



IANA Stewardship Transition & Enhancing ICANN Accountability

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 coordinates the top-level of the Internet's system of unique identifiers via global, multistakeholder, bottom-up consensus policy processes, with the outcome of those processes implemented via the IANA Functions.

One World, One Internet

WHAT DOES ICANN DO?

To reach any device or thing connected to the Internet, you (or your search engine) must know their address – a name or a number. That address must be unique, so you can reliably find and connect to other devices, things, or information sources no matter where you are in the world. That's how the tens of thousands of physical networks appear and operate as 'One Internet'.

In concert with the technical operating community, ICANN maintains and administers the registries containing these unique addresses across the world ensuring the security, stability, and integrity of One Internet where we can reliably find each other.

Community-Driven Global Policy Development

To keep pace with dynamic technologies and rapid innovation, ICANN facilitates an open, consensus-driven, multistakeholder policy development process that is run from the bottom up.

Multistakeholder Model

Civil Society & Internet Users, the Private Sector, National & International Organizations, Governments, Research, Academic and Technical Communities are all represented.

Competition & Choice

From accrediting over 1000 registrars, to introducing new Top Level Domains (TLDs), ICANN works to expand consumer choice by fostering competition and innovation in the domain name marketplace.

WHICH FUNCTIONS DOES ICANN COORDINATE?

DNS

- Development of generic TLD policy
- Facilitation of country code TLD policy discussions
- Delegation of and changes to Top-level domains
- Management of the root's DNSSEC trust anchor
- Facilitating Root Server System discussions

Internet Numbers

- Approval of global number allocation policies
- Allocation of top-level blocks of Internet numbers
- Recognize Regional Internet Registries

Protocol Parameters

- Creation of and changes to protocol parameter registries
- Management of the Time Zone Database

Security & Stability

ICANN supports DNS security by supporting a secured DNS infrastructure (DNSSEC) and managing the top-level key of that infrastructure, requiring close coordination and collaboration with the community and volunteers around the world.

Interoperability

ICANN's work plays a role in helping the community to develop new technologies that flourish while maintaining interoperability across the global Internet. For example, the central publication point of unique protocol identifiers maintained by ICANN makes it easier for protocol developers to create protocols that allow communications using secure connections between users.

Contractual Compliance

ICANN maintains the contracts and enforces the consensus policies developed through the community-driven process embodied in those contracts. While we are not a regulator, we comply with the law and enforce community policies through contractual obligations.

HOW DO I PARTICIPATE?

- Sign up for updates at icann.org
- Join one of the many Public Comment Forums on ICANN's website
- Attend ICANN's Public Meetings in person or online to provide input at a Public Forum
- Join one of ICANN's Supporting Organizations or Advisory Committee
- Follow us on Twitter, Facebook, LinkedIn
- Subscribe to newsletters
- Participate in our fellows program
- Join a regional engagement group

WHO'S INVOLVED?

A number of groups, each of which represents a different interest and expertise on the Internet. All of them come together with the Board of Directors to shape policies and ICANN work.

