ICANN | RSSAC

Root Server System Advisory Committee

21 November 2022

To: ICANN Board
From: RSSAC Chair
Via: RSSAC Liaison to the ICANN Board

We hereby forward to you the following publication, *RSSAC000v7: RSSAC Operational Procedures version 7.*

The RSSAC reviews its operational procedures annually. This seventh version of the RSSAC Operational Procedures changes the RSSAC's voting system for elections while clarifying quorum for meetings and the number of votes necessary for document publication.

With these operational procedures the RSSAC adopts ranked choice voting for the election of its chair, vice-chair, and all outgoing liaison positions. These procedures detail this new kind of election and how to determine the winner.

The RSSAC welcomes comments and looks forward to answering any questions concerning this publication at ICANN76.

Fred Baker,
Root Server System Advisory Committee Chair

Preface

These are the Operational Procedures of the Root Server System Advisory Committee (RSSAC). The role of the RSSAC is to advise the ICANN community and Board of Directors on matters relating to the operation, administration, security, and integrity of the Internet's Root Server System. The RSSAC's responsibilities are defined in the ICANN Bylaws, Article XII, Section 2.c.

These Operational Procedures document how the RSSAC will carry out its work, with the rationale for processes where it seems helpful. In case of conflict with the ICANN Bylaws, the ICANN Bylaws take precedence.

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1. The RSSAC

The Root Server System Advisory Committee (RSSAC) consists of root server operators and root zone managers who provide advice and information to the ICANN Board of Directors and community on topics that are broadly related to the root server system of the Internet. The RSSAC is chartered as an Advisory Committee under the ICANN Bylaws, Article XXII, Section 2.c. The RSSAC is one of several ICANN Advisory Committees that, together with the several Supporting Organizations, represent the stakeholders in ICANN's multistakeholder model of operation.

The RSSAC produces various documents in direct response to requests from the ICANN Board of Directors, the RSSAC Caucus, or at its own initiative.

The RSSAC advises the Internet community and ICANN Board of Directors on matters relating to the root server system and root zone management as it impinges on the root servers (i.e., DNSSEC implementation). This may include operational matters (e.g., matters pertaining to the correct and reliable operation of the root server system), and registration matters (e.g., matters pertaining to registry and registrar services involved in managing the root zone).

The RSSAC generally prepares its publications for use by ICANN Board of Directors and staff, Domain Name System (DNS) experts, the Internet community, and the public. Most of the RSSAC's work is for unrestricted distribution, but when circumstances require it (e.g. disclosure of sensitive information might interfere with a study or put a service or individual in jeopardy), the RSSAC or the RSSAC Chair may restrict access.

The RSSAC will accept questions about the root server system from ICANN, the ICANN community, or other Internet stakeholders. If the RSSAC Chair determines that the question is well formed and answerable by the advisory committee or by the root server operators, RSSAC will consult its root server representatives about the question and collect, aggregate and/or anonymize the results, as appropriate, based on the response from the root server representatives. The crafted response will be given back to the requester. The RSSAC designates the current RSSAC Chair to act on the questions and take these actions as appropriate.

The RSSAC has no formal authority. Its effectiveness comes from the quality of the advice it provides and whether others accept and follow that advice.

1.1. Purpose of this Document

This document describes the RSSAC Operational Procedures. The RSSAC develops its own

Operational Procedures, which are codified below. The RSSAC may need to adjust these Operational Procedures in special circumstances. The RSSAC will review these Operational Procedures each year to ensure they are current.

1.2. Structure

1.2.1. RSSAC

The RSSAC membership consists of:
- Voting primary representatives appointed by the root server operators and confirmed by the ICANN Board of Directors.
- Alternate representatives appointed by the root server operators. Alternate representatives may vote when their corresponding primary representative is unavailable.
- Non voting representatives appointed by the root zone management partners and confirmed by the ICANN Board of Directors.
- Non voting incoming liaisons appointed by a reciprocal body.

All RSSAC representatives assume their roles upon appointment regardless of required confirmation procedures.

The RSSAC is the only entity that can take formal action as the "RSSAC."

1.2.2. RSSAC Chair

The RSSAC Chair is a volunteer position elected by the RSSAC from the primary and alternate representatives and confirmed by the ICANN Board of Directors. The RSSAC shall recommend the confirmation of RSSAC Chair to the ICANN Board of Directors following the RSSAC Chair election procedure described below.

The RSSAC Chair will provide oversight for all RSSAC activities. The RSSAC Chair is responsible for working with the RSSAC to suggest priorities, managing the general administration and budget of the RSSAC, and conducting all meetings of the RSSAC. The RSSAC Chair also neutrally represents RSSAC views to the public. The RSSAC Chair cannot simultaneously serve as the RSSAC Vice Chair or as the RSSAC Liaison to the ICANN Board of Directors. The RSSAC Chair cannot represent the same root server operator as the RSSAC Vice Chair.

1.2.3. RSSAC Vice Chair

The RSSAC Vice Chair is a volunteer position elected by the RSSAC from the primary and alternate representatives. The RSSAC Vice Chair is not confirmed by the ICANN Board of

Directors. The RSSAC Vice Chair substitutes for the RSSAC Chair as needed and serves as an ex officio member of the RSSAC Caucus Membership Committee. The RSSAC Vice Chair cannot simultaneously serve as the RSSAC Chair or as the RSSAC Liaison to the ICANN Board of Directors. The RSSAC Vice Chair cannot represent the same root server operator as the RSSAC Chair.

1.2.4. RSSAC Chair and RSSAC Vice Chair Election Procedure

The RSSAC shall elect one RSSAC Chair and one RSSAC Vice Chair. The term for both the RSSAC Chair and the RSSAC Vice Chair shall be two years. A member may only serve two consecutive terms for each position. The eligibility status for a previous RSSAC Chair and RSSAC Vice Chair is reset after not serving in the position for one year.

One month prior to each election, nominees will be accepted for the RSSAC Chair and/or RSSAC Vice Chair position from the primary and alternate representatives and announced on the RSSAC distribution list. During the meeting that includes election of the RSSAC Chair or RSSAC Vice Chair on its announced agenda, additional nominations will be accepted, and all nominees will indicate their intentions: to accept or to decline their nomination.

In the event that only one candidate is standing for election, the RSSAC may elect the new RSSAC Chair or the new RSSAC Vice Chair by acclamation.

