IANA Stewardship Transition & Enhancing ICANN Accountability

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IANA Functions Contract Expires

- **1 October 2016:** The contract between ICANN and the U.S. National Telecommunications and Information Administration (NTIA), to perform the IANA functions, officially expired.

THANK YOU to ICANN's global multistakeholder community for your hard work and dedication in completing the IANA stewardship transition

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)

What are the IANA Functions?

The IANA Functions evolved in support of the Internet Engineering Task Force, and initially funded via research projects supported by the U. S. Department of Defense, Advance Research Projects Agency.
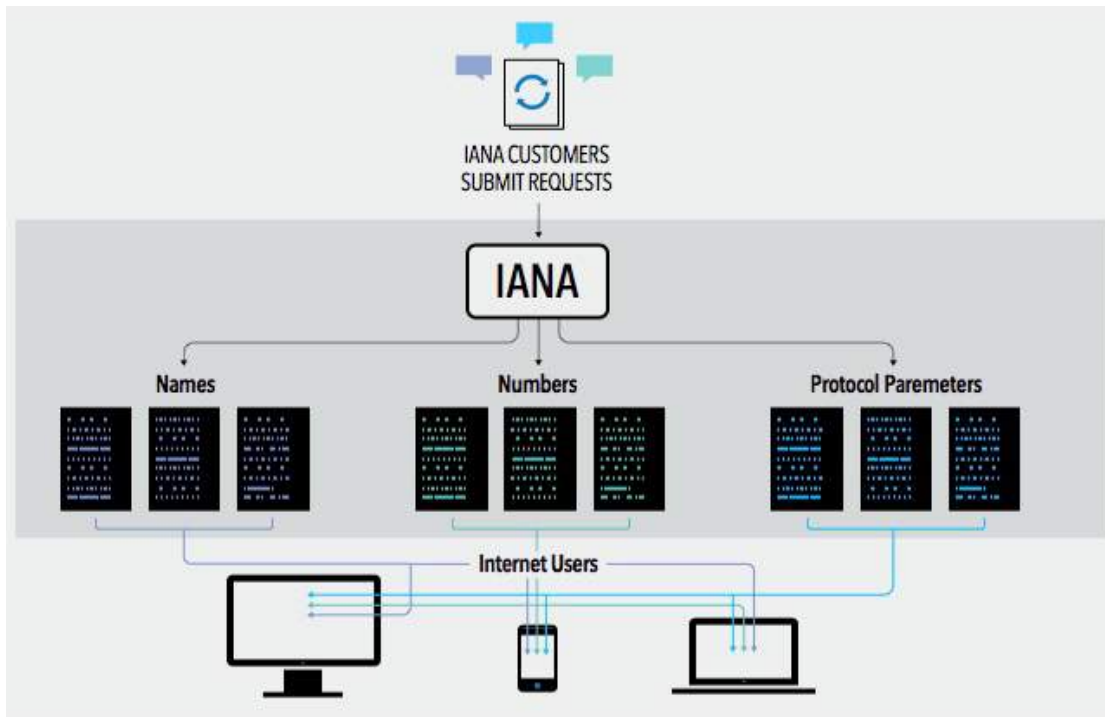
These functions include:

⊙ 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 over 15 years

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.

