

## **Appendix A**

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## ICANN DNSSEC Key Ceremony # Script

### AbbreviationsDraft

- TEB = Tamper Evident Bag (MMF Industries, item #2362010N20 small or #2362011N20 large)
- HSM = Hardware Security Module
- FD = Flash Drive
- CA = Ceremony Administrator
- IW = Internal Witness
- CO= Crypto Officer
- SA = System Administrator
- SSC = Safe Security Controller
- MC = Master of Ceremony
- IKOS = ICANN KSK Operations Security

### Participants

**Instructions:** At the end of the ceremony, participants sign on IW1's copy. IW1 records time upon completion.

Title	Printed Name/Citizenship	Signature	Date	Time
Sample	Bert Smith	<i>Bert Smith</i>	07 Feb 2011	18:00 UTC

Note: Dual Occupancy enforced. CA leads ceremony. Only CAs, IWs, or SAs can enter ceremony room and/or escort other participants. Only CA+IW can enter safe room and/or escort other participants. CAs, SAs or IWs may let individuals out of the ceremony room but only when CA+IW remain in the ceremony room. No one may leave when CA+IW are in safe room. Participants must sign in and out of ceremony room and leave any credentials assigned to them (keys, cards) in the ceremony room if leaving before completion of the ceremony. The SA starts filming before the participants enter the room.

Some steps during the ceremony require the participants to tell and/or confirm identifiers composed of numbers and letters. When spelling identifiers, the phonetic alphabet shown below will be used:

<b>A</b>	Alfa	AL-FAH
<b>B</b>	Bravo	BRAH-VOH
<b>C</b>	Charlie	CHAR-LEE
<b>D</b>	Delta	DELL-TAH
<b>E</b>	Echo	ECK-OH
<b>F</b>	Foxtrot	FOKS-TROT
<b>G</b>	Golf	GOLF
<b>H</b>	Hotel	HOH-TEL
<b>I</b>	India	IN-DEE-AH
<b>J</b>	Juliet	JEW-LEE-ETT
<b>K</b>	Kilo	KEY-LOH
<b>L</b>	Lima	LEE-MAH
<b>M</b>	Mike	MIKE
<b>N</b>	November	NO-VEM-BER
<b>O</b>	Oscar	OSS-CAH
<b>P</b>	Papa	PAH-PAH
<b>Q</b>	Quebec	KEH-BECK
<b>R</b>	Romeo	ROW-ME-OH
<b>S</b>	Sierra	SEE-AIR-RAH
<b>T</b>	Tango	TANG-GO
<b>U</b>	Uniform	YOU-NEE-FORM
<b>V</b>	Victor	VIK-TAH
<b>W</b>	Whiskey	WISS-KEY
<b>X</b>	Xray	ECKS-RAY
<b>Y</b>	Yankee	YANG-KEY
<b>Z</b>	Zulu	ZOO-LOO
<b>1</b>	One	WUN
<b>2</b>	Two	TOO
<b>3</b>	Three	TREE
<b>4</b>	Four	FOW-ER
<b>5</b>	Five	FIFE
<b>6</b>	Six	SIX
<b>7</b>	Seven	SEV-EN
<b>8</b>	Eight	AIT
<b>9</b>	Nine	NIN-ER
<b>0</b>	Zero	ZEE-RO

### Participants Arrive and Sign into Key Ceremony Room

Step	Activity	Initial	Time
1	SA starts video recording and online streaming. SAs or IWs escort participants into the Ceremony Room and all participant sign into the Ceremony Room log.		

### Emergency Evacuation Procedures

Step	Activity	Initial	Time
2	CA or IW reviews emergency evacuation procedures with participants.		

### Verify Time and Date

Step	Activity	Initial	Time
3	IW1 enters UTC date (day/month/year) and time using a reasonably accurate wall clock visible to all in the Ceremony Room:  Date and time: _____  All entries into this script or any logs should follow this common source of time.		

### Open Credential Safe #2

Step	Activity	Initial	Time
4	CA and IW1 escort SSC2 and COs into the safe room together. CA brings a flashlight when entering the safe room.		
5	SSC2, while shielding combination from camera, opens Safe #2.		
6	SSC2 takes out safe log and prints name, date, time, signature, and reason (i.e. "open safe") in safe log. IW1 initials this entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		

**COs extract OP Cards from safe deposit boxes**

Step	Activity	Initial	Time
7	<p>One by one, the selected COs checks the SO cards and retrieves the OP cards following the steps shown below.</p> <ul style="list-style-type: none"> <li>a) With the assistance of CA (and his/her common key), opens her/his safe deposit box.  <b># Common Key is bottom lock and CO Key is top lock</b></li> <li>b) Verifies integrity of contents by reading out box number and TEB # for OP and SO cards which should match below.</li> <li>c) Returns SO cards, retains OP TEB and locks box.</li> <li>d) Makes an entry in safe log indicating verification of integrity of contents and OP TEB removal with box #, printed name, date, time and signature.</li> </ul> <p><b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b></p> <p>Repeat these steps until all cards are removed. IW1 initials this entry when all CO have finished.</p> <p>CO <b>number: name</b>            Box # <b>number</b>            OP TEB # <b>number</b>            SO TEB # <b>number</b></p> <p>CO <b>number: name</b>            Box # <b>number</b>            OP TEB # <b>number</b>            SO TEB # <b>number</b></p> <p>CO <b>number: name</b>            Box # <b>number</b>            OP TEB # <b>number</b>            SO TEB # <b>number</b></p>		

### Close Credential Safe #2

Step	Activity	Initial	Time
8	Once all safe deposit boxes are closed and locked, SSC2 makes an entry that includes printed name, date, time and signature into the safe log indicating closing of the safe. IW1 initials this entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		
9	SSC2 puts log back in safe and locks Safe #2 (spin dial at least two full revolutions each way, counter clock wise then clock wise). CA and IW1 verify that the safe is locked and card reader indicator is green.		
10	IW1, CA, SSC2, and COs leave safe room, with OP cards in TEBs, closing the door behind them.		

### Open Equipment Safe #1

Step	Activity	Initial	Time
11	CA, IW1 and SSC1 enter the safe room with an empty equipment cart.		
12	SSC1, while shielding combination from camera, opens Safe #1.		
13	SSC1 takes out safe log and prints name, date, time, signature and reason (i.e., "opened safe") in safe log. IW1 initials this entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		

### Remove Equipment from Safe #1

Step	Activity	Initial	Time
14	CA <b>CAREFULLY</b> removes <b>HSM1</b> (in TEB) from the safe and completes the entry in the safe log indicating "HSM1 Removal," TEB # and serial number, printed name, date, time, and signature. CA places the item on the equipment cart. IW1 initials this entry. <b>HSM number: TEB# number / serial # number</b> Verify the integrity of the other HSM that will not be in used this time. <b>HSM number: TEB# number / serial # number (last used)</b>		
15	CA takes out the items listed below from the safe and completes the entry in the safe log indicating each item, TEB#, serial number if available. Printed name, date, time and signature. CA places the item on the equipment cart. IW1 initials this entry. <b>Laptop number: TEB# number / serial# number</b> <b>O/S DVD (Rev number): TEB# number</b> <b>HSMFD: TEB # number</b> Verify the integrity of the other Laptop that will not be in used this time. <b>Laptop number: TEB number / serial # number</b>		

### Close Equipment Safe #1 and exit safe room

Step	Activity	Initial	Time
16	SSC1 makes an entry including printed name, date, time and signature into the safe log indicating, "Close safe". IW1 initials this entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		
17	SSC1 puts log back in safe and locks Safe #1 (spin dial at least two full revolutions each way, counter clock wise then clock wise). CA and IW1 verify that the safe is locked and door indicator light is green.		
18	CA, SSC1 and IW1 leave the safe room with the equipment cart, closing the door to the safe room securely behind them.		

### Set Up Laptop

Step	Activity	Initial	Time
19	CA inspects the laptop TEB for tamper evidence; reads out TEB # and serial # while IW1 observes and matches it to the prior entry in most recent key ceremony or acceptance script for this site. IW1 confirms the TEB # and serial # below. <b>Laptop #number: TEB# number / serial# number</b>		
20	CA inspects the O/S DVD TEB for tamper evidence; reads out TEB # while IW1 observes and matches it to the prior entry in most recent key ceremony script for this site. IW1 confirms the TEB # below. <b>O/S DVD (Rev number): TEB# number</b>		
21	CA takes the laptop out of TEBs placing them on key ceremony table; discards TEBs; connects laptop power, external display, printer and boots laptop from O/S DVD.		
22	CA presses "CTRL+ALT+F2" to get a console prompt and logs in as root.		
23	CA enters the commands <b>system-config-display --noui</b> and <b>killall Xorg</b> CA ensures that external display works.		
24	CA logs in as root.		
25	CA configures printer as default and prints test page by going to <b>System &gt; Administration &gt; Printing.</b>		
26	CA opens a terminal window and maximizes its size for visibility by going to <b>Applications &gt; Accessories &gt; Terminal.</b>		
27	CA checks and fixes date and time on laptop based on wall clock ensuring UTC time zone has been chosen by going to <b>System &gt; Administration &gt; Date and Time.</b>		
28	CA inserts USB port expander into laptop.		



### Format and label blank FD

Step	Activity	Initial	Time
29	CA plugs a new FD into the laptop, then waits for it to be recognized by the O/S, closes the file system window and formats the drive by executing <b>dmesg   grep -A 5 usb-storage</b> to confirm the drive letter that is assigned to the blank USB drive (e.g. sda, sdb, sdc), <b>umount /dev/sda</b> to unmounts the drive (change drive letter if necessary), <b>mkfs.vfat -n 'HSMFD' -I /dev/sda</b> to execute a FAT32 format and label it as HSMFD.		
30	CA repeats step 29 for the 2 <sup>nd</sup> blank FD		
31	CA repeats step 29 for the 3 <sup>rd</sup> blank FD		
32	CA repeats step 29 for the 4 <sup>th</sup> blank FD		
33	CA repeats step 29 for the 5 <sup>th</sup> blank FD		

### Connect HSMFD

Step	Activity	Initial	Time
34	CA inspects the HSMFD TEB for tamper evidence; reads out TEB # and while IW1 observes and matches it to the prior entry in most recent key ceremony or acceptance script for this site. IW1 confirms the TEB # and serial # below. <b>HSMFD: TEB # number</b>		
35	CA plugs HSMFD into free USB slot on the laptop - <b>NOT EXPANDER</b> - and waits for O/S to recognize the FD. CA lets participants view file names in the HSMFD then closes the file system window.		

### Start Logging Terminal Session

Step	Activity	Initial	Time
36	CA changes the default directory to the HSMFD by executing <b>cd /media/HSMFD</b>		
37	CA executes <b>script script-<u>yyyymmdd</u>.log</b> to start a capture of terminal output.		

### Start Logging HSM Output

Step	Activity	Initial	Time
38	CA connects a serial to USB null modem cable to laptop.		
39	CA opens a second terminal screen and executes <code>cd /media/HSMFD</code> and executes <code>ttyaudit /dev/ttyUSB0</code> to start logging HSM serial port outputs. Note: <b>DO NOT</b> unplug USB serial port from laptop as this causes logging to stop.		

### Power Up HSM

Step	Activity	Initial	Time
40	CA inspects the HSM TEB for tamper evidence; reads out TEB # and serial # while IW1 observes and matches it to the prior script entry. IW1 confirms TEB # and serial # below. <b>HSM number: TEB# number / serial # number</b>		
41	CA removes HSM from TEB; discards TEB and plugs ttyUSB0 null modem serial cable to the back.		
42	CA switches to the ttyaudit terminal window and connects power to HSM. Status information should appear on the serial logging screen. IW1 matches displayed HSM serial number with above. (Time and date in the HSM may not match the time used for the ceremony logs, but there is no need to change it since the scripts that does the logging to the laptop adds a timestamp.)		

### Enable/Activate HSM

Step	Activity	Initial	Time
43	CA calls a CO, CO opens TEB with OP card and hands to CA who places card in cardholder visible to all.		
44	Repeat the step above until all OP cards are placed on the cardholder.		
45	CA inserts 3 cards into HSM to activate the unit (via "Set Online" menu item). Type in the default PIN " <b>11223344</b> " when prompted. IW1 records the used cards below. Each card is returned to cardholder after use. 1st OP card ____ of 7 2nd OP card ____ of 7 3rd OP card ____ of 7		

### Check Network between Laptop and HSM

Step	Activity	Initial	Time
46	CA connects HSM to laptop using Ethernet cable.		
47	CA tests network connectivity between laptop and HSM by entering <b>ping 192.168.0.2</b> on the laptop terminal window and looking for responses. Ctrl-C to exit program.		

### Insert Copy of KSR to be signed

Step	Activity	Initial	Time
48	CA plugs FD labeled "KSR" with KSR to be signed into the laptop and waits for the O/S to recognize the FD. CA points out the KSR file to be signed then closes the file system window.		

### Execute KSR signer

Step	Activity	Initial	Time
49	CA identifies the KSR to be signed and runs, in the terminal window <b>ksrsigner Kjqmt7v /media/KSR/ksr-root-<b>yyyy-q#</b>-0.xml</b>		
50	The KSR signer will ask whether the HSM is activated or not as below. <b>Activate HSM prior to accepting in the affirmative!! (y/N) :</b> CA confirms that the HSM is online and then enters "y" to proceed to verification. Note: DO NOT enter "y" for the "Is this correct y/n?" yet.		

### Final Verification of the Hash (validity) of the KSR

Step	Activity	Initial	Time
51	When the program requests verification of the KSR hash, CA asks the Root Zone Maintainer (RZM) representative to identify him/herself, present identification document for IW1 to retain and read out the SHA256 hash in PGP wordlist format for the KSR previously sent to ICANN. IW1 enters RZM representative's name here:  _____		
52	Participants match the hash read out with that displayed on the terminal. CA asks, "are there are any objections"?		
53	CA then enters " <b>y</b> " in response to " <b>Is this correct y/n?</b> " to complete KSR signing operation. Sample output should look like Figure 1. The signed KSR (SKR) will be found in <b>/media/KSR/skr-root-<b>yyyy-q#</b>-0.xml</b>		

```

$ ksrsigner Kjqmt7v ksr-root-2010-q4-1.xml

Starting: ksrsigner Kjqmt7v /media/KSR/ksr-root-2010-q4-1.xml (at Mon Jul 12 22:44:26 2010 UTC)
Use HSM /opt/dnssec/aep.hsmconfig?
Activate HSM prior to accepting in the affirmative!! (y/N): y

HSM /opt/dnssec/aep.hsmconfig activated.
[debug] setenv KEYPER_LIBRARY_PATH=/opt/dnssec
[debug] setenv PKCS11_LIBRARY_PATH=/opt/Keyper/PKCS11Provider/pkcs11.GCC4.0.2.so.4.07
Found 1 slots on HSM /opt/Keyper/PKCS11Provider/pkcs11.GCC4.0.2.so.4.07
HSM slot 0 included
Loaded /opt/Keyper/PKCS11Provider/pkcs11.GCC4.0.2.so.4.07 Slot=0
HSM Information:
  Label:          ICANNKSK
  ManufacturerID: AEP Networks
  Model:         Keyper Pro 0405
  Serial:        K6002018

Validating last SKR with HSM...
# Inception      Expiration      ZSK Tags      KSK Tag(CKA_LABEL)
1 2010-07-01T00:00:00 2010-07-15T23:59:59 55138,41248 19036
2 2010-07-11T00:00:00 2010-07-25T23:59:59 41248 19036
3 2010-07-21T00:00:00 2010-08-04T23:59:59 41248 19036
4 2010-07-31T00:00:00 2010-08-14T23:59:59 41248 19036
5 2010-08-10T00:00:00 2010-08-24T23:59:59 41248 19036
6 2010-08-20T00:00:00 2010-09-03T23:59:59 41248 19036
7 2010-08-30T00:00:00 2010-09-13T23:59:59 41248 19036
8 2010-09-09T00:00:00 2010-09-24T00:00:00 41248 19036
9 2010-09-20T00:00:00 2010-10-05T23:59:59 40288,41248 19036
...VALIDATED.

Validate and Process KSR /media/KSR/ksr-root-2010-q4-1.xml...
# Inception      Expiration      ZSK Tags      KSK Tag(CKA_LABEL)
1 2010-10-01T00:00:00 2010-10-15T23:59:59 40288,41248
2 2010-10-11T00:00:00 2010-10-25T23:59:59 40288
3 2010-10-21T00:00:00 2010-11-04T23:59:59 40288
4 2010-10-31T00:00:00 2010-11-14T23:59:59 40288
5 2010-11-10T00:00:00 2010-11-24T23:59:59 40288
6 2010-11-20T00:00:00 2010-12-04T23:59:59 40288
7 2010-11-30T00:00:00 2010-12-14T23:59:59 40288
8 2010-12-10T00:00:00 2010-12-25T00:00:00 40288
9 2010-12-21T00:00:00 2011-01-05T23:59:59 21639,40288
...PASSED.

SHA256 hash of KSR:
A17E539793B261112C4F591A06AF4FBC2221DDDD71794BC72D5AEE910C72543
>> ratchet insurgent dwelling mosquito playhouse pioneer fallout Babylon atlas reproduce vapor miracle
ragtime hamburger upshot Wichita snapshot candidate Belfast tambourine stopwatch bookseller Pluto
pyramid highchair specialist robust ultimate assume retraction bombast decimal <<
Is this correct (y/N)? y

Generated new SKR in /media/KSR/skr-root-2010-q4-1.xml
# Inception      Expiration      ZSK Tags      KSK Tag(CKA_LABEL)
1 2010-10-01T00:00:00 2010-10-15T23:59:59 40288,41248 19036
2 2010-10-11T00:00:00 2010-10-25T23:59:59 40288 19036
3 2010-10-21T00:00:00 2010-11-04T23:59:59 40288 19036
4 2010-10-31T00:00:00 2010-11-14T23:59:59 40288 19036
5 2010-11-10T00:00:00 2010-11-24T23:59:59 40288 19036
6 2010-11-20T00:00:00 2010-12-04T23:59:59 40288 19036
7 2010-11-30T00:00:00 2010-12-14T23:59:59 40288 19036
8 2010-12-10T00:00:00 2010-12-25T00:00:00 40288 19036
9 2010-12-21T00:00:00 2011-01-05T23:59:59 40288,21639 19036

SHA256 hash of SKR:
00CC341B7B3BAEE2E62B1AA6A58DEF07F02E4950E959E6A6ACBD7CEFF2741257
>> aardvark revolver choking bravado kickoff councilman robust tomorrow tracker Cherokee beehive
paragon reindeer microscope uncut amusement unearth coherence deckhand embezzle treadmill examine
tracker paragon ribcage quantity kiwi unravel uproot hydraulic atlas Eskimo <<
Unloaded /opt/Keyper/PKCS11Provider/pkcs11.GCC4.0.2.so.4.07 Slot=0

***** Log output in ./ksrsigner-20100712-224426.log *****

```

Figure 1

### Print Copies of the Operation for Participants

Step	Activity	Initial	Time
54	CA prints out a sufficient number of copies for participants using <code>printlog ksrsigner-<b>yyyymmdd</b>-.log N</code> where ksrsigner- <b>yyyymmdd</b> -.log is replaced by log output file displayed by program. (this example generates <b>N</b> copies) and hands copies to participants.		
55	IW1 attaches a copy to his/her script.		

### Backup Newly Created SKR

Step	Activity	Initial	Time
56	CA copies the contents of the KSR FD by running <code>cp -p /media/KSR/* .</code> for posting back to RZM. Confirm overwrite by entering "y" when prompted.		
57	CA lists contents of KSR FD which should now have an SKR by running <code>ls -lt /media/KSR</code> and then unmounts the KSR FD using <code>umount /media/KSR</code>		
58	CA removes <b>KSR</b> FD containing SKR and gives it to the RZM representative.		

### Disable/Deactivate HSM

Step	Activity	Initial	Time
59	CA inserts 3 cards into HSM to deactivate the unit (via "Set Offline" menu item). Type in the default PIN " <b>11223344</b> " when prompted. IW1 records the used cards below. Each card is returned to cardholder after use. CA makes sure the card(s) NOT used to activate are used to deactivate the HSM. 1st OP card ____ of 7 2nd OP card ____ of 7 3rd OP card ____ of 7 Confirm the ready light turns off.		

### Return HSM to a TEB

Step	Activity	Initial	Time
60	CA disconnects HSM from power and laptop (serial and Ethernet) if connected, placing HSM into a new TEB and seals.		
61	CA reads out TEB # and HSM serial #, shows item to participants and IW1 confirms TEB # and HSM serial # below. <b>HSM number: TEB# number / serial # number</b> IW1 initials the TEB. CA places item on equipment cart.		

### Stop Recording Serial Port Activity and Logging Terminal Output

Step	Activity	Initial	Time
62	<b>Closing ttyaudit terminal window</b> CA terminates the HSM serial output capture by disconnecting the USB serial adaptor from laptop. CA then exits out of ttyaudit terminal window by typing "exit".		
63	<b>Terminating the logging script</b> CA stops logging terminal output by entering "exit" in the other terminal window. This only stops the script logging and will <b>NOT</b> close window.		

