ICANN-IETF MoU Supplemental Agreement

Introduction

This document is between the IETF Administrative Support Activity (IASA) and the Internet Corporation for Assigned Names and Numbers (ICANN) to supplement the Memorandum of Understanding between the IETF and ICANN concerning the technical work of the Internet Assigned Numbers Authority (IANA) function as performed by ICANN dated March 1, 2000 (http://www.icann.org/en/general/ietf-icann-mou-01mar00.htm).

This supplemental agreement between ICANN and the IASA, forms part of the missing criteria and procedures referred to in section 4.1 of the MoU and describes the commitments, services, and tasks ICANN undertakes to fulfill the IANA functions on behalf of the IETF, as well as the commitments, services, and tasks members of the IETF community will provide to ICANN at the direction of the IESG and/or IAB.

This agreement describes a base level of commitment on behalf of both parties. This document has evolved over time as new tasks were identified and existing tasks completed. Annual review will continue to update new and ongoing tasks and if/when service time expectations need to be revised. This is an amendment of the supplemental agreement that was implemented in January 2007. Specific details of this Service Level Agreement (SLA) may be modified (or clarified) at any time by mutual agreement.

Services

ICANN in performing the IANA function will:

1. Maintain a publicly accessible, web-based "Resource Registry Matrix" ("Martrix") document.

   The Matrix describes:

   a. The name of each registry;
   b. Registration requirements for parameters in that registry;
   c. The normative RFC defining the requirement for the registry if applicable;
   d. Expert's name if applicable

   The Matrix will:

   a. Be kept current;
   b. Use hyperlinks to connect the Matrix to the registries it describes;
   c. Use nesting as appropriate to indicate sub-registries

As more registries are converted to XML as the source, ICANN in performing the IANA function will continue to modify the format of the Matrix. If there are any significant changes to the format of the Matrix, the IETF-IANA Working Group will be consulted and any major changes will be mutually agreed on.

2. Provide a tool, on a queue-by-queue basis, for Public and IESG transparency into status of individual requests and continue to provide the public view of the status of all the approved Internet Drafts and their state in the IANA processing queue (www.iana.org/draft-status/draft-queue-status-all.html).   This   transparency includes the ability to:

    a. Find/verify the existence of a request;
    b. View the actual status of request

    Note that the Public and IESG/Requester views are different. The IESG view includes more detail that is not appropriate for public visibility.

3. Continue, in confidence to the IETF-IANA Working Group, to document all newly discovered single points of failure/expertise (in a separate document to the monthly report) and will detail efforts undertaken to address and/or ameliorate them.

4. Notify the resource requester WITHIN THREE (3) BUSINESS DAYS when there is an expectation that action on the request will exceed established service levels with an explanation for the delay and, when possible, a forecast as to when action will be completed on the request.

5. Continue to provide Fast Track Expedited Processing as an exception to the first in, first out policy at the request of the IESG.

Service Levels

Due to the nature of resource request reviews, ICANN in performing the IANA function, and the IETF community, are jointly responsible for cooperatively managing the resource request process. ICANN in performing the IANA function has control over the functions it performs directly, e.g., receiving requests, making sure they are syntactically and semantically sensible, forwarding the requests to Designated Experts where appropriate, creating and modifying the registries, etc. The IETF community has direct or indirect control over functions performed by third parties, including IESG Designated Experts, the IESG, the IAB, the RFC Editor, and the requester. As such, the processing of requests has a "total processing time" calendar days goal established for each function and an "IANA processing time" calendar days goal to reflect time expended directly by ICANN in performing the IANA function.

1. When registries using Designated Experts are created, it is preferable that the IESG assign Designated Experts for resource registries at time of document approval. If the expert for the registry is not known at the time of document approval, a management item submitted by ICANN in performing the IANA function can request the IESG to designate an expert after the registry has been created. Prior to the appointment of a Designated Expert, the only registrations that will be included in that registry are the initial ones declared in the RFC. After approval of a Designated Expert, the IETF Secretariat will send a notification to ICANN to perform the IANA function.

2. ICANN in performing the IANA function will meet or exceed goals for service expectations/commitments for 90% of all work requests as defined in "Appendix A – Service Time Commitments".

3. "Third party processing time", that is, the total processing time minus the "IANA processing time", which exceeds the goals in Appendix A (unless otherwise stated elsewhere herein) will trigger the appropriate escalation procedure described in the section entitled "Escalation".

4. Due dates will be provided in assignments for third party actions, such as Designated Experts, based upon processing times specified for such action herein.