Supporting Organizations

- Addressing
- Country Code Names
- Generic Names

Advisory Committees

- At-Large
- Governmental
- Root Server System
- Security & Stability

Technical Advisory Bodies

- Technical Experts Group
- Technical Liaisons from IETF, ETSI, W3C, ITU

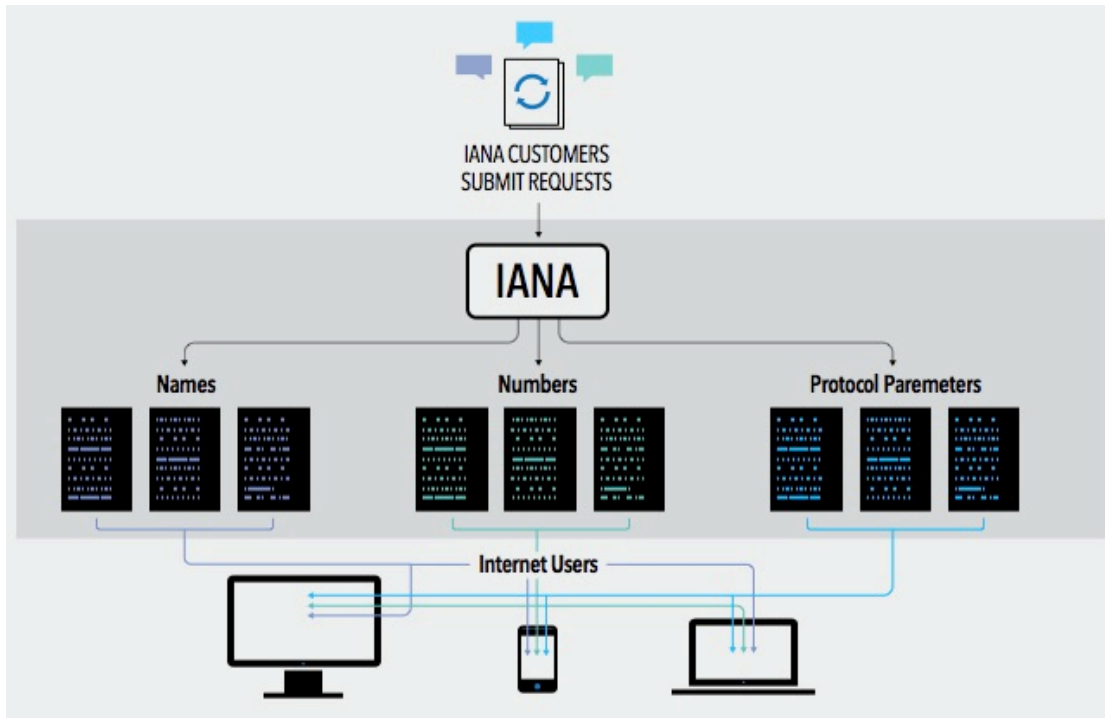
Board of Directors

- 16 Community Appointed Board Members



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

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



Governments



**Researchers and
academics**

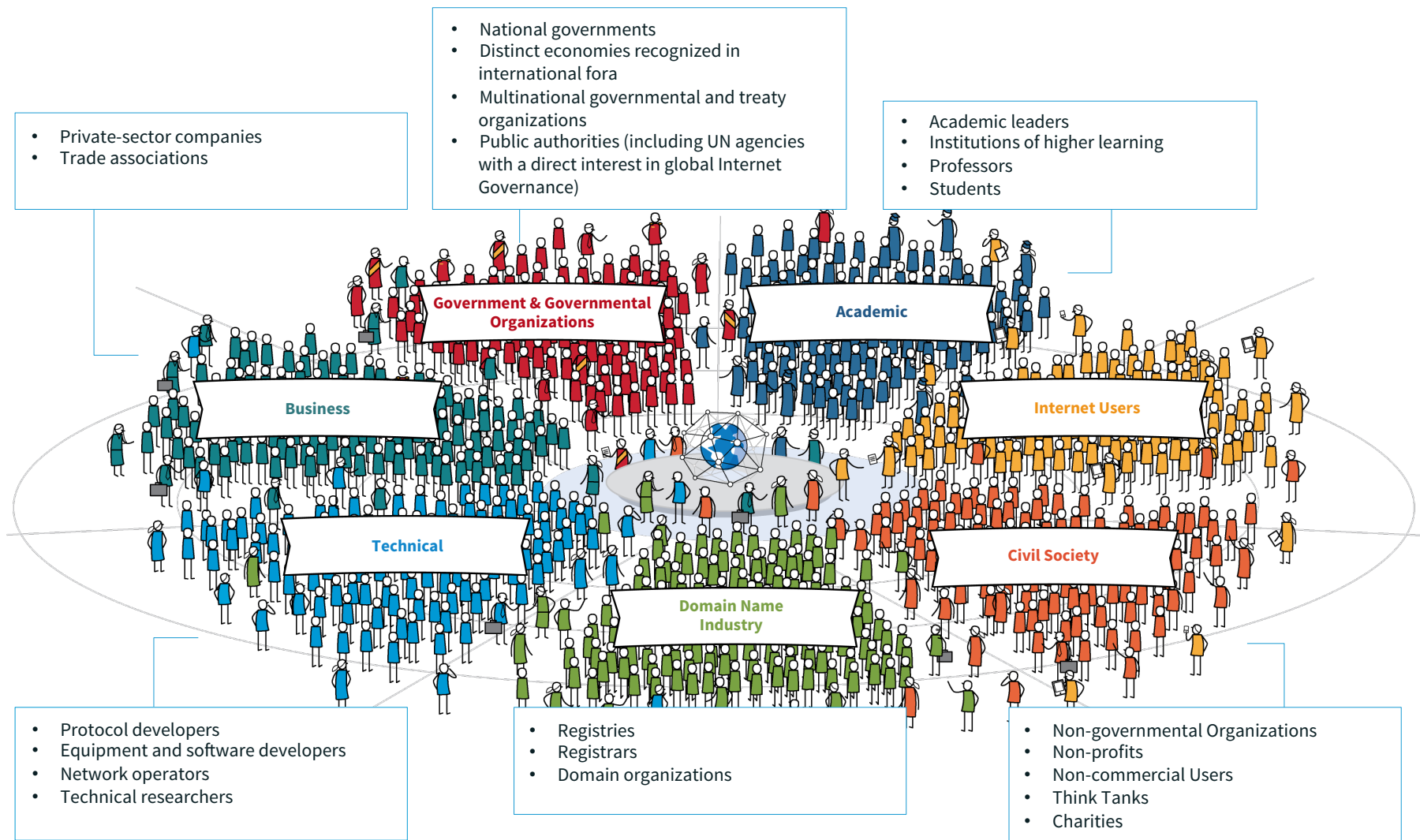


End users

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 multi-stakeholder community supports the success of the Internet's DNS

ICANN's Global Multistakeholder Community



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)

Why Does This Matter to Business?

- ⦿ Almost **\$8 trillion** exchange hands each year through e-commerce, and the continued success of e-commerce is dependent on one, global, secure, stable and interoperable Internet
- ⦿ Business has an important seat at the table in this global conversation and needs to be an active participant in facilitating a successful transition
- ⦿ The next billion Internet users will connect from developing countries and emerging economies. Sole U.S. oversight of the IANA functions is no longer optimal given this new global landscape
 - A successful transition would ensure the continuation of a secure, stable and interoperable Internet for all users globally, while failure could result in adverse consequences for global Internet commerce

Why Does This Matter to the Technical Community?

