MEETING WITH NEW IETF CHAIR, JARI ARKKO

DATE: June 26, 2013
TIME: 11:00 a.m. - noon
LOCATION: Your office

PURPOSE: Jari Arkko, the newly appointed Chair of the Internet Engineering Task Force (IETF) and Russ Housley, the newly appointed Chair of the Internet Architecture Board (IAB) and the outgoing chair of the IETF, requested this "meet-and-greet" meeting. In advance of the meeting, Jari indicated that he would also like to raise the IANA functions contract and its possible "future direction."

NTIA OBJECTIVE: The broad objective is to reiterate NTIA's support for the IETF as a multistakeholder Internet protocol developer (standards body) and consider any points they wish to raise regarding the IANA functions contract. This is also an opportunity to hear first-hand about IETF activities to reach out to the developing world.

THREE THINGS YOU MUST KNOW:

1. Jari Arkko is the recently appointed IETF Chair, replacing Russ Housley. Jari is from Finland and employed by Ericsson. Russ Housley is the outgoing IETF Chair as well as the incoming IAB Chair. Jari and Russ have been trying for some time to schedule this meeting with you and this meeting is obviously a priority for them.
2. While this meeting is intended largely as a meet-and-great, Jari has indicated an interest in discussing the IANA functions contract and possible "future directions." It isn't clear at what level of detail they wish to discuss, but is likely to be limited to the protocol parameters and be used by the IETF/IAB as an opportunity to lay the ground work for future discussion.
3. You met with Russ Housley, Bernard Aboba (previous IAB chairman), and Leslie Daigle (ISOC) on April 3, 2012 to discuss the IANA Functions Contract. During this meeting, Mr. Housley voiced concerns about the apparent trajectory of greater US Government involvement in the IANA protocol parameters.

BACKGROUND/RECENT DEVELOPMENTS:

- Jari Arkko was appointed as IETF Chair in February 2013, replacing Russ Housley who stepped down from his six-year term. Jari is literally traveling around the world (and the U.S.) to meet with people and introduce himself.
- OIA and OPAD met with Jari and Russ on May 3, 2013 as a more-or-less staff level meet-and-greet. Jari and Russ attempted to schedule this meeting with you a number of times, but were unsuccessful due to scheduling conflicts.
- The IETF's (and IAB's) interest in the IANA functions contract is quite broad, but one function in particular greatly impacts the IETF's day-to-day operations, which is the protocol parameter function ("Coordinate the Assignment of Technical Protocol Parameters including the management of the Address and Routing Parameter Area/ARPA TLD"). While this is a function performed under contract with the Department, ICANN has an MOU and yearly SLAs with the IETF regarding performance.
- The IETF relies heavily on the protocol parameter function to ensure the availability of unambiguous identifiers for Internet protocols. Protocol Parameter registries are established

through publication of IETF RFCs; each registry is associated with specific IETF policies and procedures required to register identifiers. This function (managed by the IANA functions operator) enforces the rules established by the IETF for each policy, including the assignment policy, the syntax and semantics of a registry entry, and manages the technical review process.

- The IETF has periodically examined internally their perspective on this function, particularly with respect to whether or not it should be an "IANA function." There are some within both the IETF and IAB leadership who believe this function could/should be under the direct authority of the IETF (who would likely contract it out to ICANN) and others who believe it is best to keep this function bundled with the other IANA functions. ISOC specifically indicated that the functions should remain bundled (i.e. don't spin out protocol parameters) in their comments to the IANA functions NOI and the IAB stated that the functions should "evolve together" and be "performed by a single operator." However, the IAB response to the FNOI provides further clarification to their NOI statement indicating that "that goal can be established under various governance models and the IAB is willing to explore those."
- NTIA has had several exchanges with the IETF. In September 2011, OIA's Associate Administrator, Fiona Alexander, exchanged emails with Housley in response to the following question "While it is desirable to keep the IANA functions in the same place, they do not need to be under the same contract to do so. Looking toward reducing the involvement of the Department of Commerce in the IANA protocol parameters in the future, is the upcoming RFP and SOW being structured in a way that would allow the protocol parameter function to be removed from the contract with minimal overhead and process, at the discretion of the Department of Commerce?" In response to Housley, Alexander pointed to the NOI record "Given the overwhelming support in the public record developed in response to the NOI, including the comments received from the IAB, we stated in the FNOI that the functions would remain bundled.
- The IETF and IAB views were articulated in the ISOC and IAB submissions to the 2011 IANA functions NOI and FNOI, which reflect their broader and more specific interests (see attachments).
- While NTIA should be open to discuss the IANA functions contract, it would be best to not make any commitments during the discussion.

NTIA ATTENDEES:

- YOU
- Angela Simpson, OAS
- Jade Nester, OAS/OIA
- Vernita Harris, OIA
- Ashley Heineman, OIA

OTHER ATTENDEES:

- Jari Arkko, IETF Chair
- Russ Housley, IAB Chair

ATTACHMENTS:

(1) Jari Arkko and Russ Housley Bios
(2) ISOC submission to IANA functions NOI, March 30, 2011
(3) IAB submission to IANA functions NOI
(4) ISOC submission to IANA functions FNOI, July 29, 2011
(5) IAB submission to IANA functions FNOI, July 29, 2011

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Internet Architecture Board Response to the
National Telecommunications and Information Administration
[Docket No. 110207099–1099–01] RIN 0660–XA23
Request for Comments on the Internet Assigned Numbers Authority (IANA) Functions

Dear Ms Alexander,

The Internet Architecture Board (IAB) appreciates the opportunity to provide our view on the future IANA functions contract and answer your specific questions. We would welcome the opportunity to discuss any of these responses further, or to provide any clarification you may require.

The IAB is chartered both as a committee of the Internet Engineering Task Force (IETF) and as an advisory body of the Internet Society (ISOC). Its responsibilities include architectural oversight of IETF activities, Internet Standards Process oversight and appeal, and the appointment of the RFC Editor. The IAB is also responsible for the management of the IETF protocol parameter registries. We answer from the perspective of our responsibilities outlined in RFC2850 [1]: as the body that approves the entity that serves as IANA for the IETF. At the same time we are taking a broader view on IANA functions and related stability and interoperability issues for the Internet. We start with a general overview and answer specific questions in the NOI after that.

IANA evolution

One of the important components of each of the three main IANA functions (the coordination of the assignment of technical Internet protocol parameters, including services related to the management of the .ARPA top-level domain; the administration of certain responsibilities associated with Internet DNS root zone management; and the allocation of Internet numbering resources) is maintaining a registry, or a database, where various parameters are assigned and recorded (e.g., operation codes, character set codes, port numbers, object identifiers, protocol numbers, IP addresses, Autonomous System Numbers and DNS domain names).

Transparency, continuity and predictability of allocation, assignment, and publication of the protocol element values are important requirements for stability of the Internet. The use of a registry is ultimately the choice of users and developers of Internet protocols, and this choice is made based on stability and

trust, not on mandates and policing. This trust is a result of successful cooperation among the Internet technical community.

While preserving stability, IANA should continue to evolve to respond to the changing environment and the needs of its users, as should the IANA functions. It is important that the future IANA functions contract doesn't restrict this evolution, but is rather flexible enough to accommodate this natural development. That means that definition of the IANA functions should be high-level and avoid detailed prescription.

We believe that the IANA functions should evolve together. There exists synergy and interdependencies between the functions, and having them performed by a single operator facilitates coordination among registries, even those that are not obviously related. It also makes it easier to have consistency of formats and registry structure, which aids users of the registries and assists with quality control. Additionally, it facilitates cooperation and coordination among different communities and organizations participating in policy setting and using IANA services, thus contributing to the overall stability of the IANA.

Multi-stakeholder governance model

The policies that IANA implements are the result of multi-stakeholder, bottom-up, open policy development processes (specifically: ICANN, IETF, and RIR community-driven). These policies actually define how and when the content of a registry is changed, or new registries are created. The above-mentioned communities and supporting organizations assume the policy role in this model. These processes and related community work are beyond what is described in the Statement of Work of the IANA contract.

The IANA registries are created for specific protocols. Development of specifications of these protocols is part of the overall architectural role, which the IAB/IETF assumed when it was established more than two decades ago. The architectural role may also set the standards for the methods by which the content of a registry is made available.

The NTIA statement seems to be consistent with these observations: "Applicable to each of these functions and their performance are relevant policies, technical standards, and procedures developed and administered outside the purview of the IANA functions contract". We agree with this statement and appreciate its inclusion in the NOI.

Indeed, the IANA functions contract only addresses the registry maintenance role. That role is limited to the allocation or assignment of values in the registries and publishing those accordingly.

The maintenance role is mechanical and IANA implements, but doesn’t define or develop a policy. At the same time this role requires understanding of the

complex architectural and procedural relations that need to be taken into account during the assessment of allocation or registration requests against the policies. Having the maintenance of the registries performed by a single operator facilitates transparency and allows the IANA to centrally manage the requests and information flows.

The preceding overview shows that the governance structure around IANA is complex, but is well established and working, and should be permitted to continue without adding any additional functions or expanding the scope of the contract. To be clear, we believe that the future arrangement should remain limited to the maintenance role, and should avoid putting constraints on the future development of this governance structure and its decision making process.

IANA performance

It is very important that IANA performance meets the requirements and expectations of different interested and affected parties. The current contract requires broad performance metrics and reporting although some of these reports are not publicly available. We would like to see more transparency in IANA's performance of its functions. We believe that the performance metrics should be defined by relevant technical groups and communities using a process that contains public review and comment as an element. The related reporting should be publicly available rather than having complete reports available only to a select list of parties.

Specific Questions

1. The IANA functions have been viewed historically as a set of interdependent technical functions and accordingly performed together by a single entity. In light of technology changes and market developments, should the IANA functions continue to be treated as interdependent? For example, does the coordination of the assignment of technical protocol parameters need to be done by the same entity that administers certain responsibilities associated with root zone management? Please provide specific information to support why or why not, taking into account security and stability issues.

Although the IANA functions could theoretically be separated, as we indicated in the overview provided above, all registries related to these functions and maintained by IANA have a common architectural ancestry. And since the underlying protocols evolve there will always be a requirement from the IETF to be able to reserve or assign certain values in the context of that evolution.

A few examples provided below intend to illustrate that the IETF's standards development continues to interact with the IANA functions beyond just the protocol parameters function.

The IPv6 address space is currently divided in different blocks. One of these blocks is used for Global Unicast addresses and IANA is distributing addresses from this pool to the Regional Internet Registries for allocation and assignment under regional policies. There are additional blocks reserved for usage as specified in the registry, while the remaining blocks have been '*Reserved by the IETF*'. This allows the protocols that use the IPv6 address format to evolve and currently unforeseen applications to emerge.

For the DNS registry the same applies. A recent example is the development of international domain names. The Internationalized Domain Names in Applications (IDNA) architecture sets a number of boundary conditions for policy development and for evaluation of requests. The most trivial being that the IDN protocol suite prohibits the use of the 'xn--' code for registration in non-internationalized DNS, while more subtle boundary conditions have to do with allowed strings.

Another prominent example of this is the .ARPA domain. This domain is used to publish certain types of registrations in the DNS. The .ARPA domain itself is delegated from the root zone and contains a number of subdomains, some of which are pure “protocol parameter registries” such as URN.ARPA. On the other, hand the IP6.ARPA and IN-ADDR.ARPA domains are clearly linked to the Address Registration functions of IANA.

This supports our view that the IANA functions should evolve together performed by a single entity.

At the same time we would like to note that the IAB has, through RFC 2850 [1], the mandate from the technical community to approve the appointment of an organization to act as IANA on behalf of the IETF. Should any changes to the existing IANA Functions operator be proposed, the successor will have to meet the requirements of the IETF as documented in RFC 6220 [2] and stability and security of the continued operation must be assured. At the same time, the current operation of the protocol parameters space is working well, and there is no immediate or compelling need to make changes. Changes would inevitably be disruptive during a transition period, and any transition would have to be carefully planned and managed with strong support from the impacted parties.

2. The performance of the IANA functions often relies upon the policies and procedures developed by a variety of entities within the Internet technical community such as the IETF, the RIRs and ccTLD operators. Should the IANA functions contract include references to these entities, the policies they develop and instructions that the contractor follow the policies? Please provide specific information as to why or why not. If yes, please provide language you believe accurately captures these relationships.

As we stated before, a new contract should provide a high-level definition of the functions and not detail specific policies or procedures. At the same time, it is

desirable if the contract recognizes the distinction between the mechanical and policy setting roles for each high-level IANA function.

We do not have an opinion on whether the contract needs to reference the bodies specifically but if it does it can refer to RFC 2860[3] and RFC 6220 [2] for the relation between the IETF and the protocol parameters registry.

3. Cognizant of concerns previously raised by some governments and ccTLD operators and the need to ensure the stability of and security of the DNS, are there changes that could be made to how root zone management requests for ccTLDs are processed? Please provide specific information as to why or why not. If yes, please provide specific suggestions.

An increase in transparency of IANA operations with regard to this specific function would be a positive change. In particular, information about the review process, review criteria, response times as well as the status of each request should be publicly available.

4. Broad performance metrics and reporting are currently required under the contract. Are the current metrics and reporting requirements sufficient? Please provide specific information as to why or why not. If not, what specific changes should be made?

For the protocol parameter registries there is detailed reporting [4] against metrics that are set in an SLA between ICANN/IANA and the IETF [5]. In these reports distinctions are made between tasks that IANA has control over and tasks that are performed by external parties such as *expert review*. We note that all performance metrics and reporting related to this IANA function are publicly available. We believe this should be the case for the rest of IANA functions as well.

5. Can process improvements or performance enhancements be made to the IANA functions contract to better reflect the needs of users of the IANA functions to improve the overall customer experience? Should mechanisms be employed to provide formalized user input and/or feedback, outreach and coordination with the users of the IANA functions? Is additional information related to the performance and administration of the IANA functions needed in the interest of more transparency? Please provide specific information as to why or why not. If yes, please provide specific suggestions.

The IAB believes that process improvements or performance enhancements related to IANA functions should be introduced through a two-way engagement with respective communities. An example of a working arrangement is the existing MoU between the IETF and ICANN regarding the protocol parameter registry [3]. We think that agreements modeled on this MoU are better instruments for process improvements or performance enhancements than adding specific provision to the IANA functions contract.

6. Should additional security considerations and/or enhancements be factored into requirements for the performance of the IANA functions? Please provide specific information as to why or why not. If additional security considerations should be included, please provide specific suggestions.

We believe that at the minimum best practices in Information security should be used by the IANA Function Operator to ensure protection of the data. At the same time specific requirements with respect to the maintenance of a registry, including security considerations and/or enhancements, etc. should be community driven.

A contract should not go into the level of detail to describe security considerations and/or enhancements. Contracts should not be written in terms of specific technology but should allow the contractor to work with the community to implement measures in a timely manner without the possibility of (a perception of) a limitation in contracts.

The future arrangement should have the flexibility to allow appropriate evolutionary changes in the publication mechanisms of the registries and the security mechanisms related thereto.

References

[1] Carpenter, B., Ed., IAB, "Charter of the Internet Architecture Board (IAB), RFC 2850, May 2000.

[2] McPherson, D., Ed., IAB, "Defining the Role and Function of IETF Protocol Parameter Registry Operators", RFC 6220, April 2011.

[3] Carpenter, B., et.al., "Memorandum of Understanding Concerning the Technical Work of the Internet Assigned Numbers Authority", RFC 2860, <http://www.icann.org/en/general/ietf-icann-mou-01mar00.htm>, June 2000.

[4] "IANA Statistics for IETF-related Requests", <http://www.iana.org/about/performance/ietf-statistics/>

[5] "ICANN / IANA - IETF MoU Supplemental Agreement", <http://www.icann.org/en/general/ietf-iana-agreement-v8.htm>

Contact Information

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The Internet is for Everyone

July 29, 2011

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Response by the Internet Society to the National Telecommunications and Information Administration [Docket No. 110207099–1319–02] [RIN 0660–XA23] Further Notice of Inquiry (FNOI) on the Internet Assigned Numbers Authority (IANA) Functions

Dear Ms. Alexander,

The Internet Society (ISOC) thanks the United States Department of Commerce National Telecommunications and Information Administration for providing a summary of comments submitted to the Notice of Inquiry on The Internet Assigned Numbers Authority (IANA) Functions along with accompanying responses to the major points identified. We appreciate NTIA's providing an additional opportunity to offer detailed comments on a Draft Statement of Work (SOW) and a related series of questions. In issuing the FNOI, the NTIA is demonstrating an increased commitment to open and transparent process, instituting an interactive dialogue that we believe can only lead to better public policy. The outreach to various stakeholders in the Internet community that the Department has undertaken, and their responsiveness thus far to inputs received will contribute to broadening transparency, predictability and global confidence in the way it deals with the IANA function.

We are pleased to provide the following response, and ask that these remarks be read as supplementary to the Internet Society's contribution to the earlier Notice of Inquiry. We also would like draw readers' attention to the submission to this process by the Internet Architecture Board. The Internet Society provides the organizational home for the groups responsible for Internet infrastructure standards, including the Internet Engineering Task Force (IETF) and the Internet Architecture Board (IAB). We fully support the comments contained in the IAB submission to this inquiry.

In general terms, the Internet Society agrees with many of the points contained in the NTIA comments on the interveners'' comments in response to the March 2011 NOI; however, there are some areas where we believe further clarification would contribute to clarity in the Statement of Work.

First, we welcome the NTIA's restatement of support for the multistakeholder process as an essential strategy for dealing with Internet policy issues in general, and with the IANA functions specifically. The Internet Society has long been a proponent of this model. However, we believe that the Contract needs to recognize the respective roles, responsibilities and capabilities of several stakeholders which have a

different level of responsibility and a greater need for involvement than other stakeholders. While all stakeholders share the need for confidence in the IANA contractor, for transparency and accountability, and for engagement in aspects of the policy making process, we agree with the IAB submission that some entities should be singled out as "materially affected parties"[1] to the contract. Making clear this distinction would be consistent with the need to avoid any perception that the Contract is intended to expand the scope of IANA, or to assert authority over those organizations, while allowing for the evolution of the roles and responsibilities of the multistakeholder model.

Second, an examination of the roles and responsibilities of the Internet technical community also will highlight the fact that, although the DNS component of the IANA Functions Contract attracts the bulk of the attention, it is only one of three IANA functions that are of equal importance to the well-functioning Internet. As indicated by the IAB submission, it is important that all three IANA functions are recognized as having equal importance rather than giving the impression that the addressing and protocol functions are subservient to the DNS.

A third area where we believe further clarification would be helpful before settling on the final wording of the SOW pertains to the proposed functional separation between the processing of the IANA functions and the development of associated policies. The Internet Society continues to believe that carrying out tasks associated with the IANA function must be independent of the policy making processes for all aspects of the functions. This requires that policy making processes (whether carried out by individuals or bodies) not interfere with IANA functions operations. However, we believe it is useful that policy making processes be informed by the implementation expertise of IANA functions staff responsible for executing the IANA functions, as well as by advice from technical experts from other materially impacted stakeholders. We believe, therefore, that the requirement for separation is at the level of functional operation specification, and not the staffing level.

Finally, we strongly encourage the NTIA to refine and clarify the requirement for the IANA Contractor to document compliance with relevant policies and procedures or, more critically, with relevant national laws as suggested in the Draft SOW. To be consistent with the requirement for the functional separation between the processing of the IANA functions and the development of associated policies, it is essential that IANA staff not be required to independently assess whether or not requests for processing are compliant with subjective policies or with national laws originating in a number of jurisdictions. The current draft SOW text suggesting IANA staff should ensure that requests comply with "relevant policies and procedures, such as RFC 1591" must be clarified. The policy-making bodies themselves – ICANN, represented through its Board, the IETF and IAB, and the regional address policy groups as represented by the ASO/NRO – should attest that their respective policies and procedures are appropriately addressed. Those bodies are responsible for properly carrying out their duties, including where necessary obtaining expert advice when required, as for example in the case of compliance with national law, and the responsibility must remain there.

The final SOW must make it clear that the IANA Contractor's staff is responsible only for documenting the relevant organization's compliance with objective policy requirements, procedures and laws, and not for judging the accuracy of such statements.

Assessing compliance is a key policy function, and must therefore remain separate from the procedural functions of the Contractor. The same applies to certifying community support; the responsible bodies should inform the IANA Contractor that a decision has been determined to have community support; but the Contractor cannot reasonably be expected to judge whether or not that is true.

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[1] The materially affected parties include, but are not limited to, the Policy Development Bodies (ICANN, represented through its Board, the IETF and IAB, and the regional address policy groups as represented by the ASO/NRO), regional registries, country code top-level domain (ccTLD), operators/managers, and governments.

Turning to the questions posed in relation to the Draft SOW the Internet Society offers the following comments:

Question 1. Does the language in ''Provision C.1.3'' capture views on how the relevant stakeholders as sources of the policies and procedures should be referenced in the next IANA functions contract. If not, please propose specific language to capture commenters' views.

ISOC Response: The language in "Provision C.1.3" is unnecessarily restrictive. Since only some of the data submitted by applicants in connection with the IANA functions is confidential, protection should be limited in scope to apply to only the confidential data. Otherwise, the Contract should presume in favour of transparency. This approach would help to inspire all stakeholders' confidence that the Government and the Contractor are properly carrying out their functions. Suggested wording (additions are underlined):

> C.1.3 The Government acknowledges that some data submitted by applicants in connection with the IANA functions is confidential information. To the extent permitted by law, the Government shall accord any data submitted by applicants in connection with the IANA functions that is justifiably agreed to be confidential with the same degree of care as it uses to protect its own confidential information, but not less than reasonable care, to prevent the unauthorized use, disclosure, or publication of confidential information. In providing data that is subject to such a confidentiality obligation to the Government, the Contractor shall advise the Government of that obligation. The Government shall provide notice that the identified data is being held confidential and explain why such treatment is justified (e.g., "commercial confidential," "private personal data," etc.).

Question 2. Does the new ''Provision C.2.2.1.1'' adequately address concerns that the IANA functions contractor should refrain from developing policies related to the IANA functions? If not, please provide detailed comments and specific suggestions for improving the language.

ISOC Response: As noted above, the new ''Provision C.2.2.1.1''seems to go too far in that it could prevent the IANA Functions Contractor staff from providing important technical advice to the policy development process. It would be preferable to clarify that the IANA Functions Contractor staff should remain separate and removed from the decision making process, but not from providing technical input or input based on operational considerations to the discussions leading to a decision. Suggested wording:

> C.2.2.1.1 The Contractor shall ensure that any and all staff dedicated to executing the IANA functions remain separate and removed (not involved) from decision making concerning any policy development that occurs related to the performance of the IANA functions. It is expected that such staff may occasionally be requested to provide expert, technical advice and opinion or input based on operational considerations germane to the policy development process.

Question 3. Does the language in ''Provisions C.2.2.1.2, C.2.2.1.3, C.2.2.1.4, and C.2.2.1.5'' adequately address concerns that the IANA functions contractor should perform these services in a manner that best serves the relevant stakeholders? If not, please propose detailed alternative language.

ISOC Response: With regard to Provision C.2.2.1.2, we recommend that two important changes be included. First, there should be a clarification that the materially concerned parties specifically should be requested to collaborate in developing appropriate standards and metrics. The wording proposed below recognizes the importance of the knowledge and experience resident in the Internet technical community and their distinct status as clients of the IANA Functions. Second, it needs to be made clear that the role of the Contracting Officer's Technical Representative (COTR) is to certify the compatibility of the proposed standards and metrics with the terms of the contract, and not to judge their relevance or utility for the clients of the Function. Suggested wording:

> … Within six (6) months of award, the Contractor shall submit to NTIA performance standards and metrics developed in collaboration with materially concerned parties for approval. The performance standards and metrics will be approved by the Contracting Officer's Technical Representative (COTR) unless they explicitly contradict some aspect of the contract. Upon approval by the COTR the Contractor shall perform this task in compliance with approved performance standards and metrics [...]

Question 5. Does the new ''Provision C.2.2.1.3.2 Responsibility and Respect for Stakeholders'' adequately address concerns related to the root zone management process in particular how the IANA functions contractor should document its decision making with respect to relevant national laws of the jurisdiction which the TLD registry serves, how the TLD reflects community consensus among relevant stakeholders and/or is supported by the global public interest. If not, please provide detailed suggestions for capturing concerns. Are the timeframes for implementation reasonable?

ISOC Response: Please refer to the comments above regarding the need to avoid putting the Contractor in the position of having to judge the adequacy of the relevant policy development bodies' performance of their functions. The direction the text in these sections seems to suggest is a significant and major area of concern for the Internet Society. In terms of specific language, ISOC would suggest, for example:

> C.2.2.1.3.2 Responsibility and Respect for Stakeholders—The Contractor shall confirm that a request for it to take action refers to the source of the policies and procedures, such as RFC 1591*, that have been followed in taking a decision* to request the Contractor to process requests associated with TLDs. For delegation requests for new generic TLDS (gTLDs), the Contractor shall affirm that the ICANN Board approved policy for new gTLDs has been satisfied.

Question 6. Does the new ''Section C.3 Security Requirements'' adequately address concerns that the IANA functions contractor has a secure communications system for communicating with service recipients? If not, how can the language be improved? Is the timeframe for implementation reasonable?

ISOC Response: With reference to Section C.3.5. *Director of Security*, the Internet Society agrees that position is of great importance to the community's confidence in the security and stability of the IANA function; however we note that the requirement for the Contractor to "notify and consult in advance the COTR when there are personnel changes in this position" gives the appearance of creating an additional responsibility and check point for the COTR. We understand that the Director of Security will be responsible for handling sensitive information and tasks. While it is appropriate for the Contractor to ensure that this position is filled by a trusted individual, the Internet Society believes that it would be inappropriate for the COTR to interfere directly in the personnel decisions of the Contractor.

Question 9. Does the new ''Section C.4 Performance Standards Metric Requirements'' adequately address concerns regarding transparency in root zone management process, and performance standards and metrics? Should the contractor be required to gather and report on statistics regarding global IPv6 and DNSSEC deployment? If so, how should this requirement be reflected in the SOW? What statistics should be gathered and made public?

ISOC Response: With regard to performance standards and reporting, we believe the contract should emphasize openness and transparency to the greatest extent possible. Thus, we believe that the performance progress reports recommended should be posted publicly and not just submitted to the COTR, as suggested in C.4.1. The reporting should be high-level and should respond to the needs of all stakeholders, while being consistent with the recommendations made above with regard to Provision C.2.2.1.2, where the special expert role of the materially affected parties is highlighted. In the same spirit, ISOC recommends that the materially affected parties should be specifically included in the development of the Root Zone Management dashboard to ensure that client needs are met.

The Internet Society does not think it is appropriate for the Contractor to be required to gather and report on statistics regarding global IPv6 and DNSSEC deployment. The Performance Standards Metrics requirements should be limited to the registries IANA operate; for example, concerning DNSSEC, gathering information on the number of DS records in the root zone is appropriate, while monitoring the rate of global DNSSEC deployment is probably outside the scope.

Conclusion

Once again, the Internet Society appreciates the opportunity to comment on the terms of the proposed Contract. We hope that the responses above are helpful to the NTIA, and assure you that ISOC staff remains available for clarification of any points, should you wish to discuss our response further.

Sincerely yours,

Lynn St. Amour
President and CEO
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Response by the Internet Society to the
National Telecommunications and Information Administration
[Docket No. 110207099–1099–01] RIN 0660–XA23: Request for Comments on the Internet Assigned Numbers Authority (IANA) Functions

Dear Ms Alexander,

The Internet Society is pleased to submit the following comments to the National Telecommunications and Information Administration process on the Internet Assigned Numbers Authority functions.

GENERAL COMMENTS

The Internet Society (ISOC) is a non-profit organisation founded in 1992 to provide leadership in Internet related standards, education and policy. We are dedicated to ensuring the open development, evolution and use of the Internet for the benefit of people throughout the world. Coming from this perspective, we feel it is important to preface our comments on the IANA functions by recalling that a common set of values and principles has characterized the development and operation of the global Internet since the beginning. In particular, open standards, freely accessible inclusive processes, and transparent governance are central to the Internet's management and ongoing evolution.

The Internet works precisely because all involved organizations work together collaboratively, respecting individual roles and in the public interest. This method of working is called the Internet model of development, and the diverse environment of stakeholders engaged in creating and developing the Internet is broadly known as the Internet ecosystem[1].

[1] http://www.isoc.org/internet/issues/ecosystem.shtml

The IANA functions are among the foundational components of the Internet ecosystem, and the IANA has developed over time as the administrator of some of the Internet's most vital shared resources, guided by policies established by other entities within the Internet ecosystem. The position of the IANA functions within the ecosystem is well described in the comments submitted in this process by the Internet Architecture Board, which are fully supported by the Internet Society.

For the Internet Society, it remains important for the IANA functions to continue to be a part of the Internet ecosystem, and that the IANA functions operator is permitted to continue its evolution toward becoming an internationally-accepted, private sector (i.e., multistakeholder) entity. This approach needs to be maintained and enhanced, as it is best suited to serving the global public interest.

Before responding to the NOI's specific questions, two general comments: if considering making any possible changes to the IANA functions contract, it will be important that those terms not be made overly specific. The Internet is in constant evolution, and will be so for the foreseeable future. The Internet Society recommends that the contract language should refer to desired outcomes rather than to specific methods or mechanisms, to avoid attempting to artificially shape the course of the Internet's evolution, which has at times taken surprising yet positive turns.

Secondly, the Internet Society consider that the current US government practice of issuing an ongoing series of relatively short-term IANA functions contracts is not a desirable way to implement the internationally-accepted private sector (i.e., multistakeholder) model. This practice introduces a degree of uncertainty into the system and thus a certain amount of instability. Thus, ISOC looks forward to seeing the relationship between the US government and the IANA functions operator, and the related legal instruments, evolve so as to demonstrate greater confidence in and commitment to the model.

SPECIFIC RESPONSES

QUESTION 1: The IANA functions have been viewed historically as a set of interdependent technical functions and accordingly performed together by a single entity. In light of technology changes and market developments, should the IANA functions continue to be treated as interdependent? For example, does the coordination of the assignment of technical protocol parameters need to be done by the same entity that administers certain responsibilities associated with root zone management? Please provide specific information to support why or why not, taking into account security and stability issues.

- The Internet Society view is that the IANA functions continue to be interdependent, and we would agree that it is important that they continue to be performed together by a single entity. If the functions were ever to be performed by a different entity, it would be important to build in sufficient time for all involved organizations external to IANA to prepare for the change and to react appropriately. We respectfully refer you to the submission from the IAB for specific examples of why the IANA functions should evolve together and be performed by a single entity.

QUESTION 2: The performance of the IANA functions often relies upon the policies and procedures developed by a variety of entities within the Internet technical community such as the IETF, the RIRs and ccTLD operators. Should the IANA functions contract include references to these entities, the policies they develop and instructions that the contractor follow the policies? Please provide specific information as to why or why not. If yes, please provide language you believe accurately captures these relationships.

- The Internet Society believes is vital to rely on the native Internet institutions in the Internet ecosystem to play appropriate roles where their expertise contributes to the smooth functioning of the Internet overall, including by providing the policy framework for the administration of the IANA functions.

- Thus, we think it is important that the roles of the IETF, IAB, RIRs, and ccTLD operators be recognized in the system. However, in doing so care must be taken that the way they are recognized does not expand the scope of IANA nor assert any authority over those organizations by any mechanism; e.g., “incorporation by reference.” For that reason, the most appropriate approach would likely be to include a general reference to the roles of the various entities involved, making reference to them only in the “Background” section of the contract.

QUESTION 3: Cognizant of concerns previously raised by some governments and ccTLD operators and the need to ensure the stability of and security of the DNS, are there changes that could be made to how root zone management requests for ccTLDs are processed? Please provide specific information as to why or why not. If yes, please provide specific suggestions.

- The Internet Society notes that the way requests for changes pertaining to ccTLD name-servers are handled will always be a sensitive area (whoever is in charge) because of the necessity to authenticate and validate the requests received which can involve governments, technical operators, the civil society, and business, sometimes in conflictual circumstances.

- In that respect, ISOC notes that significant and positive progress has been made by the ccNSO Delegation, Redelegation and Retirement Working Group in ICANN. The ccNSO has recommended continuing this work through a policy development process to develop policies for the retirement of ccTLDs and the development of a “framework of interpretation" for the delegation and re-delegation of ccTLDs. The framework is expected to provide guidance to IANA and the ICANN Board on interpretations of the cur- rent policies, guidelines and procedures relating to the delegation and re-delegation of ccTLDs.

- ISOC recommends against making changes in the contract pertaining to how root zone management requests for ccTLD operators are processed until the results of the ccNSO work are known.

- Finally, related to the response to question 5 below, the Internet Society recommends that there be more transparency and public reporting on the processing of requests related to ccTLDs.

QUESTION 4. Broad performance metrics and reporting are currently required under the contract. Are the current metrics and reporting requirements sufficient? Please provide specific information as to why or why not. If not, what specific changes should be made?

- We understand that the current contract requires the IANA functions operator to submit status reports and defined statistics to the NTIA in a monthly report but does not permit the operator to publish those reports publically. To be consistent with the evolving expectations of increased transparency and accountability for a broad range of Internet institutions, the Internet Society recommends that the current metrics and reports be made public as a matter of practice. If confidentiality is dictated, for example in the handling of a sensitive request, the public report should indicate that such a request is being handled, and the reason for confidentiality. Please see the answer to question 5, below, for additional detail.

QUESTION 5. Can process improvements or performance enhancements be made to the IANA functions contract to better reflect the needs of users of the IANA functions to improve the overall customer experience? Should mechanisms be employed to provide formalized user input and/or feedback, outreach and coordination with the users of the IANA functions? Is additional information related to the performance and administration of the IANA functions needed in the interest of more transparency? Please provide specific information as to why or why not. If yes, please provide specific suggestions.

- The Internet Society believes there is an ongoing need to build international confidence in how the IANA function is operated and administered. That need can in part be addressed by making the IANA functions more open and transparent to the global community, and particularly to those entities engaged in setting policy or who are impacted by the IANA functions.

- Although this point may go beyond the specific remit of this proceeding, we recommend that more information related to the performance and administration of the IANA-related functions should be required from the IANA Functions Operator, the Administrator, and the Root Zone Maintainer. This will provide a more complete picture of the process and enhance the overall customer experience.

- Transparency would also be improved by establishing standardized operating procedures and maintaining transparent time lines for all parts of the process, accompanied by regular progress reports.

- The Internet Society recommends that a public process be commenced to invite comments from those who directly interface with the IANA functions operator to design appropriate mechanisms to ensure transparency, and to provide input on performance enhancements to reflect users' needs, to enhance customer service, and to recommend meaningful metrics and reporting mechanisms and timelines.

- ISOC believes that providing all interested parties with increased ability to see into the entire chain of IANA-related activities will greatly help to reassure those who are concerned about the degree of influence exerted over the IANA function by the government of the United States, and thus be good for the Internet overall.

QUESTION 6. Should additional security considerations and/or enhancements be factored into requirements for the performance of the IANA functions? Please provide specific information as to why or why not. If additional security considerations should be included, please provide specific suggestions.

- We believe that the entity that performs the IANA functions should serve as an example to the Internet community by maintaining state-of-the-art best practices in the security and stability of its operations. However, in order to accommodate the constant evolution of the Internet, we do not believe it is appropriate to set overly specific security terms within the IANA functions contract. An overly specific approach to security may inadvertently lock in place a specific approach and may provide a disincentive to implement the most advanced solutions to enhance security and stability.

CONCLUSION

In conclusion, the Internet Society offers the following statement from its Board of Trustees, resulting from a recent discussion of how the IANA functions are currently being handled: "ISOC supports ICANN as the continuing operator of the joint IANA functions, and believes that the current stakeholder communities should remain in charge of the evolution of their relevant functions. For the IP address space, that is the Regional Internet Registries; for the protocol parameters, that is the Internet Architecture Board; for domain name evolution, that is the consultative committees and current operators."