ICANN's global multistakeholder community

Today's Community of Communities

In the same way the Internet is a network of networks comprised of computers and devices, the ICANN community is a community of communities comprised of people and organizations
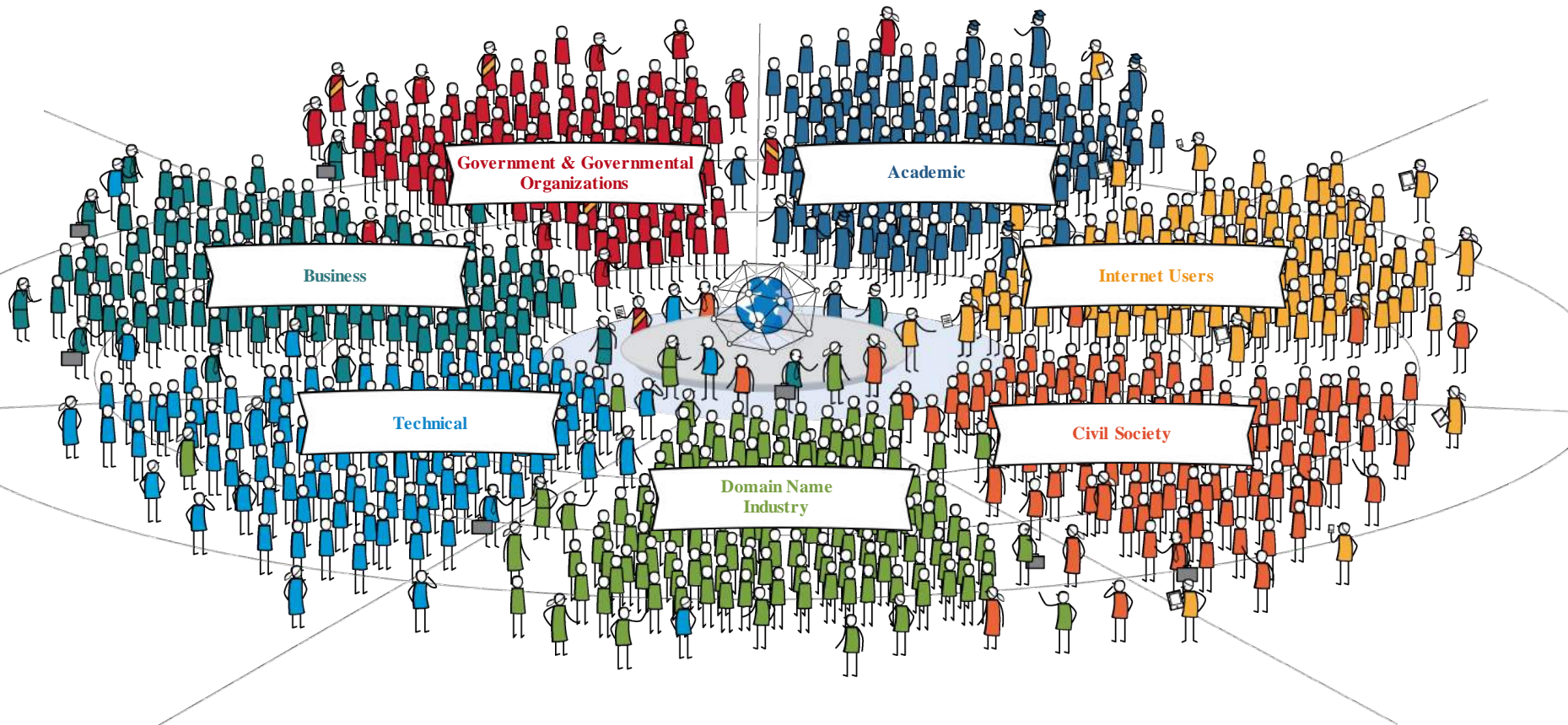
ICANN's multistakeholder model

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

Within ICANN, stakeholders include:

| **Large and small businesses** | **Technical community** | **Civil society** | **Governments** | **Researchers and academics** | **End users** |

The multistakeholder model 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 model of Internet governance supports the success of the Internet's DNS

The Role of Governments

- The IANA Stewardship Transition is important for all stakeholders, especially for governments given their responsibility over Internet public policy issues

- Successful completion of the IANA Stewardship Transition recognizes that no single government – or group of governments – should have any form of control over the security, stability and interoperability of the Domain Name System (DNS)

  - This will help ensure the continued openness, interoperability and stability of the Internet which both countries and their citizens **economically**, **socially** and **culturally** benefit from

- The IANA Stewardship Transition proposal will be accompanied by significant proposals to further enhance ICANN's accountability to the entire Internet Community; including governments (on an equal footing)

ICANN

The Role of Civil Society

- Although the IANA functions are operational functions, they do require global governance and stewardship

- The expertise from the non-governmental organization community is essential, especially due to:

  - Its **expertise** in holding governance entities accountable

  - Its **experience** in understanding and explaining public interest

  - Its **ability** to be innovative and propose solutions

- Broad participation is critical in this evolution of Internet Governance to ensure excellence in the proposals and the legitimacy of the processes

- This is a chance to strengthen an inclusive, transparent, global and collaborative model of governance that is fit for our present and future

