Annex 05 – Details on Recommendation #5: Changing aspects of ICANN's Mission, Commitments and Core Values

1. Summary

The CCWG-Accountability is recommending changes to the ICANN Bylaws to assure that the Bylaws reflect the CCWG-Accountability recommendations.

 Note: The language proposed in this recommendation for ICANN Bylaw revisions is conceptual in nature at this stage. External legal counsel and the ICANN legal team will draft final language for these revisions to the Articles of Incorporation and Bylaws.

Mission Statement

The CCWG-Accountability recommends the following changes to ICANN's "Mission Statement," (Bylaws, Article I, Section 1):

- Clarify that ICANN's Mission is limited to coordinating the development and implementation of policies that are designed to ensure the stable and secure operation of the Domain Name System and are reasonably necessary to facilitate its openness, interoperability, resilience, and/or stability.
- Clarify that ICANN's Mission does not include the regulation of services that use the Domain Name System or the regulation of the content these services carry or provide.
- Clarify that ICANN's powers are "enumerated." Simply, this means that anything that is not articulated in the Bylaws is outside the scope of ICANN's authority.
 - Note: This does not mean ICANN's powers can never evolve. However it ensures that any changes will be deliberate and supported by the community.

Core Values

The CCWG-Accountability recommends the following changes to ICANN's "Core Values" (Bylaws, Article I, Section 2 and Article II, Section 3):

• Divide ICANN's existing Core Values provisions into Commitments and "Core Values".

- Incorporate ICANN's obligation to 'operate for the benefit of the Internet community as a whole, and to carry out its activities in accordance with applicable law and international law and conventions through open and transparent processes that enable competition' into the Bylaws.
- Note: These obligations are currently contained in ICANN's Articles of Incorporation.
- Designate certain Core Values as "Commitments". ICANN's Commitments will include
 the values that are fundamental to ICANN's operation, and are intended to apply
 consistently and comprehensively.

Commitments will include ICANN's obligations to:

- Preserve and enhance the stability, reliability, security, global interoperability, resilience, and openness of the DNS and the Internet;
- Limit its activities to those within ICANN's Mission that require, or significantly benefit from, global coordination;
- o Employ open, transparent, bottom-up, multistakeholder processes; and
- Apply policies consistently, neutrally, objectively and fairly, without singling any party out for discriminatory treatment.
- Slightly modify the remaining Core Values to:
 - Reflect various provisions in the Affirmation of Commitments, such as efficiency, operational excellence, and fiscal responsibility.
 - Add an obligation to avoid capture.

Balancing or Reconciliation Test

The CCWG-Accountability recommends modification to the "balancing" language in the ICANN Bylaws to clarify the manner in which this balancing or reconciliation takes place. Specifically:

These Commitments and Core Values are intended to apply in the broadest possible range of circumstances. The Commitments reflect ICANN's fundamental compact with

the global Internet community and are intended to apply consistently and comprehensively to ICANN's activities. The specific way in which Core Values apply, individually and collectively, to each new situation may depend on many factors that cannot be fully anticipated or enumerated. Situations may arise in which perfect fidelity to all Core Values simultaneously is not possible. In any situation where one Core Value must be reconciled with another, potentially competing Core Value, the balancing must further an important public interest goal within ICANN's Mission that is identified through the bottom-up, multistakeholder process.

Fundamental Bylaws Provisions

The CCWG-Accountability recommends that the revised Mission Statement, Commitments and Core Values be constituted as Fundamental Bylaws. (See: Recommendation #3: Redefining ICANN's Bylaws as 'Standard Bylaws' and 'Fundamental Bylaws')

2. CCWG-Accountability Recommendations

Modify ICANN's Fundamental Bylaws to implement the following:

- Clarify that ICANN's Mission is limited to coordinating the development and implementation of policies that are designed to ensure the stable and secure operation of the Domain Name System and are reasonably necessary to facilitate its openness, interoperability, resilience, and/or stability.
- Clarify that ICANN's Mission does not include the regulation of services that use the Domain Name System or the regulation of the content these services carry or provide.
- Clarify that ICANN's powers are "enumerated." Simply, this means that anything that is not articulated in the Bylaws is outside the scope of ICANN's authority.
- Divide ICANN's existing Core Values provisions into Commitments and "Core Values."
- Designate certain Core Values as "Commitments."
- Slightly modify ICANN's remaining Core Values.
- Modify the "balancing" language in the ICANN Bylaws to clarify the manner in which this balancing or reconciliation takes place.

