Questions to be sent to SO/ACs

Preamble
The newly-adopted ICANN bylaws created several Work Stream 2 accountability subgroups. The subgroup on SO/AC Accountability is responsible for reviewing how each SO and AC is accountable to its designated community, and potentially to global Internet stakeholders as well. The background and progress for this group are described <u>here</u>.

The new Bylaws charge our subgroup with reviewing and developing recommendations relating to "Supporting Organization and Advisory Committee accountability, including but not limited to improved processes for accountability, transparency, and participation that are helpful to prevent capture". Moreover, the CCWG-Accountability has recommended that the group "Develop a detailed working plan on enhancing SO and AC accountability taking into consideration the comments made during the public comment period on the Third Draft Proposal."

To that end, we are asking each AC and SO chair to point us to resources and documents used to maintain accountability to your respective designated community, taking into account the particular or specific working modalities of each SO/AC (and any subgroups).

Questions (please respond to all that are applicable to your AC/SO/subgroup)**:**

Designated Community:
What is your interpretation of the designated community for your AC/SO, as defined in the ICANN Bylaws and shown below? For example, do you view your designated community more broadly or narrowly than the Bylaws definition?

The designated community of each AC/SO, as defined in ICANN bylaws:

> ALAC is "the primary organizational home within ICANN for individual internet users"

> ASO is "the entity established by the Memorandum of Understanding [2004] between ICANN and the Number Resource Organization ("NRO"), an organization of the existing RIRs"

> ccNSO is "ccTLD managers that have agreed to be members of ccNSO"

> GAC is "open to all national governments (and Distinct Economies upon invitation)"

> GNSO is "Open to registries, registrars, commercial stakeholders (BC, IPC, ISPCP), and non-commercial stakeholders"

RSSAC "members shall be appointed by the Board" to "advise the ICANN community and Board on matters relating to the operation, administration, security, and integrity of the Internet's Root Server System"

For the purposes of its work as an advisory committee to the ICANN Board and community, the RSSAC is aligned with its designated community as outlined in the ICANN Bylaws. The RSSAC Operational Procedures more specifically define the composition of the RSSAC to include voting primary representatives and alternate representatives from the root server operator organizations, nonvoting representatives of the root zone management partner organizations, and nonvoting liaisons from reciprocating bodies. (RSSAC 000v2, Section 1.2.1)

SSAC members are "appointed by ICANN board" to "advise the ICANN community and Board on matters relating to the security and integrity of the Internet's naming and address allocation systems."

Accountability related policies and procedures:
What are the published policies and procedures by which your AC/SO is accountable to the designated community that you serve? Please include, as applicable:

- Your policies and efforts in outreach to individuals and organizations in your designated community who do not yet participate in your AC/SO.

The restructure of 2013 established the RSSAC Caucus of DNS experts to broaden the base of technical expertise and experience available for RSSAC work. The RSSAC Caucus produces RSSAC documents such as reports and advisories.

The RSSAC Caucus consists of the members of RSSAC as well as individuals who have expressed willingness to work on RSSAC documents. 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 000v2, Section 2.1)

To this end, the RSSAC Caucus Membership Committee has been tasked with conducting outreach efforts in relevant forums (ICANN, IETF, DNS OARC meetings, etc.) to diversify and grow the membership of the RSSAC Caucus. The purpose of the RSSAC Caucus Membership Committee is to ensure that the RSSAC Caucus has a high-functioning and healthy body of technical experts in DNS root name service. The RSSAC Caucus Membership Committee consists of four individuals—both RSSAC and RSSAC Caucus members—and includes one of the RSSAC Co-Chairs as an ex officio member. (RSSAC 000v2, Section 2.4)

- Your policies and procedures to determine whether individuals or organizations are eligible to participate in your meetings, discussions, working groups, elections, and approval of policies and positions.

The membership of the RSSAC is defined in the ICANN Bylaws. RSSAC Operational Procedures further specify which RSSAC members can vote. Voting rights are limited to the appointed primary representatives of each root server operator organization. Each root server operator organization may also appoint an alternate representative to allow for continuity of representation and to fulfill voting obligations when the primary representative is unable to do so. (RSSAC 000v2, Sections 1.2.3 and 1.2.4)

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 Co-Chairs may schedule a public regular meeting at their discretion. Emergency meetings are closed to the public and enable RSSAC to respond to extraordinary circumstances. Regular and emergency meetings are open only to members of the RSSAC and invited guests. Public meetings are used both to present the work of the RSSAC and to engage the broader Internet community. (RSSAC 000v2, Section 1.5)

RSSAC Operational Procedures govern RSSAC activity and work. RSSAC deliberations/discussions take place in person, via teleconference or on a closed mailing list. The RSSAC occasionally forms work parties to carry out organizational work. These work parties are open only to RSSAC members.

