

# IANA Stewardship Transition Coordination Group Request for Proposals

8 September 2014

## Introduction

Under the IANA<sup>1</sup> Stewardship Transition Coordination Group (ICG) Charter,<sup>2</sup> the ICG has four main tasks:

- (i) Act as liaison to all interested parties in the IANA stewardship transition, including the three “operational communities” (i.e., those with direct operational or service relationships with the IANA functions operator; namely names, numbers, protocol parameters). This task consists of:
  - a. Soliciting proposals from the operational communities
  - b. Soliciting the input of the broad group of communities affected by the IANA functions
- (ii) Assess the outputs of the three operational communities for compatibility and interoperability
- (iii) Assemble a complete proposal for the transition
- (iv) Information sharing and public communication

This Request for Proposals (RFP) addresses task (i) of the ICG Charter. This RFP does not preclude any form of input from the non-operational communities.

## 0. Complete Formal Responses

The IANA Stewardship Transition Coordination Group (ICG) seeks *complete formal responses* to this RFP through processes which are to be convened by each of the “operational communities” of IANA (i.e., those with direct operational or service relationships with the IANA functions operator, in connection with names, numbers, or protocol parameters).

Proposals should be supported by the broad range of stakeholders participating in the proposal development process. Proposals should be developed through a transparent process that is open to and inclusive of all stakeholders interested in participating in the development of the proposal. In order to help the ICG maintain its light coordination role, all interested and affected parties are strongly encouraged to participate directly in these community processes.

The following link provides information about ongoing community processes and how to participate in them, and that will continue to be updated over time:

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

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<sup>1</sup> In this RFP, "IANA" refers to the functions currently specified in the agreement between NTIA and ICANN [<http://www.ntia.doc.gov/page/iana-functions-purchase-order>] as well as any other functions traditionally performed by the IANA functions operator. SAC-067 [<https://www.icann.org/en/system/files/files/sac-067-en.pdf>] provides one description of the many different meanings of the term “IANA” and may be useful reading in addition to the documents constituting the agreement itself.

<sup>2</sup> <https://www.icann.org/en/system/files/files/charter-icg-27aug14-en.pdf>

Communities are asked to adhere to open and inclusive processes in developing their responses, so that all community members may fully participate in and observe those processes. Communities are also asked to actively seek out and encourage wider participation by any other parties with interest in their response.

A major challenge of the ICG will be to identify and help to reconcile differences between submitted proposals, in order to produce a single plan for the transition of IANA stewardship. Submitted Proposals should therefore focus on those elements that are considered to be truly essential to the transition of their specific IANA functions.

The target deadline for all complete formal responses to this RFP is 15 January 2015.

## **I. Comments**

While the ICG is requesting complete formal proposals through processes convened by each of the operational communities, and that all interested parties get involved as early as possible in the relevant community processes, some parties may choose to provide comments directly to the ICG about specific aspects of particular proposals, about the community processes, or about the ICG's own processes. Comments may be directly submitted to the ICG any time via email to [icg-forum@icann.org](mailto:icg-forum@icann.org). Comments will be publicly archived at < <http://forum.icann.org/lists/icg-forum/>>.

Commenters should be aware that ICG will direct comments received to the relevant operational communities if appropriate. The ICG will review comments received as time and resources permit and in accordance with the overall timeline for the transition. That is, comments received about specific proposals may not be reviewed until those proposals have been submitted to the ICG. The ICG may establish defined public comment periods about specific topics in the future, after the complete formal responses to the RFP have been received.

## Required Proposal Elements

The ICG encourages each community to submit a single proposal that contains the elements described in this section.

Communities are requested to describe the elements delineated in the sections below in as much detail possible, and according to the suggested format/structure, to allow the ICG to more easily assimilate the results. While each question is narrowly defined to allow for comparison between answers, respondents are encouraged to provide further information in explanatory sections, including descriptive summaries of policies/practices and associated references to source documents of specific policies/practices. In this way, the responses to the questionnaire will be useful at the operational level as well as to the broader stakeholder communities.

In the interest of completeness and consistency, proposals should cross-reference wherever appropriate the current IANA Functions Contract<sup>3</sup> when describing existing arrangements and proposing changes to existing arrangements.