- ⦿ IANA services are **core** and **critical** to the use of the Internet Protocol.
- ⦿ For several years the technical community has called for an end to the NTIA contract
 - This is an opportunity for the community to show how serious it is in further developing this model of Internet Governance
- ⦿ You have a lot of experience in the bottom-up and multistakeholder policy development processes
- ⦿ Your participation and engagement into the process is critical in this evolution of Internet Governance to maintain the security, stability, and resiliency of the Internet DNS and to ensure the IANA functions continue meeting the needs and expectations of the global customers and partners

Why Does This Matter to 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)

Why Does This Matter to 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
- ⦿ Your participation, and that of your networks, 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

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

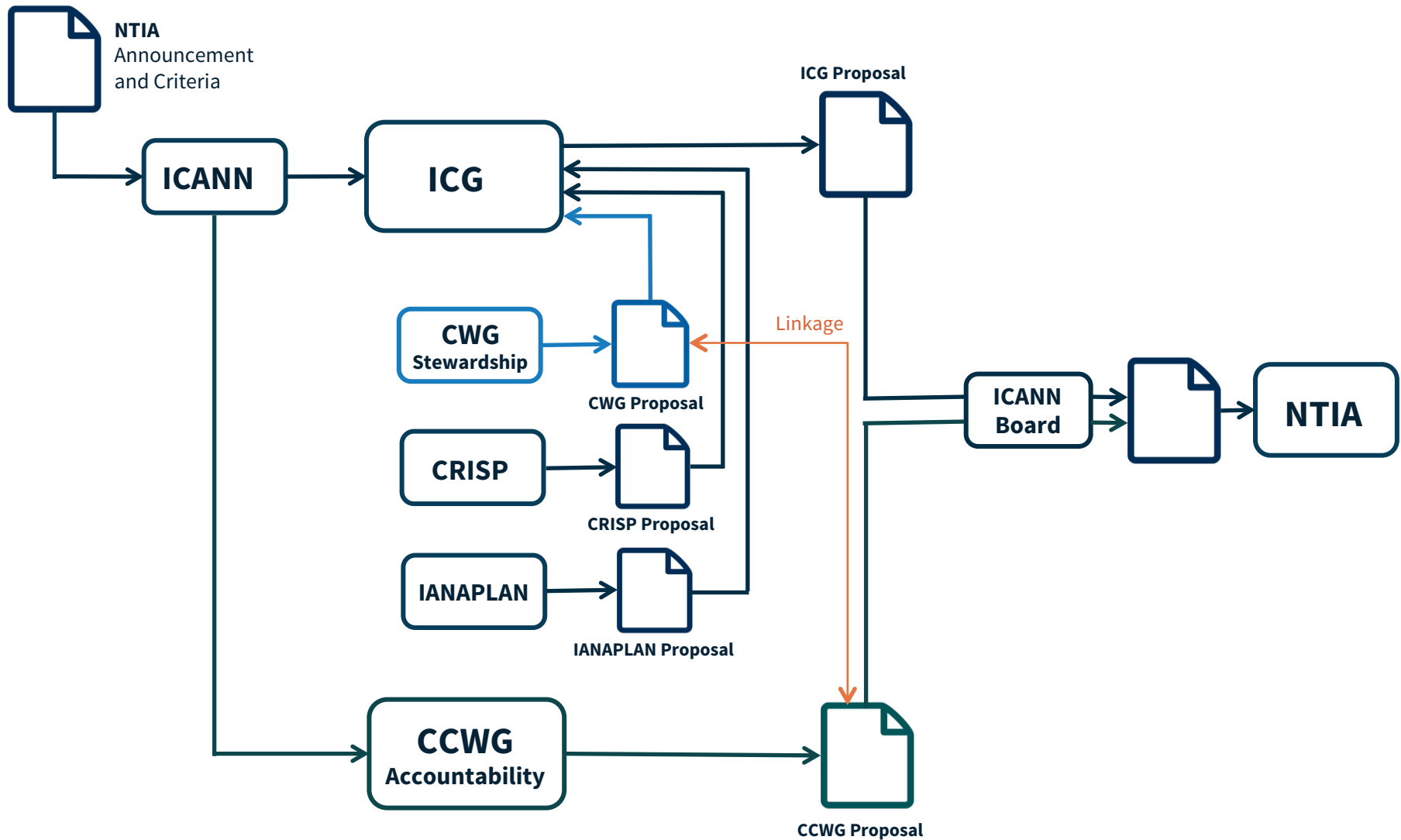
Focused on delivering a proposal to transition the stewardship of the IANA functions to the multistakeholder community