 Constitute the revised Mission Statement, Commitments and Core Values as Fundamental Bylaws.

Note: Specific recommendations on how to implement these modifications can be found at the end of the next section.

3. Detailed Explanation of Recommendations

Background

To whom is ICANN accountable? For what is it accountable? Those questions were a necessary starting point for the work of the CCWG-Accountability, and the answers inform all of our recommendations. Our work on the Independent Review Process attempts to answer the first question. The Bylaws changes recommended here are designed to answer the second. Most important, ICANN has a limited Mission, and it must be accountable for actions that exceed the scope of its Mission. In undertaking its Mission, ICANN is also obligated to adhere to policy supported by community consensus and an agreed-upon standard of behavior, articulated through its Commitments and Core Values. Taken together, the proposed Mission, Commitments, and Core Values statement articulate the standard against which ICANN's behavior can be measured and to which it can be held accountable. Because these Bylaws provisions are fundamental to ICANN's accountability, we propose that they be adopted as Fundamental Bylaws that can only be changed with the approval of the community subject to procedural and substantive safeguards.

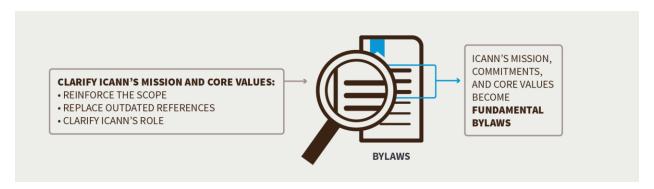
Mission and Core Values

ICANN's current Bylaws contain:

- a Mission statement
- a statement of Core Values; and
- a provision prohibiting policies and practices that are inequitable or single out any party for disparate treatment.

These three sections are at the heart of ICANN's accountability because they obligate ICANN to act only within the scope of its limited Mission, and to conduct its activities in accordance with certain fundamental principles. As such, these three sections also provide a standard against which ICANN's conduct can be measured and held accountable through existing and enhanced mechanisms such as the Independent Review Process and the Request for Reconsideration process.¹

Based on community input and CCWG-Accountability discussions, it was concluded that these ICANN Bylaw provisions, which were originally adopted in 2003, should be strengthened and enhanced to provide greater assurances that ICANN is accountable to its stakeholders and the global Internet community.



In particular, the CCWG-Accountability found that:

- ICANN's Mission statement needed clarification with respect to the scope of ICANN's policy authority.
- The language in the Bylaws describing how ICANN should apply its Core Values was weak and could permit ICANN decision-makers to exercise excessive discretion.
- The current Bylaws did not reflect key elements of the Affirmation of Commitments.
- The Board should have only a limited ability to change these key accountability provisions of ICANN's Bylaws.

The CCWG-Accountability recommendations to change aspects of ICANN's Mission,
Commitments and Core Values are to address the deficiencies described above. The CCWG-

¹ The current relevant language on this in the ICANN Bylaws was adopted in 2003.

Accountability discussed how to balance the needs of limiting ICANN's Mission and the necessary ability of the organization to adjust to a changing environment.

Mission Statement



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- Clarify that ICANN's Mission does not include the regulation of services that use the Domain Name System or the regulation of the content these services carry or provide.
- Clarify that ICANN's powers are "enumerated". Simply, this means that anything that is not articulated in the Bylaws is outside the scope of ICANN's authority.
 - Note: This does not mean ICANN's powers can never evolve, however it ensures that any changes will be deliberate and supported by the community.

Core Values



The CCWG-Accountability recommends the following changes to ICANN's "Core Values" (Bylaws, Article I, Section 2 and Article II, Section 3):

- Divide ICANN's existing Core Values provisions into Commitments and "Core Values."
 - Incorporate ICANN's obligation to 'operate for the benefit of the Internet community as a whole, and to carry out its activities in accordance with applicable law and international law and conventions through open and transparent processes that enable competition' into the Bylaws.
 - Note: These obligations are currently contained in ICANN's Articles of Incorporation.
- Designate certain Core Values as "Commitments." ICANN's Commitments will include
 the values that are fundamental to ICANN's operation, and are intended to apply
 consistently and comprehensively.