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About the Internet Society
The Internet Society (ISOC) is a non-profit organization founded in 1992 to provide leadership in Internet related standards, education, and policy. The Internet Society is the organizational home of the Internet Engineering Task Force, the Internet's premier technical standards body. With offices in Washington, D.C., and Geneva, Switzerland, it is dedicated to ensuring the open development, evolution, and use of the Internet for the benefit of people throughout the world. For more information see http://InternetSociety.org.

IAB response to the IANA FNOI

1 Introduction

The IAB would like to thank the NTIA for its assessment of the comments on the earlier NOI and for the ability to comment on the IANA statement of work through this further notice of inquiry (FNOI).

As was the case with the earlier NOI, the IAB responds to this FNOI as the body that approves the entity that serves as IANA for the Internet Engineering Task Force (IETF), representing the IETF in these matters. At the same time we are taking a broader view of the IANA functions and related stability and interoperability issues for the Internet.

Generally the IETF and the IAB use the term IANA in a broader context, but in this feedback we use the term "IANA" or "IANA function" to refer specifically to the set of registries as currently operated by ICANN under contract between ICANN and the U.S. Department of Commerce's National Telecommunications and Information Administration (NTIA). The use of the term IANA in other IETF/IAB contexts does not necessarily relate to functions performed under this contract.

We start with providing some general feedback and continue to provide more detailed suggestions for SOW language.

2 Generic Comments

2.1 The IANA function is broader than DNS

The IANA function maintains tables and registries that are necessary for the interoperability of protocols and systems connected to the Internet. The Domain Name System parameters have a high visibility and therefore their economic importance is recognized. However, it is not the case that in terms of stability and economic relevance the other registries are of less value. The modus operandi is the same for all tables: A policy development body defines the policy and IANA creates and populates the tables in a mechanical fashion.

Consequently, we believe the FNOI, and whatever documents or contracts that follow it, would better serve the US Government, IANA, and the broader Internet user and producer communities if the DNS, addressing, and protocol functions of the IANA were treated on an equal footing, rather than having the document imply, however indirectly or accidentally, that the other IANA functions essentially support the DNS function.

2.2 Governance

We don't consider the present situation in which a single governmental agency is seen as having close, management-level, oversight of IANA as ideal and hope that NTIA is working toward more autonomy for the IANA function. At the same time,

we recognize the continued value of the NTIA role in the current situation and have responded to the FNOI in a way that responds narrowly to their text and questions in the context of current conditions.

As mentioned in the response to the original NOI, '*we believe that the IANA functions should evolve together. There exists synergy and interdependencies between the functions, and having them performed by a single operator facilitates coordination among registries, even those that are not obviously related. It also makes it easier to have consistency of formats and registry structure, which aids users of the registries and assists with quality control. Additionally, it facilitates cooperation and coordination among different communities and organizations participating in policy setting and using IANA services, thus contributing to the overall stability of the IANA.*'[1] That goal can be established under various governance models and the IAB is willing to explore those.

2.3 Materially Affected Parties versus Stakeholders

We applaud NTIA's recognition of the multi-stakeholder nature of the environment in which the IANA functions are grounded and its desire to require close working relationships between the Contractor and all materially affected parties. If the IANA is to effectively and efficiently carry out its key functions (which are primarily administrative and technical, and explicitly not policy-making), it is probably desirable that NTIA write requirements (and interpret requirements once written) in a way that focuses on "working relationships" with those who specify IANA actions or who are direct consumers of IANA decisions and registries rather than requiring close constructive working relations with anyone who merely claims to be interested and affected.

Note that this requirement does not exclude any stakeholder from participating in the policy development that governs the maintenance of the IANA tables and registries. That policy development is done by entities that specify the fundamentals of registries to be maintained and the conditions for creating or updating values in those registries (roughly: the relevant ICANN supporting organizations for the DNS, RIRs through the NRO for addresses and AS number registries, and in the IETF for other protocol parameters.)

One way to accomplish the above mentioned insulation would be to clarify, and make more transparent, the boundary between the IANA function and the policy-making functions carried out by the policy development bodies. We observe that the draft SOW already includes this boundary. A number of the suggestions below are made with the purpose of clarifying that boundary.

2.4 Security, Performance, and Audit Requirements

The requirements for Security, Performance, and the maintenance of an Audit trail serve to improve the overall robustness and stability of the IANA functions. They are first and foremost the responsibilities towards the Internet community.

Speaks to Q 6 and Q9

1 http://www ntia.doc.gov/comments/110207099-1099-01/comment.cfm?e=5EBBB0ED-CBE1-44EA-9FAF-0AFC662A1534

One of the best ways to create a high level of stability and robustness is to maintain a high standard of openness and transparency and to seriously consider any feedback received.

Allowing a high level of visibility keeps the contractor accountable and improves confidence within the community, while obscure procedures will tend to hide flaws which can surprise the community when they are exposed and can be abused, either unintentionally or by rogue parties.

Therefore, the guiding principles are that:

1. the requirements should be set by the materially affected parties; and that
2. reporting is done publicly.

IANA should never be in the position where they are not able to point to publicly available data, reports and procedures. If for any reason particular data or reports cannot be made public their existence should be made public together with the reasoned explanation of why the information is not being made available.

2.5 Architectural Boundary Conditions on the IANA functions.

As mentioned in our first response: "*The IANA registries are created for specific protocols. Development of specifications of these protocols is part of the overall architectural role, which the IAB/IETF assumed [...] The architectural role may also set the standards for the methods by which the content of a registry is made available.*"

The relevance of this sentence is that IANA's actions are constrained by the technical boundary conditions as set by the IETF. For example, an IETF specification allocates a subset of the Internet Addresses for allocation through the RIR system while it reserves others for use by future IETF specifications. IETF specifications also set boundary conditions on the labels that are usable in the DNS.

3 Specific Comments

In this section we provide specific responses to the SOW. References are to the section numbers provided therein.

C.1 Background

We believe the Background sections should call out the separation between the procedural execution by the Contractor and the policies developed by policy development bodies (PDBs). We suggest the addition of a new section.

C.1.3*:* For some of the tables and registries maintained by IANA there are no requirements for confidentiality, while for others there are. It is up to the PDBs to set those requirements.

C.1.4: We suggest that instead of "interested and affected parties" the term "materially affected parties" be used.

C.1.5: Should apply only to confidential data.

In making these modifications it might be useful to change the order of the sections.

Concretely we suggest:

C.1.3 The IANA functions involve the maintenance and publication of various tables and registries of technical parameters, together with the maintenance of associated administrative data. Publication mechanisms include publication in the DNS (e.g., the root zone and .ARPA), and publication in XML tables through the IANA website.

The IANA functions are of a procedural and mechanical nature based on policies determined by various Policy Development Bodies.

C.1.4 The Contractor, in the performance of its duties, has a need to have close constructive working relationships with all materially affected parties and Policy Development Bodies, to ensure satisfactory performance of the IANA functions. The Policy Development Bodies are ICANN, represented through its board, the IETF and IAB, and the regional address policy groups as represented by the ASO/NRO. The materially affected parties include, but are not limited to, the Policy Development Bodies, regional registries, country code top-level domain (ccTLD), operators/managers, and governments.

Q1:*Does the language in "Provision C.1.3" capture views on how the relevant stakeholders as sources of the policies and procedures should referenced in the next IANA functions contract. If not, please propose specific language to capture commenters' views.*

C.1.5 The Government acknowledges that data submitted by applicants in connection with the IANA functions may be confidential information (dependent on policies set by the Policy Development Bodies).
To the extent permitted by law, the Government shall accord any confidential data submitted by applicants in connection with the IANA functions with the same degree of care as it uses to protect its own confidential information, but not less than reasonable care, to prevent the unauthorized use, disclosure, or publication of confidential information. In providing data that is subject to such a confidentiality obligation to the Government, the Contractor shall advise the Government of that obligation.

C 2.1 Contractor requirements

The IAB recognizes the US Government's requirement that "all security and operational components" shall all maintain physical residency within the United States. However services on which the whole Internet relies should be designed with off-continent replication and general systems robustness in mind. The SOW should allow for that.

C.2.1 […]The Government reserves the right to inspect

> the premises, systems, and processes of all security and operational components used for the performance of these requirements, which, in addition, shall all maintain physical residency, for at least one instance of a replicated service, within the United States.

C.2.2.1

While the first sentence correctly notes the importance of the IANA functions for stable operation of the Internet, the IANA functions are not the 'Internet's core infrastructure'. The tables and registries maintained by IANA are critical for the proper functioning for the Internet's core infrastructure, but they do not constitute that Infrastructure. More substantive is that the function is maintained in not only a stable and secure, but also a transparent manner.

> **C.2.2.1** The Contractor is required to maintain the IANA functions, which are critical for the operation of the Internet's core infrastructure, in a transparent, stable and secure manner. [...]

C2.2.1.1

Q2: Does the new "Provision C.2.2.1.1" adequately address concerns that the IANA functions contractor should refrain from developing policies related to the IANA functions? If not, please provide detailed comments and specific suggestions for improving the language.

This section expresses that IANA should perform its responsibility in a neutral, transparent and mechanical way. Trying to separate IANA staff from policy development is a method to establish that and we support it as a guiding principle. However, in practice IANA staff is involved in an advisory role; it will need to be able to clarify, provide operational background, perform impact analysis, or provide data and statistics, or request clarification or guidance during the development of policy. For instance, IANA staff may be in a very good position to provide the arguments why a certain policy might not be implementable, or more effective if certain boundary conditions are taken into account. As such IANA staff will need to be able to work with the policy development bodies.

Hence we suggest the following modification:

> **C.2.2.1.1** The Contractor shall ensure that any and all staff dedicated to executing the IANA functions will not initiate or drive policy development related to the performance of the IANA functions. However, IANA staff may be requested by the policy development bodies to collaborate in an advisory role. IANA staff may request guidance or clarification from policy development bodies as necessary for the performance of the IANA functions.

C.2.2.1.2 Coordinate the Assignment of Technical Protocol Parameters

Q3: Does the language in "Provisions C.2.2.1.2, C.2.2.1.3, C.2.2.1.4, and C.2.2.1.5" adequately address concerns that the IANA functions contractor should perform these services in a manner that best serves the relevant stakeholders? If not, please propose detailed alternative language.

This section should clearly identify the policy development body: the IETF.

Also, the performance standards and metrics should primarily be oriented toward the *consumer* of the services – the IETF. The draft SOW carries a potential conflict of interest in that the metrics as approved by the COTR might not meet the IETF's requirements, or the IETF's requirements might not be approved by the COTR. To

reduce that risk we suggest narrowing the cases in which the COTR cannot approve due to conflicts.

Below is a suggested text that also partly takes into account our comment n C.2.2.1.5.1 (the ARPA TLD).

> **C.2.2.1.2 Coordinate The Assignment Of Technical Protocol Parameters** -- This function involves the review and assignment of unique values to various parameters (e.g., operation codes, port numbers, object identifiers, protocol numbers) used in various Internet protocols based on guidelines and policies as developed in the IETF. This function also includes the dissemination of the listings of assigned parameters through various means (including on-line publication e.g. on the web and in the DNS under the .ARPA domain) and the review of technical documents for consistency with assigned values.
>
> **C.2.2.1.2.1 The ARPA TLD** -- The Contractor shall operate the .ARPA TLD within the current registration policies for this TLD, documented in RFC 3172. The Contractor shall be responsible for implementing DNSSEC in the ARPA TLD consistent with the requirements of the materially affected parties for this function as represented by the IAB.
>
> **C.2.2.1.2.2 Performance --** Within six (6) months of award, the Contractor shall submit to NTIA performance standards and metrics developed in collaboration with materially concerned parties for approval. The performance standards and metrics will be approved by the Contracting Officer's Technical Representative (COTR) unless they explicitly contradict some aspect of the contract. Upon approval by the COTR the Contractor shall perform this task in compliance with approved performance standards and metrics. The performance of this function shall be in compliance with the performance exclusions as enumerated in Section C.6.

C.2.2.1.3.2 Responsibility and Respect for the Stakeholders

This section generically applies to the interaction of the Contractor with all the materially affected parties. This can be achieved by elevating this section to the C.2.2.X level. We also believe that the requirement for documenting the sources of policies should be made stronger.

It is not clear what is meant by "*the Contractor shall act in accordance with the relevant national laws of the jurisdiction which the TLD registry serves*". According to the governance model the Contractor shall act in accordance with the policies developed by the relevant PDB. It is the responsibility of the PDB to ensure that these policies are not in conflict with national laws where appropriate. Requesting

Q5: *Does the new "Provision C.2.2.1.3.2 Responsibility and Respect for Stakeholders" adequately address concerns related to the root zone management process in particular how the IANA functions contractor should document its decision making with respect to relevant national laws of the jurisdiction which the TLD registry serves, how the TLD reflects community consensus among relevant stakeholders and/or is supported by the global public interest. If not, please provide detailed suggestions for capturing concerns. Are the timeframes for implementation reasonable?*

this from the IANA would likely be out of scope for the mechanical function, unless there is a clear and unambiguous process to be followed (such as checking whether a declaration of conformity has been made by the requesting party).

Finally, C.2.2.1.3.2 currently mentions : "*For delegation requests for new generic TLDs(gTLDs), the Contractor shall include documentation to demonstrate how the proposed string has received consensus support from relevant stakeholders and is supported by the global public interest.*"

As written now the article conflates the maintenance and the policy role by imposing a requirement that is in the policy realm.

The Contractor should not be brought in the position that it has to make judgment calls about the quality of the documentation that demonstrates the consensus. As soon as the Contractor needs to 'collect the documentation' a third party might appeal that the documentation does not demonstrate consensus and the Contractor would have to defend the policy decision. That is not its role. It is the policy body that should make that determination of the quality of consensus. Hence the only way for a contractor to act on this requirement is to provide a reference to the ICANN Board decision that approved the gTLD delegation. The Article should make that explicit by replacing the end of the final sentence by:

"the Contractor shall include a reference to the ICANN board decision that approved the gTLD."

The suggestions above would lead to (including re-ordered section numbering):

> **C.2.1 Responsibility to Stakeholders – The Contractor shall, in collaboration with all materially affected parties for the IANA functions, document the source of the policies and procedures, as mentioned in 1.4, and document how it has applied the relevant policies and procedures.**
>
> **C.2.2** The Contractor shall furnish
>
> **C.2.3** The Contractor must perform […]
>
> […]
>
> **C.2.3.1** The contractor is required […]
> […]
>
> **C.2.2.3.2.2** With reference to C.2.1. The Contractor shall document the source of relevant policies and procedures, such as RFC 1591, to process requests associated with TLDs. In addition, processing of requests for delegation and re-delegation of a CCTLD should be consistent with policies and procedures developed by the Policy Development bodies (CCNSO and GAC). For delegation requests for new generic TLDS (gTLDs), the Contractor shall include a reference to the relevant instructions from the Policy Development Body *i.e.*, ICANN's supporting organizations as represented by

the board.

C.2.2.1.4 Allocate Internet Numbering Resources

Similar to our comments on C.2.2.1.2 we believe that the role of the NRO/ASO, representing the regional address policy development bodies, should be enforced. Not only calling out the NRO/ASO as the PDB but also as the entity that is the materially affected party and approval body for the performance standards and metrics.

C.2.2.1.4 Allocate Internet Numbering Resources -- This function involves overall responsibility for allocated and unallocated IPv4 and IPv6 address space and Autonomous System Number (ASN) space. It includes the responsibility to delegate Unicast IP address blocks, specified as such through the IETF Standards process, to regional registries, as per policies approved by the NRO/ASO for routine allocation, typically through downstream providers, to Internet end-users within the regions served by those registries and under the policies of those registries. This function also includes reservation and direct allocation of space for special purposes as specified through the IETF Standards Process, such as multicast addressing, addresses for private networks as described in RFC 1918, and other globally specified applications.

C 2.2.1.5 Other Services

The SOW text talks about 'The Contractor shall […] implement modifications […] upon mutual agreement of the parties'.

The IANA Contractor and NTIA may not be the only parties that are affected by such modification. Any such change should be discussed transparently with the materially affected parties.

Suggested text:

2.2.1.5 Other Services -- The Contractor shall perform other IANA functions, including the management of the INT TLDs. The Contractor shall also implement modifications in performance of the IANA functions as needed upon mutual agreement of the parties, following a transparent review and input by materially affected parties. The performance of this function shall be in compliance with the performance exclusions as enumerated in Section C.6.

C2.2.1.5.1 ARPA TLD

The ARPA TLD contains values from the protocol parameter registries which need to be published in the DNS. In other words, the ARPA TLD is a publication mechanism for registries that are maintained under the protocol registry function. Therefore, we

believe that this section should be moved to Section '2.2.1.2 Coordinate The Assignment Of Technical Protocol Parameters' (in its original numbering). The role of the IAB as the representative of the IETF for policy that govern the content of .ARPA – as documented in RFC 3172 – should be recognized. See our suggestion on page 5.

C.3 Security requirements

As mentioned in section 2.4 the Security requirements serve to improve the stability and robustness and serve the general Internet community. In cases where there is interaction with 'customers' (such as the IETF) the customers need to cooperate with the changes. The suggested modifications are in that spirit:

> **C.3.2 Secure Systems** -- The Contractor shall install and operate all computing and communications systems based on requirements developed in collaboration with the materially affected parties and in accordance with best business and security practices. The Contractor shall implement a secure system for authenticated communications between it and its customers when carrying out all IANA function requirements within nine (9) months after date of contract award. The Contractor shall publicly document practices and configuration of all systems.

C.4. Performance Metrics Requirements

With reference to section 2.4 a few suggestions follow that focus on transparency, customer requirements, and prevention of duplicated effort.

> **C.4.1 Monthly Performance Progress Report** -- The Contractor shall prepare and publish on its website a performance and progress report every month (no later than 15 calendar days following the end of each month) that contains statistical and narrative information, in a format developed with the materially concerned parties, on the performance of the IANA functions […]
> The COTR will be notified as soon as the report is made available.
>
> **C.4.2 Root Zone Management Dashboard** -- The Contractor shall collaborate with NTIA and VeriSign, Inc., (or any successor entity as designated by the U.S. Department of Commerce) and other materially concerned parties to develop and make publicly available a dashboard to track the process flow for root zone management within nine (9) months after date of contract award.

__Q9:__ Does the new "Section C.4 Performance Standards Metric Requirements" adequately address concerns regarding transparency in root zone management process, and performance standards and metrics? Should the contractor be required to gather and report on statistics regarding global IPv6 and DNSSEC deployment? If so, how should this requirement be reflected in the SOW? What statistics should be gathered and made public?

We believe section C.4.3 is not needed with the modification to C.4.1 as suggested above.

C.5 Audit Requirements

It is not clear what '*security process audit record data*' is. If it is a term of art related to Root Zone management then the whole section should be renamed to “C.5. Root Zone Audit Requirements”.

The general requirements of being: “publicly available and developed with materially affected parties” should apply here as well.

C.6 Performance Exclusions

Changes in methods that are requested by the materially affected parties should not be blocked because of the need for approval by the COTR. As argued above the default action should be to approve changes unless they explicitly contradict some aspect of the contract, requests, and approval or denial actions should be publicly archived.

We find the current wording over-reaching and suggest the section to be removed.

Closing Remarks

The IAB appreciates the opportunity to provide feedback on the draft SOW. While we reserve the right for final approval of the IANA service for the IETF (cf. RFC 2850), we are confident that with these comments and suggestions implemented the procurement will lead to satisfactory results.

Appendix: Edited Statement of Work

For context and convenience we have added a SOW with our suggested changes below. The order of the articles have been modified based on the remarks above therefore the numbering may be inconsistent with the numbering above and in the FNOI.

1. BACKGROUND

   1.1. The U.S. Department of Commerce (DoC), National Telecommunications and Information Administration (NTIA) has initiated this agreement to maintain the continuity and stability of services related to certain interdependent Internet technical management functions, known collectively as the Internet Assigned Numbers Authority (IANA).

   1.2. Initially, these interdependent technical functions were performed on behalf of the Government under a contract between the Defense Advanced Research Projects Agency (DARPA) and the University of Southern California (USC), as part of a research project known as the Tera-node Network Technology (TNT). As the TNT project neared completion and the DARPA/USC contract neared expiration in 1999, the Government recognized the need for the continued performance of the IANA functions as vital to the stability and correct functioning of the Internet.

   1.3. The IANA functions involve the maintenance and publication of various tables and registries of technical parameters, together with the maintenance of associated administrative data. Publication mechanisms include publication in the DNS (e.g., the root zone and .ARPA), and publication in XML tables through the IANA website.

   The IANA functions are of a procedural and mechanical nature based on policies determined by various Policy Development Bodies.

1.4. The Contractor, in the performance of its duties, has a need to have close constructive working relationships with all materially affected parties and Policy Development Bodies, to enable satisfactory performance of the IANA functions. The Policy Development Bodies are ICANN, represented through its board, the IETF and IAB, and the regional address policy groups as represented by the ASO/NRO. The materially affected parties include, but are not limited to, the Policy Development Bodies, regional registries, country code top-level domain (ccTLD), operators/managers, and governments.

1.5. The Government acknowledges that data submitted by applicants in connection with the IANA functions may be confidential information (dependent on policies set by the Policy Development Bodies).
To the extent permitted by law, the Government shall accord any confidential data submitted by applicants in connection with the IANA functions with the same degree of care as it uses to protect its own confidential information, but not less than reasonable care, to prevent the unauthorized use, disclosure, or publication of confidential information. In providing data that is subject to such a confidentiality obligation to the Government, the Contractor shall advise the Government.

2. CONTRACTOR REQUIREMENTS

2.1. Responsibility to Stakeholders -- The Contractor shall, in collaboration with all materially affected parties for the IANA functions, document the source of the policies and procedures, as mentioned in 1.4, and document how it has applied the relevant policies and procedures.

2.2. The Contractor must perform the required services for this contract as a prime Contractor, not as an agent or subcontractor. The Contractor shall not enter into any subcontracts for the performance of the services, or assign or transfer any of its rights or obligations under this Contract, without the Government's prior written consent and any attempt to do so shall be void and without further effect. The Contractor must possess and maintain through the performance of this acquisition a physical address within the United States. The Government reserves the right to inspect the premises, systems, and processes of all security and operational components used for the performance of these requirements, which, in addition, shall all maintain physical residency, for at least one instance of a replicated service, within the United States.

2.2.1. The Contractor shall furnish the necessary personnel, material, equipment, services, and facilities, to perform the following requirements without any cost to the Government. The Contractor shall conduct due diligence in hiring, including full background checks. On or after the effective date of this purchase order, the Contractor may establish and collect fees from third parties (i.e., other than the Government) for the functions performed under this purchase order, provided the fee levels are approved by the Contracting Officer before going into effect, which approval shall not be withheld unreasonably and provided the fee levels are fair and equitable and provided the aggregate fees charged during the term of this purchase order do not exceed the cost of providing the requirements of this purchase order. The Government will review the Contractor's accounting data at anytime fees are charged to verify that the above conditions are being met.

2.2.2. The Contractor shall ensure that any and all staff dedicated to executing the IANA functions will not initiate or drive policy development related to the performance of the IANA functions. However, IANA staff may be requested by the policy development bodies to collaborate in an advisory role. IANA staff may request guidance or clarification from policy development bodies as necessary for the performance of the IANA functions.

2.2.3. The Contractor is required to maintain the IANA functions, which are critical for the operation of the Internet's core infrastructure in a transparent, stable and secure manner. In performance of this purchase order, the Contractor shall furnish the necessary personnel, material, equipment, services, and facilities (except as otherwise specified), to perform the following IANA function requirements.

2.2.3.1. Coordinate The Assignment Of Technical Protocol Parameters -- This function involves the review and assignment of unique values to various parameters (e.g., operation codes, port numbers, object identifiers, protocol numbers) used in various Internet protocols based on guidelines and policies as developed in by the IETF. This function also includes the dissemination of the listings of assigned parameters through various means (including on-line

publication e.g. on the web and in the DNS under the .ARPA domain) and the review of technical documents for consistency with assigned values.

2.2.3.1.1. The ARPA TLD -- The Contractor shall operate the .ARPA TLD within the current registration policies for this TLD, documented in RFC 3172. The Contractor shall be responsible for implementing DNSSEC in the ARPA TLD consistent with the requirements of the materially affected parties for this function as represented by the IAB.

2.2.3.1.2. Performance -- Within six (6) months of award, the Contractor shall submit to NTIA performance standards and metrics developed in collaboration with materially affected parties for approval. The performance standards and metrics will be approved by the Contracting Officer's Technical Representative (COTR) unless they explicitly contradict some aspect of the contract, Upon approval by the COTR the Contractor shall perform this task in compliance with approved performance standards and metrics. The performance of this function shall be in compliance with the performance exclusions as enumerated in Section C. 6.

2.2.3.2. Perform Administrative Functions Associated With Root Zone Management -- This function addresses facilitation and coordination of the root zone of the domain name system, with 24 hour-a-day/7 days-a-week coverage. This function includes receiving delegation and redelegation requests, and investigating the circumstances pertinent to those requests. This function also includes receiving change requests for and making routine updates to all top-level domains (TLDs) contact (including technical and administrative contacts), nameserver, and delegation signer (DS) resource record (RR) information as expeditiously as possible. Within six (6) months of award, the Contractor shall submit to NTIA performance standards and metrics developed in collaboration with materially affected parties for approval. The performance standards and metrics will be approved by the Contracting Officer's Technical Representative (COTR) unless they explicitly contradict some aspect of the contract, Upon approval by the COTR the Contractor shall perform this task in compliance with approved performance standards and metrics. The performance of this function shall be in compliance with the performance exclusions as enumerated in Section C. 6.

2.2.3.2.1. Transparency and Accountability -- The Contractor shall process all requests for changes to the root zone and the authoritative root zone database, collectively referred to as "IANA root zone management requests," promptly and efficiently. The Contractor shall, in collaboration with all relevant materially affected parties, develop user documentation. The Contractor shall prominently post on its website the performance standards and metrics, user documentation, and associated policies.

2.2.3.2.2. Responsibility and Respect for Stakeholders -- With reference to C.2.1. The Contractor shall document the source of relevant policies and procedures, such as RFC 1591, to process requests associated with TLDs. In addition, processing of requests for delegation and re-delegation of a CCTLD should be consistent with policies and procedures developed by the Policy Development bodies (CCNSO and GAC). For delegation requests for new generic TLDS (gTLDs), the Contractor shall include a reference to the relevant instructions from the Policy Development Body *i.e.* ICANN's supporting organizations as represented by the board.

2.2.3.2.3. Root Zone Automation -- The Contractor shall work with NTIA and VeriSign, Inc. (or any successor entity as designated by the U.S. Department of Commerce) to deploy an automated root zone management system within six (6) months after date of contract award. The automated system shall at a minimum include: secure (encrypted) system for customer communications; automated provisioning protocol allowing customers to develop systems to manage their interactions with the Contractor with minimal delay; an online database of change requests and subsequent actions whereby each customer can see a record of their historic requests and maintain visibility into the progress of their current requests; and a test system, which customers can use to check that their change request will meet the automated checks.

2.2.3.2.4. Root Domain Name System Security Extensions (DNSSEC) Key Management -- The Contractor shall be responsible for the management of the root zone Key Signing Key (KSK), including generation, publication, and use for signing the Root Keyset.

2.2.3.2.5. Customer Service Complaint Resolution Process -- The Contractor shall establish a process for IANA function customers to submit complaints for timely resolution.

2.2.3.3. Allocate Internet Numbering Resources -- This function involves overall responsibility for allocated and unallocated IPv4 and IPv6 address space and Autonomous System Number (ASN) space. It includes the responsibility to delegate Unicast IP address blocks, specified as such through the IETF Standards process, to regional registries, as per policies approved by the NRO/ASO for routine allocation, typically through downstream providers, to Internet end-users within the regions served by those registries and under the policies of those registries. This function also includes reservation and direct allocation of space for special purposes as specified through the IETF Standards Process, such as multicast addressing, addresses for private networks as described in RFC 1918, and other globally specified applications. Within six (6) months of award, the Contractor shall submit to NTIA performance standards and metrics developed in collaboration with materially affected parties for approval. The performance standards and metrics will be approved by the Contracting Officer's Technical Representative (COTR) unless they explicitly contradict some aspect of the contract, Upon approval by the COTR the Contractor shall perform this task in compliance with approved performance standards and metrics. The performance of this function shall be in compliance with the performance exclusions as enumerated in Section C. 6.

2.2.3.4. Other services -- The Contractor shall perform other IANA functions, including the management of the INT TLDs. The Contractor shall also implement modifications in performance of the IANA functions as needed upon mutual agreement of the parties, following a transparent review and input by materially affected entities. The performance of this function shall be in compliance with the performance exclusions as enumerated in Section C.6.

2.2.3.5. INT TLD -- The Contractor shall operate the INT TLD within the current registration policies for the TLD. Upon designation of a successor registry, if any, the Contractor shall use commercially reasonable efforts to cooperate with NTIA to facilitate the smooth transition of operation of the INT TLD. Such cooperation shall, at a minimum, include timely transfer to the successor registry of the then-current top-level domain registration data.

3. SECURITY REQUIREMENTS

3.1. Secure Systems – The Contractor shall install and operate all computing and communications systems based on requirements developed in collaboration with the materially affected parties and in accordance with best business and security practices. The Contractor shall implement a secure system for authenticated communications between it and its customers when carrying out all IANA function requirements within nine (9) months after date of contract award. The Contractor shall publicly document practices and configuration of all systems.

3.2. Secure Systems Notification -- Within nine (9) months after date of contract award, the Contractor shall implement and thereafter operate and maintain a secure notification system at a minimum, capable of notifying all materially affected parties of the discrete IANA functions, of such events as outages, planned maintenance, and new developments.

3.3. Secure Data -- The Contractor shall ensure the authentication, integrity, and reliability of the data in performing the IANA requirements, including the data relevant to DNS, root zone change request, and IP address allocation.

3.4. Computer Security Plan – The Contractor shall develop and execute a Security Plan. The plan shall be developed and implemented within nine (9) months after date of contract award, and updated annually. The Contractor shall deliver the plan to the Government annually.

3.5. Director of Security -- The Contractor shall designate a Director of Security who shall

be responsible for ensuring technical and physical security measures, such as personnel access controls. The Contractor shall notify and consult in advance the COTR when there are personnel changes in this position.

3.6. Contingency and Continuity of Operations Plan (The CCOP) -- The Contractor shall, in collaboration with relevant Materially affected parties, develop and implement a CCOP for the IANA functions within nine (9) months after date of contract award. The Contractor shall update and exercise the plan annually. The CCOP shall include details on plans for continuation of the IANA functions in the event of a logical or physical attack or emergency. The Contractor shall deliver the CCOP to the Government annually.

4. PERFORMANCE METRIC REQUIREMENTS

4.1. Monthly Performance Progress Report -- The Contractor shall prepare and publish on its website a performance a progress report every month (no later than 15 calendar days following the end of each month) that contains statistical and narrative information, in a format developed with the materially affected parties, on the performance of the IANA functions (i.e., assignment of technical protocol parameters administrative functions associated with root zone management and allocation of Internet numbering resources) during the previous 30-day period. The report shall include a narrative summary of the work performed for each of the functions with appropriate details and particularity. The report shall also describe major events, problems encountered, and any projected significant changes, if any, related to the performance of duties set forth in Section C.2. The COTR will be notified as soon as the report is made available.

4.2. Root Zone Management Dashboard --The Contractor shall collaborate with NTIA and VeriSign, Inc., (or any successor entity as designated by the U.S. Department of Commerce), and other materially affected parties to develop and make publicly available a dashboard to track the process flow for root zone management within nine (9) months after date of contract award.

4.3. Performance Standards Metrics Reports -- The Contractor shall develop and publish consistent with the developed performance standards and metrics reports for each discrete IANA function consistent with Section C.2. The Performance Standard Metric Reports will be published every month (no later than 15 calendar days following the end of each month) starting no later than nine (9) months after date of contract award.

4.4. Performance Survey -- The Contractor shall develop and conduct and annual performance survey consistent with the developed performance standards and metrics for each of the discrete IANA functions. The survey shall include a feedback section for each discrete IANA function. The Contractor shall publish the Survey Report annually on its website.

4.5. Final Report -- The Contractor shall prepare and submit a final report on the performance of the IANA functions that documents standard operating procedures, including a description of the techniques, methods, software, and tools employed in the performance of the IANA functions. The Contractor shall publish this report and notify the Contracting Officer and the COTR no later than 30 days after expiration of the purchase order.

5. AUDIT REQUIREMENTS

5.1. Audit Data -- The Contractor shall generate and retain security process audit record data for one year and publish an annual audit report on its website and provide it to the Contracting Officer and the COTR. All root zone management operations shall be included in the audit, the format and requirements of which will be developed by the materially affected parties. The Contractor shall provide specific audit record data to the Contracting Officer and COTR upon request.

5.2. Root Zone Management Audit Data -- The Contractor shall generate a monthly (no later than 15 calendar days following the end of each month) audit report based on information in the performance of Provision C.2.2.1.3 Perform Administrative Functions Associated With Root Zone Management, the format and requirements of which will be developed by the materially affected parties. Publication of the report will be starting no later than nine (9) months after date of contract award.

5.3. External Auditor -- The Contractor shall have an external, independent, specialized compliance auditor conduct an audit of the IANA functions security provisions annually.

I A B

From:	Fiona Alexander
To:	Jade Nester; Christopher Hemmerlein; Elizabeth Bacon; Stacy Cheney; John Morris; Ashley Heineman; Suzanne Radell; Vernita D. Harris; Evelyn Remaley
Cc:	Kathy Smith
Subject:	PRIORITY: Comment deadline of 3 pm tomorrow (Wed)- Follow up to Monday meeting:
Date:	Tuesday, September 17, 2013 6:24:33 PM
Attachments:	Not

Thanks again to everyone for another fruitful and constructive discussion. Attached is my best effort (for today) to capture the variety of issues raised and identify some possible ways forward. This go round I'd actually like redline edits from folks and to keep this moving they are needed by **3 pm** tomorrow. I'm sure there is plenty of room for improvement on wording and welcome that, but also take a step back and look at concepts. I think we could actually offer a couple of less meaningful items and then accelerate things already envisioned under the current contract and have a strong path for next year.

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Stacy Cheney
To:	Fiona Alexander; Jade Nester; Christopher Hemmerlein; Elizabeth Bacon; John Morris; Ashley Heineman; Suzanne Radell; Vernita D. Harris; Evelyn Remaley
Cc:	Kathy Smith
Subject:	RE: PRIORITY: Comment deadline of 3 pm tomorrow (Wed)- Follow up to Monday meeting:
Date:	Wednesday, September 18, 2013 2:08:00 PM
Attachments:	Not Responsive

Here are some edits and suggestions.

From: Fiona Alexander
Sent: Tuesday, September 17, 2013 6:25 PM
To: Jade Nester; Christopher Hemmerlein; Elizabeth Bacon; Stacy Cheney; John Morris; Ashley Heineman; Suzanne Radell; Vernita D. Harris; Evelyn Remaley
Cc: Kathy Smith
Subject: PRIORITY: Comment deadline of 3 pm tomorrow (Wed)- Follow up to Monday meeting:

Thanks again to everyone for another fruitful and constructive discussion. Attached is my best effort (for today) to capture the variety of issues raised and identify some possible ways forward. This go round I'd actually like redline edits from folks and to keep this moving they are needed by **3 pm** tomorrow. I'm sure there is plenty of room for improvement on wording and welcome that, but also take a step back and look at concepts. I think we could actually offer a couple of less meaningful items and then accelerate things already envisioned under the current contract and have a strong path for next year.