Enhancing ICANN Accountability

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





IANA STEWARDSHIP TRANSITION

Request for Transition Proposal Structure

Names Proposal



Meetings
Mailing list discussion
Public comments

Numbers Proposal

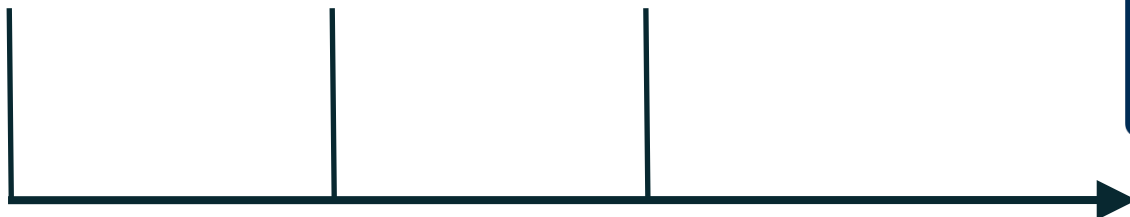


Meetings
Mailing list discussion
Public comments

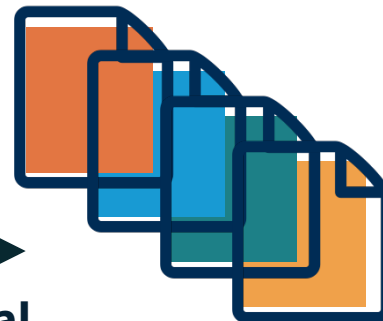
Protocol Parameters Proposal



Meetings
Mailing list discussion
Public comments

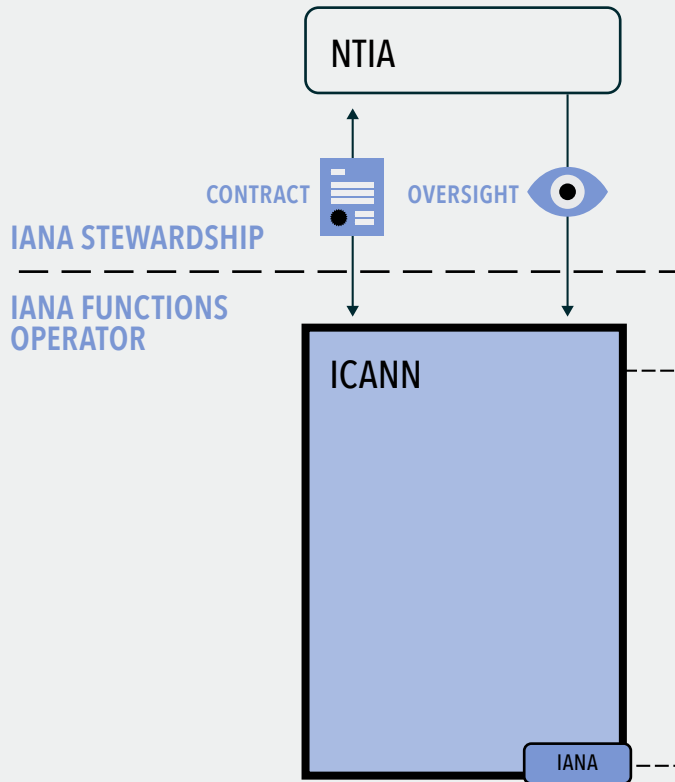


ICG (Combined) Proposal

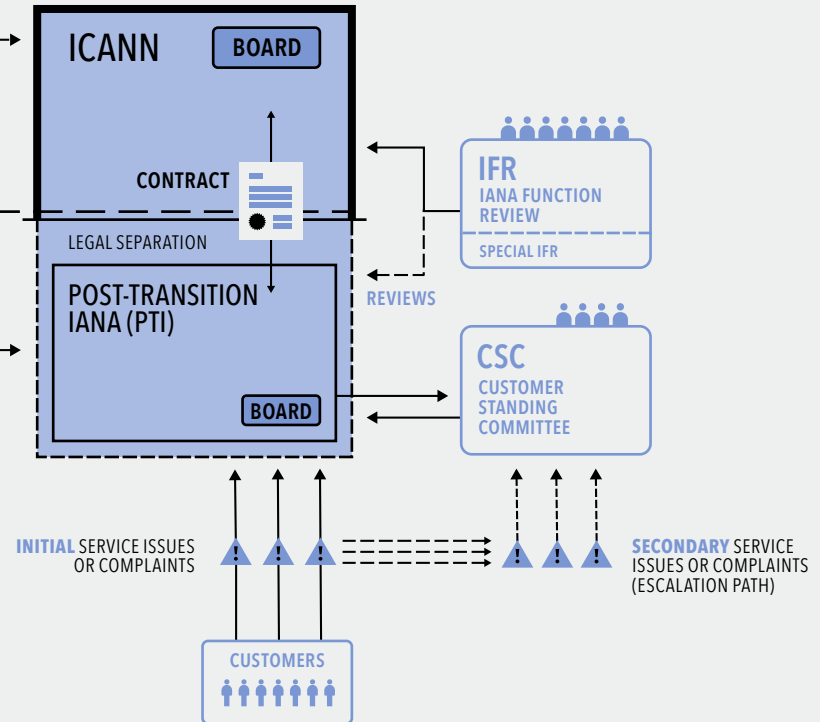


Proposal Overview

Current Contract

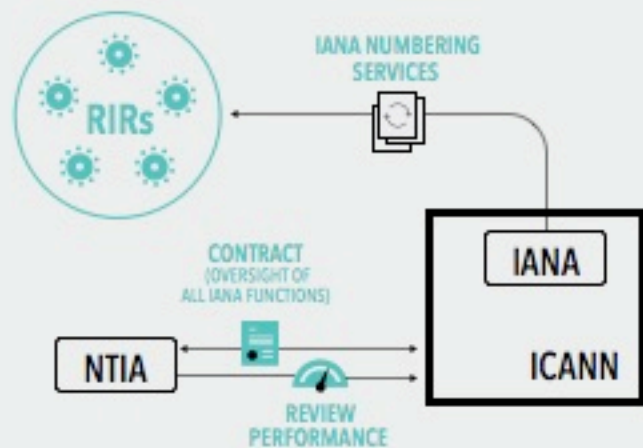


Post-transition

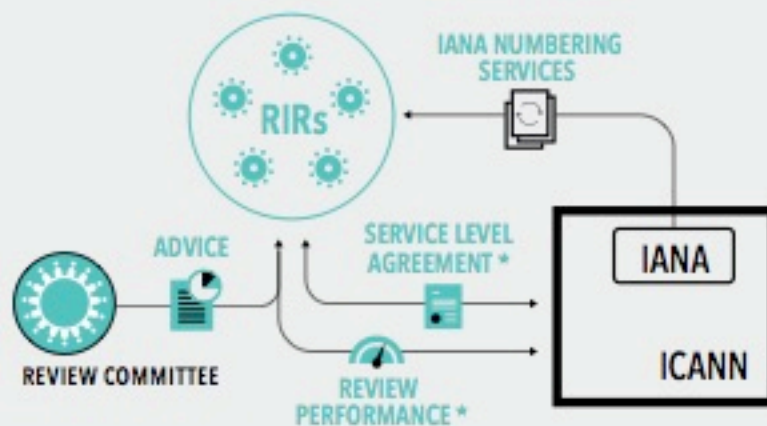


Proposal Overview

Current



Post-transition

