

SAC101v.2

To support the Board’s discussion and action on SAC101v2, this document provides a summary of the advice items and recommendations for Board consideration.

Advice Item	For Board Consideration
<p>Advice Item 1</p> <p>The advice asks that the Board, org, and community treat it as a priority to oversee the creation and execution of a plan that accomplishes:</p> <p>A. Creation of a domain registration data policy.</p> <p>B. Migration to RDAP.</p> <p>C. Migration to Thick Whois for .COM, .NET, .JOBS.</p> <p>D. Creation of an accredited RDDS access program, with ICANN org ensuring the creation, support of, and oversight of the supporting technical access mechanism.</p>	<p>Accept Advice</p> <p>Accept advice on the basis that a plan to track and report on progress of the activities identified in the advice would benefit the work of the community. The Board should direct the ICANN CEO & President, or his designee, to create a plan that reports on ICANN org’s and the community’s progress toward the four items identified in the advice.</p> <p>In accepting the advice, the Board should note:</p> <p>(1) In relation to the Thick Whois policy, on 14 March 2019, the ICANN Board passed a Resolution to defer contractual compliance enforcement. ICANN Contractual Compliance will defer enforcing the following milestones until the dates listed below:</p> <ul style="list-style-type: none">● By 30 November 2019: The registry operator must begin accepting Thick WHOIS data from registrars for existing registrations in .COM, .NET and .JOBS.● By 31 May 2020: All registrars must send Thick WHOIS data to the registry operator for all new registrations in .COM, .NET and .JOBS.● By 30 November 2020: All registrars are required to complete the transition to Thick WHOIS data for all registrations in .COM, .NET and .JOBS. <p>Additionally, the Board has asked that ICANN org work with the Implementation Review Team for the EPDP policy recommendations to “examine and transparently report on the extent to which the [EPDP</p>

	<p>Phase 1] Recommendations require modification of existing Consensus Policies. Where modification of existing Consensus Policies is required, we call upon the GNSO Council to promptly initiate a PDP to review and recommend required changes to Consensus Policies.”</p> <p>(2) The creation of an “accredited RDDS access program”, is a topic under discussion in the EPDP Phase 2. The ICANN Board cannot dictate outcomes of PDPs. Once the EPDP delivers its final Phase 2 report, the Board will consider policy recommendations.</p>
<p>Advice Item 2</p> <p>The advice asks that ICANN org work with the community to:</p> <p>A. Develop policy with clearly defined uniform purposes for RDDS rate-limiting and corresponding service level agreement requirements.</p> <p>B. Clarify current expectations for the use of rate limiting under existing policy and agreements.</p>	<p>2A. Note the advice and refer it to the GNSO Council on the basis that (1) in the Annex to the Temp Spec, the Board asked that the topic of rate limit be discussed and resolved by the community as quickly as possible; and (2) the topic of rate-limit and corresponding service level agreement requirements are policy topics, which are on the work plan for the EPDP Phase 2.</p> <p>2B. Accept advice and direct the ICANN CEO & President, or his designee, to work with the community to clarify existing contractual obligations relating to rate limits.</p>
<p>Advice Item 3</p> <p>The advice asks that the Board and EPDP ensure that security practitioners and law enforcement authorities have access to domain name contact data, via RDDS, to the full extent allowed by applicable law.</p>	<p>Note the advice and refer to the GNSO Council</p> <p>Refer advice to the GNSO Council on the basis that the topic of access to/disclosure of non-public registration data is being considered by the EPDP in Phase 2.</p>
<p>Advice Item 4</p> <p>The advice states that “initiation of charges for RDS access, or any significant future changes in fees for RDDS access, must include a formal assessment of user impacts and the security and stability impacts, and be conducted as part of a formal Policy Development Process (PDP).”</p>	<p>Note the advice and refer to the GNSO Council</p> <p>Refer the advice to the GNSO Council on the basis that the topic of access to/disclosure of non-public registration data is being considered by the EPDP in Phase 2.</p>

<p>Advice Item 5</p> <p>This advice item reiterates an advice from SAC061: "The ICANN Board should ensure that a formal security risk assessment of the registration data policy be conducted as an input into the Policy Development Process. A separate security risk assessment should also be conducted regarding the implementation of the policy."</p> <p>Further, the advice states that "These assessments should be incorporated in PDP plans at the GNSO."</p>	<p>Note the advice and refer to the GNSO Council</p> <p>Refer the advice to the GNSO Council on the basis that the GNSO is the manager of PDPs and SSAC suggests that the security assessments be incorporated in PDP plans.</p> <p>NOTE FOR BOARD: The security assessments may require external resources to perform, which may incur costs.</p>
<p>Advice Item 6</p> <p>The advice asks that the Board direct ICANN org to ensure that all methods of access to RDDS data provide an equivalent response to the same query.</p>	<p>Note the Advice and pass the Advice through to the GNSO Council</p> <p>Refer the advice to the GNSO Council on the basis that the topic of rate-limiting and corresponding service level agreement requirements are policy topics, which are on the work plan for the EPDP Phase 2.</p>
<p>Advice Item 7</p> <p>The advice asks that the Board direct ICANN Org to ensure that RDDS access is provided in a measurable and enforceable framework, which can be understood by all parties.</p>	<p>Note the Advice and pass the Advice through to the GNSO Council</p> <p>Refer the advice to the GNSO Council on the basis that the topic of rate-limiting and corresponding service level agreement requirements are policy topics, which are on the work plan for the EPDP Phase 2.</p>

Contracting Approval Okta Identity Management (Okta Inc.)

Contracting Approval Okta Identity Management (Okta Inc.)

- In January 2017, a three-year contract was negotiated with Okta Inc. This contract included estimates of number of user logins and annual growth which are higher than actuals. The current contract is set to expire in January 2020.

- In re-evaluating the existing contract, ICANN org reviewed options to keep or replace the Okta solution.
 - ICANN org has concluded that continuing with Okta is best for ICANN, particularly since Okta is the recognized world-leader in their field.

Confidential Negotiation Information



Contracting Approval BFC Due Diligence:

- ⦿ Has the procurement process been respected?
 - Yes. After review of the organization's needs, ICANN has an established a need to renew the access management and single sign-on system with the existing vendor Okta Inc.
- ⦿ Are the costs reasonable?
 - Yes. The costs of the contract renewal are significantly lower than the previous contract based the renegotiation.
- ⦿ Are the costs affordable?
 - The costs for OKTA are included in the FY20 Budget and will be included in subsequent budgets as needed.
- ⦿ See Draft Board Paper attached

BFC Recommendation Contracting Approval

- ICANN org recommends that the BFC consider recommending that the ICANN Board authorize the President and CEO, or his designee(s), to enter into, and make disbursement in furtherance of, the renewal contract as noted below:

Confidential Negotiation Information

Appendix OKTA Contract Financials

Confidential Negotiation Information

Appendix Comparable Analysis

Confidential Negotiation Information

The background of the slide is a dark blue gradient. On the left, there is a faint, dark silhouette of a world map. On the right, a large, intricate graphic of a circuit board or network diagram is shown, with lines and nodes in shades of orange, yellow, and light blue. The text "ICANN STRATEGIC PLAN" is overlaid on the world map.

ICANN STRATEGIC PLAN

[CLICK HERE TO BEGIN](#) ▶

For best results, download this document and view it outside of your browser with Adobe Reader version 9 or higher.

FOR FISCAL YEARS 2021-2025

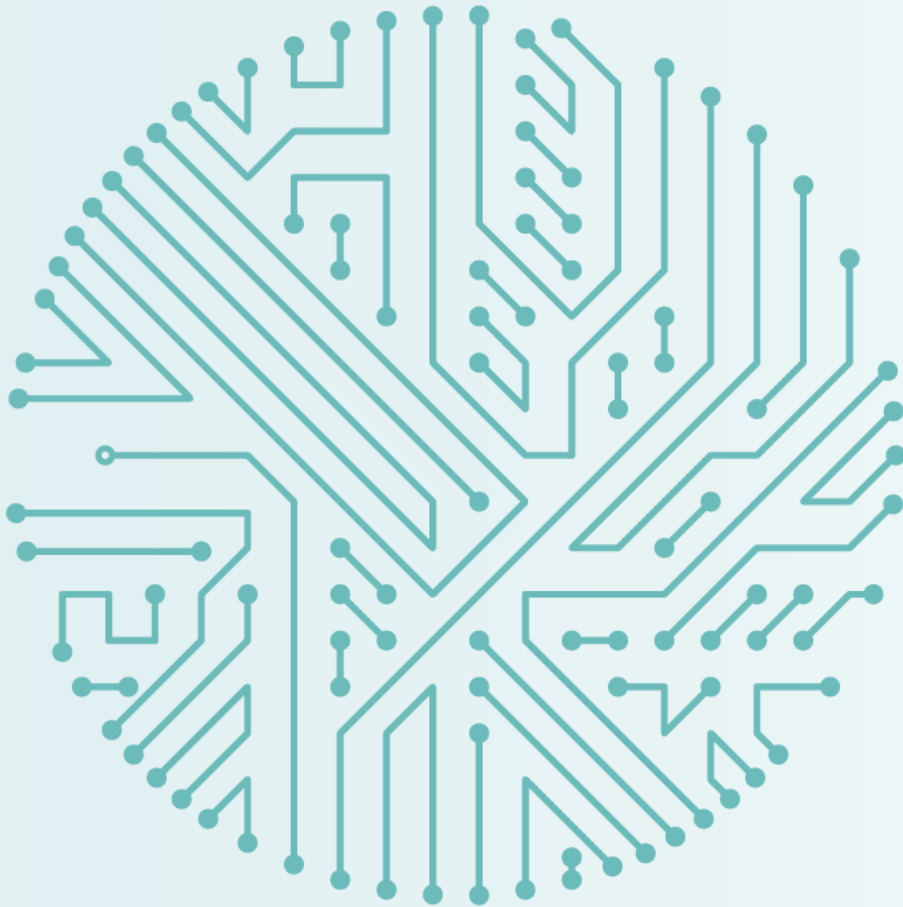


Table of Contents

Introduction	3
Vision	5
Mission	6
Strategic Objectives	8
Security.....	9
ICANN’s Governance	14
Unique Identifier Systems	18
Geopolitics.....	23
Financials.....	26

Introduction

The Internet is a globally shared resource with ever-increasing importance to and influence on society. The Internet Corporation for Assigned Names and Numbers (ICANN¹) acts, within the scope of its mission, in the global public interest as the trusted steward of the Internet's unique identifier systems. The ICANN Strategic Plan for fiscal years 2021 to 2025² builds upon ICANN's mission so that it may continue to effectively fulfill its aims and meet new and continuously evolving challenges and opportunities.

Since ICANN developed its last strategic plan for fiscal years 2016 to 2020, Internet use has grown. More than half of the world's population is now online. Cyberattacks and data breaches have increased in size and frequency. Regulatory and legislative activity related to Internet matters is growing. New technologies are introducing new challenges to the security and stability of the Internet infrastructure.

ICANN is an ecosystem made up of three components: the ICANN community, the ICANN Board of Directors, and the ICANN organization (ICANN org). Significant changes occurred across the ICANN ecosystem over the last five years, including the successful transition of the stewardship of the Internet Assigned Numbers Authority (IANA) functions from the U.S. government to ICANN. Through that process, ICANN cemented its mission and strengthened its governance model, as demonstrated through new bylaws and enhanced community powers.

CONTINUED ➔



¹ The term “ICANN”, throughout this document, refers to the ICANN ecosystem as a whole, that is ICANN Board, community and organization (org), unless otherwise specified.

² ICANN's fiscal years start 1 July and end 30 June.

Introduction (Continued)

ICANN's multistakeholder, bottom-up approach to policy development and strategic planning remains rooted in the continued belief that global representation, transparency, and accountability are critical to fulfilling the shared goal of a single, globally interoperable Internet supported by stable, secure, and resilient unique identifier systems.

To prepare for the development of this plan, ICANN initiated a process to identify internal and external trends that impact ICANN's future, its mission, or operations. The ICANN community, Board, and ICANN org all provided extensive input to this effort. There were significant similarities that naturally converged into five primary trends: security; ICANN's governance; unique identifier systems; geopolitics; and financials.

During the ensuing months, the ICANN Board assessed the impacts of these five primary trends in relation to overarching strategic goals. The result of that work is reflected in this plan in the form of a renewed vision statement, and new strategic objectives and goals for the fiscal period 2021 to 2025. Targeted outcomes and strategic risks determine conditions for success of each goal. ICANN's mission as stated in its **bylaws** remains unchanged.

The new strategic objectives are directly correlated to the five primary trends identified by the ICANN community. They represent areas of challenge and opportunity for ICANN to shape its future successfully.

This strategic plan will be complemented by a fully costed five-year operating plan that will detail how and at what cost ICANN will implement its chosen strategy. It will include details of activities, dependencies, and phasing. Accountability indicators measure progress against ICANN's strategic objectives.

Vision

ICANN's vision is

To be a champion of the single, open, and globally interoperable Internet, by being the independent, trusted, multistakeholder steward of the Internet's unique identifiers, and by providing an open and collaborative environment where diverse stakeholders come together in the global public interest to:

- Secure operational excellence in the stewardship of the IANA functions.
- Continuously improve the unique identifier systems.
- Strengthen the security of the Domain Name System (DNS) and the DNS Root Server System.
- Evolve ICANN's governance model to be increasingly effective, transparent, and accountable.
- Improve the effectiveness and inclusiveness of ICANN's multistakeholder policy development processes.
- Anticipate and manage the impact of legislation and regulation.
- Ensure that ICANN is technically robust and financially sustainable.



