

IANA Functions Transition Plan

Transition of the IANA Functions to a Successor Operator

IANA
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I C A N N | I A N A F u n c t i o n s

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Objective

A component of the contracts that govern the performance of the Internet Assigned Numbers Authority (IANA) functions by Public Technical Identifiers (PTI) is that it maintains a transition plan that would guide the process should any of those constituent functions be transitioned to a successor operator. This document addresses those requirements.

Contractual Requirements

Naming Functions

The [IANA Naming Function Contract](#) dated 30 September 2016, section 9.3, requires Public Technical Identifiers (PTI) as the operator of the IANA functions to:

... develop and maintain, with ICANN input, a plan in place for transitioning the IANA Naming Function to a successor provider to ensure an orderly transition while maintaining continuity and security of operations, including in connection with the nonrenewal of this Contract and/or divestiture or other reorganization of PTI by ICANN as contemplated by ICANN's Bylaws.

Number Functions

The [Subcontract Agreement](#) between ICANN and PTI, dated 30 September 2016, that governs PTI's performance of the number resource functions documented in the Service Level Agreement (SLA) between the Regional Internet Registries (RIRs) and ICANN, requires that:

PTI shall maintain a transition plan that meets the requirements of the ICANN- IETF Agreements, providing for the transition of the services provided by ICANN thereunder to a successor operator.

Assumptions

This transition plan assumes the following:

- ⦿ Any successor operator of any of the IANA functions will provide its own platform and resources to perform the functions. Therefore, PTI is not obligated to deliver its technology platform and other technical assets¹, nor its staff, as a necessary component of any transfer. Transfer is limited in scope to the necessary business information (such as registry assignment and customer data) that would allow the successor operator to continue operations of the IANA functions under transfer with their own systems and resources.
- ⦿ Any transfer of operations from PTI to ICANN recognizes that ICANN owns and operates the systems and services that PTI uses to provide the IANA functions, and therefore already has custody of the essential elements that would be required to be transferred.
- ⦿ More precise details on the exact nature of elements on data transfer will be dictated by the identity of the successor operator, the exact functions under transfer, and the systems and capabilities they have in place. Thus, this plan is only high-level and will need to be augmented by precise transfer details upon the declaration that a transfer is required.
- ⦿ Transfer of any intellectual property licenses, e.g., IANA trademarks, is beyond the scope of this plan and would be a matter for the successor operator and the licensor.

¹ PTI does not own its technology platforms. All platforms are provided to PTI by ICANN under its services contract, and ICANN retains ownership of its custom software.

Transition Actions

Upon the initiation of a transition, PTI would take the following actions to transfer materials necessary for the performance of the IANA functions by a successor organization.

1. Documents published on the IANA website
For the components under transfer, PTI would provide copies of, or links to, the publicly available text for all processes, performance standards, request templates, and other pages used to support operations or provide context to reporting.
2. IANA registry data
 - a. Naming Functions
 - i. PTI would provide the public registration data for the root DNS zone, along with management information, such as user account details and special handling instructions recorded internally that pertain to management of individual top-level domains (TLDs).
 - ii. PTI would provide a copy of the .INT zone file, along with the public registration data for the registrants.
 - b. Numbering Functions
 - i. PTI would provide the public registration data for unicast assignments made for IPv4 and IPv6 address spaces, and assignments to Regional Internet Registries (RIRs) for autonomous system numbers (ASNs). This includes related and derivative public data such as the reverse DNS zones and the Registration Data Access Protocol (RDAP) bootstrap data.
 - c. Protocol Parameter Functions
 - i. PTI would provide the public registration data for the protocol parameter registries. It would additionally provide any management information, such as user account details and special handling instructions recorded internally that pertain to the management of specific registries. This transfer would include the .arpa zone.
3. System design
 - a. PTI would provide descriptions of the high-level functional requirements for customer facing interfaces, such as the Root Zone Management Software, along with specifications of any public application programming interfaces (APIs) that may exist.
4. Request history data
 - a. PTI would provide a copy of the request data stored in ticketing systems, databases, and workflow management systems used for the maintenance of the function under transfer. PTI would also provide copies of any published reports and paper records it holds supporting these request histories. Note that historical request data for unsuccessful requests can be purged in accordance with data retention policies.
5. Root KSK transition (naming function only)
 - a. In 2010, the [Root Zone KSK Operator Function Termination Plan](#) was developed that sets out the steps the Root Zone KSK Operator would take if required to transition its duties and responsibilities as the Root Zone Key Signing Key (KSK) operator to another entity. This plan is available for download from the IANA website.

Deliverables Not Requiring Transition

Reports and Plans

There are a number of contract deliverables that are ephemeral in nature, and thus will not need to be provided to a successor organization in order to perform the IANA functions. These include, but are not limited to:

- ⦿ Monthly performance reports
- ⦿ Reports to oversight bodies
- ⦿ Customer satisfaction surveys
- ⦿ External auditor reports
- ⦿ Conflicts of interest processes and other company policies
- ⦿ Contingency and continuity plans
- ⦿ Personnel-related information

Systems and Software

PTI would not transfer any proprietary systems or software it developed or used to conduct the IANA functions.

Conclusion

This document describes what PTI would need to transition to allow a successor organization to perform the IANA functions.

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