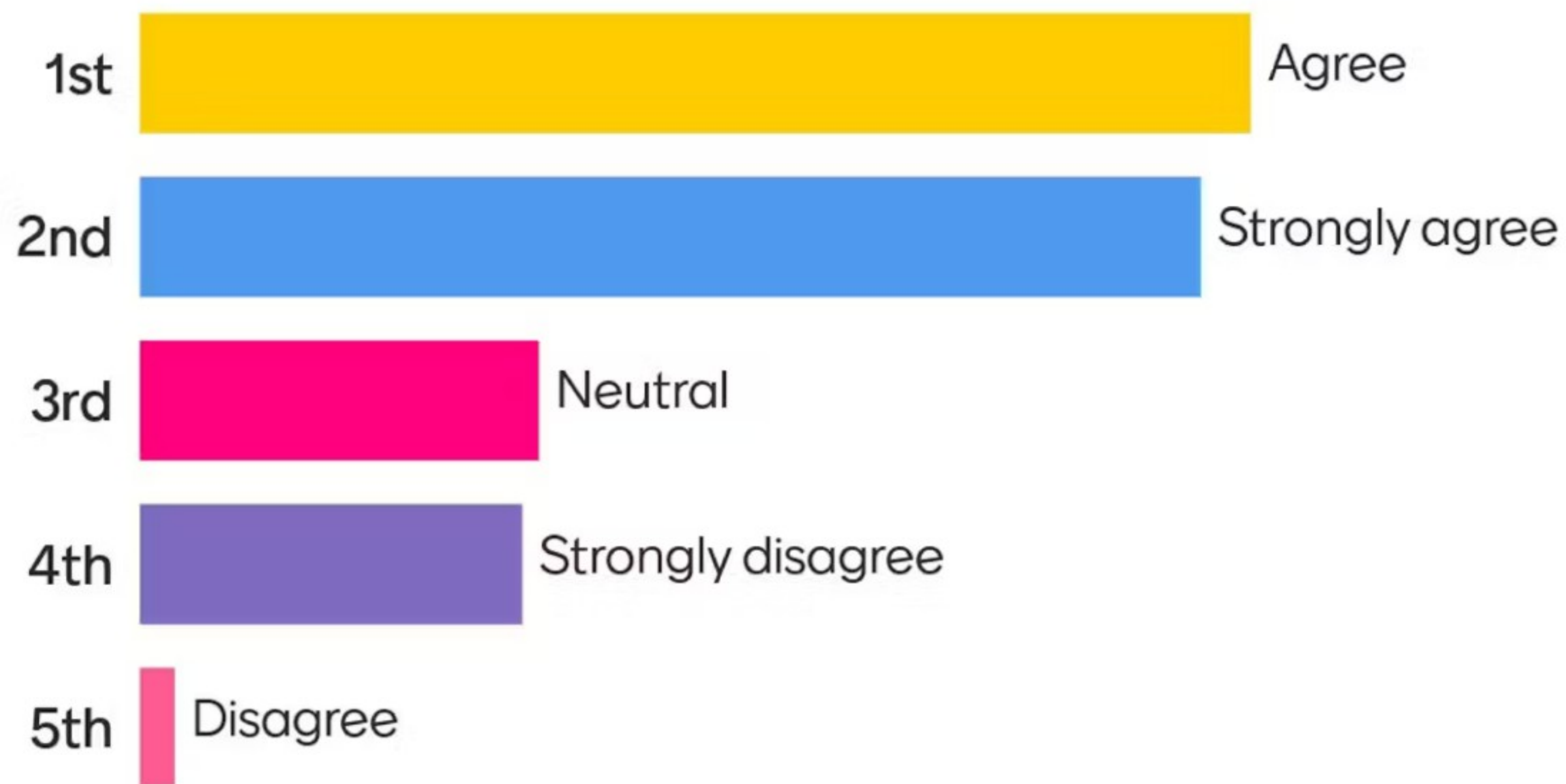
## #3 Enforcement

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- IANA has two options available
  - Asking nicely
  - Revocation (nuclear option)
- No graduated options in-between to cure defects
- Are there options in between?
- Should IANA be transparent about identified defects?



Do the issues raised illustrate a GAP that needs to be filled?

