

Section C - Statement of Work (SOW)

<u>CAR Clause Number</u>	<u>Title</u>	<u>Date</u>
1352.211-70	Statement of Work/Specifications	March 2000

C.1 BACKGROUND

- C.1.1 The U.S. Department of Commerce (DoC), National Telecommunications and Information Administration (NTIA) has initiated this agreement to maintain the continuity and stability of services related to certain interdependent Internet technical management functions, known collectively as the Internet Assigned Numbers Authority (IANA).
- C.1.2 Initially, these interdependent technical functions were performed on behalf of the Government under a contract between the Defense Advanced Research Projects Agency (DARPA) and the University of Southern California (USC), as part of a research project known as the Terranode Network Technology (TNT). As the TNT project neared completion and the DARPA/USC contract neared expiration in 1999, the Government recognized the need for the continued performance of the IANA functions as vital to the stability and correct functioning of the Internet. On December 24, 1998, USC entered into a transition agreement with the Internet Corporation for Assigned Names and Numbers (ICANN) under which ICANN secured directly from USC, all necessary resources, including key personnel, intellectual property, and computer facility access critical to the continued performance of the IANA functions. Having assumed these key resources (as well as other responsibilities associated with privatization of the Internet domain name system), ICANN was uniquely positioned to undertake performance of these functions. On February 8, 2000, March 21, 2001, and then on March 13, 2003, the DoC entered into an agreement with ICANN to perform the IANA functions. In connection with its work under these agreements, ICANN has developed and maintained close, constructive working relationships with a variety of interested parties, including Internet standards development organizations and technical bodies.
- C.1.3 The Government acknowledges that data submitted by applicants in connection with the IANA function is confidential information. To the extent permitted by law, the Government shall accord any data submitted by applicants in connection with the IANA functions with the same degree of care as it uses to protect its own confidential information, but not less than reasonable care, to prevent the unauthorized use, disclosure or publication of confidential information. In providing data that is subject to such a confidentiality obligation to the Government, the Contractor shall advise the Government of that obligation.

C.2 CONTRACTOR REQUIREMENTS

C.2.1 The Contractor must perform the required services for this purchase order as a prime Contractor, not as an agent or subcontractor. The Contractor must possess and maintain through the performance of this acquisition a physical address within the United States. The Government reserves the right to inspect the premises, systems, and processes of all security and operational components used for the performance of these requirements.

C.2.2 The Contractor shall furnish the necessary personnel, material, equipment, services, and facilities, to perform the following requirements without any cost to the Government. On or after the effective date of this purchase order, the Contractor may establish and collect fees from third parties (*i.e.*, other than the Government) for the functions performed under this purchase order, provided the fee levels are approved by the Contracting Officer before going into effect, which approval shall not be withheld unreasonably and provided the fee levels are fair and equitable and provided the aggregate fees charged during the term of this purchase order do not exceed the cost of providing the requirements of this purchase order. The Government will review the Contractor's accounting data at anytime fees are charged to verify that the above conditions are being met.

C.2.2.1 DoC NTIA has a requirement for a Contractor to maintain the operation of the Internet by performing the IANA functions. In performance of this purchase order, the Contractor shall furnish the necessary personnel, material, equipment, services, and facilities (except as otherwise specified), to perform the following IANA requirements.

C.2.2.1.1 Coordinate the assignment of technical protocol parameters - - This function involves the review and assignment of unique values to various parameters (*e.g.*, operation codes, port numbers, object identifiers, protocol numbers) used in various Internet protocols. This function also includes the dissemination of the listings of assigned parameters through various means (including on-line publication) and the review of technical documents for consistency with assigned values.

C.2.2.1.2 Perform administrative functions associated with root management - - This function addresses facilitation and coordination of the root zone of the domain name system, with 24 hour-a-day/7 days-a-

week coverage. It includes receiving requests for and making routine updates of the country code top level domain (ccTLD) contact (including technical and administrative contacts) and nameserver information. This function also includes receiving delegation and redelegation requests, investigating the circumstances pertinent to those requests, and making recommendations and reporting actions undertaken in connection with processing such requests. All requests, collectively referred to as "IANA root management requests," must be processed promptly and efficiently, and in accordance with processing metrics set forth in Section J - Appendix A. These processing metrics will be posted prominently on Contractor's website. Contractor shall develop and implement a process no later than January 30, 2007, for consulting with the relevant governments and ccTLD managers to encourage greater efficiency and responsiveness to these entities in processing ccTLD requests, consistent with the processing metrics.

