

# RSSAC000v4 | RSSAC Operational Procedures

# 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.

# Table of Contents

- 1. The RSSAC ..... 5**
- 1.1. Purpose of this Document ..... 6**
- 1.2. Structure ..... 6**
- 1.2.1. RSSAC ..... 6
- 1.2.2. RSSAC Chair ..... 6
- 1.2.3. RSSAC Vice Chair ..... 7
- 1.2.4. RSSAC Chair and RSSAC Vice Chair Election Procedure ..... 7
- 1.2.5. Primary Representatives ..... 8
- 1.2.5.1. Appointment and Participation ..... 8
- 1.2.5.2. Removal and Replacement ..... 8
- 1.2.6. Alternate Representatives ..... 8
- 1.2.6.1. Appointment and Participation ..... 9
- 1.2.6.2. Removal and Participation ..... 9
- 1.2.7. Root Zone Management Partner Representatives ..... 9
- 1.2.7.1. IANA Functions Operator ..... 9
- 1.2.7.2. Root Zone Maintainer ..... 9
- 1.2.7.3. Appointment and Participation ..... 10
- 1.2.7.4. Removal and Replacement ..... 10
- 1.2.8. Liaisons ..... 10
- 1.2.8.1. Participation ..... 10
- 1.2.8.2. Removal and Replacement ..... 10
- 1.2.8.3. Incoming IAB Liaison to the RSSAC ..... 11
- 1.2.8.4. Incoming ICANN SSAC Liaison to the RSSAC ..... 11
- 1.2.8.5. Outgoing RSSAC Liaison to the ICANN Board of Directors ..... 11
- 1.2.8.6. Outgoing RSSAC Liaison to the ICANN Nominating Committee ..... 12
- 1.2.8.7. Outgoing RSSAC Liaison to the ICANN CSC ..... 12
- 1.2.8.8. Outgoing RSSAC Liaison to the ICANN RZERC ..... 12
- 1.2.8.9. Outgoing RSSAC Liaison Election Procedure ..... 13
- 1.2.8.10. Liaison Review Process ..... 13
- 1.2.8.11. New Liaison Roles ..... 14
- 1.2.9. Support Staff ..... 14
- 1.3. Consensus ..... 14**
- 1.4. Quorum and Voting ..... 14**
- 1.4.1. Electronic Voting Procedure ..... 15
- 1.5. Access to Proprietary Information ..... 15**
- 1.6. Meetings ..... 15**
- 1.6.1. Regular Meetings ..... 15
- 1.6.2. Emergency Meetings ..... 16
- 1.6.3. Public Meetings ..... 16
- 1.6.4. Call for Meetings ..... 16
- 1.7. Minutes ..... 17**

<b>2. The RSSAC Caucus</b> .....	<b>17</b>
<b>2.1. Purpose</b> .....	<b>17</b>
<b>2.2. Principles</b> .....	<b>18</b>
<b>2.3. RSSAC Caucus Membership Committee</b> .....	<b>18</b>
2.3.1. Purpose .....	18
2.3.2. Composition and Terms .....	18
2.3.3. Chair .....	19
2.3.4. Meetings.....	19
2.3.5. Duties .....	19
2.3.6. Resources .....	19
<b>2.4. RSSAC Caucus Management</b> .....	<b>19</b>
2.4.1. Applicant Selection and Rejection .....	19
2.4.2. RSSAC Caucus Member Review and Removal .....	21
2.4.3. Departing RSSAC Caucus Members .....	21
<b>2.5. RSSAC and RSSAC Caucus Work Procedures</b> .....	<b>21</b>
2.5.1. Proposing a Work Item .....	21
<b>2.6. RSSAC and RSSAC Caucus Work Parties</b> .....	<b>22</b>
2.6.1. Confidentiality .....	22
2.6.2. RSSAC Caucus Work Party Shepherds .....	22
2.6.3. Work Party Leaders.....	23
2.6.4. Contributors.....	23
2.6.5. Reviewers.....	23
2.6.6. Observers.....	23
<b>3. RSSAC Publication Procedures</b> .....	<b>23</b>
<b>3.1. Reviewing and Updating Drafts</b> .....	<b>24</b>
3.1.1. RSSAC Work Products .....	24
3.1.2. RSSAC Caucus Work Products .....	24
3.1.3. RSSAC Work Products with Input from the RSSAC Caucus .....	25
3.1.4. Review by ICANN Legal Staff .....	26
3.1.5. Previewing Recommendations .....	27
<b>3.2. Publication and Community Outreach</b> .....	<b>27</b>
<b>3.3. Tracking, Review, and Follow-Up</b> .....	<b>28</b>
<b>3.4. Publication Organization</b> .....	<b>28</b>
3.4.1. Title .....	28
3.4.2. Date.....	28
3.4.3. Number and Version .....	28
3.4.4. Publication Types.....	29
3.4.4.1. Advisory .....	29
3.4.4.2. Comment/Statement .....	29
3.4.4.3. Procedures.....	29
3.4.4.4. Report.....	29

# 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 XI, Section 2. 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. Article XI of the ICANN Bylaws establishes the Charter of the RSSAC, but 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 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.
- Nonvoting representatives appointed by the root zone management partners and confirmed by the ICANN Board of Directors.
- Nonvoting liaisons appointed by the RSSAC or 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. Members will indicate their selection. A simple majority (half plus one) of the voting members will establish the new RSSAC Chair or RSSAC Vice Chair.