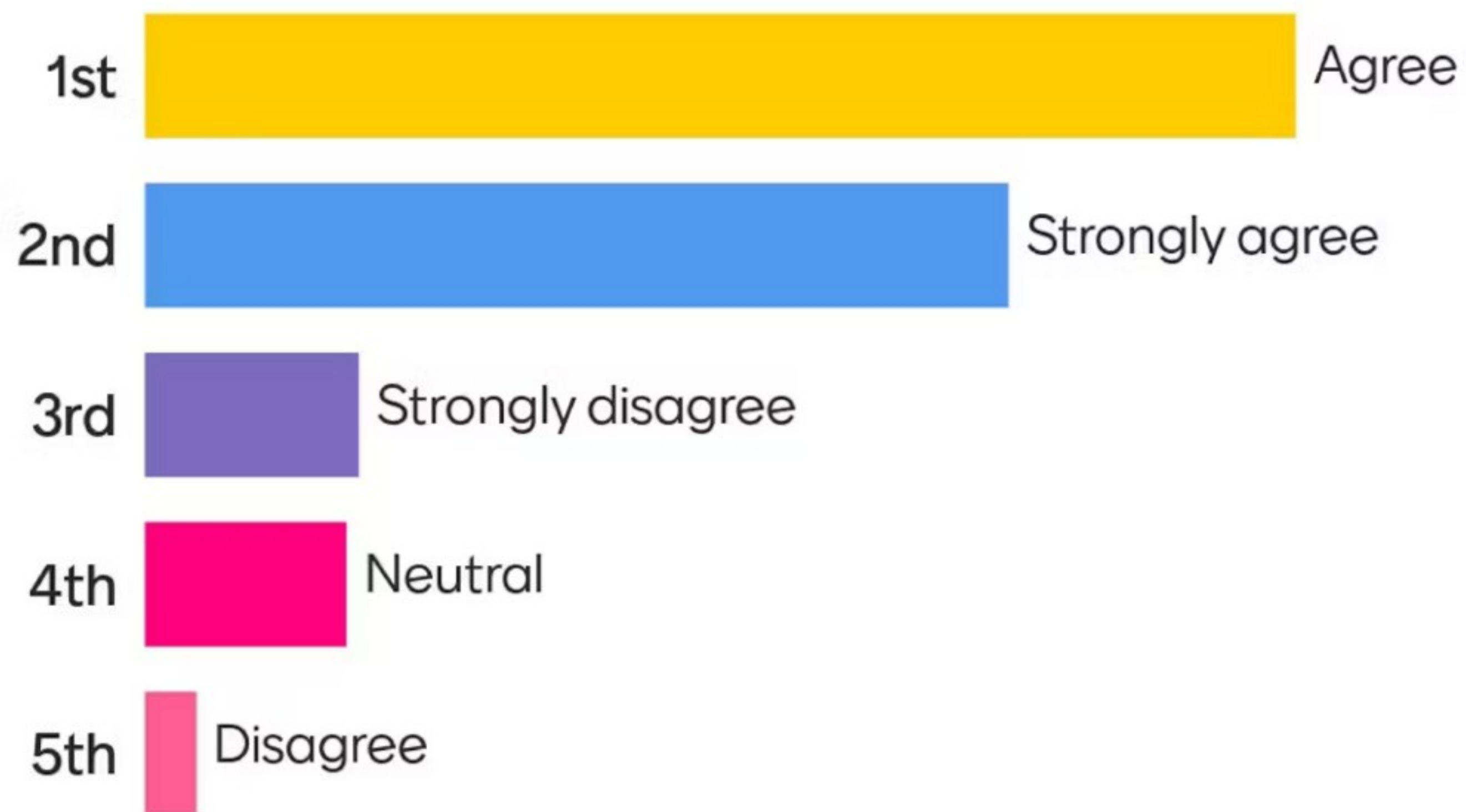


# Theme 4 - Eligibility Assessment

## #2 Review before changes happen

- Changes to how the ccTLD operator can happen before IANA is asked to review the change
  - What happens then?
- Policies assume IANA reviews/approves changes before changes on the ground
- Lack of mechanisms to ensure this happens
- How to conduct a review when materially the change has already happened?
- What happens if such review concludes they are ineligible?
- How to not create incentives to avoid the process?

Do the issues raised illustrate a GAP that needs to be filled?