C.2.2.1.3

Allocate Internet Numbering Resources - - This function involves overall responsibility for allocated and unallocated IPv4 and IPv6 address space and Autonomous System Number space. It includes the responsibility for delegation of IP address blocks to regional registries for routine allocation, typically through downstream providers, to Internet end-users within the regions served by those registries. This function also includes reservation and direct allocation of space for special purposes, such as multicast addressing, addresses for private networks as described in RFC 1918, and globally specified applications.

C.2.2.1.4

Other services - - The Contractor shall perform other IANA functions and implement modifications in performance of the IANA functions as needed upon mutual agreement of the parties.

C.2.3 Secure Systems -- Computing and communications systems operated by the Contractor shall be installed and operated in accordance with best business and

security practices. The Contractor shall implement authenticated communications between it and its customers when carrying out all IANA requirements. Such practices and configuration of all systems shall be documented.

- C.2.4 Secure Data -- The Contractor shall ensure the authentication, integrity, and reliability of the data in performing the IANA requirements, including the data relevant to DNS, root zone file, and IP address allocation.
- C.2.5 Computer Security Plan -- A Computer Security Plan is required. The plan shall be developed and implemented no later than December 1, 2006, and updated annually. The plan shall be delivered to the Government upon request.
- C.2.6 Director of Security -- The Contractor shall designate a Director of Security who shall be responsible for ensuring technical and physical security measures, such as personnel access controls. The name of the Director of Security shall be provided to the Government prior to contract award. The Contracting Officer's Technical Representative (COTR) shall also be notified and consulted in advance when there are personnel changes in this position.

C.3 REPORTING REQUIREMENTS

- C.3.1 Monthly Performance Progress Report -- The Contractor shall prepare and submit to the Contracting Officer and COTR a performance progress report every month (no later than 15 calendar days following the end of each month) that contains statistical and narrative information on the performance of the IANA functions (*i.e.*, assignment of technical protocol parameters; administrative functions associated with root zone management; and allocation of internet numbering resources) during the previous 30-day period. The report shall include a narrative summary of the work performed for each of the functions, and shall include the tables set forth in Section J - Appendix B, completed by the Contractor with appropriate details and particularity. The report shall also describe major events, problems encountered, and any projected significant changes, if any, related to the performance of Section C.2.
- C.3.2 Audit Data -- The Contractor shall generate and retain security process audit record data for one year and provide an annual audit report to the Contracting Officer and the COTR. Specific audit record data will be provided to the Contracting Officer and COTR upon request. All root operations shall be included in the audit, and records on modifications to the root zone file shall be retained for a period of at least one year.
- C.3.3 Final Report -- The Contractor shall prepare and submit a final report on the performance of the IANA functions that documents standard operating procedures, including a description of the techniques, methods, software, and tools employed in the performance of the IANA functions. This report shall be submitted to the Contracting Officer and the COTR no later than 30 days after expiration of the purchase order.

C.4 PERFORMANCE EXCLUSIONS

- C.4.1 This purchase order, in itself, does not authorize modifications, additions, or deletions to the root zone file or associated information. (This purchase order does not alter root system responsibilities as set forth in Amendment 11 of the Cooperative Agreement NCR-9218742 between the DoC and VeriSign, Inc.)
- C.4.2 This purchase order, in itself, does not authorize the Contractor to make material changes in established methods associated with the performance of the IANA functions. Changes in the established methods associated with the performance of the IANA functions may be implemented only upon mutual agreement of the parties.
- C.4.3 The performance of the functions under this contract, including the development of recommendations in connection with changes that constitute delegations and

redelegations, shall not be, in any manner, predicated or conditioned on the existence or entry into any contract, agreement or negotiation between the Contractor and any party requesting such changes or any other third-party.

Section J – Attachments

Appendix A – Processing Metrics

Appendix B – Monthly Performance Progress Report Tables

APPENDIX A - PROCESSING METRICS

PROCESS FOR IANA ROOT MANAGEMENT REQUESTS

Specific Steps to Process a Change Request

Request received by the Contractor -- The Contractor receives request to make changes to the root-zone and/or the authoritative WHOIS database. The *date of receipt* is the date upon which the Contractor receives a request, on a business day, during the hours of 9:00 am and 5:00 pm Pacific Time.

Confirmation of Receipt -- Within three (3) business days of the date of receipt, the Contractor shall send confirmation of receipt of the request and a transaction number to the Requester.

Contractor reviews request -- The submission is reviewed to determine the details of the changes requested. During this process, Contractor determines whether the request contains all of the information necessary to commence processing (complete request), or the request requires additional information or clarification from the Requester (incomplete request). If a request is complete, the Contractor shall commence *Request Processing*.