5. As such, the "total processing time" of a request can be further broken down into an "IANA processing time", "Requester processing time", and "Other processing time". When measuring the time taken to process requests, the "overall processing time" refers to the total amount of time (from whatever source) to complete the request. The "IANA processing time" refers to that portion of the time that is directly attributable to IANA activity, etc. This SLA includes target service times for the IANA portion of servicing requests. Target times for some (but not all) of the other components are also defined here.

Escalation

Escalation processes have been established to handle the cases where timely responses are not forthcoming. There are separate processes for escalation with the Designated Experts, the IESG, the Requester and ICANN. These have been mutually agreed upon and have been documented. Changes to the procedures can be made at any time after agreed upon by the IETF-IANA Working Group. These procedures can be found at http://www.iana.org/escalation/procedure.html.

Documentation

ICANN in performing the IANA function will:

Keep documentation up-to-date for the functions performed for the IETF. The processes and procedures to be documented include:

a. Creation of new public registries as called for in IESG approved documents;
b. Maintenance of public registries including updating registries as called for in IESG approved documents as well as updating registries via appropriate requests submitted directly to ICANN to perform the IANA functions (i.e., for registries not requiring action as part of a document approval process);
c. Review (for IANA Consideration actions) all documents that appear on IESG telechats (not all of which undergo a formal IETF Last Call).
d. Interactions with document authors (and the IESG) when ensuring the IANA Considerations are sufficiently clear and unambiguous so that the actions can be completed (done prior to the document approval by the IESG);
e. Coordination with the RFC Editor in the final steps of document publication;
f. Maintenance of a publicly accessible list of the Designated Experts associated with those registries that make use of a Designated Expert, as well as a non-publicly accessible list of the contact information for those experts;
g. Continue to provide regular updates, not less than once per business day, of a publicly accessible web page that provides a listing of the state of all approved Internet Draft documents being processed by ICANN in performing the IANA function..

Reports

ICANN in performing the IANA function will:

1. Track Resource allocation statistics as described in item 13 and publically report on a monthly basis. A notification will be provided to the IETF-IANA Working Group when utilization rates for a specific registry show danger of exhaustion or when a single point of failure is identified and corrected.

2. Provide publicly accessible, clear, and accurate monthly statistics showing work that has been done and the work items that are currently queued. These statistics should be drawn over all IETF-related requests broken down into meaningful categories, i.e.:

a. IESG approved documents;
b. Reference Updates
c. Last Calls
d. Evaluations
e. New MIME type requests;
f. Modifications to and/or deletions of MIME type requests;

g. New Port number requests;
h. Modifications to and/or deletions of Port number requests;
i. New Private Enterprise Number (PEN) requests;
j. Modifications to and/or deletions of PEN requests;
k. New TRIP ITAD Numbers
l. Miscellaneous Protocol Parameter requests (for those where IANA does not receive more than 5 per month, they are grouped together here)

For those requests relating to other IETF-created registries for which the request rate is more than five per month, ICANN in performing the IANA function will track the rate for which requests are coming in and consult with the IETF-IANA committee regarding the need to track separately.

For each of these categories information should be collected for:

a. Number of requests in the queue at the beginning of the reporting period
b. Number of new requests received during the reporting period
c. Number of requests completed during the reporting period
d. Number of requests in the queue at the end of the reporting period
e. Histogram showing the ages of requests still in the queue at end of reporting period
f. Histogram for cumulative IETF requests for created/closed/resolved at the end of the reporting period and the year to date

For completed requests, information should be reported for:

a. Mean service times (i.e., "total" and "IANA");
b. Mean service times, showing individual contribution from "IANA", "Requester", and "Other";
c. Standard deviation from the average service times;
d. Minimum service time;
e. Median service time;
f. Cumulative stats reflecting outliers, i.e., the totals of all completed requests within their respected categories, including outliers;
g. Maximum service time;
h. Histogram of cumulative stats reflecting outliers (as e. above), data by proportion.
    (1) Number completed within 0-7 days,
    (2) Number completed within 8-14 days,
    (3) Number completed within 15-30 days,
    (4) Number completed in more than 30 days

These service times should be collected and published for "total", "IANA" and "third party" times.

The exact statistics in this SLA continue to be reviewed and may change over time based upon experience. Such changes may be made by mutual agreement.

3. Provide access to the raw "event log" data from which statistics can be generated to allow others to generate statistics/reports from the underlying data.