In the event that two or more candidates are standing for election, the RSSAC Chair will call for a vote. For electing the RSSAC Chair and RSSAC Vice Chair, the RSSAC uses ranked choice voting, as outlined in Section 1.4.

The Outgoing RSSAC Liaison to the ICANN Board will forward the name of the RSSAC Chair elect to the ICANN Board of Directors for confirmation.

If a vacancy exists in the RSSAC Chair or RSSAC Vice Chair roles, the RSSAC will elect a new RSSAC Chair or RSSAC Vice Chair through this process.

1.2.5. Primary and Alternate Representatives

A root server operator appoints a primary representative, and may also appoint an alternate representative, to participate in RSSAC activities. Primary representatives are voting participants of the RSSAC. Alternate representatives may vote when their corresponding primary representative is unavailable. Both representatives serve at the pleasure of their appointing organization.

1.2.5.1. Appointment and Participation

An executive point of contact from a root server operator will notify the RSSAC Chair via email about the appointment of the primary and alternate representatives. The RSSAC Chair will then notify the RSSAC via email and instruct the support staff to add the representative to the RSSAC distribution list. The RSSAC Chair and support staff will then coordinate the process by which the ICANN Board of Directors confirms the representative as a member of RSSAC.

The following outlines the process by which representatives integrate into the RSSAC:

- Representatives will be able to access RSSAC resources (e.g., distribution list, internal website, etc.) and can participate in meetings.
- Representatives are invited to all meetings.

1.2.5.2. Removal and Replacement

After the replacement of a representative has been completed by a root server operator and the RSSAC Chair has notified the RSSAC of the new replacement, the support staff shall remove the replaced representative from the RSSAC distribution list and restrict their access to RSSAC resources. New representatives shall complete the remainder of the replaced representative's term first.

1.2.6. Root Zone Management Partner Representatives

The RSSAC also consists of nonvoting representatives from the organizations responsible for the maintenance of the authoritative root zone. Root zone management partner representatives are non voting participants in the RSSAC. Root zone management partner representatives serve at the pleasure of their appointing organization.

1.2.6.1. IANA Functions Operator

The IANA Functions Operator may appoint a non voting representative to the RSSAC. The authority to appoint a non voting representative is utilized to provide a direct relationship between the RSSAC and the IANA Functions Operator, and to expand the depth of expertise discussing RSSAC business.

1.2.6.2. Root Zone Maintainer

The Root Zone Maintainer may appoint a non voting representative to the RSSAC. The authority to appoint a non voting representative is utilized to provide a direct relationship between the RSSAC and the Root Zone Maintainer, and to expand the depth of expertise

discussing RSSAC business.

1.2.6.3. Appointment and Participation

An executive point of contact from a root zone management partner will notify the RSSAC Chair via email about the appointment of a non voting representative. The RSSAC Chair will then notify the RSSAC via email and instruct the support staff to add the non voting representative to the RSSAC distribution list.

The following outlines the process by which the root zone management partner representatives integrate into the RSSAC:

- Root zone management partner representatives will be able to access RSSAC resources (e.g., distribution list, internal website, etc.) and can participate in meetings, but are not authorized to vote.
- Root zone management partner representatives are invited to all meetings so that they can keep abreast of RSSAC activities.

1.2.6.4. Removal and Replacement

After the replacement of a root zone management partner has been completed by the appointing organization and the RSSAC Chair has notified the RSSAC of the new replacement, the support staff shall remove the replaced root zone management partner from the RSSAC distribution list and restrict access to RSSAC resources.

1.2.7. Liaisons

The RSSAC may have outgoing and incoming liaisons with other bodies. All liaisons are volunteer positions and are specified on the RSSAC website. Outgoing liaisons are elected by the RSSAC per the outgoing liaison election procedure. Incoming liaisons are appointed by the reciprocal body and confirmed by a majority vote of the RSSAC. All incoming liaisons are nonvoting participants in the RSSAC. All liaison roles and their current appointees are listed on the RSSAC website.

1.2.7.1. Participation

The following outlines the process by which incoming liaisons integrate into the RSSAC:

- Liaisons will be able to access RSSAC resources (e.g., distribution list, internal website, etc.) and can participate in meetings, but are not authorized to vote.
- Liaisons are invited to all meetings so that they can keep abreast of RSSAC activities.
- The RSSAC support staff and RSSAC Chair will prepare an orientation and onboarding session to help the liaison prepare and be more effective in their new role.

1.2.7.2. Removal and Replacement

After the replacement of a liaison has been completed by an RSSAC election or an appointment by a reciprocal body and the RSSAC Chair has notified the RSSAC of the new replacement, the support staff shall remove the liaison from the RSSAC distribution list and restrict access to RSSAC resources for incoming liaisons and as appropriate for outgoing liaisons.

1.2.7.3. Incoming IAB Liaison to the RSSAC

The incoming Internet Architecture Board Liaison to the RSSAC is specified through a mutual agreement between the IAB and the RSSAC.[1] This liaison is nominated by IAB using its own procedures and confirmed by a majority vote of the RSSAC. The liaison acts a conduit between the two bodies reporting on matters that need to be coordinated or communicated between the two bodies.

1.2.7.4. Incoming ICANN SSAC Liaison to the RSSAC

The incoming ICANN Security and Stability Advisory Committee Liaison to the RSSAC is specified through a mutual agreement between the SSAC and the RSSAC. This liaison is nominated by the SSAC using its own procedures and confirmed by a majority vote of the RSSAC. The liaison acts as a conduit between the two bodies reporting on matters that need to be coordinated or communicated between the two bodies.

1.2.7.5. Outgoing RSSAC Liaison to the ICANN Board of Directors

The outgoing RSSAC Liaison to the ICANN Board of Directors is specified in the ICANN Bylaws.[2] The term for the outgoing RSSAC Liaison to the ICANN Board of Directors shall be three years. A person may only serve for two consecutive terms. The eligibility status for a previous liaison is reset one year after having stepped down. The RSSAC must elect the outgoing RSSAC Liaison to the ICANN Board of Directors according to the outgoing RSSAC liaisons election procedure (Section 1.2.8.9) from the primary and alternate representatives of the RSSAC. Representatives from the ICANN organization are not eligible to be elected as an RSSAC Liaison to the ICANN Board of Directors.