3 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Suzanne Radell
To:	Stacy Cheney
Subject:	FW: [discuss] IANA
Date:	Monday, January 06, 2014 9:51:49 AM

Oops, should have cc'd you, Suz

-----Original Message-----
From: Suzanne Radell
Sent: Monday, January 06, 2014 9:39 AM
To: Vernita D. Harris
Cc: Jade Nester; Elizabeth Bacon; Ashley Heineman; John Morris; Evelyn Remaley
Subject: FW: [discuss] IANA

Fyi if you hadn't already come across this information, Suz

-----Original Message-----
From: discuss-bounces@1net.org [mailto:discuss-bounces@1net.org] On Behalf Of Jari Arkko
Sent: Monday, January 06, 2014 8:10 AM
To: discuss@1net.org
Subject: [discuss] IANA

I wanted to share some thoughts on how I see IANA, its role and evolution. This is mostly from an IETF perspective, but it also touches on the role of IANA for addresses and domain names.

http://www.ietf.org/blog/2014/01/iana/

As pointed out by the article, the IAB and its IANA evolution team is working on a framework document that talks about the overall model, and the separation of oversight from policy and implementation. An early draft is here:

http://tools.ietf.org/html/draft-iab-iana-framework-00

I know that the IAB and Olaf Kolkman would appreciate feedback, from both within the IETF and other parts of the ecosystem. They are soliciting feedback to the IAB internetgovtech list (http://www.iab.org/mailman/listinfo/internetgovtech) but we do of course take input from all directions we can get.

Jari Arkko
IETF Chair

_____
discuss mailing list
discuss@1net.org
http://1net.org/mailman/listinfo/discuss

From: Jade Nester
To: Suzanne Radell; Vernita D. Harris; John Morris; Evelyn Remaley
Subject: RE: Draft IPC text with edits and minus the watermark
Date: Wednesday, January 08, 2014 1:02:08 PM
Attachments: Not Responsive

Everyone can use this version- it includes "draft-deliberative process" in the header.

From: Suzanne Radell
Sent: Wednesday, January 08, 2014 12:49 PM
To: Vernita D. Harris; Jade Nester; John Morris; Evelyn Remaley
Subject: Draft IPC text with edits and minus the watermark

Hi all, in reading the printed version of the text, I am finding the watermark to be somewhat disconcerting, so I'm sending along the same edits with a clean background. Suz

2 Pages

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3 Pages

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Brussels, XXX
COM(2014) 72 /4

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS

Internet Policy and Governance
Europe's role in shaping the future of Internet Governance

(Text with EEA relevance)

This Communication proposes a basis for a common European vision for Internet governance

Not Responsive

- with a globalised Internet Corporation for Assigned Names and Numbers (ICANN) and Internet Assigned Numbers Authority (IANA).

Not Responsive

Not Responsive

Not Responsive In October 2013 the leaders of organisations responsible for the coordination of the Internet's technical infrastructure called for accelerating the globalisation of ICANN and IANA functions in their Montevideo statement[18] on the future of Internet cooperation. The Global Multistakeholder Meeting on the Future of

Not Responsive

[18] See http://www.internetsociety.org/news/montevideo-statement-future-internet-cooperation

Internet Governance, to be hosted by Brazil in April 2014, should identify concrete and actionable steps to address the globalisation of ICANN and the IANA functions[19].

The Commission will work with all stakeholders to

- identify how to globalise the IANA functions, whilst safeguarding the continued stability and security of the domain-name system;

- establish a clear timeline for the globalisation of ICANN, including its Affirmation of Commitments.

Not Responsive

[redacted]

[19] The IANA functions include (1) the coordination of the assignment of technical Internet protocol parameters; (2) the administration of certain responsibilities associated with the Internet DNS root zone management; (3) the allocation of Internet numbering resources; and (4) other services related to the management of the ARPA and INT top-level domains (TLDs).

Not Responsive

7 Pages

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Not Responsive to the Request.

From: Diane Steinour
To: Diane Steinour; Fiona Alexander; Carney, Michael J
Cc: Diane Cooper
Subject: USG Scheduler: Hold for EU Attaches Briefing
Attachments: Not Responsive
Not Responsive
EU Int Policy & Governance 021214 52014DC0072.docx
Not Responsive
Not Responsive

Some background documents attached above for USG

Notional Agenda:
Notional Agenda:
Not
Res
- Privatizing DNS system: ICANN, now IANA
Not Responsive

Invited: European digital and cybersecurity counselors as well as interested colleagues from EUDEL
POC: HYPERLINK "mailto:BEATRICE.COVASSI@eeas.europa.eu" BEATRICE.COVASSI@eeas.europa.eu or phone: 202-862-9565

52014DC0072

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS Internet Policy and Governance Europe's role in shaping the future of Internet Governance (Text with EEA relevance) /* COM/2014/072 final */

Not Responsive

This Communication proposes a basis for a common European vision for Internet governance

Not Responsive

Not Responsive

l with a globalised Internet Corporation for Assigned Names and Numbers (ICANN) and Internet Assigned Numbers Authority (IANA).

Not Responsive

Not Responsive

Not Responsive

In October 2013 the leaders of organisations responsible for the coordination of the Internet's technical infrastructure called for accelerating the globalisation of ICANN and IANA functions in their Montevideo statement[18] on the future of Internet cooperation. The Global Multistakeholder Meeting on the Future of Internet Governance, to be hosted by Brazil in April 2014, should identify concrete and actionable steps to address the globalisation of ICANN and the IANA functions[19].

The Commission will work with all stakeholders to

- identify how to globalise the IANA functions, whilst safeguarding the continued stability and security of the domain-name system;

- establish a clear timeline for the globalisation of ICANN, including its Affirmation of Commitments.

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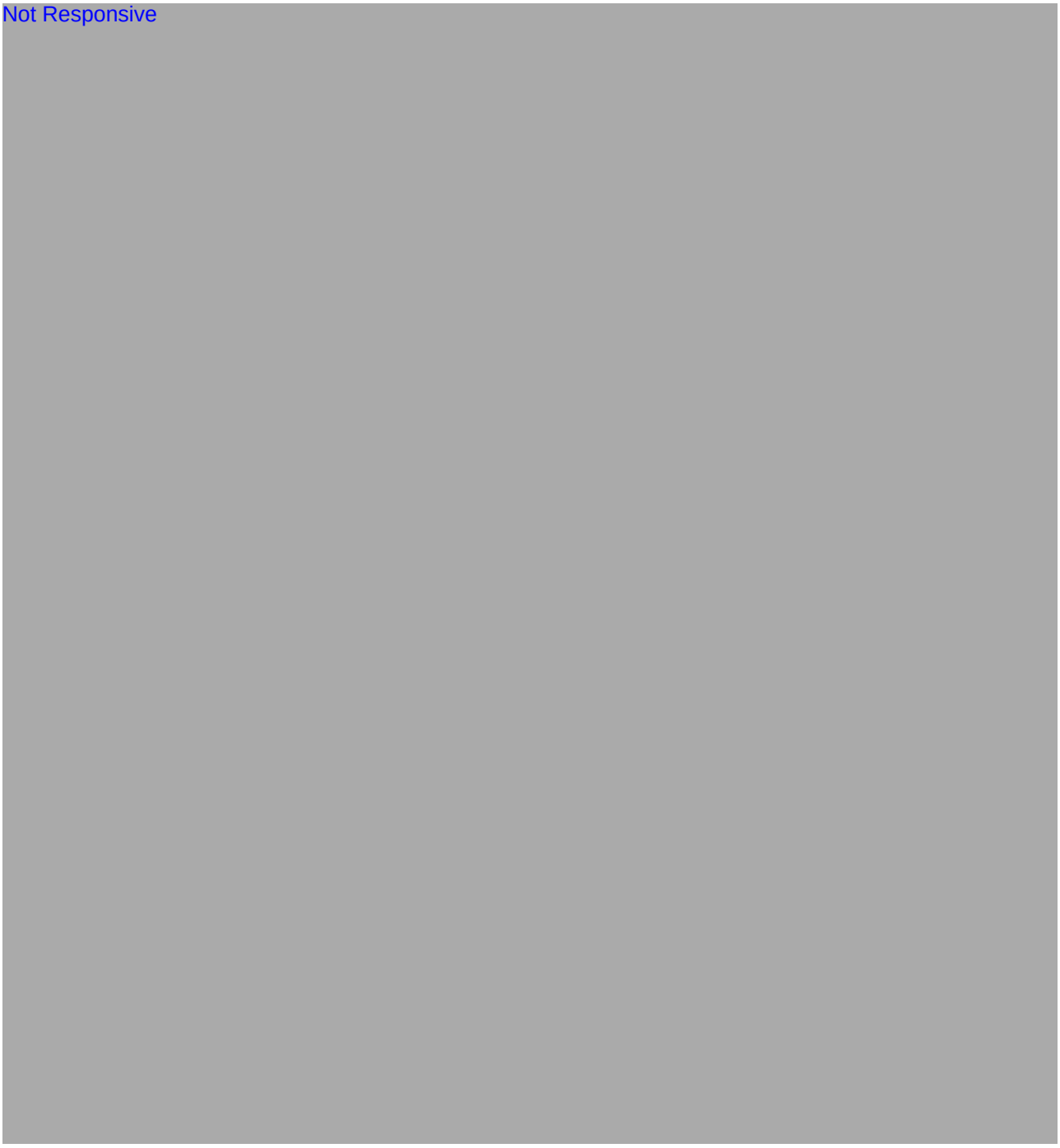

[19] The IANA functions include (1) the coordination of the assignment of technical Internet protocol parameters; (2) the administration of certain responsibilities associated with the Internet DNS root zone management; (3) the allocation of Internet numbering resources; and (4) other services related to the management of the ARPA and INT top-level domains (TLDs).

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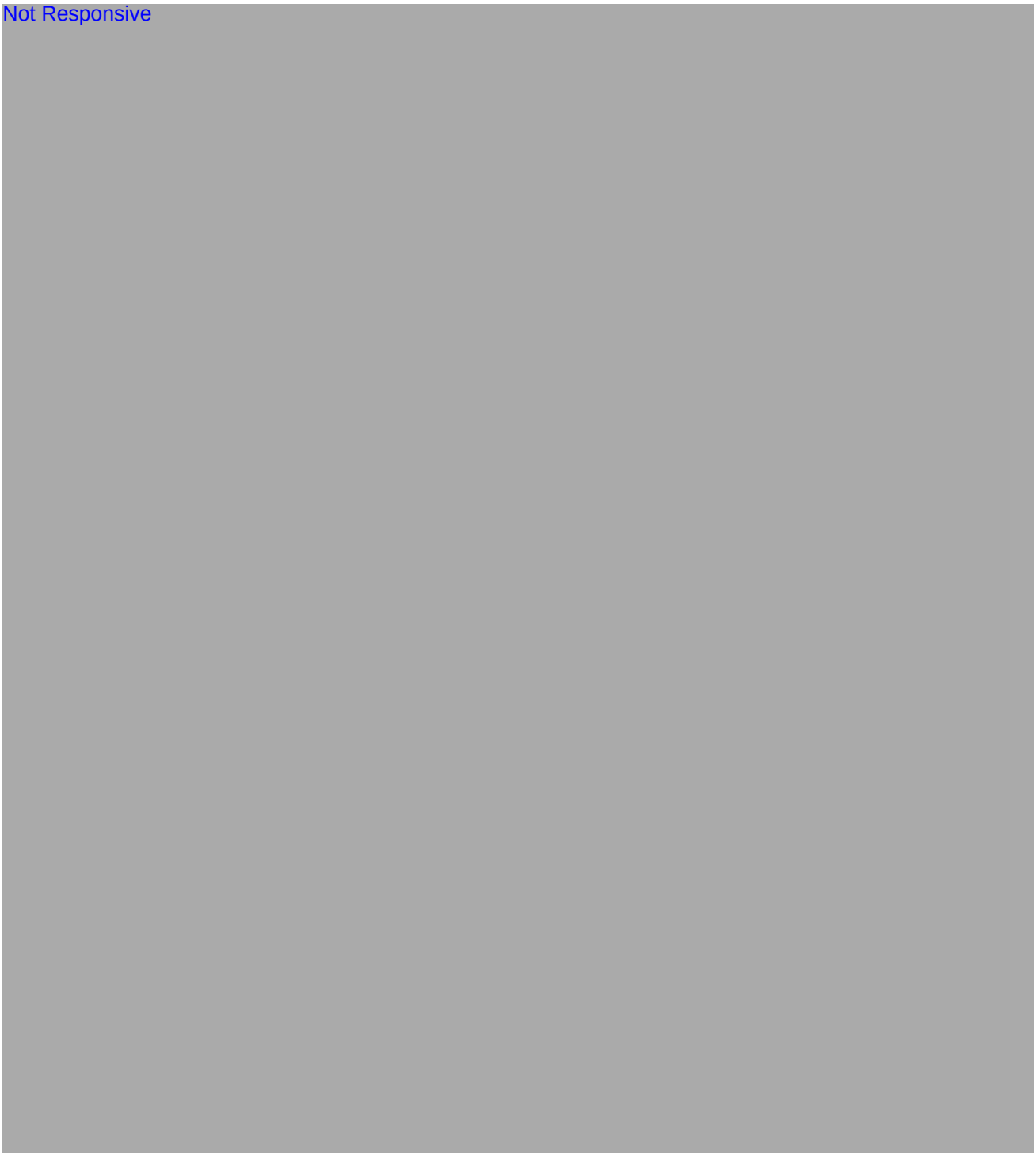

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EUROPEAN
COMMISSION

Brussels, XXX
[…](2013) XXX

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS

Internet Policy and Governance

Europe's role in shaping the future of the Internet

(Text with EEA relevance)

Not Responsive

Not Responsive . In October 2013 the leaders of organisations responsible for the coordination of the Internet's technical infrastructure called for accelerating the globalisation of ICANN and IANA functions in the Montevideo statement[15] on the future of Internet cooperation.

This relates primarily to the so-called Internet Assigned Names and Numbers Authority (IANA) functions[16]. The IANA-functions are conferred to the Internet Corporation for Assigned Names and Numbers (ICANN) by the US government. They are critical to the secure operation of a global interoperable Internet, in particular to ensure the integrity of the root zone file which lists all top level domains (TLD). The US government continues to play an oversight role which is unique and unilateral.

Since 2009, ICANN has taken steps towards an internationalisation of its operations, most notably the establishment of operational hubs in Istanbul and Singapore in 2013. These steps are welcome. However, ICANN's status under Californian law with a contractual relationship to a single country has not changed. The accountability of ICANN towards a single government – as illustrated by its Affirmation of Commitments – must be replaced by a multi-lateral accountability framework, which ensures equality amongst citizens of all countries, represented by their governments, and supports a further strengthening of multistakeholder engagement.

The Global Multistakeholder Meeting on the Future of Internet Governance, to be hosted by Brazil in April 2014, should identify concrete and actionable steps to address the internationalisation of ICANN and the IANA functions.

The Commission calls on the US government to initiate a dialogue with its international partners

- to identify how to credibly internationalise the IANA functions, taking into account the specificities of the name zone (both country-code and generic top-level domains), the allocation of Internet Protocol (IP) addresses and protocol parameters.

- to establish a clear timeline to turn ICANN's Affirmation of Commitments into a true multilateral agreement.

Not Responsive

15 See http://www.internetsociety.org/news/montevideo-statement-future-internet-cooperation

16 A central management function necessary to ensure that the global Internet functions properly is the coordination of its 'naming and addressing' resources. In simple terms each device connected to the Internet needs to be identifiable via an IP address. Those addresses are allocated to individual users by their Internet Service Providers who in turn get them at the end of the chain from Regional Internet Registries. The initial pool of IP addresses is with IANA. In the day to day functioning of the Internet IP addresses are replaced by unique Internet 'domain names'. As a simplified description those names consist of a top level part e.g. ".eu" and lower level. Distribution of names under a Top Level Domain (TLD) are carried out by domain name registries (sometimes through registrars). TLDs must be unique for the system to work and are listed in the so-called 'root zone file'.

14 Pages

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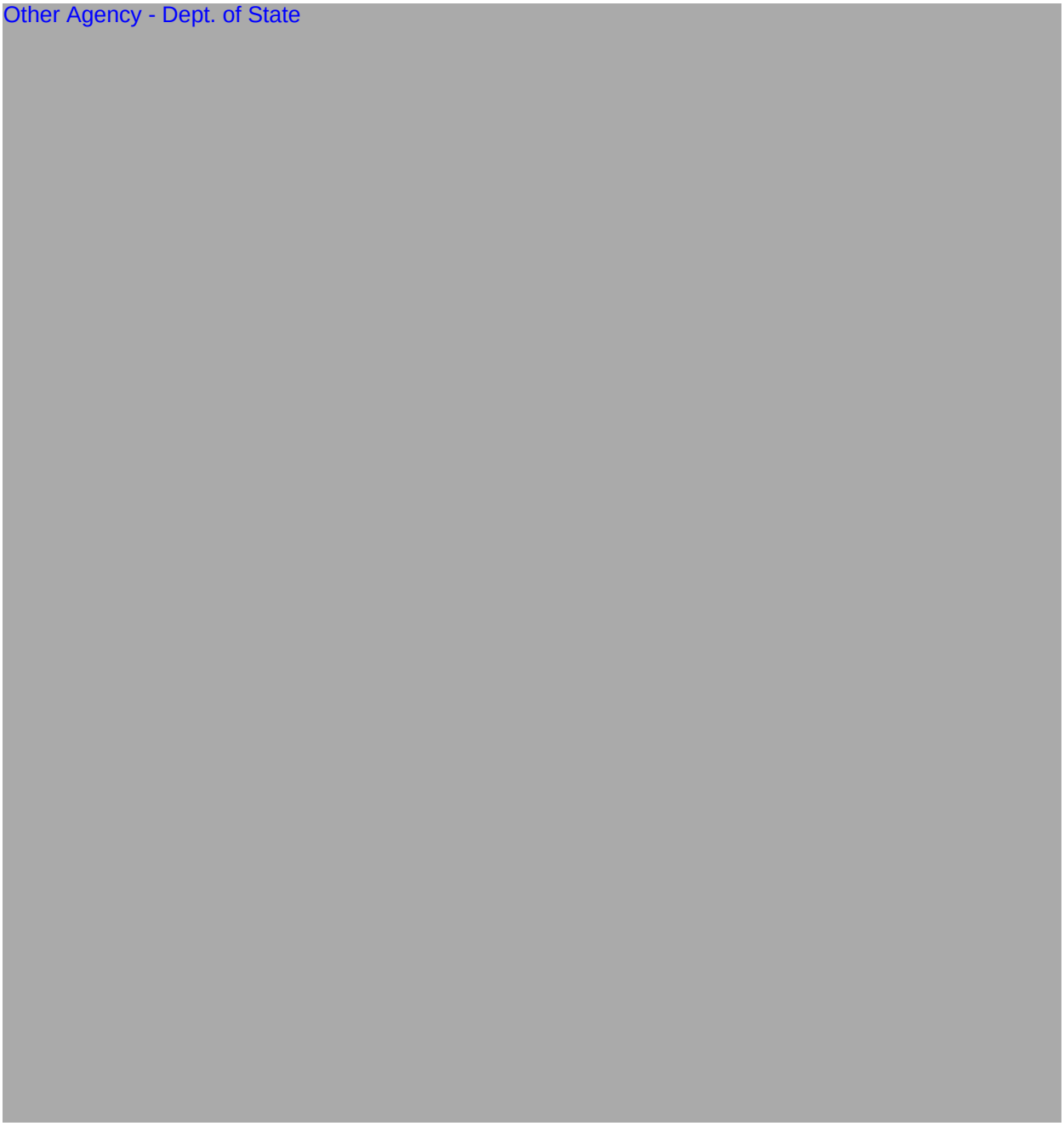
-----Original Message-----
From: Diane Steinour [mailto:DSteinour@ntia.doc.gov]
Sent: Thursday, February 13, 2014 4:34 PM
To: Borggreen, Christian G (USEU)
Subject: RE: (SBU) The EU wants "strong role" in redefining the future less "US-centric model of Internet governance"

Many thanks, Christian. Did you get our statement?



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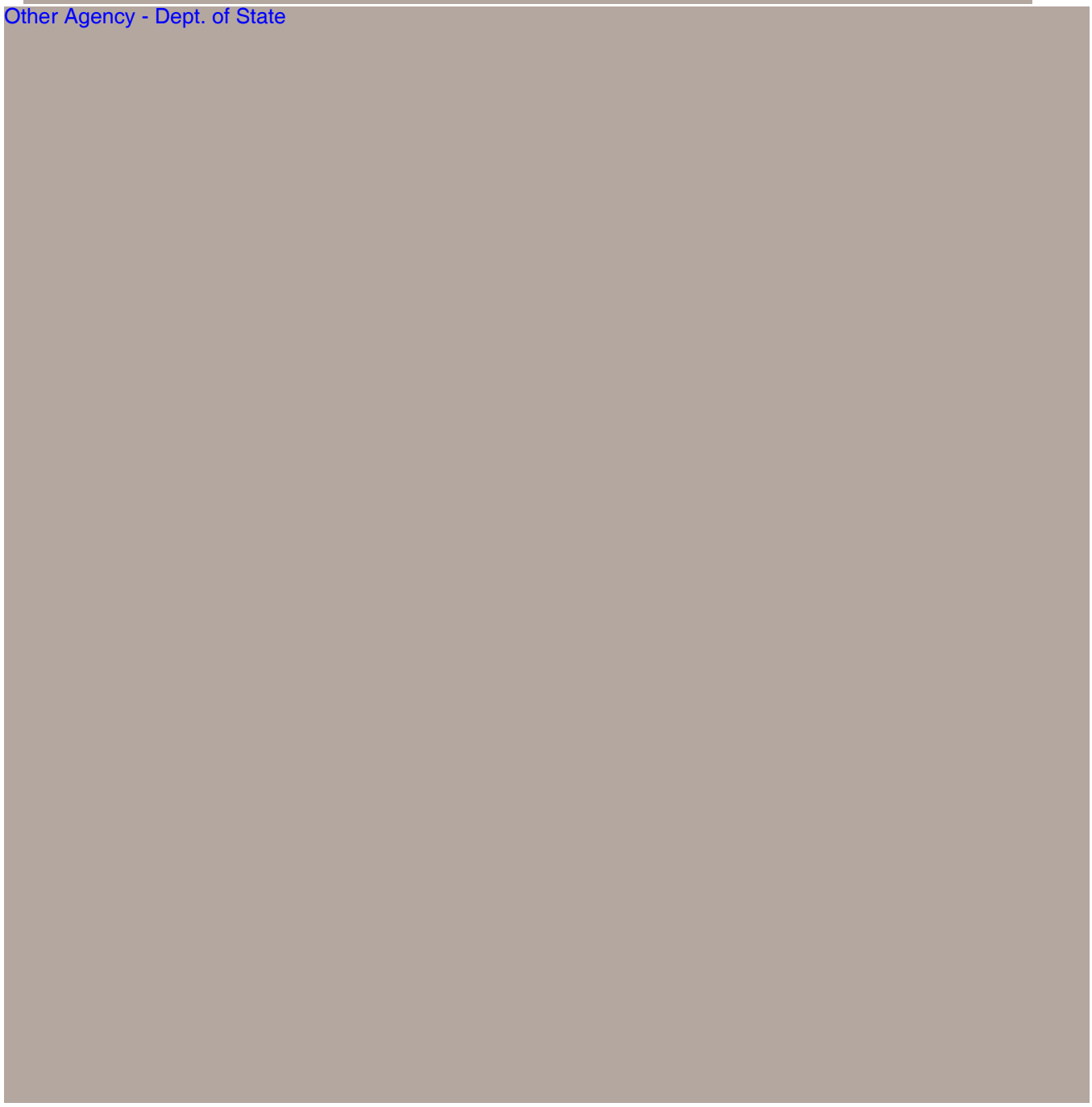

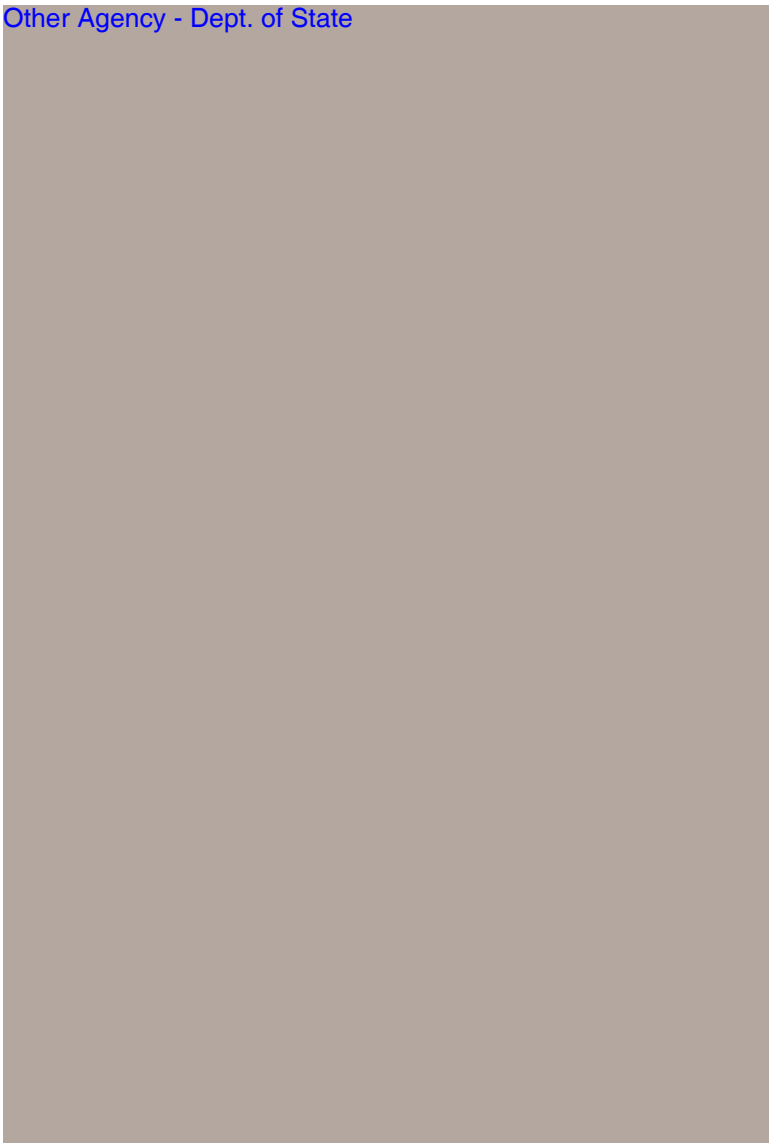
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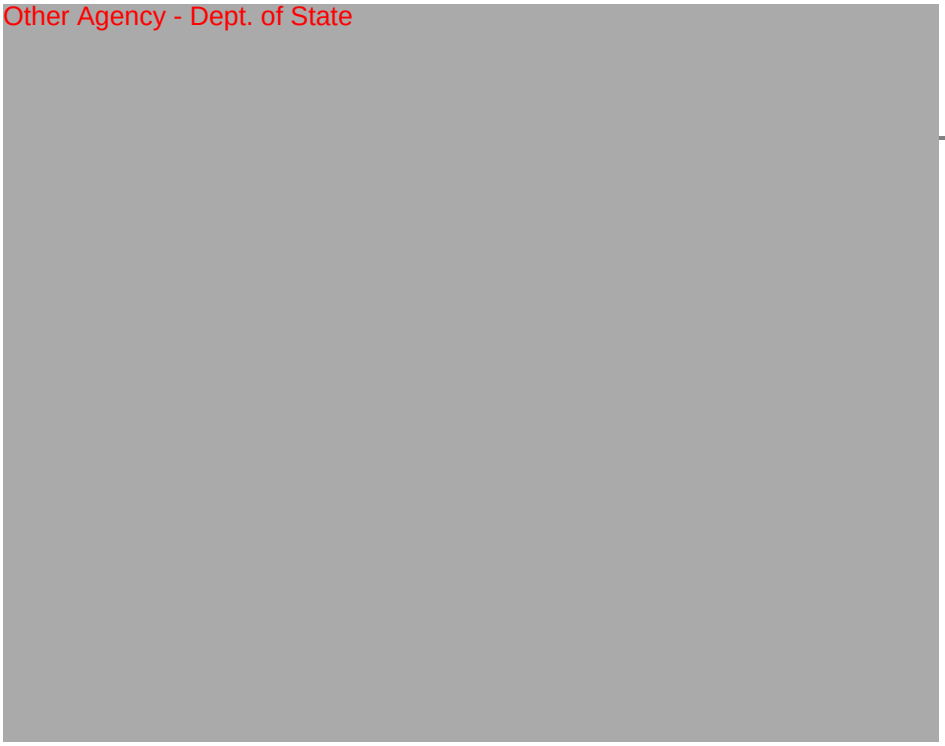
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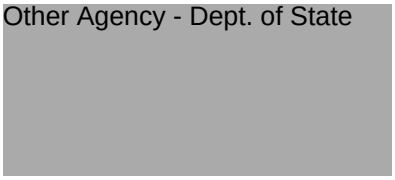

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3 Pages

Withheld in its entirety pursuant for Referral to Another Agency

1 Page

Withheld in their entirety as
Not Responsive to the Request.

From: Fiona Alexander
To: John Morris
Subject: RE: Edits to Friday"s document
Date: Wednesday, February 19, 2014 9:12:24 AM
Attachments: Not Responsive

Here's the document I have, think it takes care of these and then the question I put to you and Seth earlier this morning my time.

_____
From: John Morris
Sent: Wednesday, February 19, 2014 9:10 AM
To: Fiona Alexander
Subject: FW: Edits to Friday's document

Fiona,

I just want to re-flag for you edits that I suggested, in case you did not see this version.....

John

_____
From: John Morris
Sent: Monday, February 17, 2014 2:07 PM
To: Fiona Alexander; BouvierSE@state.gov
Subject: RE: Edits to Friday's document

Fiona, Seth,

Attached are some edits, and I inserted the most recent text that Seth/Andrew/I have discussed.....

John

-----Original Message-----
From: Fiona Alexander
Sent: Monday, February 17, 2014 11:28 AM
To: John Morris; BouvierSE@state.gov
Cc: Fiona Alexander
Subject: Edits to Friday's document
Importance: High

John/Seth

Can you take a look at the document in general and where there is text highlighted in yellow come back with specific edits as we discussed on Friday. Can I have this back by COB tomorrow (Tuesday).

Fiona

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	John Morris
To:	Fiona Alexander; BouvierSE@state.gov
Subject:	RE: Edits to Friday"s document
Date:	Monday, February 17, 2014 2:07:02 PM
Attachments:	Not Responsive

Fiona, Seth,

Attached are some edits, and I inserted the most recent text that Seth/Andrew/I have discussed.....

John

-----Original Message-----
From: Fiona Alexander
Sent: Monday, February 17, 2014 11:28 AM
To: John Morris; BouvierSE@state.gov
Cc: Fiona Alexander
Subject: Edits to Friday's document
Importance: High

John/Seth

Can you take a look at the document in general and where there is text highlighted in yellow come back with specific edits as we discussed on Friday. Can I have this back by COB tomorrow (Tuesday).

Fiona

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Fiona Alexander
To:	John Morris; BouvierSE@state.gov
Cc:	Fiona Alexander
Subject:	Edits to Friday"s document
Date:	Monday, February 17, 2014 11:28:29 AM
Attachments:	Not Responsive
Importance:	High

John/Seth

Can you take a look at the document in general and where there is text highlighted in yellow come back with specific edits as we discussed on Friday. Can I have this back by COB tomorrow (Tuesday).

Fiona

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Suzanne Radell
To:	Fiona Alexander; Vernita D. Harris; Ashley Heineman; Elizabeth Bacon; Stacy Cheney; John Morris; Evelyn Remaley; Jade Nester
Subject:	FW: Problem Statement on IANA now on Google Drive
Date:	Friday, February 21, 2014 10:32:54 AM
Attachments:	ATT00001..txt

Fyi if you haven't seen this already, Suz

From: discuss-bounces@1net.org [mailto:discuss-bounces@1net.org] **On Behalf Of** Milton L Mueller
Sent: Friday, February 21, 2014 10:25 AM
To: discuss@1net.org
Subject: [discuss] Problem Statement on IANA now on Google Drive

https://docs.google.com/document/d/1cKBUzFlxLiDWNdWk6d2KD8CE9TM6vG0prDsapg6i9bo/edit?usp=sharing

anyone with the link can view and comment.

I made some small revisions suggested by David Conrad based on the last iteration I sent out.

Milton L Mueller
Professor, Syracuse University School of Information Studies
Internet Governance Project
http://internetgovernance.org

From:	Suzanne Radell
To:	Ashley Heineman; Elizabeth Bacon; Fiona Alexander; Vernita D. Harris
Cc:	Evelyn Remaley; John Morris; Stacy Cheney; Jade Nester
Subject:	FW: Roadmap for globalizing IANA
Date:	Monday, March 03, 2014 9:40:04 AM
Attachments:	message-footer.txt

Fyi if you hadn't already seen this, Suz

_____

From: governance-request@lists.igcaucus.org [governance-request@lists.igcaucus.org] On Behalf Of Milton L Mueller [mueller@syr.edu]
Sent: Monday, March 03, 2014 9:02 AM
To: Governance (governance@lists.igcaucus.org)
Subject: [governance] Roadmap for globalizing IANA

Dear all:
Today IGP released an innovative proposal to resolve the 15-year controversy over the United States government's special relationship to the Internet Corporation for Assigned Names and Numbers (ICANN). http://www.internetgovernance.org/wordpress/wp-content/uploads/ICANNreformglobalizingIANAfinal.pdf

The proposal, which involves removing root zone management functions from ICANN and creating an independent and neutral private sector consortium to take them over, will be presented at the Singapore ICANN meeting March 21, and has also been submitted to the "NETMundial" Global Multistakeholder Meeting on the Future of Internet Governance in São Paulo, Brazil, April 23 and 24.

We propose four basic principles to guide the reform of the IANA functions: 1. Keep the IANA function clerical; separate it from policy; 2. Don't internationalize political oversight: end it; 3. Align incentives to ensure the accuracy and security of root zone maintenance; 4. De-link globalization of the IANA function from broader ICANN policy process reforms. Even if there are quibbles about the details of the proposal, we look forward to gaining agreement on those principles, and are willing to entertain any proposals that embody them.

Milton Mueller
Professor, Syracuse University School of Information Studies
http://faculty.ischool.syr.edu/mueller/

From:	John Morris
To:	Larry Strickling
Subject:	Fwd: Roadmap for globalizing IANA
Date:	Monday, March 03, 2014 9:56:54 AM
Attachments:	message-footer.txt

Just in case you have not seen this.

-------- Original message --------
From: Suzanne Radell
Date:03/03/2014 9:40 AM (GMT-05:00)
To: Ashley Heineman ,Elizabeth Bacon ,Fiona Alexander ,"Vernita D. Harris"
Cc: Evelyn Remaley ,John Morris ,Stacy Cheney ,Jade Nester
Subject: FW: Roadmap for globalizing IANA

Fyi if you hadn't already seen this, Suz

_____
From: governance-request@lists.igcaucus.org [governance-request@lists.igcaucus.org] On Behalf Of Milton L Mueller [mueller@syr.edu]
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Milton Mueller
Professor, Syracuse University School of Information Studies
http://faculty.ischool.syr.edu/mueller/

From:	Vernita D. Harris
To:	Fiona Alexander; Larry Strickling
Cc:	Suzanne Radell; Ashley Heineman; John Morris; Evelyn Remaley
Subject:	FW: Roadmap for globalizing IANA
Date:	Tuesday, March 04, 2014 6:08:31 PM
Attachments:	message-footer.txt

I thought this would be of interest to you. My apologies if you have seem this already.