# Theme 5 - Local Presence



RFC 1591 stipulates that “... *at least the administrative contact must reside in the country involved.*”

IANA interpretation: where is the ccTLD manager (as a legal entity) is domiciled, and where is primary operations are conducted



- 1. What is the purpose of the local presence requirement? Does the purpose of jurisdictional nexus need to be more clearly articulated?**
- 2. Is the local presence requirement sufficiently ensured by the policy language and IANA's operational implementation of it?**

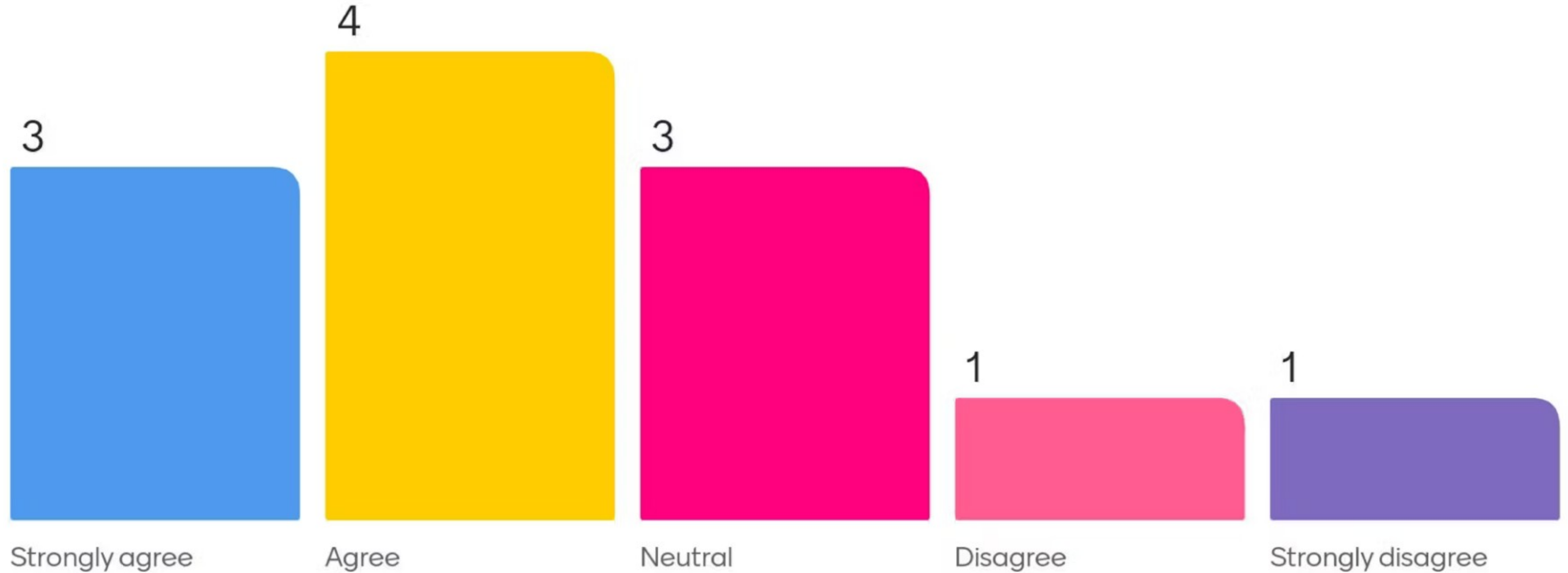
**In the case of dependent territories, IANA has a flexible requirement for local jurisdiction, in that it can be either territorial, or that of the parent country.**

- 3. Is this a satisfactory definition of jurisdiction scope?**
- 4. If there is a conflict between law and/or significantly interested parties between the country and territory level jurisdiction, what should happen?**

**To satisfy the requirement of local admin contact, cases where nominal points of contact listed in the IANA database are: persons who have little to no involvement in operations, or proxy local addresses where the contact is primarily resident out of the country.**

- 5. For contact requirements, what is the minimum level of acceptable local presence and how should that be assessed?**

Does the lack of definition of required level of local presence illustrate an issue that the ccNSO needs to deal with at some stage?



# Theme 6- Resignation



# Resignation/Transfer

There is no specified policy on how a ccTLD manager, or a public point-of-contact, can resign from their role.

It is assumed and operationalized that any time a ccTLD manager or a contact no longer wishes to perform their role, they will be replaced by a change request that identifies their successor.