The outgoing RSSAC Liaison to the ICANN Board of Directors acts as a conduit between the RSSAC and the ICANN Board of Directors reporting on matters that need to be coordinated or communicated between the two bodies. The role requires exceptional discretion, proven management skills, significant time commitment, and broad political awareness. It is desirable that candidates possess leadership experience in the RSSAC, at ICANN, or the broader Internet

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[1] See IAB Liaison to the RSSAC, https://www.icann.org/en/system/files/files/iab-liaison-rssac-16feb15-en.pdf
[2] See ICANN bylaws 7.9(a)(ii), https://www.icann.org/resources/pages/governance/bylaws-en/

community. A specific list of responsibilities will be maintained on the RSSAC website.

1.2.7.6. Outgoing RSSAC Liaison to the ICANN Nominating Committee

The outgoing RSSAC Liaison to the ICANN Nominating Committee is specified in the ICANN Bylaws.[3] The term for the outgoing RSSAC Liaison to the ICANN Nominating Committee shall be one year. A person may only serve for three consecutive terms unless there are no other candidates for the position. The eligibility status for a previous liaison is reset one year after having stepped down. The RSSAC must elect the outgoing RSSAC Liaison to the ICANN Nominating Committee according to the outgoing RSSAC liaisons election procedure (Section 1.2.8.9) from the members of the RSSAC Caucus.

The outgoing RSSAC Liaison to the ICANN Nominating Committee acts as a conduit between the RSSAC and the ICANN Nominating Committee reporting on matters that need to be coordinated or communicated between the two bodies. The role requires discretion, management skills, and considerable time commitment.

1.2.7.7. Outgoing RSSAC Liaison to the ICANN CSC

The outgoing RSSAC Liaison to the ICANN Customer Standing Committee is specified in the ICANN Bylaws.[4] The term for the outgoing RSSAC Liaison to the Customer Standing Committee shall be two years. A person may only serve for two consecutive terms unless there are no other candidates for the position. The eligibility status for a previous liaison is reset one year after having stepped down. The RSSAC must elect the outgoing RSSAC Liaison to the Customer Standing Committee according to the outgoing RSSAC liaisons election procedure (Section 1.2.8.9) from the members of the RSSAC.

The outgoing RSSAC Liaison to the Customer Standing Committee acts as a conduit between the RSSAC and the Customer Standing Committee reporting on matters that need to be coordinated or communicated between the two bodies. The role requires discretion, management skills, and considerable time commitment.

1.2.7.8. Outgoing RSSAC Liaison to the ICANN RZERC

The outgoing RSSAC Liaison to the ICANN Root Zone Evolution Review Committee is specified in the Root Zone Evolution Review Committee charter.[5] The term for the outgoing RSSAC Liaison to the Root Zone Evolution Review Committee shall be two years. A person

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[3] See ICANN bylaws 8.2(c), https://www.icann.org/resources/pages/governance/bylaws-en/
[4] See ICANN bylaws 17.2(c), https://www.icann.org/resources/pages/governance/bylaws-en/
[5] See Root Zone Evolution Review Committee Charter, https://www.icann.org/en/system/files/files/revised-rzerc charter-08aug16-en.pdf

may only serve for two consecutive terms unless there are no other candidates for the position. The eligibility status for a previous liaison is reset one year after having stepped down. The RSSAC must elect the outgoing RSSAC Liaison to the Root Zone Evolution Review Committee according to the outgoing RSSAC liaisons election procedure (Section 1.2.8.9) from the members of the RSSAC.

The outgoing RSSAC Liaison to the Root Zone Evolution Review Committee acts as a conduit between the RSSAC and the Root Zone Evolution Review Committee reporting on matters that need to be coordinated or communicated between the two bodies. The role requires discretion, management skills, and considerable time commitment.

1.2.7.9. Outgoing RSSAC Liaison Election Procedure

One month prior to each election, nominations will be accepted for the outgoing liaison position and announced on the RSSAC distribution list. During the meeting that includes election of an outgoing liaison position on its announced agenda, additional nominations will be accepted, and all nominees will indicate their intentions: to accept or to decline their nomination.

The RSSAC uses ranked choice voting, as outlined in Section 1.4.1 for electing outgoing liaison positions.. In the event that only one candidate is standing for election, the RSSAC may elect the new outgoing liaison by acclamation.

The RSSAC Chair will forward the name of the outgoing liaison-elect to the reciprocating body.

If a vacancy exists in an outgoing liaison role, the RSSAC will elect a new outgoing liaison through this process.

1.2.7.10. Outgoing Liaison Review Process

The RSSAC Chair will execute a review for each liaison role. The review will consist of (at a minimum) a conversation between the RSSAC Chair and the liaison every six months. The RSSAC Chair will then share the outcomes of that conversation with the RSSAC. For outgoing liaisons, the RSSAC will consider the annual review for reelection purposes. For incoming liaisons, the RSSAC will consider the annual review for re-confirmation purposes. Additionally, the annual review will be an opportunity to replace any non-performing outgoing liaison.

1.2.7.11. New Liaison Roles

As circumstances dictate, the RSSAC may establish new outgoing liaison roles or accept new incoming liaison roles that are not specifically stipulated in its operational procedures. These liaison roles are available to RSSAC Caucus members and may be established from time to

time through mutual agreements between the RSSAC and the reciprocal body. All liaison appointments should be documented. However, the RSSAC Caucus Membership Committee may recommend appointees for new outgoing liaison roles.

Unless otherwise stated in Sections 1.2.8.5 through 1.2.8.8, a person may only serve for two consecutive terms unless there are no other candidates for the outgoing liaison position.

In addition to the outgoing liaison positions documented in Sections 1.2.8.5 through 1.2.8.8 the RSSAC has previously appointed liaisons to the following groups.
- Second Security, Stability, and Resiliency Review Team (SSR2)
- ICANN Fellowship Selection Committee
- ICANN Fellowship Mentoring Committee
- IANA Naming Function Review Team (IFRT)
- NextGen@ICANN Selection Committee
- NextGen@ICANN Mentoring Committee
- Work Stream 2 - Community Coordination Group

1.2.8. Support Staff

ICANN provides staff support for the RSSAC. The staff members are designated by ICANN and report to ICANN.