### Backup HSM FD Contents

Step	Activity	Initial	Time
64	CA displays contents of HSMFD by executing <code>ls -lt</code>		
65	CA plugs a blank FD labeled HSMFD into the laptop, then waits for it to be recognized by the O/S (as HSMFD_); and copies the contents of the HSMFD to the blank drive for backup by executing <code>cp -Rp * /media/HSMFD_</code>		
66	CA displays contents of HSMFD_ by executing <code>ls -lt /media/HSMFD_</code>		
67	CA unmounts new FD using <code>umount /media/HSMFD_</code>		
68	CA removes HSMFD_ and places on table.		
69	CA repeats step 65 to 68 for the 2 <sup>nd</sup> copy		
70	CA repeats step 65 to 68 for the 3 <sup>rd</sup> copy		
71	CA repeats step 65 to 68 for the 4 <sup>th</sup> copy		
72	CA repeats step 65 to 68 for the 5 <sup>th</sup> copy		

### Print Logging Information

Step	Activity	Initial	Time
73	CA prints out hard copies of logging information by executing <code>enscript -2Gr -# 2 script-<b>yyyymmdd</b>.log</code> <code>enscript -Gr -# 2 --font="Courier8" ttyaudit-ttyUSB*<b>yyyymmdd</b>-.log</code> for attachment to IW1 and CA scripts. <b>Note: Ignore the error regarding non-printable characters if prompted.</b>		

**Returning HSMFD and O/S DVD to a TEB**

Step	Activity	Initial	Time
74	CA unmounts HSMFD by executing <code>cd /tmp</code> then <code>umount /media/HSMFD</code> CA removes HSMFD.		
75	After all print jobs are complete, CA a) Turns off the laptop by pressing the power switch b) Turns on the laptop by pressing the power switch c) Remove the O/S DVD from the drive d) Turns off the laptop again by pressing the power switch		
76	CA places two HSMFDs and OS/DVD in TEB; writes date, time and "HSMFD" in amount field; and seals; reads out TEB #; shows item to participants and IW1 confirms TEB # below. <b>HSMFD + O/S DVD (Rev number): TEB # number</b> IW1 initials the TEB. CA places TEB on equipment cart.		

**Distribute HSMFDs**

Step	Activity	Initial	Time
77	Remaining HSMFDs are distributed to IW1 (2 for audit bundles, 1 for himself), IKOS(1) to post SKR to RZM, and to review, analyze and improve on procedures.		

**Returning Laptop to a TEB**

Step	Activity	Initial	Time
78	CA disconnects printer, display, power, and any other connections from laptop and puts laptop in prepared TEB and seals; reads out TEB #, serial # laptop # and shows item to participants and IW1 confirms TEB #, serial # laptop # below. <b>Laptop # number: TEB# number / serial# number</b> IW1 initials the TEB. CA places TEB on equipment cart.		

**Returning OP Smartcards to TEBs**

Step	Activity	Initial	Time
79	<p>CA calls each CO to the front of the room one at a time and repeats the steps below.</p> <ul style="list-style-type: none"> <li>a) CA takes a TEB prepared for the CO and reads out the number and description (e.g., “OP 2 of 7” on “amount” line) while showing the bag to IW1 and CO. Figure 2 below for an example.</li> <li>b) CA places OP into TEB.</li> <li>c) IW1 inspects then initials TEB and sealing strip (next to CA’s initials).</li> <li>d) CA initials bag and strip, seals TEB in front of IW1 and CO, then hands sealing strip to IW1. IW1 keeps sealing strips for later inventory.</li> <li>e) IW1 confirms TEB and description in table below.</li> <li>f) CA hands the TEB containing the OP card to the CO. CO inspects and verifies TEB #s and contents then initials his/her bag.</li> <li>g) CO enters completion time and signs for each TEB in the table below in IW1’s script. IW1 initials table entry.</li> <li>h) CO returns to his/her seat with the TEB, being careful not to poke or puncture TEB.</li> </ul>		





CO#	Card Type	TEB #	Printed Name	Signature	Date	Time	IW1
CO #	OP # of #						
CO #	OP # of #						
CO #	OP # of #						

FRAUDSTOPPER™ FRAUDSTOPPER™ FRAUDSTOPPER™ FRAUDSTOPPER™ FRAUDSTOPPER™ FRAUDSTOPPER™ FRAUDSTOPPER™



A 13004352 DATE 16 June 2010 AMOUNT \$: 50 1 of 7 Both Sets PREPARED BY: KW ML

MADE IN THE USA

**WARNING**  
 ANY ATTEMPT TO REOPEN THIS BAG WILL RESULT IN EVIDENCE OF TAMPERING.  
 IF CLOSURE AND/OR BAG IS DISTORTED, TORN OR DISRUPTED –  
 DO NOT OPEN – NOTIFY SENDER IMMEDIATELY.

BAG # :  
  
 A 13004352

**INSTRUCTIONS FOR USE:**

- Using a BALL POINT PEN, enter ALL pertinent information in the area below.
- LOAD deposit contents into bag.
- Lift tape and fold it AWAY from bag. Remove paper liner from adhesive area. If required, enter receipt information on this liner and retain with your records.
- Press tape down against the bag and smooth closed. BAG IS NOW SEALED.
- There may be a clear pouch on the back of this bag. If applicable, place DEPOSIT DOCUMENTS here. To seal, remove the paper liner and press the plastic down against the exposed adhesive.

**RECEIVER INSTRUCTIONS:**

- Verify conditions of bag and tape closure before opening bag.
- Open bag as indicated and complete detailed verification of contents immediately.
- Report any discrepancies immediately.

TO: _____	FROM: _____
PREPARED BY: <u>KW</u> <u>ML</u>	
DATE: <u>16 June 2010</u>	
ACCOUNT #: _____	
DECLARED AMOUNT: \$ <u>50 1 of 7 Both Sets</u>	
SPECIAL INSTRUCTIONS: _____	



**MMF**  
**INDUSTRIES**



Item # 2362010N20

TO REMOVE CONTENTS, CUT ALONG BOTTOM DOTTED LINE

Figure 2

### Returning Equipment in TEBs to Safe #1

Step	Activity	Initial	Time
80	CA, IW1, SSC1 open safe room and enter with equipment cart.		
81	SSC1 opens Safe #1 shielding combination from camera.		
82	SSC1 removes the safe log and fills the next entry with printed name, date, time, and signature indicating the opening of the safe. IW1 initials the entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		
83	CA records return of <b>HSM</b> in next entry field of safe log with TEB # and HSM serial #, printed name, date, time, and signature. CA <b>CAREFULLY</b> places the HSM into Safe #1 and IW1 initials the entry.		
84	CA records return of <b>laptop</b> in next entry field of safe log with TEB #, serial #, laptop #, printed name, date, time, and signature; places the laptop into Safe #1 and IW1 initials the entry.		
85	CA records return of <b>HSMFD + O/S DVD</b> in next entry field of safe log with TEB #, printed name, date, time, and signature; places the <b>HSMFD + O/S DVD</b> into Safe #1 and IW1 initials the entry.		

### Close Equipment Safe #1

Step	Activity	Initial	Time
86	SSC1 makes an entry including printed name, date, time, signature and notes "closing safe" in the safe log. IW1 initials the entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		
87	SSC1 places log back in safe and locks Safe #1 (spin dial at least two full revolutions each way, counter clock wise then clock wise). IW1 and CA verify safe is locked and door indicator light is green.		
88	IW1, CA, and SSC1 return to ceremony room with equipment cart closing the door behind them.		

### Open Credential Safe #2

Step	Activity	Initial	Time
89	After a one (1) minute delay, CA, IW1, SSC2, and COs enter the safe room. CA brings a flashlight and the CO brings their OP card TEB with them.		
90	SSC2 opens Safe #2 while shielding combination from camera.		
91	SSC2 removes the safe log and fills in the next entry with printed name, date, time, and signature indicating the opening of the safe. IW1 initials the entry. <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b>		

### CO returns OP cards to Safe #2

Step	Activity	Initial	Time
92	<p>One by one, each CO along with the CA (using his/her common key):</p> <p>a) Open his/her respective safe deposit box and read out box number inside Safe #2.</p> <p>b) CO makes an entry into the safe log indicating the return of OP card including Box #, TEB #, card type, printed name, date, time, and signature. IW1 initials the entry after verifying contents and integrity of the TEB and comparing TEB# s and card type to his/her script.  <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b></p> <p>c) CO places his/her TEB into his/her box and locks the safe deposit box with the help of the CA.</p> <p>Repeat the steps above until all cards are returned to the deposit box.</p>		

### Close Credential Safe #2

Step	Activity	Initial	Time
93	<p>Once all safe deposit boxes are closed, SSC2 makes an entry including printed name, date, time, and signature and notes "Close safe" into the safe log. IW1 initials the entry.  <b>Note: If log entry is pre-printed, verify the entry, record time of completion and sign.</b></p>		
94	<p>SSC2 puts log back in safe and locks Safe #2 (spin dial at least two full revolutions each way, counter clock wise then clock wise).            IW1 and CA verify safe is locked and door indicator light is green.</p>		
95	<p>CA, IW1, SSC2, and COs leave safe room closing the door behind them making sure it is locked.</p>		

### Participant Signing of IW1's Script

Step	Activity	Initial	Time
96	<p>All participants enter printed name, date, time, and signature on IW1's script coversheet.</p>		
97	<p>CA reviews IW1's script and signs it.</p>		

### Signing out of Ceremony Room

Step	Activity	Initial	Time
98	<p>IW2 ensures that all participants sign out of Ceremony Room log and are escorted out of the Ceremony Room. SA, IW1 and CA remain in the Ceremony Room.</p>		

### Filming Stops

Step	Activity	Initial	Time
99	<p>SA stops filming and makes 2 copies of film, one for on-site and one for off-site storage along with IW1 script copies made below.</p>		

## Copying and Storing the Script

Step	Activity	Initial	Time
100	<p>IW1 makes at least 4 copies of his/her script: one for off-site audit bundle, one for IW1, one for IKOS and copies for other participants, as requested.</p> <p>Audit bundles each contain</p> <ol style="list-style-type: none"> <li>1) Output of signer system – HSMFD</li> <li>2) Copy of IW1’s key ceremony script</li> <li>3) Audio-visual recording</li> <li>4) Logs from the Physical Access Control and Intrusion Detection System (Range is <b>mm/dd/yyyy – mm/dd/yyyy</b>)</li> <li>5) SA attestation (A.2, A.3 below)</li> <li>6) The IW attestation (A.1 below)</li> </ol> <p>All in a TEB labeled “<b>Key Ceremony #</b>”, dated and signed by <b>IW1 and CA</b>. Off-site audit bundle is delivered to off-site storage. <b>The CA holds the ultimate responsibility for finalizing the audit bundle.</b></p>		

### All remaining participants sign out of ceremony room log and leave.

Audit Bundle Checklist:

#### 1. Output of Signer System (CA)

One electronic copy (physical flash drive) of the HSMFD in each audit bundle, each placed within a tamper-evident bag, labeled, dated and signed by the CA and the IW1

#### 2. Key Ceremony Scripts (IW1)

Hard copies of the IW1’s key ceremony scripts, including the IW’s notes and the IW’s attestation. See Appendix A.1.

#### 3. Audio-visual recordings from the key ceremony (SA)

One set for the original audit bundle and the other for duplicate.

#### 4. Logs from the Physical Access Control and Intrusion Detection System (SA)

One electronic copy (physical flash drive) of the firewall configuration, the screenshots from the PAC-IDS configuration review, the list of the enrolled users, the event log file and the configuration audit log file in each audit bundle, each placed in a tamper-evident bag, labeled, dated and signed by the SA and the IW.

IW confirms the contents of the logs before placing the logs in the audit bundle.

#### 5. Configuration review of the Physical Access Control and Intrusion Detection System (SA)

SA’s attestation and hard copies of the screen shots and configuration audit log from the review process. See Appendix A.2.

#### 6. Configuration review of the Firewall System (SA)

SA’s attestation and hard copies of the firewall configuration from the review process. See Appendix A.3.

#### 7. Other items

If applicable.

### A.1 Key Ceremony Script (by IW)

I hereby attest that the Key Ceremony was conducted in accordance with this script and any exceptions that may have occurred were accurately and properly documented.

**Printed name of IW1**

---

**Date:**

## A.2 Access Control System Configuration Review (by SA)

I have reviewed the access control system configuration, the configuration audit log and the assigned authorizations from the other KMF and not found any discrepancies or anything else out of the ordinary.

Enclosed are the configuration audit log, the list of assigned authorizations and the screenshots of the roles configurations.

Enclosed is also an electronic copy of the event log from the access control system ranging from the last log extraction on [date, time UTC]\_\_\_\_\_ to now.

**Printed name of SA1**

---

**Date:**

### A.3 Firewall Configuration Review (by SA)

I have reviewed the firewall configuration from the other KMF and not found any discrepancies or anything else out of the ordinary.

Enclosed is the configuration extract from the firewall unit.

**Printed name of SA1**

---

**Date:**



## Private Enterprise Number (PEN) Request Template

To request a Private Enterprise Number (PEN), typically used in Simple Network Management Protocol Management Information Base configurations, please complete the application provided [below](#). The required fields are marked with an asterisk (\*). Please be aware that the contents of the required fields will be made publicly available along with the assigned PEN in the [IANA PEN Registry](#).

There is no fee for obtaining a PEN assignment. Please allow up to 30 days for processing your application.

Usually, a single PEN is granted per organization. If you are unsure whether your organization has already obtained a PEN, please check the [IANA PEN Registry](#). If your organization has already registered a PEN, please obtain a sub-assignment of that PEN from the registered contact in the PEN Registry.

**NOTE:** We will send an e-mail to Contact E-Mail requesting confirmation of the information you have submitted. You must respond to this e-mail to continue processing your PEN request. Failure to respond to the confirmation e-mail will result in your application being discarded after one calendar week.

For further information regarding Private Enterprise Numbers, please see the following:

- [NETWORK MANAGEMENT PARAMETERS](#)
- [RFC 1157](#), "A Simple Network Management Protocol (SNMP)"
- [RFC 1213](#), "Management Information Base for Network Management of TCP/IP-based Internets: MIB-II"
- Notes regarding the PEN Application Form can be found [here](#). If you have any questions regarding PENs or the PEN Application Form, please contact [iana-sen@iana.org](mailto:iana-sen@iana.org).

**Organization:**

Organization Name: \*

Organization Address:

Organization Phone:

**Contact:**

Contact Name: \*

Contact Address:

Contact Phone:

Contact Fax:

Contact Email: \*

### PEN Application Form Notes

The following steps outline the process of applying for a PEN.

- Fill out the PEN Application Form specifying (at least) the name of the organization requesting the PEN, the name of the individual who will be responsible for the PEN, and the e-mail address of the individual responsible for the PEN.
- Submit the PEN Application: After hitting the "Submit" button, the e-mail address specified in "Contact E-Mail" will receive a message requesting confirmation. Either click on the URL within that message or reply to the message. If you do not click on the URL within one calendar week, your application will be discarded.
- IANA will review the PEN request and assign as appropriate.
- After IANA assigns the PEN, an e-mail message will be sent to the e-mail address specified in "Contact E-Mail" indicating the assigned PEN is ready for pickup. Clicking on the URL will display the assigned PEN (as well as sending the PEN to the contact's e-mail address). If you do not click on the URL in the e-mail message within one calendar week, your application will be discarded.
- After you receive your PEN, you may wish to check the [IANA PEN Registry](#) to verify the PEN assignment contact information is correct.

More information about the fields of the PEN Application Form are described in the following table:

### PEN Application Form Fields

Field	Required	Description
Organization Name	Yes	The name of the organization requesting the PEN. If the organization is a company, it should be the full legal name including "Inc.", "Ltd.", etc.
Organization Address	No	The full postal address of the organization requesting the PEN, including state/province, zip/postal code, country, etc.
Organization Phone	No	The main telephone number of the organization requesting the PEN, including the country code.
Contact Name	Yes	The full name of the individual who will be responsible for the PEN.
Contact Address	No	The full postal address of the individual responsible for the PEN, including state/province, zip/postal code, country, etc.
Contact Phone	No	The telephone number (with extension where appropriate) of the individual responsible for the PEN, including country code.
Contact Fax	No	The facsimile number of the individual responsible for the PEN, including the country code.
Contact E-Mail	Yes	The e-mail address of the individual responsible for the PEN. This e-mail address will be publicly available in the IANA PEN Registry.

IANA\_085



Internet Assigned Numbers Authority

[Request Private Enterprise Number \(PEN\)](#) | [Modify Private Enterprise Number \(PEN\)](#) | [Enterprise Numbers](#) | [Contact IANA](#) | [IANA](#)

## Private Enterprise Number (PEN) Modification Request Template

This template is for modification of the contact information for existing registered private enterprise numbers. It should be completed by the listed contact for that number.

**THIS IS NOT AN APPLICATION FOR A NEW PRIVATE ENTERPRISE NUMBER ASSIGNMENT.**

You will be asked to verify the requested changes by e-mail. Once these changes are verified, they will be made in the Private Enterprise Numbers registry and you will receive a confirmation.

An email will be sent to Contact E-Mail and the listed email address (if it is different from the Contact E-Mail) to verify the requested changes. Once these changes are verified, they will be made in the Private Enterprise Numbers registry and the Contact E-Mail will be notified.

**The required fields are indicated with an asterisk (\*).**

### Registered PEN:

Organization

Organization Name: \*

Organization Address:

Organization Phone:

Contact

Contact Name: \*

Contact Address:

Contact Phone:

Contact Fax:

Contact Email: \*

Reason

Reasons For Change: \*

Description for Change:

## **Appendix B**

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**IANA TLD MODIFICATION TEMPLATE 2010-02-17**

- \*\* This should be completed and submitted to root-mgmt@iana.org.
- \*\* In most cases, this can be completed online.
- \*\* For more information visit <http://www.iana.org/domains/root/> or contact IANA for assistance.

- 1. Top-Level Domain Name..... :
- 2. Purpose of change..... :

**Sponsoring Organization**

- 3a. Organization Name..... :
- 3b. Street Address..... :
- 3c. City..... :
- 3d. State..... :
- 3e. Postal Code..... :
- 3f. Country Code (2 letter)..... :

**Administrative Contact**

- 4a. Contact Person's Name..... :
- 4b. Job Title..... :
- 4c. Organization Name..... :
- 4d. Street Address..... :
- 4e. City..... :
- 4f. State..... :
- 4g. Postal Code..... :
- 4h. Country Code (2 letter)..... :
- 4i. Phone Number..... :
- 4j. Fax Number..... :
- 4k. Email Address..... :
- 4l. Treat as role acct? (y/n)..... :

**Technical Contact**

- 5a. Contact Person's Name..... :
- 5b. Job Title..... :
- 5c. Organization Name..... :
- 5d. Street Address..... :
- 5e. City..... :
- 5f. State..... :
- 5g. Postal Code..... :
- 5h. Country Code (2 letter)..... :
- 5i. Phone Number..... :
- 5j. Fax Number..... :
- 5k. Email Address..... :
- 5l. Treat as role acct? (y/n)..... :

**Authoritative Name Server**

- 6a. Hostname..... :
- 6b. IP Address(es)..... :

IANA\_096A

**Authoritative Name Server (duplicate for additional name servers)**

- 6a. Hostname..... :
- 6b. IP Address(es)..... :

**Delegation Signer Record (for DNSSEC signed zones only)**

- 7a. Key Digest..... :
- 7b. Key Tag..... :
- 7c. Key Algorithm..... :
- 7d. Key Digest Type..... :

**Delegation Signer Record (duplicate for additional DS records)**

- 7a. Key Digest..... :
- 7b. Key Tag..... :
- 7c. Key Algorithm..... :
- 7d. Key Digest Type..... :

**Domain Information**

- 8a. URL for Registration Services... :
- 8b. WHOIS Server..... :

**Special notes (for staff processing change, does not appear publicly)**

- 9. Notes..... :

IANA\_096B

### Media Feature Tag Registration template

To: ietf-media-feature-tags@iana.org (Media feature tags mailing list)  
(or directly to iana@iana.org)

Subject: Registration of media feature tag XXXX

Instructions are preceded by `|'. Some fields are optional.

Media feature tag name:

ASN.1 identifier associated with feature tag:  
[optional]

To have IANA assign an ASN.1 identifier, use the value "New assignment by IANA" here.

Summary of the media feature indicated by this feature tag:

Include a short (no longer than 4 lines) description or summary

Examples:

`Use of the xyzy feature is indicated by ...'  
`Support of color display is indicated by ...'  
`Number of colors in a palette which can be defined ...'

Values appropriate for use with this feature tag:

[ ] 1. The feature tag is Boolean and may have values of TRUE or FALSE. A value of TRUE indicates an available capability. A value of FALSE indicates the capability is not available.

If you wish to indicate two mutually exclusive possibilities that cannot be expressed as the availability or lack of a capability, use a two-token list, rather than a Boolean value.

IANA\_092A

## Media Feature Tag Registration Template (Continued)

2. The feature has an associated numeric or enumerated value.

For case 2: Indicate the data type of the value:

- 2a. Signed Integer
- 2b. Rational number
- 2c. Token (equality relationship)
- 2d. Token (ordered)
- 2e. String (equality relationship)
- 2f. String (defined comparison)

**IMPORTANT:** You may only chose one of the above data types.

(Only for case 2) Detailed description of the feature value meaning, and of the format and meaning of the feature tag values for the alternative results.

If you have selected 2d you must provide the ordering mechanism or a full and ordered enumeration of possible values. If you have selected 2f, you must provide a defintion of the comparison.

Definitions by included reference must be to stable and readily available specifications:

If the number of alternative results is small, you may enumerate the identifiers of the different results and describe their meaning.

If there is a limited useful numeric range of result (2b, 2c), indicate the range.

The identifiers of the alternative results could also be described by referring to another IANA registry, for example the paper sizes enumerated by the Printer MIB.

The feature tag is intended primarily for use in the following applications, protocols, services, or negotiation mechanisms: [optional]

For applications, also specify the number of the first version which will use the tag, if applicable.