Such changes are predicated on fulfilling global policy requirements (such as being in the country).

There is no identified capacity for these roles to be declared vacant, and even if there were, if the ccTLD is still operational will result in a divergence between IANA's records and ground truth (see issue #1).

What should happen in cases where a ccTLD manager wants to step away from their role?

What happens if a ccTLD manager hands off operation to a wholly different entity?

What should happen when a published contact asks to be removed from the record, but the ccTLD manager does not provide a qualified replacement?

# Hypothetical 1: Transfer or change of ccTLD management

## Scenario description

Sadly, Mr Vista passed away today.

He made **no** provisions about what should happen in the event of his death.

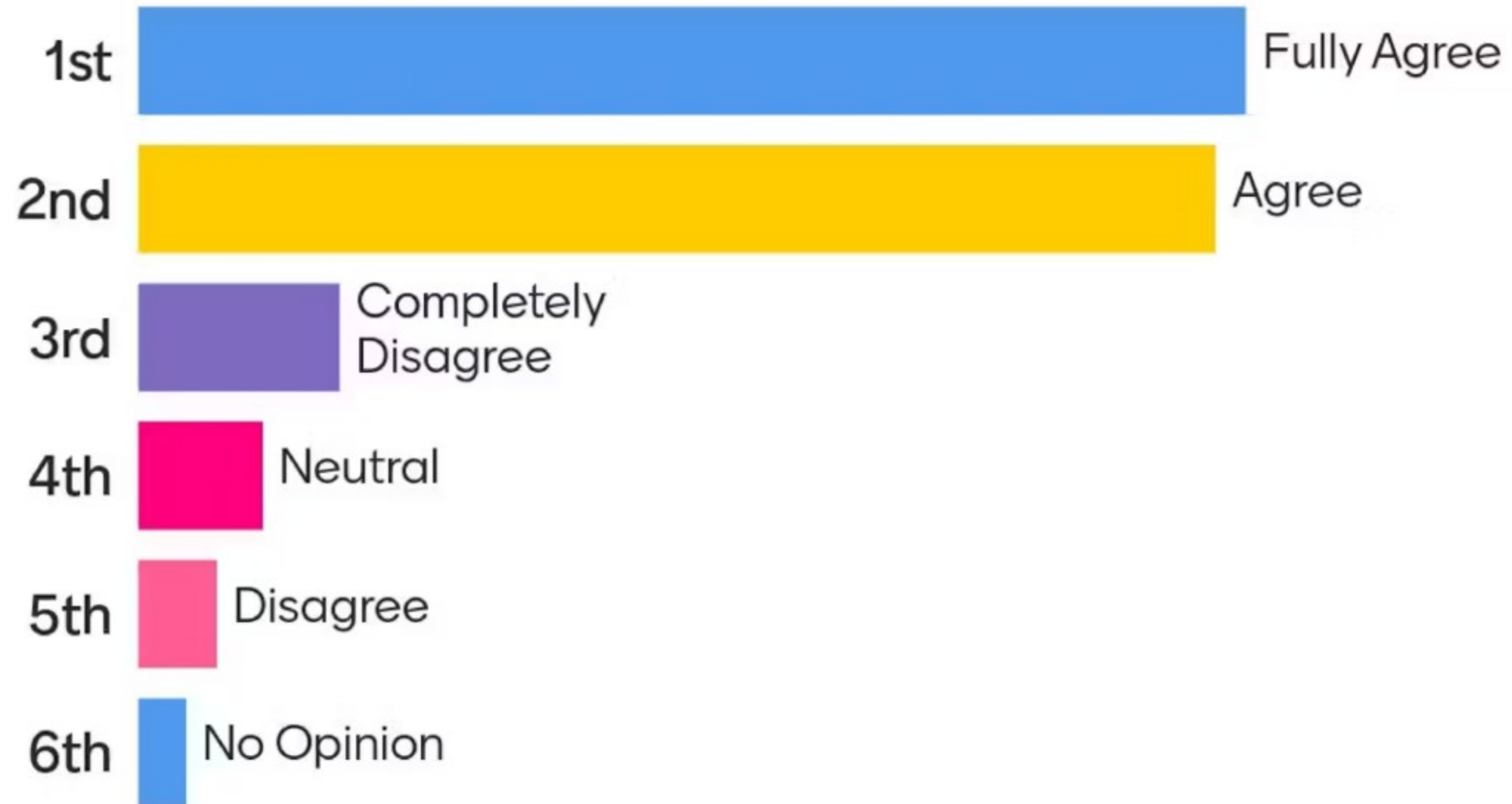
# Hypothetical 1: Transfer or change of ccTLD management

## Alternative Scenario description

Sadly, Mr Vista passed away today.