1.3. Consensus

For the RSSAC, consensus is based on general agreement after an issue has been openly discussed and all objections have been reviewed, even if not all are fully resolved in the final outcome. Decisions are ratified by a majority vote only after consensus is achieved. If a vote is close or highly contentious, the vote may be delayed for further discussion to resolve the remaining differences and reach consensus.

1.4. Quorum and Voting

1.4.1. Quorum

At the beginning of a RSSAC meeting, roll will be called. A quorum must be present for the meeting to continue. There is a quorum if a majority of root server operators (more than half) are present. A root server operator is present if either the primary or alternate representative is present.

1.4.2. Voting

Each root server operator has a single vote in matters of the RSSAC. Formal action of the RSSAC is taken by a vote cast by the primary representative of each root server operator, or cast by the alternate representative if the primary has not voted.

Voting may be in person or via appropriate supporting technology as approved by the RSSAC.

1.4.2.1. Elections

The RSSAC elects its Chair, Vice Chair, and outgoing liaisons using the procedure in this section. RSSAC elections use ranked choice voting as described in Section 1.4.3. RSSAC elections are conducted via closed ballot.

The RSSAC has a minimum voting threshold for elections. The voting threshold for elections is met if a supermajority of root server operators (75%) cast votes, with abstentions counting as votes cast. If the voting threshold is not met for an election the election will be held again.

1.4.2.2. Publication of Documents

The RSSAC determines whether to publish documents using the procedure in this section.

When a quorum is present during a meeting, a nomination and second are required to propose a document for publication. The RSSAC may also publish documents using the Electronic Voting Procedure as described in Section 1.4.4. The document will be published as an RSSAC publication if a supermajority (75%) of root server operators vote in favor of publishing it. Any abstentions will be recorded in the minutes of the meeting.

1.4.3. Electoral System

The RSSAC uses ranked choice voting (RCV) for electing the Chair, Vice-Chair, and outgoing liaisons.

> A ranked-choice voting system (RCV) is an electoral system in which voters rank candidates by preference on their ballots. If a candidate wins a majority of first-preference votes, he or she is declared the winner. If no candidate wins a majority of first-preference votes, the candidate with the fewest first-preference votes is eliminated. First-preference votes cast for the failed candidate are eliminated, lifting the second-preference choices indicated on those ballots. A new tally is conducted to determine whether any candidate

has won a majority of the adjusted votes. The process is repeated until a candidate wins an outright majority.[6]

Majority is defined as more than half of votes cast. Although abstentions are counted toward determining the voting threshold (number of voters), abstentions are not counted as cast votes for the purposes of determining majority.

A root server operator that does not indicate any preference for any candidate will be considered to be abstaining.

For example, consider an election with three candidates: A, B, and C. In the first tally the votes are: A 3, B 4, C 2, abstain 3. Since no candidate achieved a majority of five votes the second preferences of the root server operators that voted for C are used. In the second tally the votes are: A 4, B 5, abstain 3. Candidate B is now the winner because they have achieved a majority of votes.

If more than one candidate is tied for receiving the least number of votes then a revote will be held. Only one revote can be held, and subsequent ties will be resolved by random selection using the procedure described in RFC 3797.

For example, consider an election with four candidates: A, B, C, and D. In the first tally the votes are: A 2, B 3, C 2, D 4, abstain 1. Since no candidate achieved a majority and the candidates that received the least number of votes are tied a revote will be held. In the first tally of the revote the votes are: A 2, B 2, C 3, D 4, abstain 1. In this tally A and B are tied, so random selection is used to determine whether candidate A or B will be eliminated. That random selection determines that candidate B is eliminated. In the second tally the votes are: A 3, C 2, D 6, abstain 1. Candidate D is now the winner because they have achieved a majority of votes.

1.4.4. Electronic Voting Procedure

From time to time, the RSSAC may conduct an electronic vote outside of a meeting. The RSSAC Chair calls for the electronic vote and asks the support staff to conduct the electronic vote via appropriate supporting technology as approved by the RSSAC. The electronic vote shall remain open for a minimum of 72 hours excluding weekends. At least one week prior to this vote, the support staff will distribute the item to be voted upon to the RSSAC.

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[6] See Ballotpedia, Ranked-choice voting (RCV), https://ballotpedia.org/Ranked-choice_voting_(RCV), retrieved July 26, 2022

1.5. Access to Proprietary Information

On occasion the RSSAC may need to access certain technical data or information that is commercially valuable and not generally known in its industry of principal use (collectively referred to as "proprietary information") pursuant to the RSSAC's performance of its tasks. If necessary, the RSSAC members may be asked to sign applicable non-disclosure agreements to access proprietary information.

1.6. Meetings

The RSSAC holds regular, emergency, and informational meetings. Regular meetings are held to conduct the work of the RSSAC. Emergency meetings are closed to the public and enable RSSAC to respond to extraordinary circumstances. Informational meetings are used both to present the work of the RSSAC and to engage the broader Internet community.

Formal action by the RSSAC may be taken as long as a quorum is established and voting procedures are followed as outlined in Section 1.4. The following process applies as well:

1. The support staff takes notes during the meeting in the appropriate supporting technology and posts them to the RSSAC workspace and website;

2. The support staff produces minutes (see details in Section 1.6.5); and

3. After each meeting support staff sends an email to the RSSAC including the draft minutes for review.

1.6.1. Regular Meetings

Regular meetings are held to conduct the work of the RSSAC. Regular meetings are default open for observation but can be held closed to the public at the discretion of the RSSAC Chair. Regular meetings are held both at ICANN conferences and periodically via teleconference with appropriate supporting technology for recording and managing the meeting.

The RSSAC Chair may call regular meetings by sending an email to the RSSAC with a draft agenda that includes expected formal action (if any) and participation information. Additional participants may be invited by the RSSAC Chair or by formal resolution.

Regular meetings should be scheduled at least one week in advance, and must not be scheduled less than 72 hours in advance.

1.6.2. Emergency Meetings

Emergency meetings enable RSSAC to respond to extraordinary circumstances. The purpose of an emergency meeting is to gather information and enable discussion that may be required for feedback to the extraordinary circumstances.

The RSSAC Chair may call emergency meetings by sending an email to the RSSAC with a draft agenda that includes the extraordinary circumstances prompting the emergency meeting, expected formal action (if any) and participation information.