Mission

ICANN's mission was refined and incorporated into the bylaws, which were adopted in 2016, following the transition of the oversight of the IANA functions from the U.S. government to ICANN's multistakeholder community. The mission as stated in the bylaws is:

Excerpt from ICANN Bylaws Section 1.1. MISSION

- a. The mission of the Internet Corporation for Assigned Names and Numbers ("ICANN") is to ensure the stable and secure operation of the Internet's unique identifier systems as described in this **Section 1.1(a) (the "Mission")**.

Specifically, ICANN:

- i. Coordinates the allocation and assignment of names in the root zone of the Domain Name System ("DNS") and coordinates the development and implementation of policies concerning the registration of second-level domain names in generic top-level domains ("gTLDs"). In this role, ICANN's scope is to coordinate the development and implementation of policies:
 - For which uniform or coordinated resolution is reasonably necessary to facilitate the openness, interoperability, resilience, security and/or stability of the DNS including, with respect to gTLD registrars and registries, policies in the areas described in Annex G-1 and Annex G-2 (of the Bylaws); and
 - That are developed through a bottom-up consensus-based multistakeholder process and designed to ensure the stable and secure operation of the Internet's unique names systems.

The issues, policies, procedures, and principles addressed in Annex G-1 and Annex G-2 (of the Bylaws) with respect to gTLD registrars and registries shall be deemed to be within ICANN's Mission.

- ii. Facilitates the coordination of the operation and evolution of the DNS root name server system.

- iii. Coordinates the allocation and assignment at the top-most level of Internet Protocol numbers and Autonomous System numbers. In service of its Mission, ICANN (A) provides registration services and open access for global number registries as requested by the Internet Engineering Task Force ("IETF") and the Regional Internet Registries ("RIRs") and (B) facilitates the development of global number registry policies by the affected community and other related tasks as agreed with the RIRs.

CONTINUED ➔



Mission (Continued)

- iv. Collaborates with other bodies as appropriate to provide registries needed for the functioning of the Internet as specified by Internet protocol standards development organizations. In service of its Mission, ICANN's scope is to provide registration services and open access for registries in the public domain requested by Internet protocol development organizations.
- b. ICANN shall not act outside its Mission.
- c. ICANN shall not regulate (i.e., impose rules and restrictions on) services that use the Internet's unique identifiers or the content that such services carry or provide, outside the express scope of **Section 1.1(a)**.
- d. For the avoidance of doubt, ICANN does not hold any governmentally authorized regulatory authority.
 - i. The foregoing prohibitions are not intended to limit ICANN's authority or ability to adopt or implement policies or procedures that take into account the use of domain names as natural-language identifiers;
 - ii. Notwithstanding any provision of the Bylaws to the contrary, the terms and conditions of the documents listed in subsections **(A)** through **(C)** below, and ICANN's performance of its obligations or duties thereunder, may not be challenged by any party in any proceeding against, or process involving, ICANN (including a request for reconsideration or an independent review process pursuant to Article 4) on the basis that such terms and conditions conflict with, or are in violation of, ICANN's Mission or otherwise exceed the scope of ICANN's authority or powers pursuant to these Bylaws ("Bylaws") or ICANN's Articles of Incorporation ("Articles of Incorporation"):
 - A.
 - 1. all registry agreements and registrar accreditation agreements between ICANN and registry operators or registrars in force on 1 October 2016 [1], including, in each case, any terms or conditions therein that are not contained in the underlying form of registry agreement and registrar accreditation agreement;
 - 2. any registry agreement or registrar accreditation agreement not encompassed by **(1)** above to the extent its terms do not vary materially from the form of registry agreement or registrar accreditation agreement that existed on 1 October 2016;
 - B. any renewals of agreements described in subsection **(A)** pursuant to their terms and conditions for renewal; and
 - C. ICANN's Five-Year Strategic Plan and Five-Year Operating Plan existing on 10 March 2016.
 - iii. **Section 1.1(d)(ii)** does not limit the ability of a party to any agreement described therein to challenge any provision of such agreement on any other basis, including the other party's interpretation of the provision, in any proceeding or process involving ICANN.
 - iv. ICANN shall have the ability to negotiate, enter into and enforce agreements, including public interest commitments, with any party in service of its Mission.

Strategic Objectives

Strategic Objectives for Fiscal Years 2021–2025

Taking into account the external impacts on the global growth and evolution of the Internet, the DNS, and other unique identifier systems ICANN helps coordinate, the following five strategic objectives are identified for the fiscal years 2021–2025 to enable ICANN to continue to fulfill its mission and achieve its new vision:



Strengthen the **security** of the Domain Name System and the DNS Root Server System.

[CLICK FOR MORE](#) ➔



Address **geopolitical issues** impacting ICANN's mission to ensure a single and globally interoperable Internet.

[CLICK FOR MORE](#) ➔



Improve the effectiveness of ICANN's multistakeholder model of **governance**.

[CLICK FOR MORE](#) ➔



Ensure ICANN's long-term **financial** sustainability.

[CLICK FOR MORE](#) ➔



Evolve the **unique identifier systems** in coordination and collaboration with relevant parties to continue to serve the needs of the global Internet user base.

[CLICK FOR MORE](#) ➔





SECURITY

STRATEGIC OBJECTIVE: Strengthen the **security** of the Domain Name System and the DNS Root Server System.

The Internet's importance to the world's economic, social, and political systems is growing in conjunction with the expansion of its user base, content, and applications. Internet connectivity continues to increase worldwide, particularly in developing countries. This growth brings with it increased pressures on the infrastructure of the Internet, and thus an increasing need for reliability, stability, and security of the DNS and Internet infrastructure.

Levels of security across the different sectors of the global economy vary widely. Vulnerabilities in systems and processes are numerous. For example, distributed denial-of-service (DDoS) attacks using the DNS and other vulnerabilities like malicious software distribution, phishing, and the coordination of compromised machines into "botnets" compromise various aspects of the Internet's infrastructure.

These growing threats also present opportunity. ICANN will strengthen the coordination of the DNS and DNS Root Server Systems, in partnership with the DNS root server operators, authoritative and resolution server operators, and other DNS stakeholders. ICANN can help improve the awareness of these threats and foster greater diversity of thought to best anticipate and respond to these challenges.

Seizing these opportunities requires action. A coordinated approach is necessary to effectively identify and mitigate DNS security threats and combat DNS abuse. Promoting greater adoption of global open Internet standards and enhancing awareness of security threats among stakeholders are two necessary steps that can be taken to strengthen the security and stability of the Internet's infrastructure. All actors have a collective responsibility to ensure that the DNS remains robust.

To achieve this strategic objective, ICANN seeks to:

Improve the shared responsibility for upholding the security and stability of the DNS by strengthening DNS coordination in partnership with relevant stakeholders.

[CLICK FOR MORE](#) ➔

Strengthen DNS root server operations governance in coordination with the DNS root server operators.

[CLICK FOR MORE](#) ➔

Identify and mitigate security threats to the DNS through greater engagement with relevant hardware, software, and service vendors.

[CLICK FOR MORE](#) ➔

Increase the robustness of the DNS root zone key signing and distribution services and processes.

[CLICK FOR MORE](#) ➔



SECURITY

STRATEGIC GOAL: Improve the shared responsibility for upholding the security and stability of the DNS by strengthening **DNS coordination** in partnership with relevant stakeholders.

Targeted Outcomes

- ICANN, in partnership with relevant stakeholders, establishes and promotes a coordinated approach to effectively identify and mitigate DNS security threats and combat DNS abuse.
- ICANN continues to provide a trusted forum that effectively convenes relevant parties for discussions on the security, stability, evolution, and interoperability of the DNS.
- ICANN maintains a reputation as the source of unbiased, reliable, and factual information on DNS health.

Strategic Risks

- Successful cyberattacks and information warfare undermine trust in the DNS.
- Stronger control over the Internet and cybersecurity by governments changes how security and stability of the DNS can be addressed.



STRATEGIC GOAL: Strengthen DNS root server operations governance in coordination with the DNS root server operators.

Targeted Outcomes

- Working with DNS root server operators and other relevant parties, ICANN continues to enhance the governance and technical evolution of DNS root server operations and services.
- ICANN, in collaboration with DNS root server operators and other relevant parties, develops a coordinated emergency plan to address DNS Root Server System attacks.

Strategic Risks

- Stronger control over the Internet and cybersecurity by governments could influence DNS root server governance structures.
- Creation of alternative DNS root infrastructures could facilitate the creation of alternative DNS root name spaces.
- The lack of an accountable governance structure could impact DNS root service delivery and reduce trust in the root server operators and the DNS more generally.



SECURITY

STRATEGIC GOAL: Identify and mitigate security threats to the DNS through greater **engagement** with relevant hardware, software, and service vendors.

Targeted Outcomes

- The inherent security of the DNS and unique identifiers system measurably increases, due to higher adoption of global open Internet standards and greater awareness of security threats among stakeholders.
- ICANN, in collaboration with relevant hardware, software, and service vendors, enhances knowledge about DNS safety and security.
- Security threats leveraging the DNS measurably decline as a result of encouraging relevant hardware, software, and service vendors to incorporate key security measures.

Strategic Risks

- National or regional regulations cause unintended consequences, which threaten the security and stability of the single, interoperable Internet.
- Inability to mitigate security threats undermines confidence in institutions responsible for the security and stability of the DNS.
- Competing priorities – such as public safety, personal security, privacy, and socioeconomic concerns – raise challenges in mitigating DNS security threats.
- Domain name abuse continues to grow.



SECURITY

STRATEGIC GOAL: Increase the robustness of the **DNS root zone** key signing and distribution services and processes.

Targeted Outcomes

- The reliable, resilient, and interoperable DNS remains the leading trusted platform for the Internet's naming system.
- Increased availability of root zone data enables greater decentralization and distribution of DNS root service.
- The Internet community's trust in ICANN to provide resilient, scalable, and accountable Key Signing Key (KSK) management – as an adjunct to existing public key infrastructures – increases, facilitating improved security technologies and greater use of the DNS.

Strategic Risks

- Successful cyberattacks and information warfare undermine trust in the DNS.
- Failure of the DNS root key signing service would threaten Internet operations.
- Lack of improved root zone distribution service could lead to the overloading of the existing root zone distribution mechanisms.



ICANN'S GOVERNANCE

STRATEGIC OBJECTIVE: Improve the effectiveness of ICANN's multistakeholder model of governance.

As the Internet expands and evolves, ICANN's multistakeholder model of governance faces challenges including: increased community responsibilities leading to stakeholder burnout; pressure to accelerate effective cross-community efforts and policy development; concerns about achieving consensus on increasingly complex issues; and stress on the organization's ability to support a larger, open, and engaged multistakeholder community.

ICANN's unique model of governance will continue to be challenged, and those challenges must be addressed in a timely manner for ICANN to remain relevant and successful. ICANN must make its model stronger and more effective.

Ongoing improvement of the decision-making process benefits from ICANN stakeholders collaborating and engaging in consensus building processes. By enhancing stakeholder participation and helping participation become more active and informed, the workload can be more equitably distributed across

the pool of stakeholders. ICANN also will continue to increase diversity and capacity across all parts of its ecosystem. Stronger decision-making systems and more consistent procedures will help improve the efficacy of ICANN's cross-community efforts.

The transition of the coordination and management of the Internet's unique identifiers to the global Internet community reaffirmed the importance of transparency and accountability for ICANN. The organization will continue to address the opportunities and challenges associated with these requirements, while striving for operational effectiveness and fiscal responsibility.

As ICANN seeks to become more effective, it will also continue to meet its commitments, abide by its core values, and honor its bottom-up, consensus-based decision-making model.

To achieve this strategic objective, ICANN seeks to:

Strengthen ICANN's bottom-up multistakeholder decision-making process and ensure that work gets done and policies are developed in an effective and timely manner.

[CLICK FOR MORE](#) ➔

Support and grow active, informed, and effective stakeholder participation.

[CLICK FOR MORE](#) ➔

Sustain and improve openness, inclusivity, accountability, and transparency.

[CLICK FOR MORE](#) ➔



ICANN'S GOVERNANCE

STRATEGIC GOAL: Strengthen ICANN's bottom-up multistakeholder **decision-making process** and ensure that work gets done and policies are developed in an effective and timely manner.

Targeted Outcomes

- Processes and tools are in place and consistently utilized to reach consensus, resolve impasses, and make timely, informed, and effective decisions that are in the global public interest, take policy advice into account, and ensure consistency with ICANN's mission and bylaws.
- Decision-making processes ensure that input from all stakeholders is considered.
- Improved multistakeholder model processes, such as Policy Development Process (PDP) 3.0 or streamlined Organizational and Specific Reviews, and other evolutions of ICANN's governance and cross-community working methods help produce timely and relevant results.
- ICANN stakeholders collaborate to define prioritization mechanisms, which ensure that cumulative workload is reasonable at any one time, and that ICANN priorities reflect the community's collective needs.

Strategic Risks

- Unclear community and organizational priorities compete for scarce resources.
- The cost to implement ICANN's multistakeholder model becomes unaffordable.
- Polarized positions or agendas that do not represent the collective interest impede progress and waste resources.
- Increased workload for the ICANN community, Board, and org impact the ability to effectively support ongoing work, resulting in community fatigue or stakeholder disengagement.
- Process complexity impedes ICANN's ability to keep pace with the speed of external events that impact its future.
- Perceived or actual delays in decision-making fuel doubts about ICANN's ability to address serious global issues in a timely fashion.



ICANN'S GOVERNANCE

STRATEGIC GOAL: Support and grow active, informed, and effective stakeholder participation.