Commitments will include ICANN's obligations to:

- Preserve and enhance the stability, reliability, security, global interoperability, resilience, and openness of the DNS and the Internet;
- Limit its activities to those within ICANN's Mission that require or significantly benefit from global coordination;
- o Employ open, transparent, bottom-up, multistakeholder processes; and
- Apply policies consistently, neutrally, objectively and fairly, without singling any party out for discriminatory treatment.
- Slightly modify the remaining Core Values to:
 - Reflect various provisions in the Affirmation of Commitments, such as efficiency, operational excellence, and fiscal responsibility.

Add an obligation to avoid capture.

Balancing or Reconciliation Test

The CCWG-Accountability recommends modification to the "balancing" language in the ICANN Bylaws to clarify the manner in which this balancing or reconciliation takes place. Specifically:

These Commitments and Core Values are intended to apply in the broadest possible range of circumstances. The Commitments reflect ICANN's fundamental compact with the global Internet community and are intended to apply consistently and comprehensively to ICANN's activities. The specific way in which Core Values apply, individually and collectively, to each new situation may depend on many factors that cannot be fully anticipated or enumerated. Situations may arise in which perfect fidelity to all Core Values simultaneously is not possible. In any situation where one Core Value must be reconciled with another, potentially competing Core Value, the balancing must further an important public interest goal within ICANN's Mission that is identified through the bottom-up, multistakeholder process.

Fundamental Bylaws Provisions

The CCWG-Accountability recommends that the revised Mission Statement, Commitments and Core Values be constituted as Fundamental Bylaws. (See: Recommendation #3: Redefining ICANN's Bylaws as 'Standard Bylaws' and 'Fundamental Bylaws')

4. Changes from the 'Second Draft Proposal on Work Stream 1 Recommendations'

The CCWG-Accountability attempted to minimize changes to current ICANN Bylaw language. In the forthcoming charts, the CCWG-Accountability has included a redline of the existing Bylaw language to show its proposed changes.

Existing Bylaws	2 nd Draft Proposal	3 rd Draft Proposal
The mission of The	The Mission of The Internet	The Mission of The Internet

Corporation for Assigned Internet Corporation for Corporation for Assigned Assigned Names and Names and Numbers Names and Numbers Numbers ("ICANN") is to ("ICANN") is to coordinate, at ("ICANN") is to support, at coordinate, at the overall the overall level, core Internet the overall level, the global level, the global Internet's Internet's systems of unique registries, and in particular to identifiers, and in particular to ensure the stable and secure systems of unique identifiers, and in ensure the stable and secure operation of the Internet's particular to ensure the operation of the Internet's unique identifier systems as stable and secure unique identifier systems. In described below. In particular, operation of the Internet's particular, ICANN: Specifically, ICANN: unique identifier systems. In particular, ICANN: 1. Coordinates the 1. Coordinates the allocation This language has been allocation and assignment and assignment of the three modified and distributed over of the three sets of unique sets of unique identifiers for the specific functions. See identifiers for the Internet. the Internet, which are: below. which are: a. [Coordinates the a. [Coordinates the allocation 1. Coordinates the allocation allocation and assignment and assignment of Domain and assignment of names in of/ Domain names names (forming a system the root zone of the Domain referred to as "DNS"); (forming a system referred Name System ("DNS"). In this to as "DNS"); role, ICANN's Mission is to coordinate the development and implementation of policies: • For which uniform or coordinated resolution is reasonably necessary to facilitate the openness, interoperability, resilience, security and/or stability: • That are developed