Emergency meetings should be scheduled at least 72 hours in advance, but must not be scheduled less than 24 hours in advance.

1.6.3. Informational Meetings

The RSSAC produces publications in part for the broader Internet community. In support of this mission, the RSSAC holds informational meetings for two principal purposes:

- To report to the community on its activities and other significant issues; and
- To receive from the community questions, comments, and suggestions.

The RSSAC Chair may decide to hold multiple public meetings when the RSSAC is studying a topic of particular interest over a long period of time.

1.6.4. Call for Meetings

At least one week prior to a Regular or Informational Meeting, the support staff will distribute a draft agenda including potential items that will require a vote to the RSSAC and issue a call for other agenda items from the RSSAC. The support staff may also request materials such as documents or presentations from liaisons, work party leaders, or invited guests. One week prior to a Regular or Informational Meeting, the support staff will provide all materials necessary especially for potential items that will require a vote such as documents or presentations. A call for an Emergency meeting may upend this process, but the RSSAC Chair and support staff will strive to keep these interventions to a minimum and adhere to the aforementioned process as practically and as timely as possible given the extraordinary circumstances.

1.7. Minutes

The minutes of meetings include a summary of the discussion and all decisions. Minutes will be publicly available on the RSSAC website. The support staff may record meetings to assist in the preparation of the minutes, but these recordings will be deleted immediately after use. The

minutes will contain at least the following elements:

- participants (with apologies);
- date and time;
- meeting venue;
- agenda;
- resolutions; and
- action items.

The RSSAC normally prepares informal notes of its meetings. Support staff provides these notes to the RSSAC as quickly as possible after the meeting. These notes are not published and have no formal status.

2. The RSSAC Caucus

The RSSAC Caucus consists of individuals who have expressed willingness to work on RSSAC documents. The membership of the RSSAC Caucus consists of appointed RSSAC Caucus members and the RSSAC. The RSSAC Caucus members are recommended by the RSSAC Caucus Membership Committee and appointed by the RSSAC to join the RSSAC Caucus.

The RSSAC may ask the RSSAC Caucus to produce documents. The RSSAC may also ask the RSSAC Caucus for advice before taking action.

2.1. Purpose

The purpose of the RSSAC Caucus is:
- to provide a well-defined pool of motivated experts to whom the RSSAC can turn for accomplishing work;
- to provide transparency to the community at large about the people doing the work; and
- to provide a framework for the RSSAC Caucus members to formalize their availability and to execute the work.

2.2. Principles

The RSSAC Caucus produces the RSSAC documents, such as reports and advisories. The RSSAC Caucus consists of the RSSAC as well as other persons appointed by the RSSAC. Each member of the RSSAC Caucus maintains a public description of his or her willingness and motivation to help produce the RSSAC documents, relevant expertise, and formal interests in the work area of the RSSAC.

RSSAC Caucus members may submit personal opinions about documents to the RSSAC at any

time, specifically once the document has been passed to the RSSAC for action. Completed documents will appropriately acknowledge the RSSAC Caucus members that were involved. The RSSAC maintains a record of the RSSAC Caucus members and their contributions to the RSSAC documents.

2.3. RSSAC Caucus Membership Committee

2.3.1. Purpose

The purpose of the RSSAC Caucus Membership Committee is to ensure that the RSSAC Caucus has a high-functioning and healthy body of subject matter technical experts in DNS root name service. The RSSAC Caucus Membership Committee will consider all seriously motivated offers to participate in the RSSAC Caucus.

The RSSAC Caucus Membership Committee will also make recommendations to the RSSAC for certain appointments. At the request of the RSSAC, the RSSAC Caucus Membership Committee may consider members of the RSSAC Caucus for appointment to outgoing liaison roles, Specific Review Teams, and other groups determined in the ICANN Bylaws or convened by the ICANN community as appropriate. The RSSAC will then take appropriate action on the recommendations of the RSSAC Caucus Membership Committee.

2.3.2. Composition and Terms

The RSSAC Caucus Membership Committee consists of four individuals, at least one of whom is a member of the RSSAC. The RSSAC Vice Chair serves as an ex officio member of the RSSAC Caucus Membership Committee as well. The RSSAC Caucus Membership Committee is appointed by the RSSAC. Each member of the RSSAC Caucus Membership Committee serves a term of one year.

2.3.3. Chair

The RSSAC Caucus Membership Committee will select one of its members to serve as the RSSAC Caucus Membership Committee Chair. The RSSAC Caucus Membership Committee Chair will ensure that:

- Meetings occur according to the committee charter;
- Meetings have appropriate agendas;
- Minutes of the RSSAC Caucus Membership Committee meetings are compiled and maintained; and
- The RSSAC Caucus Membership Committee reports its work regularly to the RSSAC.

2.3.4. Meetings

Meetings will be scheduled as needed based on the work that should be handled by the RSSAC Caucus Membership Committee.

2.3.5. Duties

The RSSAC Caucus Membership Committee will:

- Solicit RSSAC Caucus membership interest from a broad community of experts;
- Forward to the RSSAC names of recommended RSSAC Caucus members for appointment;
- Manage the on-boarding and off-boarding of RSSAC Caucus members;
- Collect public statements of interest from RSSAC Caucus members and work with the support staff to publish them; and
- Regularly check if RSSAC Caucus members are still active and interested in RSSAC Caucus work and report back to the RSSAC.

2.3.6. Resources

Support staff resources will be available to the RSSAC Caucus Membership Committee to conduct its business.

2.4. RSSAC Caucus Management

2.4.1. Applicant Selection and Rejection

The RSSAC periodically issues calls for participation in the RSSAC Caucus. The RSSAC delegates the task of communicating with candidates about joining or leaving the RSSAC Caucus to the RSSAC Caucus Membership Committee.

The RSSAC Caucus Membership Committee may consider and recommend to the RSSAC new RSSAC Caucus members at any time during the calendar year. The RSSAC Caucus Membership Committee evaluates these candidates individually, rather than collectively. The RSSAC Caucus Membership Committee may learn of candidates because of recommendation by the RSSAC, or a candidate may contact the committee directly. In every case, the following procedure applies.

Candidates are asked for a statement of interest for joining the RSSAC Caucus. These statements of interest should include a brief statement describing why they are interested in

becoming involved in the RSSAC Caucus and what particular skills and experience they would bring to the RSSAC Caucus, along with a stated commitment to participate in working groups on an active basis.