Targeted Outcomes

- Meaningful stakeholder participation increases, demonstrated by community members effectively engaged in multistakeholder model processes and committed to cooperating toward an agreed-upon global public interest.
- The knowledge and skill levels across the stakeholder community and organization increase, demonstrated by community members and staff equipped with basic knowledge of the DNS as well as ICANN policy and advisory processes.
- The ICANN community establishes mechanisms, such as an accurate measure of community participation, to equitably distribute workload among the pool of stakeholder representatives.

Strategic Risks

- Limited resources could impact the ability for stakeholders to participate, which could compromise the credibility and integrity of the multistakeholder model.
- Polarized positions or agendas that do not represent the collective interest impede progress and waste resources.



ICANN'S GOVERNANCE

STRATEGIC GOAL: Sustain and improve **openness, inclusivity, accountability, and transparency.**

Targeted Outcomes

- Representation across all stakeholders continues to reflect the evolving functional, geographic, and cultural diversity of the Internet.
- ICANN org's geographical presence and international strategy continue to effectively support ICANN's global community.
- Widespread understanding of the ICANN multistakeholder model is established through increased communication with relevant organizations and institutions.
- ICANN Board and org continue enhancing transparency initiatives and upholding accountability.
- ICANN community enhances their transparency practices to increase cross-community accountability and trust.
- Continued efforts of ICANN Board, community, and org facilitate the inclusion and participation of all stakeholders.

Strategic Risks

- Trends toward multilateralism, as well as changing economic, societal, and governmental interests, result in increased pressures on the ICANN multistakeholder model.
- Stakeholder-specific interests preempt Internet policy or governance discussions, impairing the ICANN multistakeholder model.
- Divergence of interests inherent to the multistakeholder model and a perceived lack of global representation fuel doubts about ICANN's effectiveness.



UNIQUE IDENTIFIER SYSTEMS

STRATEGIC OBJECTIVE: Evolve the unique identifier systems in coordination and collaboration with relevant parties to continue to serve the needs of the global Internet user base.

More than half of the world's population uses the Internet. The majority of new Internet users are expected to come from Asia and Africa. The next chapter in the Internet's growth will increasingly impact the global Internet community as it evolves to include more of the world.

With a forecast of exponential growth, the number of Internet-connected devices is increasing at an even greater pace than the user base.

ICANN will continue to play a crucial role in ensuring a single, stable, interoperable infrastructure, including delivering the IANA functions.

Promoting and improving Universal Acceptance and the implementation of Internationalized Domain Names (IDNs) are necessary to reach a more diverse Internet user base.

In addition, embracing the rapid evolution of emerging technologies, business, and security models will allow ICANN to maintain agility as the Internet evolves.

These strategies will ensure that ICANN improves the Internet's unique identifier systems to better serve a broader and more diverse global user base and is able to safeguard an open Internet for all.

To achieve this strategic objective, ICANN seeks to:

Foster competition, consumer choice, and innovation in the Internet space by increasing awareness of, and encouraging readiness for Universal Acceptance, IDN implementation, and IPv6.

[CLICK FOR MORE](#) ♦

Improve assessment of, and responsiveness to, new technologies which impact the security, stability, and resiliency of the Internet's unique identifier systems by greater engagement with relevant parties.

[CLICK FOR MORE](#) ♦

Continue to deliver and enhance the IANA functions with operational excellence.

[CLICK FOR MORE](#) ♦

Support the continued evolution of the Internet's unique identifier systems with a new round of gTLDs that is responsibly funded, managed, risk-evaluated, and consistent with ICANN processes.

[CLICK FOR MORE](#) ♦



UNIQUE IDENTIFIER SYSTEMS

STRATEGIC GOAL: Foster competition, consumer choice, and innovation in the Internet space by increasing awareness and encouraging readiness for **Universal Acceptance, IDN implementation, and IPv6.**

Targeted Outcomes

- ICANN engages in greater cooperation locally, regionally, and globally, with stakeholder groups and different policy and standards development bodies to raise awareness about Universal Acceptance, IDN implementation, and IPv6.
- Universal Acceptance readiness measurably increases.
- IDNs are increasingly adopted and treated in a standard fashion by software vendors.
- New gTLD awareness increases, as measured in surveys of Internet users.
- IPv6 usage measurably increases.

Strategic Risks

- Insufficient readiness for Universal Acceptance, IDN implementation, and IPv6 could result in a failure to serve Internet users' needs.
- Lack of coordination among technical bodies on policy development and standard-setting processes could impact use and adoption of IDNs.



UNIQUE IDENTIFIER SYSTEMS

STRATEGIC GOAL: Improve assessment of and responsiveness to **new technologies** which impact the security, stability, and resiliency of the Internet's unique identifier systems by greater engagement with relevant parties.

Targeted Outcomes

- Enhanced engagement with contracted parties creates more robust industry relationships, dynamic participation, and improved responsiveness to emerging technologies.
- Mechanisms are established with which ICANN assesses new technologies and, when appropriate, embraces them.
- ICANN collaborates with relevant parties and effectively leverages partnerships in the IETF, Regional Internet Registries, and naming communities to develop and integrate new technologies with existing Internet protocol structures, including the DNS.

Strategic Risks

- Failure of the DNS to evolve threatens the single, interoperable Internet, and technical coordination becomes more complex.
- New layers added to a stagnant DNS core technology and the growing viability of alternate DNS roots and alternative infrastructures add more complexity to the Internet ecosystem.
- The complexity of the Internet ecosystem makes technological change difficult.



UNIQUE IDENTIFIER SYSTEMS

STRATEGIC GOAL: Continue to deliver and enhance the **IANA functions** with operational excellence.

Targeted Outcomes

- ICANN org continues to provide reliable delivery and continuous improvement of the IANA functions, consistent with community service level agreements.
- ICANN promotes and supports awareness of the IANA functions, including among stakeholders, to successfully maintain the broad array of Internet unique identifiers and deliver effective DNS root zone operations.
- New stakeholder services are defined, delivered, and effectively supported.

Strategic Risks

- Unsuccessful delivery of the IANA functions undermines ICANN's ability to fulfill its mission.
- Increase in security threats raises concerns about the stability of the DNS root and erodes confidence in its dependability.



UNIQUE IDENTIFIER SYSTEMS

STRATEGIC GOAL: Support the continued evolution of the Internet’s unique identifier systems with a **new round of gTLDs** that is responsibly funded, managed, risk-evaluated, and consistent with ICANN processes.

Targeted Outcomes

- The expansion of the DNS root attracts continued investment and innovation, as indicated by market developments and new registry services.
- Interest and participation in the New gTLD Program measurably increase, as indicated by inquiries and new entrants in the round.
- Consumer confidence in the evolving domain name marketplace remains strong, as measured by increasing domain name registrations and other indicators.
- Good stewardship of the New gTLD Program continues to be demonstrated, as shown by financial reporting, good risk management, and the availability of measures to support sustained operations of new gTLDs in the namespace.

Strategic Risks

- A new gTLD round may not achieve its objectives.
- Technical failures within the domain name space expansion could affect the stability of the unique identifier systems and underlying infrastructure.



STRATEGIC OBJECTIVE: Address geopolitical issues impacting ICANN's mission to ensure a single, globally interoperable Internet.

Geopolitical and technical risks threaten the interoperability of a single Internet. Governmental policies, like so-called cyber sovereignty strategies, already have impacted Internet operations. For example, the trend toward forced data localization policies and regulations surrounding cross-border data flows create challenges for a single, interoperable Internet. Global tensions and protectionism threaten potential alliances in the Internet ecosystem.

Information and communications technologies have increasing impact on global trade and development. As global reliance on the Internet grows, ICANN's role as the single coordinator of the Internet's unique identifier systems is increasingly important.

To ensure its position as the recognized hub for facilitating discussions about the Internet and the DNS among all of its global stakeholders, ICANN will continue

to increase awareness that the Internet ecosystem does not exist in a vacuum. In addition, ICANN will continue to partner with others in the Internet ecosystem and beyond to support initiatives that are relevant to addressing geopolitical issues and maintaining a single, interoperable Internet.

With an established reputation as a central forum to address issues as they relate to the unique identifier systems, ICANN will also consider how best to position itself to respond to emerging regulatory and legislative matters that may impact its mission and the operation of the Internet's unique identifiers. A range of issues could threaten a single, interoperable Internet. For example, different jurisdictions could require changes to ICANN's contracts or technical standards, or override ICANN's processes.

To achieve this strategic objective, ICANN seeks to:

Identify and address global challenges and opportunities within its remit by further developing early warning systems, such as ICANN org's Legislative and Regulatory Development Reports.

[CLICK FOR MORE](#) ➔

Continue to build alliances in the Internet ecosystem and beyond to raise awareness of and engage with global stakeholders about ICANN's mission and policymaking.

[CLICK FOR MORE](#) ➔



GEOPOLITICS

STRATEGIC GOAL: Identify and address global challenges and opportunities within its remit by further developing **early warning systems**, such as ICANN org’s Legislative and Regulatory Development Reports.

Targeted Outcomes

- ICANN org continues to develop and mature systems to detect and monitor legislative initiatives and other governmental or intergovernmental actions or initiatives that could impact ICANN’s mission or operations.
- ICANN org proactively engages with the community to develop common awareness of ICANN’s contribution to early warning systems.
- ICANN has effective processes in place to receive and act on input from the community.
- ICANN effectively convenes and facilitates discussions with relevant parties to help address relevant global challenges and opportunities.

Strategic Risks

- ICANN’s inability to establish itself as a key player in Internet governance results in increased external interventions by nation states or other entities.
- Failure to anticipate legislative efforts force ICANN into a reactive mode.



GEOPOLITICS

STRATEGIC GOAL: Continue to build **alliances** in the Internet ecosystem and beyond to raise awareness of and engage with global stakeholders about ICANN’s mission and policymaking.

Targeted Outcomes

- ICANN fosters successful and mutually beneficial relationships with local, regional, and global partners to ensure knowledge building about ICANN and its mission continues.
- ICANN is engaged, its role acknowledged, and its presence valued in the arenas where topics within its remit are discussed.
- ICANN plays an important role in raising awareness among legislators, regulators, and stakeholders about its mission and the effect of various regulatory and other proposals on the Internet ecosystem

Strategic Risks

- Lack of understanding of ICANN’s remit interferes with ICANN’s ability to participate in relevant arenas.
- Internet infrastructure, security, and government control continue to vary by region or nation.
- Threats to a single, interoperable Internet – such as alternative DNS roots or diminished commonality within networks – fuel doubt in ICANN’s ability to serve a global Internet.

 FINANCIALS

STRATEGIC OBJECTIVE: Ensure ICANN's long-term financial sustainability.

The evolution of the DNS over more than 30 years has resulted in unprecedented growth in the adoption of domain names. In the past, this trend of rapid growth produced the funding necessary to meet the increasing demands on ICANN's services. That trend is now shifting.

Today, the domain name industry is in a phase of consolidation and reduced growth. While funding stabilizes, demands continue to grow, including: demands for support from stakeholders; the increased cost of globalization; and cost of inclusiveness, transparency, and accountability.

The slowing growth will require both discipline and innovation to ensure ICANN has the sustained ability to support the growing needs and demands of its global community.

ICANN will continue to replenish its Reserve Fund, which has been reduced through the strategic investments necessary to successfully execute the transition from the contractual relationship with the U.S. government.

ICANN will also continue to fund necessary investments to address essential technology and security requirements.

There are efficiencies and improvements to be made by strengthening cost management and financial accountability mechanisms, without jeopardizing the efficacy of the multistakeholder model or lowering the quality of ICANN's efforts and achievements.

At the same time, ICANN will increase its understanding of industry changes and market trends. ICANN will also be proactive in its financial planning model to improve responsiveness to changing industry dynamics.

To achieve this strategic objective, ICANN seeks to:

Implement a five-year Financial Plan that supports the five-year Operating Plan.

[CLICK FOR MORE](#) ➔

Develop reliable and predictable funding projections.

[CLICK FOR MORE](#) ➔

Manage operations and their costs to optimize the effectiveness and efficiency of ICANN's activities.

[CLICK FOR MORE](#) ➔

Ensure that the level of ICANN reserves is continuously set, reached, and maintained consistent with the complexity and risks of the ICANN environment.

[CLICK FOR MORE](#) ➔



FINANCIALS

STRATEGIC GOAL: Implement a **five-year Financial Plan** that supports the five-year Operating Plan.

Targeted Outcomes

- ICANN Strategic Plan is supported by a five-year Operating and Financial Plan. All plans are updated as and when necessary to take into account relevant changes in ICANN's environment.
- Evolution to five-year rolling financial planning allows ICANN to appropriately address changes that impact ICANN's budget, operating and financial plan, or strategic plan.
- ICANN has processes and tools in place to effectively prioritize and periodically reprioritize its work.
- Community's engagement in prioritization and decisions about affordability measurably increases.
- Funding, expenses, and reserves are addressed in each plan in a manner consistent with policies, Board decisions, strict financial responsibility, and conservatism.

Strategic Risks

- ICANN is unable to adjust to changes in the domain name marketplace that impact funding, and becomes unable to fulfill its mission.
- Inefficient financial planning results in an inability to address essential requirements of ICANN's mission.



FINANCIALS

STRATEGIC GOAL: Develop reliable and predictable funding projections.

Targeted Outcomes

- ICANN has reliable and predictable five-year funding projections, based on a sound understanding of the evolution in the domain name marketplace and realistic assumptions.
- ICANN utilizes data about the directions and trends in the market to effectively guide the organization.

Strategic Risks

- The DNS industry evolves in a manner or at a speed that makes it difficult for ICANN to make reliable predictions about the future of the marketplace.
- The relevance and reliability of ICANN org's funding projections could be affected by a lack of understanding about the evolution of the DNS and how it may impact the perceived or actual value of domain names to the public, therefore impacting the domain name registrations.



