



Openness and Transparency within ICANN's IANA Functions Operations

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ICANN's Openness, Transparency, and Accountability

▶ Bylaws:

- ▶ “ICANN and its constituent bodies shall operate to the maximum extent feasible in an open and transparent manner and consistent with procedures designed to ensure fairness.”, ICANN Bylaws, Article III, Section I
- ▶ “... ICANN should be accountable to the community ...”, ICANN Bylaws, Article IV, Section I

▶ Affirmation of Commitments (Commitment #7):

- ▶ “ICANN commits to adhere to transparent and accountable budgeting processes, fact-based policy development, cross-community deliberations, and responsive consultation procedures that provide detailed explanations of the basis for decisions, including how comments have influenced the development of policy consideration, and to publish each year an annual report that sets out ICANN's progress against ICANN's bylaws, responsibilities, and strategic and operating plans. ...”
- ▶ See <http://www.icann.org/en/transparency/> for lots of details

ICANN's Multiple Personalities

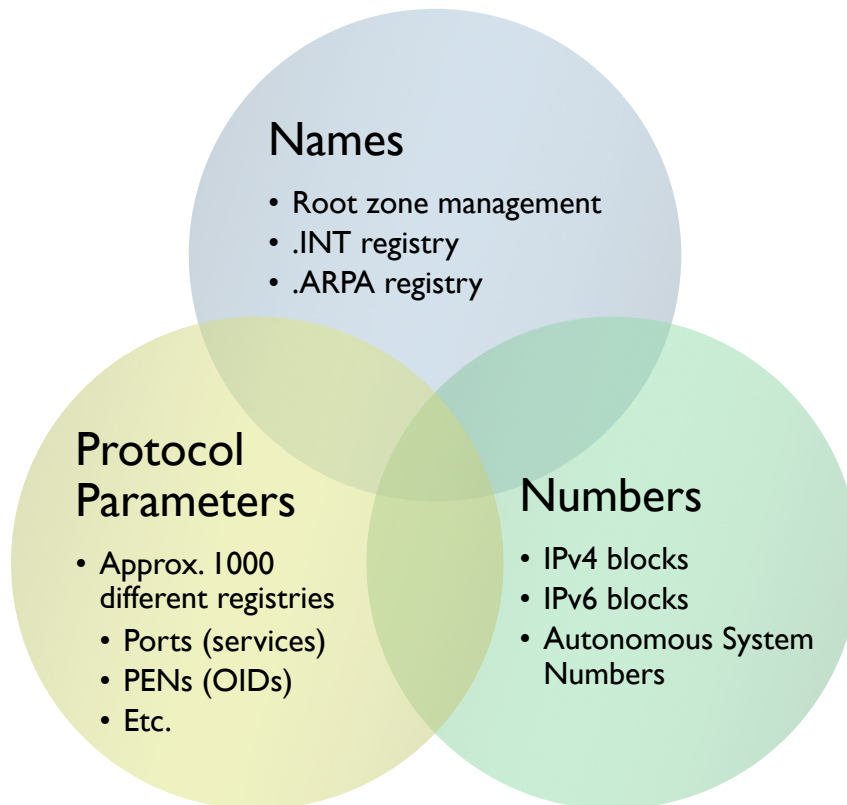
- ▶ **A Community**
 - ▶ Stakeholders from government, industry, civil society
- ▶ **A Coordinator**
 - ▶ Providing a meeting point for stakeholders and members of different constituencies to 'discuss' Internet governance
- ▶ **A Company**
 - ▶ Internationally organized California incorporated 501(c)3 non-profit company with O(100) staff that coordinates the Internet's unique identifiers and is contracted by the US Dept. of Commerce (NTIA) to perform the IANA functions

IANA's Multiple Personalities

- ▶ An entity associated with the IETF
 - ▶ First protocol registry actions around 1972 at USC ISI
 - ▶ Funded by the US government ((D)ARPA) as part of computer research grants
 - ▶ Transitioned to ICANN in 2000 as part of an ICANN-IETF MoU
 - ▶ “The IANA technical team is now part of ICANN.” -- RFC 2860
- ▶ A department within ICANN
 - ▶ 9 FTE staff & contractors (4 Protocol Parameters, 1 Numbers, 2.5 Names, 1.5 Misc)
 - ▶ www.iana.org
- ▶ A set of functions performed by ICANN under contract to the US Dept. of Commerce, NTIA
 - ▶ <http://www.ntia.doc.gov/ntiahome/domainname/iana.htm>

IANA Functions

Included:



NOT Included:

- ▶ **Policy Creation**
 - ▶ IANA staff implement policy defined by others (gNSO, IETF, etc.)
- ▶ **Operations**
 - ▶ “L” root server, name servers, etc., all operated by different groups at ICANN
- ▶ **Root zone editing or publication**
 - ▶ That’s VeriSign’s job

Openness in IANA Functions

- ▶ The policies by which IANA functions are performed are defined by various open bodies:
 - ▶ Names: IETF, gNSO, ccNSO, etc.
 - ▶ See, e.g., RFC 1591, ICP-1, {g,cc}NSO policy development processes
 - ▶ Numbers: IETF, RIR communities, etc.
 - ▶ See e.g., ASO-MoU, ICP-2, RIR policy development processes
 - ▶ Protocol Parameters: IETF
 - ▶ See e.g., the “IANA Considerations” section of modern RFCs
- ▶ In many cases, IANA staff requests input on the processes used to implement these policies prior to implementation

Transparency in IANA Functions

- Public facing processes are documented, e.g.,
 - DNS technical checks: see <http://www.iana.org/procedures/nameserver-requirements.html>
 - Allocation of IPv4 address blocks to RIRs: see <http://www.iana.org/reports/2009/ipv4-selection-mechanism.html>
- Reporting
 - ICANN dashboard: <http://forms.icann.org/idashboard/public/>
 - Reports on IANA activities: <http://www.iana.org/reports/>
 - IETF statistics: <http://www.iana.org/about/performance/ietf-statistics/>

The screenshot displays three browser windows. The leftmost window shows the ICANN Internal Dashboard with a sidebar menu and two line graphs: 'IETF Cumulative Requests - Calendar Year 2008/2009' and 'Root Zone Cumulative Requests Year 2008/2009'. The middle window shows the 'IANA Report on the Redelegation of the .CV Top-Level Domain'. The rightmost window shows the 'IETF Processing Report' for August 2009, which includes a table of contents and a bar chart titled 'Cumulative Requests Created/Closed/Open August 2009'.

Category	Count
Created	140
Closed	140
Open	100

Accountability in IANA Functions

- ▶ ICANN has entered into a service level agreement with the IETF community (IASA):
 - ▶ http://iaoc.ietf.org/documents/IETF-ICANN_Supplemental_Agreement.pdf
 - ▶ SLAs relating to other functions being discussed
- ▶ Documented escalation procedures, see <http://www.iana.org/procedures/escalation/>
- ▶ ICANN, as a contractor to the U.S. Dept. of Commerce has monthly reporting requirements for performance of the IANA functions contract

Summary

- ▶ ICANN, as a whole, and specifically as the IANA functions operator has worked to ensure the highest level of openness, transparency, and accountability in the performance of its duties
 - ▶ An ongoing effort
- ▶ The openness, transparency, and accountability requirements are documented in various agreements, MoUs, and contracts
- ▶ The definition of policies by which the IANA functions are undertaken are defined in a bottom-up process