Two Parallel Processes

The community developed and is following two parallel processes:
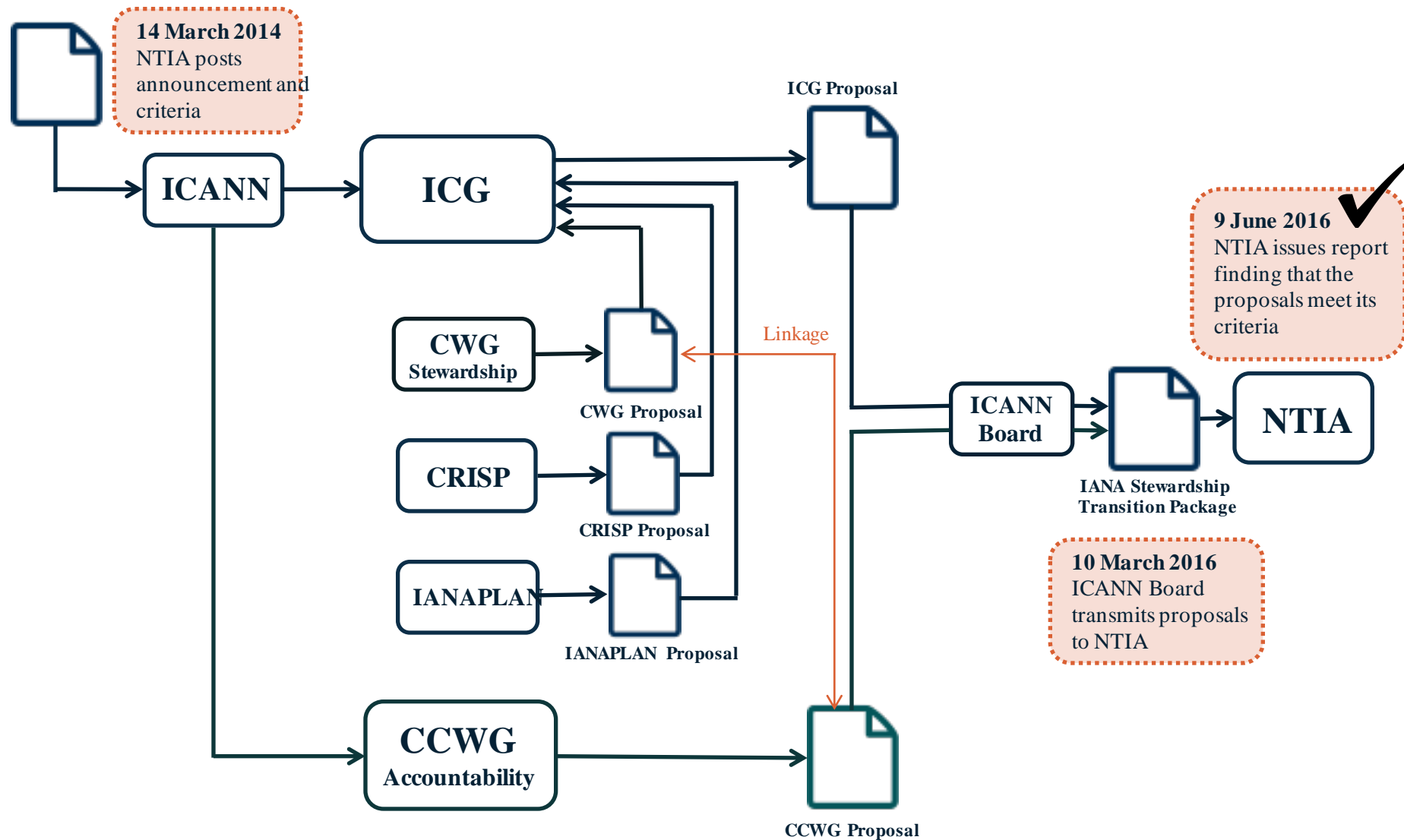
IANA Stewardship Transition
Focused on delivering a proposal to transition the stewardship of the IANA functions to the multistakeholder community

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

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

Developing Proposals

14 March 2014
NTIA posts announcement and criteria

ICANN

ICG

ICG Proposal

9 June 2016
NTIA issues report finding that the proposals meet its criteria

CWG Stewardship → CWG Proposal

CRISP → CRISP Proposal

IANAPLAN → IANAPLAN Proposal

Linkage

ICANN Board

IANA Stewardship Transition Package

NTIA

10 March 2016
ICANN Board transmits proposals to NTIA

CCWG Accountability → CCWG Proposal

An Unprecedented Multistakeholder Effort

MAJOR WORKING GROUP EFFORTS

800+
Working Hours in Meetings

33,100+
Total Mailing List Exchanges
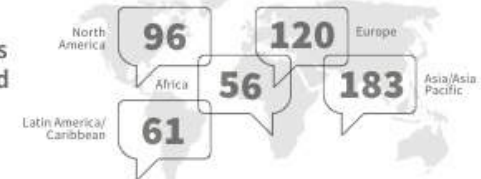
600+
Total Calls/Meetings

A SUPPORTING GLOBAL DISCUSSION

More than 1,100
* 590+ Webinars

Events around the world where the IANA transition was discussed, debated, organized and planned

Between March 2014 and March 2016

North America **96**
Europe **120**
Africa **56**
Asia/Asia Pacific **183**
Latin America/Caribbean **61**

ICG + CCWG ACCOUNTABILITY

■ ICG   ■ CCWG-Accountability

30 Members

203 Total Participants
28 Members
175 Participants
111 Mailing List Observers

Number Resources
CRISP Team
15 Members
= 3 Members x 5 RIRs

Protocol Parameters
IANAPLAN
2,250 Mailing List Exchanges

Domain Names
CWG-Stewardship
153 Members & Participants
152 Calls and Meetings

REGIONAL REPRESENTATION

Europe 28% 30%
North America 31% 30%
Africa 7% 13%
Asia/Asia Pacific 26% 17%
Latin America/Caribbean 8% 10%

* 48 countries are represented by members/participants of the CCWG-Accountability