The optimal form for displaying monthly statistics is a work in progress and will likely change over time.

Collaboration

1. There is currently an effort to integrate the tools used by support services for the IETF so that all relevant information can be found within the I-D tracker. ICANN in performing the IANA function, RFC-Editor and the Secretariat are working collaboratively to document the requirements for what integration is needed. Future deliverables will be determined following discussions with the IETF-IANA Working Group.

    Raw data will be provided weekly, including states and sub-states, to the IETF-IANA Working Group until the completion of the integration of tools.

2. The IETF intends to develop metrics to measure the overall process for publishing new specifications. These metrics include separating time spent in WGs, IESG, IANA, RFC-Editor, and so on. All parties involved will work together to define the requirements and metrics. The actual production of possible additional data will be agreed upon separately.

3. The IETF-IANA Working Group will examine if using the mechanisms defined in RFC 3553 to refer precisely to the registry name spaces by URN is a useful feature to the community. A decision regarding using this mechanism should be reached within twelve (12) months of agreement implementation.

4. A teleconference bridge will be provided to facilitate teleconferences for the IETF-IANA Working Group. The date, time, and duration of these calls will be mutually agreed on and at a minimum a status update of all outstanding issues raised at the previous month's teleconference will be provided.

5. The Parties agree to review the terms of this document in one year to determine whether any modifications may be required. Prior to this review, this document will be interpreted flexibly.

6. IANA Function Action Summary Table

	Action	Section/Reference	Delivery Date After Effective Date
	IANA Function Action Summary		
1	Single points of failure documentation to IETF-IANA WG	Services/3	As needed
2	Track and publicly report on a monthly basis	Reports/1	Monthly
3	Provide publicly accessible, clear and accurate monthly statistics	Reports/2	Monthly
4	Provide access to raw "event log" data	Reports/3	Monthly
5	Continue integration work with the IETF related tools	Collaboration/1	Not yet determined
6	Provide raw data weekly to IETF-IANA WG	Collaboration/1	Weekly until tracker integration
7	Make a decision regarding the use of mechanisms described in RFC3553	Collaboration/3	Within 12 months
8	Review terms of agreement	Collaboration/5	In 1 year

Effective Date

27. This agreement is effective January 1, 2011.

Agreed to on ____/___/____ by
(Month)   (Day)   (Year)

On behalf of ICANN: On behalf of IAOC:

_____   _____
Signature   Signature

Elise Gerich   Ray Pelletier
Name   Name

Vice President, IANA   IETF Administrative Director
Title   Title

ICANN   IASA
Organization   Organization

Appendix A – Service Time Commitments

Resource	Proc Time	Clock starts at	Clock stops at
Documents (including IETF and RFC Editor submissions)	14	Receipt of official IESG approval of the document or receipt of official notice of intend to publish from the RFC-Editor.	Sending an "IANA Actions Complete" message to the RFC Editor
Last Call Reviews	Varies	Receipt of official notice of IETF Last Call Announcement	Receipt by IESG of comments regarding document actions
Evaluation Reviews	Varies	Receipt of official notice of Evaluation Ballot	Receipt by IESG of comments regarding document actions
Reference Updates (for documents with completed IANA Actions)	7	Receipt of RFC number for the RFC-Editor	Completion of the reference updates in protocol registries
Protocol parameter requests requiring IESG Designated expert and/or IETF mailing list review	14	Receipt of initial request	Notification of resource assignment
Protocol parameter requests that do not require technical review	7	Receipt of initial request	Notification of resource assignment
All other requests	14	Receipt of initial request	Notification of resource assignment

Additional IANA Function Processing Time and Third Party Service Time Requirements:

A. The Resource Registry Matrix will be updated with approved IESG Designated Experts within 1 week of notification of the appointment.

B. The processing time goals for third parties will be in calendar days as follows:

   a. Designated Experts – 14 days
   b. Requester – 30 days
   c. IESG – 14 days
   d. Other – 7 days

Notes:

- At implementation there will be a commitment to continuous process improvement leading to the reduction of outliers as reflected on histograms, and

of processing times less than or equal to the values in the column entitled "Processing Time Now".

- All processing times ("Proc Time") are given in "net" IANA days, in terms of "calendar days".

- The IETF-IANA Working Group will be notified in advance if it is anticipated that any of these service time commitments will not be met. In such a case, documentation will be provided on the cause(s) of being unable to meet the commitment(s) and steps taken to address those causes.

- Changes to the service time commitments will be agreed on between IETF-IANA Working Group members.