Examples of typical use: [optional]

Related standards or documents: [optional]

IANA\_092B

## Media Feature Tag Registration Template (Continued)

Considerations particular to use in individual applications, protocols, services, or negotiation mechanisms: [optional]

Interoperability considerations: [optional]

Security considerations:

Privacy concerns, related to exposure of personal information:

Denial of service concerns related to consequences of specifying incorrect values:

Other:

Additional information: [optional]

Keywords: [optional]

Related feature tags: [optional]

Related media types or data formats: [optional]

Related markup tags: [optional]

Name(s) & email address(es) of person(s) to contact for further information:

Intended usage:

| one of COMMON, LIMITED USE or OBSOLETE

Author/Change controller:

Requested IANA publication delay: [optional]

A delay may only be requested for final placement in the global or IETF trees, with a maximum of two months. Organizations requesting a registration with a publication delay should note that this delays only the official publication of the tag and does not prevent information on it from being disseminated by the members of the relevant mailing list.

Other information: [optional]

Any other information that the author deems interesting may be added here.

IANA\_092C



### **SDP Names Template - RFC 2327 Registration Procedure**

To register a name the guidelines of RFC 2327 should be followed regarding the required level of documentation that is required. The registration itself should be sent to IANA. Attribute registrations should include the information given above. Other registrations should include the following additional information:

- contact name, email address and telephone number
- name being registered (as it will appear in SDP)
- long-form name in English
- type of name ("media", "proto", "fmt", "bwtype", "nettype", or "addrtype")
- a one paragraph explanation of the purpose of the registered name.
- a reference to the specification (eg RFC number) of the registered name

IANA may refer any registration to the IESG or to any appropriate IETF working group for review, and may request revisions to be made before a registration will be made.

IANA\_093

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---

## Application for IANA IfType

---

Please complete the following application to register an IANA IfType.

The IANA IfType-MIB was originally defined in [RFC1573](#) as a separate MIB module together with the IF-MIB. The IF-MIB has been updated and is currently specified in [RFC2863](#), but this latest IF-MIB RFC no longer contains the IANA IfType-MIB. Instead, the IANA IfType-MIB is now maintained as a separate module at the [IANA](#).

For further information regarding the use of IANA IfTypes please see the IF-MIB document, currently

[RFC 2863 - The Interfaces Group MIB](#)

For the current IANA IfType registries please see the following:

- [<http://www.iana.org/assignments/ianaiftype-mib>](http://www.iana.org/assignments/ianaiftype-mib)
- [<http://www.iana.org/assignments/smi-numbers>](http://www.iana.org/assignments/smi-numbers)

Please note that you should include answers to the following questions in your explanation of the proposed use of the IANA IfType:

- How would IP run over your ifType ?
- Would there be another interface sublayer between your ifType and IP ?
- Would your ifType be vendor-specific or proprietary? (If so, the label should start with a string that shows that. For example, if your company's name or acronym is xxx, then the ifType label would be something like xxxSomeIfTypeLabel.)

- 
- **Your Name:**

- **Your Email Address:**

- **Your Organization:**

IANA\_094a

**1. Name of IANA IfType requested:**

**2. Label for IANA IfType requested:**

[A label for a named-number enumeration must consist of one or more letters or digits, up to a maximum of 64 characters, and the initial character must be a lower-case letter. (However, labels longer than 32 characters are not recommended.) Note that hyphens are not allowed. (Text from [RFC 2578](#), section 7.1.1)]

**3. Description of the proposed use of the IANA IfType:**

**4. Reference, Internet-Draft, or Specification (required - provide link):**

**5. Additional information or comments:**

---

Please check once again to be sure that all fields have been completed.

---

Please send comments on this web site to: [webmaster@iana.org](mailto:webmaster@iana.org)

Page Updated January 03, 2002.

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IANA\_0946



## Internet Assigned Numbers Authority

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### General Request for Assignments

---

The IANA has many registries located at the following: <http://www.iana.org/numbers.html>. To help us process your request as quickly as possible, please complete the following template. If we have further questions regarding your request, we will contact you.

---

**Contact Name:**

**Contact Email:**

**What type of assignment/registration are you requesting?**

**Which registry are you requesting this assignment/registration be made in?**

**If possible, please give a brief description of why you need this assignment/registration:**

**Additional Information. Please include a reference to the specification or RFC (if available) that defines this number or name space:**





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### Application for Media Type

---

We recommend that you read the following RFCs before proceeding with this application. It is important that you understand the application process and requirements completely. These RFCs are the standards for Media Types.

- [RFC 2045](#) – MIME formats and encodings
- [RFC 2046](#) – Definition of media types
- [RFC 2077](#) – Model top-level media type
- [RFC 3023](#) – Media types based on XML
- [RFC 4288](#) – Media type specifications and registration procedures

---

- **Your Name:**

- **Your Email Address:**

1. **Media Type Name**

See [RFC 2046](#) section 3, and [RFC 2077](#).

2. **Subtype name ( See [Existing subtype names](#) )**

See also [RFC 2046](#), and [RFC 4288](#), sections 3 and 4.2.

Note: Registrations in the standards tree must be approved by the IESG and must correspond to a formal publication by a recognized standards body.

3. **Required parameters**

See [RFC 2046](#) section 1, and [RFC 4288](#), section 4.3

#### 4. **Optional parameters**

See [RFC 2046](#) section 1, and [RFC 4288](#), section 4.3

#### 5. **Encoding considerations**

See [RFC 2046](#) section 6, and [RFC 4288](#) section 4.8.

7 bit text

8 bit text (this media type may require encoding on transports not capable of handling 8 bit text)

binary (this media type may require encoding on transports not capable of handling binary)

framed (transport must provide framing information)

#### 6. **Security considerations**

See [RFC 4288](#), section 4.6

Note that discussion of security considerations is required.

#### 7. **Interoperability considerations**

See [RFC 4288](#), section 4.5

#### 8. **Published specification**

See [RFC 4288](#), section 4.10

#### 9. **Applications which use this media type**

See [RFC 4288](#), section 4.5

#### 10. **Additional information**

See [RFC 4288](#), section 4.11

- **Magic number(s)**
  
- **File extension(s)**
  
- **Macintosh File Type Code(s)**
  
- **Object Identifier(s) or OID(s)**  
(See [RFC1494](#))

## 11. Intended usage

## 12. Other Information/General Comment

## 13. Person to contact for further information

See [RFC 4288](#), section 4.9

- **Name**
  
- **E-mail**
  
- **Author/Change controller**

---

Please check once again to be sure that all required fields are present.

---



Please send comments on this web site to: [webmaster@iana.org](mailto:webmaster@iana.org)

Page Updated January 03, 2002.

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## Application for Service Names and User Port Numbers

This form is used to register user port numbers and service names in the IANA [Service Name and Transport Protocol Port Number Registry](#).

For detailed instructions on how to fill out the elements of this form, please read [the procedures document](#) (RFC 6335).

Please read the following before submitting your request:

- Registration is open to any party that meets the eligibility requirements described in Section 8.1.2 of the procedures document. This includes review under the "Expert review" procedure documented in [RFC 5226](#).
- User port numbers range between 1024 and 49151. If you wish to register a system port — those numbered 1023 or less — it must be done through the standardisation process of the IETF.
- Assignment of a port number does not in any way imply an endorsement of an application or product, and the fact that network traffic is flowing to or from an assigned port does not mean that it is "good" traffic nor that the traffic corresponds to the assigned service. Firewall and system administrators should choose how to configure their systems based on their knowledge of the traffic in question, and any other relevant criteria.
- A particular application or service should require at most one assigned user port number. For applications or services that offer multiple functions it is usually possible to utilize one port as a multiplexer or rendezvous service.
- To add an additional transport protocol (TCP, UDP, SCTP or DCCP) to an existing assignment, a new template is required. The new request requires Expert Review.
- In the Service Name and Description, avoid terms and acronyms referring to "service" and "protocol", as these are implied for all assignments. Please also avoid version-specific information, as new assignments are expected to be version-independent.
- **Unassigned service names and port numbers should not be used prior to assignment. IANA will assign the service name and optionally a port number after your application has been approved.**

### Assignee

List the organization, company or individual person responsible for the initial assignment. If you are registering this on behalf of a company or organization, the company/organization name would go here.

Assignee Name

Required

Assignee E-mail

Required

### Contact Person

The responsible person for the Internet community to send questions to. This person is also authorized to submit changes on behalf of the Assignee. In cases of conflict between the Assignee and the Contact, the Assignee decisions take precedence.

Contact Name

Required

**Contact E-mail**

Required

## Resource request

**Resources required**

Required

Port number and service name

Service name only

**Transport Protocols**

Required

TCP

UDP

SCTP

DCCP

**Service Code**Required for DCCP only. See [RFC 6335](#) section 10.3.**Service Name**

Required

(REQUIRED, 15 character maximum) See [RFC 6335](#) section 5.1**Desired Port Number**

Leave blank if no preference

**Note:** It is inappropriate to use a port number until your application has been approved for assignment.**Description**

Required

See [RFC 6335](#) section 8.1.1**Reference**

Required

Please provide a brief and basic technical description of the protocol that will use the service name or port number, including message formats, types, sequences, functionalities, of your protocol. In addition, please address the specific questions included below to the extent possible.

**Defined TXT keys**

The list of defined TXT record keys for this service or URL reference to document describing defined keys (see [draft-cheshire-dnsext-dns-sd](#), Section 6). Required for service names only.

## Usage Questions

If broadcast/multicast is used, how and what for?

If UDP is requested, please explain how traffic is limited, and whether the protocol reacts to congestion.

If UDP is requested, please indicate whether the service is solely for the discovery of hosts supporting this protocol.

Please explain how your protocol supports versioning.

If your request is for more than one transport, please explain in detail how the protocol differs over each transport.

Please describe how your protocol supports security. Note that presently there is no IETF consensus on when it is appropriate to use a second port for an insecure version of a protocol.

Please explain the state of development of your protocol.

If SCTP is requested, is there an existing TCP and/or UDP service name or port number assignment? If yes, provide the existing service name and port number.

What specific SCTP capability is used by the application such that a user who has the choice of both TCP (and/or UDP) and SCTP ports for this application would choose SCTP? See [RFC 4960](#) section 7.1.

Please provide any other information that would be helpful in understanding how this protocol differs from existing assigned services.

Cancel

**Domain Names**      Root Zone Registry   .INT Registry   .ARPA Registry   IDN Repository  
**Number Resources**   Abuse Information  
**Protocols**            Protocol Registries   Performance   Time Zone Database  
**About IANA**          Presentations   Reports   Contact IANA

IANA is responsible for coordinating the Internet's globally unique identifiers, and is operated by the **Internet Corporation for Assigned Names and Numbers**



## Internet Assigned Numbers Authority

*Dedicated to preserving the central coordinating functions of the global Internet for the public good.*

---

### Port Number Modification Template

---

This template is for modification of the contact information for existing registered port numbers. It should be completed by the listed contact for that port number. THIS IS NOT AN APPLICATION FOR A NEW PORT NUMBER ASSIGNMENT. You will be asked to verify the requested changes by e-mail. Once these changes are verified, they will be made in the port numbers registry and you will receive a confirmation. If you would like to change port number information for more than one port, please submit separate templates.

---

**Please enter your assigned Port Number:**

**Port Short Name:**

**Port Description/Long Name:**

**Contact Name:**

**Contact Email:**

**Please describe why the requested changes are needed:**

---

Please check once again to be sure that all required fields are present.

Please send comments on this web site to: [webmaster@iana.org](mailto:webmaster@iana.org)

Page Updated January 03, 2002.

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Template used for .ARPA requests:

1. Second-Level Domain Name.....:

2. Purpose of change.....:

Sponsoring Organization

3a. Organization Name.....:

3b. Street Address.....:

3c. City.....:

3d. State.....:

3e. Postal Code.....:

3f. Country Code (2 letter).....:

Administrative Contact

4a. Contact Person's Name.....:

4b. Job Title.....:

4c. Organization Name.....:

4d. Street Address.....:

4e. City.....:

4f. State.....:

4g. Postal Code.....:

4h. Country Code (2 letter).....:

4i. Phone Number.....:

4j. Fax Number.....:

4k. Email Address.....:

4l. Treat as role acct? (y/n).....:

Technical Contact

5a. Contact Person's Name.....:

5b. Job Title.....:

5c. Organization Name.....:

5d. Street Address.....:

5e. City.....:

5f. State.....:

5g. Postal Code.....:

5h. Country Code (2 letter).....:

5i. Phone Number.....:

5j. Fax Number.....:

5k. Email Address.....:

5l. Treat as role acct? (y/n).....:

Authoritative Name Server

6a. Hostname.....:

6b. IP Address(es).....:

Authoritative Name Server (duplicate for additional name servers)

6a. Hostname.....:

6b. IP Address(es).....:

Delegation Signer Record (for DNSSEC signed zones only)

7a. Key Digest.....:

7b. Key Tag.....:

7c. Key Algorithm.....:

7d. Key Digest Type.....:

Delegation Signer Record (duplicate for additional DS records)

7a. Key Digest.....:

7b. Key Tag.....:

7c. Key Algorithm.....:

7d. Key Digest Type.....:

Domain Information

8a. URL for Registration Services...:

8b. WHOIS Server.....:

Special notes (for staff processing change, does not appear publicly)

9. Notes.....:



### 1.11.5 Example Template for Delegation and Redelegation Reports for Generic Top--- Level Domains

Redelegation/Delegation of the <DOMAIN> Domain to <ENTITY>

Factual Information

Top---Level Domain

<An explanation of the applied---for string, including any taxonomical classification such as whether it is a sponsored TLD, community---based TLD, etc.>

Proposed Manager

<An explanation of the proposed entity seeking delegation, including relevant contact persons etc.>

Chronology of Events

<A description of key events in the processing timeline>

<Other Relevant Factual Topics>

<A description of the relevant facts, including a chronology>

Evaluation of the Request

String Eligibility

<An explanation under which policy the specific TLD is eligible for delegation or continued delegation>

Standard Root Zone Change Criteria

52

<An explanation how the request meets the standard root zone change request criteria>

Application Qualification Criteria

<An explanation on the assessment of the applicant with respect to the appropriate TLD process. For gTLDs under the New gTLD Program, this would include verification that appropriate ICANN processes were followed.>

Stability and Security impact

<An explanation of any security and stability issues, including transfer planning.>

<Other Evaluation criteria>

<An identification of the evaluation performed against the relevant evaluation criteria as described in response to C.2.9.2.d>

Evaluation Procedure

<A description of the application procedure that was invoked in evaluating this request>

**Redelegation/Delegation of the <DOMAIN> Domain representing <COUNTRY NAME IF APPLICABLE> to <ENTITY>**

**Factual Information**

*Top-Level Domain*

<An explanation of the applied-for string>

*Country*

<As explanation of country or territory to which the TLD is designation (i.e. in relation to the ISO 3166-1 listing)>

*Proposed Manager*

<An explanation of the proposed entity seeking delegation, including relevant contact persons etc.>

*Chronology of Events*

<A description of key events in the processing timeline>

<Other Relevant Factual Topics>

<A description of the relevant facts, including a chronology>

**Evaluation of the Request**

*String Eligibility*

<An explanation under which policy the specific TLD is eligible for delegation or continued delegation.>

*Standard Root Zone Change Criteria*

<An explanation how the request meets the standard root zone change request criteria.>

*Application Qualification Criteria*

<An explanation on the assessment of the applicant with respect to security and stability concerns, including operational and technical competency, the readiness of the registry platform, etc.>

*Consent and Support*

<An explanation of the relevant consent (or non-consent) of the various parties, including any existing operator, significantly interested parties, governments, etc.>

*Stability and Security impact*

<An explanation of any security and stability issues, including transfer planning.>

<Other Evaluation criteria>

<An identification of the evaluation performed against the relevant evaluation criteria as described in response to C.2.9.2.c>

***Evaluation Procedure***

*<A description of the application procedure that was invoked in evaluating this request>*

**Redelegation/Delegation of the <DOMAIN> Domain representing <COUNTRY NAME IF APPLICABLE> to <ENTITY>**

**Factual Information**

*Top-Level Domain*

<An explanation of the applied-for string>

*Country*

<As explanation of country or territory to which the TLD is designation (i.e. in relation to the ISO 3166-1 listing)>

*Proposed Manager*

<An explanation of the proposed entity seeking delegation, including relevant contact persons etc.>

*Chronology of Events*

<A description of key events in the processing timeline>

<Other Relevant Factual Topics>

<A description of the relevant facts, including a chronology>

**Evaluation of the Request**

*String Eligibility*

<An explanation under which policy the specific TLD is eligible for delegation or continued delegation.>

*Standard Root Zone Change Criteria*

<An explanation how the request meets the standard root zone change request criteria.>

*Application Qualification Criteria*

<An explanation on the assessment of the applicant with respect to security and stability concerns, including operational and technical competency, the readiness of the registry platform, etc.>

*Consent and Support*

<An explanation of the relevant consent (or non-consent) of the various parties, including any existing operator, significantly interested parties, governments, etc.>

*Stability and Security impact*

<An explanation of any security and stability issues, including transfer planning.>

<Other Evaluation criteria>

<An identification of the evaluation performed against the relevant evaluation criteria as described in response to C.2.9.2.c>

***Evaluation Procedure***

*<A description of the application procedure that was invoked in evaluating this request>*

Network Working Group  
Request for Comments: 2860  
Category: Informational

B. Carpenter  
IAB  
F. Baker  
IETF  
M. Roberts  
ICANN  
June 2000

Memorandum of Understanding Concerning the Technical  
Work of the Internet Assigned Numbers Authority

Status of this Memo

This memo provides information for the Internet community. It does not specify an Internet standard of any kind. Distribution of this memo is unlimited.

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Abstract

This document places on record the text of the Memorandum of Understanding concerning the technical work of the IANA that was signed on March 1, 2000 between the IETF and ICANN, and ratified by the ICANN Board on March 10, 2000.

MoU text as signed

MEMORANDUM OF UNDERSTANDING CONCERNING THE TECHNICAL WORK OF THE  
INTERNET ASSIGNED NUMBERS AUTHORITY

1. This Memorandum of Understanding ("MOU") defines an agreement between the Internet Engineering Task Force and the Internet Corporation for Assigned Names and Numbers. Its intent is exclusively to define the technical work to be carried out by the Internet Assigned Numbers Authority on behalf of the Internet Engineering Task Force and the Internet Research Task Force. It is recognized that ICANN may, through the IANA, provide similar services to other organisations with respect to protocols not within IETF's scope (i.e. registries not created by IETF or IRTF action); nothing in this MOU limits ICANN's ability to do so.

2. This MOU will remain in effect until either modified or cancelled by mutual consent of the Internet Engineering Task Force and the Internet Corporation for Assigned Names and Numbers, or cancelled by either party with at least six (6) months notice.

3. Definition of terms and abbreviations used in this document.

ICANN - Internet Corporation for Assigned Names and Numbers, a California non-profit corporation.

IANA - Internet Assigned Numbers Authority (a traditional name, used here to refer to the technical team making and publishing the assignments of Internet protocol technical parameters). The IANA technical team is now part of ICANN.

IETF - the Internet Engineering Task Force, the unincorporated association operating under such name that creates Internet Standards and related documents.

IAB - the Internet Architecture Board, an oversight committee of the IETF. The IAB is chartered to designate the IANA on behalf of the IETF.

IESG - the Internet Engineering Steering Group, a management committee of the IETF.

IRTF - the Internet Research Task Force, an unincorporated association also overseen by the IAB.

IRSG - the Internet Research Steering group, a management committee of the IRTF.

RFC - "Request For Comments", the archival document series of the IETF, also used by the IRTF and by third parties.

ISOC - the Internet Society, a not-for-profit corporation that supports the IETF.

4. Agreed technical work items. ICANN agrees that during the term of this MOU it shall cause IANA to comply, for protocols within IETF's scope, with the following requirements, which ICANN and IETF acknowledge reflect the existing arrangements under which the IANA is operated:

4.1. The IANA will assign and register Internet protocol parameters only as directed by the criteria and procedures specified in RFCs, including Proposed, Draft and full Internet Standards and Best Current Practice documents, and any other RFC that calls for IANA

assignment. If they are not so specified, or in case of ambiguity, IANA will continue to assign and register Internet protocol parameters that have traditionally been registered by IANA, following past and current practice for such assignments, unless otherwise directed by the IESG.

If in doubt or in case of a technical dispute, IANA will seek and follow technical guidance exclusively from the IESG. Where appropriate the IESG will appoint an expert to advise IANA.

The IANA will work with the IETF to develop any missing criteria and procedures over time, which the IANA will adopt when so instructed by the IESG.

4.2. In the event of technical dispute between the IANA and the IESG, both will seek guidance from the IAB whose decision shall be final.

4.3. Two particular assigned spaces present policy issues in addition to the technical considerations specified by the IETF: the assignment of domain names, and the assignment of IP address blocks. These policy issues are outside the scope of this MOU.

Note that (a) assignments of domain names for technical uses (such as domain names for inverse DNS lookup), (b) assignments of specialised address blocks (such as multicast or anycast blocks), and (c) experimental assignments are not considered to be policy issues, and shall remain subject to the provisions of this Section 4. (For purposes of this MOU, the term "assignments" includes allocations.) In the event ICANN adopts a policy that prevents it from complying with the provisions of this Section 4 with respect to the assignments described in (a) - (c) above, ICANN will notify the IETF, which may then exercise its ability to cancel this MOU under Section 2 above.

4.4. The IANA shall make available to the public, on-line and free of charge, information about each current assignment, including contact details for the assignee. Assignments published in RFCs by the RFC Editor and available publicly will be deemed to meet the requirements of this Section 4.4.