ORGANIZATIONAL STAKEHOLDER REPRESENTATION

71 (no affiliation)
59 GNSO
30 GAC
17 ALAC
16 ccNSO/ccTLD
6 ASO
2 SSAC

2 RSSAC
2 ALAC
5 GAC
3 GNSO
2 gTLD Registries
4 ccNSO & non-ccNSO ccTLD operators

2 ISOC
2 NRO
2 IETF
2 IAB
2 SSAC
1 ASO
1 ICC & BASIS

THE TWO PARALLEL PROCESSES

■ IANA Stewardship Transition
■ Enhancing ICANN Accountability for the Transition

NTIA Announcement 4 March 2014

Numbers Resources
Domain Names
Protocol Parameters

Coordination Group

Cross Community Working Group
— Work Stream 1
— Work Stream 2

Advisors

ICANN Board

ICANN Board

The IANA Stewardship Transition final proposal will be transmitted to NTIA by ICANN

NTIA
The current IANA functions base contract expires on 30 September 2016

GLOBAL DISCUSSION

ICANN

Delivery of IANA Stewardship Transition Package

At ICANN55 in Marrakech, the IANA Stewardship Transition and Enhancing ICANN Accountability proposals were submitted to the ICANN Board

- After launching a short review period, the ICANN Board issued resolutions to transmit both proposals to NTIA at their Board Meeting at the end of the conference

- **The package of proposals was transmitted to NTIA on 10 March 2016,** almost exactly 2 years after the transition was announced

NTIA Publishes Report

9 June 2016: NTIA publishes its report on the community-developed IANA Stewardship Transition proposals:

> "*The U.S. Commerce Department's National Telecommunications and Information Administration (NTIA) finds that the IANA Stewardship Transition Proposal developed by the global Internet multistakeholder community meets the criteria NTIA set in March 2014*"

✔ Supports and enhance the multistakeholder model

✔ Maintains the security, stability and resiliency of the Internet DNS

✔ Meets the needs and expectations of the global customers and partners of the IANA services

✔ Maintains the openness of the Internet

✔ Does not replace the NTIA role with a government-led or intergovernmental organization solution

Implementation Status Report

⊙ **12 August 2016:** In response to a request by NTIA in their 9 June Report, ICANN submitted an implementation planning status report to NTIA

⊙ **30 September 2016:** ICANN confirms that all of the implementation tasks identified in the Status Report were completed prior to 30 September 2016.
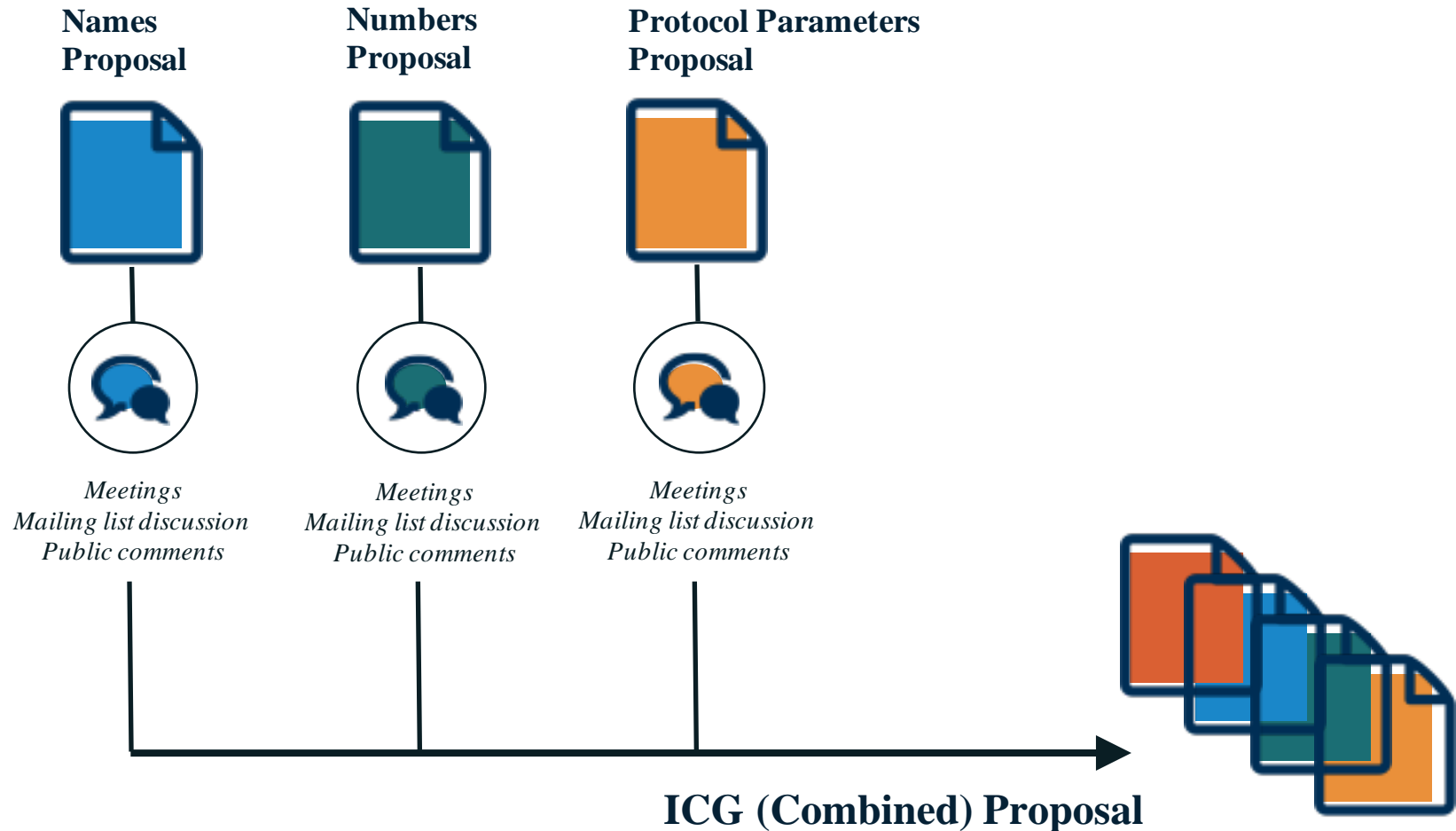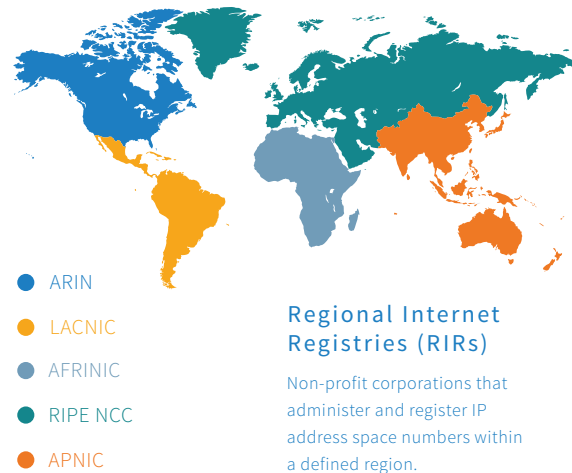
COMPLETED