From: governance-request@lists.igcaucus.org [mailto:governance-request@lists.igcaucus.org] **On Behalf Of** Milton L Mueller
Sent: Monday, March 03, 2014 9:03 AM
To: Governance (governance@lists.igcaucus.org)
Subject: [governance] Roadmap for globalizing IANA

Dear all:
Today IGP released an innovative proposal to resolve the 15-year controversy over the United States government's special relationship to the Internet Corporation for Assigned Names and Numbers (ICANN). http://www.internetgovernance.org/wordpress/wp-content/uploads/ICANNreformglobalizingIANAfinal.pdf

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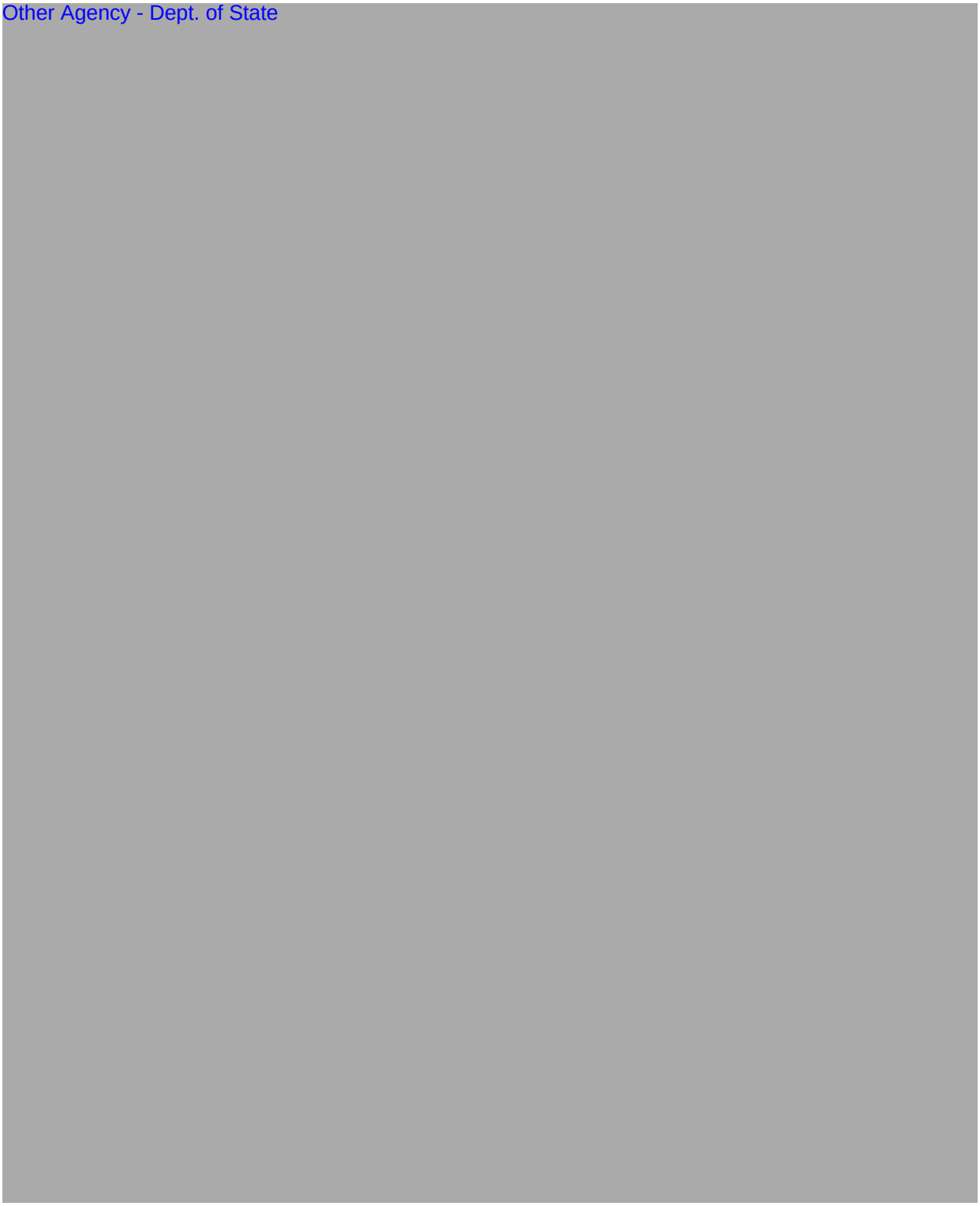
Milton Mueller
Professor, Syracuse University School of Information Studies
http://faculty.ischool.syr.edu/mueller/

From: Fiona Alexander
To: Suzanne Radell; Vernita D. Harris; Elizabeth Bacon; John Morris; Evelyn Remaley
Subject: FW: ICANN
Date: Wednesday, March 05, 2014 3:59:55 PM

Sharing within NTIA…

Other Agency - Dept. of State



From:	Vernita D. Harris
To:	Larry Strickling; Fiona Alexander; John Morris; Evelyn Remaley; Suzanne Radell
Subject:	Fwd: [governance] my IANA roadmap submission
Date:	Thursday, March 06, 2014 4:00:03 PM
Attachments:	message-footer.txt ATT00001..htm

FYI

Sent from my iPhone

Begin forwarded message:

From: Ian Peter <ian.peter@ianpeter.com>
Date: March 6, 2014, 3:08:43 PM EST
To: "governance@lists.igcaucus.org" <governance@lists.igcaucus.org>
Subject: [governance] my IANA roadmap submission
Reply-To: "governance@lists.igcaucus.org" <governance@lists.igcaucus.org>, Ian Peter <ian.peter@ianpeter.com>

Below is the text I have forwarded as an individual to Brazil meeting after discussion here and on other lists.

It does not create a perfect world. But if adopted, which is achievable in the current climate, it might create a slightly better one. Thank you to everyone who contributed.

The link is at http://content.netmundial.br/contribution/roadmap-for-internalisation-of-the-former-iana-functions-under-a-multistakeholder-governance-model-involving-icann-and-associated-technical-organisations/105

Ian Peter

Roadmap (and principles) for internalisation of the former IANA functions under a multistakeholder governance model involving ICANN and associated technical organisations.

This roadmap concentrates on one internet governance issue only – the future of the IANA functions which have been the subject of much past discussion because current arrangements are seen by many to be outside of the preferred multistakeholder model.

Indeed, IANA itself was established in an era before most current internet

governance institutions (eg ICANN) were in existence. The emergence of a trusted global body to take over these functions was envisaged at the time and this submission suggests that we can now proceed to transfer remaining functions to a multistakeholder model of management.

ROADMAP

This roadmap suggests that the IANA functions (including their oversight), though necessary processes in the secure and authoritative functioning of the Internet, no longer need a separate identity and would more productively be merged with similar functions under the auspices of ICANN and associated technical bodies. Subject of course to many concerns about details, this direction appears to have widespread support from governments, civil society, technical community, and private sector.

In order to achieve this desired change efficiently and productively, the following roadmap is proposed.

1. 1. ICANN should be requested to prepare a proposal for management of the previous IANA functions within the multistakeholder model of internet governance, including among other considerations the following criteria:

(a) protection of the root zone from political or other improper interference;

(b) integrity, stability, continuity, security and robustness of the administration of the root zone;

(c) widespread [international] trust by Internet users in the administration of this function;

(d) support of a single unified root zone; and

(e) agreement regarding an accountability mechanism for this function that is broadly accepted as being in the global public interest."

2. Preparation of the proposal should involve discussion with all major stakeholder groups, with a completion timetable for a first draft for discussion at the Internet Governance Forum in Turkey in September 2014.

3. To expedite completion in a timely manner, it is suggested that outside consultants be engaged to prepare the discussion paper (proposal) in consultation with major stakeholders.

4. The solution must have the following characteristics

(a) offers a legal structure that is robust against rogue litigation attacks

(b) is aligned with the Internet technical infrastructure in a way that supports innovative, technology based evolution of the DNS .

(c) is an inclusive model

(d) is a demonstrable improvement on current processes in this area

From: Fiona Alexander
To: Suzanne Radell; Vernita D. Harris; Elizabeth Bacon; Evelyn Remaley; John Morris
Subject: FW: For mtg with ICANN
Date: Thursday, March 06, 2014 8:00:27 AM
Attachments: Not Responsive

This was my attempt to capture the collective tone and comments from yesterday and the suggested alternative, as well as a few other issues Larry and I have discussed. Let me know if you see gaping holes.

_____

From: Fiona Alexander
Sent: Wednesday, March 05, 2014 10:55 PM
To: Larry Strickling
Cc: Fiona Alexander
Subject: For mtg with ICANN

Here's a typed of summation of the comments as well as the suggested alternative "soft" role out.

3 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Juliana Gruenwald
To:	Fiona Alexander; Heather Phillips
Cc:	Cyril J. Dadd; Jim Wasilewski
Subject:	RE: HOLD for ICANN planning meeting
Date:	Friday, March 07, 2014 5:00:17 PM

Works for me.

-----Original Message-----
From: Fiona Alexander
Sent: Friday, March 07, 2014 4:58 PM
To: Heather Phillips
Cc: Cyril J. Dadd; Jim Wasilewski; Juliana Gruenwald
Subject: RE: HOLD for ICANN planning meeting

That would hit on the senior staff meeting. ICANN hasn't actually confirmed the time and my guess is we'll bump to Tuesday now. Does Tuesday at 1 or 4 pm work?

-----Original Message-----
From: Heather Phillips
Sent: Friday, March 07, 2014 4:57 PM
To: Fiona Alexander
Cc: Cyril J. Dadd; Jim Wasilewski; Juliana Gruenwald
Subject: Re: HOLD for ICANN planning meeting

Fiona, Juliana and I have a meeting with State folks at 3:30 Monday and it's the only time we could get to work next week. Can we do at 2 or 2:30?

Sent from my iPad

On Mar 7, 2014, at 4:20 PM, "Fiona Alexander" <FAlexander@ntia.doc.gov> wrote:

>
>
> <meeting.ics>

From: Juliana Gruenwald
To: Fiona Alexander; Suzanne Radell
Cc: Heather Phillips
Subject: RE: ICANN Talking Points
Date: Friday, March 07, 2014 4:43:26 PM
Attachments: Not Responsive

Sure they are attached.

From: Fiona Alexander
Sent: Friday, March 07, 2014 4:29 PM
To: Juliana Gruenwald; Suzanne Radell
Cc: Heather Phillips
Subject: RE: ICANN Talking Points

I'm actually on the hook now post today's IPB to develop a set of hard q and a what the statement we would issue this weekend. So Juliana if you can send me what you have on messaging points I'll play with that as well.

From: Juliana Gruenwald
Sent: Friday, March 07, 2014 1:59 PM
To: Suzanne Radell
Cc: Heather Phillips; Fiona Alexander
Subject: ICANN Talking Points

Hey Suzanne – I've added some points to those ICANN transition talking points I gave you during our meeting with Fiona. I've included what I could so if there's anything missing or that I worded incorrectly please feel free to add and fix.

The sooner we get these done, the better.

Thanks,

Juliana

Juliana Gruenwald
National Telecommunications and Information Administration (NTIA)
Phone: 202-482-2145
Email: jgruenwald@ntia.doc.gov

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Juliana Gruenwald
To: Suzanne Radell (SRadell@ntia.doc.gov)
Cc: Heather Phillips; Fiona Alexander
Subject: ICANN Talking Points
Date: Friday, March 07, 2014 1:59:00 PM
Attachments: Not Responsive

Hey Suzanne – I've added some points to those ICANN transition talking points I gave you during our meeting with Fiona. I've included what I could so if there's anything missing or that I worded incorrectly please feel free to add and fix.

The sooner we get these done, the better.

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Juliana

Juliana Gruenwald
National Telecommunications and Information Administration (NTIA)
Phone: 202-482-2145
Email: jgruenwald@ntia.doc.gov

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Suzanne Radell
To:	Fiona Alexander; Vernita D. Harris; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject:	FW: [discuss] Will there be life on 1net after IANA is globalized? (:-)
Date:	Friday, March 07, 2014 1:58:59 PM
Attachments:	ATT00001..txt image001.png image002.png

In case you're not closely following the 1Net list, this is an interesting write up. Does it remind others of our inverted pyramid? We might want to consider sharing this with State/CIP at some point……Suz

From: discuss-bounces@1net.org [mailto:discuss-bounces@1net.org] **On Behalf Of** George Sadowsky
Sent: Friday, March 07, 2014 1:37 PM
To: discuss@1net.org List
Subject: [discuss] Will there be life on 1net after IANA is globalized? (:-)

All,

Purpose: What topics in Internet governance should 1net focus upon?

Discussion on this list has focused heavily on the future of IANA, as well as on human rights issues. Those are certainly appropriate topics for the Brazil meeting, but if 1net is to have a longer life, then there may well be other topics included in Internet governance that do merit attention.

Context

I'd like to talk about this more after introducing a couple of diagrams and some text from a publication forthcoming in I/S: A Journal of Law and Policy for the Information Society (www.is-journal.org) It is titled "Internet governance is out Shared Responsibility," by Vint Cerf, {Patrick Ryan, and Max Senges. I take the following from a draft version of the paper, subject to final edits. In my view, it's an excellent paper and should be read by anyone involved in Internet governance discussions.

Among other things, the authors propose a layering of issues in Internet governance according to their relative position between strictly technical and strictly social. A number of such models have been proposed. One proposed earlier on this list by Brian Carpenter, and augmented by a set of his slides, was an extremely good and thorough exposition of this concept. ISOC has published something similar, using a different approach to displaying the results.

The paper proposes adding a social layer to the normal stack of issues, as in the chart below. I believe that the specific issues listed are meant to be examples, because they are certainly not exhaustive of the issues at any of the four layers. Of course, many problems in this space do not live exclusively in just one layer, but 'bleed' somewhat into adjacent layers.

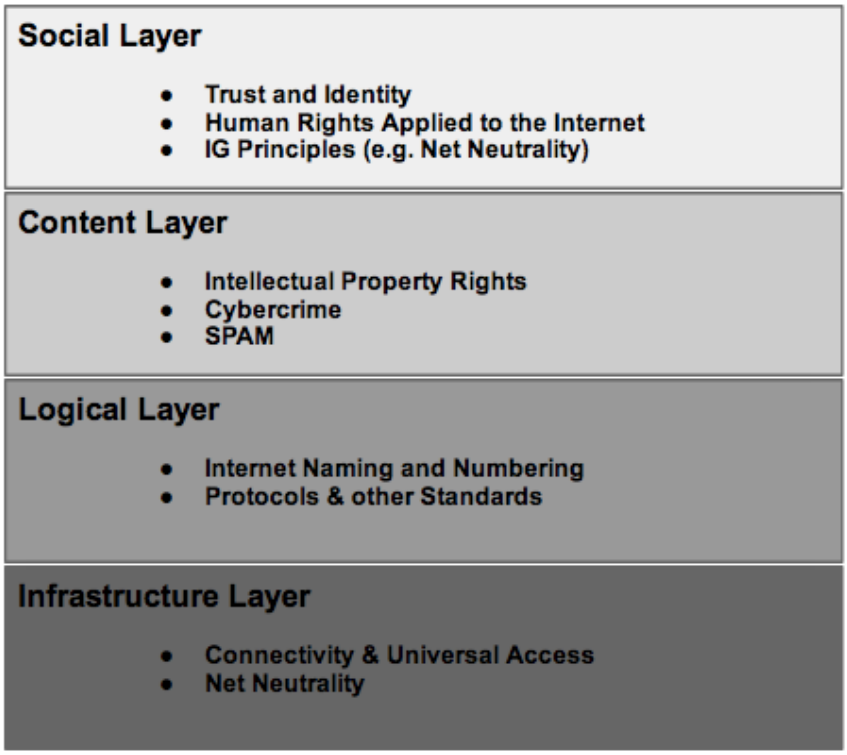
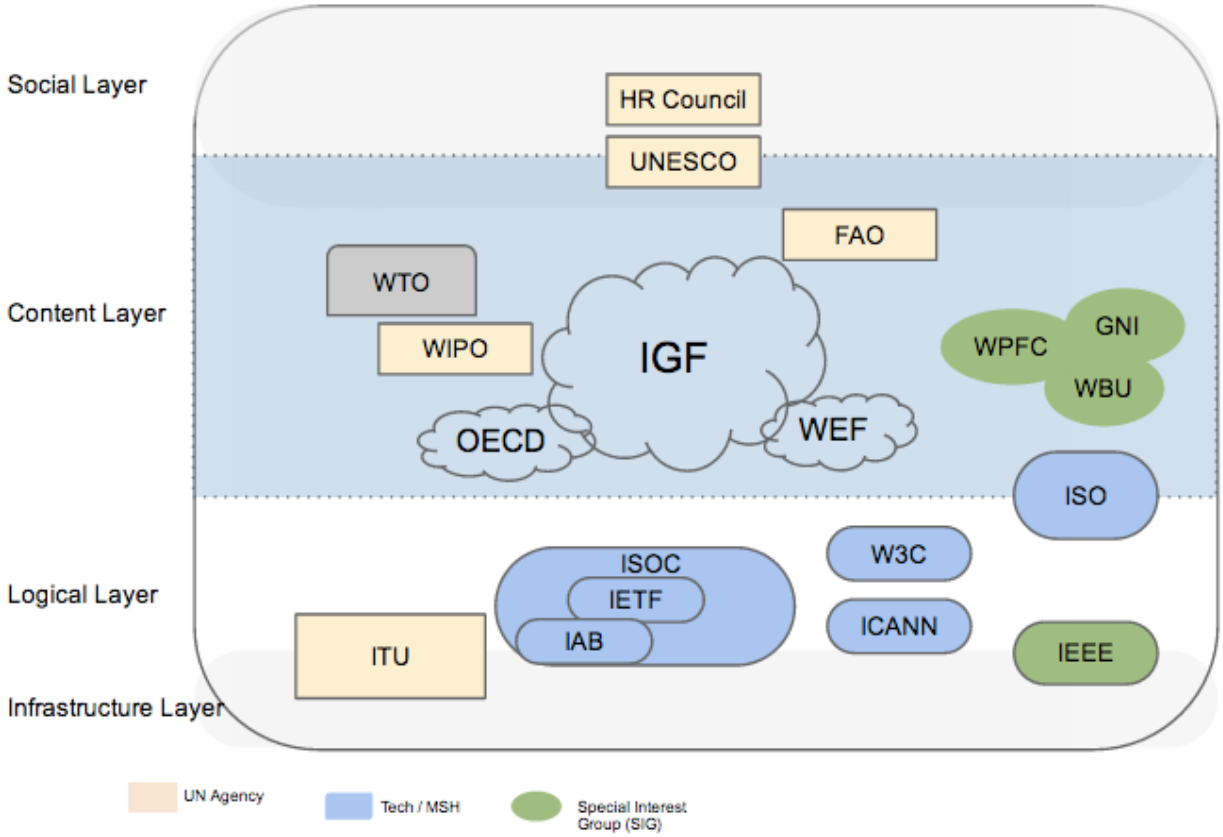


Illustration 1 - Social Layer Added to the Established Layered Model of Internet Governance

The authors state:

"We provide this conceptualization in order to trigger discussion about which institutions and stakeholder groups should legitimately be involved in which Internet policy issues. Put differently, we believe that it will be
beneficial to the operation of the whole online ecosystem if the mandates of institutions are mapped and clarified with regard to their relevance in steering Internet governance practices and policymaking."

"Hence, Illustration 2 shows a schematic example of mapping of institutions with relevant mandates overlaid on the layers of Internet governance. Here we show the IGF is positioned in the center as it has no decision-making mandate itself but is instead, it is positioned to facilitate and moderate said decision making to take place elsewhere. In Clark's terminology, at the IGF, we're separating the "tussles" in a forum where they can be analyzed in workshops and discussion sessions and then brought back to the various other forums for decisions."



This approach to defining shared responsibility for Internet governance is not new. ICANN has published its view of this, and a extraordinarily good and thorough presentation of analysis of this type has been made by David Souter and is well worth reading. In the above display, national governments and their various agencies are totally missing, and that seems to be to be a fundamental flaw, but one that can be easily corrected.

The space of Internet governance issues

The 1net discussions until now have focused primarily upon Internet naming and numbering (the logical layer) on the one hand, and human rights issues with respect to the Internet (the social layer). This perhaps appropriate given the announced focus of the Brazil meeting. However, the Brazil meeting is just one in a number of meetings, and the purple of 1net goes well beyond that meeting.

However, Internet governance is much more than names and addresses. And in fact, in terms of stability of operations, the current use of names and addresses by Internet users to actually do things using the Internet is working remarkably well. On the other had, most of the other examples in the first chart above, where the Internet is colliding with existing activities and changing the nature of processes, is not working nearly as well as we would like. To be sure, the problems are more difficult, and require a different set of actors to solve, but that is no reason for not discussing them. In fact, there is every reason to address this set of issues in order to start to solve them.

Consider just the content layer for the moment.

Many of the issues in this layer depend locally upon adequate legislation and regulation that

depends on a balance between freedom for and restrictions on behavior and actions, both sides of the balance being supported by social goals. At the international level, cooperation requires a minimum of agreement regarding that balance so that international cooperation among nation governments can take place. What initiatives might make it possible to achieve both appropriate structures at the national level and coordinated structures at the international level to make this happen. Do we need an UNCITRAL-type movement to work toward these goals? Among the issues affected are:

- Addressing cybercrime activities effectively
- Understanding and ameliorating the spam situation
- ISP liability issues for content stored and/or transmitted
- Consumer protection
- Electronic document status (contracts, etc.)
- Regulatory and legislative environment -- effects on Internet access and pricing
- Competition policy within country and internationally
- Policy/support for community services
- Culture with respect to private data of individuals (tracking, advertising, etc.)
- Intellectual property rights

I suspect that most everyone on this list can expand it with their own issue of importance.

These are areas where intensive national government involvement is absolutely essential. Where are these issues being discussed in a way that has the possibility of dramatically improving these situations? Does the 1net list have any claim to, or responsibility for, addressing this area? It certainly is a part of Internet governance?

Bertrand de la Chapelle has been discussing the international dimension of these issues in his cross-boundary jurisdiction project, and he is raising really important issues and providing insights into the nature of this problem. However, as much if not more attention needs to be paid to these issues at the national level. Where are national governments being faced with these issues as a part of their responsibilities. How can other sectors assist in making this happen? Which other actors play a part in improving things, and is this happening. How can 1net comment meaningfully on these issues?

Concluding …

Using the working definition of Internet governance adopted by the WGIG in 2005:

> *Internet governance is the development and application by Governments, the private sector and civil society, in their respective roles, of shared principles, norms, rules, decision-making procedures, and programmes that shape the evolution and use of the Internet*.

How might the discussions on 1net be enlarged in a productive manner to address some of the issue areas included in the above definition, other than the ones that have received extensive discussion to date? Define this as problem no. 2, if you like, but its really a meta-problem. The real problems are the ones listed above.

George

From:	Suzanne Radell
To:	Vernita D. Harris; Fiona Alexander; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject:	RE: [discuss] Will there be life on 1net after IANA is globalized? (:-)
Date:	Friday, March 07, 2014 3:22:12 PM
Attachments:	image001.png image002.png

They identify several organizations on the next page, in a different image. I think this could help us this afternoon re the GCBS concept too.

From: Vernita D. Harris
Sent: Friday, March 07, 2014 3:06 PM
To: Suzanne Radell; Fiona Alexander; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject: RE: [discuss] Will there be life on 1net after IANA is globalized? (:-)

It does. It would be great if they had another column with organizations

---

From: Suzanne Radell
Sent: Friday, March 07, 2014 1:59 PM
To: Fiona Alexander; Vernita D. Harris; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject: FW: [discuss] Will there be life on 1net after IANA is globalized? (:-)

In case you're not closely following the 1Net list, this is an interesting write up. Does it remind others of our inverted pyramid? We might want to consider sharing this with State/CIP at some point……Suz

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slides, was an extremely good and thorough exposition of this concept. ISOC has published something similar, using a different approach to displaying the results.

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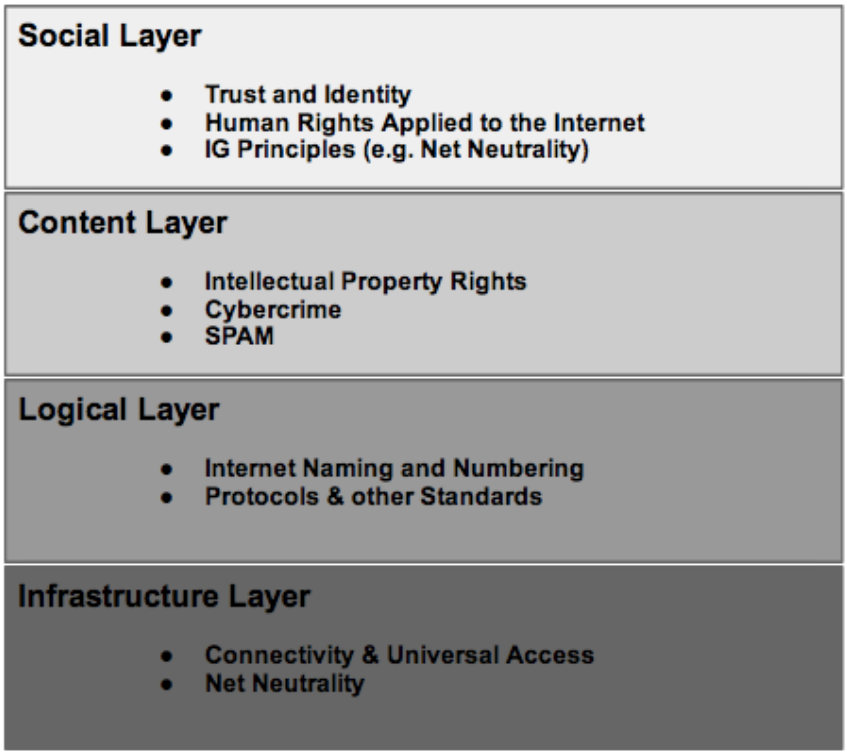

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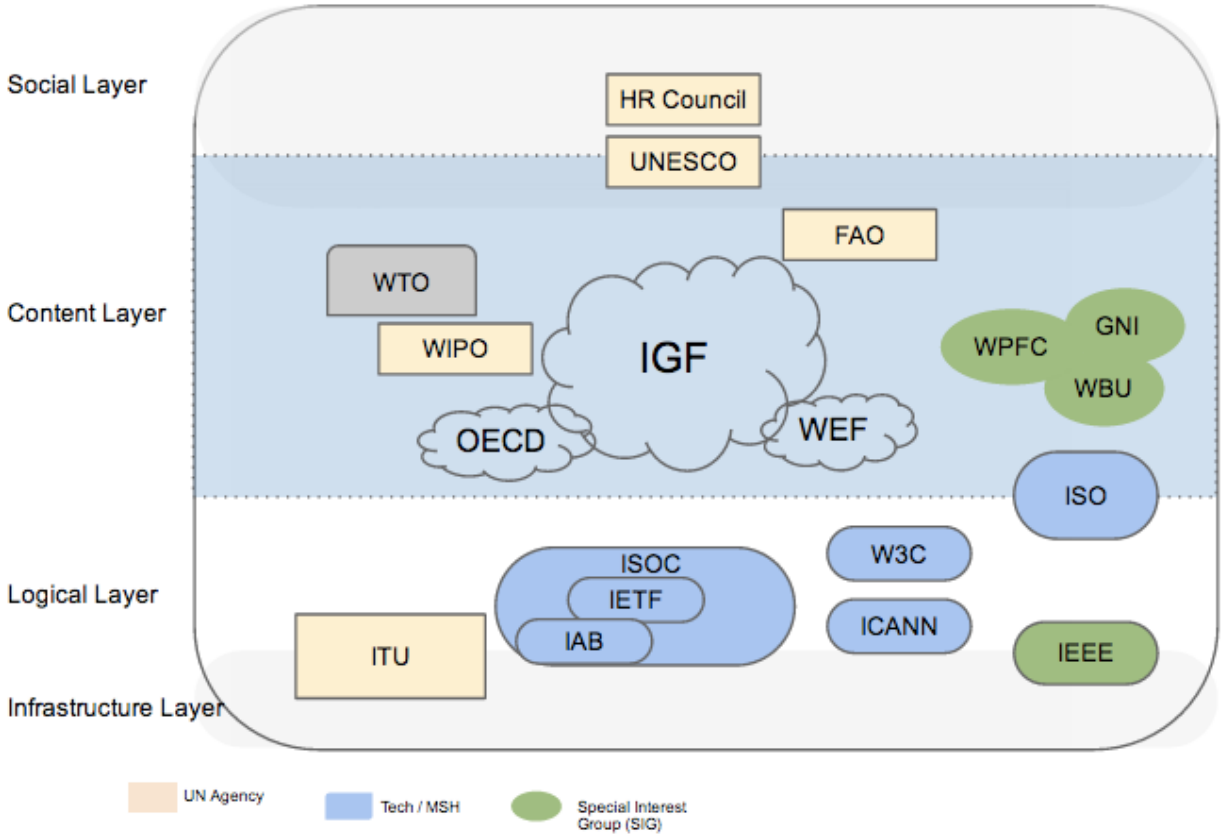

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However, Internet governance is much more than names and addresses. And in fact, in terms of stability of operations, the current use of names and addresses by Internet users to actually do things using the Internet is working remarkably well. On the other had, most of the other examples in the first chart above, where the Internet is colliding with existing activities and changing the nature of processes, is not working nearly as well as we would like. To be sure, the problems are more difficult, and require a different set of actors to solve, but that is no reason for not discussing them. In fact, there is every reason to address this set of issues in order to start to solve them.

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How might the discussions on 1net be enlarged in a productive manner to address some of the issue areas included in the above definition, other than the ones that have received extensive discussion to date? Define this as problem no. 2, if you like, but its really a meta-problem. The real problems are the ones listed above.

George

From:	Vernita D. Harris
To:	Suzanne Radell; Fiona Alexander; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject:	RE: [discuss] Will there be life on 1net after IANA is globalized? (:-)
Date:	Friday, March 07, 2014 3:33:15 PM
Attachments:	image001.png image002.png

I agree with picture. I was just thinking aloud another column to the table would package this nicely.

From: Suzanne Radell
Sent: Friday, March 07, 2014 3:22 PM
To: Vernita D. Harris; Fiona Alexander; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject: RE: [discuss] Will there be life on 1net after IANA is globalized? (:-)

They identify several organizations on the next page, in a different image. I think this could help us this afternoon re the GCBS concept too.

From: Vernita D. Harris
Sent: Friday, March 07, 2014 3:06 PM
To: Suzanne Radell; Fiona Alexander; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject: RE: [discuss] Will there be life on 1net after IANA is globalized? (:-)

It does. It would be great if they had another column with organizations

From: Suzanne Radell
Sent: Friday, March 07, 2014 1:59 PM
To: Fiona Alexander; Vernita D. Harris; Ashley Heineman; Elizabeth Bacon; Jade Nester; John Morris; Evelyn Remaley; Stacy Cheney
Subject: FW: [discuss] Will there be life on 1net after IANA is globalized? (:-)

In case you're not closely following the 1Net list, this is an interesting write up. Does it remind others of our inverted pyramid? We might want to consider sharing this with State/CIP at some point……Suz

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All,

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Among other things, the authors propose a layering of issues in Internet governance according to their relative position between strictly technical and strictly social. A number of such models have been proposed. One proposed earlier on this list by Brian Carpenter, and augmented by a set of his slides, was an extremely good and thorough exposition of this concept. ISOC has published something similar, using a different approach to displaying the results.

The paper proposes adding a social layer to the normal stack of issues, as in the chart below. I believe that the specific issues listed are meant to be examples, because they are certainly not exhaustive of the issues at any of the four layers. Of course, many problems in this space do not live exclusively in just one layer, but ‘bleed’ somewhat into adjacent layers.