4.5. The IANA shall provide on-line facilities for the public to request Internet protocol parameter assignments and shall either execute such assignments, or deny them for non-conformance with applicable technical requirements, in a timely manner. There shall be no charge for assignments without the consent of the IAB. Requests shall only be denied on legitimate technical grounds.



For protocols within the IETF scope (i.e., registries created by IETF action), appeals against such denials may be made to the IESG and subsequently to the IAB as provided in 4.2 above.

4.6. The IANA shall have non-voting liaison seats on appropriate IETF committees as determined by the IETF, and may participate in all IETF discussions concerning technical requirements for protocol parameter assignment through such liaisons.

4.7. The IANA shall review all documents in IETF Last Call to identify any issues of concern to the IANA, and shall raise these issues with the IESG.

5. Application to IRTF/IRSG. The parties understand that certain of the protocol parameters to be assigned by IANA will be relevant to IRTF, rather than IETF. With respect to these protocol parameters, IANA will comply with the procedures set forth in Section 4, with the understanding that IRTF and IRSG shall be substituted for IETF and IESG, respectively, in such procedures. In the event of any question as to whether a particular protocol parameter relates principally to IETF or IRTF, the IAB shall have the authority to answer such question in its discretion.

6. General. This MOU does not constitute any of the parties as a partner, joint venturer, agent, principal or franchisee of any other party. The waiver of any provision of this MOU on any occasion shall not constitute a waiver for purposes of any other occasion. No party may transfer or assign any interest, right or obligation arising under this MOU without the prior written consent of each other party to this MOU.

7. Effectiveness of MOU. This Agreement requires the approval or ratification of the ICANN Board of Directors. The signatory for ICANN shall use his best efforts to secure and deliver to IETF such approval or ratification within two months of signing.

IN WITNESS WHEREOF, this Memorandum of Understanding is executed as of this first day of March 2000 by the undersigned, acting through their duly authorized representatives:

INTERNET ENGINEERING TASK FORCE

By: \_\_\_\_\_ Fred Baker, IETF Chair

Approved by:

INTERNET ARCHITECTURE BOARD

By: \_\_\_\_\_ Brian Carpenter, IAB Chair

INTERNET CORPORATION FOR ASSIGNED NAMES AND NUMBERS

By: \_\_\_\_\_ Mike Roberts, President

Security considerations

This document does not directly impact the security of the Internet.

## Acknowledgements

The technical heart of this document was discussed in the IETF POISSON working group in 1998 and 1999 and reviewed by the IESG and IAB. Jorge Contreras, Joyce K. Reynolds, and Louis Touton assisted in its finalisation.

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## Acknowledgement

Funding for the RFC Editor function is currently provided by the Internet Society.

# ICANN Address Supporting Organization (ASO) MoU

## 1. Organization

Under this agreement between ICANN and the Number Resource Organization (NRO), the NRO shall fulfill the role, responsibilities and functions of the ASO as defined within the ICANN Bylaws as referenced at [ICANN-BYLAWS].

## 2. Purpose

This MoU is established for the purposes of:

- defining roles and processes supporting global policy development, including the relationship between the Internet addressing community (represented by the NRO) and ICANN within the operation of this process;
- defining mechanisms for the provision of recommendations to the Board of ICANN concerning the recognition of new RIRs; and
- defining accessible, open, transparent and documented procedures for the selection of individuals to serve on other ICANN bodies, including selection of Directors of ICANN and selection of members of various standing committees and ad hoc ICANN bodies.

## 3. Address Council

### a. Composition.

The ASO Address Council shall consist of the members of the NRO Number Council.

### b. Responsibilities.

The ASO Address Council is responsible for the organizational roles of:

1. undertaking a role in the global policy development process as described in attachment A of this document.
2. providing recommendations to the Board of ICANN concerning the recognition of new RIRs, according to agreed requirements and policies as currently described in document [ICP-2].
3. defining procedures for selection of individuals to serve on other ICANN bodies, in particular on the ICANN Board, and implementing any roles assigned to the Address Council in such procedures.
4. providing advice to the Board of ICANN on number resource allocation policy, in conjunction with the RIRs.

5. developing procedures for conducting business in support of their responsibilities, in particular for the appointment of an Address Council Chair and definition of the Chair's responsibilities. All such procedures shall be submitted to the Executive Council of the NRO for approval.

c. Liaisons.

The ASO Address Council shall admit liaisons from emerging Regional Internet Registries and liaisons from other ICANN entities.

All liaison positions shall be determined by liaison agreements as shall be made in writing with the NRO, based on the recognition of mutual benefit.

All Liaison positions will be non-voting.

d. Removal of Address Council Members.

An ASO Address Council member may resign at any time by giving written notice to the ASO Address Council, the NRO Secretariat, and the ICANN Secretary. An ASO Address Council member originating from a particular RIR region may be removed by that region according to its published procedures. A vacancy on the ASO Address Council shall be deemed to exist in the case of the death, resignation, or removal of any member. When a vacancy occurs the position shall be filled by an interim appointment by the RIR for the affected region. This interim appointment shall be for the period until the next scheduled election for the ASO AC in that region at which time if there is any remaining time in the term the position shall be filled by election. The RIR of the affected region shall give written notification of these activities to the NRO Secretariat and the ICANN Secretary.

e. Compensation and Reimbursement.

No member of the Address Council shall receive any compensation for his or her services as a member of the Address Council. Address Council members shall, however, at their request, be reimbursed by the NRO for actual, necessary, and reasonable travel and subsistence expenses incurred by them in the performance of their duties.

#### **4. Secretariat**

The NRO will provide all Secretariat services to support functions described by this agreement.

#### **5. Global Policy Development Process**

Global policies are defined within the scope of this agreement as Internet number resource policies that have the agreement of all RIRs according to their policy development processes and ICANN, and require specific actions or outcomes on the part of IANA or any other external ICANN-related body in order to be implemented.

Global policies will be developed in the context of this agreement, according to the processes defined by attachment A to this MoU.

Under this agreement the ICANN Board will ratify proposed global policies in accordance with the Global Policy Development Process, using review procedures as determined by ICANN. ICANN will publish these procedures no later than ninety (90) days from the date of the signature of this agreement by all parties.

## **6. Service Regions**

The regions serviced by each RIR shall be defined by the RIRs in a manner of their choosing. The NRO shall ensure that all possible service areas are encompassed.

## **7. Arbitration**

In the event that the NRO is in dispute with ICANN relating to activities described in this MoU, the NRO shall arrange arbitration via ICC rules in the jurisdiction of Bermuda or such other location as is agreed between the NRO and ICANN. The location of the arbitration shall not decide the laws to be applied in evaluating this agreement or such dispute.

## **8. Periodic Review of the ASO**

With reference to the provisions of Article IV, Section 4 of the ICANN ByLaws [ICANN-BYLAWS], the NRO shall provide its own review mechanisms.

## **9. Periodic Review of the MoU**

The MOU signatories will periodically review the results and consequences of their cooperation under the MOU. When appropriate, the signatories will consider the need for improvements in the MOU and make suitable proposals for modifying and updating the arrangements and scope of the MOU. This MOU may only be amended or supplemented in writing, signed by the parties.

## **10. Other provisions**

From the date of signature this agreement supercedes and replaces the MoU signed between ICANN, APNIC, ARIN and RIPE NCC 18 October 1999, amended in January 2001, and the subsequent inclusion of LACNIC by Joinder in October 2002.

## **11. General**

Nothing in this MOU shall be construed to create between or among any of the parties a partnership, joint venture, or impose any trust or partnership or similar duty on any party, including as an agent, principal or franchisee of any other party.

Other than as provided for in this MOU, the parties shall not be bound by or be liable for, any statement, representation, promise, agreement or other binding commitment of any kind on behalf of any other party, without that party's prior written consent.

The non-exercise of or delay in exercising any power or right of a party does not operate as a waiver of that power or right, nor does any single exercise of a power or right to preclude any other or further exercise of it or the exercise

of any other power or right. A power or right may only be waived in writing, signed by the party to be bound by the waiver.

No party may transfer or assign any or all of its interest, rights or obligation arising under this MOU without the prior written consent of each other party to this MOU.

## 12. Referenced Documents

[ICP-2]

ICP-2: Criteria for Establishment of New Regional Internet Registries

Published by ICANN 7 July 2001.

<http://www.icann.org/icp/icp-2.htm>

[ICANN-BYLAWS]

BYLAWS FOR INTERNET CORPORATION FOR ASSIGNED NAMES AND

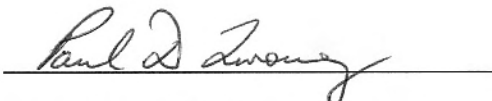
NUMBERS A California Nonprofit Public-Benefit Corporation As amended

effective 26 June 2003

<http://www.icann.org/general/bylaws.htm>

IN WITNESS WHEREOF, this Memorandum of Understanding is executed this 21<sup>st</sup> day of October 2004 by the undersigned, acting through their duly authorized representatives:

INTERNET CORPORATION FOR ASSIGNED NAMES AND NUMBERS



Dr. Paul Twomey  
President and Chief Executive Officer

NUMBER RESOURCE ORGANIZATION



Paul Wilson  
Chair, Executive Council

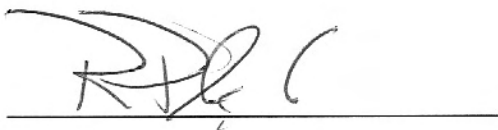


ASIA PACIFIC NETWORK INFORMATION CENTRE



Paul Wilson  
Director General

AMERICAN REGISTRY FOR INTERNET NUMBERS



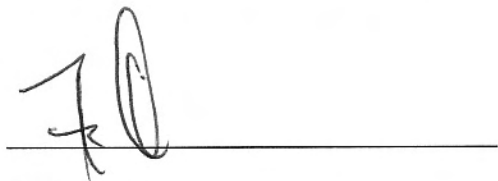
Raymond A. Plzak  
President and Chief Executive Officer

LATIN AMERICAN AND CARIBBEAN INTERNET ADDRESSES REGISTRY



Raul Echeberria  
Executive Director - CEO

RÉSEAUX IP EUROPÉENS NETWORK COORDINATION CENTRE



Axel Pawlik  
Managing Director

## **Attachment A**

### **Global Policy Development Process**

#### **Definitions:**

"Global policy" is described in Section 5 of the ASO MoU.

"ASO Address Council" is described in Section 3 of the ASO MoU.

#### **Process Description:**

1. A proposed global policy can be submitted either to one of the RIR policy fora (via mail lists or public policy meeting) or to the ASO Address Council directly. If it is presented to one of the RIR policy fora a member of the ASO Address Council from that region will notify the Chair of the ASO Address Council within ten days of the introduction of the proposal. If it is presented to the ASO Address Council the members of the Address Council will notify their respective RIRs within ten days of the introduction of the policy proposal to the Address Council.

The Chair of the Address Council will place the global policy proposal on agenda of the next Address Council meeting as an information item.

2. The proposer has the duty to assist relevant communities within each regional policy forum to make them aware of the deliberations of their peers in the other regional policy forums.

The members of the Address Council will request that the global policy proposal be placed on the agenda for next open policy meeting in each region, in accordance with the applicable policy process.

In those cases where the advocate of the proposed policy cannot travel to a particular RIR public policy meeting, then the RIR shall appoint a person to present the proposal at the meeting.

3. It is recognized that the outcomes of consideration of a proposed global policy may differ in terms of specific language and detail from region to region. The staff of the RIRs will work with each other, and with the policy proposer to document the common elements of such outcomes.
4. This common text will be ratified by each RIR, by methods of its own choosing.
5. This ratified common text is the proposed global policy proposal that is forwarded to the ASO Address Council.
6. The ASO Address Council shall review the process followed by the RIRs in terms of reaching a position of common agreement and a common text to describe the proposed global policy, and the Address Council shall undertake measures in accordance with an adopted procedure to assure itself that the significant viewpoints of interested parties were adequately considered.

Within sixty days after the NRO Executive Council has advised the Address Council that global policy proposal has been adopted by all of the regions the Address Council shall either:

- a. pass it to ICANN for ratification as a global policy (the process continues to Step 7), or
  - b. advise the NRO Executive Council that the Address Council has concerns as an outcome of its review and that the proposal requires further review within the public policy development process, or
  - c. request the NRO Executive Council for an extension of time to complete the review of the proposal.
7. The ASO Address Council shall forward the proposed policy to the ICANN Board as a consequence of Step 6 (a).
  8. The ICANN Board may review the policy proposal and may ask questions and otherwise consult with the ASO Address Council and/or the RIRs acting collectively through the NRO. The ICANN Board may also consult with other parties as the Board considers appropriate.
  9. Within 60 days of receipt of the proposed policy, including such consultation as may occur in Step 8, the ICANN Board may either:
    - a. accept the proposal by a simple majority vote; or
    - b. reject the proposed policy by a supermajority (2/3) vote; or
    - c. by a simple majority vote request changes to the proposed policy; or
    - d. take no action.
  10. If the ICANN Board takes no action (that is, fails to take actions (a), (b) or (c) in Step 9) within the 60-day window, the proposed policy is deemed to be accepted by the ICANN Board and it becomes global policy. In case Step 9 (c), should at least one of the RIRs agree that changes need to be made, the status of the proposed policy reverts to Step 1. If none of the RIRs accept the case for changes, then the proposed policy continues to Step 11.
  11. If the ICANN Board rejects the proposed policy (following Step 9(b)), it must deliver to the ASO Address Council a statement of its concerns with the proposed policy, including in particular an explanation of the significant viewpoints that were not adequately considered during the regular RIR process, within 60 days of the Board action.
  12. The ASO Address Council, in conjunction with the RIRs and working through agreed procedures, shall consider the concerns raised by the ICANN Board, and engage in a dialogue as appropriate with the ICANN Board.
  13. If the NRO Executive Council indicates that there is agreement from all RIRs, the ASO Address Council may forward a new proposed policy (either reaffirming the previous proposal or a modified proposal) to the ICANN Board. Alternatively, the NRO Executive Council may indicate that the policy proposal shall be reconsidered by the RIRs, and the proposed policy reverts to Step 1.

14. The resubmitted proposed policy then becomes a global address policy unless, by a supermajority (2/3) vote, the ICANN Board rejects this resubmitted proposal within 60 days of receipt of the new proposed policy, in which case it does not become a global addressing policy.
15. If the resubmitted proposed policy is rejected for a second time by ICANN, then the RIRs or ICANN shall refer the matter to mediation using an agreed procedure to resolve the matter.

**Considerations:**

16. Through the provisions of an agreement to be executed between the RIRs and ICANN, it is recognized that the ICANN Board has the ability to request that the ASO Address Council initiate a policy development process through the RIRs, using the policy development procedure described above. Any such request must include an explanation of the significant viewpoints that call for policy development. This provision, and the similar provision in Step 10 of the policy development procedure described above, are intended to ensure that the ICANN Board acts in these circumstances only with substantial, credible, and defensible support from the community.
17. In bringing a policy proposal to the regional policy forums it is expected that the ICANN Board will nominate a presenter of the ICANN proposal.
18. All global policies in full force and effect on the day this agreement is executed shall continue in full force and effect until specifically superseded by global policy outcomes from the process described here.
19. All global policies adopted will be published in the NRO and the ICANN web sites.
20. Global policies adopted previous to this MOU will also be published in these sites, with a clear indication that they were adopted prior to the current policy procedure.

## **Attachment B**

### **Address Council Transition**

In order to maximize stability and minimize disruption, the following method for transition from the current to the new Address Council is agreed.

1. The two shortest serving Address Council members from each region will be appointed to the NRO Number Council.
2. Upon expiration in 2004 of the seat of the longest serving Address Council member in each region, the respective RIR board will appoint a third member of the NRO Number Council, by a method of its own choosing.

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## Appendix C

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## Application for an IPv6 Multicast Address

To apply for an IPv6 Multicast Address, we are looking for a technical description of the proposed use of the multicast address.

The IESG designated expert will review your request. The expert requires enough detail to understand why a globally unique multicast address is necessary. Once you have submitted the completed application form below, your application will be reviewed. Further information is provided in [RFC 3307](#) and [RFC 4291](#). Please note that there is less need to assign IPv6 multicast addresses than IPv4 addresses, as every IPv6 unicast range has a multicast address range assigned to it (see [RFC 3306](#) for further information). For many other uses, a MADCAP server can be used to allocate IPv6 multicast addresses according to the principles set forth in RFC 4291.

If your request is approved, the fields marked "public" will be published in the IPv6 multicast address registry.

Your Full Name

Required

Your E-mail

Required

Please read the following questions carefully and provide complete answers.

Local Scope

Required

Can you use a locally scoped address or a MADCAP ([RFC 2730](#)) generated address?

Yes (Note: you do not require an address from IANA. Use local scope/MADCAP instead.)

No

If you answered "Yes" and wish to proceed, explain why you need a globally unique address.

Permanence

Required

Do you need a permanently allocated address? (Please see [RFC 3307](#) for further information)

Yes

No (Note: you do not require a multicast address from IANA)

Please explain why you need a permanently allocated address.

Unicast Prefix-based  
Multicast

Required

Are you able to use Unicast-Prefix-Based IPv6 Multicast Addresses in FF3x::/16 or Embedded-RP Multicast Addresses in FF7x::/16?

Yes (Note: You do not require a multicast address from IANA, see RFC 3306 and RFC 3956.)

No

Please explain why it is not possible to use Unicast Prefix-Based Multicast.

Source-specific Multicast  
Required

Are you able to use Source-specific Multicast (SSM)?

Yes (Note: you should use SSM)

No

Please explain why it is not possible to use SSM.

Assignment Block  
Required

In which block are you requesting an assignment?

Node-Local Scope ([RFC 2375](#), section 2.1)

Link-Local Scope ([RFC 2375](#), section 2.2)

Site-Local Scope ([RFC 2375](#), section 2.3)

Variable Scope Multicast ([RFC 2375](#), section 3.0)

Other

If Other, explain your requirement.

Link Local Usage  
Required

Are you using a link local protocol?

Yes

No

If yes, please explain your proposed use of the multicast address

Global Usage  
Required

Are you using a global protocol?

Yes

No

If yes, please explain your proposed use of the multicast address

Network Protocol  
Required

What is the protocol on the network?

Message Composition

If the proposed multicast use is for a new application or protocol for wide distribution, please describe the following:

- What message formats are used?

- What message types are used?
- What message op codes are used?
  - What message sequences are used?

**Functions** What functions are performed by this protocol?

**Application** How is multicast used by this application?

**Previous requests** Have you or your organisation requested globally unique IPv4 or IPv6 multicast addresses before?  
Required

- Yes
- No

If yes, and you received a multicast assignment, please list all addresses assigned:

If yes, and you did not receive a multicast assignment, please let us know which IANA ticket number your request was evaluated in, if available. The ticket number is listed in the subject line of the emails you received from us.

**Period of usage** Will you need the proposed assignment for a defined period or for the foreseeable future? If you will need the assignment for a defined period please indicate the length of time you will need the assignment for here:  
Required

- Defined period — Time period:
- Indefinite

**Specification** If your proposed use of the multicast address is described in an Internet-Draft or other specification, provide a reference here:

**Allocation Name** What name do you want associated with this multicast address? The name should be representatives of the proposed use of the address.  
Required

**Additional Information** Provide any additional information not described above that would assist the expert in reviewing your application.

Cancel

**Domain Names**     [Root Zone Registry](#)   [.INT Registry](#)   [.ARPA Registry](#)   [IDN Repository](#)

**Number Resources**   [Abuse Information](#)

**Protocols**            [Protocol Registries](#)   [Performance](#)   [Time Zone Database](#)

**About IANA**         [Presentations](#)   [Reports](#)   [Contact IANA](#)

IANA is responsible for coordinating the Internet's globally unique identifiers, and is operated by the **Internet Corporation for Assigned Names and Numbers** (ICANN).

# Application for an IPv4 Multicast Address

To apply for an IPv4 Multicast Address, we are looking for a technical description of the proposed use of the multicast address.

The IESG designated expert will review your request. The expert requires enough detail to understand why a globally unique multicast address is necessary. Once you have submitted the completed application form below, your application will be reviewed. We suggest that you read through the entire form before you begin to answer questions.

If your request is approved, the fields marked "public" will be published in the IPv4 multicast address registry found at <http://www.iana.org/assignments/multicast-addresses>.

Your Full Name

Required

Your E-mail

Required

Please read the following questions carefully and provide complete answers.

Globally Unique

Required

Do you need a globally unique address?

- Yes
- No (Note: You do not require a multicast address from IANA. Use addresses from 239.0.0.0/8, see [BCP 23](#))

If you answered "Yes" and wish to proceed, explain why you need a globally unique address.

GLOP

Required

Are you able to use [GLOP Addressing in 233/8](#)?

- Yes (Note: You do not require a multicast address from IANA. Use [GLOP](#).)
- No

Please explain why you can not use GLOP.

RFC 6034

Required

Are you able to use [Unicast-Prefix-Based IPv4 Multicast Addresses in 234/8](#)?

- Yes (Note: You do not require a multicast address from IANA. See [RFC 6034](#).)
- No

Please explain why you can not use RFC 6034.

Source-specific Multicast

Required

Are you able to use Source-specific Multicast (SSM)?

- Yes (Note: you should use SSM, see [RFC 4604](#) and [RFC 4607](#).)
- No

Please explain why it is not possible to use SSM.

Assignment Block

Required

In which block are you requesting an assignment?

- Local Network Control Block ([RFC 5771](#), section 3)
- Internetwork Control Block ([RFC 5771](#), section 5)
- AD-HOC Block ([RFC 5771](#), Section 6)
- Other

If Other, explain your requirement.

Link Local Usage

Required

Are you using a link local protocol?

- Yes
- No

If yes, please explain your proposed use of the multicast address

Global Usage

Required

Are you using a global protocol?

