



IANA Stewardship Transition & Enhancing ICANN Accountability

Presenter | Event | Date

What is ICANN?



The Internet Corporation for Assigned Names and Numbers (**ICANN**) is a global multistakeholder, private sector-led organization that manages Internet resources for the public benefit

- ⦿ ICANN is best known for its role as the technical coordinator of the Internet's **Domain Name System (DNS)**
- ⦿ ICANN's mission overall is to coordinate the global Internet's systems of unique identifiers, and in particular to ensure the stable and secure operation of those unique identifier systems
- ⦿ The set of unique identifier systems coordinated by ICANN are the **IANA functions**

What are the IANA Functions?

The IANA functions were developed as part of the Advanced Research Projects Agency Network (ARPANET), a U.S. government-funded Department of Defense network

These functions include:

- ⦿ The coordination of the assignment of technical Internet protocol parameters
- ⦿ The administration of certain responsibilities associated with Internet DNS Root zone management
- ⦿ The allocation of Internet IP addresses

ICANN was created to perform the IANA Functions and has done so pursuant to a no-cost contract with the Department of Commerce for more than 15 years

What is the multistakeholder community?

“Stakeholder” refers broadly to anyone who has an interest in the Internet

Within ICANN, stakeholders include:



Large and
small
businesses



Technical
community



Civil society



Government
s



Researchers
and academics



End users

The multistakeholder community functions on bottom-up consensus building which, by design, is resistant to capture due to the openness, diversity and equal division of authority among participants

ICANN’s private sector-led multistakeholder community is directly responsible for the success of the Internet’s DNS

The U.S. Government's Announcement

14 March 2014: U.S. Government announces intent to transition its stewardship of the IANA functions to the global multistakeholder community

- ⦿ Asked ICANN to convene global stakeholders to develop a proposal
- ⦿ The multistakeholder community has set policies implemented by ICANN for more than 15 years



Why
now?

The U.S. Government's announcement:

- ⦿ Marks the final phase of the privatization of the DNS
- ⦿ Further supports and enhances the multistakeholder model of Internet policy making and governance

ICANN was asked to serve as a facilitator, based on its role as the IANA functions administrator and global coordinator for the Internet's Domain Name System (DNS)

Transition Requirements set by NTIA

NTIA has stated that the transition proposal must have broad community support and address the following four principles:



Support and enhance the multistakeholder model



Maintain the security, stability and resiliency of the Internet DNS



Meet the needs and expectations of the global customers and partners of the IANA services



Maintain the openness of the Internet

NTIA also specified that it will **not** accept a proposal that replaces the NTIA role with a government-led or intergovernmental organization solution.

Two Parallel Processes

The community developed and is following two parallel processes:

IANA Stewardship Transition

Focused on delivering a proposal to transition the stewardship of the IANA functions to the multistakeholder community

Enhancing ICANN Accountability

Focused on ensuring that ICANN remains accountable in the absence of its historical contractual relationship with the U.S.

To drive the processes, the community created **multilayered, transparent** and **diverse** working groups to foster discussion and within those groups, has developed working methods and systems for determining consensus

IANA Stewardship Transition Process

1 Establishment of a Coordination Group

- ⦿ Has representation from all stakeholders
- ⦿ The community self-selected its members
- ⦿ Established its own working methods and modes of operation
- ⦿ Was encouraged to adhere to diversity standards
- ⦿ Supported by an independent, non-ICANN staff secretariat

2 ICANN serves as a convener and facilitator of the

- ⦿ Provides engagement and outreach, travel and additional support services

The IANA Stewardship Transition: ICG

The IANA Stewardship Transition Coordination Group (**ICG**) was formed in July 2014 to assemble and deliver a proposal to NTIA through the ICANN Board

- ⦿ The ICG is made up of **30 individuals** representing **13 communities** of both direct and indirect stakeholders of the IANA functions
- ⦿ The ICG's responsibilities include:



Act as a **liaison** to all interested parties, including the three operational communities of the IANA functions



Assess the outputs of the three operational communities for **compatibility** and **interoperability**