He did make provisions about what should happen in the event of his death.

Do the issues raised illustrate a GAP that needs to be filled?



# Theme 7 - Minimum level of involvement

There is a wide variety of operational situations for ccTLD managers. Some ccTLD managers are responsible for every aspect of the ccTLD.

However, in many cases, there are a complex set of interrelated parties with different responsibilities.

IANA often has difficulties in reaching decision makers or identifying the true parties that are managing the domain



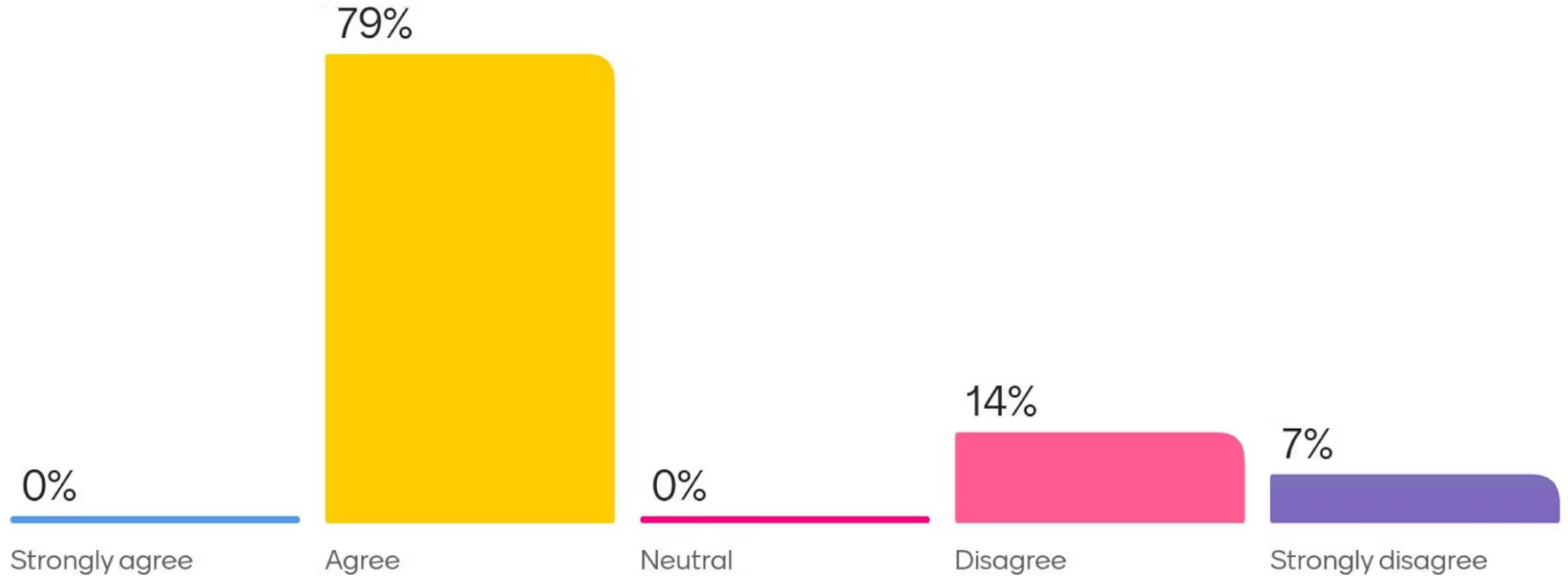
**Lack of definition of what is the minimum level of expected involvement of a ccTLD manager (and for that matter, the administrative contact as a vehicle for local accountability). Without such a definition and associated enforcement, it is not possible to assess whether a ccTLD manager materially manages the domain themselves or not.**

- 1. Does there need to be definitions for what the minimum obligations of a ccTLD manager to do directly?**

**Consider nominal points of contact listed in the IANA database**

- 2. What requirements should be assessed for points of contact?**

Is the lack of definition of minimum level of expected involvement in the operation of a ccTLD an issue that the ccNSO needs to address at some stage?