	2015				2016								
	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP

ROOT ZONE MANAGEMENT
100%

STEWARDSHIP TRANSITION
100%

ACCOUNTABILITY ENHANCEMENTS
100%

IANA STEWARDSHIP TRANSITION

Request for Transition Proposal Structure

Names Proposal

Numbers Proposal

Protocol Parameters Proposal

Meetings
Mailing list discussion
Public comments

Meetings
Mailing list discussion
Public comments

Meetings
Mailing list discussion
Public comments

ICG (Combined) Proposal

Numbering Resources Community

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

- ARIN
- LACNIC
- AFRINIC
- RIPE NCC
- APNIC

Regional Internet Registries (RIRs)

Non-profit corporations that administer and register IP address space numbers within a defined region.

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**

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

Combined Proposal Overview
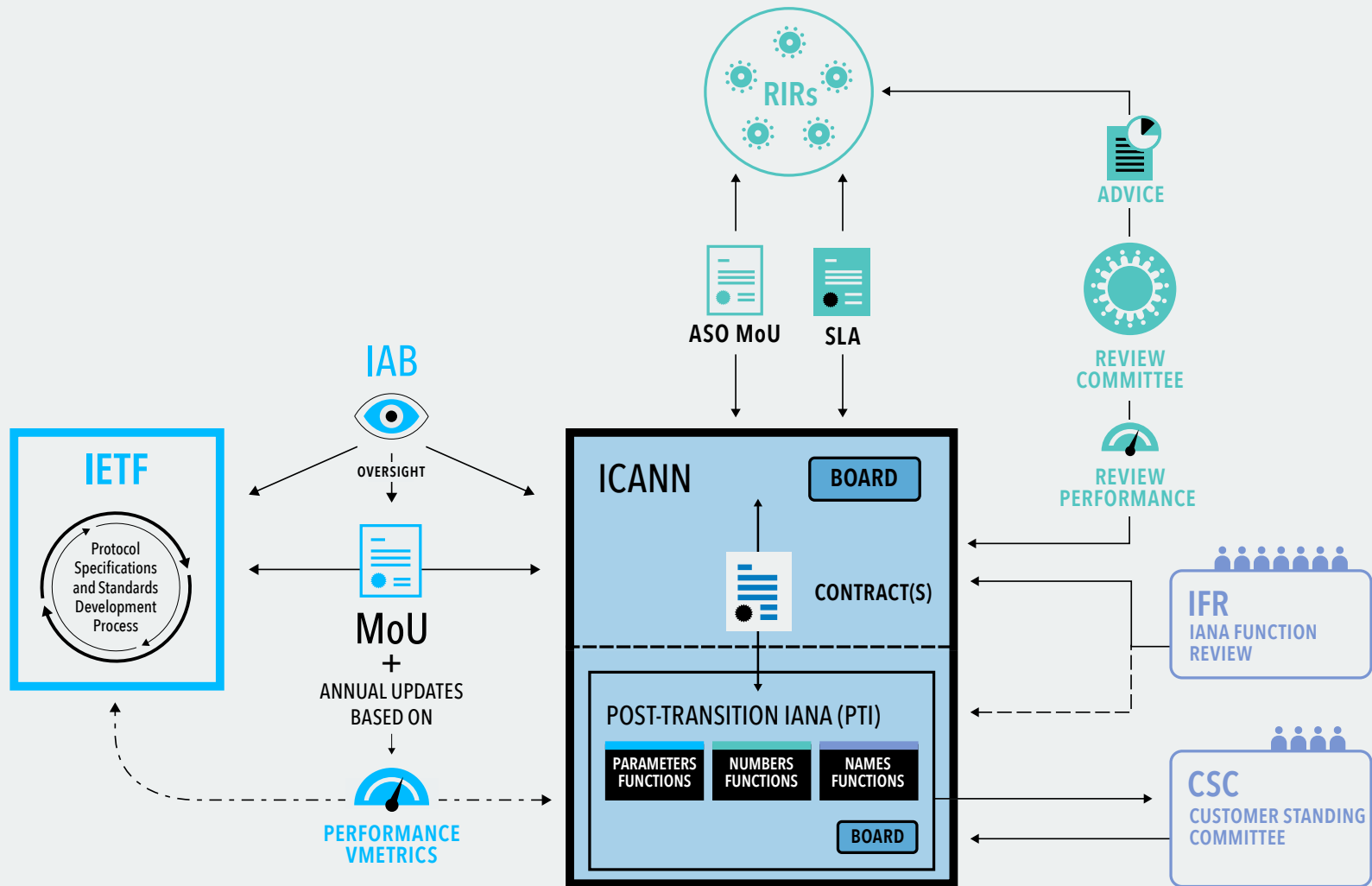
ICG Finalizes Proposal

- **The IANA Stewardship Transition Coordination Group (ICG) tentatively finalized its proposal in October 2015 at ICANN54 in Dublin**

- Had to await confirmation from CWG-Stewardship that accountability dependencies were met by the Enhancing ICANN Accountability recommendations

- The ICG received confirmation that the dependencies had been met leading into ICANN55 in Marrakech, Morocco