- Yes
- No

If yes, please explain your proposed use of the multicast address

Network Protocol

Required

What is the protocol on the network?

Message Composition

If the proposed multicast use is for a new application or protocol for wide distribution, please describe the following:

- What message formats are used?
- What message types are used?
- What message op codes are used?
- What message sequences are used?

Functions

What functions are performed by this protocol?

Application

How is multicast used by this application?

Previous requests

Required

Have you or your organisation requested globally unique IPv4 or IPv6 multicast addresses before?

- Yes
- No

If yes, and you received a multicast assignment, please list all addresses assigned:

If yes, and you did not receive a multicast assignment, please let us know which IANA ticket number your request was evaluated in, if available. The ticket number is listed in the subject line of the emails you received from us.

Period of usage

Required

Will you need the proposed assignment for a defined period or for the foreseeable future? If you will need the assignment for a defined period please indicate the length of time you will need the assignment for here:

- Defined period — Time period:
- Indefinite

Specification

If your proposed use of the multicast address is described in an Internet-Draft or other specification, provide a reference here:

Allocation Name

Required



What name do you want associated with this multicast address? The name should be representative of the proposed use of the address.

Additional Information

Provide any additional information not described above that would assist the expert in reviewing your application.

Lodge request

Cancel

[Domain Names](#)

- [Root Zone Registry](#)
- [JNT Registry](#)
- [ARPA Registry](#)
- [IDN Repository](#)

[Number Resources](#)

- [Abuse Information](#)

[Protocols](#)

- [Protocol Registries](#)
- [Performance](#)
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IANA is responsible for coordinating the Internet's globally unique identifiers, and is operated by the [Internet Corporation for Assigned Names and Numbers \(ICANN\)](#).

# IANA

## ASN Request Form

REQUESTER DETAILS	
Requesting RIR	
Submitted by	
Addresses correspondence should be copied to	
RIR's ticket number (optional)	
Request type	ASN
Date	

REQUEST OVERVIEW	
Available AS Numbers	
Monthly Assignment Average	
Special facts supporting extra resources are attached	

AS BLOCK	ASSIGNED	QUARANTINED	FREE

Available ASNs	
----------------	--

<b>PERIOD</b>	<b>ASNs ASSIGNED</b>
Average number of ASNs assigned per month	

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## **Appendix D**

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Internet Assigned Numbers Authority

## Registration Form for the .INT Top Level Domain

---

Create Domain Name: example.int

In order to apply for a .int domain name, the applicant must be prepared to provide documentation that shows how they [meet the .int domain eligibility requirements](#). **Before filling out this form**, please carefully review those requirements, and consider whether your organization qualifies.

There are 4 parts of this application that need to be completed: The **registrant** information section; the **administrative contact** section; the **technical contact** section; and the **nameserver** section.

### Registrant Information

For the .int domain, the registrant **must** be an organization established by international treaty, and that status must be verified before the domain can be registered.

Organization Name:	<input type="text"/>
	<i>(Please use full official name.)</i>
Address 1:	<input type="text"/>
Address 2:	<input type="text"/>
Address 3:	<input type="text"/>
City:	<input type="text"/>
State/Province:	<input type="text"/>
Postal Code:	<input type="text"/>
Country:	<input type="text"/>

### Administrative Contact Information

IANA\_076a

Information for contacting the person who will be dealing with administrative issues concerning the domain.

Name:

Address 1:

Address 2:

Address 3:

City:

State/Province:

Postal Code:

Country:

Telephone:  *Please include country prefix*

Fax:

Email:

### Technical Contact Information

Information for contacting the person who will be dealing with technical management of the domain.

Name:

Address 1:

Address 2:

Address 3:

City:

State/Province:

Postal Code:

Country:

Telephone:  *Please include country prefix*

Fax:

Email:



## Name Server Information

**A minimum of two nameservers are required.**

Primary  
Nameserver Name:

Primary  
Nameserver IP Address:

Secondary  
Nameserver Name:

Secondary  
Nameserver IP Address:

### Additional Secondary Name Servers

Name:

IP Address:

Name:

IP Address:

Name:

IP Address:

Name:

IP Address:

### Supplementary Information

If you have further information about your application, please enter it here.

### Supporting Documentation

Please send all supporting documentation to:

.int Domain Registry  
IANA – Internet Assigned Numbers Authority  
4676 Admiralty Way, Suite 330  
Marina del Rey, CA 90292

Our fax number is + 1-310-823-8649

All servers will be checked before delegations are made. **Note:**  
Your application will not be processed unless both the online  
application template and supporting documentation have been  
received.

submit

clear form

---

Please send comments on this web site to: [webmaster@iana.org](mailto:webmaster@iana.org)

Page Updated 09-Sep-2000.

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IANA\_076d



Internet Assigned Numbers Authority

## Registration Form for the .INT Top Level Domain

---

### Modify Domain Name: itu.int

Please make changes as appropriate. Please verify all 4 parts: The **registrant** information section; the **administrative contact** section; the **technical contact** section; and the **nameserver** section.

#### Registrant Information

For the .int domain, the registrant **must** be an organization established by international treaty, and that status must be verified before the domain can be registered.

Organization   
Name: *(Please use full official name.)*

Address 1:

Address 2:

Address 3:

City:

State/Province:

Postal Code:

Country:

#### Administrative Contact Information

Information for contacting the person who will be dealing with administrative issues concerning the domain.

Name:

Address 1:

	<input type="text"/>
Address 2:	<input type="text"/>
Address 3:	<input type="text"/>
City:	<input type="text"/>
State/Province:	<input type="text"/>
Postal Code:	<input type="text"/>
Country:	<input type="text"/>
Telephone:	<input type="text"/> <i>Please include country prefix</i>
Fax:	<input type="text"/>
Email:	<input type="text"/>

### Technical Contact Information

Information for contacting the person who will be dealing with technical management of the domain.

Name:	<input type="text"/>
Address 1:	<input type="text"/>
Address 2:	<input type="text"/>
Address 3:	<input type="text"/>
City:	<input type="text"/>
State/Province:	<input type="text"/>
Postal Code:	<input type="text"/>
Country:	<input type="text"/>
Telephone:	<input type="text"/> <i>Please include country prefix</i>
Fax:	<input type="text"/>
Email:	<input type="text"/>

### Name Server Information

**A minimum of two nameservers are required.**

Primary  
Nameserver Name:

Primary  
Nameserver IP Address:

Secondary  
Nameserver Name:

Secondary  
Nameserver IP Address:

**Additional Secondary Name Servers**

Name:

IP Address:

Name:

IP Address:

Name:

IP Address:

Name:

IP Address:

**Supplementary Information**

If you have further information about your application, please enter it here.



Internet Assigned Numbers Authority

## Registration Form for the .INT Top Level Domain

---

**Enter Domain Name**

**Operation**

- Modify Existing Domain
- Create New Domain

---

Please send comments on this web site to: [webmaster@iana.org](mailto:webmaster@iana.org)

Page Updated 09-Sep-2000.

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IANA\_L078

IANA IPv6 request

Original Allocation	Broken Into	Available Bits	Reservation Bits	Allocated Bits	Free Bits	Usage %	Weight	% of Total used
2400::/12	2400::/13 2408::/13	19	19	8	10	50%	50%	25%
<b>Total usage</b>				16	3	100%	50%	<b>75%</b>

Below is explanations and can be removed in real request if perfer

Minumu allocation /32  
 Available Bits 32-13 = 19  
 Reservation Bits first /13 up to /24 1024 allocations made  
 Allocated Bits 19-8-10 = 1  
 Free Bits 1 / 2^1 = 50%  
 Usage /13 out of /12 50%  
 Weight Usgae x Weight 50%x50%=25%  
 % of Total used add up all % used 25%+50%=75%

32-24 = 8  
 log2 1024 = 10  
 19-16-3 = 0  
 1 / 2^0 = 100%  
 50%  
 50%x50%=25%  
 25%+50%=75%

second /13 up to /16 32-16 = 16  
 8 allocations made log2 8 = 3











































## Root Zone DNSSEC Monthly Report – April 2012

### Executive Summary

This is a monthly summary of root zone DNSSEC operations for the month of April 2012 prepared jointly by ICANN and VeriSign for the US Department of Commerce National Telecommunications and Information Administration (NTIA).

1 Delegation Signer (DS) Resource Records (RRs) were added to the root zone this month. No DS RRs were removed. No emergency DS RR changes were processed.

There were no exceptional or unscheduled operational events.

There were no harmful effects of DNSSEC in the root zone observed or reported.

No DNSSEC Policy and Practice Statement (DPS) changes were made this month.

No changes to published root zone DNSSEC documentation were made this month.

### Key Management

The next key ceremony is scheduled to take place on 2012-05-22 at the ICANN Key Management Facility in Culpeper, VA, USA.

### DS Record Changes

No emergency DS changes were processed this month.

The following Delegation Signer (DS) Resource Record (RR) changes were published in the root zone during this month.

Date	SOA Serial	TLD	Change
2012-04-13	2012041300	ua	DS added keytag 56514 alg 10 (RSASHA512) digest 2 (SHA-256)

### Exceptional and Unscheduled Events

There were no unscheduled operational events this month.

### Trust Anchor Retrieval

The following is a summary of trust anchor retrieval from the documented root zone trust anchor repository<sup>1</sup>.

Month	Total Downloads	Daily Average
April 2012	1003	33

<sup>1</sup> <https://data.iana.org/root-anchors/>

### **Problems Reported**

No problems resulting from the deployment of DNSSEC in the root zone were reported to ICANN or VeriSign this month.

### **DPS Changes**

No DPS changes were made this month.

### **Other Documentation Changes**

No changes to published root zone DNSSEC documentation were made this month.

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## **Appendix E**

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**Version 3 (May 2012)**

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**1. PURPOSE:**

To define the Company's policy for staff regarding conflicts of interest and the protection of Company's interests.

A conflict of interest may exist when a staff member is involved in an activity or has a personal interest that might interfere with the staff member's objectivity in performing the Company duties and responsibilities. Any such activities or personal interests or activities are prohibited unless formally approved in writing.

**2. POLICY/PROCEDURE:**

The Company has a substantial interest in all of its business ventures and activities and must maintain policies that are designed to protect its interests. Staff members at all levels throughout the organization are required to comply with this Conflicts of Interest policy.

- A. Staff members are expected to adhere to high ethical standards, and not to engage in any conduct that would create an actual or potential conflict, or create the appearance of a conflict between their interests and the interests of the Company.
- B. No staff member may engage in any conduct or activity that in any manner disrupts, undermines, damages, impairs or interferes with the Company's business, or its relationships with any customer, prospective customer or outside organization, person or entity with which the Company has or proposes to enter into an arrangement, agreement or contractual relationship.
- C. The protection of trade secrets and other confidential information is of critical importance to the Company and its customers. Therefore, staff members are prohibited from disclosing to anyone the Company's trade secrets or other Confidential Information (as defined and set forth in the Company's Confidentiality policy). All staff members are required to acknowledge and agree to comply with the Company's Confidentiality Policy as a condition of being a staff member. Staff members who improperly disclose the Company's trade secrets or other Confidential Information will be subject to disciplinary action, up to and including termination of working relationship and/or possible legal action, whether or not they have acknowledged and agreed to comply with the Company's Confidentiality Policy.
- D. Examples of common conflicts of interest include, but are not limited to, any staff member, or the staff member's spouse, domestic partner, children, step-children, parents, step-parents, siblings, or in-laws:
  - Working for, or having a financial interest in, a contractor, supplier or customer of the Company while the staff member.

- Engaging in self-employment in activities that the Company or its staff members perform;
  - Using the Company's Confidential Information for personal gain or benefit either currently or for future potential benefit (*e.g.*, a potential offer of employment);
  - Engaging in activities to establish a business to contract work for the Company while still working with the Company
  - Conducting work for a party contract with the Company while still employed by the Company; and
  - Directly or indirectly benefitting, or having the appearance of benefitting, from Company's performance of any Company contract
- E. The Company reserves the right to determine that other relationships not specifically covered by this policy represent an actual and/or potential conflict of interest. In any case where the Company determines, in its sole discretion, that a relationship between a staff member and any other individual creates an actual or potential conflict of interest, the Company may take whatever action it determines to be appropriate to address or, if deemed necessary, prevent the continuation of the actual or potential conflict of interest. Such actions may include, but are not limited to, a transfer, reassignment or change of responsibilities, or, where it deems such action appropriate, disciplinary action, up to and including termination of the working relationship.
- F. Staff members who believe they have an actual or potential conflict of interest, including but not limited to potential conflicts of interest due to a relationship with a staff member or non-staff member, must immediately complete a Disclosure Form and be prepared to discuss the situation with the CEO, COO and/or General Counsel of the Company. If the Company determines that a conflict of interest exists after reviewing the relevant information, it reserves the right, in its sole discretion, to take whatever steps necessary to remedy the situation, including creating an ethical wall to screen the employee from any of relevant activities that the Company performs, or termination of the working relationship.
- G. The Company reserves the right to determine that other relationships not specifically covered by the policy represent actual or potential conflicts of interest, and it may take actions that it deems appropriate in its sole discretion, up to an including termination of the working relationship.
- H. If a staff member fails to report an actual or potential conflict of interest of which he/she is aware, the Company reserves the right to take any and all steps it determines appropriate under the circumstances, up to and including termination of the working relationship.



# **Internet Corporation for Assigned Names and Numbers**

## **Board Conflicts of Interest Policy**

*(Adopted on 6 May 2012)*

### **ARTICLE I -- PURPOSE AND ADMINISTRATION**

Section 1.1 Internet Corporation for Assigned Names and Numbers (“ICANN”) is committed to the highest levels of integrity. Covered Persons are expected to conduct their relationships with each other, ICANN and outside organizations with objectivity and honesty. Covered Persons are obligated to disclose ethical, legal, financial and other Conflicts of Interest involving ICANN and remove themselves from a position of decision-making authority with respect to any Conflict of Interest involving ICANN. The purpose of this Board Conflicts of Interest Policy (“COI Policy”) is to prevent any Conflict of Interest or the appearance of a Conflict of Interest from affecting any decision-making involving ICANN, to ensure that the deliberations and decisions of ICANN are made solely in the interests of the global Internet community, as a whole, and to protect ICANN’s interests when ICANN is contemplating entering into a transaction, contract or arrangement or approving a policy, program or other matter that might benefit the personal interests of a Covered Person.

Section 1.2 A Covered Person may not use his or her position with respect to ICANN, or confidential corporate information obtained by him or her relating to ICANN, in order to achieve a financial or other benefit for himself or herself or for a third person, including another nonprofit or charitable organization.

Section 1.3 This COI Policy is intended to supplement but not to replace any applicable laws governing conflicts of interest applicable to ICANN.

Section 1.4 ICANN will encourage Supporting Organizations and Advisory Committees and other ICANN-related bodies, as appropriate, to consider implementing the principles and practices of this COI Policy as relevant.

Section 1.5 The Board Governance Committee (together with any subcommittee thereof established by the Board, the “Committee”) shall administer and monitor compliance with this COI Policy in accordance with the terms contained herein.

Section 1.6 Certain capitalized terms used in this COI Policy shall have the meanings set forth in Article VII of this COI Policy.

### **ARTICLE II -- PROCEDURES REGARDING CONFLICTS OF INTEREST**

Section 2.1 Duty to Disclose.

(a) In connection with any proposed transaction, contract, arrangement, policy, program or other matter being considered by ICANN, a Covered Person shall promptly disclose the existence of any Potential Direct Conflict that may give rise to a Conflict of Interest with

respect to the proposed transaction, contract, arrangement, policy, program or other matter. Such disclosure shall be made to the Office of the General Counsel setting forth, in writing, all relevant facts relating to the Potential Direct Conflict. When in doubt, Interested Persons shall disclose matters as Potential Direct Conflicts.

(b) Potential Perceived Conflicts can be seriously damaging to the multi-stakeholder community's confidence in ICANN. A Covered Person shall promptly disclose the existence of any Potential Perceived Conflict, which shall be treated as equivalent to a Potential Direct Conflict until such time as the doubt is removed and the matter is determined after investigation of all the relevant facts in accordance with this COI Policy. When in doubt, Interested Persons shall disclose matters as Potential Perceived Conflicts and disclose all relevant facts relating to the Potential Perceived Conflict to the Office of the General Counsel.

(c) If any Covered Person has reason to believe that another Covered Person has a Potential Conflict, the Covered Person with such belief shall inform the Office of the General Counsel, including disclosing all relevant facts relating thereto.

(d) The Interested Person shall provide the Office of the General Counsel with an updated Statement (as provided for in Article V below) at the time any disclosure is made pursuant to this Section 2.1. The disclosure to the Office of the General Counsel of a Potential Conflict shall be made promptly and pursuant to such procedures as the Board or the Committee may establish from time to time.

## Section 2.2 Determining Whether a Conflict of Interest Exists.

(a) After disclosure of a Potential Conflict by an Interested Person, the Office of the General Counsel will promptly inform the Committee of the Potential Conflict and provide the Committee with all information provided by the Interested Person related thereto. At the discretion of the Disinterested members of the Committee, the Interested Person may present further information regarding, or otherwise discuss with such members, the Potential Conflict.

(b) Thereafter, in the absence of the Interested Person, the Disinterested members of the Committee shall determine whether or not the circumstances disclosed by the Interested Person regarding the Potential Conflict constitute a Conflict of Interest, and, subject to a contrary finding by a majority of the Disinterested Directors, the determination by Disinterested members of the Committee in this regard is conclusive and may not be challenged by the Interested Person. Such determination shall be recorded pursuant to Section 3.1 hereof. If the Interested Person is a Director or Board Liaison, such determination shall be subject to ratification by, and reported to, the Disinterested Directors at the next Board meeting and prior to the Disinterested Directors approving or adopting, as applicable, the transaction, contract, arrangement, policy, program or other matter giving rise to such Potential Conflict.

## Section 2.3 Procedures for Addressing a Conflict of Interest.

(a) If the Disinterested members of the Committee determine that a Conflict of Interest exists, the Conflicted Person may make a presentation to the Disinterested members of the Committee regarding the Conflict of Interest. After any such presentation, subject to Section

2.4(d), the Conflicted Person shall leave the meeting and shall not be present during any discussion of the Conflict of Interest.

(b) The Chair of the Committee (if Disinterested) or a majority of the Disinterested members of the Committee, shall, if appropriate, appoint a Disinterested person or committee to investigate alternatives or modifications, as applicable, to the proposed transaction, contract, arrangement, policy, program or other matter. If the Conflicted Person is a Director or Board Liaison, the findings shall be reported to Disinterested Directors at the next Board meeting and prior to the Disinterested Directors approving or adopting, as applicable, the transaction, contract, arrangement, policy, program or other matter giving rise to such Conflict of Interest.

(c) After investigating the proposed transaction, contract, arrangement, policy, program or other matter, the Disinterested members of the Committee shall determine whether ICANN can obtain with reasonable efforts a more advantageous transaction, contract, arrangement, policy, program or other matter in a manner that would not give rise to or would alleviate or mitigate a Conflict of Interest. If the Conflicted Person is a Director or Board Liaison, such determination shall be reported to the Disinterested Directors at the next Board meeting and prior to the Disinterested Directors approving or adopting, as applicable, the transaction, contract, arrangement, policy, program or other matter giving rise to such Conflict of Interest.

(d) If a more advantageous transaction, contract, arrangement, policy, program or other matter is not reasonably available to ICANN under circumstances not producing a Conflict of Interest, or the transaction, contract, arrangement, policy, program or other matter cannot be modified to alleviate or mitigate a Conflict of Interest, the Disinterested members of the Committee, and where the Conflicted Person is a Director or Board Liaison, the Disinterested Directors shall determine by a majority vote of the applicable Disinterested Directors whether the transaction, contract, arrangement, policy, program or other matter creating the Conflict of Interest is in ICANN's best interest, for its own benefit, and whether it is fair and reasonable to ICANN. In conformity with those determinations, the Disinterested members of the Committee or Disinterested Directors, as applicable, shall make its decision as to whether ICANN should enter into the transaction, contract or arrangement or approve the policy, program or other matter.

#### Section 2.4 Duty to Abstain.

(a) After disclosing the existence of a Potential Conflict, Interested Persons shall refrain from using their personal influence (either at or outside a Board meeting) to influence ICANN's handling of the transaction, contract, arrangement, policy, program or other matter.

(b) No Director may vote on, and each Director must abstain from voting on, any matter in which the Director has a Conflict of Interest, except that a Director need not abstain from, and may vote on, whether to accept or to reject a recommendation to the Board by an Independent Valuation Expert contained in a Reasoned Written Opinion from such Independent Valuation Expert regarding a Compensation arrangement for services provided by the Director to ICANN in the Director's capacity as a member of the Board.

(c) In the event of such an abstention, the abstaining Director shall state the reason for the abstention, which shall be recorded pursuant to Section 3.1.

(d) Except as otherwise provided in Section 2.4(b) above regarding a compensation arrangement for services provided by the Director to ICANN in the Director's capacity as member of the Board, no Director may participate in Board committee or Board deliberations on any transaction, contract, arrangement, policy, program or other matter in which he or she has a Conflict of Interest without first disclosing the conflict (and otherwise complying with the requirements of this COI Policy) and until a majority of Disinterested members of the Committee or a majority of the Disinterested Directors present agree on whether and in what manner the Conflicted Person may participate.

#### Section 2.5 Violations of the Conflicts of Interest Policy.

(a) If the Disinterested members of the Committee have reasonable cause to believe a Covered Person has failed to disclose a Potential Conflict, the Committee shall inform the Covered Person, and initiate the procedures described in Sections 2.1, 2.2 and 2.3.