FINANCIALS

STRATEGIC GOAL: Manage operations and their costs to optimize the effectiveness and efficiency of ICANN’s activities.

Targeted Outcomes

- ICANN prioritizes its activities to deliver its mission in the global public interest in the most cost-effective way.
- ICANN has processes and tools in place to effectively manage and control costs.
- Financial accountability and responsibility guide how decisions are made prior to committing ICANN’s resources; and how expenses are managed once approved, to not exceed those commitments.
- Key cost drivers are clearly defined and understood.

Strategic Risks

- Lack of alignment or consensus on priorities and goals among ICANN stakeholders results in conflicts about resource allocation.
- Expenditures grow faster than funding, eroding ICANN’s reserves.



FINANCIALS

STRATEGIC GOAL: Ensure that the level of ICANN **reserves** is continuously set, reached, and maintained consistent with the complexity and risks of the ICANN environment.

Targeted Outcomes

- Replenishment strategy for ICANN's Reserve Fund is adhered to and implemented successfully.
- Risk assessments are periodically reviewed to determine the adequacy of ICANN's Reserve Fund level to address potential mitigation needs.

Strategic Risks

- Expenditures grow faster than funding, eroding ICANN's reserves.



ONE WORLD, ONE INTERNET

CONNECT WITH US



Visit us at icann.org



[flickr.com/icann](https://www.flickr.com/photos/icann/)



[@icann](https://twitter.com/icann)



[linkedin/company/icann](https://www.linkedin.com/company/icann/)



[facebook.com/icannorg](https://www.facebook.com/icannorg)



[soundcloud/icann](https://www.soundcloud.com/icann)



[youtube.com/icannnews](https://www.youtube.com/channel/UCicannnews)



[instagram.com/icannorg](https://www.instagram.com/icannorg)

ccTLD Delegation/Transfer for Board Review
Sensitive Delegation Information

**Report on the Transfer of the .BJ (Benin) top-level domain to
Autorité de Régulation des Communications Electroniques
et de la Poste du Bénin (ARCEP BENIN)**

7 June 2019

Sensitive Delegation Information

Sensitive Delegation Information

Sensitive Delegation Information

Sensitive Delegation Information

Sensitive Delegation Information

Operating Standards

For Specific Reviews

Adopted by the ICANN Board on 23 June 2019

The Operating Standards were drafted by ICANN organization through community consultation. More information on the drafting process and community input can be found at <https://community.icann.org/x/OpRIAw>.



TABLE OF CONTENTS

1 INTRODUCTION	3
1.1 Background	3
1.2 Values	3
1.3 Overview of ICANN's Four Specific Reviews	3
2 PLANNING PHASE	4
2.1 Review Initiation	4
2.2 Review Team	4
2.3 Call for Volunteers	4
2.4 Eligibility Criteria for Review Candidates	6
2.5 Review Team Selection Process	7
2.6 Announcement of the Review Team	10
3 CONDUCTING THE REVIEW	10
3.1 Administrative Issues	10
3.2 Terms of Reference, Scope, and Work Plan	15
3.3 Resignation of Review Team Members	17
3.4 Removal of Inactive or Disruptive Review Team Member	17
3.5 Replacement of Resigned or Removed Review Team Members	18
3.6 Reporting	18
3.7 Monitoring Review Progress	18
3.8 Budget Management	19
3.9 Travel Support	20
3.10 Independent Experts	20
3.10.1 Procurement of Independent Experts	21
3.11 Decision-Making Procedure	22
3.12 Confidential Disclosure Framework	24
3.13 Modifications to the Scope of Work While the Review is Underway	25
3.14 Role of Observers	25
4 REVIEW OUTPUT AND BOARD CONSIDERATION	26
4.1 Recommendations	26
4.2 Draft Report	27
4.3 Minority Dissents	28
4.4 Submission of Final Report and Public Comment	28
4.5 Implementation Shepherd	29
4.6 Board Consideration and Implementation	29
5 DISPUTE RESOLUTION	30
5.1 Safety Clause for Terminating a Review Team in case of Failure	31
6 AMENDING THE OPERATING STANDARDS	32

1 Introduction

1.1 Background

Specific Reviews (hereafter: “Reviews”) are an integral part of ICANN’s accountability measures that derive from Article 4, [Section 4.6](#) of ICANN’s Bylaws (hereafter: “Bylaws”). These Reviews are conducted by the ICANN community (hereafter: “community”), supported by the ICANN organization, and overseen by the ICANN Board (hereafter: “Board”). Such Reviews adhere to the standards and criteria documented in these ICANN Operating Standards for Specific Reviews (hereafter: “Operating Standards”). The Operating Standards ensure that Reviews are conducted in a transparent, consistent, efficient, and predictable manner, while supporting the community’s work to derive the expected benefit and value from review processes.

To assure that Reviews are conducted productively, they shall adhere to the following principles:

- Efficiency: make prudent use of volunteer time and ICANN resources, including budget and staff time.
- Effectiveness: result in recommendations that are specific, measurable, attainable, realistic, and time-aware.
- Timeliness: establish and adhere to meaningful time boundaries for all review activities.

1.2 Values

Reviews are one of ICANN’s means for continuous improvement. They are conducted in accordance with the Bylaws and provide the means for an effective, transparent, and accountable assessment of how well ICANN is meeting its goals and is accomplishing its mission.

1.3 Overview of ICANN’s Four Specific Reviews

As of 1 October 2016,¹ four Reviews are part of the [ICANN Bylaws](#):

- Accountability and Transparency: A review of ICANN’s execution of its commitment to maintain and improve robust mechanisms for public input, accountability, and transparency so as to ensure that the outcomes of its decision-making reflect the public interest and are accountable to the Internet community ([Section 4.6\(b\)](#) of the Bylaws).
- Security, Stability, and Resiliency: A review of ICANN’s execution of its commitment to enhance the operational stability, reliability, resiliency, security, and global interoperability of the systems and processes, both internal and external, that directly affect and/or are affected by the Internet’s system of unique identifiers that ICANN coordinates ([Section 4.6\(c\)](#) of the Bylaws).

¹ Prior to 1 October 2016, ICANN committed to perform four types of Reviews under Section 9 of the Affirmation of Commitments (AoC) it held with the U.S. government, see <https://www.icann.org/resources/pages/affirmation-of-commitments-2009-09-30-en>.

-
- Competition, Consumer Trust, and Consumer Choice: Examine (a) the extent to which the expansion of generic top-level domains (gTLDs) has promoted competition, consumer trust, and consumer choice; and (b) the effectiveness of the New gTLD Round's application and evaluation process and safeguards put in place to mitigate issues arising from the New gTLD Round ([Section 4.6\(d\)](#) of the Bylaws).
 - Registration Directory Service: Assess the effectiveness of the then current gTLD registry directory service and whether its implementation meets the legitimate needs of law enforcement, promoting consumer trust and safeguarding registrant data ([Section 4.6\(e\)](#) of the Bylaws).

According to the Bylaws, these Specific Reviews shall be each carried out in five-year intervals, except for the Competition, Consumer Trust, and Consumer Choice (CCT) Review which is to take place after a New gTLD Round has been in operation for one year, measured from the convening of the previous review team, and conducted by a community-selected review team “balanced for diversity and skill.”²

2 Planning Phase

2.1 Review Initiation

The Board initiates the Review within the timeframes set out in the Bylaws for each Review, with a resolution containing at a minimum:

- Direction to the ICANN organization to issue a call for volunteers for review team membership.
- Commitment to appoint a Board Director or Liaison as the Board Designee of the review team.
- Instruction to the review team, once formed, to produce the terms of reference including the review scope³ and a work plan,⁴ including a timeline.

2.2 Review Team

Each review is conducted by a volunteer review team. The members shall be qualified to conduct the respective review and willing to commit the necessary time and work effort as referenced in the call for volunteers and as detailed in these Operating Standards.

2.3 Call for Volunteers

As directed by the Board, the ICANN organization shall issue and run a call for volunteers for each review team. In this context, the ICANN organization will be responsible for:

Sharing a draft of the call for volunteers with the Chairs of the Supporting Organizations (SO) and Advisory Committees (AC) to solicit SO/AC input. The SO/ACs, via their Chairs

² ICANN Bylaws, Article IV, [Section 4.6\(a\)\(i\)](#); <https://www.icann.org/resources/pages/governance/bylaws-en>.

³ Details on requirements for the terms of reference can be found in Section 3.12.

⁴ Details on requirements for the work plan can be found in Section 3.13.

or any other means of their choice,⁵ shall provide the input within 6 weeks.

- Assuring timely publication of the call for volunteers.
- Determining the need to extend the call, in case of an insufficient number of diverse or skilled applicants. A rationale for an extension of the call for volunteers shall be communicated to the SO/AC Chairs to obtain their approval for the extension. ICANN organization shall duly consider any responses it receives from the SO/AC Chairs regarding the proposed extension of the deadline.
- Assuring that each applicant indicates the SO or AC from which they seek nomination and encourage applicants to familiarize themselves with the work and leadership of that SO/AC.

The call for volunteers shall include a form for applicants that contains fields for:

- Candidates to indicate from which SO/AC they seek nomination, and request for consent to share the candidate's information contained in the application with the SO/AC (mandatory).
- Prompting candidates to indicate whether they consider themselves a member of that SO/AC and, if not, why they seek nomination from that SO/AC.
- Asking candidates whether they would like to be considered by any other SO/AC for nomination to the review team and, if so, why; as well as the requirement that they then agree to share their application information with that SO/AC. Candidates may select multiple, or all, SO/ACs in this field.
- Candidates acknowledge that they agree to be selected by any of the SO/ACs
- Candidates consent that SO/AC may reach out to them for voice interviews by telephone, video call, VoIP calls, or any other mean deemed appropriate by the SO/ACs and the respective candidate.
- Candidates to indicate consent for the SO/AC from which candidates seek nomination to contact the candidate to seek additional information related to the nomination.
- Candidates to provide an email address for the SO/ACs to contact the candidate.
- Soliciting information from applicants regarding their skill set and experience, relevant to the review.
- Candidates to consent to their application and all contained information to be shared with the SO/ACs.
- Candidates to consent to their name, affiliation, and links to their filled-in application form - other than certain private information - to be posted publicly.

The call for volunteers shall also contain:

- Explanation that review teams will make every effort to conduct their work remotely, face-to-face meetings, potentially before and during ICANN meetings, and also at other times/locations suitable to the review team will occur, including a clarification that travel, lodging, and per diems will covered by the review budget.
- Wording to inform candidates that they may be asked to execute a nondisclosure agreement in order to obtain access to certain review materials.

⁵ The Review Team will share the draft with the SO/AC Chairs, the means of providing input is left to the applicable internal procedures of the SO/ACs.

-
- Statement of Interest (SOI) and Conflict of Interest (COI) forms to be completed and signed by every candidate.
 - Indication of the time commitment expected from review team members.

The call for volunteers shall remain open for no less than ten and no more than fourteen weeks.

Once the call for volunteers is closed, the ICANN organization will share with each SO/AC Chair the information of all applicants who have sought their respective nomination and post relevant information publicly. Personal information of applicants, such as email addresses, dates of birth, and phone numbers will not be made public.

2.4 Eligibility Criteria for Review Candidates

The ICANN organization shall publish a list of the skill set that each candidate should have in the initial call for volunteers, consistent with the requirements detailed in these Operating Standards. This desired skill set shall be shared with the SO/ACs to inform their nomination process, as well as the SO/AC Chairs to inform their selection process.

Criteria should be consistent with each Review's scope and criteria may be adapted to fit each of the Reviews. However, some general skills and attributes should form part of the required skill set for all Reviews. These include but are not limited to:

- Familiarity with ICANN's multistakeholder model.
- Team spirit, adaptability, consensus-seeking attitude.
- Willingness to learn.
- Readiness and time to contribute.
- Capacity to reason objectively, ability to put aside personal opinions or preconceptions.
- Analytical skills.
- No apparent conflicts of interest that may impact the review work.
- Capacity to draw fact-based conclusions and provide feasible recommendations.
- Leadership and group management skills.

In addition, each Review may also require skill sets relevant to its specific subject area, including but not limited to:

2.4.1 Skill set relevant to Accountability and Transparency (ATRT) Review may include:

- Knowledge of performance assessment and audits.
- Expertise in good governance and board performance.
- Understanding of performance measurement.
- Knowledge of process improvement.
- Knowledge of recognized frameworks for organizational excellence.
- Understanding of principles of accountability applicable to organizations broadly similar to ICANN.

2.4.2 Skill set relevant to the Security, Stability, and Resiliency (SSR)

Review may include:

- Knowledge of Internet unique identifiers, including Domain Name System (DNS), Internet Protocol (IP) numbering, Autonomous System (AS) numbers, and protocol parameters.
- Knowledge of unique identifier abuse.
- Understanding of registry and registration security and abuse.
- Understanding of operation of the DNS root name system.
- Understanding of malware and abuse vectors and mitigations.
- Knowledge of risk assessment and management.
- Understanding of corporate data security and/or business systems.
- Understanding of incident response.

2.4.3 Skill set relevant to Competition, Consumer Trust, and Consumer Choice (CCT) Review:

- Knowledge of ICANN and its working practices and culture, including the New gTLD Program.
- Expertise in consumer protection matters.
- Understanding of the New gTLD application processes and protection mechanisms.
- Expertise in or knowledge of mitigating DNS and potential security threats.
- Experience in evaluating competition and market forces in the gTLD space or in other industries.
- Expertise in quantitative analysis and information systems.
- Expertise in or knowledge of intellectual property rights protection.
- Knowledge of competition, consumer trust, and consumer choice in the domain name or other marketplaces.