In the event a simple majority is not achieved due to having more than two nominees, the nominee with the least number of votes is eliminated and the voting is repeated with the reduced slate of names. The process is repeated until a nominee achieves a simple majority.

In the event of a tie, a runoff election will occur with members indicating their selection. In the event of a second tie, the floor will be opened for discussion followed by a new vote with the simple majority designating the new RSSAC Chair or RSSAC Vice Chair.

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 Representatives**

A root server operator appoints a primary representative to participate in RSSAC meetings. Primary representatives are voting participants of the RSSAC. Primary 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 a primary representative. The RSSAC Chair will then notify the RSSAC via email and instruct the support staff to add the primary 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 primary representative as a member of RSSAC.

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

- Primary representatives will be able to access RSSAC resources (e.g., distribution list, internal website, etc.) and can participate in meetings.
- Primary representatives are invited to all meetings.
- A primary representative may vote in any procedure, official decision, or formal action of the RSSAC unless the authority is designated to the alternate representative.

### **1.2.5.2. Removal and Replacement**

After the replacement of a primary 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 primary representative from the RSSAC distribution list and restrict access to RSSAC resources.

## **1.2.6. Alternate Representatives**

A root server operator may appoint an alternate representative to participate in RSSAC meetings. The authority to appoint an alternate representative is utilized to improve the functionality of the RSSAC meetings by making it easier to establish a quorum, facilitating the ability for each root server operator to maintain continuity and stay current on the business of the RSSAC, and to expand the depth of expertise discussing RSSAC business. Alternate representatives serve at the pleasure of their appointing organization.

### **1.2.6.1. Appointment and Participation**

An executive point of contact from a root server operator will notify the RSSAC Chair via email about the appointment of an alternate representative. The RSSAC Chair will then notify the RSSAC via email and instruct the support staff to add the alternate representative to the RSSAC distribution list.

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

- Alternate representatives will be able to access RSSAC resources (e.g., distribution list, internal website, etc.) and can participate in meetings.
- Alternate representatives are invited to all meetings so that they can keep abreast of RSSAC activities.
- An alternate representative is only authorized to vote in the absence of the primary voting representative they were appointed to support.

### **1.2.6.2. Removal and Participation**

After the replacement of an alternate 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 alternate representative from the RSSAC distribution list and restrict access to RSSAC resources.

## **1.2.7. 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 nonvoting participants in the RSSAC. Root zone management partner representatives serve at the pleasure of their appointing organization.

### **1.2.7.1. IANA Functions Operator**

The IANA Functions Operator may appoint a nonvoting representative to the RSSAC. The authority to appoint a nonvoting 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.

### **1.2.7.2. Root Zone Maintainer**

The Root Zone Maintainer may appoint a nonvoting representative to the RSSAC. The authority to appoint a nonvoting 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.

### **1.2.7.3. 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 nonvoting representative. The RSSAC Chair will then notify the RSSAC via email and instruct the support staff to add the nonvoting 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.

### **1.2.7.4. 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.

## **1.2.8. 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.

### **1.2.8.1. Participation**

The following outlines the process by which the 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.

### **1.2.8.2. 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.

### **1.2.8.3. 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.<sup>1</sup> 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.

### **1.2.8.4. 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.

### **1.2.8.5. 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.<sup>2</sup> 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 community. A specific list of responsibilities will be maintained on the RSSAC website.

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<sup>1</sup> See IAB Liaison to the RSSAC <https://www.icann.org/en/system/files/files/iab-liaison-rssac-16feb15-en.pdf>

<sup>2</sup> See ICANN bylaws 7.9(a)(ii), <https://www.icann.org/resources/pages/governance/bylaws-en/>

### **1.2.8.6. Outgoing RSSAC Liaison to the ICANN Nominating Committee**

The outgoing RSSAC Liaison to the ICANN Nominating Committee is specified in the ICANN Bylaws.<sup>3</sup> 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. 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.

### **1.2.8.7. Outgoing RSSAC Liaison to the ICANN CSC**

The outgoing RSSAC Liaison to the ICANN Customer Standing Committee is specified in the ICANN Bylaws.<sup>4</sup> 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. 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 Caucus.

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.