		through a bottom-up, consensus-based multi- stakeholder process and designed to ensure the stable and secure operation of the Internet's unique names systems.
2. Coordinates the operation and evolution of the DNS root name server system.	2. Coordinates the operation and evolution of the DNS root name server system.	2. Coordinates the operation and evolution of the DNS root name server system. In this role, ICANN's Mission is to [to be provided by root server operators].
b. [Coordinates the allocation and assignment of] Internet protocol ("IP") addresses and autonomous system ("AS") numbers; and	b. [Coordinates the allocation and assignment of] Internet protocol ("IP") addresses and autonomous system ("AS") numbers; and	3. Coordinates the allocation and assignment at the topmost level of Internet Protocol ("IP") and Autonomous System ("AS") numbers. ICANN's Mission is described in the ASO MoU between ICANN and RIRs.
c. [Coordinates the allocation and assignment of] Protocol port and parameter numbers.	c. [Coordinates the allocation and assignment of] Protocol port and parameter numbers.	4. Collaborates with other bodies as appropriate to publish core registries needed for the functioning of the Internet. In this role, with respect to protocol ports and parameters, ICANN's Mission is to provide registration services and open access for registries in the public

		domain requested by Internet protocol development organizations, such as the Internet Engineering Task Force.
3. Coordinates policy	3. Coordinates policy	The chapeau has been deleted
development reasonably	development reasonably and	been distributed as shown abo
and appropriately related	appropriately related to these	
to these technical	technical functions.	
functions.	 a. In this role, with respect to domain names, ICANN's Mission is to coordinate the development and implementation of policies: For which uniform or coordinated resolution is reasonably necessary to facilitate the openness, interoperability, resilience, security and/or stability of the DNS; and That are developed through a bottom-up, consensus-based multi-stakeholder process and designed to ensure the stable and secure operation of the Internet's unique names systems. b. In this role, with respect to IP addresses and AS numbers, ICANN's Mission is described in the ASO MoU between ICANN and RIRs. 	
	c. In this role, with respect to	

protocol port and parameter numbers, ICANN's Mission is to [to be provided by the IETF]. [IN MOU AND SUPPLEMENTAL AGREEMENTS WITH ...]

d. In this role, with respect to the DNS root server system, ICANN's Mission is to [to be provided by root server operators].

ICANN shall have no power to act other than in accordance with, and as reasonably appropriate to achieve its Mission.

Without in any way limiting the foregoing absolute prohibition, ICANN shall not regulate services that use the Internet's unique identifiers, or the content that such services carry or provide.

ICANN shall have no power to act strictly other than in accordance with, and only as reasonably appropriate to achieve its Mission.

Without in any way limiting the foregoing absolute prohibition, ICANN shall not impose regulations on services (i.e., any software process that accepts connections from the Internet) that use the Internet's unique identifiers, or the content that such services carry or provide.

ICANN shall have the ability to negotiate, enter into and enforce agreements with contracted parties in [service of][support of][furtherance of]

	its Mission.

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	2 nd Draft Proposal	3rd Draft Proposal (changes from 2 nd Draft Proposal in RED)
Section 2. CORE VALUES In performing its mission, the following core values should guide the decisions and actions of ICANN:	Section 2. COMMITMENTS & CORE VALUES In carrying out its Mission, ICANN will act in a manner that complies with and reflects ICANN's Commitments and respects ICANN's Core Values, both described below.	Section 2. COMMITMENTS & CORE VALUES In carrying out its Mission, ICANN will act in a manner that complies with and reflects ICANN's Commitments and respects ICANN's Core Values, both described below.
	COMMITMENTS	COMMITMENTS
	1. In performing its Mission, ICANN must operate in a manner consistent with its Bylaws for the benefit of the Internet community as a whole, carrying out its activities in conformity with relevant principles of international law and international conventions, and applicable local law and through open and transparent processes that enable competition and open entry in Internet-related	1. In performing its Mission, ICANN must operate in a manner consistent with its Bylaws for the benefit of the Internet community as a whole, carrying out its activities in conformity with relevant principles of international law and international conventions, and applicable local law and through open and transparent processes