2.4.4 Skill set relevant to Registration Directory Service (RDS) Review may include:

- Familiarity with operation of the DNS.
- Familiarity with WHOIS registrant data collection, compliance, directory service (RDDS) management.
- Familiarity with translation and transliteration of WHOIS contact information.
- Familiarity with ICANN procedure for handling WHOIS conflicts with privacy law.
- Familiarity with malware and abuse vectors and mitigations, including cybercrime.
- Familiarity with WHOIS data retention waiver process.

The SO/AC Chairs may provide additional skills during the consultation process on the draft call for volunteers (see 2.3 above).

2.5 Review Team Selection Process

As per the Bylaws, “[r]eview teams will be established for each applicable review, which will include both a limited number of members and an open number of observers. The chairs of the

Supporting Organizations and Advisory Committees participating in the applicable review shall select a group of up to 21 review team members from among the prospective members nominated by the Supporting Organizations and Advisory Committees, balanced for diversity⁶ and skill. In addition, the Board may designate one Director or Liaison to serve as a member of the review team.”⁷

In addition, the Bylaws state that the selection process must “be aligned with the following guidelines: Each Supporting Organization and Advisory Committee participating in the applicable review may nominate up to seven prospective members for the review team; any Supporting Organization or Advisory Committee nominating at least one, two, or three prospective review team members shall be entitled to have those one, two, or three nominees selected as members to the review team, so long as the nominees meet any applicable criteria for service on the team; and if any Supporting Organization or Advisory Committee has not nominated at least three prospective review team members, the Chairs of the Supporting Organizations and Advisory Committees shall be responsible for the determination of whether all 21 SO/AC member seats shall be filled and, if so, how the seats should be allocated from among those nominated.”⁸

Therefore, the selection process is a two-step procedure: first, SO/ACs must each provide a list of up to seven nominated candidates to the SO/AC Chairs. Second, the SO/AC Chairs will select the final review team from said list of SO/AC nominees.

2.5.1 SO/AC Nomination Process

Once the call for volunteers closes, the ICANN organization shall conduct a nonbinding skill and diversity analysis of all candidates, based on the information provided in the candidates’ applications as well as any other relevant, publicly available information. The ICANN organization should complete this analysis within two weeks of closing the call for volunteers. Once completed, the ICANN organization shall share the nonbinding skill and diversity analysis of all candidates with all SO/ACs.

At the same time, each SO/AC shall receive a list of all applicants, indicating which candidates has sought nomination from which SO/AC. Candidates may seek nomination from more than one SO/AC, and if that happens, the ICANN organization will notify each of the relevant SO/ACs of this situation.

As detailed in the Bylaws, each SO/AC, following its own internal processes, then nominates up to seven candidates for each review team. SO/ACs may communicate directly with candidates, including voice interviews, if so desired by the SO/ACs, for follow-up questions or any other purpose related to the nomination process, using the email address provided by the candidate.

During the selection process, SO/ACs shall consider the nonbinding skill set and diversity analysis, any relevant information from the candidates’ applications, and how it aligns with the skill set required for the relevant review, as detailed in these Operating Standards and the applicable call for volunteers. In addition, SO/ACs also should take into consideration, based on

⁶ Diversity requirements, when referred to in this document, shall be based on the definitions and guidelines provide in Annex 1 of the Diversity Sub-Group Final Report and Recommendations: <https://community.icann.org/display/WEIA/Final+Report?preview=/88575036/97846127/Annex%201%20%E2%80%933%20Diversity%20Sub.pdf>

⁷ Bylaws, Article 4, [Section 4.6\(a\)\(i\)](#).

⁸ Bylaws, Article 4, [Section 4.6\(a\)\(i\)\(A-C\)](#).

the information candidates provided in their SOI, whether an applicant may have a conflict of interest on any specific matter likely to be considered as part of the Review.

To set applicants' expectations and assure an efficient and timely process, the SO/AC nomination process should be completed no later than ten weeks following the submission of the list of candidates by the ICANN organization to the SO/ACs.

Once the nominations are completed, the SO/ACs shall submit their nominations to the ICANN organization. If more than three candidates are nominated, the SO/ACs should include an indication of preferences for selection. The ICANN organization will share them with the SO/AC Chairs and make them available publicly.

2.5.2 SO/AC Chairs Selecting the Review Team

Based on the candidates nominated by the SO/ACs and taking into consideration any preferences in nominated candidates, the ICANN organization shall prepare a nonbinding analysis of the diversity of skill set, geography, and gender for the presumed review team. This analysis shall be based on the information contained in the application documents, as well as and other publicly available information. The document should also be based on the one the ICANN organization previously submitted to the SO/ACs on all applicants (see section above).

The ICANN organization should complete this analysis within two weeks of receiving nominations from all seven SO/ACs.⁹

The ICANN organization will also share the analysis document with the Board, via the Organizational Effectiveness Committee (OEC). As part of its oversight function, the Board will inform the SO/AC Chairs of any concerns it may have regarding the diversity or skill set of the nominees meeting the requirements detailed in either the Bylaws or these Operating Standards. Any Board concerns should be focused on the full review team membership, and not any individual nominee.

SO/AC Chairs are encouraged to convene no later than three weeks after the ICANN organization submitted the nonbinding skill and diversity analysis to them. Based on availability, the ICANN organization shall organize a call for the SO/AC Chairs to discuss and determine the final selection of the review team.

If more than one call is required, the SO/AC Chairs shall determine the frequency. The ICANN organization shall provide appropriate administrative support for these meetings.

The SO/AC Chairs' selection must be subject to the criteria laid out in the Bylaws and should take into consideration skill set and diversity requirements detailed in the call for volunteers.

In addition to the preference indicated by each of the SO/ACs, the SO/AC Chairs are strongly encouraged to take into consideration the nonbinding diversity and skill analysis, as well as any other relevant information, to assure a diverse and competent review team.

The SO/AC Chairs may confer with their respective SO/ACs to nominate different candidates if the pool of nominees is insufficiently diverse or skilled. If the SO/AC Chairs find that the pool of

⁹ Or indication that a SO/AC will not be nominating any members to the review team.

candidates is not sufficiently diverse, the SO/AC Chairs may agree, in consultation with their SO/ACs, to reopen the call for volunteers.

SO/ACs Chairs should conclude the selection process or agree to reopen the call for volunteers no later than four weeks after ICANN organization submitted the nonbinding skills and diversity analysis to them.

In their deliberations, and per the Bylaws, if one or more SO/ACs nominated fewer than three candidates, the SO/AC Chairs may choose to select more than three nominated candidates from any SO or AC that has nominated more than three candidates. This may aid the goal of an adequate balance of diversity and skill among the review team as required by the Bylaws.

In their selection process, the SO/AC Chairs are encouraged to select a review team of at least 15 members.

The SO/AC Chairs may not reserve seats on the review team for later selection, as it is preferential for review team members to serve for the entirety of the review, and not introduce new members in the middle of a review. If the review team, once established, determines that it does not have either an adequate skill set or diversity, it shall confer with the SO/AC Chairs on how to resolve its shortcomings.

The SO/AC Chairs may deliberate in private, but for transparency purposes, a post-factum summary report of the SO/AC Chairs deliberations and decisions will be published no later than two calendar weeks after the conclusion of the selection process. The report shall contain an overview of all relevant issues that were considered when selecting the review team, including any information and guidance which the Board may have communicated to SO/AC Chairs. The report will be compiled by the ICANN organization. Personal information of applicants, such as email addresses, dates of birth, and phone numbers will not be made public.

2.6 Announcement of the Review Team

Once the SO/AC Chairs have finalized their review team selection, the ICANN organization shall announce the composition of the review team through all appropriate communication channels.

3 Conducting the review

3.1 Administrative Issues

3.1.1 Support for Review Team

The ICANN organization will support the review team's work by providing project management, meeting support, document drafting if requested, document editing and distribution, data and information gathering if requested, and other substantive contributions when deemed appropriate.

3.1.2 Language

The working language of all review teams is English. Translations of major reports will be provided in line with ICANN's Language Services Policy and Procedures.

3.1.3 Wiki Space (Or Equivalent)

Each review team shall maintain a publicly available online work space (such as a community wiki space) that shall contain at a minimum:

- Membership list of the review team, including regional affiliation and the SO/AC from which each was nominated.
- Terms of reference, including scope.
- Work plan.
- List of all review team and sub-team meetings, if applicable, including agendas, recordings, transcripts and other meeting materials.
- Information on opportunities for observers to participate.
- Request/action item tracking.
- All published fact sheets (see Section 3.6).
- Clear description of all outreach efforts.
- List of all research efforts undertaken by the review team, the ICANN organization, or outside researchers.
- Link to the review team's public email archive.

3.1.4 Conflicts of Interest Policy and Statements of Interest

All review teams will be subject to a conflict of interest policy that is in line with the practice of the Board. The conflict of interest policy shall provide for mechanisms for the review team to consider when a review team member has a conflict that requires exclusion from discussion on a particular topic. To facilitate the identification of potential or actual conflicts of interests, all review team members shall maintain up-to-date SOI in the form provided by the ICANN organization¹⁰. If the review team identifies that, pursuant to the conflict of interest policy, a member has a conflict of interest (actual or perceived) on a number of issues across the review team's work such that participation in review team work is significantly impaired, the review team leadership shall request that the SO/AC that endorsed the member withdraw support and determine if it is appropriate to replace the member, in accordance with the process set out in Section 3.4 below.

3.1.5 Transparency Requirements

The review teams, with assistance from the ICANN organization,¹¹ shall maintain a public wiki space or equivalent as set out in Section 3.1.3 of this document. All review team plenary meetings must be conducted in a transparent manner, recorded and transcribed. The recordings and transcripts must be posted on the review's wiki page in a timely manner, usually no later than 48 hours after the meeting. Mailing lists, except those used for discussion of information provided to a review team under a non-disclosure agreement subject to the Confidential Disclosure Framework (see Section 3.12 of this document), must be publicly archived and links to it provided on the review's wiki page.

3.1.6 Meeting Schedules

Review teams shall decide on their own meeting schedule. There must be a sufficient number of meetings to assure that review teams meet their milestones as set out in the work plan.

¹⁰ For a sample SOI, see:

<https://community.icann.org/display/WHO/Legal+Documents?preview=/71600710/71600714/RDS-SOI-Sept%202017.docx>.

¹¹ A full list of administrative support that the ICANN organization provided to review teams can be found in Section 3.1.9.6.

3.1.7 Meeting Agendas

Based on information received from the review team leadership, the ICANN organization shall circulate a draft agenda to the review team no later than 24 hours before a meeting and post it on the review wiki page. The final agenda is subject to review team approval during the meeting. Draft agendas for face-to-face meetings shall be circulated to the review team at least five calendar days in advance.

3.1.8 Meeting Attendance

Review team members should make best efforts to regularly attend all meetings and are expected to attend a minimum of 90% of all meetings. If members are not able to attend a meeting, they shall inform the ICANN organization so that their apology can be recorded in the meeting's minutes. The ICANN organization shall post attendance and apologies of review team members for each meeting, posted on the review's wiki page. This information serves as the basis for review team participation reporting on the review fact sheet.

3.1.9 Roles and Responsibilities

3.1.9.1 *Review Team Members*

- Behave in a collegial and constructive way towards the review team, the Board, and the ICANN organization, in accordance with [ICANN's Expected Standards of Behavior](#).
- Actively participate in review team calls and face-to-face meetings and engage via relevant email lists and other collaborative tools by, for example, contributing substantively to discussions, voicing approval or disapproval when appropriate, and reporting work progress regularly to the nominating SO/ACs.
- Review team members shall provide apologies at least 24 hours in advance for all meetings.
- Actively engage with relevant stakeholder groups within the ICANN community. Individual review team members are encouraged to report back to their nominating entity on the progress of the review team.
- Provide fact-based inputs and comments based on core expertise and experience.
- Undertake desk research as required in accordance with scope of work and participate in drafting documents as required.
- Adhere to any additional roles and responsibilities as documented in the Review Team's terms of reference.
- Expect that reporting metrics outlined in Section 3.6 of these Operating Standards will be posted to the review team's public wiki page.

3.1.9.2 *Review Team Leadership*

- Behave in a neutral, collegial, and constructive way towards the review team, the Board, and the ICANN organization, in accordance with [ICANN's Expected Standards of Behavior](#).
- Drive the review team towards the timely delivery of key milestones according to the work plan, maintaining standards of focus on the goals of

the review team, as established in the terms of reference.

- Facilitate consensus among the review team members, as well as determine levels of consensus once achieved.
- Prudently manage the review team's budget, and work with the ICANN organization to maintain adherence to ICANN's accountability and transparency requirements.
- Adhere to any additional roles and responsibilities as documented in the Review Team's terms of reference.

3.1.9.3 SO/ACs

- Nominate up to seven candidates for the review team in accordance with the Bylaws and these Operating Standards. The skill set and diversity of the applicants will be considered, and - based on the information candidates provided in their SOI - whether it is likely that an applicant may have a conflict of interest on any specific matter or issue likely to be considered as part of the Review will be taken into account.
- Regularly review the progression of work towards fulfilling the adopted scope and work plan, sharing any concerns with the review team as soon as concerns become apparent.
- Regularly monitor the review team's progress and provide relevant and constructive input when appropriate.

3.1.9.4 SO/AC Chairs

- Select a group of up to 21 review team members in accordance with the Bylaws and these Operating Standards, balanced for diversity and skill, from the prospective members nominated by the SO/ACs. The SO/AC Chairs shall be mindful of any conflicts of interest, or a perception thereof, of potential review team members.
- Provide appropriate advice towards conflict resolution, as detailed in these Operating Standards.
- Act as an initial forum for the Board or the ICANN organization for the review team to raise concerns that cannot be raised with the review team directly, or that have been raised but no solution has been found.