### **1.2.8.8. 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.<sup>5</sup> The term for the outgoing RSSAC Liaison to the Root Zone Evolution Review Committee shall be two years. A person may only serve for two consecutive terms. The eligibility status for a previous liaison is reset one

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<sup>3</sup> See ICANN bylaws 8.2(c), <https://www.icann.org/resources/pages/governance/bylaws-en/>

<sup>4</sup> See ICANN bylaws 17.2(c), <https://www.icann.org/resources/pages/governance/bylaws-en/>

<sup>5</sup> See Root Zone Evolution Review Committee Charter, <https://www.icann.org/en/system/files/files/revised-rzerc-charter-08aug16-en.pdf>

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 Caucus.

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.

#### **1.2.8.9. Outgoing RSSAC Liaison Election Procedure**

One month prior to each election, qualified nominees 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.

In the event that only one candidate is standing for election, the RSSAC may elect the new outgoing liaison by acclamation.

In the event that two or more candidates are standing for election, the RSSAC Chair will call for a vote. Members will indicate their selection. A simple majority (half plus one) of the voting members will establish the new liaison.

In the event a simple majority is not achieved due to having more than two nominees, the nominee with the least number of votes is eliminated and the voting is repeated with the reduced slate of names. The process is repeated until a nominee achieves a simple majority.

In the event of a tie, a runoff election will occur with members indicating their selection. In the event of a second tie, the floor will be opened for discussion followed by a new vote with the simple majority designating the new liaison.

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.

#### **1.2.8.10. 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.

### **1.2.8.11. 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 may be established from time to time through mutual agreements between the RSSAC and the reciprocal body. All aforementioned processes and provisions shall apply. All liaison appointments should be documented. However, the RSSAC Caucus Membership Committee may recommend appointees for new outgoing liaison roles until the operational procedures are updated accordingly.

## **1.2.9. 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 simple 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**

Formal action of the RSSAC is taken by vote of the primary representatives. Prior to all procedures, official decisions or formal action, a quorum must be established. A quorum is a simple majority of the RSSAC (half plus one).

The RSSAC adopts Robert's Rules of Order for voting. Voting may be in person or via appropriate supporting technology as approved by the RSSAC. All RSSAC votes are conducted via open ballot except for appointments/elections, which are conducted via closed ballot.

When a quorum is present during a regular or public meeting, a simple majority (half plus one) of the votes cast (ignoring abstentions) is sufficient for the adoption of any motion that is in order. When a quorum is present during an emergency meeting, a supermajority (75%) of the votes cast (ignoring abstentions) is sufficient for the adoption of any motion that is in order.

The RSSAC Chair and RSSAC Vice Chair each have a single vote. If a vote is tied, the motion does not pass.

### **1.4.1. 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.

## **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 public meetings. Regular meetings are closed to the public and are held to conduct the work of the RSSAC. The RSSAC Chair may schedule a public regular meeting at their discretion. Emergency meetings are closed to the public and enable RSSAC to respond to extraordinary circumstances. Public 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 below 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 closed to the public and are held to conduct the work of the RSSAC. Regular meetings are held 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 at least one week before the meeting is scheduled to occur 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. The RSSAC Chair may schedule a public regular meeting at their discretion.

On an as-needed basis, the RSSAC Chair may schedule in-person regular meetings of the RSSAC. The purpose of these in-person regular meetings is to discuss in detail issues before the RSSAC. In-person regular meetings will typically be held at ICANN public meetings or other venues as deemed appropriate.

### **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.

### **1.6.3. Public Meetings**

The RSSAC produces publications in part for the broader Internet community. In support of this mission, the RSSAC holds public 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 may elect 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**

Two weeks prior to a Regular or Public 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 Public Meeting, the support staff will provide all materials necessary for the Regular or Public Meeting 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.

## **2.6. 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 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**

A 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. The work party must resolve confidentiality issues related to the draft work party document before it is shared with the RSSAC Caucus for review. Additionally, a work party member must obtain concurrence from the work party leader before publicly publishing or presenting any work party information regardless of whether or not the work party is in a confidential phase.

### **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 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 $\underline{NNN}$ [ $\underline{vV}$ ]**;, where  **$\underline{NNN}$**  is a 3-digit whole number whose first value is 000.  **$\underline{NNN}$**  is the RSSAC publication number and assigned at publication time with the next available 3-digit whole number.

**$\underline{vV}$**  represents the version. The lowercase  **$\underline{v}$**  is a literal character, while the uppercase  **$\underline{V}$**  is an incrementing whole number starting at 1.  **$\underline{V}$**  increments for each new publication with the same  **$\underline{NNN}$** .  **$\underline{vV}$**  is optional if the publication is the first version of a document. Any publication without  **$\underline{vV}$**  has an implicit version number of 1. If the publication is an updated version of an already existing publication  **$\underline{vV}$**  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.