- **Upon finalization of the CCWG-Accountability recommendations, the ICG delivered the final IANA Stewardship Transition Proposal to the ICANN Board of Directors on 10 March 2016 to be transmitted to NTIA**

ENHANCING ICANN
ACCOUNTABILITY

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.

Work Streams

To address accountability concerns raised during initial discussions on IANA Stewardship Transition, a Cross Community Working Group on Enhancing ICANN Accountability (CCWG-Accountability) was convened.

GOAL: The CCWG-Accountability is expected to deliver proposals that would enhance ICANN's accountability towards all its stakeholders

The CCWG-Accountability's work consists of two tracks:

WORK STREAM 1: Focused on 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.

Four Building Blocks

The CCWG-Accountability identified four building blocks that would form the mechanisms required to improve ICANN's accountability.

Independent Appeals & Review Mechanisms

- An enhanced Independent Review Process and redress process with a broader scope and the power to ensure ICANN stays within its Mission

- A community Independent Review Process as an enforcement mechanism further to a Board action or inaction

Empowered ICANN Community

- Powers exercised by five groups within the ICANN community, recognized as a "Sole Designator"

- Strong focus on Engagement and Escalation, before Enforcement
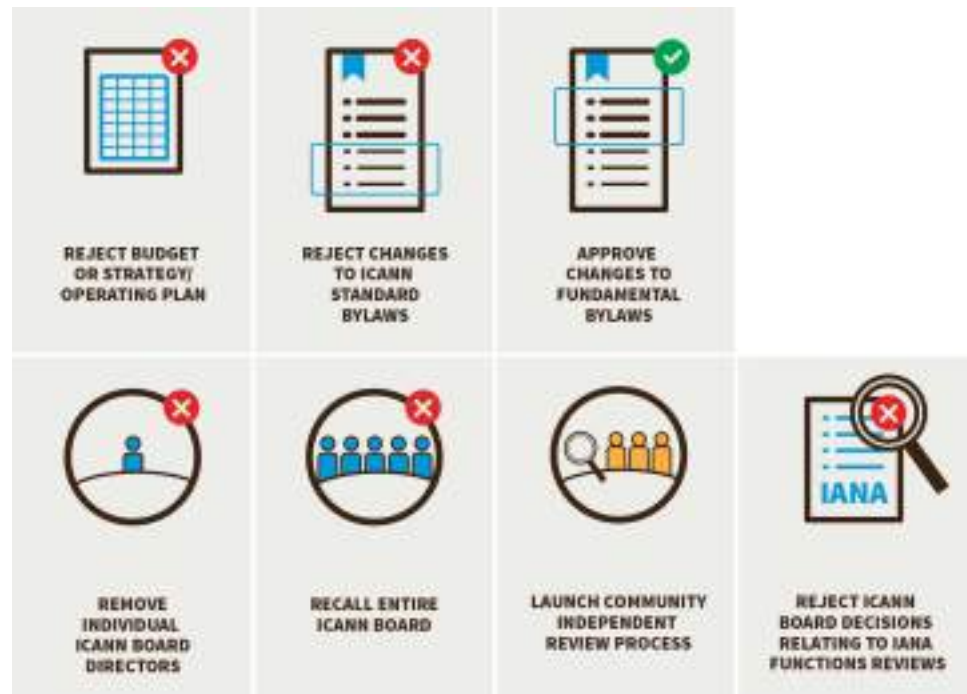
Committing to Further Accountability Work in Work Stream 2