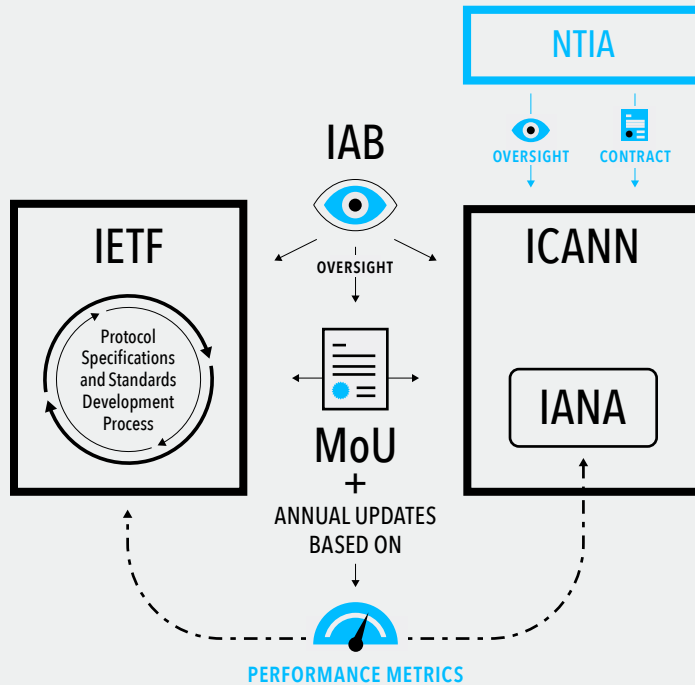


The RIRs have been very satisfied with the performance of ICANN in the role of the IANA Numbering Services Operator, and their communities have expressed a strong desire for stability and a minimum of operational change. The following proposals reflect these factors.

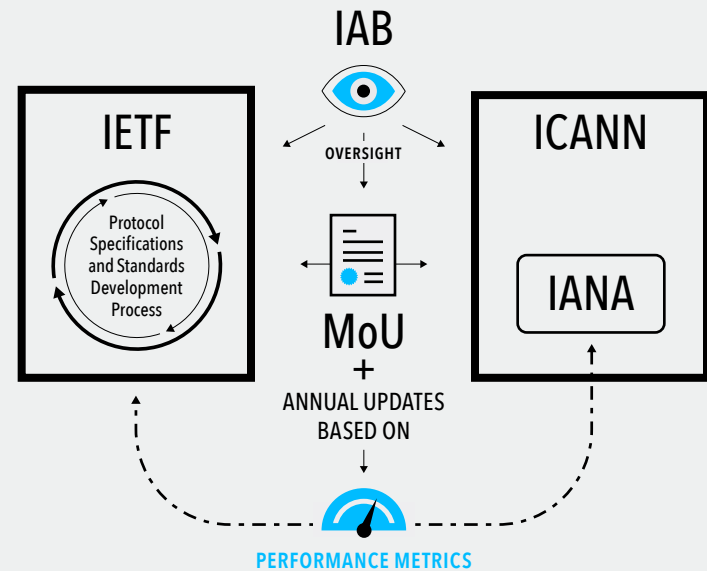
- 1 ICANN to continue as the IANA Functions Operator for the IANA Numbering Services via a Service Level Agreement (SLA) with the RIRs
- 2 The rights over any intellectual property related to provision of the IANA services should reside with the community
- 3 A Review Committee, with representatives from each RIR community, should be formed to advise the RIRs on the IANA functions operator's performance in meeting identified service levels