# Theme 8 - Active compliance monitoring

IANA does not have a program of ongoing monitoring that its records are up-to-date, or that ccTLD managers are otherwise continuing to meet the global policy requirements.

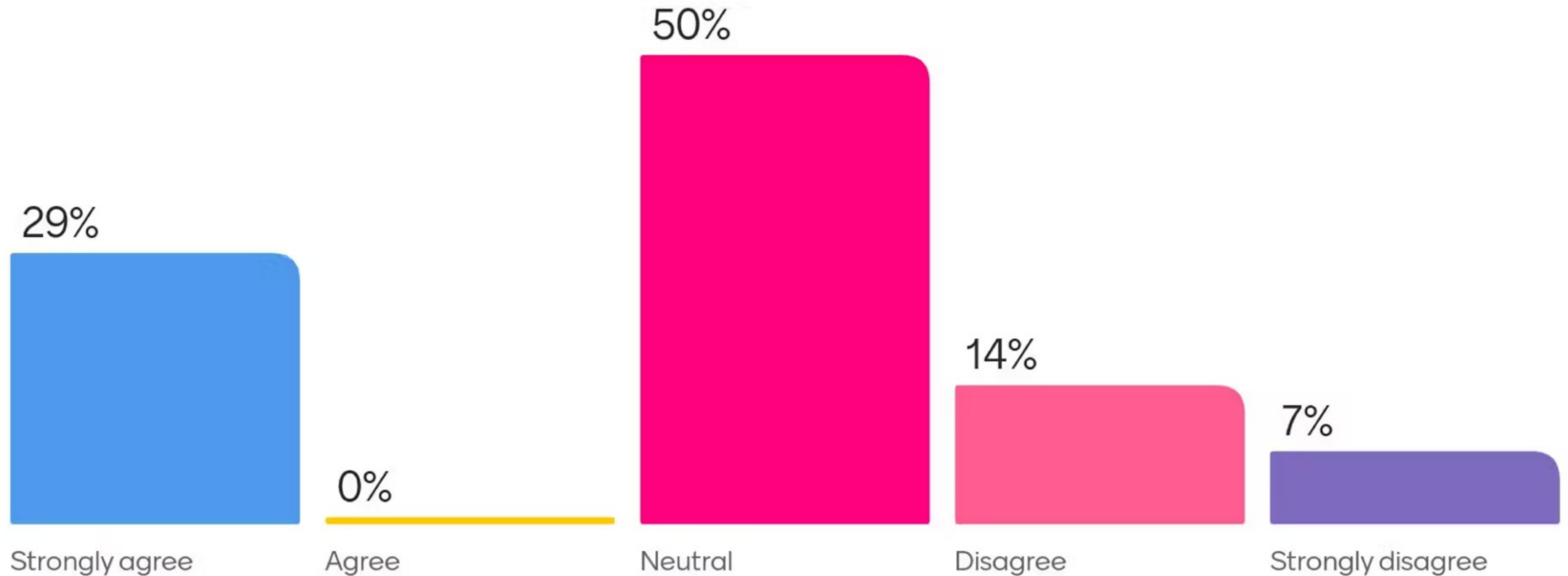
Only some less formal initiatives, such as periodical testing of email addresses and postal addresses



**When IANA becomes aware of an issue through a third party report, it will seek to notify the ccTLD manager and ask them to cure the problem. It is however fundamentally only when a change request is received that a comprehensive assessment is made relating to meeting policy requirements.**

- 1. Should IANA have a program of actively measuring compliance of the various requirements for ccTLDs?**

Does the lack of a program of actively measuring compliance of requirements for ccTLDs illustrate an issue that the ccNSO needs to deal with?



14



# Theme 9 - Disaster Recovery



Generally, disaster recovery for a ccTLD is considered wholly the responsibility for the ccTLD manager and its local community to address.

If it is not addressed, the parties often look to IANA for mechanisms to address it, and IANA is expected to do what it reasonably can to address threats to the operation of a ccTLD.

What, if any, requirements should be established around disaster recovery and/or the ability to sustain ongoing operations of the domain in the case of disaster or non-compliance with global policies?