Notice of deficiency-- In the event that the request is deemed *incomplete*, the Contractor shall, within seven (7) calendar days of the date of receipt, provide to the Requester a notice of deficiency. This notice shall offer a detailed description of the deficiency(ies) in the request.

Deficiency cure-- A Requester must promptly cure any deficiency in a request. If a Requester fails to cure any deficiency in its request within fourteen (14) calendar days of the notice of deficiency, then the Contractor will deem the request closed. Multiple communications between the Requester and the Contractor may be necessary to ensure that deficiencies are clearly understood by all parties. Once the Contractor has determined that the Requester has cured the deficiency(ies), the Contractor shall deem the request complete and shall commence request processing.

Request Processing -- Within seven (7) calendar days of a request being deemed complete, Contractor shall send to Requester a notice of confirmation of requested changes. Requester shall provide confirmation of the requested changes within seven (7) calendar days of receipt of such notice from Contractor. If Contractor does not receive confirmation within seven (7) calendar days, Contractor shall send a second and final notice to Requester giving Requester an additional seven (7) calendar days to provide the required confirmation. If Requester fails to provide such confirmation after the second and final notice, then such request shall be deemed incomplete and shall be closed. Contractor shall deliver notification of the request closure to Requester within one (1) business day of closing the request. Contractor shall provide Requester with a grace period during which time if the Requester provides confirmation to

Contractor within thirty (30) days of a request closure, the request shall be re-opened and processed as a completed and confirmed request. Within thirty (30) calendar days of the date that the request was deemed completed and confirmed, Contractor shall complete all processing and issue a report with a recommendation to the U.S. Department of Commerce regarding whether the proposed changes should be authorized.

APPENDIX B - MONTHLY PERFORMANCE PROGRESS REPORT TABLES

OVERVIEW OF ROOT MANAGEMENT REQUESTS	
TOTAL ROOT MANAGEMENT REQUESTS AT IANA	
Requests Pending at Beginning of Month	
Requests Received during this Month	
Total Requests Completed or Administratively Closed This Month	
Requests Completed from Prior Months	
Requests Completed from this Month	
Requests Administratively Closed	
Requests Pending at Close of this Month	

TYPES OF ROOT MANAGEMENT REQUESTS	
Nameserver Changes	
Administrative Contact Changes	
Technical Contact Changes	
Data Changes (<i>e.g.</i> , address, phone/fax number, URL for registration services)	
Requests for Redelegation	
Root Server Changes	
TOTAL	

Note: The total number of changes takes into account that one request may contain multiple changes. During this month, IANA received [insert number] requests with multiple changes.

ROOT MANAGEMENT REQUESTS PENDING MORE THAN 30 DAYS

TLD	Request Number	Type of Request	Request Submitted Date	Last Contractor/Requestor Activity Date	Detailed Status and Activity towards Resolution

NAMESERVER, ADMINISTRATIVE AND TECHNICAL CONTACT, AND DATA CHANGES														
TLD	Request Number	Type of Change	Date of Receipt of Request	Date of Receipt Confirmation	Initial Review and Results	Date of Notice of Deficiency	Requestor Cure Date	Date of Requestor Confirmation	Request Closed Date	Date of Conclusion of Processing	Transmittal Date to DOC	Change in Database	Status of Request	Number of Days to Complete Request

LEGEND FOR TYPE OF CHANGE ENTRIES: 1 - Nameserver Change; 2 - Administrative Contact Change; 3 - Technical Contact; 4 – Data Change; 5 - Redelegation

INSTRUCTIONS FOR COMPLETING DETAILED STATUS ENTRIES: Provide a detailed narrative of the current activity for each open change request and Contractor's proposed steps to process the subject request within the prescribed 30-day limit. These entries should also indicate possible complications that might arise in connection with processing that request, as well as Contractor's methods for addressing these issues.

IPv4 UNICAST ADDRESS BLOCKS ALLOCATIONS				
Request Submitted	Request Completed	Duration	Registry	/8s Provided

IPv4 MULTICAST ASSIGNMENTS			
Request Submitted	Request Completed	Duration	Registry

IPv6 UNICAST ADDRESS BLOCKS ALLOCATIONS				
Request Submitted	Request Completed	Duration	Registry	Request

IPv6 MULTICAST ASSIGNMENTS			
Request Submitted	Request Completed	Duration	Addresses

AUTONOMOUS SYSTEM (AS) NUMBER ASSIGNMENTS				
Request Submitted	Request Completed	Duration	Registry	Blocks