**Draft of Principles and Criteria that Should Underpin Decisions on the Transition of NTIA Stewardship**

**Introduction**  
These principles and criteria are meant to be the basis on which the decisions on the transition of NTIA stewardship are formed. This means that the proposals can be tested against the principles and criteria before they are sent to the ICG.

* 1. Security and stability: Changes must not undermine the operation of the IANA function and should ensure accountability and good stewardship of the service.
  2. Oversight, accountability and transparency: the service should be accountable and transparent.
     1. Transparency: Transparency is a prerequisite of accountability. While there might be commercial confidentiality concerns or concerns over operational continuity during the process of delegation or redelegation of a TLD, the final decision and the rationale for that decision should be made public.
     2. Independence of policy from IANA: The IANA operator should be independent of the policy processes. Its role is to implement changes in accordance with policy agreed through the relevant bottom up policy process. [Note: this does not pre-suppose any model for separation of the policy and IANA roles. The current contract already requires such separation]
     3. Protection against Capture: Safeguards need to be in place to prevent capture of the service and of any oversight or stewardship function.
     4. Performance against service level commitments and against the agreed policy base. This should be monitored and there should be a mechanism to ensure that failures are corrected.
     5. Appeals: In cases of any significant or irreversible decision (redelegations, for example), there should be an appeals process open to the affected parties and this should be open to public scrutiny.
  3. Service levels: The performance of the IANA functions must be carried out in a reliable, timely and efficient manner. It is a vital service and any proposal should ensure continuity of service over the transition and beyond, meeting a recognised and agreed-upon quality of service and in line with service-level commitments.
     1. Service level commitments should be adaptable to developing needs of consumers of the IANA function and subject to continued improvement.
     2. The process should be automated for all routine functions.
     3. Service quality should be independently audited (ex-post review) against agreed commitments.
  4. Policy based: Decisions and actions of the IANA Functions operator should be based on policy agreed to through the recognised bottom-up multi-stakeholder processes. As such, decisions and actions should be:
     1. Predictable: Decisions are clearly rooted in agreed policy. In the case of ccTLDs, the bottom-up policy process occurs through the ccNSO, which has carried this out in an open process. For gTLDs, the policy authority is the GNSO.
     2. Non-discriminatory;
     3. Audited (ex-post review); and
     4. Appealable by affected parties.
  5. Diversity of IANA’s Customers: IANA’s operations need to take account of the variety of forms of relationship between TLD operators and the IANA functions operator. The transition will need to reflect the diversity of arrangements in servicing the direct users of the IANA function.  
       
     For ccTLDs: the IANA should provide a service without requiring a contract and should respect the diversity of agreements and arrangements in place for ccTLDs. In particular, the national policy authority or legislation (related to the ccTLD operator) should be respected and no additional requirements should be imposed unless it is directly and demonstrably linked to global security, stability and resiliency of the DNS.