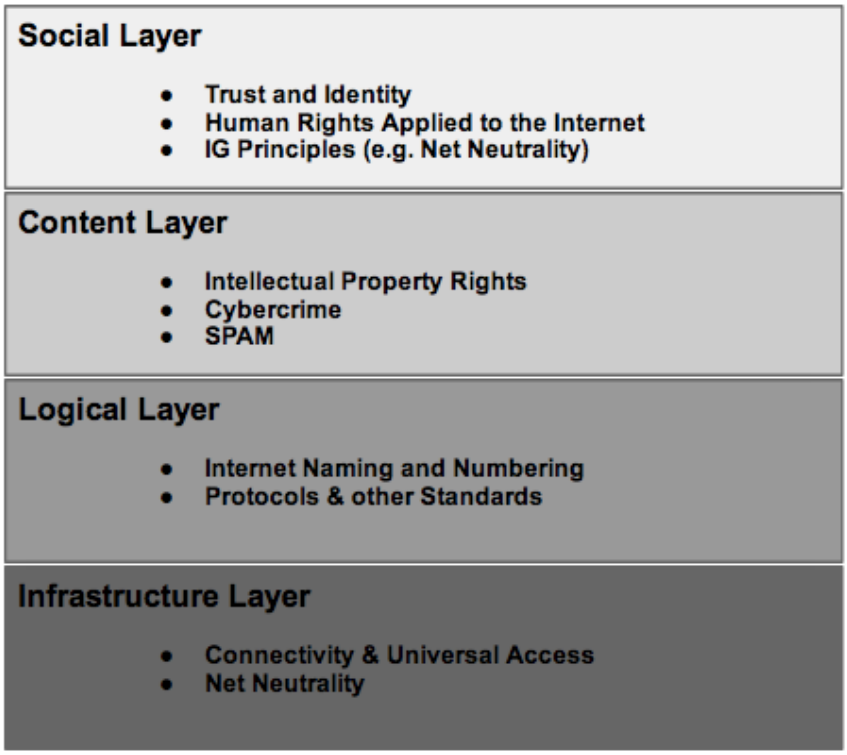

Illustration 1 - Social Layer Added to the Established Layered Model of Internet Governance

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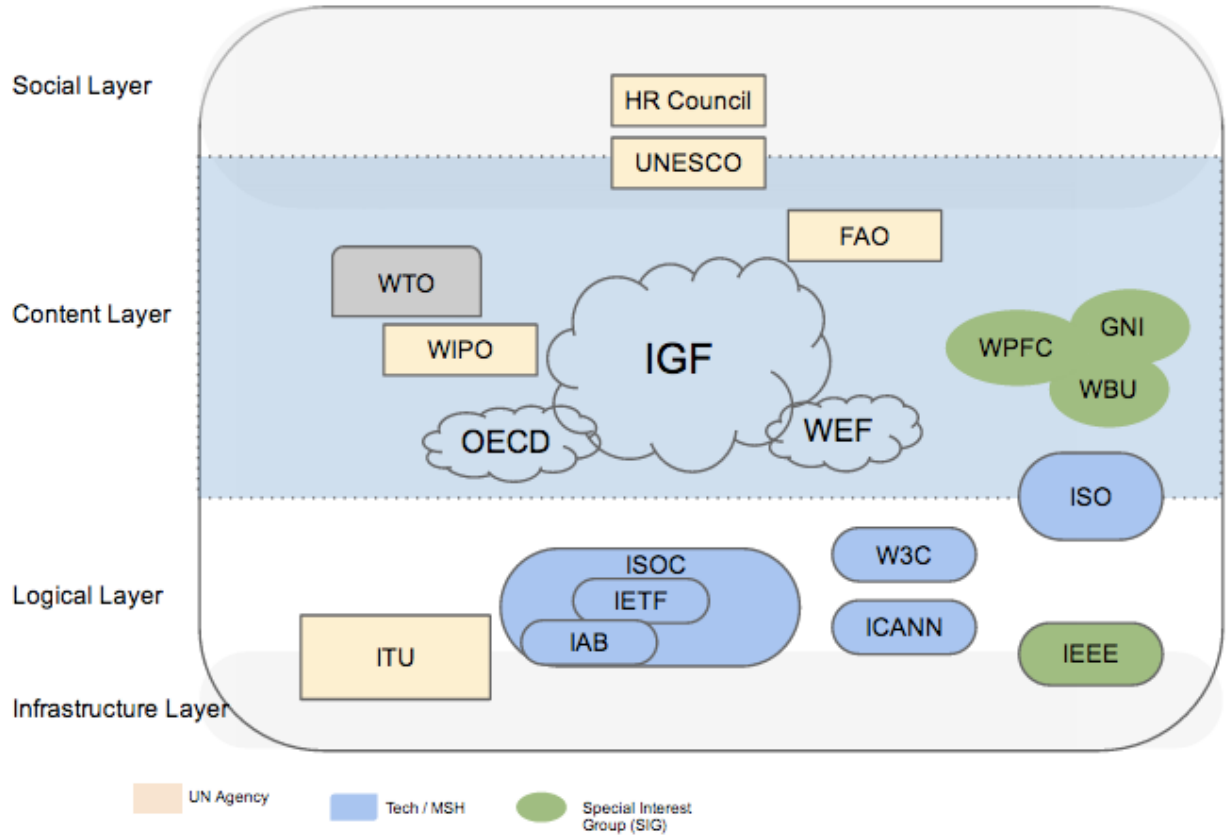

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Date:	Friday, March 07, 2014 3:06:17 PM
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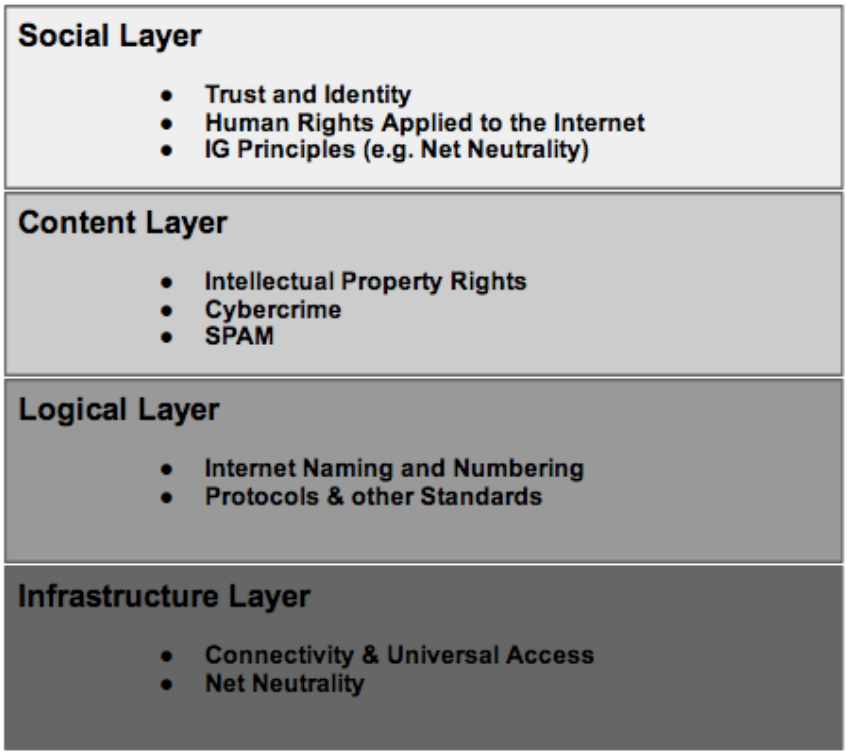

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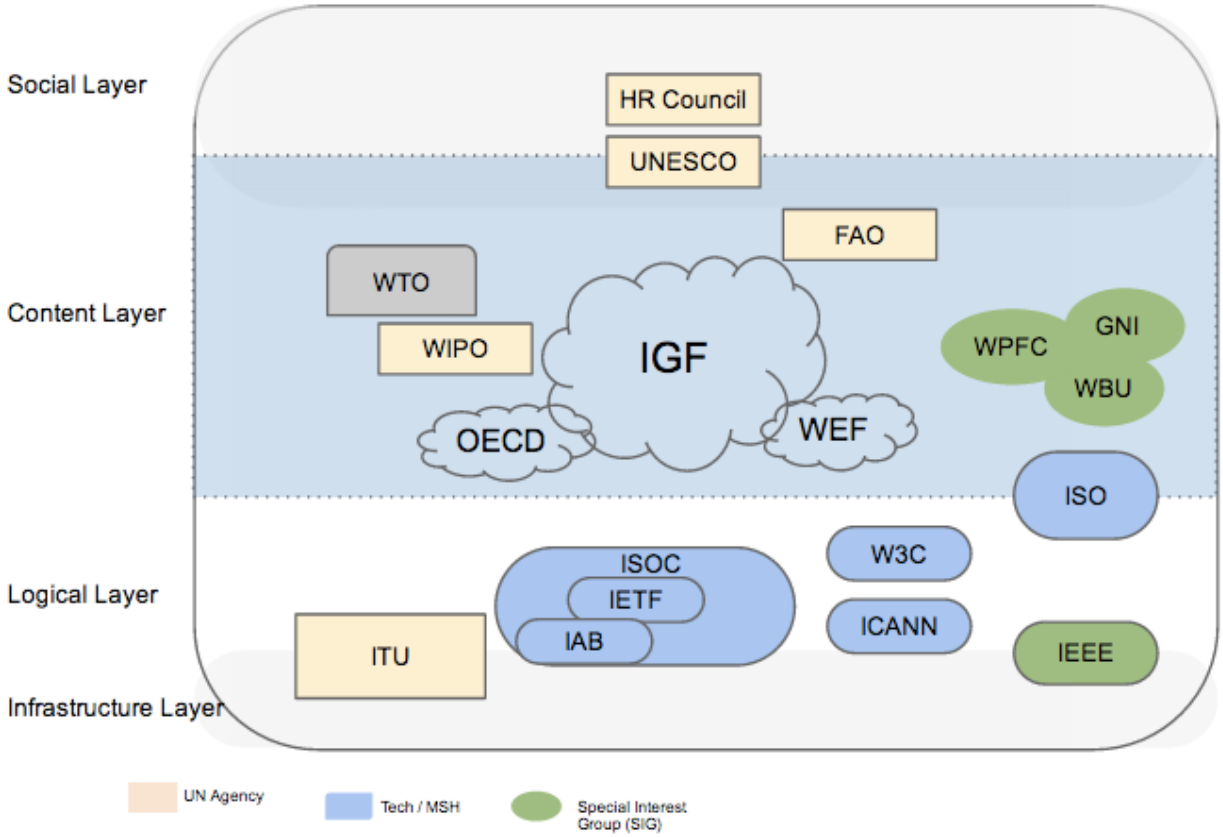

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George

From: Diane Steinour
To: OIA
Subject: FW: European Commission contribution to NETmundial (Internet Governance conference in São Paulo, April 23-24)
Date: Monday, March 10, 2014 8:48:08 AM
Attachments: Not Responsive
netmundial-input-roadmap-IG-FINAL.pdf

---

fyi

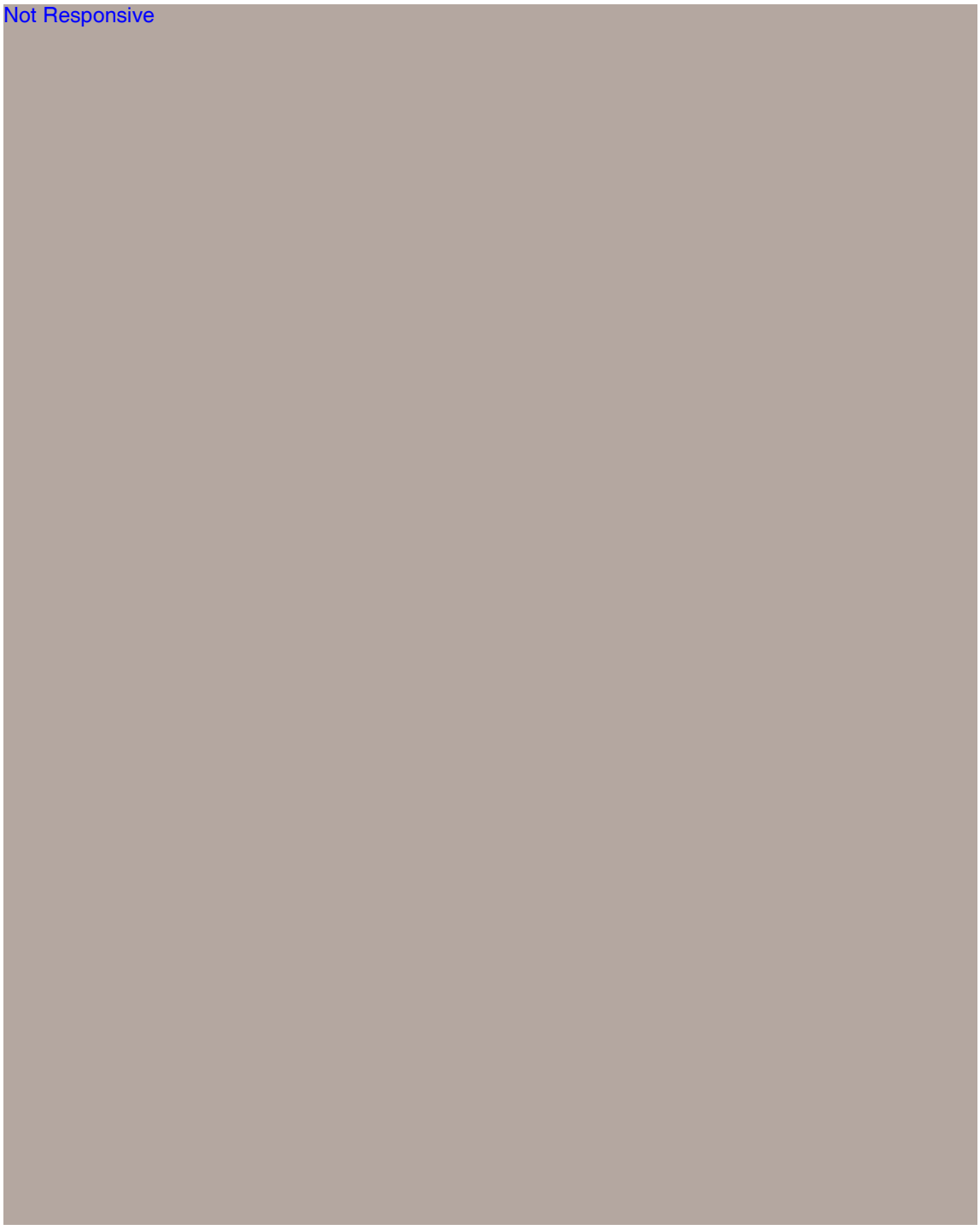
Other Agency - Dept. of State

EUROPEAN COMMISSION
Directorate-General for Communications Networks, Content and Technology

NETMUNDIAL (SAO PAULO, 23-24 APRIL 2014)

INPUT ON "ROADMAP FOR THE FURTHER EVOLUTION OF THE INTERNET GOVERNANCE ECOSYSTEM"

Not Responsive



Not Responsive

Accordingly, **concrete and actionable steps, including a clear timeline**, should be identified in order to:

a. **Globalise the IANA functions**, whilst safeguarding the continued stability and security of the domain name system.

Not Responsive

7 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Juliana Gruenwald
To: Heather Phillips
Subject: RE: ICANN release
Date: Monday, March 10, 2014 11:34:00 AM
Attachments: Not

Hi – I've attached the Q and A. Hopefully, it is in English.

From: Heather Phillips
Sent: Monday, March 10, 2014 11:25 AM
To: Juliana Gruenwald
Subject: ICANN release

Clean and red-lined. If you have edits, do it on the clean version. Red-lined is for your reference to see if something was cut out, etc.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

5 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Fiona Alexander
To: Juliana Gruenwald; Heather Phillips
Cc: Jade Nester
Subject: Revised statement
Date: Tuesday, March 11, 2014 10:29:52 AM
Attachments: Not Responsive
Importance: High

Redline and clean attached. Edits are done per LES email. I think it might be a bit too jargony for your tastes but I don't think we'll get away from that on this issue. I need to send this back to him in the next hour or so

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Heather Phillips
To: Juliana Gruenwald
Subject: ICANN release
Date: Monday, March 10, 2014 11:24:55 AM
Attachments: Not Responsive

Clean and red-lined. If you have edits, do it on the clean version. Red-lined is for your reference to see if something was cut out, etc.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Larry Strickling
To: Heather Phillips; Juliana Gruenwald
Cc: Fiona Alexander; Angela Simpson; Jade Nester
Subject: Statement
Date: Thursday, March 13, 2014 10:30:35 AM
Attachments: Not Responsive
Importance: High

Here is the latest, based on joint edits by Heather and myself. Fiona, have we taken out anything that the other agencies will insist remain in the statement?

2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Larry Strickling
To: Fiona Alexander; Fiona Alexander (fionamalexander@gmail.com)
Cc: Heather Phillips; Juliana Gruenwald
Subject: Edits to Statement
Date: Thursday, March 13, 2014 8:53:39 PM
Attachments: Not Responsive

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2 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Heather Phillips
To: Juliana Gruenwald
Subject: FW: Can you do a quick review scrub of the q and a
Date: Thursday, March 13, 2014 1:11:06 PM
Attachments: Not Responsive

Take a look at this version quickly. When you are done, send to Fiona.

From: Fiona Alexander
Sent: Thursday, March 13, 2014 12:57 PM
To: Juliana Gruenwald; Heather Phillips
Subject: Can you do a quick review scrub of the q and a

Fiona M. Alexander
Associate Administrator for International Affairs
National Telecommunications and Information Administration (NTIA)
(202) 482-1866
www.ntia.doc.gov

6 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Juliana Gruenwald
To: Fiona Alexander
Cc: Heather Phillips
Subject: latest verison of Q and A
Date: Thursday, March 13, 2014 1:28:00 PM
Attachments: Not Responsive

Is attached. I'll create a public version that takes out all the "not for public disclosure) questions.

Juliana

Juliana Gruenwald
National Telecommunications and Information Administration (NTIA)
Phone: 202-482-2145
Email: jgruenwald@ntia.doc.gov

6 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Heather Phillips
To:	Cyril J. Dadd; Jim Wasilewski (jwasilewski@ntia.doc.gov)
Subject:	FW: general TPs
Date:	Friday, March 14, 2014 4:02:00 PM
Attachments:	ICANN-TPs-general-03.14.14.docx

You can alert Hill folks that we're going to do a briefing with reporters later today. Whether that's an official "announcement," who the heck knows. We are still awaiting word on the release.

From: Heather Phillips
Sent: Friday, March 14, 2014 2:23 PM
To: Fiona Alexander; Juliana Gruenwald; Jade Nester
Subject: general TPs

Attached is the general TP document that pulls from the other versions. This is the version we could share with outside parties. Fiona, please take a look to be sure this includes the points you flagged. I went by what you gave me.

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Director of Public Affairs
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Talking Points on NTIA Transition of IANA Functions

- NTIA is announcing its intent to transition key Internet domain name functions to the global multistakeholder community. As the first step, NTIA is asking ICANN to convene global stakeholders to develop a proposal to transition the current unique role played by NTIA in the coordination of the Internet's domain name system. This marks a major milestone towards the final phase of the privatization of the Domain Name System (DNS), which was first outlined by the U.S. Government in 1997.

- ICANN is uniquely positioned, as both the current IANA functions contractor and the global coordinator for the DNS, as the appropriate party to convene the multistakeholder process to develop the transition plan.

- NTIA has informed ICANN that it expects that in the development of the proposal, ICANN will work collaboratively with the directly affected parties, including the Internet Engineering Task Force (IETF), the Internet Architecture Board (IAB), the Internet Society (ISOC), the Regional Internet Registries (RIRs), top level domain name operators, VeriSign, and other interested global stakeholders.

- 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's domain name system;
    - meet the needs and expectations of the global customers and partners of IANA's services; and,
    - maintain the openness of the Internet.

- NTIA will not accept a proposal that replaces the NTIA role with government-led or an inter-governmental organization solution. That's consistent with the sentiment expressed in bipartisan resolutions of the U.S. Senate and House of Representatives, which affirmed the U.S. support for the multistakeholder model of Internet governance.

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    - meet the needs and expectations of the global customers and partners of IANA's services; and,
    - maintain the openness of the Internet.

- NTIA will not accept a proposal that replaces the NTIA role with government-led or an inter-governmental organization solution. That's consistent with the sentiment expressed in bipartisan resolutions of the U.S. Senate and House of Representatives, which affirmed the U.S. support for the multistakeholder model of Internet governance.

From:	Fiona Alexander
To:	Jamie Hedlund
Cc:	Theresa Swinehart; Brad White; Duncan Burns; Heather Phillips; Juliana Gruenwald
Subject:	RE: Most recent version of press release
Date:	Friday, March 14, 2014 3:23:58 PM

Please send soon as we won't be able to pull the trigger here until we see that.

From: Jamie Hedlund [mailto:jamie.hedlund@icann.org]
Sent: Friday, March 14, 2014 2:57 PM
To: Fiona Alexander
Cc: Theresa Swinehart; Brad White; Duncan Burns; Heather Phillips; Juliana Gruenwald
Subject: Re: Most recent version of press release

We are still working on ours. Will send it when it's done.

On Mar 14, 2014, at 14:55, "Fiona Alexander" <FAlexander@ntia.doc.gov> wrote:

> Hey this is what we think is final if not close. Take a quick look. Also can we see what your announcement looks like now. Thanks.
>
> <ICANN-release-final-03.14.14.docx>

From: Fiona Alexander [mailto:FAlexander@ntia.doc.gov]
Sent: Friday, March 14, 2014 12:44 PM
To: Polk, Tim
Cc: Greenwald, Eric; Stifel, Megan; Edelman, R. David; Heather Phillips; Juliana Gruenwald
Subject: RE: Plan B: a small proposed edit to the press release

Hi Tim

That change works for us. Thank you.

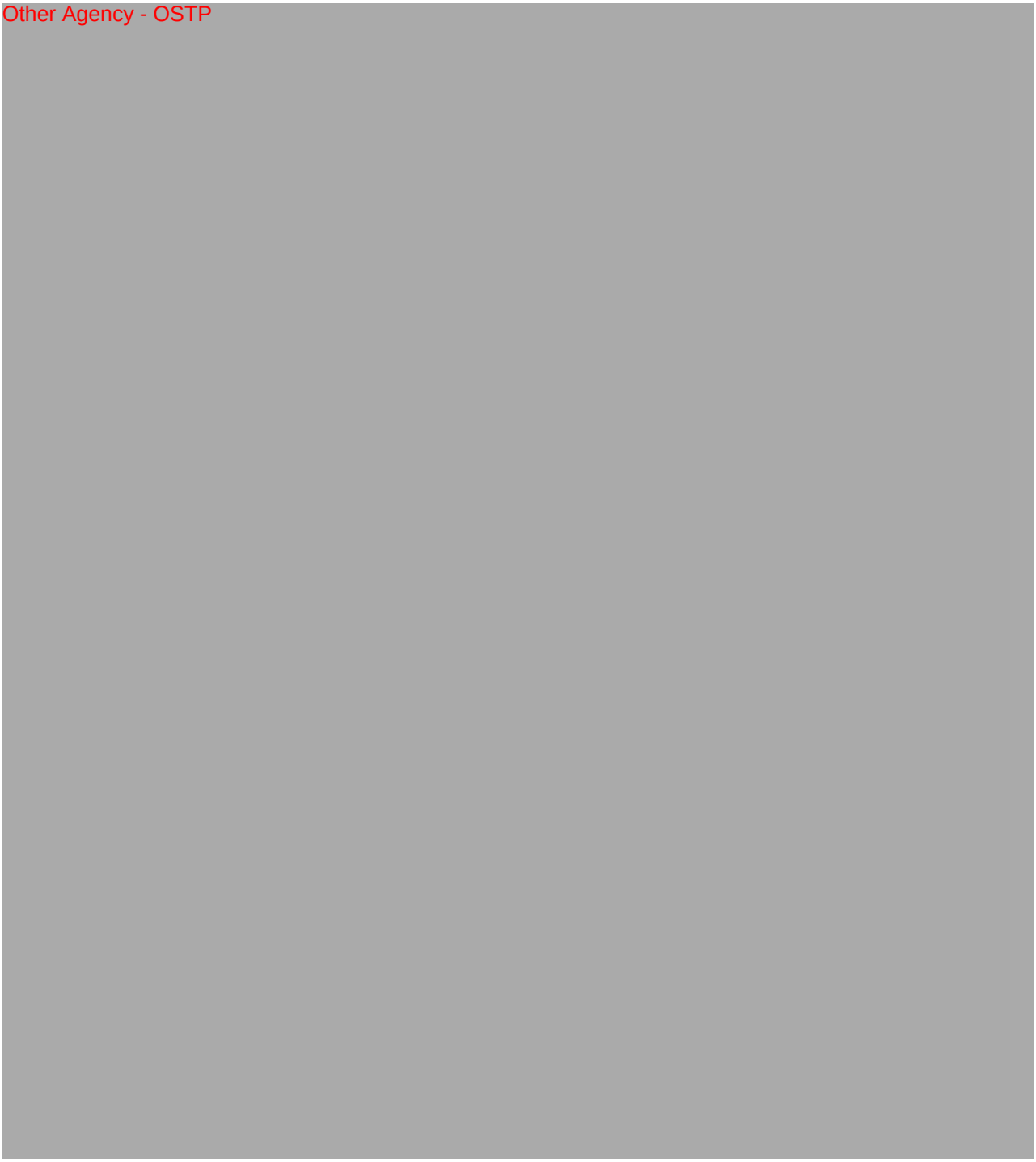
Fiona

Other Agency - OSTP

From: Fiona Alexander
To: Kathy Smith; Juliana Gruenwald; Heather Phillips; Jim Wasilewski
Subject: Fwd: Plan B: a small proposed edit to the press release
Date: Friday, March 14, 2014 12:00:45 PM

This looks OK to me. You all ok?

Other Agency - OSTP



From:	Heather Phillips
To:	Larry Strickling; Fiona Alexander
Cc:	Jade Nester; Juliana Gruenwald
Subject:	blog - incorporating LES edits
Date:	Tuesday, March 18, 2014 2:26:42 PM
Attachments:	Not Responsive .

Please read through to be sure I've captured everything you wanted. Thanks

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

1 Page

Withheld in their entirety as
Not Responsive to the Request.

From:	Fiona Alexander
To:	Jamie Hedlund (jamie.hedlund@icann.org); Theresa Swinehart; brad.white@icann.org; Duncan Burns (duncan.burns@icann.org)
Cc:	Heather Phillips; Juliana Gruenwald
Subject:	Most recent version of press release
Date:	Friday, March 14, 2014 2:54:59 PM
Attachments:	ICANN-release-final-03.14.14.docx
Importance:	High

Hey this is what we think is final if not close. Take a quick look. Also can we see what your announcement looks like now. Thanks.

NTIA Announces Intent to Transition Key Internet Domain Name Functions

WASHINGTON – To support and enhance the multistakeholder model of Internet policymaking and governance, the U.S. Commerce Department's National Telecommunications and Information Administration (NTIA) today announces its intent to transition key Internet domain name functions to the global multistakeholder community. As the first step, NTIA is asking the Internet Corporation for Assigned Names and Numbers (ICANN) to convene global stakeholders to develop a proposal to transition the current unique role played by NTIA in the coordination of the Internet's domain name system (DNS).

NTIA's responsibility includes the procedural role of administering changes to the authoritative root zone file – the database containing the lists of names and addresses of all top-level domains – as well as serving as the historic steward of the DNS. NTIA currently contracts with ICANN to carry out the Internet Assigned Numbers Authority (IANA) functions and has a Cooperative Agreement with VeriSign under which it performs related root zone management functions. Transitioning NTIA out of its role marks the final phase of the privatization of the DNS as outlined by the U.S. Government in 1997.

"The timing is right to start the transition process," said Assistant Secretary of Commerce for Communications and Information Lawrence E. Strickling. "We look forward to ICANN's convening stakeholders across the global Internet community to craft an appropriate transition plan."

ICANN is uniquely positioned, as both the current IANA functions contractor and the global coordinator for the DNS, as the appropriate party to convene the multistakeholder process to develop the transition plan. NTIA has informed ICANN that it expects that in the development of the proposal, ICANN will work collaboratively with the directly affected parties, including the Internet Engineering Task Force (IETF), the Internet Architecture Board (IAB), the Internet Society (ISOC), the Regional Internet Registries (RIRs), top level domain name operators, VeriSign, and other interested global stakeholders.

NTIA has communicated to ICANN 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 expectation of the global customers and partners of the IANA services; and,
- Maintain the openness of the Internet.

Consistent with the clear policy expressed in bipartisan resolutions of the U.S. Senate and House of Representatives (S.Con.Res.50 and H.Con.Res.127), which affirmed the United States support for the multistakeholder model of Internet governance, NTIA will not

accept a proposal that replaces the NTIA role with a government-led or an inter-governmental organization solution.

From the inception of ICANN, the U.S. Government and Internet stakeholders envisioned that the U.S. role in the IANA functions would be temporary. The Commerce Department's June 10, 1998 *Statement of Policy*[1] stated that the U.S. Government "is committed to a transition that will allow the private sector to take leadership for DNS management." ICANN as an organization has matured and taken steps in recent years to improve its accountability and transparency and its technical competence. At the same time, international support continues to grow for the multistakeholder model of Internet governance as evidenced by the continued success of the Internet Governance Forum and the resilient stewardship of the various Internet institutions. The open and inclusive organization of the upcoming *NETmundial* conference in Brazil provides further evidence of the broad and increasing participation of all stakeholders across a range of governance forums.

While stakeholders work through the ICANN-convened process to develop a transition proposal, NTIA's current role will remain unchanged. The current IANA functions contract expires September 30, 2015.

For further information see: (LINK TO Q&A)

About NTIA

NTIA is the Executive Branch agency that advises the President on telecommunications and information policy issues. NTIA's programs and policymaking focus largely on expanding broadband Internet access and adoption in America, expanding the use of spectrum by all users, and ensuring that the Internet remains an engine for continued innovation and economic growth. To find out more about NTIA, visit www.ntia.doc.gov.

[1] http://www.ntia.doc.gov/files/ntia/publications/6_5_98dns.pdf

From:	Heather Phillips
To:	Jim Wasilewski; Jade Nester; Juliana Gruenwald; Vernita D. Harris; Vernita D. Harris; Angela Simpson
Cc:	Joelle Tessler
Subject:	mythbusters
Date:	Friday, March 21, 2014 2:37:30 PM
Attachments:	Not Responsive

Attached is the mythbusters document. Please include any edits/additions in redline.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Heather Phillips
To:	William Severe
Cc:	Juliana Gruenwald
Subject:	Press release and Q&A
Date:	Friday, March 14, 2014 4:35:21 PM
Attachments:	ICANN-release-final-03 14 14 (2) eop.docx QA - IANA-for web (2) eop.docx

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Bill, Please go ahead and get this set up but don't post until we give you the go ahead. Press release and a link at the bottom to the Q&A. (Please insert the link into the press release)

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

IANA Functions and Related Root Zone Management
Transition Questions and Answers

Q. What is the Domain Name System?

A. The Domain Name System (DNS) is a critical component of the Internet infrastructure. It allows users to identify websites, mail servers and other Internet destinations using easy-to-understand names (e.g.,www.ntia.doc.gov) rather than the numeric network addresses (e.g., 170.110.225.163) necessary to retrieve information on the Internet.

Q. What are the IANA functions?

A. The Internet Assigned Numbers Authority (IANA) functions are a set of interdependent technical functions that enable the continued efficient operation of the Internet. The IANA functions include: (1) the coordination of the assignment of technical Internet protocol parameters; (2) the processing of change requests to the authoritative root zone file of the DNS and root key signing key (KSK) management; (3) the allocation of Internet numbering resources; and (4) other services related to the management of the ARPA and INT top-level domains (TLDs).

Q. What are the related root zone management functions?

A. The related root zone management functions are the management of the root zone "zone signing key" (ZSK), as well as implementation of changes to and distribution of the DNS authoritative root zone file, which is the authoritative registry containing the lists of names and addresses for all top level domains, effectively the Internet's phone book.

Q. Who performs the IANA functions?

A. The IANA functions are performed by the Internet Corporation for Assigned Names and Numbers (ICANN) pursuant to a contract administered by NTIA.

Q. Who performs the related root zone management functions?

A. VeriSign performs the related root zone management functions pursuant to a cooperative agreement with NTIA.

Q. What impact does this announcement have on the cooperative agreement with Verisign?

A. Aspects of the IANA functions contract are inextricably intertwined with the VeriSign cooperative agreement (i.e., authoritative root zone file management), which would require that NTIA coordinate a related and parallel transition in these responsibilities.

Q. What is NTIA's role?

A. NTIA's role includes the procedural role of administering changes to the authoritative root zone file and serving as the historic steward of the DNS, a role that has helped provide confidence in the system. NTIA contracts with ICANN to carry out the IANA functions and has a cooperative agreement with VeriSign to perform the related root zone management functions. NTIA's role is largely symbolic. NTIA has no operational role and does not initiate changes to the authoritative root zone file, assignment of protocol numbers, or allocation of Internet numbering resources.

Q. How did NTIA get involved?

A. The IANA functions were initially performed under a series of contracts between the Department of Defense's Advanced Research Projects Agency (DARPA) and the University of Southern California (USC), as part of a research project known as the Terranode Network Technology (TNT). The role was delegated to NTIA when President Clinton issued a directive in 1997 to privatize and internationalize the coordination of the DNS.

Q. What was the purpose of NTIA's role?

A. NTIA's role has been to smooth the transition of the IANA functions to the global multistakeholder community. NTIA's role was always meant to be a temporary and transitional role only with the goal of completing the transition by 2000.

Q. Why is the United States initiating this transition now?

A. ICANN as an organization has matured and taken steps in recent years to improve its accountability and transparency and its technical competence. At the same time, international support continues to grow for the multistakeholder model of Internet governance as evidenced by the continued success of the Internet Governance Forum and the resilient stewardship of the various Internet institutions.

Q. Are the legacy top level domains associated with U.S. Government (e.g., .mil., .gov, .edu) part of this transition?

A. No, the operation of and responsibility for the three remaining legacy top level domains associated with the U.S. Government specifically .mil, .gov, and .edu are not impacted by this transition as they are not part of the IANA and related root zone management functions.

Q. What will be the role of governments in developing the transition proposal?

A. Like other stakeholders that are part of the ICANN multistakeholder model, we expect governments will have an opportunity to provide input either via ICANN's Governmental Advisory Committee (GAC) or as individual governments. NTIA will not accept a proposal that replaces the NTIA role with a government or an inter-governmental organization solution.

Q. What impact does this announcement have on NTIA's current role?

A. While stakeholders work through the ICANN-convened process to develop a transition proposal, NTIA's current role will remain unchanged. The current IANA functions contract expires September 30, 2015.

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WASHINGTON – To support and enhance the multistakeholder model of Internet policymaking and governance, the U.S. Commerce Department's National Telecommunications and Information Administration (NTIA) today announces its intent to transition key Internet domain name functions to the global multistakeholder community. As the first step, NTIA is asking the Internet Corporation for Assigned Names and Numbers (ICANN) to convene global stakeholders to develop a proposal to transition the current role played by NTIA in the coordination of the Internet's domain name system (DNS).

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"The timing is right to start the transition process," said Assistant Secretary of Commerce for Communications and Information Lawrence E. Strickling. "We look forward to ICANN convening stakeholders across the global Internet community to craft an appropriate transition plan."

ICANN is uniquely positioned, as both the current IANA functions contractor and the global coordinator for the DNS, as the appropriate party to convene the multistakeholder process to develop the transition plan. NTIA has informed ICANN that it expects that in the development of the proposal, ICANN will work collaboratively with the directly affected parties, including the Internet Engineering Task Force (IETF), the Internet Architecture Board (IAB), the Internet Society (ISOC), the Regional Internet Registries (RIRs), top level domain name operators, VeriSign, and other interested global stakeholders.

NTIA has communicated to ICANN 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 expectation of the global customers and partners of the IANA services; and,
- Maintain the openness of the Internet.

Consistent with the clear policy expressed in bipartisan resolutions of the U.S. Senate and House of Representatives (S.Con.Res.50 and H.Con.Res.127), which affirmed the United States support for the multistakeholder model of Internet governance, NTIA will not

accept a proposal that replaces the NTIA role with a government-led or an inter-governmental organization solution.

From the inception of ICANN, the U.S. Government and Internet stakeholders envisioned that the U.S. role in the IANA functions would be temporary. The Commerce Department's June 10, 1998 *Statement of Policy*[1] stated that the U.S. Government "is committed to a transition that will allow the private sector to take leadership for DNS management." ICANN as an organization has matured and taken steps in recent years to improve its accountability and transparency and its technical competence. At the same time, international support continues to grow for the multistakeholder model of Internet governance as evidenced by the continued success of the Internet Governance Forum and the resilient stewardship of the various Internet institutions.

While stakeholders work through the ICANN-convened process to develop a transition proposal, NTIA's current role will remain unchanged. The current IANA functions contract expires September 30, 2015.

For further information see: (LINK TO Q&A)

About NTIA

NTIA is the Executive Branch agency that advises the President on telecommunications and information policy issues. NTIA's programs and policymaking focus largely on expanding broadband Internet access and adoption in America, expanding the use of spectrum by all users, and ensuring that the Internet remains an engine for continued innovation and economic growth. To find out more about NTIA, visit www.ntia.doc.gov.

[1] http://www.ntia.doc.gov/files/ntia/publications/6_5_98dns.pdf

From:	Vint Cerf
To:	Fiona Alexander
Cc:	Fadi Chehade; Steve Crocker; Larry Strickling; Heather Phillips; Theresa Swinehart; Juliana Gruenwald
Subject:	RE: Language of NTIA FAQ
Date:	Sunday, March 16, 2014 7:24:53 PM

I asked DOD to get in touch with NTIA before usingvtheir FAQ. V

On Mar 16, 2014 6:57 PM, "Fiona Alexander" <FAlexander@ntia.doc.gov> wrote:

> That's not part of the FAQ on the NTIA website. Below is what's posted on the NTIA website. It seems Vint you have gotten a hold of an internal DOD document that is not part of our interagency process so it's nothing we have seen or cleared on. Perhaps it's something they are using internally to answer questions. I agree of course it's incorrect but it's not part of the White House approved package.
>
> Q. Are the legacy top level domains associated with U.S. Government (e.g., .mil., .gov, .edu) part of this transition?
>
> A. No, the operation of and responsibility for the three remaining legacy top level domains associated with the U.S. Government specifically .mil, .gov, and .edu are not impacted by this transition as they are not part of the IANA and related root zone management functions.
>
> _____
> From: Larry Strickling
> Sent: Sunday, March 16, 2014 6:47 PM
> To: Vint Cerf; Fadi Chehadé; Steve Crocker; Theresa Swinehart
> Cc: Fiona Alexander; Heather Phillips; Juliana Gruenwald
> Subject: RE: Language of NTIA FAQ
>
> I agree. Adding Fiona and our press staff to see what we can do to fix.
>
> _____
> From: Vint Cerf [vint@google.com]
> Sent: Sunday, March 16, 2014 5:24 PM
> To: Fadi Chehadé; Steve Crocker; Theresa Swinehart; Larry Strickling
> Subject: Language of NTIA FAQ
>
> I have been given a DoD version of the NTIA FAQ and there is language in it that I consider to be extremely misleading and potentially hazardous. My comments are at "MA1". Here is a sample:
>
> Q. How does the Department of Commerce announcement on transition of Internet management of IANA Functions and related root zone management affect DoD?
>
> A. The Department of Commerce has clearly stated that this transition will not affect the legacy .mil domain or the security and stability of the Internet. We will continue to work closely with the Department of Commerce and the interagency to ensure our equities in internet operations are protected as this transition to a new entity[MA1] is proceeding.
>
> _____
>
> [MA1]This is a misleading statement. There is no “new entity” unless one means

“replacement for the function of NTIA” and in that case it is a PROCESS not a new entity that will be formed with the leadership of ICANN. ICANN is charged with developing a framework for transparency, accountability and the other desiderata outlined by NTIA in its announcement.

Talk of a New Entity will or perhaps has already created expectations that some new institution will be created to oversee ICANN. I think this is jumping way ahead of where we are now and offers all kinds of fantasies for ITU and state actors to create speculative trouble.

It is possible that the DOD has edited the NTIA FAQ is this confusing way but if this is how NTIA has chosen to express the plans, I must report that this leaves me quite concerned.

vint

3 Pages

Withheld in its entirety pursuant for Referral to Another Agency

From: Jade Nester
To: John Morris
Subject: Fwd: [ITAC] NTIA speaks out
Date: Monday, March 17, 2014 10:57:19 PM

Sent from my Verizon Wireless 4G LTE smartphone

-------- Original message --------
From: Fiona Alexander
Date:03/17/2014 8:45 PM (GMT-05:00)
To: Larry Strickling ,Heather Phillips ,Juliana Gruenwald
Cc: Jade Nester ,"Cyril J. Dadd"
Subject: FW: [ITAC] NTIA speaks out

Interesting post on the ITAC list today. It's a good reminder of how the system works and that it's completely voluntary. Karl was on the ICANN Board in the very early days.