(b) If the Disinterested members of the Committee determine that a Director or Board Liaison has intentionally failed to disclose a Potential Conflict, the Disinterested members of the Committee shall make recommendations to the Disinterested Directors for corrective action. The Disinterested Directors shall review the Disinterested members of the Committee's recommendation and shall take such corrective action as they deem appropriate, including, but not limited to, removal of a non-disclosing Director or Board Liaison in accordance with ICANN's Bylaws and applicable law.

### **ARTICLE III -- RECORDS OF PROCEEDINGS**

Section 3.1 The written or electronic records of the Board and the Committee relating to Conflicts of Interest shall contain:

- (i) The names of Covered Persons who disclosed or otherwise were found to have a Potential Conflict in connection with a proposed contract, arrangement, policy, program or other matter;
- (ii) The nature of the Potential Conflict;
- (iii) Any action taken to determine whether a Conflict of Interest was present;
- (iv) The Board's or the Committee's, as applicable, decision as to whether a Conflict of Interest in fact existed;
- (v) The names of the persons who were present for discussions and votes relating to the transaction, contract, arrangement, policy, program or other matter;
- (vi) The content of the discussion, including any alternatives to the proposed transaction, contract, arrangement, policy, program or other matter; and

- (vii) A record of any votes taken in connection therewith.

#### **ARTICLE IV -- COMPENSATION**

Section 4.1 Except to the extent permitted under Section 2.4(b), a Director who receives Compensation, directly or indirectly, from ICANN for services may not vote on matters pertaining to the Director's Compensation.

Section 4.2 A Director may not vote on matters pertaining to Compensation received, directly or indirectly, from ICANN by a member of the Director's Family or by an individual with whom a Director has a close personal relationship, including, but not limited to, any relationship other than kinship, spousal or spousal equivalent that establishes a significant personal bond between the Director and such other individual that in the judgment of the Committee could impair the Director's ability to act fairly and independently and in a manner that furthers, or is not opposed to, the best interests of ICANN.

Section 4.3 No Covered Person who receives Compensation, directly or indirectly, from ICANN, either individually or collectively, is prohibited from providing information to the Board or to any Committee regarding the Covered Person's Compensation.

#### **ARTICLE V -- ANNUAL STATEMENTS**

Section 5.1 Each Covered Person shall annually, or promptly upon becoming a Covered Person, sign a Statement which affirms such Covered Person: (i) has received a copy of the COI Policy; (ii) has read and understands the COI Policy; (iii) has agreed to comply with the COI Policy; and (iv) understands ICANN is a tax-exempt organization described in § 501(c)(3) of the Internal Revenue Code and that in order to maintain its federal tax exemption, ICANN must engage primarily in activities which accomplish one or more of ICANN's tax-exempt purposes.

Section 5.2 On an annual basis, all Covered Persons shall disclose on their Statement a list of all organizations in which he or she has a Financial Interest or Duality of Interest.

Section 5.3 On an annual basis, the Committee shall review the Statements of the Covered Persons to determine whether any Covered Person has a Conflict or Conflicts of Interest that is, or in the aggregate are, so pervasive that the Conflicted Person should no longer serve in his or her respective role.

#### **ARTICLE VI -- PERIODIC REVIEWS**

Section 6.1 To ensure ICANN operates with the highest levels of integrity and in a manner consistent with its tax-exempt purposes and does not engage in activities that could jeopardize its tax-exempt status, ICANN's Office of the General Counsel and Finance Department shall conduct periodic reviews of its purposes and activities.

Section 6.2 These periodic reviews shall, at a minimum, include the following subjects:

- (i) Whether activities carried on by ICANN are consistent with and in furtherance of one or more of ICANN's tax-exempt purposes;

(ii) Whether ICANN follows policies and procedures reasonably calculated to prevent private Inurement more than incidental private benefit, excess benefit transactions, substantial lobbying, and participation or intervention in any political campaign on behalf of or in opposition to any candidate for public office;

(iii) Whether compensation arrangements and benefits are reasonable, are based on appropriate data as to comparability, and are the result of arm's length bargaining; and

(iv) Whether partnerships, joint ventures, and arrangements with organizations that provide management personnel or management services conform to ICANN's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further tax-exempt purposes, and do not result in private Inurement more than incidental private benefit, or in an excess benefit transaction.

Section 6.3 When conducting the periodic reviews, ICANN may, but need not, use outside experts and/or advisors. If outside experts and/or advisors are used, their use shall not relieve the Board of its responsibility for ensuring periodic reviews are conducted in the manner prescribed in this Article.

## **ARTICLE VII -- DEFINITIONS**

Section 7.1 As used in this COI Policy, the following terms shall have the meanings set forth below.

(i) "Advisory Committees" means the Governmental Advisory Committee, the At-Large Advisory Committee, the Security and Stability Advisory Committee and the Root Server System Advisory Committee.

(ii) "Board" means the ICANN Board of Directors.

(iii) "Board Governance Committee" means the Board Governance Committee of the Board.

(iv) "Board Liaison" shall mean those liaisons to the Board appointed in accordance with ICANN's Bylaws.

(v) "Compensation" includes direct and indirect remuneration as well as gifts or favors that are material in nature or amount. Compensation does not include reimbursement of properly documented travel and other appropriate business expenses.

(vi) A "Conflict" or "Conflict of Interest" arises when the Board or the Committee, as applicable, following the procedures set forth in Articles II and III of this COI Policy, determines that a Covered Person has disclosed a Potential Conflict that may in the judgment of a majority of the Disinterested Directors or Disinterested members of the Board or the Committee, as applicable, adversely

impact the Covered Person's ability to act fairly and independently and in a manner that furthers, or is not opposed to, the best interests of ICANN.

(vii) "Conflicted Person" means a Covered Person who has been determined by the Board or the Committee to have a Conflict of Interest.

(viii) "Covered Person" shall mean an Officer, Director, Board Liaison or Key Employee of ICANN.

(ix) A "Director" is any voting member of the Board.

(x) "Disinterested" means not having a Potential Conflict with respect to a transaction, contract, arrangement, policy, program or other matter being considered by ICANN.

(xi) "Domestic Partner" shall mean an individual who resides at the same residence as the Covered Person as his or her spousal equivalent.

(xii) A "Duality of Interest" arises when, with respect to a transaction, contract, arrangement, policy, program or other matter, a Covered Person or a member of a Covered Person's Family has a fiduciary relationship with another party to a proposed transaction, contract or arrangement which gives rise to a circumstance in which the fiduciary duties of the Covered Person to ICANN and the fiduciary duties of the Covered Person, or the fiduciary duties of the Family member of the Covered Person, to the other party may be in conflict. A Duality of Interest does not constitute a Conflict of Interest if ICANN and all other parties to the transaction, contract or arrangement being in possession of all material facts, waive the conflict in writing.

(xiii) The "Family" of any Covered Person shall include the Covered Person's spouse; Domestic Partner; siblings and their spouses or Domestic Partners; ancestors and their spouses or Domestic Partners; and descendants and their spouses or Domestic Partners. Family shall also include anyone (other than a domestic employee or service provider) who shares the Covered Person's home.

(xiv) A "Financial Interest" exists whenever a Covered Person has or is engaged in discussions to have, directly or indirectly, through business, investment, or Family: (a) an ownership or investment interest in any entity with which ICANN has a transaction, contract, arrangement, policy, program or other matter; (b) a Compensation arrangement with any entity or individual with which ICANN has a transaction, contract, arrangement, policy, program or other matter; and (c) a potential ownership or investment interest in, or Compensation arrangement with, any entity or individual with which ICANN is negotiating a transaction, contract, arrangement, policy, program or other matter. As used herein, "transactions, contracts, and arrangements" include grants or other donations as well as business arrangements, approvals or endorsements. Additionally, as used herein "policies, programs or other matters" include, but are not limited to, the application for or the registration of top level domains. A Financial Interest is a Potential Conflict

but is not necessarily a Conflict of Interest. A Financial Interest does not become a Conflict of Interest until the Board or the Committee, following the procedures set forth in Articles II and III of this COI Policy, determines that the Financial Interest constitutes a Conflict of Interest.

(xv) An “Independent Valuation Expert” means a Person retained by ICANN to value compensation arrangements that: (a) holds itself out to the public as a compensation consultant; (b) performs valuations regarding compensation arrangements on a regular basis, with a majority of its compensation consulting services performed for Persons other than ICANN; (c) is qualified to make valuations of the type of services involved in any engagement by and for ICANN; (d) issues to ICANN a Reasoned Written Opinion regarding a particular compensation arrangement; and (e) includes in its Reasoned Written Opinion a certification that it meets the requirements set forth in (a) through (d) of this definition.

(xvi) An “Interested Person” is a Covered Person who has a Potential Conflict with respect to a particular transaction, contract, arrangement, policy, program or other matter under consideration by ICANN.

(xvii) “Internal Revenue Code” shall mean the United States Internal Revenue Code of 1986, as amended, or any future revenue statute replacing the 1986 Code.

(xviii) “Inurement,” as used in this COI Policy, shall mean: (a) a transaction in which ICANN provides an economic benefit, directly or indirectly, to or for the use of any Covered Person where the value of that economic benefit exceeds the value of the consideration (including the performance of services) that ICANN receives in exchange; or (b) any transaction or arrangement by or through which a Covered Person receives a direct or indirect distribution of ICANN’s net earnings (other than payment of fair market value for property or the right to use property and reasonable compensation for services).

(xix) A “Key Employee” is an employee of ICANN designated as a member of the executive management team of ICANN, but who is not an Officer or Director.

(xx) An “Officer” is an individual holding a position designated as an Officer by ICANN’s Bylaws or by resolution of the Board and includes, without limitation, the President of ICANN.

(xxi) A “Person” includes an individual, corporation, limited liability company, partnership, trust, unincorporated association or other entity.

(xxii) A “Potential Conflict” means either a Potential Direct Conflict or a Potential Perceived Conflict.

(xxiii) A “Potential Direct Conflict” means any one or more of the following: (a) a direct or indirect Financial Interest in a transaction, contract or arrangement being considered by ICANN, by a Covered Person or a member of a Covered



Person's Family; (b) a Duality of Interest by a Covered Person or a member of a Covered Person's Family with respect to another party to a transaction, contract or arrangement being considered by ICANN that has not been waived in writing by all parties to the transaction, contract or arrangement; or (c) a close personal relationship between the Covered Person, or a member of a Covered Person's Family, with an individual who is, directly or indirectly through business, investment, or Family, a party to a transaction, contract or arrangement being considered by ICANN.

(xxiv) A "Potential Perceived Conflict" exists when a reasonable person, knowing the relevant facts, could conclude that the Covered Person's private interests could adversely impact the Covered Person's ability to act fairly and independently and in a manner that furthers, or is not opposed to, the best interests of ICANN.

(xxv) "Regulations" means treasury regulations promulgated under the Internal Revenue Code.

(xxvi) "Reasoned Written Opinion" means a written opinion of a valuation expert who meets the requirements of Section 7.1(xiv)(a) through (d) of this COI Policy. To be reasoned, the opinion must be based upon a full disclosure by ICANN to the valuation expert of the factual situation regarding the compensation arrangement that is the subject of the opinion, the opinion must articulate the applicable valuation standards relevant in valuing such compensation arrangement, the opinion must apply those standards to such compensation arrangement, and the opinion must arrive at a conclusion regarding whether the compensation arrangement is within the range of Reasonable Compensation for the services covered by the arrangement. A written opinion is reasoned even though it reaches a conclusion that is subsequently determined to be incorrect so long as the opinion addresses itself to the facts and the applicable standards. However, a written opinion is not reasoned if it does nothing more than recite the facts and express a conclusion.

(xxvii) "Statement" means the annual statement required by Article V hereof.

(xxviii) "Supporting Organizations" mean the Adverse Supporting Organization, the Generic Names Supporting Organization and the Country Codes Name Supporting Organization.

**Section 7.2** Where terms used in this COI Policy, such as Reasonable Compensation (which shall have the meaning set forth in § 53.4958-4(b)(1)(ii) of the Regulations), have a particular meaning under the Internal Revenue Code and/or any Regulations issued thereunder, this COI Policy shall be construed to incorporate that meaning as the context requires.

**Section 7.3** All other terms used in this COI Policy shall be given their ordinary, everyday meaning.

# **Internet Corporation for Assigned Names and Numbers**

## **Board of Directors' Code of Conduct**

*(Adopted on 6 May 2012)*

The Board of Directors (the "Board") of the Internet Corporation for Assigned Names and Numbers ("ICANN") has adopted the following Code of Conduct ("Code") for its voting directors ("Directors") and non-voting liaisons ("Liaisons", collectively with the Directors, the "Board Members"). This Code is intended to focus Board Members on areas of ethical risk, provide guidance to help them recognize and deal with ethical issues, provide mechanisms to report unethical conduct, foster a culture of honesty and accountability, deter wrongdoing and promote fair and accurate disclosure and financial reporting. The Code is not intended to override any applicable laws or any obligations pursuant to ICANN's Bylaws, Conflicts of Interest Policy, Governance Guidelines or any other applicable policies.

No code can anticipate every situation that may arise. Accordingly, this Code is intended to serve as a source of guiding principles and not absolute directives. Generally, however, the goal is to ensure that ICANN Board Members strive to foster ICANN's Mission and Core Values in an ethical manner. ICANN Mission and Core Values set forth below can also be found in Article I of ICANN's Bylaws at <http://www.icann.org/general/bylaws.htm#I>.

### **MISSION**

ICANN's mission is to coordinate, at the overall level, the global Internet's systems of unique identifiers, and in particular to ensure the stable and secure operation of the Internet's unique identifier systems. Specifically, ICANN:

1. Coordinates the allocation and assignment of the three sets of unique identifiers for the Internet, which are
  - a. Domain names (forming a system referred to as "DNS");
  - b. Internet protocol ("IP") addresses and autonomous system ("AS") numbers; and
  - c. Protocol port and parameter numbers.
2. Coordinates the operation and evolution of the DNS root name server system.
3. Coordinates policy development reasonably and appropriately related to these technical functions.

### **CORE VALUES**

In performing its mission, the following core values should guide the decisions and actions of ICANN:

1. Preserving and enhancing the operational stability, reliability, security, and global interoperability of the 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.
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.
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.
5. Where feasible and appropriate, depending on market mechanisms to promote and sustain a competitive environment.
6. Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest.
7. Employing open and transparent policy development mechanisms that (i) promote well-informed decisions based on expert advice, and (ii) 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.
9. Acting with a speed that is responsive to the needs of the Internet while, as part of the decision-making process, obtaining informed input from those entities most affected.
10. Remaining accountable to the Internet community through mechanisms that enhance ICANN's effectiveness.
11. While remaining rooted in the private sector, recognizing that governments and public authorities are responsible for public policy and duly taking into account governments' or public authorities' recommendations.

These core values are deliberately expressed 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 they apply to the specific circumstances of the case at hand, and to determine, if necessary, an appropriate and defensible balance among competing values.

## *CODE OF CONDUCT*

### **A. General Statement of Expectation**

Each Board Member is expected to adhere to a high standard of ethical conduct and to act in accordance with ICANN's Mission and Core Values. The good name of ICANN depends upon the way Board Members conduct business and the way the public perceives that conduct. Unethical actions, or the appearance of unethical actions, are not acceptable. Board Members are to be guided by the following principles in carrying out their responsibilities. Note, however, that this Code summarizes such principles and nothing in this Code should be considered as limiting duties, obligations or legal requirements with which the Board Members must comply.

***Loyalty.*** Board Members should not be, or appear to be, subject to influences, interests or relationships that conflict with the interests of ICANN or ICANN's ability to operate for the benefit of the Internet community as a whole. Board Members shall act so as to protect ICANN's interests and those of its employees, assets and legal rights, and Board Members shall serve the interests of ICANN over those of any other person or group or constituency of ICANN.

***Care.*** Board Members shall apply themselves with seriousness and diligence to participating in the affairs of the Board and its committees and shall act prudently in exercising management oversight of ICANN, and shall be attentive to legal ramifications of his or her and the Board's actions. Board Members are expected to be familiar with ICANN's business and the environment in which the company operates, and understand ICANN's principal business plans, policies, strategies and core values.

***Inquiry.*** Board Members shall take such steps as are necessary to be sufficiently informed to make decisions on behalf of ICANN and to participate in an informed manner in the Board's activities. Board Members are expected to attend all meetings of the Board, except if unusual circumstances make attendance impractical.

***Prudent Investment.*** Board Members shall avoid speculation with ICANN's assets by giving primary consideration to the probable income and probable safety of ICANN's capital assets and the relation between ICANN's assets and its present and future needs.

***Compliance with Laws, Rules and Regulations.*** Board Members shall comply with all laws, rules and regulations applicable to ICANN.

**Observance of Ethical Standards.** Board Members must adhere to the highest of ethical standards in the conduct of their duties. These include honesty, fairness and integrity.

#### **B. Integrity of Records and Public Reporting**

Board Members should promote the accurate and reliable preparation and maintenance of ICANN's financial and other records. Diligence in accurately preparing and maintaining ICANN's records allows ICANN to fulfill its reporting obligations and to provide stakeholders, governmental authorities and the general public with full, fair, accurate, timely, understandable, open and transparent disclosure.

#### **C. Conflicts of Interest**

Board Members must act in accordance with the Conflicts of Interest Policy adopted by the ICANN Board, and as amended from time to time.

#### **D. Corporate Opportunities**

Board Members are prohibited from: (a) taking for themselves personally opportunities related to ICANN's business; (b) using ICANN's property, information, or position for personal gain; or (c) competing with ICANN for business opportunities. Board Members shall exercise judgment to avoid the appearance of improper influence when offered opportunities, gifts or entertainment.

#### **E. Confidentiality**

Board Members should maintain the confidentiality of information entrusted to them by ICANN and any other confidential information about ICANN, its business, customers or suppliers, which comes to them, from whatever source, except when disclosure is authorized or legally mandated. For purposes of this Code, "confidential information" includes all non-public information relating to ICANN, its business, customers or suppliers.

Process surrounding maintenance of confidential information can be found in the Board Governance Committee Code of Conduct Guidelines developed and amended from time to time, as the Board deems appropriate.

#### **F. Board Interaction with Internet Community and Media:**

The Board recognizes that members of the Internet community, ICANN constituency groups and the public at large have significant interests in ICANN's actions and governance and therefore the Board seeks to ensure appropriate communication, subject to concerns about confidentiality.

The Board notes that the President speaks for ICANN, consistent with applicable policy.

If comments from the Board to the Internet Community and/or Media on behalf of ICANN are appropriate, they should be reviewed and discussed by the Board in advance, and, in most circumstances, come from the Chair of the Board.

## **G. Enforcement**

Board Members will discuss with the Chair of the Board Governance Committee any questions or issues that may arise concerning compliance with this Code. Breaches of this Code, whether intentional or unintentional, shall be reviewed by the Board Governance Committee (excluding any Board Members whose breaches are under review), which, if necessary, shall make recommendations to the full Board for corrective action. To the extent appropriate, review of breaches of this Code shall be in accordance with the Board Governance Committee Code of Conduct Guidelines developed and amended from time to time, as the Board deems appropriate. Serious breaches of this Code may be cause for dismissal of the Board Member committing the infraction in accordance with ICANN's Bylaws and applicable law.

## **H. Affirmation**

All Board Members shall read this Code at least annually, and shall certify in writing that they have done so and that they understand the Code.

## **I. Review**

This Code will be reviewed annually by the Board Governance Committee, which shall make recommendations to the full Board regarding changes to or rescinding of the Code.

# ICANN EXPECTED STANDARDS OF BEHAVIOR

*(Adopted on May 6, 2012)*

Those who take part in ICANN multi-stakeholder process, including Board, staff and all those involved in Supporting Organization and Advisory Committee councils, undertake to:

- **Act** in accordance with ICANN's Bylaws. In particular, participants undertake to act within the mission of ICANN and in the spirit of the values contained in the Bylaws.
- **Adhere** to ICANN's conflict of interest policies.
- **Treat** all members of the ICANN community equally, irrespective of nationality, gender, racial or ethnic origin, religion or beliefs, disability, age, or sexual orientation; members of the ICANN community should treat each other with civility both face to face and online.
- **Act** in a reasonable, objective and informed manner when participating in policy development and decision-making processes. This includes regularly attending all scheduled meetings and exercising independent judgment based solely on what is in the overall best interest of Internet users and the stability and security of the Internet's system of unique identifiers, irrespective of personal interests and the interests of the entity to which an individual might owe their appointment.
- **Listen** to the views of all stakeholders when considering policy issues. ICANN is a unique multi-stakeholder environment. Those who take part in the ICANN process must acknowledge the importance of all stakeholders and seek to understand their points of view.
- **Work** to build consensus with other stakeholders in order to find solutions to the issues that fall within the areas of ICANN's responsibility. The ICANN model is based on a bottom-up, consensus driven approach to policy development. Those who take part in the ICANN process must take responsibility for ensuring the success of the model by trying to build consensus with other participants.
- **Facilitate** transparency and openness when participating in policy development and decision-making processes.
- **Support** the maintenance of robust mechanisms for public input, accountability, and transparency so as to ensure that policy development and decision-making processes will reflect the public interest and be accountable to all stakeholders.
- **Conduct** themselves in accordance with ICANN policies.
- **Protect** the organization's assets and ensure their efficient and effective use.
- **Act** fairly and in good faith with other participants in the ICANN process.

- **Promote** ethical and responsible behavior. Ethics and integrity are essential, and ICANN expects all stakeholders to behave in a responsible and principled way.