3.1.9.5 ICANN Board

- Perform all requirements related to reviews outlined in the Bylaws.
- Monitor the progress of the review via the OEC, as detailed in these Operating Standards.
- Through the Board Designee, participate in reviews and represent Board positions where appropriate.
- Confirm that the reviews are conducted in accordance with ICANN's Bylaws and Mission.

3.1.9.6 ICANN Organization

- Provide project management and administrative support to the review team, including provision of any available templates relevant to review team activities.

-
- Provide guidance to the review team on best practices and useful resources.
 - Provide relevant input to the review team's work if and when requested to do so. This includes relevant input by the ICANN organization subject matter experts pertaining to issues included in the scope of the review.
 - Project manage the implementation of Board approved recommendations and provide regular updates to the community (including the Annual Review Implementation Report).

3.1.10 Sub-Teams

The review team may establish sub-teams of members that act as research teams to explore specific issues. The review team can create as many sub-teams as it deems necessary to complete its tasks through its standard decision-making process, as follows:

- Sub-teams will only be composed of review team members and will have a clear scope, timeline, and set of deliverables.
- In forming sub-teams, the Review Team should strive to achieve a group composition balanced for diversity, skill, and community perspectives.
- Sub-teams will appoint a rapporteur who will report the progress of the sub-team back to the plenary on a defined timeline.
- Sub-teams will operate as per the provisions of the Operating Standards. All sub-team requests for support, including but not limited to funding, resources, or support from the ICANN organization, require review team approval.
- Sub-teams may arrange face-to-face meetings in conjunction with review team face-to-face meetings, subject to approval by the full review team.
- All documents, reports, and recommendations prepared by a sub-team require review team approval before being considered a product of the review team.

The review team may terminate any sub-team at any time.

Sub-teams shall receive support from the ICANN organization to the same extent as the full review team is supported, subject only to staffing limitations. The ICANN organization will inform the review team of any staffing limitations.

3.1.11 Determining Review Team Leadership

At the inception of the review team, and only until review team leadership is appointed, a member of the ICANN organization will lead and facilitate all review team calls.

The review team shall decide on its own leadership structure. At the first review team meeting, the facilitator shall call for interested review team members to volunteer for a leadership position. The review team should decide the format of the leadership position; e.g., a chair, a chair and vice chair(s), multiple co-chairs, etc. All review team members, with the exception of the Board Designee, are eligible and can nominate themselves for a leadership position.

The nominations for leadership positions shall remain open for two calendar weeks.

If more than one candidate is put forward, such candidates are encouraged to discuss among themselves a division of the leadership roles and, if they achieve a consensus, present their proposed leadership structure to the entire review team for its approval.

If more than one candidate is put forward and the candidates cannot agree on a leadership structure, or the review team rejects their proposal, a facilitator shall conduct a leadership election. The first step of that election should be a determination of the leadership structure that the review team would like to abide by, such as one chair, one vice chair; two co-chairs; one chair, two vice chairs; etc. Once the structure is agreed the facilitator shall organize one or several polls to fill the agreed-upon leadership roles. The poll can be conducted during a call, by email, in person, or a combination of the three.

It is encouraged that leadership members reside in different times zones and have been appointed to the review team by different SO/ACs.

3.2 Terms of Reference, Scope, and Work Plan

The terms of reference, scope, and work plan are the first work products each review team must develop. The three items must clearly lay out which topic areas the review team plans to address, the objectives, and how it plans to complete the review. This needs to be in place to supplement the broad list of topics referred to in the Bylaws.

All three documents must be adopted by consensus and submitted to the Board (see Section 3.2.4 below) as a package in the timeframe indicated by the Board in its respective resolution for its review to confirm that the scope and timeline are consistent with the requirements of the ICANN Bylaws and ICANN community expectations.

The ICANN organization will provide the review team with templates for the terms of reference and work plan. The templates are based on best practices, documents, and procedures used during previous reviews. The review team may adapt the templates to specific needs.

3.2.1 Terms of Reference

Once the leadership of the review team is selected, and before any substantive review work commences, the review team shall develop its terms of reference. The terms of reference shall contain:

- Overview
 - Background of the review.
 - Scope.
 - Deliverables as specified in the work plan.
 - Method and cadence of progress reporting to the community, including an outreach plan.
- Membership
 - Roles and responsibilities of review team members and review team leadership, including any additions to those listed in these Operating Standards.
- Methodology
 - Decision-making – subject to the requirements in the Bylaws and the guidelines provided in these Operating Standards.

-
- Accountability and transparency requirements, subject to the guidelines provided in these Operating Standards.
 - Reporting procedures.
 - Dependencies on other reviews, if applicable.
 - Methodology.
 - Outreach Plan
 - Review team shall decide how best to update the community and Board comprehensively and on a regular and consistent basis on all relevant work output, achievement of milestones, potential delays, or roadblocks.
 - The review team shall update the community and Board through regular blogs, webinars, public sessions during ICANN meetings, and any other appropriate means as detailed in the outreach plan.
 - Individual members shall update the SO/ACs that nominated them on a regular basis.

3.2.2 Scope

The review team is responsible for setting the scope of its work as part of its terms of reference. The review team is strongly encouraged to complete the terms of reference, including scope, no later than eight weeks after its inaugural meeting.

The review team is encouraged to informally share its draft scope with the SO/AC Chairs and the Board for input. The final scope shall be submitted by the review team to the Board for its review to confirm that the scope and timeline are consistent with the requirements of the ICANN Bylaws and ICANN community expectations (see Section 3.2.4 below), should be adjusted based on any feedback the review team deems relevant and appropriate.

3.2.3 Work Plan

The review team should develop a work plan based on the agreed upon scope and budget with consideration of available resources and overall review timing. The work plan shall contain, at a minimum, target dates for the following deliverables:

- Analysis of implementation activities from prior review.
- Determination of desired number and times of face-to-face meetings, with consideration of cost estimates.
- Identification of need for any external research and an explanation of relevance.
- Publication of interim findings.
- Publication of a draft report for Public Comment.
- Public comment period for draft report.
- Submission of final report to the Board.

The review team shall regularly consult the work plan and update it if and when necessary. The work plan shall be published on the review team's wiki page.

3.2.4 Submission of the Terms of Reference, Work Plan, and Scope to the Board

Once completed and adopted by consensus, the review team shall provide the terms of reference, scope, and the work plan collectively to the Board for its review to confirm that the

scope and timeline are consistent with the requirements of the ICANN Bylaws and ICANN community expectations, in line with the relevant Board resolution.

The Board has the responsibility to review the submitted documents to confirm that:

- The Terms of reference and work plan provide a clear articulation of work to be done and a basis for how the success of the review will be measured.
- The scope of the review does not violate the Bylaws. If the Board considers the scope to violate the Bylaws, it will return the scope to the review team with a clear rationale for its assessment. The review team will then revise the scope to assure full compliance with the Bylaws.

In addition, the Board may also provide feedback on the feasibility of the proposed review scope, the intended use of resources, the proposed timeline, or any other issue contained in the terms of reference, work plan, or scope. The review shall duly consider any such feedback offered by the Board.

The review team shall also share their terms of reference, work plan, and scope with the SO/AC Chairs. The review shall duly consider any such feedback offered by the SO/AC Chairs.

3.3 Resignation of Review Team Members

Review team members may resign from the review team at any time. Their resignation should contain a rationale and be addressed to the leadership of the review team and to the SO/AC that nominated the resigning review team member.

3.4 Removal of Inactive or Disruptive Review Team

Member

If a review team member consistently fails to participate actively in the review or demonstrates repeated disruptive behavior, egregiously or repeatedly acts in violation of the Expected Standards of Behavior, or otherwise prevents the review team from performing effectively, the review team leadership shall inform the nominating SO/AC Chair of the inactive/disruptive review team member.

As a last resort, the review team may choose to remove the inactive/disruptive member. To do so, at least 50% of review team members (excluding the member in question) have to request the member to resign. If the member refuses to resign, the SO/AC that nominated the member will be requested to withdraw their support and nominate a replacement. Should the SO/AC not take action, the member can be removed by a 70% majority vote of the review team members (excluding the member in question). Voting shall be by secret ballot.

None of these procedures preclude any member of the review team, or the SO/AC Chairs, to lodge a complaint with the Office of the Ombudsman to seek assistance in resolving the dispute or enforcement of the Expected Standards of Behavior.

3.5 Replacement of Resigned or Removed Review Team Members

The SO/AC whose member resigned or was removed may elect to nominate a replacement in accordance with its own internal procedures, if it considers it beneficial to do so due to the status of the review. The SO/AC may nominate a member from the initial group of applicants it received or, alternatively, publish a call for volunteers to receive new applications. It shall inform the review team leadership of their procedural decision and indicate a timeframe by which the new member will be nominated.

Depending on the status and remaining timeline of the review, or any other factors, the relevant SO/AC may choose not to nominate a replacement candidate.

3.6 Reporting

The review team leadership is responsible for ensuring that the review team adheres to the reporting methods and outreach plan detailed in the terms of reference, so that the community and the Board are informed about the work progress in a timely and appropriate fashion.

Each review team member is required to regularly report to the SO/AC that nominated them. The enforcement of this reporting requirement lies solely with the nominating SO/AC.

In consultation with the review team, the ICANN organization will provide a fact sheet¹² to each review team, no less frequently than every quarter. The fact sheet is a tracking and reporting mechanism which details relevant metrics on review progress against the work plan and deliverables determined by the review team, and the review budget. Metrics include attendance records of review team members, progression of work towards achieving key milestones, and actual spends against the review team budget.

The ICANN organization collates the fact sheet data for review team approval. The review team should appoint a liaison, or liaisons, to review and approve the fact sheets on behalf of the review team. It is strongly recommended that the review team liaison(s) review and approve the fact sheets within two weeks of receipt. Approved fact sheets will be posted on the relevant review wiki page.

3.7 Monitoring Review Progress

The review team shall conduct its work autonomously within its defined scope and budget, and in accordance with ICANN's Mission, relevant provisions of the Bylaws, and these Operating Standards. Notwithstanding its autonomy, the review team is accountable to the global ICANN community for adhering to its terms of reference and these Operating Standards, and for utilizing volunteer time and ICANN resources prudently and appropriately.

The progress of the review shall be monitored by the SO/ACs and the Board. The Board's monitoring will take place via the OEC for all procedural issues and via the Board Caucus Group

¹² For an example of a fact sheet, please see: <https://community.icann.org/display/WHO/Fact+Sheet>.

for any substantive matter. The monitoring shall rely on similar metrics (see below) and without unduly interfering with or influencing the review team's scope and work. Specifically, SO/ACs and the OEC shall monitor:

- Adherence to the work plan.
- Timely and effective completion of milestones.
- Review team's budget.
- Effective use of volunteer time.
- Members' participation and contribution levels.
- Scope of the review to avoid duplication of other community initiatives and to help ensure the review results in useful recommendations.

3.8 Budget Management

The review team is responsible for managing its own budget as far as it related to the monies allocated to the review team for its conduct of the review. The ICANN organization team that supports the review team may provide the review team with best practices when it comes to budget management to ensure that funds are spent effectively and appropriately.

At the start of the review, ICANN organization shall brief the review team on the allocated budget for the review team and applicable costing factors for the conduct of the review.

All expenditures related to third parties are subject to ICANN's procurement policy. All travel expenditures are subject to ICANN's Community Travel Support Guidelines.¹³ The overall budget for each review is approved by the Board as part of ICANN's annual budget process; the review team will work with the ICANN organization to provide appropriate justification, rationale, and clear documentation of the review team's requested expenditures in line with ICANN's transparency and accountability standards.

The approved review team budget covers:

- Costs related to face-to-face meetings, such as hotel, travel, tech support, and catering.
- Services provided by independent experts.¹⁴
- Other tools or services relevant to the review work.

If additional funds are required beyond the budget allocation, the review team must submit a request to the Board, in accordance with all applicable procedures, including a rationale, and subject to relevant timelines.

Budget and spending related to ICANN organization's support of the review team's work is managed under the annual Operating Plan and Budget as adopted by the ICANN Board. ICANN organization is accountable to identify the resources required to support the review team, and these support resources are separate from the review team's cost management obligations for the approved review team budget as discussed within this Section 3.8.

¹³ See <https://community.icann.org/display/trvlconstit/Travel+Support+Guidelines>.

¹⁴ Contracting of independent experts is subject to Section 3.10 of these Operating Standards.

3.8.1 Managing Budget Implications of Face-To-Face Meetings

Face-to-face meetings represent significant expenditures for review teams. Therefore, review teams shall take budgetary implications into account when deciding on the timing, location, and frequency of face-to-face meetings. Review teams are strongly encouraged to hold face-to-face meetings at ICANN office locations, due to reduced costs for room hires, technical equipment, and staff support.

In order to schedule face-to-face meetings, the ICANN organization requires adequate time to assure cost control and avoid cancellation charges. The ICANN organization will provide review teams with all applicable policy and travel procedures at the start of each review. To allow for adequate planning time for ICANN's meetings, contracting, and travel teams, review teams shall submit their final travel requirements to the ICANN organization within the timeframe provided to them at the beginning of the review; based on current travel guidelines this is no less than 120 days.