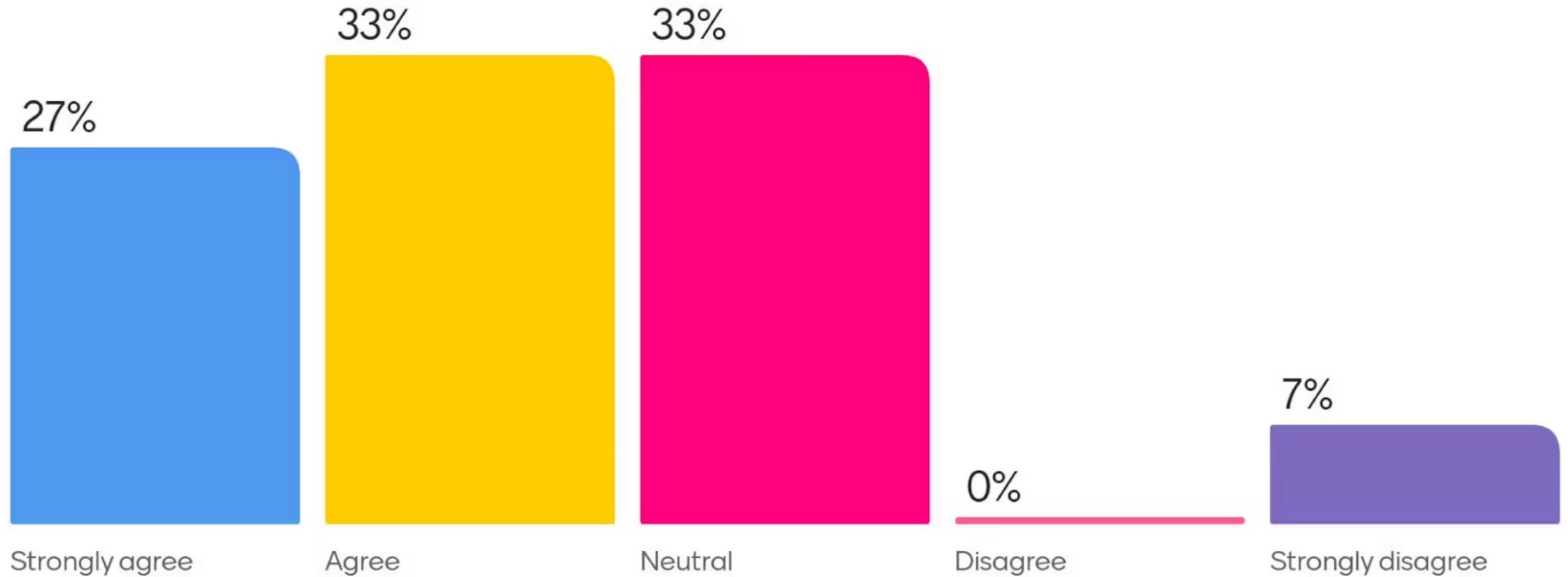
Another area of disaster recovery is where ccTLD managers have sought to make private arrangements with IANA on special procedures to perform in emergencies. Pre-define a set of conditions under which IANA would seek to recognize another party to manage the domain, through mutual agreement.

This is (partly) driven by the recognition that a formal transfer of a ccTLD may take months to perform, but a fast response would be expected to immediately restore ccTLD operations in an emergency where the ccTLD manager has failed.

Should there be any policies regarding how such arrangements are made?

Is IANA empowered to establish such arrangements?

Does the lack of general empowerment of IANA to get involved in disaster recovery present an issue that the ccNSO needs to deal with at some stage?



# Strawdog or Mentimeter poll?



# Strawdog GAP



Theme	Policy	Interpretation	Gap in practice	Other <small>ICANN   ccNSO</small>
<b>Local Presence</b>		Matter of interpretation of RFC 1591/refinement of Fol, because		
<b>Disaster Recovery</b>			IANA should be empowered to provide/assist in disaster recovery, either. In everybody's interest to have disaster recovery available, however note local requirement	
<b>Complicance</b>		If allowed to revoke, allowed to take lesser, more proportionate measures, without need to wait until revocation is warranted		