On the basis of the candidate's statement of interest, the RSSAC Caucus Membership Committee will evaluate the following:

1. Is the candidate sufficiently familiar with the RSSAC and its work?
2. Can the candidate devote time to participation in the RSSAC, including participating in regular meetings, work groups, and in the development of work products?
3. Does the candidate bring to the RSSAC skills and experiences that will add value to the RSSAC Caucus?

The RSSAC Caucus Membership Committee Chair will contact via email those candidates who the RSSAC Caucus Membership Committee decides are not currently suitable for RSSAC Caucus membership and thank them for their interest in the RSSAC Caucus and indicate that the RSSAC Caucus Membership Committee is not recommending their addition to the RSSAC Caucus at this time. It is important to note that the names of candidates who are not recommended for membership are not revealed to the RSSAC. If a candidate appeals the decision, the RSSAC Caucus Membership Committee Chair shall address the appeal on a case by-case basis.

Candidates who have not been recommended for membership may not re-apply within the same 12-month period as their initial application.

For those candidates who the RSSAC Caucus Membership Committee decides to recommend to the RSSAC, the following procedures will apply:

Support staff will send a message to the RSSAC describing the recommendation of the RSSAC Caucus Membership Committee, including the statement of interest and asking for a decision in one week. The message should make it clear that if no objections are received the candidate will be considered as a member of the RSSAC Caucus.

For candidates who receive objections from the RSSAC, the RSSAC Caucus Membership Committee Chair will notify the RSSAC that the candidate has not been recommended for membership. Only one objection is sufficient to reject a candidate. This objection should be made on the RSSAC distribution list. The RSSAC Caucus Membership Committee Chair then will contact the candidates and thank them for their interest in the RSSAC Caucus and indicate that the RSSAC is not recommending their addition to the RSSAC Caucus at this time. On request of the candidate concerned, the RSSAC explains its decision to refuse to add a candidate to the RSSAC Caucus. If a candidate appeals the membership decision, the RSSAC Chair shall determine how to address the appeal on a case-by-case basis.

2.4.2. RSSAC Caucus Member Review and Removal

The RSSAC Caucus Membership Committee periodically reviews the composition of the RSSAC Caucus and may remove members in consultation with RSSAC. On request of the person concerned, the RSSAC Caucus Membership Committee explains its decision to remove a person from the RSSAC Caucus.

2.4.3. Departing RSSAC Caucus Members

Individual members may leave the RSSAC Caucus at any time for any reason by notifying the RSSAC Chair in writing.

2.5. RSSAC and RSSAC Caucus Work Procedures

The RSSAC produces various documents in direct response to requests from the ICANN Board of Directors, the RSSAC Caucus, or at its own initiative. The RSSAC may ask RSSAC Caucus members for advice and opinions or involve the RSSAC Caucus in the production of documents.

2.5.1. Proposing a Work Item

Any RSSAC or RSSAC Caucus member may propose a work item for the RSSAC. The RSSAC member/RSSAC Caucus member must confirm that the proposed work item aligns with the charter of the RSSAC and draft a statement of work that explains the scope of the work to be performed. The RSSAC member/RSSAC Caucus member then submits the draft statement of work to the RSSAC for consideration.

The RSSAC reviews the draft statement of work. If the RSSAC determines that the draft statement of work does not align with its charter, then the RSSAC returns the draft statement of work to the RSSAC member/RSSAC Caucus member for revisions. If the RSSAC determines that the draft statement of work does align with its charter, then the RSSAC takes formal action to approve the draft statement of work.

Additionally, RSSAC may produce RSSAC work items that do not require the creation of a statement of work. In these cases, the proposed work items will come from the RSSAC Chair and RSSAC is the work party.

2.5.2. Project Workspace

The RSSAC Caucus maintains a project workspace for software and data projects relevant to the

work of the RSSAC Caucus. Any software or datasets developed in RSSAC Caucus work parties should be hosted here. Other projects not developed in RSSAC Caucus work parties may also be hosted here if they are relevant to the work of the RSSAC or RSSAC Caucus. The workspace is open to anyone for reading. RSSAC caucus members that wish to host a project here should contact the project workspace administrators. Protected or proprietary information should not be stored here.

2.6. RSSAC and RSSAC Caucus Work Parties

The RSSAC may call for an RSSAC work party consisting only of RSSAC members to undertake a specific work assignment within the RSSAC. The RSSAC may also call for an RSSAC Caucus work party consisting of RSSAC and RSSAC Caucus members to undertake a specific work assignment within the RSSAC Caucus. Support staff resources will be available to all work parties to conduct business. All work parties follow the quorum, voting, and meeting practices of the RSSAC.

2.6.1. Confidentiality

An RSSAC work party may decide to keep any part of its deliberations and draft documents confidential within the work party for a specific period during ongoing work. This confidentiality does not prohibit the work party leader from providing requested updates to the RSSAC. An RSSAC work party must resolve confidentiality issues related to the draft work party document before it is shared outside of the RSSAC, unless required to do so by law.

The RSSAC Caucus mailing list is open to the public. Therefore RSSAC Caucus work party activities and working drafts are not strictly confidential. However, RSSAC Caucus members must obtain concurrence from the work party leader before publicly publishing, forwarding, or presenting any work party information.

2.6.2. RSSAC Caucus Work Party Shepherds

After the RSSAC approves a statement of work for an RSSAC Caucus work party, the RSSAC Chair will ask the RSSAC for a volunteer to serve as the RSSAC Caucus work party shepherd. The RSSAC Caucus work party shepherd acts as an initiator in facilitating the development of a RSSAC Caucus work party that contains the various roles: work party leader, contributor, reviewer, or observer. An RSSAC Caucus work party shepherd will continue to report status on the status of the work party until a work party leader has been identified. If the work party leader is not an RSSAC member, the RSSAC Caucus work party shepherd is expected to remain in this role but may also serve in any of the remaining work party roles: contributor, reviewer, or observer.

After the RSSAC appoints an RSSAC Caucus work party shepherd, the RSSAC Caucus work party shepherd submits the approved statement of work to the RSSAC Caucus requesting volunteers to join the work party. The support staff collects the names and contact information of the volunteers to establish the RSSAC Caucus work party. The RSSAC Caucus work party shepherd then requests a volunteer to serve as work party leader.