- As part of Work Stream 2, the CCWG-Accountability proposes that further enhancements be made to a number of designated mechanisms and processes and to refine the operational details associated with some of its recommendations for Work Stream 1.

- **It is intended that Work Stream 2 will be completed by June 2017.**
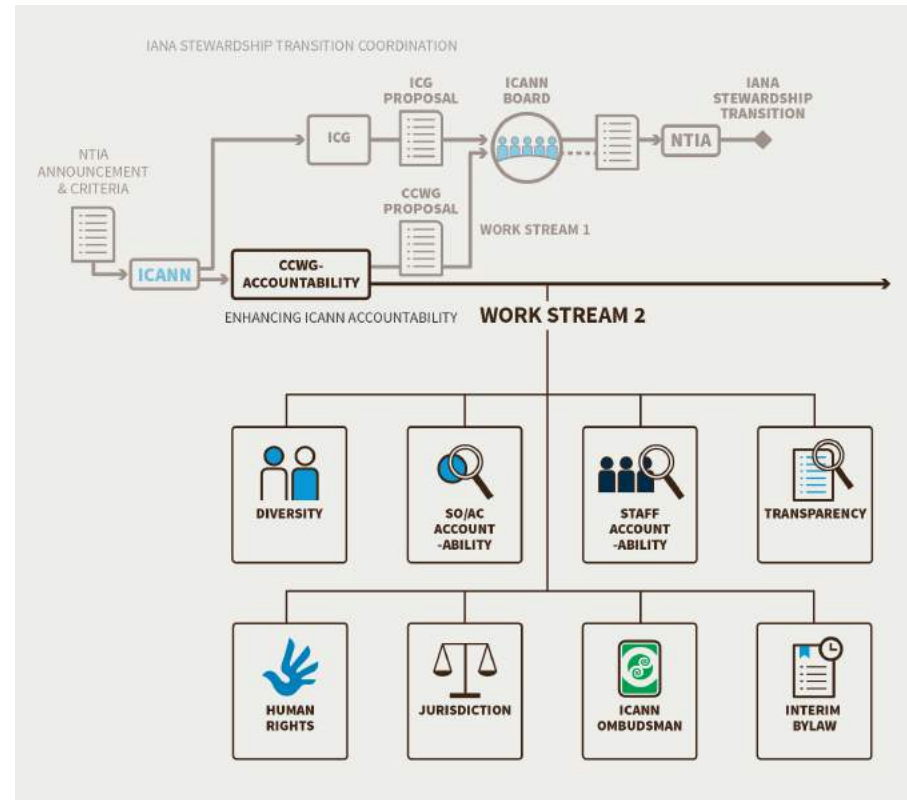
IMPLEMENTATION PLANNING

# Committing to Further Accountability Work in WS2

The CCWG-Accountability's work consists of two Work Streams:

WORK STREAM 1: Focused on mechanisms enhancing ICANN accountability that must be in place or committed to within the time frame of the IANA Stewardship Transition **(COMPLETED)**