# INTERNET CORPORATION FOR ASSIGNED NAMES AND NUMBERS

## Corporate Governance Guidelines<sup>1</sup>

*(Adopted on May 6, 2012)*

### **Introduction**

Over the course of the existence of Internet Corporation for Assigned Names and Numbers (“ICANN”), the Board of Directors (the “Board”) has developed corporate governance policies and practices to help it fulfill its responsibilities to ICANN and its stakeholders. These Corporate Governance Guidelines (“Guidelines”) provide a structure within which the Board and management can effectively pursue ICANN’s mission. The Board intends that these Guidelines serve as a flexible framework within which the Board may conduct its business, not as a set of binding legal obligations. These Guidelines should be interpreted in the context of all applicable laws, and ICANN’s Articles of Incorporation, Bylaws, policies and processes. The Guidelines are subject to future refinement or changes as the Board may find necessary or advisable.

### **Role of the Board**

The mission of ICANN is to coordinate, at the overall level, the global Internet’s systems of unique identifiers, and in particular to ensure the stable and secure operation of the Internet’s unique identifier systems. The fundamental responsibility of Directors (as defined below) is to exercise their business judgment to act in what they reasonably believe to be the best interests of ICANN. It is the duty of the Board to oversee management’s performance to ensure that ICANN operates in an effective, efficient and ethical manner. The following core values should guide the Board’s decisions and actions:

- Preserving and enhancing the operational stability, reliability, security and global interoperability of the Internet.
- 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.
- 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.

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<sup>1</sup> This version of the Corporate Governance Guidelines is largely based on existing ICANN policies, procedures and processes. Counsel is recommending that the Board also discuss including additional provisions in these Guidelines, including: (i) Director independence standards; (ii) limitations on the number of boards (other than ICANN) on which a Director may serve; (iii) a notification and conflict evaluation process if a Director experiences a change of employment; (iv) expansion of the policy adopted by the ICANN Board of Directors in December 2011 relating to ICANN’s gTLD program and a Director’s subsequent employment opportunities (including cooling-off periods during which former Directors would not participate in ICANN related matters at any future employer); and (v) enforcement mechanisms to encourage compliance with the Guidelines and other ICANN governance policies.

- 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.
- Where feasible and appropriate, depending on market mechanisms to promote and sustain a competitive environment.
- Introducing and promoting competition in the registration of domain names where practicable and beneficial in the public interest.
- Employing open and transparent policy development mechanisms that (i) promote well-informed decisions based on expert advice, and (ii) ensure that those entities most affected can assist in the policy development process.
- Making decisions by applying documented policies neutrally and objectively, with integrity and fairness.
- Acting with a speed that is responsive to the needs of the Internet while, as part of the decision-making process, obtaining informed input from those entities most affected.
- Remaining accountable to the Internet community through mechanisms that enhance ICANN’s effectiveness.
- While remaining rooted in the private sector, recognizing that governments and public authorities are responsible for public policy and duly taking into account governments’ or public authorities’ recommendations.

These core values are deliberately expressed 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. The Board will exercise its judgment to determine which core values are most relevant and how they apply to the specific circumstances of the case at hand, and to determine, if necessary, an appropriate and defensible balance among competing values. (See Bylaws, Article I, Section 2.)

Directors are individuals who have the duty to act in what they reasonably believe are the best interests of ICANN and are not representatives of the entity that selected them, their employers, or any other organizations or constituencies. (See Bylaws, Article VI, Section 7.)

### **Board Composition and Selection; Independent Directors**

1. **Board Size.** The Board has 16 voting members (“Directors”) and five non-voting liaisons (“Liaisons” and, together with the Directors, the “Board Members”). The Board periodically evaluates whether a larger or smaller Board would be preferable.
2. **Selection of Board Members.** Board Members are selected in accordance with the procedures set forth in Article VI, Section 2 of ICANN’s Bylaws.
3. **Board Membership Criteria.** The Nominating Committee, Supporting Organizations and the At-Large Community (as these terms are used in ICANN’s

Bylaws) seek to ensure that the Board is composed of members who in the aggregate display diversity in geography, culture, skills, experience and perspective. In accordance with Article VI, Section 3 of ICANN's Bylaws, the Board is to be comprised of individuals that meet the following requirements:

- Persons of integrity, objectivity, and intelligence, with reputations for sound judgment and open minds, and a demonstrated capacity for thoughtful group decision-making.
- Persons with an understanding of ICANN's mission and the potential impact of ICANN decisions on the global Internet community, and committed to the success of ICANN.
- Persons who will produce the broadest cultural and geographic diversity on the Board.
- Persons who, in the aggregate, have personal familiarity with the operation of gTLD registries and registrars, with ccTLD registries, with IP address registries, with Internet technical standards and protocols, with policy-development procedures, legal traditions, and the public interest and with the broad range of business, individual, academic, and non-commercial users of the Internet.
- Persons who are able to work and communicate in written and spoken English.

No official of a national government or a multinational entity established by treaty or other agreement between national governments may serve as a Director, and no person who serves in any capacity (including as a liaison) on any Supporting Organization council will simultaneously serve as a Director or Liaison. In addition, persons serving in any capacity on the Nominating Committee will be ineligible for selection to positions on the Board. (See Bylaws, Article VI, Section 4.)

4. **Board Composition – Mix of Management and Independent Directors.** Only the President may be both an ICANN employee and a Board Member. No other Board Member may be an employee of ICANN. (See Bylaws, Article VI, Section 2.)
5. **Removal.** Any Director may be removed, following notice to that Director, by a three-fourths (3/4) majority vote of all Directors; provided, however, that the Director who is the subject of the removal action will not be entitled to vote on such an action or be counted as a voting Director when calculating the required three-fourths (3/4) vote; and provided further, that each vote to remove a Director will be a separate vote on the sole question of the removal of that particular Director. If the Director was selected by a Supporting Organization, notice must be provided to that Supporting Organization at the same time notice is provided to the Director. If the Director was selected by the At-Large Community, notice must be provided to the At-Large Advisory Committee at the same time notice is provided to the Director.

With the exception of the Liaison appointed by the Governmental Advisory Committee, any Liaison may be removed, following notice to that Liaison and to the organization by which that Liaison was selected, by a three-fourths (3/4) majority vote of all Directors if the selecting organization fails to promptly remove that Liaison following such notice. The Board may request the Governmental Advisory Committee to consider the replacement of the Liaison appointed by that Committee if the Directors, by a three-fourths (3/4) majority vote of all Directors, determines that such an action is appropriate. (See Bylaws, Article VI, Section 11.)

6. **Term Limits.** The Board has determined that it is in the best interest of ICANN and its stakeholders to strike a balance between Board continuity and Board evolution. Board Members who serve on the Board for an extended period of time are able to provide valuable insight into the operations and future of ICANN based on their experience with, and understanding of, ICANN's mission, history, policies and objectives. However, term limits ensure that the Board will continue to evolve with the infusion of fresh ideas and new perspectives. At present, Board Members are not allowed to serve more than three consecutive, three-year terms on the Board, other than the President. A person selected to fill a vacancy in a term shall not be deemed to have served that term. The term as Director of the person holding the office of President and CEO will be for as long as, and only for as long as, such person holds the office of President. (See Bylaws, Article VI, Section 8.)
7. **President; Board Chair and Vice-Chair.** The Board selects ICANN's President and CEO, Chair and Vice-Chair in the manner that it determines to be in the best interests of ICANN. The President and CEO, who serves as an ex officio Director, is not eligible to be the Chair or Vice-Chair of the Board. (See Bylaws, Article VI, Section 2.)
8. **Post-Service Limitation.** The Board has determined that any and all Board members who approve any new gTLD application shall not take a contracted or employment position with any company sponsoring or in any way involved with that new gTLD for 12 months after the Board made the decision on the application. (See Resolution 2011.12.08.19.)

### **Board Meetings; Involvement of Senior Management and Independent Advisors**

9. **Board Meetings – Frequency.** The Board will generally hold regularly scheduled meetings throughout the year and will hold additional special meetings as necessary. In addition, the Board generally has informal meetings from time to time to review and discuss ICANN's operations and policy matters. Each Board Member is expected to attend both scheduled and special meetings, except if unusual circumstances make attendance impractical.
10. **Board Meetings – Agenda.** At least seven days in advance of each Board meeting (or if not practicable, as far in advance as is practicable), a notice of such

meeting and, to the extent known, an agenda for the meeting will be posted on the ICANN website. Board meeting agendas will be set by the Chair of the Board, following consultation with ICANN management and taking into account suggestions from other members of the Board.

11. **Advance Distribution of Materials.** All information relevant to the Board’s understanding of matters to be discussed at an upcoming Board meeting should be distributed in writing or electronically to all members in advance, whenever feasible and appropriate. Each Board Member is expected to review this information in advance of the meeting to facilitate the efficient use of meeting time. The Board recognizes that certain items to be discussed at Board meetings are of an extremely sensitive nature and that the distribution of materials on these matters prior to Board meetings may not be appropriate.
12. **Access to Employees.** The Board should have access to ICANN officers to ensure that Board Members can ask all questions and glean all information necessary to fulfill their duties. The President and CEO, together with the Board, have developed a protocol for making such inquiries. Management is encouraged to invite ICANN personnel to any Board meeting at which their presence and expertise would help the Board have a full understanding of matters being considered.
13. **Access to Independent Advisors.** The Board and its committees have the right at any time to retain independent outside auditors and financial, legal or other advisors. Individual Directors may not retain outside advisors without prior Board or committee approval, as applicable. ICANN will provide appropriate funding, as determined by the Board or any committee, to compensate those independent outside auditors or advisors, as well as to cover the ordinary administrative expenses incurred by the Board and its committees in carrying out their duties. It is expected that ICANN staff will assist the Board and committees in retaining outside advisors.
14. **Compensation Consultant Independence.** The Compensation Committee has sole authority to retain and terminate compensation consultants that advise the Compensation Committee, as it deems appropriate. It is the policy of the Compensation Committee that any compensation consultant retained by the Compensation Committee must be independent of ICANN management. It is expected that ICANN staff will assist the Compensation Committee in retaining outside advisors.
15. **Executive Sessions of Non-Management Directors.** The non-management Board Members will meet regularly in executive session, i.e., without management present. These executive sessions will be called and chaired by the Chair of the Board. These executive session discussions may include such topics as the Chair determines.

## **Accountability and Review; Public Meetings**

16. **Ombudsman.** Pursuant to Article V of the Bylaws, ICANN maintains an Office of Ombudsman, to be managed by an Ombudsman and to include such staff support as the Board determines is appropriate and feasible. The principal function of the Ombudsman is to provide an independent internal evaluation of complaints by members of the ICANN community who believe that the ICANN staff, the Board or an ICANN constituent body has treated them unfairly. The Ombudsman shall serve as an objective advocate for fairness, and shall seek to evaluate and where possible resolve complaints about unfair or inappropriate treatment by ICANN staff, the Board, or ICANN constituent bodies, clarifying the issues and using conflict resolution tools such as negotiation, facilitation and "shuttle diplomacy" to achieve these results. The Office of Ombudsman shall publish on an annual basis a consolidated analysis of the year's complaints and resolutions, appropriately dealing with confidentiality obligations and concerns. The annual report will be posted on ICANN's website. (See Bylaws, Article V.)
17. **Requests for Reconsideration.** Subject to the provisions of ICANN's Bylaws, any person or entity materially affected by any ICANN staff action or inaction if such affected person or entity believes the action contradicts established ICANN policies, or by actions or inactions of the Board that such affected person or entity believes has been taken without consideration of material information, may request review or reconsideration of that action or inaction. (See Bylaws, Article IV, Section 2.)
18. **Independent Review.** Any person or entity materially affected by a Board decision or action may submit a request for independent review of any such decision or action alleged to be inconsistent with ICANN's Articles of Incorporation or Bylaws. (See Bylaws, Article IV, Section 3.)

### **Performance Evaluation; Development and Succession Planning**

19. **Annual CEO Evaluation.** The Chair of the Compensation Committee leads the Compensation Committee in conducting a review of the performance of the President at least annually. The Compensation Committee establishes the evaluation process for the review of the President's performance. The evaluation results are reviewed and discussed with the non-management Board Members, and the results are communicated to the President. The Board Governance Committee, from time to time, is to review and advise on the effectiveness of the relationship between the President and the Board.
20. **Development and Succession Planning.** A primary responsibility of the Board is planning for President succession and overseeing the identification and development of executive talent. The Board, with the assistance of the Compensation Committee and working with the President and CEO and human resources department, oversees executive officer development and corporate succession plans for the President and other executive officers to provide for continuity in senior management.

The Board will maintain an emergency succession contingency plan should an unforeseen event such as death or disability occur that prevents the President and CEO from continuing to serve. The plan will identify the individuals who would act in an emergency and their responsibilities. The contingency plan is to be reviewed by the Board annually and revised as appropriate.

The Board may review development and succession planning more frequently as it deems necessary or desirable.

21. **Board and Committee Self-Evaluation.** The Board Governance Committee is responsible for conducting periodic evaluations of the performance of the Board and each of its members. In addition, each committee is responsible for conducting an annual performance evaluation. Evaluation results are reported to the Board. The Board Governance Committee's report should generally include an assessment of the Board's compliance with the principles set forth in these guidelines, as well as identification of areas in which the Board could improve its performance. Each committee's report generally should include an assessment of the committee's compliance with the principles set forth in these Guidelines, the committee's charter and identification of areas in which the committee could improve its performance.
22. **Reviews of Supporting Organizations and Advisory Committees.** The Board will cause a periodic review of the performance and operation of each Supporting Organization, each Supporting Organization council, each Advisory Committee (other than the Governmental Advisory Committee), and the Nominating Committee by an entity or entities independent of the organization under review. The goal of the review, to be undertaken pursuant to such criteria and standards as the Board directs, will be to determine: (i) whether that organization has a continuing purpose in the ICANN structure; and (ii) if so, whether any change in structure or operations is desirable to improve its effectiveness. These periodic reviews will be conducted no less frequently than every five years, based on feasibility as determined by the Board. (See Bylaws, Article IV, Section 4.)

## **Board Compensation**

23. **Board Compensation Review.** The Board will periodically review the compensation paid to Directors, and whether it is in the best interest of ICANN to increase or decrease the amount of such compensation. In doing so, the Board will follow a process that is calculated to pay an amount for service as a Director that is in its entirety reasonable compensation for such service under the standards set forth in §53.4958-4(b) of the Treasury Regulations. As part of the process, the Board will retain an independent compensation expert to consult with and to advise the Board regarding Director compensation arrangements and to issue to the Board a reasoned written opinion from such expert regarding the ranges of reasonable compensation for any such services by a Director. After having reviewed the expert's written opinion, the Board will meet with the expert to discuss the expert's opinion and to ask questions of the expert regarding the

expert's opinion, the comparability data obtained and relied upon, and the conclusions reached by the expert. The Board will adequately document the basis for any determination the Board makes regarding a Director compensation arrangement concurrently with making that determination. (See Bylaws, Article VI, Section 22.)

## **Board Committees**

24. **Number, Type and Composition of Committees.** The Board may establish or eliminate committees of the Board as it deems appropriate. Each committee will perform its duties as assigned by the Board in compliance with ICANN's Bylaws and the committee's charter. The composition of each committee will be determined from time to time by the Board, provided that only Directors may be appointed to a committee of the Board as voting members. If a person appointed to a committee of the Board ceases to be a Board Member, such person will also cease to be a member of any committee of the Board. The Board may designate one or more Directors as alternate members of any such committee, who may replace any absent member at any meeting of the committee. Committee members may be removed from a committee at any time pursuant to the provisions of ICANN's Bylaws. Unless appointed by the Board, the selection process for each committee chair will be set forth in each committee charter. (See Bylaws, Article XII.)
25. **Committee Meetings and Agenda.** The chair of each committee is responsible for developing, together with relevant ICANN managers, the committee's general agenda and objectives and for setting the specific agenda for committee meetings. The chair and committee members will determine the frequency and length of committee meetings consistent with the committee fulfilling its obligations as set forth in the committee's charter.

## **Board Education**

26. **Board Member Orientation and Continuing Education.** The Board Governance Committee and management are responsible for Board Member orientation programs and for Board Member continuing education programs to assist Board Members in maintaining skills necessary or appropriate for the performance of their responsibilities.
  - a) Orientation programs are designed to familiarize new Board Members with ICANN's businesses, strategies and policies and to assist new Board Members in developing the skills and knowledge required for their service.
  - b) Continuing education programs for Board Members may include a combination of internally developed materials and presentations, programs presented by third parties, and financial and administrative



support for attendance at qualifying university or other independent programs.

## **Review**

27. **Review of Governance Guidelines.** The policies and practices memorialized in these Guidelines have developed over a period of years. The Board expects to review these Guidelines at least every two years, as appropriate.

**INTERNET CORPORATION FOR ASSIGNED NAMES AND NUMBERS**

**CONFLICTS OF INTEREST ANNUAL DISCLOSURE STATEMENT**

ICANN has developed this questionnaire to assist it in identifying those business and family relationships between or among itself and its staff members or contractors that may create a current or future, actual or potential conflict of interest.

Please answer each of the questions on the following pages. Should you need additional space to answer any question, please attach additional sheets as necessary. If the answer to any question is negative, please so indicate. If you are uncertain about the meaning of any question or have questions as it relates to your individual circumstances, please contact ICANN’s HR Director (Conflicts of Interest Officer), Steve Antonoff at [steve.antonoff@icann.org](mailto:steve.antonoff@icann.org) or General Counsel and Secretary, John Jeffrey at [john.jeffrey@icann.org](mailto:john.jeffrey@icann.org).

Please complete the questionnaire and sign and date this in the space below and return it to ICANN’s HR Director (Conflicts of Interest Officer), Steve Antonoff as soon as conveniently possible. By signing below you represent that: (i) you have received, reviewed and understand ICANN’s Conflicts of Interest Policy; (ii) you understand ICANN is a tax-exempt organization described in § 501(c)(3) of the Internal Revenue Code; and (iii) in order to maintain its federal tax exemption, ICANN must engage primarily in activities which accomplish one or more of ICANN’s tax-exempt purposes.

If, after reviewing this form and your most recently submitted statement, you determine that your responses would be the same as were provided in your most recent statement, please indicate with an “x” here:

In the event that there are any material changes during the current year in the information provided in response to this questionnaire, you should promptly notify ICANN’s HR Director (Conflicts of Interest Officer), Steve Antonoff at [steve.antonoff@icann.org](mailto:steve.antonoff@icann.org) or General Counsel and Secretary, John Jeffrey at [john.jeffrey@icann.org](mailto:john.jeffrey@icann.org).

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

## ICANN ANNUAL DISCLOSURE QUESTIONNAIRE

1. Definitions. As used in this questionnaire, the following terms have the meanings set forth below:
    - (a) “Business Transaction” means any business or financial relationship, including, but not limited to, contracts relating to a sale, lease, license or performance of services. Business Transactions do not include: (i) those conducted in the ordinary course of business and on terms generally available to the public and (ii) those involving aggregate payments of \$10,000 or less.
    - (b) “Controlled Entity” means an entity in which you or a Family Member served as trustee, director, officer or key employee at any time during the Reporting Period or in which you, a Family Member and/or a Covered Person held more than a 35% ownership interest at any time during the Reporting Period.
    - (c) “Covered Person” means any ICANN staff members, the Family Members of such individuals, or an other individual or entity listed on Attachment 1.
    - (d) “Domestic Partner” shall mean an individual who resides at the same residence as the Covered Person as his or her spousal equivalent.
    - (e) “Family Member” means any spouse or Domestic Partner; siblings and their spouses or Domestic Partners; ancestors and their spouses or Domestic Partners; and descendants and their spouses or Domestic Partners.
    - (f) “Family Relationship” means a relationship with any Family Member as defined above
    - (g) “Reporting Period” means the period beginning on the date that your last submitted a completed questionnaire and ending on the date on which you complete and submit this questionnaire. To the extent that you have not previously completed and submitted a questionnaire, the Reporting Period means the twelve (12) month period preceding the completion and submission of this questionnaire.
  
  2. Occupation(s) or Professions. Please state your present principal occupation, employment or profession and all professional positions formally held during the Reporting Period, including the full name and principal business of the relevant employer(s).
-

3. Arrangements for Selection. Briefly describe any arrangements or agreements between you and any other group, constituency or person(s), besides ICANN regarding your employment with ICANN.

\_\_\_ There are no such arrangements.

\_\_\_ The following agreements or arrangements exist:

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4. Relationships with Family and Other Business Entities.

- (a) At any time during the Reporting Period, have you had a Family Relationship with any Covered Person?

\_\_\_ Yes, I have had a Family Relationship with a Covered Person.

Name of Covered Person: \_\_\_\_\_

Relationship: \_\_\_\_\_

\_\_\_ No, I have not had any Family Relationship with a Covered Person at any time during the Reporting Period.

- (b) At any time during the Reporting Period, were you an employee of a Covered Person?

\_\_\_ Yes, I have been an employee of a Covered Person during the Reporting Period.

Name of Covered Person: \_\_\_\_\_

\_\_\_ No, I have not been employed by a Covered Person at any time during the Reporting Period.

- (c) At any time during the Reporting Period, were you an employee of an entity in which one or more Covered Persons was a trustee, director, officer or key employee or had more than a 35% ownership interest?

\_\_\_ Yes, I have been an employee of an entity in which one or more Covered Persons was a trustee, director, officer or key employee or had more than a 35% ownership interest.

Name of Covered Person: \_\_\_\_\_

\_\_\_ No, I have not been employed at any time during the Reporting Period by an entity in which one or more Covered Persons was a trustee,

director, officer or key employee or had more than a 35% ownership interest.

- (d) At any time during the Reporting Period, did you participate in a Business Transaction with a Covered Person?

\_\_\_ Yes, I have participated in a Business Transaction with a Covered Person during the Reporting Period.

If “Yes,” please identify the Covered Person and describe the Business Transaction.