2.6.3. Work Party Leaders

The work party leader actively involves other RSSAC or RSSAC Caucus members, specifically any RSSAC or RSSAC Caucus members that volunteer to serve on the work party. The work party leader coordinates the work of all work party members including contributors, reviewers, and observers. The work party leader may also serve as a contributor and/or reviewer.

The work party leader reports to the RSSAC about progress at regular intervals and on specific request. If the RSSAC considers progress insufficient, the RSSAC may appoint a new work party leader or take other action to advance the document. Once the work party leader considers the document ready, the work party leader submits it to the RSSAC for formal action.

2.6.4. Contributors

RSSAC or RSSAC Caucus members may participate in a work party as contributors. Contributors provide relevant and substantive subject matter expertise during meetings and volunteer to draft versions of the document. Contributors may also serve as work party leaders and/or reviewers.

2.6.5. Reviewers

RSSAC or RSSAC Caucus members may participate in a work party as reviewers. Reviewers provide relevant and substantive subject matter expertise during meetings and volunteer to review versions of the document. Reviewers may also serve as work party leaders and/or contributors.

2.6.6. Observers

RSSAC or RSSAC Caucus members may participate in a work party as observers. Observers provide general subject matter knowledge during meetings but do not volunteer to draft or review versions of the document.

3. RSSAC Publication Procedures

The RSSAC determines its work, tracks its progress, and finalizes work products. A finalized work product is sent as correspondence, posted publicly, or otherwise finalized as an RSSAC work product as described in this section. The working language for RSSAC publications is English. When translations of RSSAC publications are made, the original English language publication remains authoritative.

The RSSAC may produce various publications. The following is a description of the procedures for finalizing RSSAC publications.

3.1. Reviewing and Updating Drafts

3.1.1. RSSAC Work Products

Once an RSSAC work party leader considers a work product ready, the RSSAC work party leader submits it to the RSSAC for review. The following are guidelines for developing an RSSAC work product:

1. The RSSAC work party leader circulates the draft work product to the RSSAC via the RSSAC distribution list.
2. The RSSAC then reviews the draft work product and provides feedback (i.e., comments, edits, or questions) to the RSSAC work party leader.
3. The RSSAC work party leader collects and reviews feedback from the RSSAC, assisted by support staff as appropriate, and either accommodates it directly or starts a discussion with the RSSAC Work party to address specific issues.
4. When the RSSAC work party leader has accommodated or considered all RSSAC feedback, the RSSAC work party leader re-circulates the draft work product to the RSSAC distribution list.
5. Steps 2 through 4 are repeated until no further RSSAC feedback is received and the draft work product has been stable for one week.
6. The RSSAC work party leader will then submit the final draft work product to the RSSAC via the RSSAC distribution list and ask the RSSAC for formal action.
7. The RSSAC Chair will then add the approval of the final draft work product to the agenda of the next regular meeting and follow the quorum and voting practices of the RSSAC for approval.
8. RSSAC objections to or withdrawals from a document should be indicated in the appropriate section of the document.
9. Upon approval by the RSSAC, the RSSAC Chair will ask the support staff to publish the final work product.

3.1.2. RSSAC Caucus Work Products

Once an RSSAC Caucus work party leader considers a work product ready, the RSSAC Caucus work party leader submits it to the RSSAC Caucus and then the RSSAC for review. The following are guidelines for developing an RSSAC Caucus work product:

1. The RSSAC Caucus work party leader circulates the draft work product to the RSSAC Caucus via the RSSAC Caucus distribution list.

2. The RSSAC Caucus then reviews the draft work product and provides feedback (i.e., comments, edits, or questions) to the RSSAC Caucus work party leader.

3. The RSSAC Caucus work party leader collects and reviews feedback from the RSSAC Caucus, assisted by support staff as appropriate, and either accommodates it directly or starts a discussion within the RSSAC Caucus work party to address specific issues.

4. When the RSSAC Caucus work party leader has accommodated or considered all RSSAC Caucus feedback, the RSSAC Caucus work party leader re-circulates the draft work product to the RSSAC Caucus distribution list.

5. Steps 2 through 4 are repeated until no further RSSAC Caucus feedback is received and the draft work product has been stable for one week.

6. The RSSAC Caucus work party leader will then submit the draft work product to the RSSAC via the RSSAC distribution list and ask the RSSAC for review.

7. The RSSAC then reviews the draft work product and provides feedback (i.e., comments, edits, or questions) to the RSSAC Caucus work party leader.

8. The RSSAC Caucus work party leader collects and reviews feedback from the RSSAC, assisted by support staff as appropriate, and either accommodates it directly or starts a discussion within the RSSAC Caucus work party to address specific issues.

9. When the RSSAC Caucus work party leader has accommodated or considered all RSSAC feedback, the RSSAC Caucus work party leader re-circulates the draft work product to the RSSAC distribution list.

10. Steps 7 through 9 are repeated until no further RSSAC feedback is received and the draft work product has been stable for one week.

11. The RSSAC Caucus work party leader will then submit the final draft work product to the RSSAC via the RSSAC distribution list and ask the RSSAC for formal action.

12. The RSSAC Chair will then add the approval of the final draft work product to the agenda of the next regular meeting and follow the quorum and voting practices of the RSSAC for approval.

13. RSSAC objections to or withdrawals from a document should be indicated in the appropriate section of the document.

14. Upon approval by the RSSAC, the RSSAC Chair will ask the support staff to publish the final work product.

3.1.3. RSSAC Work Products with Input from the RSSAC Caucus

Once an RSSAC work party leader considers a work product that requires RSSAC Caucus input ready, the RSSAC work party leader submits it to the RSSAC Caucus and then the RSSAC for review. The following are guidelines for developing an RSSAC work product with input from the RSSAC Caucus:

1. The RSSAC work party leader circulates the draft work product to the RSSAC Caucus via the RSSAC Caucus distribution list.

2. The RSSAC Caucus then reviews the draft work product and provides feedback (i.e., comments, edits, or questions) to the RSSAC Caucus work party leader.

3. The RSSAC work party leader collects and reviews feedback from the RSSAC Caucus, assisted by support staff as appropriate, and either accommodates it directly or starts a discussion within the RSSAC work party to address specific issues.

