

III.A.1.1.1– Transition to successor contractor	
Background / Current State	
<p>Currently section C.7.3 of the NTIA IANA Functions Contract defines the requirement for a transition to successor plan. A deliverable to this clause has been provided by ICANN located at https://www.iana.org/reports/2014/transition-plan-201404.pdf</p>	
Issues Identified & Rationale for Changes, if any	
<ol style="list-style-type: none"> 1. The transition to successor plan is extremely high level and does not provide any operational details with which a transition may be executed. 2. A detailed framework outlining the steps and requirements of all parties must be produced to preserve the stability and integrity of the IANA functions during any transition of said functions. 	
[Reference the current language of the IANA Functions Contract, if applicable]	Proposed Language
<p>(From ICANN's current transition plan, see above pdf)</p> <p>C.7.3 – Plan for Transition to Successor Contractor</p> <p>Contract requirement</p> <p>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:</p> <p style="padding-left: 40px;">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.</p>	<p>The proposed framework will be guided by the following principles:</p> <ol style="list-style-type: none"> 1. Any transition in the operations of the IANA functions will be performed as per the current requirements of the deliverable C.7.3 Transition to Successor Contractor Plan (See above). To provide greater stability and more detailed planning a Technical Transition Framework (TTF) – (Located in Appendix X) is in the process of being drafted to operationalise the outline provided by C.7.3 2. The Integrity, Stability and Availability of the IANA functions must be the core concern during any transition of the IANA functions. 3. Both the current and any possible future IANA functions operators will be required to fully engage in the transition plan if it is activated 4. All involved parties will be required to provide appropriate transition staff and expertise to facilitate a stable transition of the IANA operations if the TTF is implemented.

The current transition to successor contractor plan¹ outlines the following transition actions:

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. C.7.3 – Plan for Transition to successor April 2014 C.7.3 – Plan for Transition to successor/Final/LLV
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.

The plan further sets out a number of contract deliverables which are identified as 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

¹ <https://www.iana.org/reports/2014/transition-plan-201404.pdf>