### 0. Proposal type

Identify which category of the IANA functions this submission proposes to address:

Names                       Numbers                       Protocol Parameters

### I. Description of Community's Use of IANA Functions

This section should list the specific, distinct IANA functions your community relies on. For each IANA function on which your community relies, please provide the following:

- A description of the function;
- A description of the customer(s) of the function;
- What registries are involved in providing the function;
- A description of any overlaps or interdependencies between your IANA requirements and the functions required by other customer communities.

If your community relies on any other IANA service or activity beyond the scope of the IANA functions contract, you may describe them here. In this case please also describe how the service or activity should be addressed by the transition plan.

### II. Existing, Pre-Transition Arrangements

This section should describe how existing IANA-related arrangements work, prior to the transition.

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<sup>3</sup> [http://www.ntia.doc.gov/files/ntia/publications/sf\\_26\\_pg\\_1-2-final\\_award\\_and\\_sacs.pdf](http://www.ntia.doc.gov/files/ntia/publications/sf_26_pg_1-2-final_award_and_sacs.pdf)

## **A. Policy Sources**

This section should identify the specific source(s) of policy which must be followed by the IANA functions operator in its conduct of the services or activities described above. If there are distinct sources of policy or policy development for different IANA functions, then please describe these separately. For each source of policy or policy development, please provide the following:

- Which IANA function (identified in Section I) are affected.
- A description of how policy is developed and established and who is involved in policy development and establishment.
- A description of how disputes about policy are resolved.
- References to documentation of policy development and dispute resolution processes.

## **B. Oversight and Accountability**

This section should describe all the ways in which oversight is conducted over the IANA functions operator's provision of the services and activities listed in Section I and all the ways in which the IANA functions operator is currently held accountable for the provision of those services. For each oversight or accountability mechanism, please provide as many of the following as are applicable:

- Which IANA functions (identified in Section I) are affected.
- If the policy sources identified in Section II.A are affected, identify which ones are affected and explain in what way.
- A description of the entity or entities that provide oversight or perform accountability functions, including how individuals are selected or removed from participation in those entities.
- A description of the mechanism (e.g., contract, reporting scheme, auditing scheme, etc.). This should include a description of the consequences of the IANA functions operator not meeting the standards established by the mechanism, the extent to which the output of the mechanism is transparent and the terms under which the mechanism may change.
- Jurisdiction(s) in which the mechanism applies and the legal basis on which the mechanism rests.

## **III. Proposed Post-Transition Oversight and Accountability Arrangements**

This section should describe what changes your community is proposing to the arrangements listed in Section II.B in light of the transition. If your community is proposing to replace one or more existing arrangements with new arrangements, that replacement should be explained and all of the elements listed in Section II.B should be described for the new arrangements. Your community should provide its rationale and justification for the new arrangements.

If your community's proposal carries any implications for the interface between the IANA functions and existing policy arrangements described in Section II.A, those implications should be described here.

If your community is not proposing changes to arrangements listed in Section II.B, the rationale and justification for that choice should be provided here.

#### **IV. Transition Implications**

This section should describe what your community views as the implications of the changes it proposed in Section III. These implications may include some or all of the following, or other implications specific to your community:

- Description of operational requirements to achieve continuity of service and possible new service integration throughout the transition.
- Risks to operational continuity and how they will be addressed.
- Description of any legal framework requirements in the absence of the NTIA contract.
- Description of how you have tested or evaluated the workability of any new technical or operational methods proposed in this document and how they compare to established arrangements.
- Description of how long the proposals in Section III are expected to take to complete, and any intermediate milestones that may occur before they are completed.

#### **V. NTIA Requirements**

Additionally, NTIA has established that the transition proposal must meet the following five requirements:

- Support and enhance the multistakeholder model;
- Maintain the security, stability, and resiliency of the Internet DNS;
- Meet the needs and expectation of the global customers and partners of the IANA functions;
- Maintain the openness of the Internet;
- The proposal must not replace the NTIA role with a government-led or an inter-governmental organization solution.

This section should explain how your community's proposal meets these requirements and how it responds to the global interest in the IANA functions.

#### **VI. Community Process**

This section should describe the process your community used for developing this proposal, including:

- The steps that were taken to develop the proposal and to determine consensus.
- Links to announcements, agendas, mailing lists, consultations and meeting proceedings.
- An assessment of the level of consensus behind your community's proposal, including a description of areas of contention or disagreement.