# Mentimeter poll



# What is nature of the Local Presence Issue?

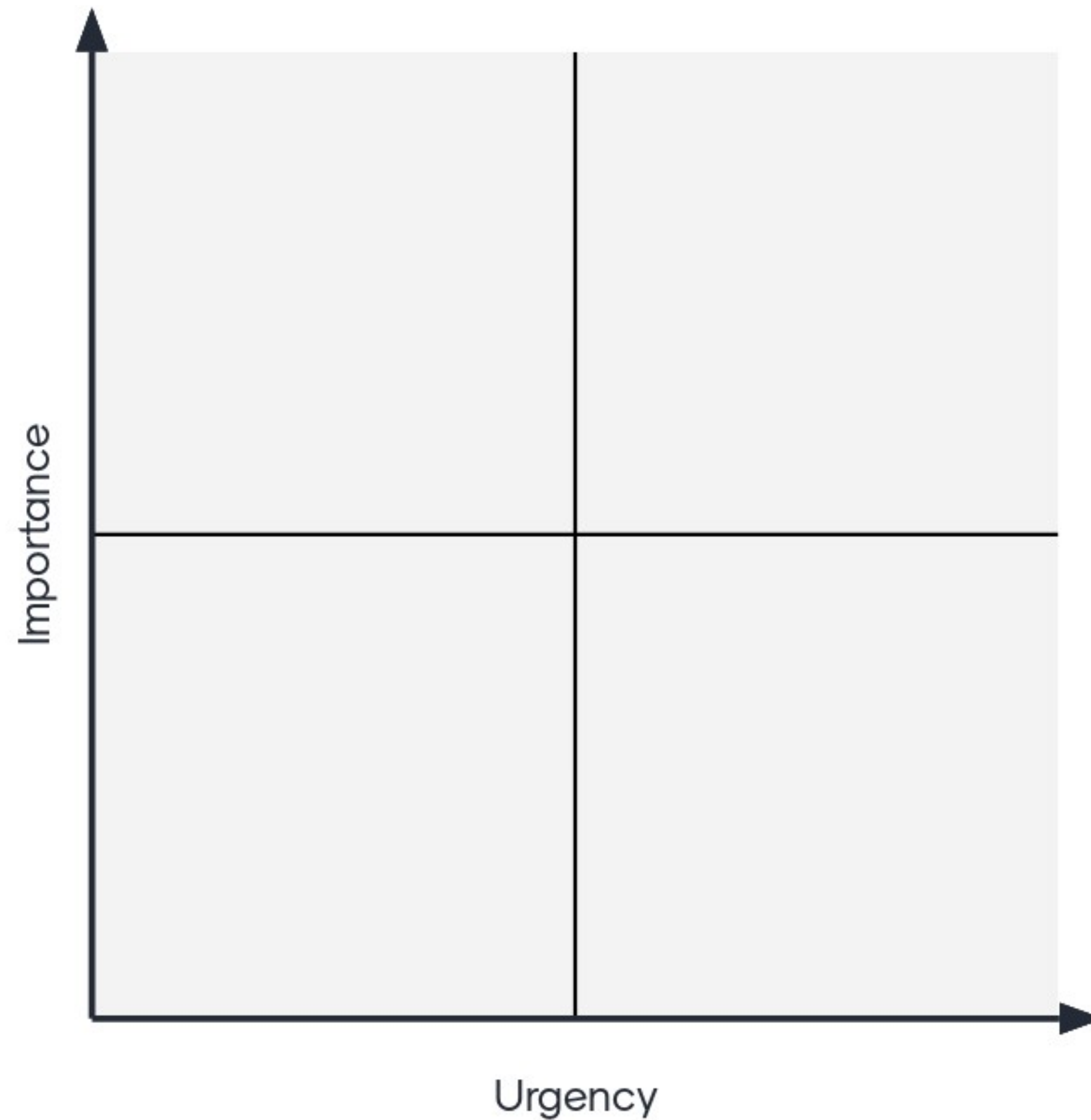
- 1st | Gap in Policy
- 2nd | Gap in Interpretation of policy
- 3rd | Procedural/practice Gap
- 4th | Other



Why did you select what you selected?



Select the issues that you believe are most important and need to be resolved asap



- 1 Data Accuracy
- 2 public records
- 3 enforceability
- 4 local presence
- 5 resignation
- 6 assessment
- 7 disaster recovery
- 8 level of involvement
- 9 compliance monitoring
- 10 request confidentiality



# Agenda 9 November

- Determine nature of gaps
- Order of Priority to address issues
- Continued mandate of the group: identify other gaps, consolidated policy documentation
- What to present to community?