_____
From: ITAC List for EB/CIP/MA [ITAC@LMLIST.STATE.GOV] On Behalf Of Karl Auerbach [karl@CAVEBEAR.COM]
Sent: Monday, March 17, 2014 8:27 PM
To: ITAC@LMLIST.STATE.GOV
Subject: Re: [ITAC] NTIA speaks out

I've been watching this thread with a great deal of interest.

First, I want to say that I am very glad that my government has this channel through which interested and informed people can help our State Department work through some very complicated and unique matters.

My own goal here is to discuss not to dictate. I know that I am wrong on things at least as often as I am right; so I hope only to put a few suggested ingredients onto the table and trust to our collective wisdom to pick among the choices and cook a stew that we all can abide.

One of the things that I have observed in these matters is that we are all victims of ambiguities of language and understanding. My own experience has told me that many disagreements can be resolved or reduced by clarifying our terms.

A few months back I suggested that we might do well to understand what we mean by the word "internet". It was useful that several people posted definitions that they use. I don't think we have reached closure on that matter, but I know that I, at least, have a better understanding.

Another area that is illustrated Bill Manning's comments is that we tend to think of matters of internet governance in terms of hard mandates rather than soft nudges.

Let me try to illustrate by using DNS as an example.

We tend to think of ICANN as "governing" the domain name system. But how firmly grounded, or rather, how mandatory is that governance?

In the current scheme of things ICANN accumulates and manages a set of

top level domains that it allocates via a contractual hierarchy (subject to California copyright laws) with various operators (called "registries" and "registrars".) ICANN does not publish this set of top level domains directly. Rather it passes that set via the US Dep't of Commerce agency NTIA.

NTIA presumably has power to reject that set or to change it. That power is more latent and theoretical than day-to-day practice, but we ought not to forget that it exists and recognize that such decisions might be subject to various administrative practices and sections of the US Code.

But NTIA does not itself publish the results of its handling of the set of top level domains. Rather, it subcontracts that task to Verisign where there set is turned into an actual textual "zone file" that meets the internet specifications for such files. (As of today that file has 6413 lines of material, about half a megabyte.)

That file is published via a server maintained by Verisign. But the clients of that server are not internet users, rather the clients are 13 sets of systems run by a loose confederation called the root server operators.

As far as I am aware there are not contracts or other vehicles to mandate that the root server operators pull that root zone file from the Verisign server or that the root server operators use that file without change. Over the history of the internet this discretion on the part of the root server operators has never been led them to go outside of the routine practice. (The conservative and sensible practices of this group often go unremarked, under appreciated, and unthanked.) But just like NTIA's latent powers, the powers of the root server operators to make changes do exist.

There is no mandate in law that requires that internet users or ISPs use the services of the root server operators. Internet users or ISPs are free to create their own DNS hierarchy or, as is more typical, to append to it. (Such as is done by Bitcoin or companies that use .local or .corp as top level domains.)

The outcome of all of this is that we have a system that is very squishy - it is hard to exert mandatory authority over the internet's domain name system. (And, in fact, it is wrong to think that there is only one such system - there could be a many of them. The big issue is not really that there could be many but, rather, that they could be in conflict and that innocent users could be confused and damaged.)

The changes being proposed by NTIA will take NTIA (and perhaps Verisign) out of the cycle of processing and publishing root zone files. But it does nothing to change the discretionary position of root server operators, ISP's, and users to accept, reject, or modify whatever that root zone file might contain.

The point of this long note is that we (I am speaking as "the USA") might find it best to consider internet policy more as a kind of nudging, or leading through good example, rather than as something hard and solid like a hard obligation derived from a treaty or international agreement or coordinated national laws.

We may find, and I believe we will find, that an internet that is held together by goodwill will be stronger than an internet that is held

together by iron laws and treaties. The flexibility that comes from soft governance, I suggest, will better induce innovation as well as give enough stretch to allow emergency needs - such as ad hoc networking during disasters or political upheavals (such as Arab Spring.)

I think that the fears expressed by David R. and Tony R. arise from a concern that in the past many government policies have tended towards hard and inflexible kinds of governance that, in turn, tend to strangle innovation and lock down the status quo.

I tend to agree with that point of view - I see the internet as still a partially opened bud that could have many more decades of innovation and growth yet to come - we don't want to pluck it too soon.

--karl--

From:	Heather Phillips
To:	Larry Strickling; Fiona Alexander
Cc:	Juliana Gruenwald; Jade Nester
Subject:	ICANN blog
Date:	Tuesday, March 18, 2014 12:23:57 PM
Attachments:	Not Responsive
Importance:	High

Attached is a draft blog to post under Larry's name. If possible, I'll see if DOC will run it on their blog as a guest post. If not, ours.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

1 Page

Withheld in their entirety as
Not Responsive to the Request.

From: Juliana Gruenwald
To: Heather Phillips
Subject: RE: OpEd on IANA from Amb Sepulveda
Date: Wednesday, March 19, 2014 3:35:00 PM
Attachments: image001.png
image002.png
image003.png
image004.png

Mostly lawyers. But maybe Bloomberg would pick up. I don't know.

From: Heather Phillips
Sent: Wednesday, March 19, 2014 3:34 PM
To: Juliana Gruenwald
Subject: Fwd: OpEd on IANA from Amb Sepulveda

What do you think. Who the heck even sees?

Sent from my iPad

Begin forwarded message:

Other Agency - Dept. of State

From: Heather Phillips [mailto:HPhillips@ntia.doc.gov]
Sent: Wednesday, March 19, 2014 3:30 PM
To: Finver, Frank J; Jea, Dana M; Juliana Gruenwald
Subject: RE: OpEd on IANA from Amb Sepulveda

If the target is the hill, another suggestion is "The Hill" ☺

Other Agency - Dept. of State

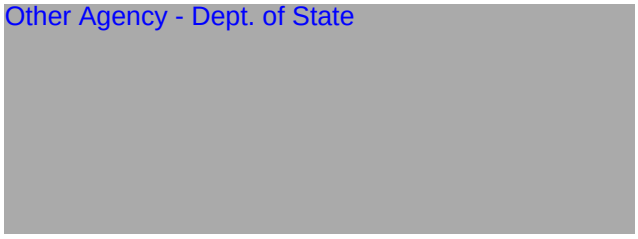
From: Heather Phillips [mailto:HPhillips@ntia.doc.gov]
Sent: Wednesday, March 19, 2014 3:25 PM
To: Finver, Frank J; Jea, Dana M; Juliana Gruenwald
Subject: RE: OpEd on IANA from Amb Sepulveda

Or maybe even Huffington?

From: Heather Phillips [mailto:HPhillips@ntia.doc.gov]
Sent: Wednesday, March 19, 2014 3:16 PM
To: Finver, Frank J; Jea, Dana M; Juliana Gruenwald
Subject: RE: OpEd on IANA from Amb Sepulveda

Frank, He is landing in London this evening for a bit and plans to review our edits when he lands. We are working through that right now. I expect that he will be able to clear something tonight. If not, then I'll let you know as soon as I hear. I know Larry already reached out to Sepulveda and said he was happy for them to do it jointly.

Thanks,
Heather



From: Heather Phillips [mailto:HPhillips@ntia.doc.gov]
Sent: Wednesday, March 19, 2014 1:07 PM
To: Jea, Dana M; Robinson, Laura A; Finver, Frank J; Juliana Gruenwald
Cc: Turner, Michael R
Subject: RE: OpEd on IANA from Amb Sepulveda

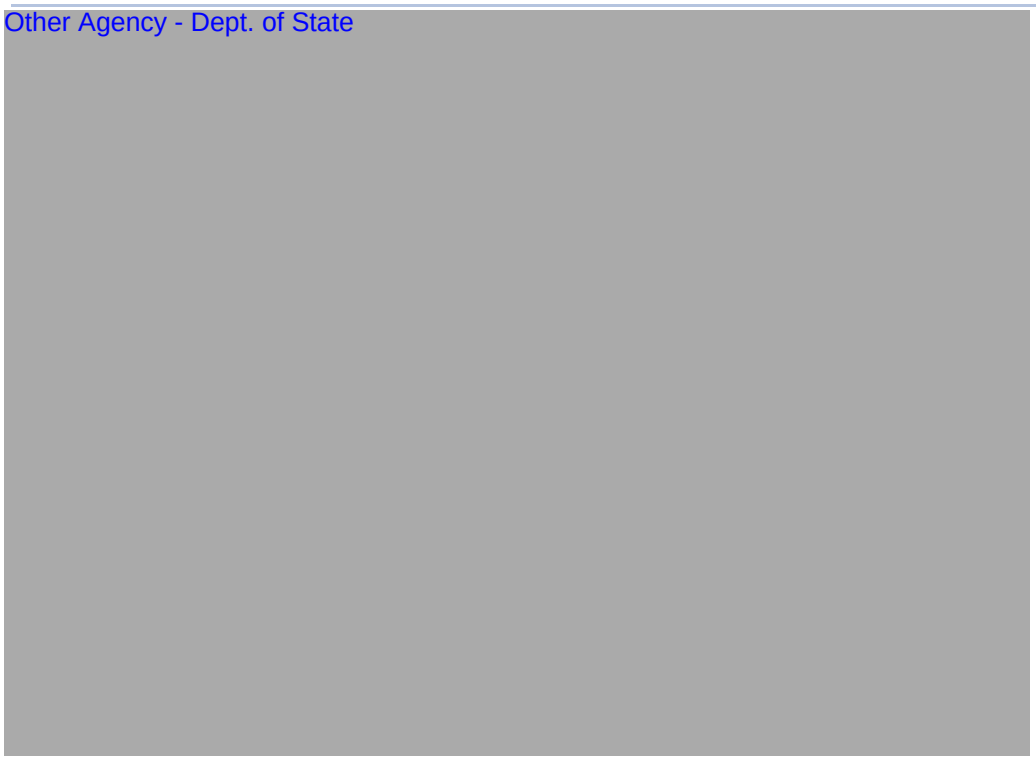
The NYT tweet is up

Other Agency - Dept. of State

From: Heather Phillips [mailto:HPhillips@ntia.doc.gov]
Sent: Wednesday, March 19, 2014 11:59 AM
To: Jea, Dana M; Finver, Frank J; Juliana Gruenwald; Robinson, Laura A
Cc: Turner, Michael R
Subject: RE: OpEd on IANA from Amb Sepulveda

We will tweet a link to NYT editorial as well. Worth spreading that support as well. Thanks!

Other Agency - Dept. of State



From: Heather Phillips [mailto:HPhillips@ntia.doc.gov]
Sent: Wednesday, March 19, 2014 11:41 AM
To: Finver, Frank J; Jea, Dana M; Juliana Gruenwald
Subject: RE: OpEd on IANA from Amb Sepulveda

Thanks, Frank. Please send over. FYI, we just put out a blog post today from Larry to highlight a lot of the support coming in, and restate the commitment to ensuring this doesn't end up being a transfer of control to government entity. Here's the link: http://www.ntia.doc.gov/blog/2014/promoting-internet-growth-and-innovation-through-multistakeholder-internet-governance

We've also tweeted the link, so would appreciate any retweets to promote. Thanks

Other Agency - Dept. of State

Other Agency - Dept. of State

From: Jade Nester
To: Angela Simpson
Cc: Heather Phillips; Juliana Gruenwald
Subject: Edits to State OpEd
Date: Wednesday, March 19, 2014 6:05:47 PM
Attachments: Not Responsive

Sorry for the extensive edits.

-jade

Jade Nester Gray
Senior Advisor to the Assistant Secretary
National Telecommunications and Information Administration
U.S. Department of Commerce
1.202.482.2560

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

Myth:

The United States Government controls the Internet through the Internet Assigned Numbers Authority (IANA) functions contract.

Fact:

There is **no one party** – government or industry, including the United States Government – that controls the Internet. The Internet is a decentralized network of networks.

The IANA functions are a set of interdependent technical functions that enable the continued efficient operation of the Internet. The IANA functions include: (1) the coordination of the assignment of technical Internet protocol parameters; (2) the processing of change requests to the authoritative root zone file of the DNS and root key signing key (KSK) management; (3) the allocation of Internet numbering resources; and (4) other services related to the management of the .ARPA and .INT top-level domains (TLDs).

ICANN as the IANA functions operator processes changes to three different databases. First, ICANN distributes the protocol parameters or Internet standards developed by the Internet Engineering Task Force (IETF). Second, it allocates IP numbers to the Regional Internet Registries (RIR) who then distribute IP numbers to Internet Service Providers. Third, ICANN processes change requests or updates to the authoritative root zone file or "address book" of the DNS from top level domain name operators – those companies or institutions that manage .com, .org, .us, .uk, etc. In all three cases ICANN's role is to implement the policies or requests at the direct instruction of the various IANA functions customers.

NTIA's role in the IANA functions includes the clerical role of administering changes to the authoritative root zone file and, more generally, serving as the historic steward of the DNS via the administration of the IANA functions contract. NTIA has never substituted its judgment for that of the IANA customers.

Myth:

The proposed transition has alarmed business leaders and others who rely on the smooth functioning of the Internet.

Fact:

A broad group of U.S. and international stakeholders – such as the U.S. Chamber of Commerce, AT&T, Cisco, Verizon, Comcast, and Google - have expressed strong support and pledged cooperation in this process.

Myth:

This transition is “giving the Internet to authoritarian regimes.”

Fact:

The U.S. Government has made it clear that we will not accept a proposal that replaces its role with a government or intergovernmental organization.

The criteria specified by the Administration firmly establish Internet governance as the province of multistakeholder institutions, rather than governments or intergovernmental institutions, and reaffirm our commitment to preserving the Internet as an engine for economic growth, innovation, and free expression.

The U.S. government will only transition its role if and when it receives it receives a satisfactory proposal to replace its role from the global Internet community — the same industry, technical, and civil society entities that have successfully managed the technical functions of Internet governance for nearly twenty years.

Myth:

With the U.S. withdrawal from stewardship over the IANA functions, the U.N.’s International Telecommunication Union will take over the Internet – making it easier for repressive regimes to censor speech online.

Fact:

The transition process that is underway will help **prevent** authoritarian countries from exerting too much influence over the Internet by putting control of key Internet domain name functions in the hands of the global community of Internet stakeholders — specifically industry, technical experts, and civil society — instead of an intergovernmental organization.

Myth:

This transition of the Internet Domain Name System (DNS) to the global multistakeholder community is meant to quell international criticism following disclosure of National Security Agency surveillance practices.

Fact:

This transition is part of a process set out sixteen years ago. The Administration believes the timing is right to start the transition process. ICANN as an organization has matured and taken steps in recent years to improve its accountability and transparency

and its technical competence. At the same time, international support continues to grow for the multistakeholder model.

Myth:

The United States has made an irreversible decision to transition NTIA's role when the current IANA contract ends in September 2015.

Fact:

Before any transition takes place, the businesses, civil society organizations and technical experts of the global Internet community must agree on a plan that supports and enhances the multistakeholder community; maintains the security, stability and resiliency of the Internet's domain name system; meets the needs and expectations of the global customers and partners of these services; and maintain the openness of the Internet.

We have made clear that the transition proposal must have broad community support and reflect the four key principles we outlined in our announcement. If the global multistakeholder community does not develop a plan that meets these criteria by Sept. 30, 2015, we can extend the contract for up to four years.

Myth:

ICANN is not up to the task of convening a process to develop a proposal to transition the current role.

Fact:

As both the current IANA functions contractor and as the global policy coordinator for the DNS, ICANN is uniquely positioned to convene a multistakeholder process to develop a plan to transition the USG role to the global multistakeholder community based on the specified criteria. ICANN held a number of productive sessions at its meeting in Singapore March 23-27 to initiate discussions among stakeholders on a transition plan.

Myth:

The Internet community is not up to the task of developing a proposal that will ensure the security and stability of the Internet.

Fact:

That very community has been responsible for operational Internet governance for most of the World Wide Web's existence. The highly resilient, distributed global system that

we call the Internet is itself a testament to their technical skills and effectiveness in coordinating a decentralized network of networks.

Myth:

The U.S. Government's action immediately affects the Internet.

Fact:

The U.S. role will remain unchanged until the global community develops a transition plan that incorporates the principles outlined in the U.S. Government's announcement. The average Internet user will not notice this process or eventual transition.

Myth:

The U.S. Government transition will lead to blocking of web sites.

Fact:

The Internet is not controlled by any one government or entity. It is a network of networks. The U.S. Government's role with respect to the Domain Name system is a technical one. Our work has been content neutral and policy and judgment free.

Free expression online exists and flourishes not because of U.S. Government oversight with respect to the Domain Name System, or because of any asserted special relationship that the U.S. has with ICANN. Instead, free expression is protected because of the open, decentralized nature of the Internet and the neutral manner in which the technical aspects of the Internet are managed.

We have made clear in our announcement of the transition that open, decentralized and non-governmental management of the Internet must continue.

From: Juliana Gruenwald
To: Heather Phillips
Subject: RE: Joint Strickling and Sepulveda OP-ED on recent USG announcement
Date: Friday, March 21, 2014 7:28:00 PM

Ok, Not R i, tweeted out the BNA op-ed and retweeted from my account. I'm signing off. Have a good night.

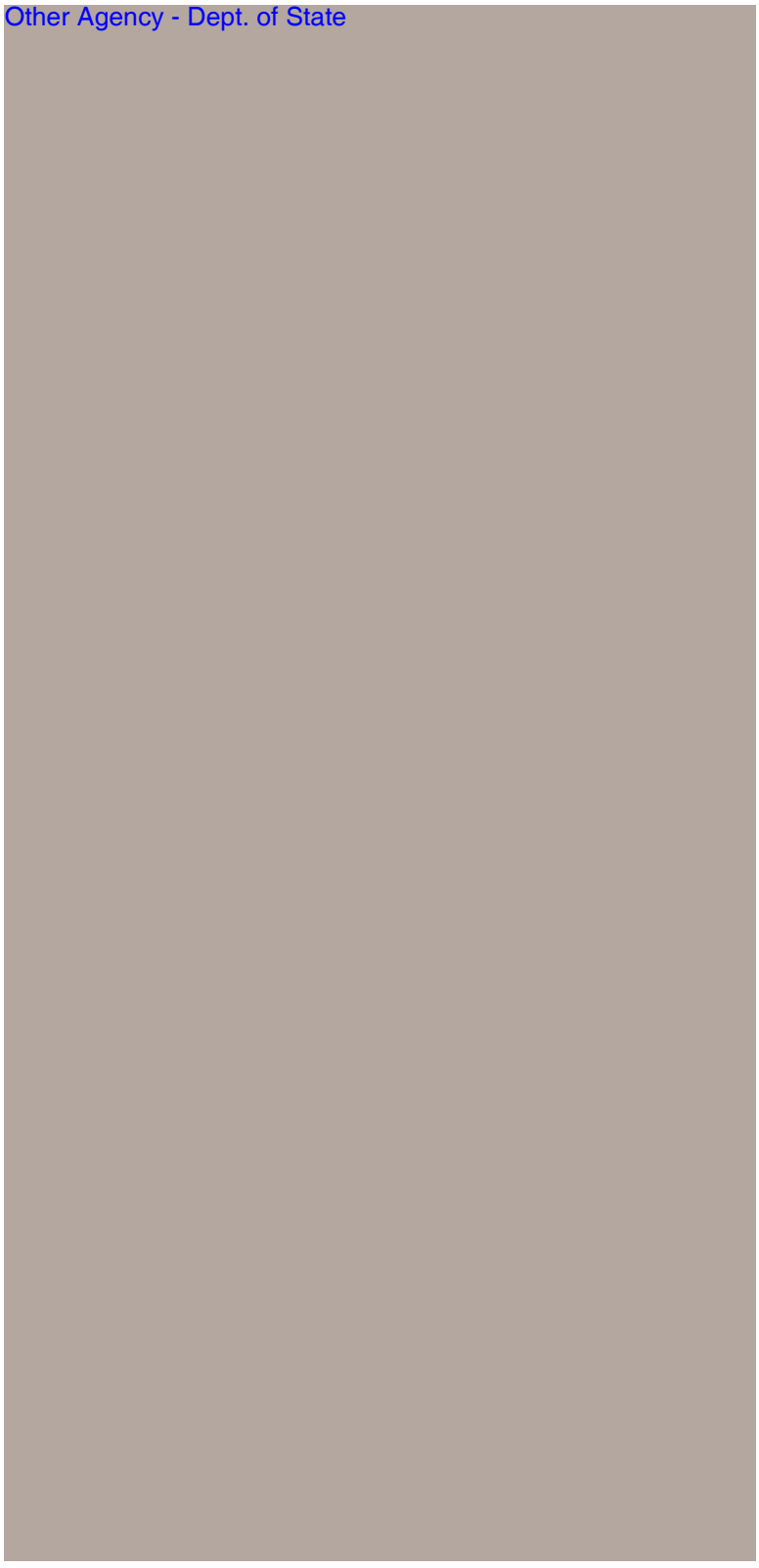
Not Responsive

On Mar 21, 2014, at 7:15 PM, "Juliana Gruenwald" <JGruenwald@ntia.doc.gov> wrote:

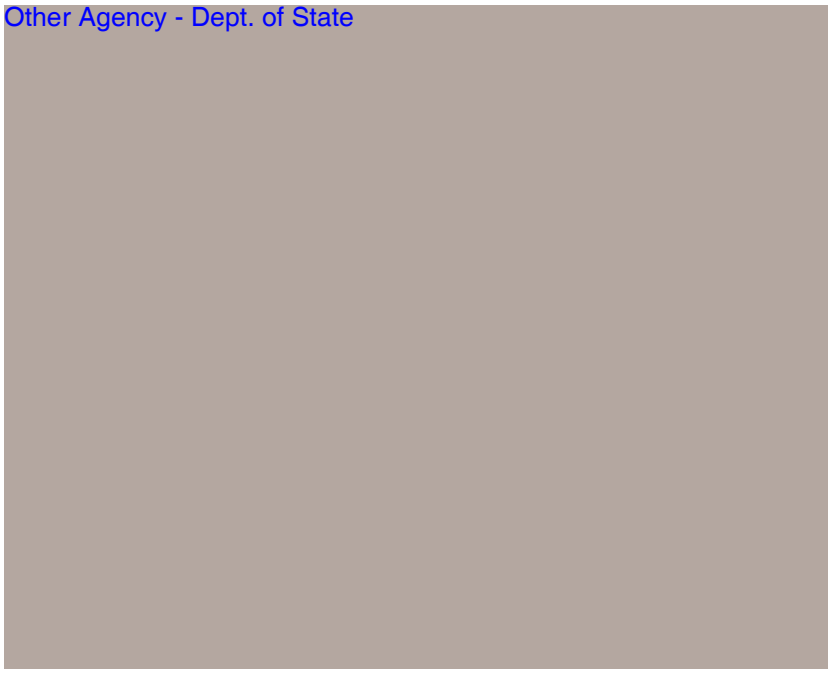
> Ok, I'll tweet out now and send out an email first thing Monday morning.
> Not Responsive
>
> **From:** Heather Phillips
> **Sent:** Friday, March 21, 2014 7:12 PM
> **To:** Juliana Gruenwald
> **Subject:** Re: Joint Strickling and Sepulveda OP-ED on recent USG announcement
> No. It would seem so lame. Let's just tweet or retweet link. Not Responsive
>
> Sent from my iPad

On Mar 21, 2014, at 7:02 PM, "Juliana Gruenwald" <JGruenwald@ntia.doc.gov> wrote:

> You want me to go ahead and send out to reporters even though its late?



Other Agency - Dept. of State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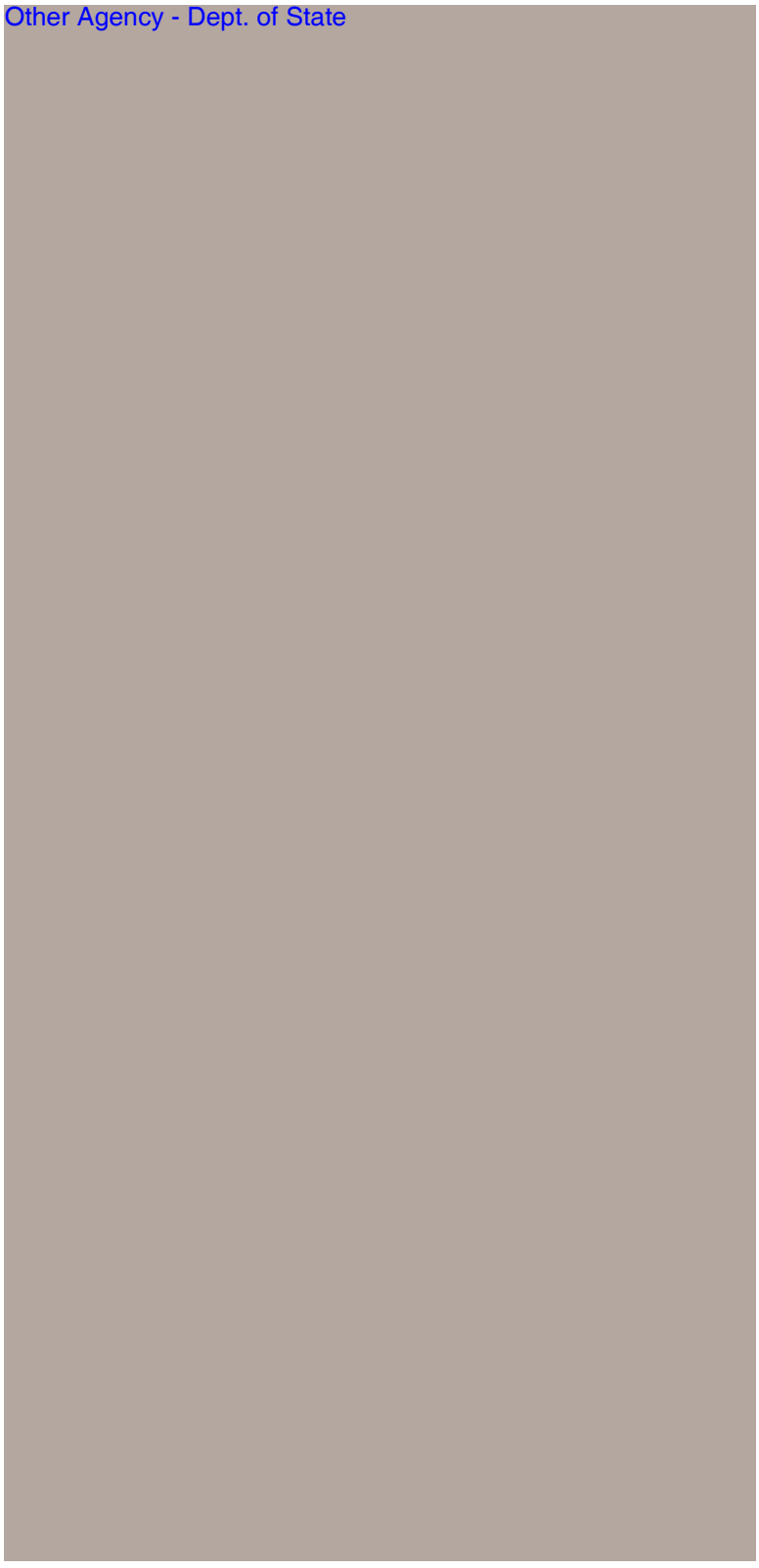
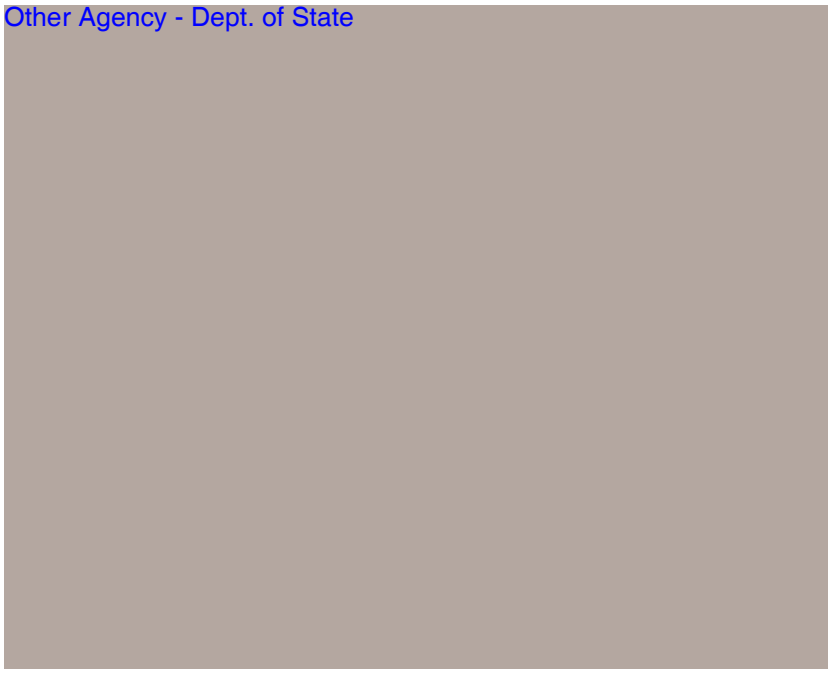


Other Agency - Dept. of State


Other Agency - Dept. of State

From:	Angela Simpson
To:	Larry Strickling; Heather Phillips; Juliana Gruenwald
Subject:	FW: mythbusters
Date:	Sunday, March 23, 2014 3:30:31 PM
Attachments:	Not Responsive

From: Juliana Gruenwald
Sent: Friday, March 21, 2014 2:52 PM
To: Heather Phillips; Jim Wasilewski; Jade Nester; Vernita D. Harris; Vernita D. Harris; Angela Simpson
Cc: Joelle Tessler
Subject: RE: mythbusters

My edits are attached.

From: Heather Phillips
Sent: Friday, March 21, 2014 2:37 PM
To: Jim Wasilewski; Jade Nester; Juliana Gruenwald; Vernita D. Harris; Vernita D. Harris; Angela Simpson
Cc: Joelle Tessler
Subject: mythbusters

Attached is the mythbusters document. Please include any edits/additions in redline.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Heather Phillips
To:	Jade Nester; Jim Wasilewski; Juliana Gruenwald; Angela Simpson
Subject:	myth busters
Date:	Sunday, March 23, 2014 6:19:06 PM
Importance:	High

Heads up -- I'm making some additions to the myth busters document that Larry wants us to send his way tonight in preparation for a Q&A that we're doing with Politico at 9 a.m. tomorrow morning. I will be done by 7 and will send along. Please send any edits back to me by 9 p.m. if at all possible. I will incorporate and send to Larry. Thanks.

From: Heather Phillips
To: Angela Simpson; Jade Nester; Juliana Gruenwald; Jim Wasilewski
Subject: myths and realities, version 2
Date: Sunday, March 23, 2014 6:45:07 PM
Attachments: Not Responsive

Please take a look at this version. I went through our reactive Q&A and made sure some of our answers were consistent with those. Please provide any input by 9 or earlier if at all possible. Send edits to the group. Thanks!

5 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Vernita D. Harris
To:	Juliana Gruenwald; Heather Phillips; Jim Wasilewski; Jade Nester; Angela Simpson
Cc:	Joelle Tessler
Subject:	RE: mythbusters
Date:	Monday, March 24, 2014 11:42:02 AM
Attachments:	Not Responsive

Edits from OIA attached.

From: Juliana Gruenwald
Sent: Friday, March 21, 2014 2:53 PM
To: Heather Phillips; Jim Wasilewski; Jade Nester; Vernita D. Harris; Vernita D. Harris; Angela Simpson
Cc: Joelle Tessler
Subject: RE: mythbusters

My edits are attached.

From: Heather Phillips
Sent: Friday, March 21, 2014 2:37 PM
To: Jim Wasilewski; Jade Nester; Juliana Gruenwald; Vernita D. Harris; Vernita D. Harris; Angela Simpson
Cc: Joelle Tessler
Subject: mythbusters

Attached is the mythbusters document. Please include any edits/additions in redline.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Evelyn Remaley
To: Vernita D. Harris; Ashley Heineman; Elizabeth Bacon; John Morris
Subject: RE: Myths and Realties
Date: Monday, March 24, 2014 11:01:08 AM
Attachments: Not Responsive

Some thoughts …
Evelyn

From: Vernita D. Harris
Sent: Monday, March 24, 2014 10:06 AM
To: Ashley Heineman; Elizabeth Bacon; Evelyn Remaley; John Morris
Subject: Myths and Realties
Importance: High

Please find a myths and realities document pertaining to our statement. Do you have any comments. Please provide by 11 am.

Sorry for the late notice.

Regards,
--Vernita

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Ashley Heineman
To: Vernita D. Harris; Elizabeth Bacon; Evelyn Remaley; John Morris
Subject: RE: Myths and Realties
Date: Monday, March 24, 2014 10:48:00 AM
Attachments: Not Responsive

Thanks Vernita. I appreciate the opportunity to review. Please find attached recommended edits. If more time was available, I could provide much more thorough input.

From: Vernita D. Harris
Sent: Monday, March 24, 2014 10:06 AM
To: Ashley Heineman; Elizabeth Bacon; Evelyn Remaley; John Morris
Subject: Myths and Realties
Importance: High

Please find a myths and realities document pertaining to our statement. Do you have any comments. Please provide by 11 am.

Sorry for the late notice.

Regards,
--Vernita

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From:	Heather Phillips
To:	Jim Wasilewski (jwasilewski@ntia.doc.gov)
Subject:	general TP document
Date:	Tuesday, March 25, 2014 10:33:00 AM
Attachments:	IANA-TPs-general-03 14 14.docx

This version has already cleared.

Heather Phillips
Director of Public Affairs
National Telecommunications and Information Administration (NTIA)
U.S. Department of Commerce
(202)482-0147

Talking Points on NTIA Transition of IANA Functions

- NTIA on March 14, 2014 announced its intent to transition key Internet domain name functions to the global multistakeholder community. As the first step, NTIA is asking ICANN to convene global stakeholders to develop a proposal to transition the current unique role played by NTIA in the coordination of the Internet's domain name system. This marks a major milestone towards the final phase of the privatization of the Domain Name System (DNS), which was first outlined by the U.S. Government in 1997.

- ICANN is uniquely positioned, as both the current IANA functions contractor and the global coordinator for the DNS, as the appropriate party to convene the multistakeholder process to develop the transition plan.

- NTIA has informed ICANN that it expects that in the development of the proposal, ICANN will work collaboratively with the directly affected parties, including the Internet Engineering Task Force (IETF), the Internet Architecture Board (IAB), the Internet Society (ISOC), the Regional Internet Registries (RIRs), top level domain name operators, VeriSign, and other interested global stakeholders.

- 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's domain name system;
    - meet the needs and expectations of the global customers and partners of IANA's services; and,
    - maintain the openness of the Internet.

- NTIA will not accept a proposal that replaces the NTIA role with government-led or an inter-governmental organization solution. That's consistent with the sentiment expressed in bipartisan resolutions of the U.S. Senate and House of Representatives, which affirmed the U.S. support for the multistakeholder model of Internet governance.

From:	Vernita D. Harris
To:	Cyril J. Dadd; Jim Wasilewski; Jade Nester; Angela Simpson; Heather Phillips; Juliana Gruenwald
Subject:	RE: ICANNQAfor DOC-hp-jw-hp.docx
Date:	Tuesday, March 25, 2014 5:48:28 PM
Attachments:	Not Responsive

Here are some comments for consideration to focus the text.

From: Cyril J. Dadd
Sent: Tuesday, March 25, 2014 4:07 PM
To: Jim Wasilewski; Jade Nester; Angela Simpson; Vernita D. Harris; Heather Phillips; Juliana Gruenwald
Subject: ICANNQAfor DOC-hp-jw-hp.docx

Looks good a few comments.