Proposal Overview

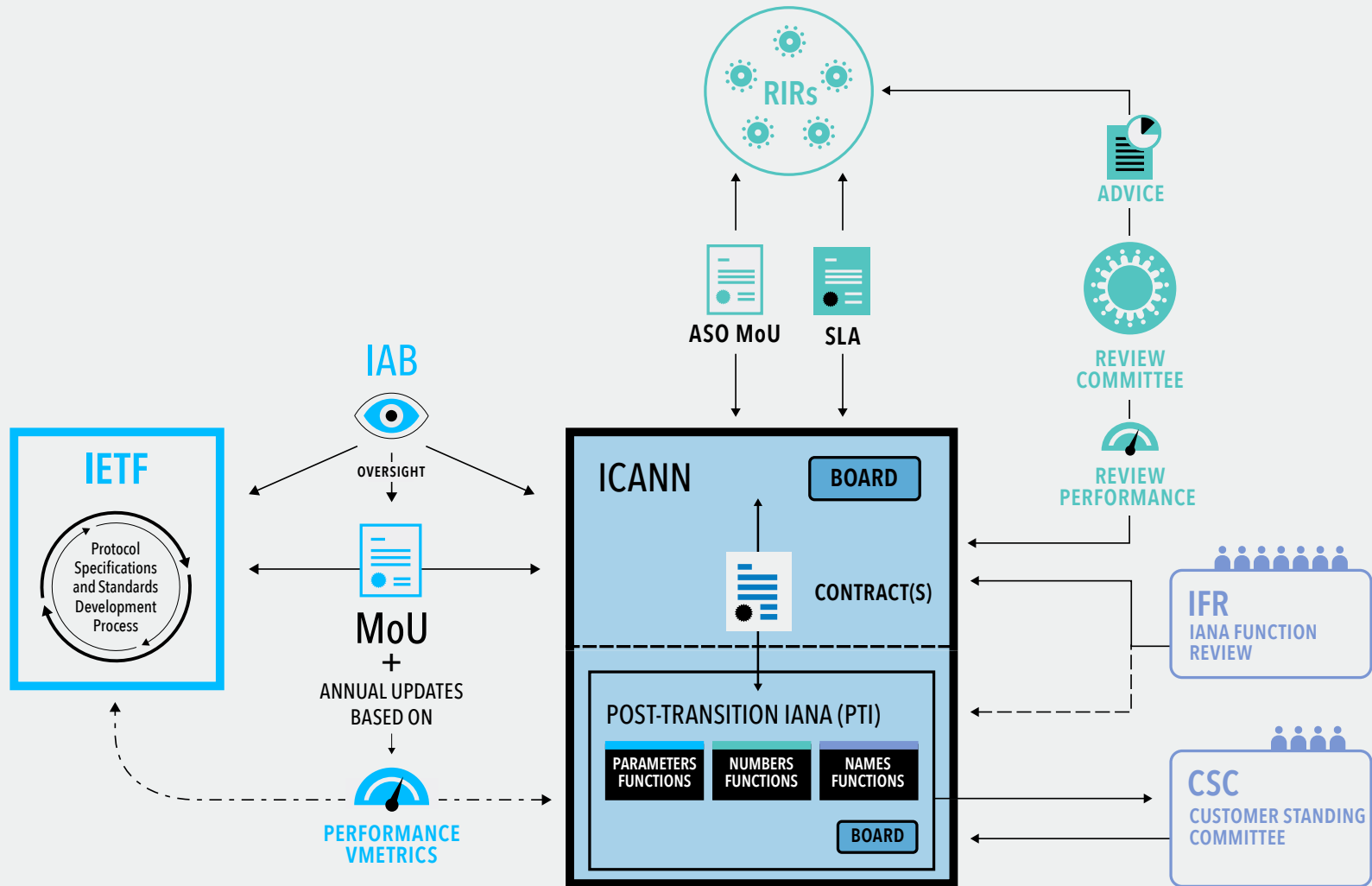
Current Contract



Post-transition



Combined Proposal Overview





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**

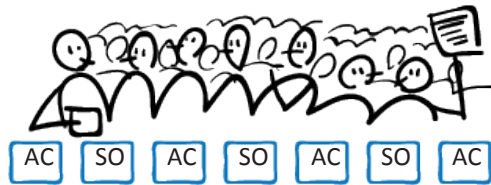
ICANN launched a second process, parallel but interrelated with the IANA Stewardship Transition process, to examine from an organizational perspective how ICANN's broader accountability mechanisms should be strengthened to address the absence of the U.S. Government.

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

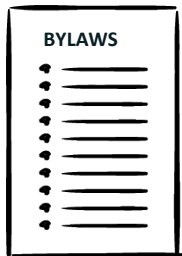
Current Accountability Framework

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



The ICANN Community

is organized in three Supporting Organizations (SOs) and four Advisory Committees (ACs).



The Principles

guarantee the mission, commitments and core values of ICANN through its bylaws.



ICANN Board

has the ultimate authority to approve or reject policy recommendations, developed by the SOs. ACs formally advise the ICANN Board on particular issues or policy areas.