4. When the RSSAC work party leader has accommodated or considered all RSSAC feedback, the RSSAC work party leader re-circulates the draft work product to the RSSAC Caucus distribution list.

5. Steps 2 through 4 are repeated until no further RSSAC Caucus feedback is received and the draft work product has been stable for one week.

6. The RSSAC work party leader will then submit the draft work product to the RSSAC via the RSSAC distribution list and ask the RSSAC for review.

7. The RSSAC then reviews the draft work product and provides feedback (i.e., comments, edits, or questions) to the RSSAC work party leader.

8. The RSSAC work party leader collects and reviews feedback from the RSSAC, assisted by support staff as appropriate, and either accommodates it directly or starts a discussion within the RSSAC work party to address any specific issues.

9. When the RSSAC work party leader has accommodated or considered all RSSAC feedback, the RSSAC work party leader re-circulates the draft work product to the RSSAC distribution list.

10. Steps 7 through 9 are repeated until no further RSSAC feedback is received and the

draft work product has been stable for one week.

11. The RSSAC work party leader will then submit the final draft work product to the RSSAC via the RSSAC distribution list and ask the RSSAC for formal action.

12. The RSSAC Chair will then add the approval of the final draft work product to the agenda of the next regular meeting and follow the quorum and voting practices of the RSSAC for approval.

13. RSSAC objections to or withdrawals from a document should be indicated in the appropriate section of the document.

14. Upon approval by the RSSAC, the RSSAC Chair will ask the support staff to publish the final work product.

3.1.4. Review by ICANN Legal Staff

If the RSSAC finalizes a document, the RSSAC Chairs may send the document to ICANN legal staff for review. The work party leader reviews any suggested edits that may be received from ICANN legal staff and with the RSSAC to determine the appropriate disposition.

3.1.5. Previewing Recommendations

Any work party leader or any RSSAC or RSSAC Caucus member may recommend previewing proposed recommendations to affected parties. The following are guidelines for sending the final work product to the affected parties prior to publication:

1. The work party leader determines which parties could be affected by the findings and recommendations in the final work product;

2. The work party leader alerts the RSSAC Chair concerning which parties could be affected;

3. The RSSAC Chair sends a message with the final work product to a point of contact in the affected parties to alert them to the fact that the RSSAC will shortly publish the final work product and requests a response in two weeks;

4. The RSSAC Chair also may decide that it is beneficial to post the final work product for a period of public comment to solicit input;

5. The work party leader addresses any questions or concerns from the affected parties and consults with them to determine whether these require changes to the final work product; and

6. If the RSSAC determines that the questions or concerns of the affected parties may require changes to the final work product, the work party leader incorporates the changes, with assistance from the support staff as appropriate.

3.2. Publication and Community Outreach

The support staff is responsible for the production of all RSSAC publications. This is to ensure that the publication has followed the RSSAC process (i.e. it has been reviewed by the RSSAC and is appropriately archived) and is consistent with the quality of publications produced by the RSSAC. All work products are assigned a number when the RSSAC consensus has been reached and the RSSAC agrees to publish the work product.

After a final work product has been approved by the RSSAC, the support staff will prepare the document for publication according to Publication Organization (Section 3.4). As determined by the RSSAC, the prepared document is then shared with the ICANN Board of Directors for a courtesy 48-hour preview period via the Outgoing RSSAC Liaison to the ICANN Board of Directors. After the courtesy 48-hour preview period, the support staff publishes the document to the RSSAC website.

3.3. Tracking, Review, and Follow-Up

A goal of the RSSAC is to ensure that its work products result in specific actions whenever possible. In order to measure progress towards this goal, the RSSAC will track any effects of each recommendation. Tracking may include a determination of a metric or series of metrics and may include a survey at the end of each work product. The RSSAC will periodically report progress towards its goals, and the support staff shall track any specific outcomes that are identified. The RSSAC also may organize public sessions to present and discuss the document. These may be coordinated with ICANN meetings or as teleconferences or webinars with the ICANN community.

3.4. Publication Organization

When an RSSAC document is final and made public it becomes an RSSAC publication. All RSSAC publications have a title, a date of publication, a number, a version, and a type. All RSSAC publications are made publicly available via links on the RSSAC website.

3.4.1. Title

RSSAC publications must have a title.

3.4.2. Date

RSSAC publications receive a date at the time of publication. The date of an RSSAC publication is the first date the publication is sent to a party other than the RSSAC. The publication date must be visible on the first page of the publication.

3.4.3. Number and Version

RSSAC publications have a number and version with the scheme of **RSSAC<u>NNN</u>[v<u>V</u>]:**, where <u>NNN</u> is a 3-digit whole number whose first value is 000. <u>NNN</u> is the RSSAC publication number and assigned at publication time with the next available 3-digit whole number.

v<u>V</u> represents the version. The lowercase **v** is a literal character, while the uppercase <u>V</u> is an incrementing whole number starting at 1. <u>V</u> increments for each new publication with the same <u>NNN</u>. **v<u>V</u>** is optional if the publication is the first version of a document. Any publication without **v<u>V</u>** has an implicit version number of 1. If the publication is an updated version of an already existing publication **v<u>V</u>** must be present.

3.4.4. Publication Types

RSSAC publications generally fall into one of the following four types.

3.4.4.1. Advisory

Advisories provide recommendations to parties other than RSSAC. If a document is focused on providing recommendations to some party other than RSSAC it should usually be an advisory. Advisories are typically longer and provide more information than comments.

3.4.4.2. Comment/Statement

Comments, also called statements, are short documents focused on a single topic. Their publication may be in response to a request sent to RSSAC or to document important facts about the Root Server System.

3.4.4.3. Procedures

Procedures document procedures of the RSSAC and its operations. Their intent is to capture agreed upon rules of order and processes necessary for RSSAC's functioning. They can vary in length from long to short.

3.4.4.4. Report

Reports provide information about a prior or ongoing event. Their purpose may be to inform on an event that was private to RSSAC members, or a publicly known event. Reports are typically longer and provide more information than comments.

3.5. RSSAC Documentation

The RSSAC maintains web pages, meeting minutes, and other documentation on the RSSAC web page. These are not considered RSSAC Publications for the purposes of Section 3 and have no formal status. The location of this documentation and how it is to be shared with the community is at the sole discretion of the RSSAC.