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Heather Phillips
To: Jim Wasilewski; Cyril J. Dadd; Jade Nester; Angela Simpson; Vernita D. Harris
Cc: Juliana Gruenwald
Subject: RE: Sec. Pritzker Hearing Prep Q&A, specific to IANA transition
Date: Tuesday, March 25, 2014 7:26:55 PM
Attachments: Not Responsive

Just a couple of minor edits attached

From: Jim Wasilewski
Sent: Tuesday, March 25, 2014 6:41 PM
To: Cyril J. Dadd; Jade Nester; Angela Simpson; Vernita D. Harris
Cc: Heather Phillips; Juliana Gruenwald
Subject: RE: Sec. Pritzker Hearing Prep Q&A, specific to IANA transition

I would like your comments (one last time) as soon as possible. I added a few questions/answers at the end of the document. Thank you for your review and comments! Much appreciated.

From: Jim Wasilewski
Sent: Tuesday, March 25, 2014 3:27 PM
To: Cyril J. Dadd; Jade Nester; Angela Simpson; Vernita D. Harris
Cc: Heather Phillips; Juliana Gruenwald
Subject: Sec. Pritzker Hearing Prep Q&A, specific to IANA transition
Importance: High

PLEASE REVIEW THESE QUESTIONS AND ANSWERS AND GET ME YOUR COMMENTS, EDITS BY **4:30 pm TODAY** if at all possible. I do not intend to bother those in Singapore about these questions/answers.

I appreciate OPA's assistance, specifically Joelle, in pulling together these draft questions/answers.

4 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: COVASSI Beatrice (EEAS-WASHINGTON)
To: Diane Steinour
Cc: Carney, Michael J; SPECTOR Jesse (EEAS-WASHINGTON)
Subject: RE: US- European Attaches Briefing ideas
Date: Thursday, March 27, 2014 2:43:14 PM

Thanks a lot Diane.
Let's go for **Friday 11 April at 3pm**. I have booked the room until 5 just to make sure.
I intend to invite all the digital and cybersecurity counselors as well as interested colleagues from EUDEL. Depending on numbers we can either use the DCM room (the one with the flags) or the larger press room.

Notional agenda looks great
Thanks
Bea

From: Diane Steinour [mailto:DSteinour@ntia.doc.gov]
Sent: Thursday, March 27, 2014 12:57 PM
To: COVASSI Beatrice (EEAS-WASHINGTON)
Cc: Carney, Michael J
Subject: US- European Attaches Briefing ideas

Hi Beatrice & Mike!

Just following up on Beatrice's request to pull together her colleagues with the USG to brief on the IANA transition announcement. I conferred with Fiona about her participating, and here is what we can propose.

Notional Agenda:
Not Responsive

- Privatizing DNS system: ICANN, now IANA
Not Responsive

Format: 1 to 1 ½ hours, roundtable or theater, closed session
Participants: From NTIA – Fiona Alexander and Diane Steinour; From State – Michael Carney or colleague; EU - ? Embassies - ?

Proposed Dates: (reflects Fiona's availability – multiple hearings next week)
April 2 - No all day
April 8 – Only between 2-6 PM
April 9 – Only 4:30-6 PM
April 10 – Only 4:00-6 PM
April 11 – 11:00 AM-6 PM
April 14 – Only 11:30 AM-1:00 PM
April 15 – 10:30 AM-1:00 PM; 2:00 PM-6:00 PM

April 16 – Only 4:30-6:00 PM
April 17 – Only 1:00-3:00 PM
[April 18 is Good Friday - ?embassies closed? Diane on leave]

Let me know your thoughts! All best, Diane

From:	Cyril J. Dadd
To:	Fiona Alexander; Jim Wasilewski; Heather Phillips; Juliana Gruenwald; Anthony G. Wilhelm; Angela Simpson
Cc:	Larry Strickling
Subject:	Hill Briefing package
Date:	Thursday, March 27, 2014 5:39:57 PM
Attachments:	Briefing package.docx

Attached is a package of materials I would like to hand out at our Hill meetings tomorrow. It is all public and previously-released material. Please let me know by 930am tomorrow if you have any concerns/edits/comments. Thanks.

IANA Transition
Background Briefing Package

Contents

NTIA Announces Intent to Transition Key Internet Domain Name Functions **2**

IANA Functions and Related Root Zone Management Transition Questions and Answers **4**

Blog Post: Promoting Internet Growth and Innovation Through Multistakeholder Internet Governance **7**

Politico Pro Q&A: NTIA's Larry Strickling on ICANN **9**

Op-Ed, "Celebrating and Protecting the Global Internet" **12**

News Clips **14**

Statements **17**

Published on *NTIA* (http://www.ntia.doc.gov)

NTIA Announces Intent to Transition Key Internet Domain Name Functions

FOR IMMEDIATE RELEASE:
March 14, 2014
News Media Contact:
NTIA, Office of Public Affairs, (202) 482-7002, press@ntia.doc.gov [5]

WASHINGTON – To support and enhance the multistakeholder model of Internet policymaking and governance, the U.S. Commerce Department's National Telecommunications and Information Administration (NTIA) today announces its intent to transition key Internet domain name functions to the global multistakeholder community. As the first step, NTIA is asking the Internet Corporation for Assigned Names and Numbers (ICANN) to convene global stakeholders to develop a proposal to transition the current role played by NTIA in the coordination of the Internet's domain name system (DNS).

NTIA's responsibility includes the procedural role of administering changes to the authoritative root zone file – the database containing the lists of names and addresses of all top-level domains – as well as serving as the historic steward of the DNS. NTIA currently contracts with ICANN to carry out the Internet Assigned Numbers Authority (IANA) functions and has a Cooperative Agreement with Verisign under which it performs related root zone management functions. Transitioning NTIA out of its role marks the final phase of the privatization of the DNS as outlined by the U.S. Government in 1997.

"The timing is right to start the transition process," said Assistant Secretary of Commerce for Communications and Information Lawrence E. Strickling. "We look forward to ICANN convening stakeholders across the global Internet community to craft an appropriate transition plan."

ICANN is uniquely positioned, as both the current IANA functions contractor and the global coordinator for the DNS, as the appropriate party to convene the multistakeholder process to develop the transition plan. NTIA has informed ICANN that it expects that in the development

of the proposal, ICANN will work collaboratively with the directly affected parties, including the Internet Engineering Task Force (IETF), the Internet Architecture Board (IAB), the Internet Society (ISOC), the Regional Internet Registries (RIRs), top level domain name operators, VeriSign, and other interested global stakeholders.

NTIA has communicated to ICANN 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 expectation of the global customers and partners of the IANA services; and,
- Maintain the openness of the Internet.

Consistent with the clear policy expressed in bipartisan resolutions of the U.S. Senate and House of Representatives (S.Con.Res.50 and H.Con.Res.127), which affirmed the United States support for the multistakeholder model of Internet governance, NTIA will not accept a proposal that replaces the NTIA role with a government-led or an inter-governmental organization solution.

From the inception of ICANN, the U.S. Government and Internet stakeholders envisioned that the U.S. role in the IANA functions would be temporary. The Commerce Department's June 10, 1998 *Statement of Policy* [6] stated that the U.S. Government "is committed to a transition that will allow the private sector to take leadership for DNS management." ICANN as an organization has matured and taken steps in recent years to improve its accountability and transparency and its technical competence. At the same time, international support continues to grow for the multistakeholder model of Internet governance as evidenced by the continued success of the Internet Governance Forum and the resilient stewardship of the various Internet institutions.

While stakeholders work through the ICANN-convened process to develop a transition proposal, NTIA's current role will remain unchanged. The current IANA functions contract expires September 30, 2015.

For further information see: IANA Functions and Related Root Zone Management Transition Questions and Answers [7]

About NTIA

NTIA is the Executive Branch agency that advises the President on telecommunications and information policy issues. NTIA's programs and policymaking focus largely on expanding broadband Internet access and adoption in America, expanding the use of spectrum by all users, and ensuring that the Internet remains an engine for continued innovation and economic growth. To find out more about NTIA, visit www.ntia.doc.gov [8].

Published on *NTIA* (http://www.ntia.doc.gov)

IANA Functions and Related Root Zone Management Transition Questions and Answers

Date:
March 18, 2014

Q. What is the Domain Name System?

A. The Domain Name System (DNS) is a critical component of the Internet infrastructure. It allows users to identify websites, mail servers and other Internet destinations using easy-to-understand names (e.g.,www.ntia.doc.gov) rather than the numeric network addresses (e.g., 170.110.225.163) necessary to retrieve information on the Internet.

Q. What are the IANA functions?

A. The Internet Assigned Numbers Authority (IANA) functions are a set of interdependent technical functions that enable the continued efficient operation of the Internet. The IANA functions include: (1) the coordination of the assignment of technical Internet protocol parameters; (2) the processing of change requests to the authoritative root zone file of the DNS and root key signing key (KSK) management; (3) the allocation of Internet numbering resources; and (4) other services related to the management of the ARPA and INT top-level domains (TLDs).

Q. What are the related root zone management functions?

A. The related root zone management functions are the management of the root zone "zone signing key" (ZSK), as well as implementation of changes to and distribution of the DNS authoritative root zone file, which is the authoritative registry containing the lists of names and addresses for all top level domains, effectively the Internet's phone book.

Q. Who performs the IANA functions?

A. The IANA functions are performed by the Internet Corporation for Assigned Names and Numbers (ICANN) pursuant to a contract administered by NTIA.

Q. Who performs the related root zone management functions?

A. VeriSign performs the related root zone management functions pursuant to a cooperative agreement with NTIA.

Q. What impact does this announcement have on the cooperative agreement with Verisign?

A. Aspects of the IANA functions contract are inextricably intertwined with the VeriSign cooperative agreement (i.e., authoritative root zone file management), which would require that NTIA coordinate a related and parallel transition in these responsibilities.

Q. What is NTIA's role?

A. NTIA's role includes the procedural role of administering changes to the authoritative root zone file and serving as the historic steward of the DNS, a role that has helped provide confidence in the system. NTIA contracts with ICANN to carry out the IANA functions and has a cooperative agreement with VeriSign to perform the related root zone management functions. NTIA's role is largely symbolic. NTIA has no operational role and does not initiate changes to the authoritative root zone file, assignment of protocol numbers, or allocation of Internet numbering resources.

Q. How did NTIA get involved?

A. The IANA functions were initially performed under a series of contracts between the Department of Defense's Advanced Research Projects Agency (DARPA) and the University of Southern California (USC), as part of a research project known as the Terranode Network Technology (TNT). The role was delegated to NTIA when President Clinton issued a directive in 1997 to privatize and internationalize the coordination of the DNS.

Q. What was the purpose of NTIA's role?

A. NTIA's role has been to smooth the transition of the IANA functions to the global multistakeholder community. NTIA's role was always meant to be a temporary and transitional role only with the goal of completing the transition by 2000.

Q. Why is the United States initiating this transition now?

A. ICANN as an organization has matured and taken steps in recent years to improve its accountability and transparency and its technical competence. At the same time, international support continues to grow for the multistakeholder model of Internet governance as evidenced by the continued success of the Internet Governance Forum and the resilient stewardship of the various Internet institutions.

Q. What is the impact on the Affirmation of Commitments??

A. The Affirmation of Commitments reaffirms commitments relating to the global technical coordination of the DNS, and provides for global multistakeholder reviews of various aspects of ICANN's operations. These reviews, and the underlying agreement between NTIA and ICANN, would not be impacted by any transition of the IANA and related root zone management functions. The Affirmation is an agreement that includes multistakeholder oversight mechanisms to address accountability and transparency in ICANN's decision-making, the security, stability, and resiliency of the Internet DNS as well as promote competition, consumer trust, and consumer choice. There are no plans to terminate the Affirmation of Commitments. NTIA supports efforts to further globalize ICANN's commitments including multistakeholder accountability and oversight mechanisms.

Q. Are the legacy top level domains associated with U.S. Government (e.g., .mil., .gov, .edu) part of this transition?

A. No, the operation of and responsibility for the three remaining legacy top level domains associated with the U.S. Government specifically .mil, .gov, and .edu are not impacted by this transition as they are not part of the IANA and related root zone management functions.

Q. What will be the role of governments in developing the transition proposal?

A. Like other stakeholders that are part of the ICANN multistakeholder model, we expect governments will have an opportunity to provide input either via ICANN's Governmental Advisory Committee (GAC) or as individual governments. NTIA will not accept a proposal that replaces the NTIA role with a government or an inter-governmental organization solution.

Q. What impact does this announcement have on NTIA's current role?

A. While stakeholders work through the ICANN-convened process to develop a transition proposal, NTIA's current role will remain unchanged. The current IANA functions contract expires September 30, 2015.

Q. Will the results of this process affect Verisign's agreement to operate the .com registry?

A. No. That is a separate agreement between Verisign and ICANN. For Verisign, the only potential change will be the maintenance and publication of the Root Zone, which Verisign has performed as a community service spanning three decades, and we thank them.

Source URL: http://www.ntia.doc.gov/other-publication/2014/iana-functions-and-related-root-zone-management-transition-questions-and-answ

Published on *NTIA* (http://www.ntia.doc.gov)

Blog Post: Promoting Internet Growth and Innovation Through Multistakeholder Internet Governance

March 19, 2014 by Assistant Secretary for Communications and Information and NTIA Administrator Lawrence E. Strickling

March 19, 2014

This past Friday, NTIA asked the Internet Corporation for Assigned Names and Numbers (ICANN) to convene global stakeholders to develop a proposal to transition the U.S. government's stewardship of the Internet's Domain Name System (DNS). This marks a major milestone toward the final phase of the privatization of the DNS, which was first outlined by the U.S. Government in 1997.

We believe the timing is right for this transition, and a broad group of stakeholders – both domestically and internationally – have expressed their support and cooperation in this process.

Cisco [1] commended NTIA for outlining a "powerful process for the move towards full privatization and globalization of DNS management." Microsoft said it "relies on the stability, resilience and security of the DNS system to enable our cloud services – and we are confident that now is the right time to complete this transition." Other industry giants like AT&T [2], Verizon [3], and Google, similarly issued statements in support of our announcement.

The Computer and Communications Industry Association [4] called NTIA's actions a "necessary next step in the evolution of the Internet," and other industry trade groups like the Domain Name Association [5], Internet Society [6], and Internet Association [7] also expressed their strong support for our efforts. Public interest groups (Public Knowledge and Center for Democracy and Technology [8]), and think tanks (Brookings Institution [9]) also embraced the announcement. And on Capitol Hill, we've heard thoughtful comments from a bipartisan group of lawmakers including Commerce Committee Chairman Sen. John Rockefeller (D-W.V.) [10], Ranking Member Sen. John Thune (R-S.D.), Sen. Marco Rubio (R-Fla.) and Rep. Anna Eshoo [11] (D-Calif.).

Our announcement has led to some misunderstanding about our plan with some individuals raising concern that the U.S. government is abandoning the Internet. Nothing could be further from the truth. This announcement in no way diminishes our commitment to preserving the Internet as an engine for economic growth and innovation. We will continue to advocate for U.S. interests and an open Internet through our role on ICANN's Governmental Advisory Committee (GAC) and in other international venues including the Internet Governance Forum.

We have been clear throughout this process that any transition plan must meet the conditions of supporting the multistakeholder process and protecting the security, stability and resiliency of the Internet. I have emphasized that we will not accept a proposal that replaces NTIA's role with a government-led or an inter-governmental solution. Until the community comes together on a proposal that meets these conditions, we will continue to perform our current stewardship role.

We look forward to a spirited discussion from the global multistakeholders as they begin discussions on the transition plan at the ICANN meeting in Singapore next week. I am confident that the global community will ultimately develop a thoughtful and appropriate transition plan that the U.S. Government will fully embrace.

Source URL: http://www.ntia.doc.gov/blog/2014/promoting-internet-growth-and-innovation-through-multistakeholder-internet-governance

POLITICO Pro

Politico Pro Q&A: NTIA's Larry Strickling on ICANN

POLITICO spoke to him from Singapore, where the Internet Corporation for Assigned Names and Numbers is holding a meeting this week. | *ICANN FLICKR*

By ERIN MERSHON

3/24/14 3:14 PM EDT

The Obama administration announced this month the U.S. will give up oversight of the group that manages the Internet's domain name system and transfer that authority to the "global Internet community." The move sparked an immediate backlash from some Republicans, who warned of efforts by the United Nations or countries like China and Russia to exert control over the Internet.

Larry Strickling is administrator of the National Telecommunications and Information Administration, which is overseeing the transition. POLITICO spoke to him from Singapore, where the Internet Corporation for Assigned Names and Numbers is holding a meeting this week. Here is an edited transcript of the interview.

Your announcement is the hot topic at ICANN's Singapore meeting this week. How has the Internet community reacted to the news?

We made a tremendous amount of progress with [ICANN's body of government representatives] yesterday in terms of alleviating a lot of these fears that have been expressed by some in the press that somehow this is going to lead to a government takeover of the Internet. That's always been an extremely low-risk proposition, and I think the record from yesterday's meeting reflects it's nearly miniscule.

There was unanimous support for the proposal from the governments. At least one country, Egypt, very specifically expressed its support for our position that there be no government-led or intergovernmental solution, and no other country raised an objection.

All in all, it's been a good two days out here in terms of the discussion and the level of support for the proposal. … I'm confident that the community is going to come together and develop a process quickly.

You've emphasized over the last week that the U.S. will not accept a government-led or intergovernmental solution. But I know there are lingering concerns for some that even a multistakeholder solution will lead to an enhanced role for more authoritarian countries. Can NTIA address those concerns?

There is no concern that a multistakeholder process is going to lead to greater engagement by governments in this process. We use the word 'multistakeholder' because it's part of our lingo in the ICANN community, but we really ought to talk about who is that community. It's AT&T, Verizon, Comcast, Cisco, Google, Facebook, Yahoo. We're talking about major U.S. corporations as well as very important companies around the globe. Then you add to that civil society groups, [and] technical experts, exemplified by the pioneers in this space, like [Google Chief Internet Evangelist] Vint Cerf.

These are people who absolutely believe in a free and open Internet, who will not put up with anything smacking of censorship or government intervention. Quite frankly, they are not going to allow this to happen. As this process plays out, governments will be able to participate and will be able to be heard, but they're not going to control the process. Even without us making the declaration that we made, this was never going to end up with a government-led or intergovernmental solution. But to make it crystal clear to people who might want to criticize what we're doing, we wanted to put that on the table as the red line from day one. I'm confident that this community is going to be able to come back with a proposal that satisfies all of the conditions we've laid out.

You said this weekend, writing about criticism that the transition could allow authoritarian countries more control over the Internet, that "nothing could be further from the truth." What do you mean?

To the extent that our involvement was a source of irritation for other governments, our stepping aside removes that. To the extent other governments were saying, 'Well, if the United States is part of this, then we need to be as well,' it takes that argument off the table as well. Now, with the United States not in the middle of this, there's less need for other governments to be jumping in.

What was your reaction to the harsh criticism of the announcement, especially from Republicans? Newt Gingrich, for example, tweeted that the plan was "very, very dangerous" within minutes of the announcement. Even former President Bill Clinton expressed his reservations this weekend.

For the most part I think [Clinton] was supporting the multistakeholder process, and he was giving a lot of credit to the U.S. stewardship. These are all things we agree with. … But I think the community is ready and we're ready to transition out of this and let the community take this over.

Much of [the pushback] is misinformed. I think a lot of it reflects a lack of understanding, in terms of what the U.S. role has been. We do not control the Internet. If people start with the premise that we're giving up our control over the Internet, that sounds more threatening or dire than the facts would really support. People can understand, when they realize the full set of facts, that what we're doing here is evolutionary, it's not revolutionary. It's just an important next step in the process of continuing to allow the Internet to grow and now to be basically managed by the private sector.

One would hope Republicans would like that. We're getting the government out of something. I've been somewhat puzzled by groups who have as their mandate to get the government out of private sector business, who somehow oppose this. This would seem to be very much in line with their mandate.

You made this announcement after European Commission officials, and ICANN itself, pressed for globalization of ICANN's functions. Those calls were made in the wake of reports about NSA surveillance programs. Did the Snowden leaks impact the timing of this announcement? Why now?

This has always been the plan. Back in 1998, it was said the U.S. government would have a temporary role as the steward in the process, but it was envisioned we would go to full privatization relatively quickly.

We've been working hard with ICANN and with the community to see improvements in the accountability and transparency of ICANN, because that seemed to be an important precondition to this announcement. We also saw that the contract was expiring next September, and frankly, we figured 18 months would probably be a reasonable amount of time for the process to be conducted.

Bloomberg BNA

Op-Ed, "Celebrating and Protecting the Global Internet"

Friday, March 21, 2014

http://www.bna.com/celebrating-protecting-global-b17179889025/

By Ambassador Daniel Sepulveda, *Deputy Assistant Secretary and U.S. Coordinator for International Communications and Information Policy, U.S. Department of State*

&

Lawrence E. Strickling, *Assistant Secretary for Communications and Information and Administrator, National Telecommunications and Information Administration (NTIA), U.S. Department of Commerce*

The U.S. government, working through the National Telecommunications and Information Administration (NTIA), has played a critical role in the stewardship of the Internet's Domain Name System (DNS). But now is the time to transition that role, based on the success and maturation of the multistakeholder system, and in response to demands from around the world. And we have to decide: Do we fully embrace the original vision of the Internet's founders and truly commit ourselves to the multistakeholder system that they helped establish? Or do we tell the world that one single government, our government, must maintain its singular contractual oversight over these vital functions? We are choosing to put our faith in the multistakeholder system, knowing that the Internet's future direction is best led by the people who helped make it what it is today -- innovators, entrepreneurs, activists, and users who together provide its incalculable economic and social value.

Since our announcement, some critics have claimed that this move opens the door for certain authoritarian states to somehow seize control of the Internet, blocking free speech and inhibiting a multitude of legitimate activity. Nothing could be further from the truth. Our transition announcement asks the Internet Corporation for Assigned Names and Numbers (ICANN) to convene a multistakeholder process to develop a community-supported proposal for transitioning the U.S. government's role. ICANN will work collaboratively with the directly affected parties, including the Internet Engineering Task Force (IETF), the Internet Architecture Board (IAB), the Internet Society (ISOC), the Regional Internet Registries (RIRs), top level domain name operators, VeriSign, and other interested global stakeholders. In developing this proposal, the Internet community will finally fully own and perform these functions; we are thereby taking

stewardship by any government or group of governments off the table. Given the remarkable success that the Internet has become through the efforts of these and other stakeholders, we are confident that the fiercely devoted Internet community will serve as appropriate stewards of these functions, and we and like-minded governments will defend their right and ability to do so.

As the demands for Internet connectivity and communication have grown, the natural pressure for participation and equity in the system's governance from the world's community of Internet users, network operators, entrepreneurs, and activists has also grown. And in response, the Internet's multistakeholder governance institutions have matured and grown in inclusiveness. In particular, ICANN has globalized its board and opened offices in parts of the world that still are not fully connected to the Internet. It has created new processes to incorporate the voices of governments along with a full range of other key stakeholders including industry, technical groups, public interest organizations and others. And it has demonstrated that it can effectively act as a convener of the global Internet community to propose a path forward.

The U.S. government has been a good steward via its IANA (Internet Assigned Numbers Authority) contract with ICANN. We are proud of that work. But it is time to let others step forward and let the Internet community develop a proposal for the next phase of the management of these functions. Enabling them to operate more independently from us will help insure that it remains independent from centralized governmental control altogether.

News Clips

New Republic
No, Barack Obama Isn't Handing Control of the Internet Over to China: The misguided freakout over ICANN
http://www.newrepublic.com/article/117093/us-withdraws-icann-why-its-no-big-deal
"…A receding role for the U.S. government has been anticipated for over a decade, and the move is both wise and of little impact. Some reaction has been surprisingly alarmist…First, the U.S. government control so far has had minimal impact on how ICANN has operated. For example, there was some consternation within the U.S. Congress about the creation of a .xxx domain, which was within ICANN's purview to create. This likely delayed .xxx, but it didn't stop it. And that accords with the government's role in ICANN's creation: Had it tried to be more heavy-handed, it's not clear that it could have pulled off the move to a new IANA. Whoever newly contracts with ICANN for these IANA functions—yes, once again the U.S. government has vaguely called for a new organization to step up—will be similarly constrained. So there's no obvious place for Russia or China to take control…Having the U.S. nominally, but not really, controlling the modest functions of top-level numbering and name assignments provided ammunition to those who think the Internet should be utterly stateless—some of whom, oddly enough, might favor turning over ICANN's functions to the International Telecommunications Union, which is an arm of the United Nations and has states as its members. To eliminate this symbolic U.S. involvement, an action envisioned from the moment of ICANN's creation, helps address that complaint, while costing nothing.

Weekly Standard:
But ICANN Can't: Don't lose sleep over international 'control' of the Internet.
http://www.weeklystandard.com/articles/icann-can-t_785695.html?page=1
"… Critics on the right worry that the Obama administration is giving away the Internet to foreigners. It's an understandable concern, given the administration's general approach to foreign policy. It just happens to be a wildly exaggerated concern here, given the actual power of ICANN. … Contrary to dark speculations by various conservative commentators, ICANN really can't facilitate Internet censorship in China and Iran to please those governments. ICANN can't stop them from doing that now. Nor is there a plausible scenario in which ICANN imposes censorship on U.S. websites. Actual websites operate through thirteen root servers—some still directly run by U.S. government agencies, some by U.S. universities, some by U.S. private companies. It would be no technical challenge for them to bypass ICANN and coordinate among themselves. Politically, it's really unimaginable that they would all bow to Chinese pressure for censorship because ICANN told them they should. … But it's still true that changing the status of ICANN was an opportunity to initiate a broader discussion about Internet governance.

Hudson Institute Blog
Robert McDowell (Hudson Institute visiting fellow, former FCC member)
Opportunities, Threats, Internet Governance and the Future of Freedom
http://www.hudson.org/research/10181-opportunities-threats-internet-governance-and-the-future-of-freedom
"…Due to the complexities of the Internet ecosystem, and the manner in which it has thrived, before reacting impulsively, observers should pause and thoughtfully examine the nuances that abound in the wake of this development. … With Friday's announcement, NTIA is taking its last steps down a path that was paved over two decades ago: a path intended to get the government out of the Internet governance business. In that spirit, NTIA has put forth several conditions before it would allow its contract

overseeing ICANN to expire in September 2015. The most important condition is that no governmental, intergovernmental or multilateral bodies would be allowed to have a role in overseeing any technical functions. Implicitly, if foreign governments or treaty-based organizations were to insert themselves into this realm, NTIA would renew its contract with ICANN in 2015, thus keeping the status quo and ending the argument for at least few more years."

Politico Magazine
No, the U.S. Isn't 'Giving Up Control' of the Internet
http://www.politico.com/magazine/story/2014/03/control-of-the-internet-104830.html#ixzz2x4qCZ7hM
"…So what just happened? A smart, strategic move by Commerce to formalize, on its own terms, a process of increased globalization that has been going on for some time. It's actually the opposite of what the critics claim: The Obama administration is trying to head off rising global pressure to give other countries, including China and Russia, more of a say in how the Internet is governed, not bow to it...More importantly, however, is there is no way Commerce will allow for a transition that doesn't serve the public's interest in a free and open Internet. The department controls the conditions, the timing and the ultimate approval of any new arrangement...In fact, the proposed Commerce plan might actually help prevent an outcome that could be much worse for the free and open Internet: the transition of global internet governance functions to a multilateral body such as the International Telecommunications Union (ITU).

Economist
Doing the ICANN-can
http://www.economist.com/node/21599385/print
"…IS THE internet about to fall apart? Just a few weeks ago it seemed possible. First Dilma Rousseff, Brazil's president, said her country would seek to circumvent internet services based in America; then Angela Merkel, Germany's chancellor, said she would back calls to create a separate European internet. Both were furious that America's National Security Agency (NSA) had spied on their communications. But on March 14th the likelihood receded that either would embark on a costly, damaging and quixotic redesign of the internet's architecture. America's Department of Commerce said it planned to relinquish its role in managing the internet's address system, preferably by September 2015. The move may also have cleared the way for a much-needed wider reform of the way the internet is governed…America's role in administering the internet's phone book is a wonkish delight, but also highly symbolic. The Internet Corporation for Assigned Names and Numbers (ICANN), which unites all those with a direct interest in the smooth running of the network (internet-service providers, governments, users and so on) does most of the work.

Yahoo Tech:
No, the U.S. Isn't Really Giving Up the Internet—It Doesn't Own It Anyway
https://www.yahoo.com/tech/no-the-u-s-isnt-really-giving-up-the-internet-it-79913830185.html
"…The United States' National Telecommunications and Information Administration announced Friday evening that it would hand over its limited oversight of the Internet's domain-name system to an undefined, new decision-making process. But, surprise, last Friday's announcement doesn't mean that. It's not even new.
The U.S. began moving in this direction back in 1997, then reaffirmed it in 1998 when it transferred domain-name management duties to a Los Angeles–based nonprofit called the Internet Corporation for Assigned Names and Numbers. …In 2006, the government confirmed once again its intention to hand over that role to the global Internet community. Friday's news amounts to the feds saying, "The last two

administrations weren't kidding. We still mean it." …All those things seem to have led to a general suspicion of any government-instigated change to the Internet—even if that change is to reduce government's role in the Internet. …But on a philosophical level, reinforcing that the Internet functions beyond any one .gov's control—"a step toward a world in which governments no longer assert oversight over the technology of communication," as George Mason University Mercatus Center scholar Eli Dourado wrote Monday—would promote a longstanding libertarian aspiration.

LA Times editorial:
Who should run the Internet?
http://www.latimes.com/opinion/editorials/la-ed-internet-ntia-icann-20140318,0,4034597.story#axzz2wuI7bswI
"…One of the technological marvels of the Internet is that it acts as a unified system, despite the fact that it's a global collection of disparate computer and communications networks. That's thanks in part to the use of a common address book administered by a nonprofit organization created and overseen by the U.S. government. Now, the Obama administration says the time has come to remove Washington's oversight, leaving the U.S. government with no greater influence over how the Internet operates than any other country has. That's a risky step, yet one that seems unavoidable. And if the transition is handled the right way, it may actually reduce the risk that governments will impose rules that Balkanize the Net.

Internet Freedom Coalition blog
Toward a Post-Government Internet
http://www.internetfreedomcoalition.com/?p=3666
George Mason University research fellow Eli Dourado writes, "The NTIA announcement is not a huge surprise. The U.S. government has always said it eventually planned to devolve IANA oversight, albeit with lapsed deadlines and changes of course along the way. The U.S. giving up control over the Root Zone File is a step toward a world in which governments no longer assert oversight over the technology of communication. Just as freedom of the printing press was important to the founding generation in America, an unfettered Internet is essential to our right to unimpeded communication. I am heartened to see that the U.S. will not consider any proposal that involves IANA oversight by an intergovernmental body. …"

Statements

Senate Commerce Chairman Jay Rockefeller, D-W.Va.:
http://www.commerce.senate.gov/public/index.cfm?p=PressReleases&ContentRecord_id=b0a9b496-2c09-4712-972a-80638efe6a16
"The Internet was invented and developed in the U.S., and it has completely transformed the way people communicate and do business in every corner of the world. Since 1998, the U.S. has been committed to transitioning management of the Internet's domain name system to an independent entity that reflects the broad diversity of the global Internet community. NTIA's announcement today that it is beginning the process of transferring additional domain name functions to ICANN is the next phase in this transition. It is also consistent with other efforts the U.S. and our allies are making to promote a free and open Internet, and to preserve and advance the current multi-stakeholder model of global Internet governance."

Senate Commerce Committee Ranking Member John Thune, R-S.D.:
http://www.commerce.senate.gov/public/index.cfm?p=PressReleases&ContentRecord_id=94f39a92-55d9-4e5f-b363-a005b15ebec3&ContentType_id=77eb43da-aa94-497d-a73f-5c951ff72372&Group_id=59da2fee-2988-4fe9-b1dd-ee3219b6f868
"The U.S. helped create the Internet, and we want to see it grow and stand on its own. It doesn't need a nanny state, or a collection of nanny states, trying to stifle it. It needs – and deserves – a strong multi-stakeholder system free from the control of any government or governmental entity and which keeps the critical Internet Assigned Numbers Authority (IANA) functions insulated from the politics of Internet governance. My colleagues and I on the Commerce Committee will be watching closely to see if the transition NTIA has announced results in an acceptable structure to ensure a stable and free Internet, but I trust the innovators and entrepreneurs more than the bureaucrats -- whether they're in DC or Brussels. While ICANN will convene the process to craft a transition plan for the IANA functions, we need all stakeholders who believe in an open and innovative Internet to participate in the conversation. There are people who want to see the Internet fall into the grip of the U.N. or who would allow ICANN to become an unaccountable organization with the power to control the Internet, and we cannot allow them to determine how this process plays out."

Rep. Anna Eshoo, D-CA., RM, House Energy & Commerce Committee, Subcommittee on Communications and Technology:
Rep. Anna G. Eshoo (D-Palo Alto), Ranking Member of the Communications and Technology Subcommittee, issued the following statement in response to the National Telecommunications and Information Administration announcement to transition key Internet domain name functions to the global multistakeholder community: "Multistakeholder governance of the Internet is essential to preserving a global Internet driven by choice, competition and innovation, and making it a revolutionary tool for commerce and freedom of expression. I've long held the belief and championed the U.S. support for the successful multistakeholder model for Internet governance. I welcome the announcement by the National Telecommunications and Information Administration to transition from its role in coordinating the Internet's domain name system to a multistakeholder governance community, guided by the principles of an open, secure, stable and resilient Internet."

AT&T:
http://www.attpublicpolicy.com/international/the-continuing-evolution-of-the-global-internet/

"…This is an important step in the ongoing evolution of the global Internet. NTIA is to be commended for its historical stewardship, its current thoughtful and pro-active approach, and its global leadership throughout. The U.S. is looking to the future, promoting leadership and ideas from the global multistakeholder community, and establishing clear criteria to ensure the stability and security of a remarkably well-functioning system. We expect that other governments and stakeholders will join with the U.S. in committing to this vision. … "

Verizon:
http://publicpolicy.verizon.com/blog/entry/verizon-supports-global-multi-stakeholder-process-for-domain-names
"We applaud NTIA for recognizing the global relevance of the Internet Assigned Numbers Authority (IANA) functions and the current maturity of multi-stakeholder frameworks. A successful transition in the stewardship of these important functions to the global multi-stakeholder community would be a timely and positive step in the evolution of Internet governance. Given the importance of the IANA functions to the stability and correct functioning of the Internet, it will be essential that a plan that preserves the security, stability, and seamless nature of the Internet be developed through a comprehensive multi-stakeholder process prior to the transition."

U.S. Chamber of Commerce:
https://www.uschamber.com/press-release/us-chamber-statement-department-commerce-s-transition-icann
The U.S. Chamber of Commerce's Vice President for International Affairs John Murphy released the following statement today on the announcement that the U.S. Commerce Department's National Telecommunications & Information Administration (NTIA) will relinquish its oversight of the Internet Corporation for Assigned Names and Numbers (ICANN):"Given the announcement that the NTIA plans to transition key Internet domain name functions to the global multi-stakeholder community as first laid out by the U.S. government in 1997, the U.S. Chamber strongly supports the U.S. government's opposition to any proposal 'that replaces the NTIA role with a government-led or inter-governmental organization solution.' As a representative of a diverse cross-section of the global stakeholder community, the Chamber urges the U.S. government and other parties to support a multi-stakeholder governance model that promotes and upholds the core attributes that have enabled the Internet to deliver transformative benefits to people and businesses around the world.

Microsoft:
http://blogs.technet.com/b/microsoft_on_the_issues/archive/2014/03/17/microsoft-applauds-us-ntia-s-transition-of-key-internet-domain-name-functions.aspx
The U.S. Department of Commerce National Telecommunications and Information Administration's recent announcement of its intent to transition key Internet domain name functions to the global multi-stakeholder community is a significant and welcome development. Unlike the other major international communications networks (e.g., the telephone system and postal systems), there has been no single government-led organization that has guided the evolution and growth of the Internet. Instead, "Internet governance" has been the responsibility of literally dozens of different organizations, involving academics, technologists, government and business working collaboratively to create and implement the key standards, shape business practices, and develop norms that have enabled the Internet to grow at an astonishing rate over the last 20 years. This model has served the world well and led to countless innovations that have transformed our world. Initiating the final steps in the transition of the Internet Assigned Numbers Authority (IANA) functions now is a clear recognition of the value and success of this unique model. The IANA functions are critical to the operation of the Internet – and the Internet

technical organizations have worked carefully and collaboratively to ensure that we can all rely on the Domain Name System (DNS). The U.S. government has had a stewardship role over the IANA functions since their inception and, as part of the group that began the transition process in 1997, I can personally attest that our goal since that time has been to fully transfer stewardship to the global multi-stakeholder community.