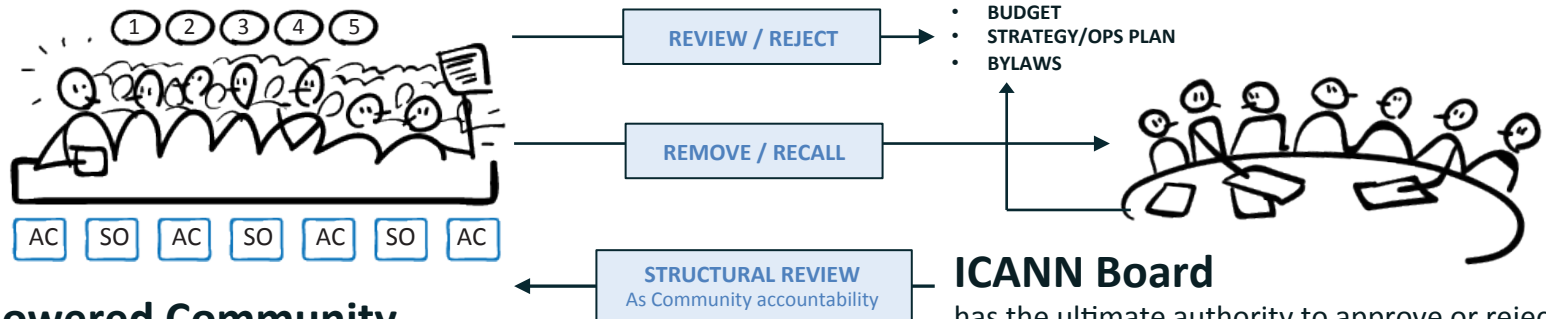


Independent Appeals Mechanisms

confers the power to review and provide redress, as needed.

Proposed Enhanced Accountability Mechanisms

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

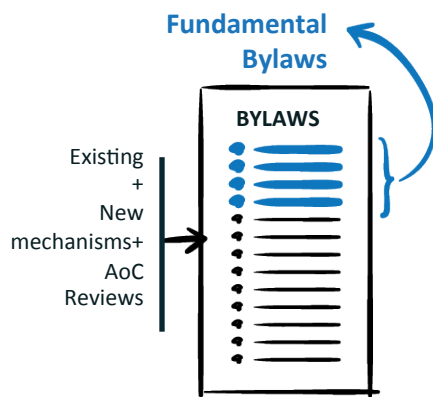


The Empowered Community

refers to the powers that allow the community SOs & ACs to take action should ICANN breach the principles (i.e. the People).

ICANN Board

has the ultimate authority to approve or reject policy recommendations, developed by the SOs. ACs formally advise the ICANN Board on particular issues or policy areas (i.e. the Executive).



The Principles

guarantee the core mission, commitments and values of ICANN through its bylaws (i.e. the Constitution).

NEW IRP

7+ MEMBER STANDING PANEL



Independent Appeals Mechanisms

confers the power to review and provide redress, as needed (i.e. the Judiciary).

The Empowered Community's Powers

The CCWG-Accountability **recommends the ICANN community be empowered with five distinct powers.**



1. Reconsider/reject Budget or Strategy/Operating Plan

This power would give the community the ability to consider strategic/operating plans and budgets after they are approved by the Board (but before they come into effect) and reject them.



2. Reconsider/reject changes to ICANN “Standard” Bylaws

This power would give the community the ability to reject proposed Bylaws changes after they are approved by the Board but before they come into effect.



3. Approve changes to “Fundamental” Bylaws

This power would form part of the process set out for agreeing any changes of the “fundamental” bylaws. It requires that the community would have to give positive assent to any change, a co-decision process between the Board and the community and that such changes would require a higher vote.



Remove individual ICANN Board Directors

The community organization that appointed a given director could end their term and trigger a replacement process. The general approach, consistent with the law, is that the appointing body is the removing body.



5. Recall entire ICANN Board

This power would allow the community to cause the removal of the entire ICANN Board. (expected to be used only in exceptional circumstances).

Work Streams & Implementation

Possible tracks for implementation of Work Stream 1:

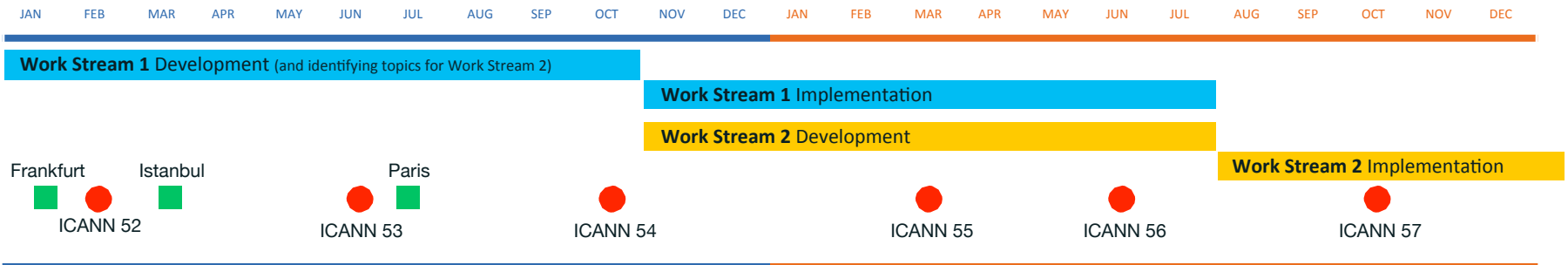
- Revising Mission, Commitments and Core Values
- Establishing Fundamental Bylaws
- Completing the IRP enhancements
- Establishing Community empowerment mechanism and incorporation of the community Powers into the Bylaws
- Implementing the AoC reviews into the Bylaws
- Completing the Reconsideration process enhancements