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\_\_\_ No, I have not participated in any Business Transaction with a Covered Person during the Reporting Period.

- (e) At any time during the Reporting Period, did a Controlled Entity in which you have an interest participate in any Business Transaction with a Covered Person?

\_\_\_ Yes, a Controlled Entity in which I have an interest participated in a Business Transaction with a Covered Person.

If “Yes,” please identify the Controlled Entity, Covered Person and describe the Business Transaction. (Use additional sheets if necessary).

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\_\_\_ No, I do not have an interest in any Controlled Entity that participated in a Business Transaction with a Covered Person.

- (f) During the Reporting Period, have you and any Covered Person served in the same business or investment activity as a director, trustee, officer or key employee or held more than a 10% ownership interest?

\_\_\_ Yes. Please identify the Covered Person, business or investment activity and your relationship to it. (Use additional sheets if necessary).

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\_\_\_ No, I have not had any such relationship during the Reporting Period.

5. Directorships, Ownership Interests.

- (a) Please indicate below any directorships, officer positions or committee assignments that you or a Family Member hold in any entity (other than ICANN).

Name of Entity	Principal Business of Entity/ Name of Committee (if any)	Position

(b) Please list below each of your Controlled Entities.

Name of Entity	Principal Business of Entity

6. Business and/or Financial Relationships Affecting ICANN. Please disclose any arrangements or understandings, including the name of the other involved entities or individuals, whereby you, a Family Member and/or a Controlled Entity have:

- (a) Participated in a Business Transaction with ICANN during the Reporting Period;
- (b) Served or plan to serve as an officer, director, trustee, key employee, partner or member (with an ownership interest in excess of 5%) of an entity or a shareholder of a professional corporation with an ownership interest greater than 5%, that participated in a Business Transaction with ICANN during the Reporting Period;
- (c) An existing or potential ownership, professional or investment interest in any entity with which ICANN has entered into a Business Transaction;
- (d) A compensation arrangement or expectation with ICANN or with any entity or individual with which the ICANN has entered into a Business Transaction;
- (e) An existing or potential ownership, professional or investment interest in, or compensation arrangement with, any entity or individual with which ICANN is negotiating a Business Transaction;
- (f) An existing or potential ownership, professional or investment interest in, or employment or any other Compensation arrangement with, any entity whose business or operation has been or will be directly affected by a decision or action of ICANN, including by reason of a potential or planned application or possible agreement for operation of a new generic top-level domain (gTLD) or delegation of a country code internationalized domain name (ccIDN);
- (g) An existing or potential ownership, professional or investment interest, right or license in any product or service of which the value can be affected by a decision

or action of ICANN, including by reason of a potential or planned application or possible agreement for operation of a new TLD or delegation of a ccIDN;

- (h) An existing employment, contract or financial relationship with any person or entity with the mandate, intent or ability to influence ICANN's conduct in any way.

For purposes of the above, "Compensation" includes direct and indirect remuneration or the expectation of future financial benefit as well as gifts or favors that are substantial in nature. Disclosures should include: (i) the name of the persons involved; (ii) the relationship between such persons and ICANN; (iii) the dollar amount of the Business Transaction; (iv) the nature or type of Business Transaction; and (v), if applicable, whether payment by ICANN was based on a percentage of its revenues.

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- 7. Legal Matters. Please disclose any pending or threatened legal proceeding in which ICANN is or may be a party or may have an interest in and which you, any Family Member or any associate of yours, is an adverse party to ICANN or may have a material interest adverse to ICANN.

If any, please describe your involvement, otherwise indicate "none" below:

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- 8. Material Contracts. Identify, by a brief description, any contract or agreement to which you, any Family Member or any business with which you are affiliated is a party together with ICANN or with respect to which ICANN may be a third-party beneficiary.

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**ATTACHMENT 1 – COVERED PERSONS (IN ADDITION TO STAFF  
MEMBERS WHO CAN BE FOUND AT  
[HTTP://WWW.ICANN.ORG/EN/ABOUT/STAFF](http://www.icann.org/en/about/staff))**

Directors and Liaisons:

Sebastien Bachollet  
Rod Beckstrom  
Steve Crocker  
Bertrand de La Chappelle  
Cherine Chalaby  
Chris Disspain  
Heather Dryden  
Bill Graham  
Erika Mann  
Ram Mohan  
Thomas Narten  
Gonzalo Navarro  
Ray Plzak  
Rajasekhar Ramaraj  
Thomas Roessler  
George Sadowsky  
Michael Silber  
Bruce Tonkin  
Judith Duavit Vazquez  
Kuo-Wei Wu  
Suzanne Woolf

Officers:

Rod Beckstrom – President and Chief Executive Officer (also listed as Board member)  
Akram Atallah – Chief Operating Officer  
John Jeffrey – General Counsel and Secretary  
Kurt Pritz – Senior Vice President, Stakeholder Relations  
Xavier Calvez – Chief Financial Officer

Former Officers (who vacated their positions less than five years ago):

Doug Brent – Former Chief Operating Officer  
Paul Levins – Former Executive Officer and Vice President, Corporate Affairs  
Paul Twomey - Former President and Chief Executive Officer  
Kevin Wilson – Former Chief Financial Officer

Key Employees (non-Officers):

Elise Gerich  
David Olive  
Jeffrey Moss  
Barbara Clay  
Jamie Hedlund



**INTERNET CORPORATION FOR ASSIGNED NAMES AND NUMBERS**

**CONFLICTS OF INTEREST ANNUAL DISCLOSURE STATEMENT**

ICANN has developed this questionnaire to assist it in identifying those business and family relationships between or among itself and its Directors, Officers and key employees that may create a current or future actual or potential conflict of interest and/or may need to be reported on its annual Return of Organization Exempt from Income Tax (Form 990). Additionally, this questionnaire is designed to facilitate compliance by ICANN’s Directors, Officers and Board Liaisons with their annual disclosure obligations described in ICANN’s Conflicts of Interest Policy.

Please answer each of the questions on the following pages. Should you need additional space to answer any question, please attach additional sheets as necessary. If the answer to any question is negative, please so indicate. If you are uncertain about the meaning of any question or have questions as it relates to your individual circumstances, please call ICANN’s General Counsel and Secretary, John Jeffrey at john.jeffrey@icann.org.

Please complete the questionnaire and sign and date this in the space below and return it to ICANN’s General Counsel’s office as soon as conveniently possible. By signing below you represent that: (i) you have received, reviewed and understand ICANN’s Conflicts of Interest Policy; (ii) you understand ICANN is a tax-exempt organization described in § 501(c)(3) of the Internal Revenue Code; and (iii) in order to maintain its federal tax exemption, ICANN must engage primarily in activities which accomplish one or more of ICANN’s tax-exempt purposes.

If, after reviewing this form and your most recently submitted statement, you determine that your responses would be the same as were provided in your most recent statement, please indicate with an “x” here:

\_\_\_\_\_ There are no changes from the statement submitted on \_\_\_\_\_ 20\_\_.

In the event that there are any material changes during the current year in the information provided in response to this questionnaire, you should promptly notify ICANN’s General Counsel and Secretary, John Jeffrey.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

## ICANN ANNUAL DISCLOSURE QUESTIONNAIRE

1. Definitions. As used in this questionnaire, the following terms have the meanings set forth below:

- (a) “Business Transaction” means any business or financial relationship, including, but not limited to, contracts relating to a sale, lease, license or performance of services. Business Transactions do not include: (i) those conducted in the ordinary course of business and on terms generally available to the public and (ii) those involving aggregate payments of \$10,000 or less.
- (b) “Controlled Entity” means an entity in which you or a Family Member served as trustee, director, officer or key employee at any time during the Reporting Period or in which you, a Family Member and/or a Covered Person held more than a 35% ownership interest at any time during the Reporting Period.
- (c) “Covered Person” means any ICANN Director, Officer, Board Liaison, any individual nominated or chosen to hold such positions, the Family Members of such individuals, or an other individual or entity listed on Attachment 1.
- (d) “Domestic Partner” shall mean an individual who resides at the same residence as the Covered Person as his or her spousal equivalent.
- (e) “Family Member” means any spouse or Domestic Partner; siblings and their spouses or Domestic Partners; ancestors and their spouses or Domestic Partners; and descendants and their spouses or Domestic Partners.
- (f) “Family Relationship” means a relationship with any Family Member as defined above
- (g) “Key Employee” of an organization other than ICANN is any employee of such an organization: (i) who is not an officer or a member of the organization’s governing body; (ii) who has responsibilities, powers or influence over the organization as a whole that is similar to those of officers and members of a governing body; (iii) who manages a discrete segment or activity of the organization that represents a significant percentage of the activities, asserts, income, or expense of the organization overall; or (iv) who has or shares authority to control or determine a significant percentage of the organization’s capital expenditures, operating budget, or compensation for employees.”
- (h) “Reporting Period” means the period beginning on the date that your last submitted a completed questionnaire and ending on the date on which you complete and submit this questionnaire. To the extent that you have not previously completed and submitted a questionnaire, the Reporting Period means the twelve (12) month period preceding the completion and submission of this questionnaire.

2. Occupation(s) or Professions. Please state your present principal occupation, employment or profession and all professional positions formally held during the Reporting Period, including the full name and principal business of the relevant employer(s).
- 

3. Arrangements for Selection. Briefly describe any arrangements or agreements between you and any other group, constituency or person(s) regarding your nomination or selection as a Director or Officer or Board Liaison of ICANN.

\_\_\_ There are no such arrangements.

\_\_\_ The following agreements or arrangements exist:

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4. Relationships with Family and Other Business Entities.

- (a) At any time during the Reporting Period, have you had a Family Relationship with any Covered Person?

\_\_\_ Yes, I have had a Family Relationship with a Covered Person.

Name of Covered Person: \_\_\_\_\_

Relationship: \_\_\_\_\_

\_\_\_ No, I have not had any Family Relationship with a Covered Person at any time during the Reporting Period.

- (b) At any time during the Reporting Period, were you an employee of a Covered Person?

\_\_\_ Yes, I have been an employee of a Covered Person during the Reporting Period.

Name of Covered Person: \_\_\_\_\_

\_\_\_ No, I have not been employed by a Covered Person at any time during the Reporting Period.

- (c) At any time during the Reporting Period, were you an employee of an entity in which one or more Covered Persons was a trustee, director, officer or key employee or had more than a 35% ownership interest?

\_\_\_ Yes, I have been an employee of an entity in which one or more Covered Persons was a trustee, director, officer or key employee or had more than a 35% ownership interest.

Name of Covered Person: \_\_\_\_\_

\_\_\_ No, I have not been employed at any time during the Reporting Period by an entity in which one or more Covered Persons was a trustee, director, officer or key employee or had more than a 35% ownership interest.

- (d) At any time during the Reporting Period, did you participate in a Business Transaction with a Covered Person?

\_\_\_ Yes, I have participated in a Business Transaction with a Covered Person during the Reporting Period.

If "Yes," please identify the Covered Person and describe the Business Transaction.

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\_\_\_ No, I have not participated in any Business Transaction with a Covered Person during the Reporting Period.

- (e) At any time during the Reporting Period, did a Controlled Entity in which you have an interest participate in any Business Transaction with a Covered Person?

\_\_\_ Yes, a Controlled Entity in which I have an interest participated in a Business Transaction with a Covered Person.

If "Yes," please identify the Controlled Entity, Covered Person and describe the Business Transaction. (Use additional sheets if necessary).

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\_\_\_ No, I do not have an interest in any Controlled Entity that participated in a Business Transaction with a Covered Person.

- (f) During the Reporting Period, have you and any Covered Person served in the same business or investment activity as a director, trustee, officer or key employee or held more than a 10% ownership interest?

\_\_\_ Yes. Please identify the Covered Person, business or investment activity and your relationship to it. (Use additional sheets if necessary).

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\_\_\_\_ No, I have not had any such relationship during the Reporting Period.

5. Directorships, Ownership Interests.

- (a) Please indicate below any directorships, officer positions or committee assignments that you or a Family Member hold in any entity (other than ICANN).

Name of Entity	Principal Business of Entity/ Name of Committee (if any)	Position

- (b) Please list below each of your Controlled Entities.

Name of Entity	Principal Business of Entity

6. Business and/or Financial Relationships Affecting ICANN. Please disclose any arrangements or understandings, including the name of the other involved entities or individuals, whereby you, a Family Member and/or a Controlled Entity have:

- (a) Participated in a Business Transaction with ICANN during the Reporting Period;
- (b) Served or plan to serve as an officer, director, trustee, key employee, partner or member (with an ownership interest in excess of 5%) of an entity or a shareholder of a professional corporation with an ownership interest greater than 5%, that participated in a Business Transaction with ICANN during the Reporting Period;
- (c) An existing or potential ownership, professional or investment interest in any entity with which ICANN has entered into a Business Transaction;
- (d) A compensation arrangement or expectation with ICANN or with any entity or individual with which the ICANN has entered into a Business Transaction;
- (e) An existing or potential ownership, professional or investment interest in, or compensation arrangement with, any entity or individual with which ICANN is negotiating a Business Transaction;
- (f) An existing or potential ownership, professional or investment interest in, or employment or any other Compensation arrangement with, any entity whose

business or operation has been or will be directly affected by a decision or action of ICANN, including by reason of a potential or planned application or possible agreement for operation of a new generic top-level domain (gTLD) or delegation of a country code internationalized domain name (ccIDN);

- (g) An existing or potential ownership, professional or investment interest, right or license in any product or service of which the value can be affected by a decision or action of ICANN, including by reason of a potential or planned application or possible agreement for operation of a new TLD or delegation of a ccIDN;
- (h) An existing employment, contract or financial relationship with any person or entity with the mandate, intent or ability to influence ICANN’s conduct in any way.

For purposes of the above, "Compensation" includes direct and indirect remuneration or the expectation of future financial benefit as well as gifts or favors that are substantial in nature. Disclosures should include: (i) the name of the persons involved; (ii) the relationship between such persons and ICANN; (iii) the dollar amount of the Business Transaction; (iv) the nature or type of Business Transaction; and (v), if applicable, whether payment by ICANN was based on a percentage of its revenues.

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7. Legal Matters. Please disclose any pending or threatened legal proceeding in which ICANN is or may be a party or may have an interest in and which you, any Family Member or any associate of yours, is an adverse party to ICANN or may have a material interest adverse to ICANN.

If any, please describe your involvement, otherwise indicate “none” below:

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8. Material Contracts. Identify, by a brief description, any contract or agreement to which you, any Family Member or any business with which you are affiliated is a party together with ICANN or with respect to which ICANN may be a third-party beneficiary.

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## ATTACHMENT 1 – COVERED PERSONS

### Directors and Liaisons:

Sebastien Bachollet  
Rod Beckstrom  
Steve Crocker  
Bertrand de La Chappelle  
Cherine Chalaby  
Chris Disspain  
Heather Dryden  
Bill Graham  
Erika Mann  
Ram Mohan  
Thomas Narten  
Gonzalo Navarro  
Ray Plzak  
Rajasekhar Ramaraj  
Thomas Roessler  
George Sadowsky  
Michael Silber  
Bruce Tonkin  
Judith Duavit Vazquez  
Kuo-Wei Wu  
Suzanne Woolf

### Officers:

Rod Beckstrom – President and Chief Executive Officer (also listed as Board member)  
Akram Atallah – Chief Operating Officer  
John Jeffrey – General Counsel and Secretary  
Kurt Pritz – Senior Vice President, Stakeholder Relations  
Xavier Calvez – Chief Financial Officer

### Former Officers:

Doug Brent – Former Chief Operating Officer  
Paul Levins – Former Executive Officer and Vice President, Corporate Affairs  
Diane Schroeder - Former Chief Financial Officer, current Director of Board Support  
Paul Twomey - Former President and Chief Executive Officer  
Kevin Wilson – Former Chief Financial Officer

### Key Employees (non-Officers):

Elise Gerich  
David Olive  
Jeffrey Moss  
Barbara Clay  
Jamie Hedlund

## **New gTLD Program Committee Charter**

*(As approved by the ICANN Board of Directors on 10 April 2012)*

### **I. Purpose**

Making strategic and financial decisions relating to ICANN's New generic Top-Level Domain Program (the "New gTLD Program") for the current round of the Program and as related to the Applicant Guidebook.

### **II. Scope of Responsibilities.** In fulfilling its Purpose as set forth above, the New gTLD Program Committee has all the powers of the Board, subject to any limitations in law, the Articles of Incorporation, Bylaws or ICANN's Conflicts of Interest Policy, including, without limitation, the following:

- A. Overseeing Board-level issues and exercising Board-level authority for any and all issues that may arise relating to the New gTLD Program for the current round of the Program and as related to the Applicant Guidebook for which the Board would otherwise have oversight authority;
- B. Approving amendments to, or modification of, the Guidebook and all attachments thereto for which approval would otherwise be required by the Board;
- C. Receiving input or advice from ICANN's Governmental Advisory Committee and other stakeholders, as appropriate, relating to New gTLD applications;
- D. Resolving issues relating to the approval of applications and the delegation of gTLDs pursuant to the New gTLD Program for the current round of the Program; and
- E. Approving the expenditure of resources necessary to administer the New gTLD Program for the current round of the Program and as related to the Applicant Guidebook.

### **III. Composition**

The Committee shall be comprised of all of the voting Board directors who are not conflicted with respect to new gTLDs who the Board approves as Committee members, each of whom shall comply with the Conflicts of Interest Policy. All of the Board liaisons who are not conflicted with respect to new gTLDs may be approved by the Board to serve as liaisons to the Committee, each of whom shall comply with the Conflicts of Interest Policy. Committee members and liaisons must not have, any actual, potential or apparent conflict of interest related to the New gTLD Program, as determined by the designated non-conflicted Board Governance Committee members and agreed by the Board. The voting Board directors shall be the voting members of the Committee. The members of the



Committee shall serve at the discretion of the Board. If a Committee member or liaison develops an actual, potential or apparent conflict as to the New gTLD Program, such member shall be deemed to have offered his or her resignation from the Committee or service as a liaison to the Committee.

Unless a Committee Chair is appointed by the Board, the members of the Committee may designate its Chair from among the voting members of the Committee by majority vote of the full Committee membership.

The Committee may choose to organize itself into subcommittees to facilitate the accomplishment of its work. The Committee may seek approval and budget from the Board for the appointment of consultants and advisers to assist in its work as deemed necessary, and such appointees may attend the relevant parts of the Committee meetings.

#### **IV. Meetings**

The Committee shall meet as frequently as it deems necessary to carry out its responsibilities. The Committee's meetings may be held by telephone and/or other remote meeting technologies. Meetings may be called upon no less than forty-eight (48) hours notice by either (i) the Chair of the Committee or (ii) any two members of the Committee acting together, provided that regularly scheduled meetings generally shall be noticed at least one week in advance.

#### **V. Voting and Quorum**

A majority of the voting members of the Committee shall constitute a quorum. Voting on Committee matters shall be on a one vote per member basis. When a quorum is present, the vote of a majority of the voting Committee members present shall constitute the action or decision of the Committee. Any action taken by the Committee may be taken without a meeting if all the voting Committee members entitled to vote on the action, individually or collectively, consents in writing to such action in accordance with applicable law.

#### **VI. Records of Proceedings**

A preliminary report with respect to actions taken at each meeting (telephonic or in-person) of the Committee shall be recorded and distributed to committee members within two working days or as soon as practicable thereafter, and meeting minutes shall be posted promptly following approval by the Committee.

#### **VII. Review**

The Committee shall conduct a self-evaluation of its performance on an annual basis and share a report on such self-evaluation with the full Board and shall recommend to the full Board changes in membership, procedures, or responsibilities and authorities of the Committee if and when deemed appropriate.

Performance of the Committee shall also be formally reviewed as part of the periodic independent review of the Board and its Committees.

## **SUMMARY OF RULES FOR STAFF INTERACTIONS WITH THE COMMUNITY AFTER THE APPROVAL OF THE NEW gTLD PROGRAM**

After the Board approved the New gTLD Program in June 2011, strict communication and conduct rules were put into place to remove any potential appearance of conflict of interest.

### **Communications Rules:**

- All inquiries regarding operations of the New gTLD Program/Applicant Guidebook should be forwarded to <mailto:newgtld@icann.org>. A few key members of the New gTLD Program staff are authorized to communicate directly with the community as needed, but these key employees have clear lines of authority on the matters they are able to discuss publicly. The use of the centralized email allowed for questions to be properly vetted through the correct source and provided for consistent answers to all interested parties.
- All press inquiries regarding the New gTLD Program should be forwarded to the Communications Department.
- Unless specifically authorized, ICANN staff was prohibited from engaging in discussions about new gTLD business plans/proposals, ideas/suggestions for strings, estimates regarding expected application rates or entry of new gTLDs in the root, or the like.
- Any conversation with persons external to ICANN about new gTLD-related topics should occur with at least two ICANN staffers present. Information provided by ICANN in those discussions should be limited to publicly-available information on ICANN's web pages. Staff members are encouraged to make a practice of inviting colleagues to join them at meetings with known or likely applicants, in case the topic of new gTLDs arise.
- No ICANN staff member is authorized to provide any sort of advice or guidance to potential applicants on the formation or content of applications.

### **Meals/Drinks/Gifts**

ICANN instituted what has now been referred to in the community as the "No soda Rule" – to reduce the potential for appearance of conflict of interest, staff is not allowed to accept drinks, gifts or meals, of any value, from community members. Similarly, staff is not allowed to purchase drinks, meals or gifts for community members, except under specific pre-determined guidelines or CEO approval. The community was advised of these guidelines.

### **Business Trips**

Travel expenditures to seminars and conferences, if approved by a manager, should be ICANN expense, even if the ICANN attendee is invited/presenting.

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