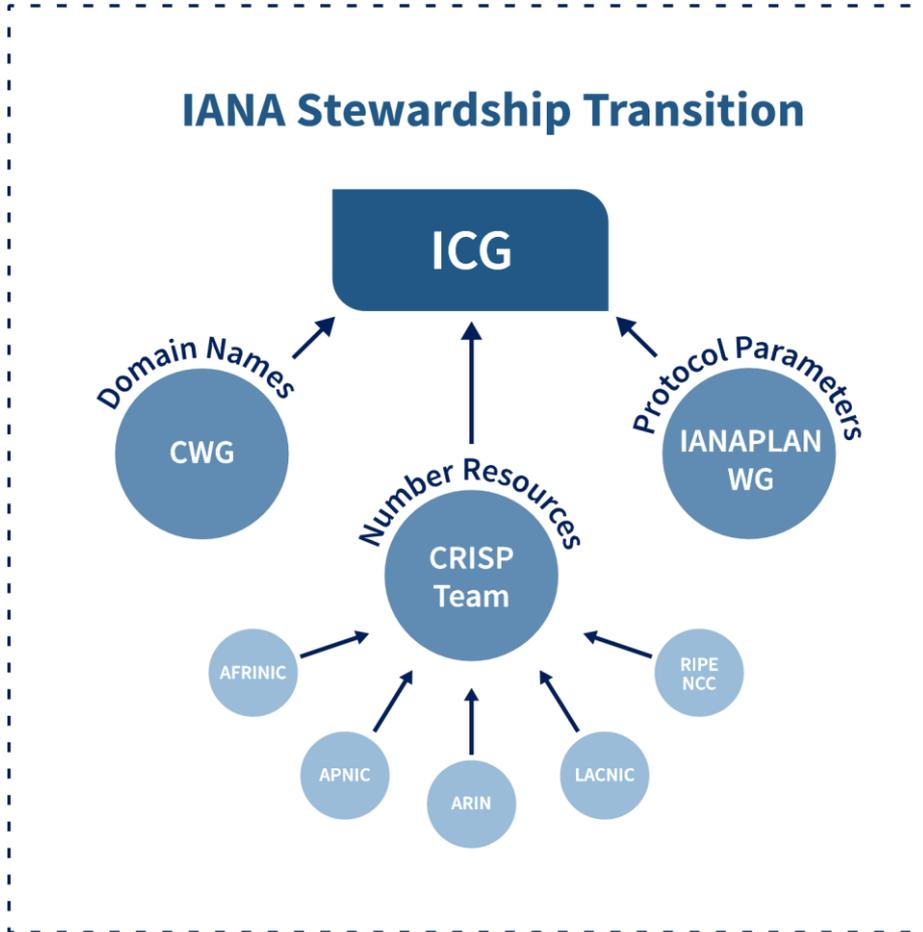


Assemble a complete proposal for the transition



Information sharing and public communication

Request for Transition Proposal Structure



Protocol Parameters:

IANAPLAN Working Group
(**IANAPLAN WG**)

Number Resources:

Consolidated RIR IANA Stewardship
Proposal Team (**CRISP Team**)

Domain Names:

Cross Community Working Group to
Develop an IANA Stewardship
Transition Proposal on Naming
Related Functions (**CWG-
Stewardship**)

Protocol Parameters Community

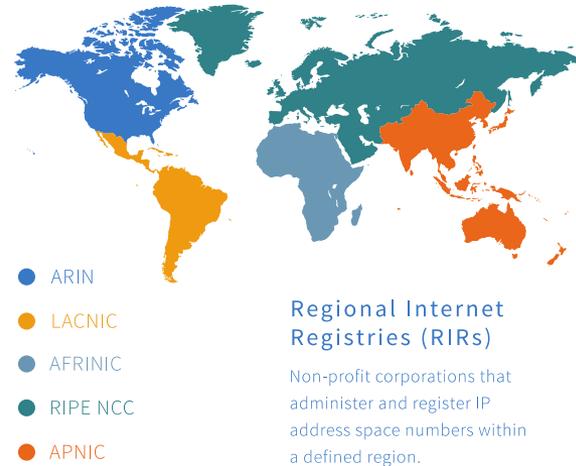
Established an **IANAPLAN Working Group** to develop its response to the RFP

- ⦿ Adopted an Internet Draft as a basis for developing a response
- ⦿ Underwent IETF last call, and IESG approval
- ⦿ A total of **10** drafts were produced over 9 months

Submitted its response to the ICG RFP on 6 January 2015

Numbering Resources Community

The five Regional Internet address Registries (RIRs) engaged in community consultations in their respective regions from September to November 2014