3.8.1.1 Face-to-Face Meetings in conjunction with ICANN Meetings

Due to contracting and logistical constraints, review team face-to-face meetings cannot take place within two weeks after the end of an ICANN meeting, neither at the location of the ICANN meeting nor any other. Review teams may meet face-to-face either directly preceding an ICANN Meeting, at that location, or during an ICANN meeting. As with any other face-to-face meeting, review teams shall submit their final travel requirements for meetings preceding or during ICANN meetings to the ICANN organization within the timeframe provided to them at the beginning of the review; based on current travel guidelines this is no less than 120 days.

3.9 Travel Support

Members of the review team who request funding from ICANN to attend review team face-to-face meetings convened outside of ICANN's public meetings will receive travel support in accordance with ICANN's Community Travel Support Guidelines and subject to the review team's budget.

When a review team face-to-face meeting is held during or in conjunction with an ICANN public meeting, review team members who are not funded otherwise may receive travel support for the days necessary for the review team members to attend these meetings and any review team outreach sessions scheduled during the ICANN meeting.

3.10 Independent Experts

As per the Bylaws, review teams may solicit and select independent experts "to render advice as requested by the review team. ICANN shall pay the reasonable fees and expenses of such experts for each review required by [Section 4.6](#) of the Bylaws to the extent such fees and costs are consistent with the budget assigned for such review."

For the purpose of reviews, independent experts are third parties that may be contractually engaged by the ICANN organization to provide advice to the review team. Should the need for independent experts arise, the review team will consider the scope of work required, expected deliverables, necessary skill set, and the budget implications associated with the project.

3.10.1 Procurement of Independent Experts

To initiate a request for engagement of an independent expert, the review team will create and formally approve a statement of work. The statement of work will include:

- A clear, specific project title and concise description of the work to be performed.
- A description of required skills, skill level, and particular qualifications.
- Concrete timelines for deliverables, including milestones and measurable outcomes.
- The requirement for all candidates to disclose any potential conflict of interest (real or perceived).
- Any additional information or reference material to detail requirements.

The review team leadership will communicate the request to the ICANN organization for processing in accordance with ICANN's standard procedures, including ICANN's procurement guidelines.

Selection of experts to support the work of the review team will follow ICANN's procurement processes and guidelines.

The roles and responsibilities for the procurement and management of an independent expert are shared as follows:

Review team

- Determines scope of work, skill set, deliverables, timeline.
- Selects their preferred candidate if presented with more than one suitable candidate meeting all requirements,
- Approves expenditure.
- Manages substantive aspects of work (as defined in statement of work and within budgetary constraints).

ICANN organization

- Multistakeholder Strategy and Strategic Initiatives personnel liaise with review team to determine scope of work, skill set, deliverables, and timelines.
- Determines appropriate procedural steps based on scope of work.
- Manages operational elements, financials, and deliverables based on contractual terms.
- Manages invoicing and remittances.
- Monitors for compliance with contractual terms.
- Ensures compliance with procurement process and best practices.
- Secures applicants agreement with ICANN organization to share relevant information with designated point person(s) on the review team; cost and contractual terms can not be shared.
- Announces request for submissions or proposals.

-
- Identifies contractors based on criteria.
 - Evaluates candidates, including for any potential conflict of interest (real or perceived).
 - Negotiates contract.

3.10.2 Considering Advice from Independent Experts

The review team shall give appropriate consideration to any work submitted by an independent expert.

While the review team can adopt or reject any advice provided by an independent expert, it must include a dedicated section in its draft and final reports that details how the independent expert's work was taken into consideration by the review team. The review team should provide a rationale if it rejects concrete advice provided by the independent expert. Any work that the independent expert submits to the review team shall be included in full as an annex to the review team's draft and final reports.

3.11 Decision-Making Procedure

According to the Bylaws: "Review team decision-making practices shall be specified in the Operating Standards, with the expectation that review teams shall try to operate on a consensus basis. In the event a consensus cannot be found among the members of a review team, a majority vote of the members may be taken."¹⁵

With regards to drafting recommendations, the Bylaws state: "Each report of the review team shall describe the degree of consensus or agreement reached by the review team on each recommendation contained in such report. Any member of a review team not in favor of a recommendation of its review team (whether as a result of voting against a matter or objecting to the consensus position) may record a minority dissent to such recommendation, which shall be included in the report of the review team [...]."¹⁶

Decision-making methodologies shall be included in the review team's terms of reference. The review team may adapt or change the decision-making procedure specified in the Operating Standards by unanimous consent. In such instances, the review team must update its terms of reference and inform the SO/AC Chairs and the ICANN Board of the changes, including the rationale for the modification.

The review team leadership will be responsible for designating each decision as one of the following:

- Full consensus - no review team members speak against the recommendation in its last readings.
- Consensus - a small minority disagrees, but most agree.
- Strong support but significant opposition - most of the review team supports a recommendation, but a significant number do not.
- Divergence - no strong support for any particular position, many different points of view. Sometimes this is due to irreconcilable differences of opinion, and sometimes it is

¹⁵ Bylaws, Article 4, Section 4.6(a)(iii), see <https://www.icann.org/resources/pages/governance/bylaws-en>.

¹⁶ Bylaws, Article 4, Section 4.6(a)(iv)(A), see <https://www.icann.org/resources/pages/governance/bylaws-en>.

because no one has a strong or convincing viewpoint, but the members of the review team agree that it is worth listing the issue in the report nonetheless.

- **Minority statement** (see also Section 4.4) - a proposal where a small number of people support the recommendation. This can happen when designations are in response to a consensus, strong support but significant opposition, and no consensus; or, it can happen in cases where there is neither support nor opposition to a suggestion made by a small number of individuals.

In cases of consensus, strong support but significant opposition, and no consensus, the review team should document that variance in viewpoint and adequately present any minority statements that may have been made. Documentation of minority statement recommendations are subject to appropriate text of such statements being offered by the proponent(s). In all cases of divergence, the review team leadership should encourage the submission of minority statement(s).

The recommended method for discovering the consensus level designation on recommendations is as follows:

- i. After the review team has discussed an issue long enough for all issues to have been raised, understood, and discussed, the leadership makes an evaluation of the designation and publishes it for the review team to assess.
- ii. After the review team has discussed the leadership's evaluation of the designation, the leadership should re-evaluate and publish an updated evaluation.
- iii. Steps (i) and (ii) should continue until the leadership makes an evaluation that is accepted by the review team.
- iv. The leadership may decide that a majority statement is reasonable – in line with the Bylaws Article IV, [Section 4.6\(a\)\(C\)\(iii\)](#). Reasons for this, for example, might be:
 - A decision needs to be made within a timeframe that does not allow for the natural process of iteration and settling on a designation to occur.
 - It becomes obvious after several iterations that it is impossible to arrive at a designation. This will happen most often when trying to distinguish between consensus and strong support but significant opposition, or between strong support but significant opposition and divergence.

Based upon the review team's needs, the leadership may direct that review team participants do not have their name explicitly associated with any full consensus or consensus view or position. However, in all cases where a review team member represents the minority statement, their name must be explicitly linked to that position.

Consensus calls should always involve the entire review team and, for this reason, should take place on the designated mailing list to ensure that all review team members have the opportunity to fully participate in the consensus process. It is the role of the leadership to designate which level of consensus is reached and announce this designation to the review team. Member(s) of the review team should be able to challenge the designation of the leadership as part of the

review team's discussion. However, if several participants¹⁷ on a review team disagree with the designation given to a position by the leadership - or any other consensus call - they may follow these steps sequentially:

1. Send email to the leadership, copying the review team, explaining why the decision is believed to be in error.
2. If the leadership still disagrees with the opposing member, a straw poll shall be conducted to determine the result.

3.12 Confidential Disclosure Framework

As per the Bylaws¹⁸:

“To facilitate transparency and openness regarding ICANN's deliberations and operations, the review teams, or a subset thereof, shall have access to ICANN internal information and documents pursuant to the Confidential Disclosure Framework set forth in the Operating Standards (the "Confidential Disclosure Framework"). The Confidential Disclosure Framework must be aligned with the following guidelines:

“(1) ICANN must provide a justification for any refusal to reveal requested information. ICANN's refusal can be appealed to the Ombudsman and/or the Board for a ruling on the disclosure request.

(2) ICANN may designate certain documents and information as "for review team members only" or for a subset of the review team members based on conflict of interest. ICANN's designation of documents may also be appealed to the Ombudsman and/or the Board.

(3) ICANN may require review team members to sign a nondisclosure agreement before accessing documents.”

The Confidential Disclosure Framework, aligned with the provision set out in the Bylaws, is annexed to this document. A copy will be provided to all review team members at the start of the review.

Review team members that do not wish to adhere to the conditions set forth in the Confidential Disclosure Framework to access confidential information, may continue to participate in the review. Yet, as detailed in the Confidential Disclosure Framework, they may face restriction when accessing documents and when participating in discussions pertaining to those documents.

¹⁷ Any review team member may raise an issue for reexamination with the review team leadership; however, a formal appeal to the leadership will require that a single member demonstrates a sufficient amount of support from among the review team before a formal appeal process with the leadership can be invoked. In those cases where a single review team member is seeking reexamination, the member will advise the review team leadership of their issue. The leadership will work with the dissenting member to investigate the issue and to determine if there is sufficient support among the review team for the reexamination to initiate a formal appeal process.

¹⁸ ICANN Bylaws, Article 4, Section 4.6(a)(iv)(A), see <https://www.icann.org/resources/pages/governance/bylaws-en>.

A copy of the current Confidential Disclosure Framework can be found on the ICANN website.¹⁹

3.13 Modifications to the Scope of Work While the Review is Underway

During the course of a review, if the review team agrees by consensus that the scope is either too broad or too narrow, the review team leadership may initiate a review team discussion to change the review team's scope, including the rationale for the change.

Any proposed change in scope shall be supported by full consensus among the review team members and accompanied by an assessment of the impact of the change on the review timeline and budget. The proposed amended scope must be in line with the Bylaws and ICANN's Mission.

Before submitting the amended scope to the Board (see below), the review team is encouraged to share the amended scope, including the accompanying rationale, with the SO/AC Chairs, who may provide their thoughts to the review team for its consideration.

The amended scope, including the accompanying rationale, shall be submitted to the Board for consideration. The scope will only be amended if the Board consents that the amended scope remains aligned with the ICANN Bylaws and ICANN's Mission.

Once the Board's consent is confirmed, the terms of reference and work plan shall be updated. An announcement on the updated scope will be posted to icann.org.

Depending upon the extent of changes to the scope, the Board may review the updated Terms of Reference and Work Plan in line with its responsibilities under Section 3.1.9 of this document.

3.14 Role of Observers

Anyone can sign up as an observer to any Specific Review team. The number of observers is not limited.

There shall be clear instructions on the review team wiki space on how to become an observer. All candidates who have applied for a review team but were not selected shall be offered by the ICANN organization to participate as an observer. All observers shall receive plenary meeting agendas and information on where to find recordings of meetings and any supporting documentation.

Observers may:

- Attend a meeting virtually: All meetings, whether in person or online, will have a dedicated Adobe Connect room for observers to participate.
- Subscribe to the observers' email list: Observers may send a request to the relevant staff person from the ICANN organization or mssi-secretariat@icann.org requesting to be

¹⁹ Please see the Confidential Disclosure Framework developed in August 2017: <https://community.icann.org/display/SSR/Legal+Documents?preview=%2F64950831%2F71599536%2FOperating+Standards+CONFIDENTIAL+DISCLOSURE+FRAMEWORK+UPDATE+August+2017.pdf>

subscribed to the observers' email list. This information will be provided on the review wiki page.

- Attend a meeting in person: When review team members gather for public face-to-face meetings, observers may attend to share their input and questions with the review team, subject to any applicable space limitation. The calendar of scheduled calls and meetings is published on the review team's wiki page. ICANN will not cover any expenses incurred by observers.
- Email input to the review team: Observers may send an email to the review team to share input on their work. The relevant email address to direct such input shall be posted on the review team's wiki page. Having received input from observers via email, the review team is encouraged to respond, if appropriate, and ensure that a record of the submission is posted on the review wiki page.
- Provide input during Public Comment proceedings: Observers may contribute their views via the standard Public Comment process and during public consultations.

4 Review Output and Board Consideration

4.1 Recommendations

Review team members are empowered to formulate recommendations based on their research and evaluation of facts. The review team is expected to use all reasonably available information to provide answers, solutions, and recommendations to the issues, problems, and questions raised within the scope of the review. The review team is encouraged to provide context, inputs received, and overview of relevant discussions as they pertain to each of the recommendations. The review team should state each finding clearly and the corresponding recommendation.

To help assure effective implementation and long-lasting improvements, the review team is expected to address all issues raised in the scope and provide specific, measurable, achievable, realistic, and time-bound (SMART) recommendations based on fact-based findings. The review team is strongly encouraged to lay out problems it discovered and explain how its recommendations will address these, leading to substantive improvements. To facilitate the eventual implementation of its recommendations, the review team shall include, wherever possible, relevant metrics and applicable key performance indicators (KPIs) that could be applied to assess the success of implementation of each of its recommendations.

To assure the feasibility and usefulness of its recommendations, the review team shall consult with the ICANN organization and Board in addition to its community-wide outreach. An open and transparent exchange between the review team, subject matter experts, the ICANN organization, ICANN Board must occur so that the identified problems, the recommended solutions, and the expected impact of implementation is clearly defined and well understood by all.

Without limiting the number of recommendations a review team may issue, the review team shall take into consideration the expected impact of implementation on the workload of the ICANN

community and on ICANN resources and whether there is sufficient community capacity and expertise to ensure successful implementation.

Recommendations shall address specific problems as identified by the review team. Review teams are encouraged to categorize each recommendation as 'high priority', 'medium priority', or 'low priority', as a useful guideline for the planning of the implementation work, as prescribed in the Bylaws (Section 4.6 (a) (vii) (A)).