The RSSAC Caucus adopts the RSSAC Operational Procedures as its own. RSSAC Caucus deliberations/discussions take place in person, via teleconference or on an open mailing list. The RSSAC Caucus forms work parties to advance advice development. These work parties are open to all RSSAC Caucus members.

- Transparency mechanisms for your AC/SO deliberations, decisions and elections. Please describe not only your disclosure practices, but also any efforts that you make to explain the meaning of released material, so that they are more effectively transparent to a wider range of stakeholders.

The RSSAC produces publications in part for the benefit of and consumption by the broader Internet community. In support of this mission, the RSSAC holds public meetings for two principal purposes: 1) to report to the community on its activities and other significant issues; and 2) 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 interest over a long period. (RSSAC 000v2, Section 1.5.3)

The results of RSSAC votes (publication approvals, policy/position decisions, appointments, elections, etc.) are captured in minutes of each meeting, which are posted to the RSSAC website after the RSSAC approves the draft version for publication. (RSSAC 000v2, Section 1.5.3) The RSSAC shares its minutes with the RSSAC Caucus every month. The RSSAC notifies appropriate groups via its liaisons and/or support staff about any decisions or votes.

The RSSAC provides public briefings on its publications (and updates on its ongoing work) at every ICANN meeting. The RSSAC also briefs the ICANN Board during its joint meetings. Moreover, the RSSAC participates in a tutorial series organized by the Office of the ICANN CTO, presenting on root server operations. The RSSAC welcomes invitations to explain its publications or to conduct joint meetings with other groups.

- Does your AC/SO conduct internal reviews of your accountability related policies and procedures?

The RSSAC reviews its operational procedures annually. The most recent review of this document in late 2015 yielded several clarifying changes which were approved in June 2016.

- Were these policies and procedures reviewed and/or updated over the past decade? If so, could you clarify if they were updated to respond to specific community requests/concerns?

The first review of the RSSAC from 2008/2009 produced several recommendations for improvement. As a result, the RSSAC implemented significant structural changes in 2013, reflected in its Operational Procedures. The RSSAC looks forward to its next review scheduled to begin in May 2017.

Mechanisms for challenging or appealing elections:
- Does your AC/SO have mechanisms by which your members can challenge or appeal decisions and elections? Please include any links where these mechanisms can be consulted.

The RSSAC operates on consensus. Occasionally, RSSAC members abstain from votes. These abstentions are noted in the minutes of RSSAC meetings. However, all votes are recorded with total vote counts except in the case of a vote by acclimation or a vote with no objections.

For RSSAC publications, objections or withdrawals from a document are indicated in the final draft. (RSSAC 000v2, Section 3.1.1.6)

There are two appeals procedures in the RSSAC Caucus. Neither has been exercised since the establishment of the RSSAC Caucus.

The RSSAC may reject an applicant for the RSSAC Caucus. In that case, the RSSAC Caucus Membership Committee will contact the candidates and thank them for their interest in the RSSAC, but indicate that the RSSAC is not recommending their addition to the RSSAC Caucus at this time. On request of the person concerned, the RSSAC explains its decision to refuse to add a person to the RSSAC Caucus. If a candidate appeals the membership decision, the Co-Chairs shall determine how to address the appeal on a case-by-case basis. (RSSAC 000v2, Section 2.5)

The RSSAC Caucus Membership Committee periodically reviews the composition of the RSSAC Caucus and may remove members in consultation with RSSAC. On the request of the person concerned, the RSSAC Caucus Membership Committee explains its decision to remove that person from the RSSAC Caucus. (RSSAC 000v2, Section 2.5)

Any unwritten policies related to accountability:
- Does your AC/SO maintain unwritten policies that are relevant to this exercise? If so, please describe as specifically as you are able.

The RSSAC does not have any unwritten policies related to accountability that would be relevant to this exercise.

Relevant Links:

- RSSAC webpage
- RSSAC Publications webpage (including RSSAC000v2: Operational Procedures)
- RSSAC Meetings webpage
- RSSAC Caucus webpage
- RSSAC Caucus Statements of Interest webpage
- RSSAC Caucus mailing list archive