The **Consolidated RIR IANA Stewardship Proposal Team (CRISP Team)** was developed to coordinate the production of a response to the RFP based these consultations

© 15 members, 3 from each RIR community

Submitted its response to the ICG RFP on 15 January 2015

Domain Names Community

The **CWG-Stewardship** is an open group of 142 people

Published a **first draft proposal** for public comment on 1 December 2014

- ⦿ After a review and analysis of the feedback from the public comment period, the group began to study alternative models that had not yet been fully considered

Design Teams

- ⦿ After ICANN 52 in Singapore (8-12 February 2015), the CWG-Stewardship shifted into expertise-based subgroups called Design Teams
- ⦿ The output of these subgroups are mapped directly into the second draft proposal
- ⦿ Work from six of the Design Teams was presented and reviewed in Istanbul (26-27 March 2015)

Next Steps for the CWG-Stewardship

10 April

Deadline for Design Teams to provide content for the 2nd Draft Proposal

13-14 April

Intensive working meeting to prepare for 2nd Public Comment

20 April – 20 May

Public Comment (30 days) on the 2nd Draft Proposal

30-31 May

High-intensity weekend to assess Public Comment

8 June

Deliver Names Proposal to SOs/ACs

25 June

Target to deliver approved Final CWG Proposal ICG

Next Steps for the ICG

The ICG has now moved on to **ICG Develops Draft Response (Step 2)** in its analysis of the IANAPLAN WG and CRISP Team's proposals.

- ⦿ Their intent is to revisit the Step 2 assessment process for all three proposals after they have received the CWG proposal

Once all proposals have passed the assessment criteria set out by the ICG, the group will assemble a single draft proposal.

While they wait for the CWG-Stewardship proposal, ICG members will:

1. Progress the two received proposals as far as possible
2. Engage respective stakeholder groups and communities in informal communication
3. Monitor CWG-Stewardship's progress closely and flag any issues
4. Refine the timeline once ICG has more information on when CWG proposal

Enhancing ICANN Accountability

As initial discussions around the transition took place, the community raised the broader topic of the impact of the change on ICANN's accountability.

- ⦿ The transition would end the U.S. Government's historical contractual relationship with ICANN
- ⦿ This relationship has been perceived as a backstop with regard to ICANN's organization-wide accountability

**As a
result**

ICANN launched a second process, parallel but interrelated with the IANA Stewardship Transition process, to examine from an organizational perspective how ICANN's broader accountability mechanisms should be strengthened to address the absence of the U.S. Government.

Enhancing ICANN Accountability Elements

1 Establishment of a Cross Community Working Group

2 Scope of accountability work has two Work Streams

- ⊙ **Work Stream 1:** Focused mechanisms enhancing ICANN accountability that must be in place or committed to within the time frame of the IANA Stewardship Transition
- ⊙ **Work Stream 2:** Focused on addressing accountability topics for which a timeline for developing solutions and full implementation may extend beyond the IANA Stewardship Transition

3 Involvement of external Advisors

- ⊙ The Public Experts Group selected 7 Advisors to provide external expertise and best practices to help contribute to the dialogue
- ⊙ These advisors do not participate in calls for consensus

4 Role of the ICANN Board

- ⊙ Will consider the outputs from Work Stream 1 and Work Stream 2, on receiving the proposals will forward them promptly and without modification to NTIA
- ⊙ A Board liaison is involved in discussions robustly, bringing the voice and experience of the Board into the development of recommendations

Existing ICANN Accountability Mechanisms

- 1 Affirmation of Commitments
- 2 Affirmation of Commitments Reviews
- 3 Bylaws
- 4 Bylaws-Mandated Redress Mechanism
- 5 Documentation for Board of Directors
- 6 Documented Relationships
- 7 External Laws
- 8 General ICANN Operational Information
- 9 ICANN Board Selection Process
- 10 Organizational Reviews

CCWG-Accountability

There are currently **177 people** in the **Cross Community Working Group on Enhancing ICANN Accountability (CCWG-Accountability)**:



26 Members

Chartering organization-appointed members



151 Participants

Actively contribute to mailing list conversations and meetings



46 Mailing List Observers

Read-only access to mailing list

Designated Work Parties to organize its work:

Work Party 1

Community Empowerment

Work Party 2

Review and Redress

ST Work Party

Stress Tests Work Party

Legal Sub Team

Legal Sub Team

Storyboard/Work Flow of the CCWG

① ESTABLISH STATUS QUO

INVENTORY
of
EXISTING
ACCOUNTABILITY
MECHANISMS

REVIEW
INPUT
of the
COMMUNITY

② DEFINE REQUIREMENTS

CONTIN-
GENCIES
& RISKS

PRINCIPLES

COMMUNITY
EMPOWERMENT
TO...