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 **(IN PROGRESS)**
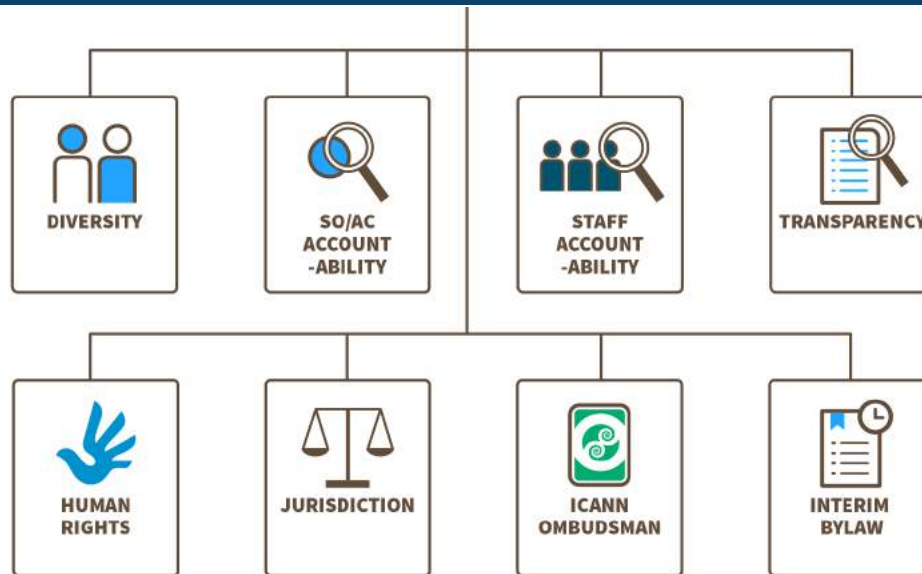
Work Stream 2 Planning
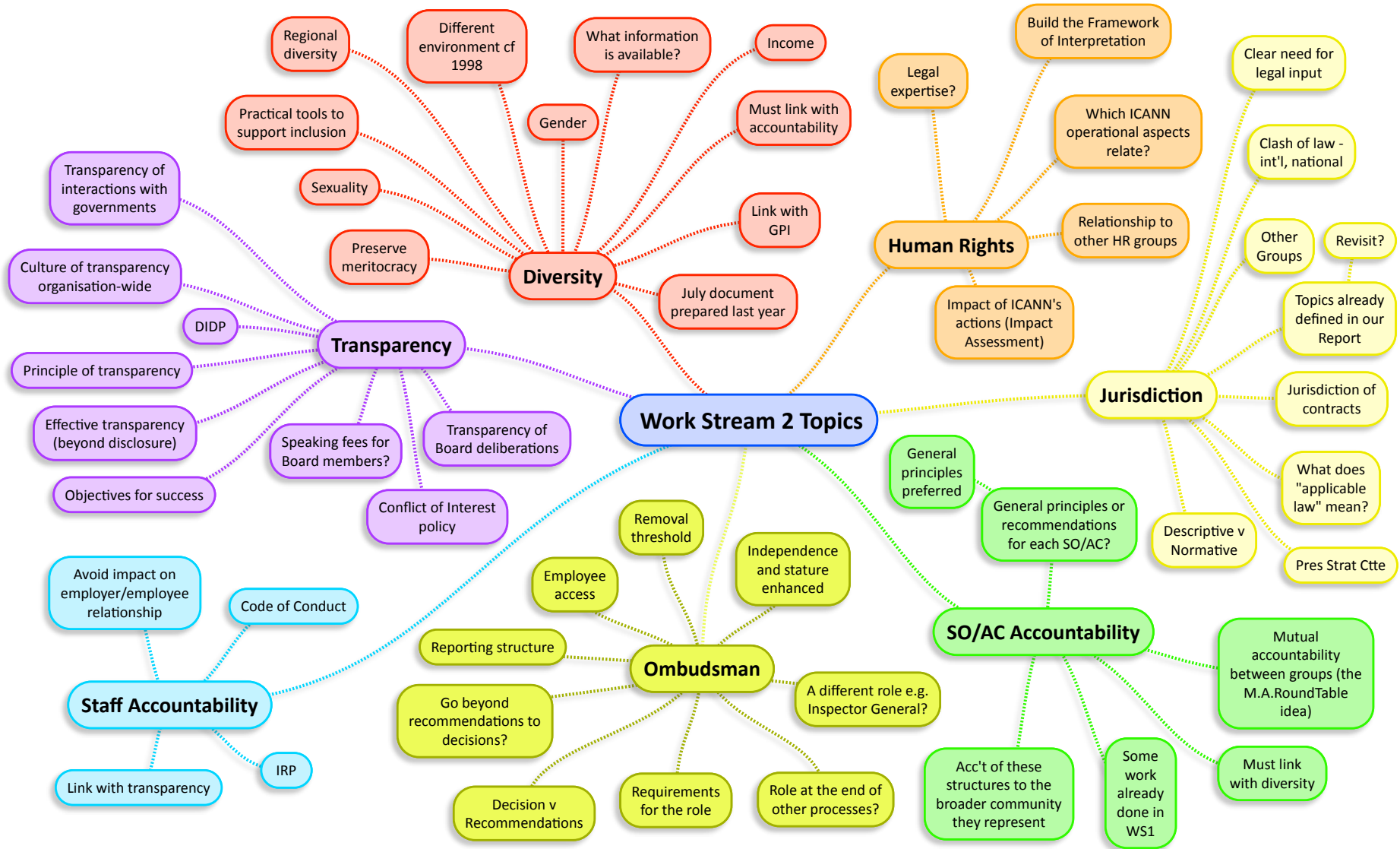
How To Get Involved?

Join Work Stream 2

CCWG-Accountability, contact acct-staff@icann.org

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

Stay up to date on recent developments

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