Elements considered for Work Stream 2:

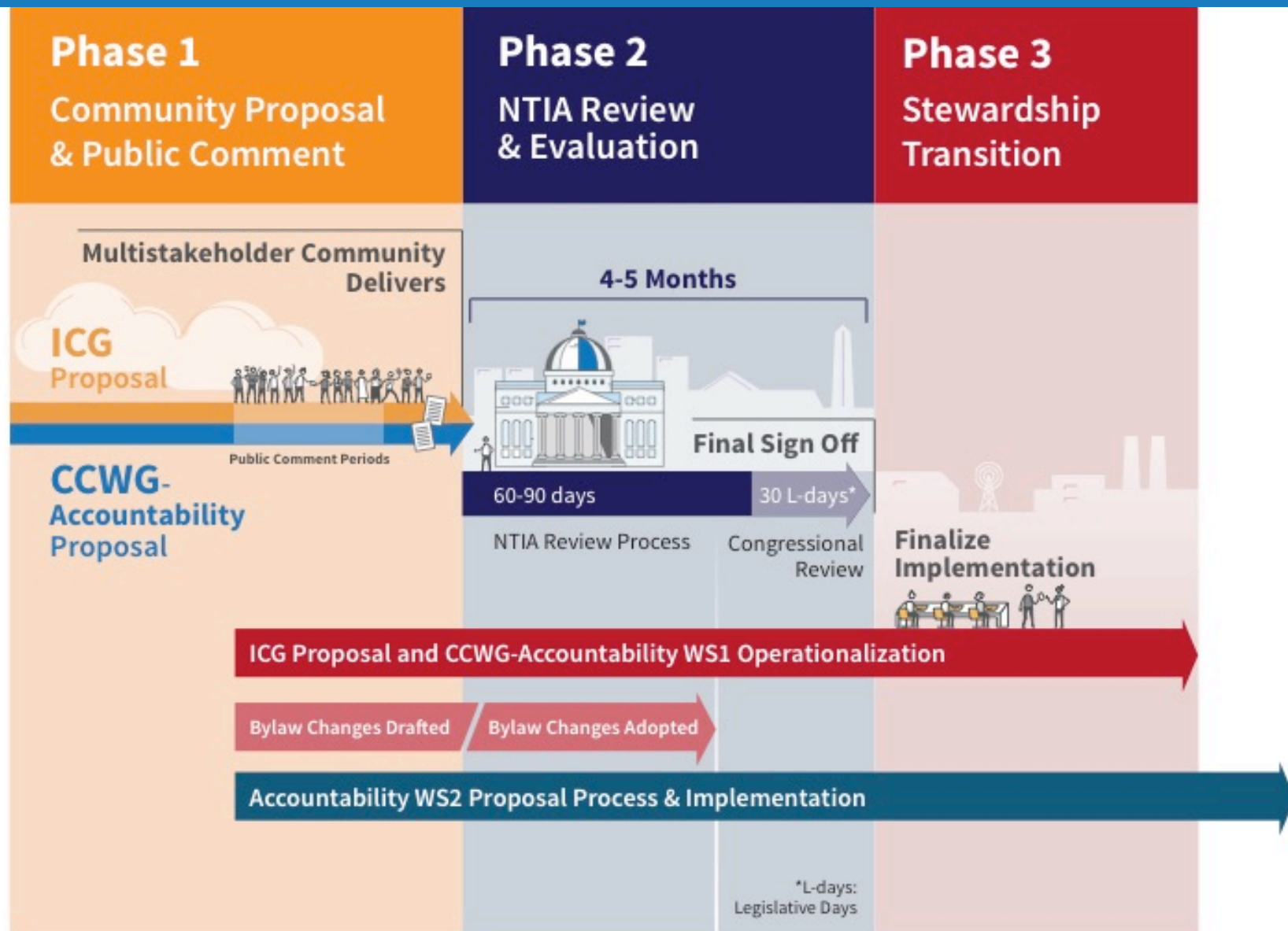
- Refining the **operational details** of WS1 proposals
- Further assessing enhancements to **government participation** in ICANN
- Considering the issue of **jurisdiction**
- Enhancing **SO/AC accountability**
- Instituting a **culture of transparency** within the ICANN organization
- Considering improvements to **diversity** in all its aspects at all levels of the organization
- Defining the modalities of how ICANN integrates **human rights** impact analyses, within its mission

2015

2016



Where are we now?



What Can I Do Now To Get Involved?



Join a working group

- ⦿ 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

- ⦿ Visit: <https://www.icann.org/stewardship-accountability>
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Questions?



Thank You and Questions

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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