REVIEW &
REDRESS
MECHANISMS

③ ENVISION SOLUTION

SOLUTION

STRESS
TESTING

RECOMMEND

BOARD

NTIA

Working Parties



Work Party 1 – Community Empowerment

- ⦿ Considering **powers** for the community to hold ICANN accountable
- ⦿ Develop appropriate **mechanisms** to allow the community to exercise those powers



Work Party 2 – Review and Redress

- ⦿ Considering enhancements to ICANN's existing accountability, new mechanisms and the creation of a **standard for review and redress**
 - ⦿ Develop a standard against which ICANN's actions are evaluated



ST Work Party – Stress Tests Work Party

- ⦿ Developed a list of **risks** and a methodology for stress testing

Recent Progress

On March 23-24 in Istanbul, the CCWG-Accountability reached broad agreement to continue developing proposals for **6** core accountability themes it would consider recommending as Work Stream 1:

- 1. Revision to the mission, commitments and core values**
- 2. Enhance the independent review process**
- 3. Establish fundamental bylaws**
- 4. Introduce mechanisms for community empowerment**
- 5. Transcribe (some) AoC provisions and reviews into the Bylaws**
- 6. Enhance the reconsideration processes**

Introduction of [Fundamental Bylaws](#):

- To protect core provisions in the Bylaws from being easily changed or removed, protecting the community's essential interests
- Fundamental Bylaws expected to apply to: ICANN's mission; revised independent review process; new community powers such as recall of the Board and community to veto certain Board actions

Risks – Stress Testing

The work is structured to ensure that stress tests can be designed and carried out in a timely manner, so that the results can be analyzed before the transition.

25 risks consolidated into 5 categories of stress tests:

- ⊙ **Financial crisis or insolvency:** ICANN becomes fiscally insolvent, and lacks resources to adequately meet obligations
- ⊙ **Failure to meet operational obligations:** ICANN fails to process change or delegation requests to the IANA Root Zones, or executes a change of delegation over objections of stakeholders
- ⊙ **Legal/legislative action:** ICANN is subject of litigation under existing or future policies, legislation or regulation. ICANN attempts to delegate a new TLD or redelegate a non-compliant existing TLD
- ⊙ **Failure of accountability:** Action by one or more Board members, CEO, staff are contrary to mission or bylaws. ICANN is captured by one stakeholder segment
- ⊙ **Failure of accountability to external stakeholders:** ICANN modifies its structure to avoid obligation to external stakeholders. ICANN delegates, subcontracts, or abdicates obligations to third party. ICANN merges or is acquired by unaccountable third party

What Can I Do Now To Get Involved?

1. Join a working group

- CWG-Stewardship, contact grace.abuhamad@icann.org
- CCWG-Accountability, contact accountability-staff@icann.org

2. Participate in a public comment period

Participating in public comment periods is an integral part of ICANN's inclusive and bottom-up model of proposal development

20 April - 20 May 2015

CWG-Stewardship draft proposal

Mid-Spring 2015 (TBD)

CCWG-Accountability Work Stream 1

recommendations

3. Stay up to date on recent developments

- Visit: <https://www.icann.org/stewardship-accountability>
- Follow [@ICANN](#) on Twitter or like [ICANN](#) on Facebook
- [Subscribe](#) to ICANN news alerts

Questions?



Thank You and Questions

Website: <https://www.icann.org/stewardship-accountability>



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IANA Stewardship Transition

<https://www.icann.org/stewardship>

- ⦿ Latest news and information on the IANA Stewardship Transition and ICG
- ⦿ Community participation information
- ⦿ Resources and archives from ICG meetings

Enhancing ICANN Accountability

<https://community.icann.org/category/accountability>

- ⦿ Latest news and information on the Enhancing ICANN Accountability process and CCWG
- ⦿ Announcements and upcoming events