



# C.7.3 – Plan for Transition to Successor Contractor

April 2014

## Contract requirement

The current IANA Functions contract requires ICANN to provide a plan that would allow ICANN to transition performance of the IANA Functions to a successor organization:

C.7.3 Transition to Successor Contractor – In the event the Government selects a successor contractor, the Contractor shall have a plan in place for transitioning each of the IANA functions to ensure an orderly transition while maintaining continuity and security of operations. The plan shall be submitted to the COR eighteen (18) months after date of contract award, reviewed annually, and updated as appropriate.”

Contract modification No. 0002, dated 30 April 2013, changed the date of this deliverable to 14 April 2014.

## Document Structure

The current IANA Functions contract describes a number of functions, systems, processes and documents that would need to be transitioned from ICANN to a successor organization, should the Government select a successor contractor to perform the IANA Functions. This document identifies those functions, systems, processes and documents that might need to be transitioned, including actions that would be required. The table below links the contract clauses with the relevant parts of the transition plan.

Contract clause	Title	Contract Requirement	Section Number(s)
C.2.6	Transparency and Accountability	Publish user instructions	1
C.2.7	Responsibility and Respect for Stakeholders	Document the source of the policies and procedures	1
C.2.8	Performance Standards	Agree performance standards	1
C.2.9.1	Coordinate The Assignment Of Technical Protocol Parameters including the management of the Address and Routing Parameter Area (ARPA) TLD	Publish protocol parameter registries including .ARPA and sign .ARPA with DNSSEC	1, 2, 4
C.2.9.2.a/b/e	Perform Administrative Functions Associated With Root Zone Management	Perform routine root management changes	1, 3, 4
C.2.9.2.c/d	Delegation and Redelegation...	Perform delegations and redelegations for ccTLDs and gTLDs	1

<b>C.2.9.2.f</b>	Root Domain Name System Security Extensions (DNSSEC) Key Management	Root DNSSEC KSK management	6
<b>C.2.9.2.g</b>	Customer Service Complaint Resolution Process (CSCR)	Develop a complaint resolution process	1
<b>C.2.9.3</b>	Allocate Internet Numbering Resources	Allocate Internet Numbering Resources	1,7
<b>C.2.9.4</b>	Other services	Manage the .INT TLD	2, 4
<b>C.3.2</b>	Secure Systems Notification	Notification system	5
<b>C.4.3 / C.5.2</b>	Root Zone Management Dashboard	Root management dashboard	4
<b>C.4.4</b>	Performance Standards Reports	Performance Standards reports	1, 4
<b>C.5.1</b>	Audit Data	Keep logs going back one year	1, 3, 4
<b>C.5.2</b>	Root Zone Management Audit Data	Root management dashboard	4

## Transition Actions

Below is an overview of the actions ICANN would take to transition the performance of the IANA Functions to a successor organization.

### 1. Documents published on ICANN's IANA website

ICANN would provide copies of, or links to, the publicly available text for all processes, performance standards, request templates and other pages used to support operations or provide context to reporting.

### 2. IANA Functions registry data

ICANN would provide a copy of all registry data for Protocol Parameter and Internet Number Resources registries, including a copy of the .ARPA zone file.

ICANN would also provide the public registration data for the root DNS zone, along with management information, such as special instructions from governments associated with ccTLDs.

ICANN would provide a copy of the .INT zone file, along with the contact information for the registrants.

### 3. Root Zone Automation system design

ICANN would provide a description of the functional requirements that a successor might need in order to develop a Root Zone Management software suite, along with descriptions of the APIs.

#### **4. Request history data**

ICANN would provide a copy of the databases it has used to store requests data, including ticketing systems and workflow management systems used for protocol parameter registries and the maintenance of the Root DNS Zone. ICANN would also provide copies of any published reports and paper records it holds supporting these request histories.

#### **5. Secure notification system data**

ICANN would provide details of the notification categories, the subscribers to those categories and a history of notifications.

#### **6. Root KSK transition**

In 2010, ICANN developed a Root Zone KSK Operator Function Termination Plan that sets out the steps ICANN would take if required to transition its duties and responsibilities as the Root Zone Key Signing Key (KSK) operator to another entity. This plan was provided to NTIA in 2010.

### **Deliverables Not requiring Transition**

There are a number of contract deliverables that ICANN is required to provide to the NTIA under the IANA Functions contract that will not need to be provided to a successor organization in order for that successor organization to perform the IANA Functions. These include, but are not limited to, C.4.2 (Monthly Performance Progress reports), C.4.5 (Customer Satisfaction Surveys), C.5.3 (External Auditor reports), C.6 (Conflicts of Interest processes established by ICANN), and C.7.2 (ICANN's Contingency and Continuity of Operations Plan).

### **Conclusion**

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