Minority Media and Telecommunications Council (MMTC):
Last week, the Commerce Department's National Telecommunications and Information Administration (NTIA) announced that it would transition its key Internet domain name functions to the global multi-stakeholder community. The Minority Media and Telecommunications Council (MMTC) applauds NTIA for this significant step in a transition that has been 16 years in the making. … MMTC commends NTIA staff for their extraordinary work in ushering this transition forward. This long-anticipated step ensures the continued openness and freedom of the Internet throughout the world and is a move toward ensuring that the Internet will remain open and accessible for all the world's people.

Motion Picture Association of America:
http://mpaa.org/resources/392f60f1-ef7f-45d8-abc9-f04d1adb8d74.pdf
"We welcome the opportunity to participate in the process that ICANN and the Internet community will convene to ensure clear accountability and that the continued safety, security, and stability of the Internet are maintained through an inclusive multistakeholder process.
An Internet that achieves peak performance and the highest level of operational excellence will benefit businesses and consumers alike."

Cisco:
http://blogs.cisco.com/gov/cisco-supports-u-s-department-of-commerce-decision-to-transition-internet-management-functions/
"…This is a significant milestone in the transition of Internet governance to a global multi-stakeholder model, and Cisco welcomes this development. We applaud the NTIA for seeking to complete the final phase of the privatization of DNS management, as outlined by the U.S. Government in 1997. Cisco has long supported an open and innovative multi-stakeholder Internet governance process and this next step in its evolution."

Center for Democracy and Technology:
https://www.cdt.org/pr_statement/us-cede-control-internet-naming-significant-step-toward-global-internet
"A global Internet needs global governance. The NTIA recognizes that this is the natural next step in the Internet's continued advancement. Moving toward a fully globalized ICANN is necessary, however, in the process of cutting the US government's umbilical cord, we must be careful to avoid exposing the domain name system to domination by other governments," said O'Connor. … "The NTIA has clearly indicated it will oppose any government-dominated or inter-governmental solution. That is crucial. We cannot move toward a system where freedom and innovation on the Internet are put up to a vote among the governments of the world," added O'Connor."

Comcast (via Time):
http://tech.fortune.cnn.com/2014/03/17/us-internet-domain-names/
Rebecca Arbogast, Comcast's senior vice president for global public policy, said her company is also supportive: "Comcast NBCUniversal supports the private sector led, multistakeholder approach to

Internet governance, and commends NTIA's longstanding commitment to advancing that model and its stewardship of this key functionality."

Google Internet Evangelizer and former ICANN Chairman Vint Cerf (via Politico)
"The Internet was built to be borderless, and this move toward a more multistakeholder model of governance creates an opportunity to preserve its security, stability and openness," he said in a statement.

Public Knowledge (via The Washington Post):
"This is a step in the right direction to resolve important international disputes about how the Internet is governed," said Gene Kimmelman, president of Public Knowledge, a group that promotes open access to the Internet.

Also
via http://oti.newamerica.net/blogposts/2014/a_real_step_the_future_of_icann_and_how_to_support_it-105990:
"…Gene Kimmelman - president of the watchdog Public Knowledge - commented: "This is an opportunity fsor civil society and all other stakeholders to develop a workable open and transparent process for resolving Internet policy disputes. I hope advocates can come together and seize this invitation for reform."

Software & Information Industry Association:
http://www.siia.net/blog/index.php/2014/03/siia-welcomes-privatization-of-internet-domain-name-function-transition/
SIIA certainly supports the principles. We are among the stakeholders that have a vital interest in the Internet infrastructure. Technology companies and other firms depend on the openness of the Internet. As big data becomes an ever more important part of commerce and innovative services, the security, stability and resiliency of the Internet DNS becomes ever more important. Our software and content members and others must have first-class intellectual property protection to prevent abuse of their valuable copyrights and trademarks. We therefore support the Administration's multi-stakeholder vision for the future of the Internet. It is now up to stakeholders and ICANN to step up to the challenge of crafting a proposal for DNS management that meets today's – and preferably exceeds – today's standards.

IETF, IAB, RIRs, ccTLD ROs, ICANN, ISOC, NRO and W3C (Internet technical groups):
http://www.internetsociety.org/news/internet-technical-leaders-welcome-iana-globalization-progress
"The leaders of the Internet technical organizations responsible for coordination of the Internet infrastructure (IETF, IAB, RIRs, ccTLD ROs, ICANN, ISOC, and W3C), welcome the US Government's announcement of the suggested changes related to the IANA functions contract.
The roles on policy development processes of the Internet technical organizations and ICANN's role as administrator of the IANA functions, remain unchanged The transition of the US Government stewardship has been envisaged since the early days of IANA functions contract. This transition is now feasible due to the maturity of the Internet technical organizations involved in performing their respective roles related to the IANA functions, and ICANN will facilitate a global, multi-stakeholder process to plan for the transition. …"

Internet Association:

http://internetassociation.org/03142014ntiaicannannouncement/
Michael Beckerman, President and CEO of The Internet Association, released the following statement in response to the NTIA's announcement tonight that it will end its formal relationship with ICANN in 2015: "The Internet's decentralized model is key to growth, innovation, freedom, and openness. The continued success of the Internet relies on a borderless platform for communication and information exchange."

New America's Open Technology Institute:
http://oti.newamerica.net/blogposts/2014/a_real_step_the_future_of_icann_and_how_to_support_it-105990
"…And Kevin Bankston, Policy Director at New America's Open Technology Institute, notes that "a key challenge is how to create a democratic governance system, but a move towards a multi-stakeholder approach to governing the Internet is a positive step and a unique chance for all stakeholders to develop the free and open Internet of the future."

European Commission Vice President Neelier Kroes:
http://europa.eu/rapid/press-release_STATEMENT-14-70_en.htm
"This is an historical step in making Internet governance truly global, and marks major progress towards the development of a multi-stakeholder model as advocated in the Commission's recent Communication" Vice-President Kroes said. …

Australia Minister of Communications Malcolm Turnbull
A momentous day in the history of the Internet. On Friday 14 March, the US Government announced it was ready to withdraw from its central role in the management of the Internet provided future governance arrangements ensured an open Internet free from the control of governments. **…** While largely symbolic the US Government's role has aroused more and more controversy and from some quarters animosity. How could the Internet belong to the world and yet at its very heart be overseen by a contract with the US Government?

French government:
Laurent Fabius, Minister of Foreign Affairs, and Fleur Pellerin, Minister Delegate for Small and Medium-Sized Enterprises, Innovation and the Digital Economy, welcome the American authorities' announcement that they would relinquish their control over domain names on September 20, 2015. This announcement makes it possible to imagine, for example, that any request to change the ".fr" extension could be made in the future without the approval of U.S. officials. Long called for by France, this decision represents a first step in the establishment of a truly multi-actor, global Internet governance framework necessary to preserving an open, secure Internet. For France, other steps must follow, particularly so that the role of nations sharing the same principles and objectives is not limited to consultation within ICANN, making the legal structure of this forum more international and promoting coordination between entities dealing with Internet governance. France intends to actively participate in this evolution in global Internet governance, starting at ICANN's next meeting in Singapore this weekend, and during the NETmundial meeting on the future of Internet governance in Sao Paulo on April 23 and 24, which should make it possible to establish a global roadmap on the subject.

Egypt:
Atef Helmy, Egypt's Minister of Communications and Information Technology, said in press release that Egypt "welcomed the US's Government's announcement, issued on Friday March 14, of its intent to transfer its stewardship of the Internet Assigned Numbers Authority (IANA) Functions to the global

multi-stakeholder community. Helmy particularly welcomed the invitation extended by NTIA to the Internet Corporation for Assigned Names and Numbers (ICANN) to start promptly a consultative dialogue process convening stakeholders across the global Internet community to craft an appropriate transition plan."

Afilias (gTLD operator):
http://afilias.info/iana-globalization
Afilias today announced its support for the statements by the Internet technical organizations responsible for coordination of the Internet infrastructure (IETF, IAB, ccTLD ROs, ICANN, ISOC and W3C) regarding the announcement by the US Government of the suggested changes related to the IANA functions contract. …

Afnic (operator of .Fr):
http://www.afnic.fr/en/resources/blog/suggestions-for-a-successful-iana-transition.html
In a letter to ICANN, Afnic's director general described NTIA's announce as a "welcome move towards enhanced trust and stability for the global Internet."

African Union Commission:
The African Union Commission (AUC) welcomed the announcement of the United States Government intention to transfer the Function of the ***Internet Assigned Numbers Authority (IANA)*** to a "global multi-stakeholder community." "This is an historical decision for an inclusive governance of the Internet critical resources" said Dr (Mrs) Elham M. Ibrahim, the African Union Commissioner for Infrastructure and Energy with the ICT Portfolio.

Association for Progressive Communications (via. Forbes)
http://www.forbes.com/sites/emmawoollacott/2014/03/15/us-government-cedes-control-of-the-internet/
"This is a very constructive step, definitely in the right direction, and a unique opportunity to make progress in the evolution of the internet governance ecosystem," says Anriette Esterhuysen, executive director of the Association for Progressive PGR +1.28% Communications (APC). "This is particularly important for stakeholders from developing countries."

auDA (administrator of Australian ccTLD):
.au Domain Administration Ltd (auDA), the manager of Australia's ".au" Internet domain space, welcomes the U.S. Commerce Department's National Telecommunications and Information Administration's (NTIA) recent decision to transition key Internet management functions to the global multi-stakeholder community. Since its establishment in 1999, auDA has been an active participant within this community, and a supporter of the global manager of the Internet's domain name system (DNS), the Internet Corporation for Assigned Names and Numbers (ICANN). "auDA welcomes the NTIA's announcement and, in particular, a number of key messages within it", said auDA CEO and ICANN Board Director, Chris Disspain. "Firstly, auDA agrees that ICANN is ideally positioned to assume responsibility for coordinating the transition process. We also support NTIA's stipulation that current arrangements will not be replaced by a government-led or intergovernmental solution. We also agree that broad community engagement is required in developing a transition plan and support the key principles of openness, multi-stakerholderism, security and stability, and customer-focus stipulated by NTIA." …

Computer and Communications Industry Association:

http://www.ccianet.org/blog/2014/03/tech-industry-praises-liberation-internet-governance-functions-u-s-g/
The technology industry welcomes the news that the U.S. Commerce Department intends to complete the transition of relinquishing its control over key Internet addressing functions to the global multi-stakeholder community. This was a necessary next step in the evolution of the Internet and supports the current multi-stakeholder model of global Internet governance where all stakeholders concerned with the well being and functioning of the Internet help to shape the policies that make a bright online future for everyone possible. … The following can be attributed to CCIA Vice President James Waterworth, who runs CCIA's Brussels office: "This is great news for Internet users and businesses around the world that depend on an open, stable, secure Internet. The revelations about U.S. surveillance over the past year made clear that national policies which impact the Internet will come under increasing scrutiny and that the Internet belongs to the world.

Laura DeNardis, American University (via. New York Times)
http://www.nytimes.com/2014/03/15/technology/us-to-give-up-role-in-internet-domain-names.html?_r=5
"We don't want to break the Internet," said Laura DeNardis, a professor at American University and the author of "The Global War for Internet Governance," a recent book on the subject. "We want to carefully transition to something that doesn't just give the power to one stakeholder, but that takes into account the interests of private industry, of large users of the Internet, of the purchasers of domain names, of governments and of civil society," Ms. DeNardis said.

Domain Name Association:
http://www.thedna.org/pr_20140314.html
"The DNA welcomes a deliberate, thoughtful process, inclusive of all stakeholder views to determine the future of the IANA function," said Kurt Pritz, executive director of the Domain Name Association. "As our members are some of the most widely recognized customers of IANA, we will be playing an active role in the process moving forward. The US government performs admirably in this role and it is important that any new oversight mechanism perform as reliably and consistently, and in a manner that prevents the Internet from onerous regulations and/or content controls."

Donuts (new gTLD operator):
http://www.donuts.co/uncategorized/donuts-statement-regarding-iana-function/
"The IANA function is very important to Internet stability, and Donuts supports the multistakeholder approach to managing this vital resource. As the largest applicant for new top-level domains, we look forward to providing a constructive contribution in this multi-stakeholder discussion. It's critical that any new mechanisms for IANA oversight ensure not only stability and accountability but also uphold the vital public sector role in promoting Internet innovation and openness."

Dyn (Internet management company)
http://dyn.com/blog/examining-the-relationship-between-the-u-s-icann/
… ICANN has operated under progressively less U.S. government control over the years until, at this point, just one point of oversight remains: the IANA functions themselves. The DoC's National Telecommunications and Information Administration (NTIA) has been historically responsible for the IANA functions and has contracted out their operation, and ICANN has held the contract to operate these functions since its creation in 1998. But the U.S. government never wanted to keep this involvement forever and moving the IANA functions away from its stewardship has always been

contemplated. Last week's news from NTIA announced the beginning of this long-anticipated transition process.
At Dyn, we're pleased to see this announcement. Both ICANN and the IANA functions are important to our business. We're an ICANN-accredited registrar with regular participation in the Registrar Stakeholder Group, and we're active in the broader ICANN community. Look for several Dyn folks at the ICANN meeting in Singapore starting next week. Also, we have several interviews from previous ICANN events available on YouTube in conjunction with CircleID.

ETNO (European telecom association):
http://biii.emailsp.it/f/rnl.aspx/?glk=ys333yeblf=v24&x=pv&l.=xxv/46f9b-=&x=pv&9e6q9g5-k&x=pp&yxgmb28:h48.hhNCLM
ETNO, representing Europe's leading telecoms operators, welcomes the announcement that the Internet Assigned Numbers Authority (IANA) functions will be transitioned to the global multi-stakeholder community. This is an important step towards a truly global, multi-stakeholder governance model for the Internet and it is in line with ETNO's long standing ask that ICANN becomes globalised as an organization. **Luigi Gambardella**, Executive Chairman of ETNO, said: "This is only a first step. European telecom operators are ready to play their part in this exciting and historic journey. Friday's NTIA announcement represents an incredible opportunity to make the governance of the Internet more participatory and global, by including all stakeholders. We will be very supportive of ICANN's efforts in opening up the IANA functions and we look forward to taking part in the community consultation process".

Internet Governance Project:
http://www.internetgovernance.org/2014/03/14/the-u-s-government-will-set-the-dns-root-free/
"We applaud the recent statement from the NTIA announcing its intention to "transition key Internet domain name functions to the global multistakeholder community." This is a historic moment in the evolution of Internet governance. … "

Cameron Kerry – Brookings Institution fellow/former Commerce Department general counsel:
http://www.brookings.edu/blogs/techtank/posts/2014/03/15-internet-corporation-for-assigned-names-and-numbers-icann-shifting-responsibility-kerry
The National Telecommunications & Administration of the Department Commerce on Friday announced a plan to shift responsibility for overseeing the Internet Corporation for Assigned Names and Numbers (ICANN) to "the global multistakeholder community." This plan reflects a strong commitment to keeping the technical operations of the Internet in the hands of its nongovernmental community and out of the hands of governmental bodies. ICANN aside, the key institutions that set these technical ground rules – the Internet Engineering Task Force (IETF) and its Internet Architecture Board, the Internet Society, the Worldwide Web Consortium (W3C) – operate as non-governmental, multi-stakeholder, multi-national, and community-driven bodies. There's a mouthful of hyphens in those adjectives, but they fit the Internet's diverse and fluid characteristics. These organizations make up a moveable feast of technical experts and, like the Internet, they have become global: for example, only about one-third of W3C members are American and the IETF is chaired by a Finn.

LANic (via Montevideo Portal):
http://translate.google.com/translate?sl=auto&tl=en&js=n&prev=_t&hl=en&ie=UTF-8&u=http%3A%2F%2Fwww.montevideo.com.uy%2Fucmovil_228999_1.html&edit-text=
Raul Echeberría, director of LACNIC, told Montevideo Portal that "a historic moment" for the network and "a triumph of the international community."

Netnode (operator of Internet exchange points in Sweden):
https://www.netnod.se/netnod-welcomes-globalisation-iana
Netnod welcomes the announcement by the US government to start the transition of the IANA functions to a global multistakeholder arrangement. The National Telecommunications and Information Administration (NTIA), which is part of the US Department of Commerce, announced last Friday that they intend to transition the IANA functions to the global multistakeholder community:
"As the first step, NTIA is asking the Internet Corporation for Assigned Names and Numbers (ICANN) to convene global stakeholders to develop a proposal to transition the current role played by NTIA in the coordination of the Internet's domain name system (DNS). This is a historical event and an important step towards a truly global, bottom-up and transparent governance model of the Internet", says Netnod CEO Kurt Erik Lindqvist. He continues "This development strengthens the legitimacy of these functions and builds on inclusive governance models that have proven to work."

Robert McDowell (Hudson Institute visiting fellow, former FCC member)
http://www.hudson.org/research/10181-opportunities-threats-internet-governance-and-the-future-of-freedom
If all goes according to NTIA's plan, the U.S. government will relinquish its contractual oversight of ICANN by September 2015. In its ideal form, this evolution could help reverse a growing tide of increased state interference into the Net's affairs. If events don't unfold as NTIA intends, however, Internet freedom, global prosperity and international political reform will be at risk. Due to the complexities of the Internet ecosystem, and the manner in which it has thrived, before reacting impulsively, observers should pause and thoughtfully examine the nuances that abound in the wake of this development. … With Friday's announcement, NTIA is taking its last steps down a path that was paved over two decades ago: a path intended to get the government out of the Internet governance business. In that spirit, NTIA has put forth several conditions before it would allow its contract overseeing ICANN to expire in September 2015. The most important condition is that no governmental, intergovernmental or multilateral bodies would be allowed to have a role in overseeing any technical functions. Implicitly, if foreign governments or treaty-based organizations were to insert themselves into this realm, NTIA would renew its contract with ICANN in 2015, thus keeping the status quo and ending the argument for at least few more years.

Neustar:
http://www.neustar.biz/about-us/news-room/press-releases/2014/neustar-applauds-ntia-s-decision-on-iana-services#.UyRrMVyIzFI
"As an early participant in and supporter of the ICANN process, Neustar welcomes this decision," said Lisa Hook, Neustar's CEO.

Public Interest Registry:
http://www.businesswire.com/news/home/20140317006190/en/Public-Interest-Registry-Announces-Support-Internet-Technical#.UyeJz1yIxFI
Public Interest Registry, the long-time registry operator of .org, one of the most successful Top Level Domains since the Internet's inception, today announced its support for the statements by leaders of the Internet technical organizations responsible for coordination of the Internet infrastructure (IETF, IAB, ccTLD ROs, ICANN, ISOC and W3C) regarding the announcement by the U.S. Government to initiate a transition process related to the IANA functions contract. Public Interest Registry has participated actively in the ICANN community since the registry's outset and has helped to shape and implement Internet policies and practices in a secure and reliable manner consistent with evolving technical

standards. We endorse the statements of the NTIA and the organizations noted above with respect to the maturation of these organizations and processes, and we are committed to continuing to contribute to the stewardship of the Internet as part of a globally inclusive, open and transparent multi-stakeholder community.

Greg Shatan, partner Reed Smith law firm (via New York Times):
http://www.nytimes.com/2014/03/15/technology/us-to-give-up-role-in-internet-domain-names.html?_r=5
But by announcing its plans before the Brazil meeting, "the U.S. is trying to make sure the transition happens on its own terms, and that the U.S. is setting the rules for the transition," said Greg Shatan, a partner at the law firm Reed Smith in New York.

U.S. Council for International Business:
http://uscib.org/index.asp?documentID=4693
"We welcome the opportunity to actively participate in the multi-stakeholder dialogue that ICANN and the Internet community will convene to develop productive responses that meet NTIA's criteria," said USCIB President and CEO Peter M. Robinson. "We especially applaud NTIA's resolve to 'maintain the security, stability, and resiliency of the Internet Domain Name System' and not to 'accept a proposal that replaces the NTIA role with a government-led or an inter-governmental organization solution.'"

World Economic Forum (via. Wall Street Journal):
Alan Marcus, senior director of the World Economic Forum, said "the NSA tarnished the U.S. stewardship" of the Web. Mr. Marcus said the U.S. needs to relinquish control over the Web before new leadership can emerge. "There are real issues that get clouded" by U.S. leadership, he said.

Yahoo (via Politico's Morning Tech):
Yahoo spokesperson said "a more multi-stakeholder, bottom-up governance structure as outlined by the NTIA will help all parties reach this goal" of an open and secure internet.

From:	Fiona Alexander
To:	Larry Strickling; Angela Simpson; Cyril J. Dadd; Jim Wasilewski; Heather Phillips; Juliana Gruenwald; Jade Nester
Cc:	Kathy Smith
Subject:	RE: Draft of testimony
Date:	Thursday, March 27, 2014 4:43:03 PM
Attachments:	Not Responsive

Version 2 based on Cyril's feedback. This is going on Larry's credenza now

From: Fiona Alexander
Sent: Thursday, March 27, 2014 2:59 PM
To: Larry Strickling; Angela Simpson; Cyril J. Dadd; Jim Wasilewski; Heather Phillips; Juliana Gruenwald; Jade Nester
Cc: Kathy Smith
Subject: Draft of testimony

See if this works. After reviewing it a couple of times I opted not to include a discussion on what happened in Singapore assuming that is what ICANN will talk about in some detail but we, if needed, could add a few sentences in the conclusion section.

7 Pages

Withheld in their entirety as
Not Responsive to the Request.

From: Ashley Heineman
To: Stacy Cheney; Vernita D. Harris; Suzanne Radell
Subject: Kieren McCarthy article in Circle ID
Date: Thursday, March 27, 2014 9:25:52 AM

Kieren has posted on Circle ID a pretty good recap of the discussions in Singapore. I draw attention to one quote by Fiona, which I'm curious as to your impressions on.

"There are three primary functions and three different customers," explained Alexander. She later noted that the transition was a process of evolution and highlighted that the US government is "not the customers of those services".

What the US Government Said About IANA in Singapore

- Mar 26, 2014 11:08 PM PST

http://www.circleid.com/posts/20140327_what_the_us_government_said_about_iana_in_singapore/

By **Kieren McCarthy**

Two weeks ago, the US government announced it would transition its role in the IANA functions to the global Internet community. It tasked ICANN with the job of arriving at a transition plan and noted that the current contract runs out in 18 months' time, 30 September 2015.

This week, ICANN started that process at its meeting in Singapore. And on the ground were the two key US government

officials behind the decision — Assistant Commerce Secretary Larry Strickling and NTIA Associate Administrator Fiona Alexander — to explain exactly what it meant, what the process would be, and answer questions from the Internet community.

This is what they had to say.

The summary below covers only what Strickling and Alexander said in person at five different sessions during the week of the conference:

- A one-day pre-conference event on Internet governance run by ICANN's Non Commercial User Constituency (NCUC)
- A session of the Governmental Advisory Committee (GAC)
- A session of the Country Code Names Supporting Organization (ccNSO)
- A session of the Non Commercial Users Constituency (NCUC)
- A session of the Commercial Stakeholder Group (CSG)

Full details and resources for each session are provided at the end.

Except for the pre-conference event (where Strickling gave a keynote speech and Alexander was on a panel), each session saw Strickling give a rundown of the decision to transition IANA in which he highlighted the same key messages.

He then took questions from the floor. This summary breaks down the approximately three-and-a-half hours of information and discussion into three parts:

- Key messages from the US government
- Responses to questions asked
- Interesting asides (for light relief)

* * *

Key messages

The US government's role in IANA is purely clerical

Both Strickling and Alexander repeatedly used the word "clerical" to describe the role that the US government plays in the IANA contract.

"Our role today is fairly clerical," said Strickling. Alexander reiterated the message: "What's on the table is the US government's role. That role is clerically administering the contract."

In a later session: "There is a template that has been agreed. We just verify that the process has been followed… our role is just clerical." And later still: "Our actual role is quite administrative or clerical in the sense that root zone change requests come through us, we look at them, verify them and pass them on to Verisign who actually implements and updates and maintains the root zone."

The word was even used to refer to the impact that the transition will have on the agreement the US government has with Verisign over making the actual changes

to the root zone. If the community decides on a transition process, the change in that contract should be merely "clerical", Strickling told government representatives.

A definition of 'clerical' by the Oxford English Dictionary: "Concerned with or relating to work in an office, especially routine documentation and administrative tasks."

Other terms used to describe the US government's role included "narrow scope", "symbolic" and "quite limited".

There are four key principles – and that's it

Strickling reiterated the four "principles" that accompanied the announcement of the transition in each session, noting every time that they were "not controversial" and that he had "heard no disagreement" with them.

The four were referred to as the "principles", "conditions" even "corners" of the transition process. Strickling repeatedly stressed that they are the only constraints on the process and the only items by which the transition will be judged and approved (except one significant exception — see the next point).

Those principles are:

- 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 services, and
- Maintain the openness of the Internet

Asked repeatedly for further details, constraints, pre-conditions, preferences or any other details that would define the process, Strickling insisted there were none.

Examples of quotes: "I don't wish to pre-judge anything"; "I don't have a sketch for how this looks and even if I did, it wouldn't be fair to submit as more than one stakeholder's view"; "you can't have anything at the front end saying you can't consider this or you can't go that direction — particularly from us as the final arbiter — that would not be true to the spirit of the multistakeholder process"; "the criteria communicated are the only criteria".

Governments are only one stakeholder and cannot be in charge

The one explicit constraint included in the transition announcement was that "NTIA will not accept a proposal that replaces the NTIA role with a government-led or an inter-governmental organization solution".

In the announcement, this was preceded with the explanation that the US Congress had passed resolutions that made it clear that the "multistakeholder model" was the only model that was acceptable for Internet governance issues (those resolutions were largely in response to the ITU-run World Conference on International

Telecommunications (WCIT) in December 2012).

With respect to the "no government-led solution" sentence, Strickling repeatedly stressed the same point: that it may have been misinterpreted to say that governments had *no* role to play in a future IANA contract whereas the position of the US government was that governments were just one stakeholder in the multistakeholder model and should not be given a pre-eminent position.

He told the pre-conference on Internet governance: "One issue is crystal clear — we will not acceptable a proposal where a government-led or inter-governmental organization is put into the role we play."

Later: "It is not the case that governments should not play any role. I fully expect and welcome the role of governments." Also: "We're not saying governments don't play a role — clearly they need to be part of a discussion — but we don't want to replace a single government solution with a multi-government solution." Later still, and directly to government representatives: "Some of you may not like this but… we are saying very clearly that any solution should not be government led."

The answer to the transition lies in IANA's 'customers'

The phrase "customers" appears in the official announcement and was used repeatedly to describe not only who the IANA functions were aimed at but also how transition solutions should be

framed.

The different aspects of the IANA contract (protocols, names and numbers) were identified as having a different set of "customers" each.

"There are three primary functions and three different customers," explained Alexander. She later noted that the transition was a process of evolution and highlighted that the US government is "not the customers of those services".

Strickling argued that future discussions should "keep a focus on customers" and when asked about a specific possible change, replied: "It's a question that I again hope that the customers of IANA functions on the naming side are should have a lot of input into."

When asked about how the process should go move ahead, Strickling was careful not to "pre-judge" but noted that he felt it may be useful for there to be very clear explanations for what how the different aspects of the IANA functions actually work and that their "customers" may be in the best position to explain that.

US domestic politics are a factor

Strickling was characteristically blunt in his assessment of the political situation in Washington DC. Noting that there were already two Congressional hearings on the issue planned for next week, he warned that United States politics would play an important role in the IANA transition.

"We are already starting to see other issues emerge out of all this — people

need to be understanding of all that," he told the pre-conference meeting. "Not that they should be modifying their viewpoints, but already people are suggesting that the US is abandoning the Internet or this decision will inevitability lead to a loss of freedom of expression on Internet."

He outlined the impact on his own department: "We are being pushed by some political elements to keep emphasizing how conditional our offer was — of the transition — that conditions have to be satisfied."

In several different sessions, he noted that there were two key audiences to the Internet community's actions: developing countries and Washington policymakers. "The community has to step up to reassure policymakers in Washington, or those that simply want to comment to win political points, that you have a sense of responsibility and will ensure very important values such as free expression."

Free expression was identified repeatedly as a touchstone in Washington politics: "I'm extremely puzzled and troubled by the idea that's emerged that somehow this evolution is going to threaten free expression on the internet. I think they are trying to score political points. But it's an issue that certainly resonates with people in the United States when they hear these statements being made. They take it personally and they view that as a threat. And so it's something we need to nip in

the bud because it's wrong and because it'll cause constant friction."

"Don't let this become a political football," he urged, noting that the community can help by arriving at a "well thought through plan". He also urged that "this community come together quickly and be able to approach the goal of reaching consensus as quickly as possible".

Warning that the "chaotic" multistakeholder model will come under scrutiny, Strickling repeatedly warned that the "world is watching". He added: "It's important for the community to act with a real sense of purpose — engaged with this process and absolutely dedicated to arriving at a consensus outcome in a responsible, realistic and hopefully creative way. We can't let extraneous issues get in the way. There is too much at stake."

The bigger picture is developing countries and the multistakeholder process

Repeatedly playing down the importance of the US government's role over IANA (see its 'clerical' role above), Strickling repeatedly emphasized the more important Internet governance issues regarded developing nations and the multistakeholder model.

"My greatest concern is that by taking this action [announcing the IANA transition] it would suck all the oxygen out of the longer discussion — how to engage the developing world and build the multistakeholder model," he said, arguing that this should be the topic of

the upcoming NetMundial conference in Brazil.

His "deepest hope" is that the IANA announcement will serve as a "booster shot" to these other issues. The needs of developing countries was "reflected in Dubai" (at the WCIT conference): "They have a series of unmet needs and are looking for help and need a way to get that help."

Later: "The developing world is still not certain that the multistakeholder model will meet their needs. We've been talking about the benefits and value of this for years and years. Now's the chance [to prove it]."

ICANN accountability is something for the community to figure out

While arguing that the US government's role in IANA was purely clerical, Strickling noted repeatedly that there was a "symbolism" and "comfort" for some in the US government sitting "in the middle" of changes to the root zone. He also noted that this was also a cause of "irritation" for many others.

But asked frequently how the transition of IANA impacted the US government's ability to keep ICANN in check, he persistently pushed the issue back to the community. "In no way is the US government handing the keys to ICANN and walking away from it. We're asking community to step up and say what is it that you want to have: how do you replace the sense of confidence that somehow we are sitting in the middle? This is an important discussion for this

community to have."

Later: "Because people see the US contract as providing an overall sense of confidence about the system — which has also been a source of irritation — I fully expect community will want to start talking about that. Is there a vacuum of this larger question of accountability? We encourage that discussion — we haven't put it in play but we're not surprised community wants to talk about that and think that's good."

The "Affirmation of Commitments" (AoC) between the US government and ICANN remains untouched, Strickling noted many times. "We haven't done anything to say the AoC need to be changed or modified — it remains in place throughout this process."

But that "doesn't mean we can't talk about it — I expect [the IANA conversation] will segway into larger questions of accountability and transparency and how well the existing AoC operates." But to be "crystal clear", the IANA transition doesn't mean that the AoC is "out of touch or past due. It can work and should still work. If you want to improve — go to it."

Questions

The same questions repeatedly cropped up at the different sessions, eliciting the same broad responses…

What if the Internet community can't reach agreement by September 2015 (when the IANA contract is due to expire)?

The NTIA has the existing option of two,

two-year extensions to the existing contract and is happy to use them if the community hasn't reached agreement. The priority will always be the "security and stability of the Internet".

Strickling repeatedly stressed however that there needs to be movement and he sidestepped a question about the impact of possible political changes in the president elections of 2016.

Should there be a structural separation of ICANN and IANA?

Both US government representatives were at pains to avoid giving a view one way or another but did note that after community input in 2012, that the current IANA contract requires separation of policy and administration of the IANA contract.

Strickling did ask aloud whether the economic argument for a structural separation of ICANN and IANA existed — was the benefit from separation worth the inefficiency it would create? But he noted this was a debate for the community to have.

Concerns that ICANN will push its own IANA proposal

There were repeated questions over what the US government would accept (and not accept) as a transition plan, often laced with the fear that ICANN would push its own preferred model.

In every case, Strickling stressed that any solution would have to be done in as transparent a way as possible, with the full inclusion of all in the Internet community and that the US government

would only accept a proposal that was a proper consensus document.

"Everybody has a stake in that from ICANN management down to every organization or person who is part of this ecosystem. And so I think it behooves everyone to make sure that that's happening every step of the way. And we won't hesitate to give our view that we don't see that happening."

It was the community's responsibility to make a lot of noise if it felt it wasn't be listened to, Strickling said, noting that the US government will "continue to monitor" the process.

The creation of a new organization

There were a number of questions about whether a new organization would need to be created in order to take over the current US government role. Strickling wouldn't be drawn on the issue (if that it is the consensus plan, then so be it), but he did note that he could easily foresee a doing-away with the role altogether and a "machine-to-machine" automated process being introduced instead, removing altogether the role the US government has played for more than a decade.

Interesting asides

Whenever you are grilled on all sides of a topic for several hours, it hard not to let the occasional interesting aside creep in. These are the most interesting from four days of IANA transition discussions:

Sarah Palin

A perennial figure of fun for Democrats in the United States, former vice-

presidential pick Sarah Palin is renowned for making fervent political statements based on the slimmest of information. Strickling couldn't resist but point to a Facebook post by Palin as an example of the kind of misinformed domestic politics he faces back home.

"It's absolutely an emerging item in the political debate in Washington. I mean just go look — Sarah Palin has made a Facebook post on this. Now I'm sure Sarah Palin is very well acquainted with the IANA functions. And I'm sure that, you know, if she wants to show up at an ICANN meeting or at Net Mundial to participate I'm sure she would be welcomed.

"But she's expressing a viewpoint that is very troubling in terms of what we're trying to accomplish here. And it's all being done not because at the end of the day she cares one bit about the IANA functions or ICANN. I doubt that she could tell you what any of the letters in the acronym stand for. It's all being done for political gain in the domestic politics in the US."

Russia and Crimea

Asked about the controversy at the WCIT conference in December 2012, an effort by some nations — particularly Russia — to pull the Internet under the auspices of the United Nations, and noting that the US government's clearly stated position that IANA would not be given to an inter-governmental organization may not be popular, Strickling used a current diplomatic crisis to make his point.

"I can't say for certain that some nation won't attempt to bring it back… but there's one that, you know, has got some issues in Crimea right now and maybe people won't be too disposed to listen to them this time."

The ITU option

Having been pressed repeatedly over what the US government would or would not accept as a transition plan, and having refused repeatedly to be drawn into giving any opinion, he was finally asked if there was *any* plan that the community could provide as a consensus document that he would not accept.

"Yeah — if you throw in the towel and say 'let's give it to the ITU'."

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Sessions and resources

Friday, 21 March

ICANN & Global Internet Governance: The Road to São Paulo & Beyond

— Audio

— Video: Roadmap for Ecosystem Evolution

— Video: Fiona Alexander (4hrs 20mins in, ends at 5hrs 46mins)

— Video: Larry Strickling (7hrs 31mins in, ends at 7hrs 51mins)

Sunday, 23 March

GAC Plenary

— Audio: starts at 13mins 32 secs.

Tuesday, 25 March

ccNSO session

— Audio: starts at 29mins 43 secs

Non Commercial Users Constituency (NCUC)

— Transcript: pages 48-76

Commercial Stakeholder Group (CSG) — Audio: starts at 25mins 30 secs

By Kieren McCarthy, Executive Director at IFFOR; CEO at .Nxt. More blog posts from Kieren McCarthy can also be read here.