	markets. Specifically, ICANN's action must:	that enable competition and open entry in Internet- related markets. Specifically, ICANN's action must:
1. Preserving and enhancing the operational stability, reliability, security, and global interoperability of the Internet.	2. Preserve and enhance the neutral and judgment free operation of the DNS, and the operational stability, reliability, security, global interoperability, resilience, and openness of the DNS and the Internet;	2. Preserve and enhance the neutral and judgment free operation of the DNS, and the operational stability, reliability, security, global interoperability, resilience, and openness of the DNS and the Internet;
	3. Maintain the capacity and ability to coordinate the DNS at the overall level and to work for the maintenance of a single, interoperable Internet;	3. Maintain the capacity and ability to coordinate the DNS at the overall level and to work for the maintenance of a single, interoperable Internet;
2. Respecting the creativity, innovation, and flow of information made possible by the Internet by limiting ICANN's activities to those matters within ICANN's mission requiring or significantly benefiting from global coordination.	4. Respect the creativity, innovation, and flow of information made possible by the Internet by limiting ICANN's activities to matters that are within ICANN's Mission and require or significantly benefit from global coordination;	4. Respect the creativity, innovation, and flow of information made possible by the Internet by limiting ICANN's activities to matters that are within ICANN's Mission and require or significantly benefit from global coordination;
7. Employing open and transparent policy development mechanisms that (i)	5. Employ open, transparent and bottom-up, multistakeholder policy development processes, led by the private sector, including	5. Employ open, transparent and bottom-up, multistakeholder policy development processes, led

promote well-informed decisions based on expert advice, and (ii) ensure that those entities most affected can assist in the policy development process.

business stakeholders, civil society, the technical community, and academia that (i) seek input from the public, for whose benefit ICANN shall in all events act, (ii) promote well-informed decisions based on expert advice, and (iii) ensure that those entities most affected can assist in the policy development process;

by the private sector, including business stakeholders, civil society, the technical community, academia, and end users, while duly taking into account the public policy advice of governments and public authorities that (i) seek input from the public, for whose benefit ICANN shall in all events act, (ii) promote well-informed decisions based on expert advice, and (iii) ensure that those entities most affected can assist in the policy development process;

8. Making decisions by applying documented policies neutrally and objectively, with integrity and fairness.

(From ARTICLE II, Section 3. NON-DISCRIMINATORY TREATMENT)

ICANN shall not apply its standards, policies, procedures, or practices inequitably or single out 6. Make decisions by applying documented policies consistently, neutrally, objectively, and fairly, without singling out any particular party for discriminatory treatment;

6. Make decisions by applying documented policies consistently, neutrally, objectively, and fairly, without singling out any particular party for discriminatory treatment;

any particular party for disparate treatment unless justified by substantial and reasonable cause, such as the promotion of effective competition.		
10. Remaining accountable to the Internet community through mechanisms that enhance ICANN's effectiveness.	7. Remain accountable to the Internet Community through mechanisms defined in the Bylaws that enhance ICANN's effectiveness.	7. Remain accountable to the Internet Community through mechanisms defined in the Bylaws that enhance ICANN's effectiveness.
	Core Values: 1. In performing its Mission, the following core values should also guide the decisions and actions of ICANN:	1. In performing its Mission, the following core values should also guide the decisions and actions of ICANN:
3. To the extent feasible and appropriate, delegating coordination functions to or recognizing the policy role of other responsible entities that reflect the interests of affected parties.	2. Delegating coordination functions to or recognizing the policy role of other responsible entities that reflect the interests of affected parties and the roles of both ICANN's internal bodies and external expert bodies;	2. To the extent feasible and appropriate, delegating coordination functions to or recognizing the policy role of other responsible entities that reflect the interests of affected parties and the roles of both ICANN's internal bodies and external expert bodies;

- 4. Seeking and supporting broad, informed participation reflecting the functional, geographic, and cultural diversity of the Internet at all levels of policy development and decision-making.
- 2. Seeking and supporting broad, informed participation reflecting the functional, geographic, and cultural diversity of the Internet at all levels of policy development and decision-making to ensure that the bottom-up, multistakeholder policy development process is used to ascertain the global public interest and that those processes are accountable and transparent;
- 3. Seeking and supporting broad, informed participation reflecting the functional, geographic, and cultural diversity of the Internet at all levels of policy development and decision-making to ensure that the bottom-up, multistakeholder policy development process is used to ascertain the global public interest and that those processes are accountable and transparent;

- 5. Where feasible and appropriate, depending on market mechanisms to promote and sustain a competitive environment.
- 4. Depending on market mechanisms to promote and sustain a healthy competitive environment in the DNS market.
- 4. Depending on market mechanisms to promote and sustain a healthy competitive environment in the DNS market.

- 6. Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest.
- 5. Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest as identified through the bottom-up, multistakeholder policy development process.
- 5. Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest as identified through the bottom-up, multistakeholder policy development process.

9. Acting with a speed 6. Operate with efficiency and 6. Operate with efficiency that is responsive to the excellence, in a fiscally responsible and excellence, in a fiscally needs of the Internet and accountable manner and at a responsible and accountable while, as part of the speed that is responsive to the manner and at a speed that needs of the global Internet is responsive to the needs decision-making process, obtaining informed input community. of the global Internet from those entities most community. affected. 11. While remaining 7. While remaining rooted in the 7. While remaining rooted rooted in the private private sector, including business in the private sector, stakeholders, civil society, the sector, recognizing that including business governments and public technical community, and stakeholders, civil society, authorities are academia, recognizing that the technical community, responsible for public governments and public academia, and end users, policy and duly taking authorities are responsible for recognizing that into account public policy and duly taking into governments and public governments' or public account the public policy advice authorities are responsible authorities' of governments and public for public policy and duly recommendations. authorities. taking into account the public policy advice of governments and public authorities. 8. Striving to achieve a 8. Striving to achieve a reasonable balance between reasonable balance between the the interests of different interests of different stakeholders. stakeholders. These Commitments and These core values are These Commitments and Core Core Values are intended to deliberately expressed in Values are intended to apply in

very general terms, so that they may provide useful and relevant guidance in the broadest possible range of circumstances.

Because they are not narrowly prescriptive, the specific way in which they apply, individually and collectively, to each new situation will necessarily depend on many factors that cannot be fully anticipated or enumerated; and because they are statements of principle rather than practice, situations will inevitably arise in which perfect fidelity to all eleven core values simultaneously is not possible.

Any ICANN body making a recommendation or decision shall exercise its judgment to determine which core values are most relevant and how the broadest possible range of circumstances. The Commitments reflect ICANN's fundamental compact with the global Internet community and are intended to apply consistently and comprehensively to ICANN's activities.

The specific way in which Core Values apply, individually and collectively, to each new situation may depend on many factors that cannot be fully anticipated or enumerated. Situations may arise in which perfect fidelity to all Core Values simultaneously is not possible.

In any situation where one Core Value must be reconciled with another, potentially competing Core Value, the balancing must further an important public interest goal within ICANN's Mission that is identified through the bottom-up, multistakeholder process.

apply in the broadest possible range of circumstances. The Commitments reflect ICANN's fundamental compact with the global Internet community and are intended to apply consistently and comprehensively to ICANN's activities.

The specific way in which Core Values apply, individually and collectively, to each new situation may depend on many factors that cannot be fully anticipated or enumerated. Situations may arise in which perfect fidelity to all Core Values simultaneously is not possible.

In any situation where one Core Value must be reconciled with another, potentially competing Core Value, the balancing must further an important public interest goal within ICANN's Mission that is identified through the bottom-up,

multistakeholder process.

Additional changes from 'Second Draft Report on Work Stream 1 Recommendations' include:

1. Mission language amended for Protocols after a request from the Internet Architecture Board"

Collaborates with other bodies as appropriate to publish core registries needed for the functioning of the Internet. In this role, with respect to protocol ports and parameters, ICANN's Mission is to provide registration services and open access for registries in the public domain requested by Internet protocol development organizations, such as the Internet Engineering Task Force.

2. Mission amended with the Regulation/enforcement text:

ICANN shall act strictly in accordance with, and only as reasonably appropriate to achieve its Mission. ICANN shall not impose regulations on services (i.e., any software process that accepts connections for the Internet) that use the Internet's unique identifiers, or the content that such services carry or provide - ICANN shall have the ability to negotiate, enter into and enforce agreements with contracted parties in [service of][support of][furtherance of] of its mission.

5. Stress Tests Related to this Recommendation

6. How does this meet the CWG-Stewardship Requirements?

7. How does this address NTIA Criteria?