4.2 Draft Report

While the review team may produce several iterations of its draft report, at least one draft report must be published for Public Comment and should follow standard ICANN procedures.

The Board is encouraged to provide its input via the Public Comment process or through other means that are consistent with ICANN's transparency requirements and mindful of the review team's timeline.

The review team is strongly encouraged to formulate clear statements of identified issues and how the draft recommendations would address these issues – bounded by the agreed upon scope of work.

Draft and final reports should include the following:

- Overview of the review team's working methods, tools used, and analysis conducted.
- Facts and findings related to the investigation of the objectives identified in the scope.
- Resolution of all questions raised in the scope or those that arose subsequently during the course of the review.
- Summary of public consultations and engagement with SO/ACs and their input on the findings.
- Whether any independent experts were contracted, and if so, to clearly state the areas where their advice has been considered and to what extent.
- Assessment of what processes (pertinent to the scope) work well and where improvements can be made; the assessment should be based on and refer to facts, findings, and data provision wherever possible.
- Preliminary recommendations that address significant and relevant issues detected.
- A preliminary²⁰ impact analysis of the desired impact of each recommendation, including the desired outcome, metrics to measure the effectiveness of the recommendations, and, wherever possible, source(s) of baseline data for that purpose²¹:
 - Identification of issue.
 - Definition of desired outcome, including metrics used to measure whether the recommendations' goals are achieved.
 - Initial identification of potential problems in attaining the data or developing the

²⁰ If it is not practical for the review team to include all details of the impact analysis, a rationale shall be included in the draft report, and the complete analysis can then be included in the final report only.

²¹ The review team is expected to communicate with the ICANN organization on the availability and relevancy of all data points.

-
- metrics.
 - A suggested timeframe in which the measures should be performed.
 - Define current baselines of the issue and initial benchmarks that define success or failure.
 - Data retained by ICANN.
 - Industry metric sources.
 - Community input.
 - Surveys or studies.
 - All recommendations should indicate a preliminary, nonbinding level of consensus they have received, as defined in the Operating Standards. This is to inform the community during the Public Comment period of the level of review team support for each recommendation, without binding the review team members on their support level in the final report.
 - Review Team composition, including the SO/AC that nominated each member, and details of any changes in composition or leadership during the course of the review.

4.3 Minority Dissents

According to the Bylaws, “Any member of a review team not in favor of a recommendation of its review team (whether as a result of voting against a matter or objecting to the consensus position) may record a minority dissent to such recommendation.”²²

All minority dissents must detail the analysis of recommendations in the final report with which its author(s) disagree(s), including a rationale for that disagreement.

The authors of minority dissents are encouraged to provide alternative recommendations that include the same details and context as is required from the recommendations in the final report as per the Operating Standards (see Sections 4.1 and 4.2).

4.4 Submission of Final Report and Public Comment

The review team shall review and consider the Public Comments received, input from the Board, or any other relevant information received on its draft report. The review team shall then determine any corresponding changes and submit its final report to the Board. The final report shall contain the same information as required in the draft report. In addition, the final report should contain a section detailing the Public Comments received on the draft report, an explanation why and how they were incorporated into the final report, or why and how they were rejected by the review team.

As mandated by the Bylaws, the final report of the review team, once submitted to the Board, shall be published for Public Comment in advance of the Board's consideration. The ICANN organization will then provide a staff summary of the comments to the Board for its consideration.

²² Article IV, Section 4.6(a)(vii)(A).

As per the Bylaws, all minority dissents “shall be included in the report of the review team.”²³

4.5 Implementation Shepherd

Once the final report is submitted to the Board, the review team shall determine among itself one or several “implementation shepherds”. The review team should not exclude any volunteering member from acting as an implementation shepherd.

Implementation shepherds will take up their role once the Board has resolved on the final report. The role of the implementation shepherd(s) is to be the first contact for any questions or clarifications the ICANN organization is seeking once the implementation is underway. The implementation shepherd(s) may provide information and clarification via publicly archived emails or recorded calls on:

- intent of recommendations.
- rationale for recommendations.
- facts that led the review team to certain conclusions.
- the envisioned implementation timeline.
- metrics related to the measure of implementation success.

All discussions between the implementation shepherd(s) and ICANN organization and/or the ICANN Board shall be publicly archived. In case of complex questions or issues, the implementation shepherd(s) is/are strongly encouraged to confer with his/her/their former review team colleagues or, if appropriate, the wider community.

The role of the implementation shepherd does not negate ICANN organization or ICANN’s Board’s option to reach out to the community for additional input or consultation at any time during the implementation process.

Implementation is not linked to ICANN meetings, Therefore, the person(s) selected as the implementation shepherd(s) shall not be eligible for travel funding in relation to this role.

4.6 Board Consideration and Implementation

In accordance with the Bylaws: “Each final report of a review team shall be published for public comment in advance of the Board's consideration. Within six months of receipt of a final report, the Board shall consider such final report and the public comments on the final report, and determine whether to approve the recommendations in the final report. If the Board does not approve any or all of the recommendations, the written rationale supporting the Board's decision shall include an explanation for the decision on each recommendation that was not approved. The Board shall promptly direct implementation of the recommendations that were approved” (see Section 4.6 (a) (vii) (C)). This does not preclude the Board from engaging transparently with the review team prior to reaching a decision on the final report. The Board may only reject recommendations in the final report by a vote of no less than 60% of the full Board.

²³ Article IV, Section 4.6(a)(vii)(A).

In accordance with the Bylaws, once the Board has made its decision, it shall direct the ICANN organization to draft an implementation plan that contains at a minimum the following:

- Priority for implementation (i.e. high, medium, low).
- Time and resources required (ICANN community and the ICANN organization).
- Potential obstacles, risks, and proposed mitigations.
- Measurability (status quo versus desired outcome).
- Details on how the recommendations align with ICANN's strategic plan.
- Impact and dependencies on existing and ongoing improvements and work within the organization and work of community groups.²⁴

When leading the implementation, the ICANN organization shall cooperate closely with the review team's appointed implementation shepherd(s) and the wider community. This includes providing timely updates on progress, highlighting roadblocks, and working to confirm that implementation reflects the intention of the review team.

The ICANN organization should report on implementation status on a regular basis. Under the OEC's mandate, implementation updates will be provided to the OEC and posted publicly. This is in addition to the Annual Review Implementation Report that the ICANN organization shall present to the Board and the community once per calendar year, in accordance with Section 4.5 of the Bylaws. At a minimum, this implementation status report shall contain current status of the implementation progress for all recommendations, all past and ongoing community consultations on the implementation efforts (if applicable), and provide a timeline for the remaining implementation work.

5 Dispute Resolution

All conflict-related communication, whether internal to the review team or involving outsiders, shall conform with ICANN's transparency and accountability requirements, subject to privacy considerations.

Any conflicts or disputes that arise among review team members (e.g. those of an interpersonal nature) shall be addressed in line with conflict resolution and escalation paths used in other community working groups, such as detailed in the [GNSO Operating Procedures](#), or any other relevant, publicly available document that has precedent as being used for conflict resolution within the ICANN community.

Concerns about the review team's scope, methodology, community outreach, or any issue related to the review team's work, whether voiced by review team members, the Board, the community, or the ICANN organization, shall be communicated directly to the review team via the review team leadership.

In the event that an SO/AC should have a concern about a review team's work, the Chair of that SO/AC should raise the concern with the other SO/AC Chairs. Through a manner they deem

²⁴ The discussions currently underway between the Board and the community in connection with costing, prioritization and trade-offs based on benefit to be derived from Specific Review recommendations are likely to lead to community-supported process improvements, which would be reflected in updates to this section.

appropriate, the SO/AC Chairs should make a preliminary determination as to whether the concern can be addressed directly and efficiently with the review team through constructive discussion, or whether the concern is such that it should be brought to the attention of the Board or wider community. As outlined in these Operating Standards, the SO/AC Chairs should communicate directly with the review team leadership to notify it that the concern has been raised, and, if applicable, of the SO/AC Chairs determination that the concern should be brought to the attention of the Board or community.

The review team and the party that has raised the concern shall attempt to resolve the concern directly through constructive discussion. Every effort shall be made for an expedient and productive resolution, avoiding undue interruption of the review team's work and minimizing the impact on the review team's progress.

If direct interaction between parties involved in a dispute does not lead to a productive solution, the following steps shall be taken:

1. The concerned parties may bring the issue(s) to the SO/AC Chairs.
2. The SO/AC Chairs, though a manner they deem appropriate shall discuss the issue(s) and provide an appropriate solution.
3. If the SO/AC Chairs cannot agree on a solution they shall suggest an alternative means to arrive at a timely and productive solution. This may include, but is not limited to, facilitation or public consultation. Such alternative means may require the review team to pause its work, understanding that such a disruption should be used only as a means of last resort.

If the Board identifies an issue with a review that poses a significant risk to meeting Bylaws' obligations, the Board will initiate consultations with the SO/AC Chairs to remedy the issue, up to and including issuing a pause on review activities. If the Board finds the review team misused financial resources, it shall share its findings with the SO/AC Chairs. If both the Board and the SO/AC Chairs agree about the misuse, they shall propose a solution, up to and including issuing a pause on review activities, the latter being the last resort.

The process for restarting the review shall be defined by the SO/AC Chairs, with an eye toward overcoming the challenges that initially led to the dispute.

5.1 Safety Clause for Terminating a Review Team in case of Failure

In case of extreme dysfunctionality, the ICANN Board and the SO/AC Chairs may agree together to terminate a Review. Such a decision must be preceded by a full exhaustion of the conflict resolution mechanism laid out in these Operating Standards as well as a prior involvement of the Office of the Ombudsman to try to resolve the situation, when applicable. Such a decision must be taken jointly and a detailed rationale, including a proposed way forward regarding the completion or re-start of the Review.

6 Amending the Operating Standards

The Operating Standards must be aligned with the existing ICANN Bylaws at all times. Subject to that condition, the Operating Standards may be amended by a majority vote of the Board.²⁵ To assure consistency and predictability of Specific Review conduct, the ICANN Board, ICANN community, and ICANN organization shall update the Operating Standards no more frequently than once a year.

Upon completion of a Specific Review, the Board shall request inputs from the SO/AC Chairs and the review team members on how the Operating Standards facilitated the conduct of the review. Those inputs may then lead to a proposed amendment of the Operating Standards in accordance with the provisions below.

Separately, a proposal for an amendment to the Operating Standards may be made by:

- Any one of ICANN's Supporting Organizations
- Any one of ICANN's Advisory Committees
- The Accountability and Transparency review team (ATRT)
- The ICANN organization

Before any amendment is considered by the Board, the amendment must be published for Public Comment, according to ICANN's standard procedure. If the amendment is proposed by the ATRT in its final report, no Public Comment in addition to the one for the final report needs to be conducted, unless the text of the amendment is not available in the final report.

During the Public Comment period, SO/ACs may submit objections or concerns, as may any other member of the ICANN community or the general public.

Once the Public Comment period closes and the staff summary report is published, the Board shall consider the proposed amendment, as well as all Public Comments submitted.

If the proposed change receives broad support from the community and conforms to the Bylaws and ICANN's Mission, the Board shall adopt the proposed change.

However, if the Board determines there is not sufficient unity within the community to support a modification, or that the modification is not aligned with the Bylaws, the Board may decline the change and encourage continued community-wide dialogue on the issue.

The final decision on amending the Operating Standards lies with the Board.

²⁵ Note: The Confidential Disclosure Framework, though referenced in these Operating Standards, has its own defined amendment and review process and is excluded from this section.

**REFERENCE MATERIALS - BOARD PAPER NO. [To be assigned by
Secretary]**

TITLE: **Adoption of the Operating Standards for Specific Reviews**

Overview

The Board is being asked to adopt the Operating Standards for Specific Reviews. The Operating Standards are mandated by the Bylaws (see [Section 4.6 \(a\) \(i\)](#)) and will guide the work of Specific Reviews. They have been drafted with significant community consultation and are based on best practices.

In line with its oversight responsibilities for Organizational Reviews, the Organizational Effectiveness Committee of the Board (OEC) has ensured that the Operating Standards were developed through community consultation, including public comment opportunities. The OEC also ensured that the Operating Standards are aligned with the guidelines detailed in the Bylaws.

Background

Specific Reviews are an integral part of ICANN's accountability measures that derive from Article 4, [Section 4.6](#) of ICANN's Bylaws. Four such reviews are specified in the Bylaws: Accountability and Transparency Review; Security, Stability, and Resiliency Review; Competition, Consumer Trust and Consumer Choice Review; and Registration Directory Service Review. Section 4.6 of the Bylaws calls for the development of Operating Standards to support the work of these reviews that are conducted by the ICANN community, facilitated by ICANN org, and overseen by the ICANN Board.

Community Consultation

ICANN org has facilitated the development of these Operating Standards in close consultation with the ICANN community, via two public comment periods, three webinars, and five public sessions during ICANN meetings:

Exhibit A: Operating Standards for Specific Reviews

Signature Block:

Submitted by: Theresa Swinehart

Position: SVP

Date Noted: 6 June 2019

Email: theresa.swinehart@icann.org

**REFERENCE MATERIALS - BOARD PAPER NO. [To be assigned by
Secretary]**

TITLE: **Acceptance of the Final Report and of the Feasibility Assessment and Initial Implementation Plan for the Second Organizational Review of the Security and Stability Advisory Committee**

Overview

The Board is being asked to accept the independent examiner's [final report](#) of the second review of the Security and Stability Advisory Committee (SSAC), and to accept the SSAC Review Work Party's¹ [Feasibility Assessment and Initial Implementation Plan](#) (hereafter: Feasibility Assessment). The Board is also being asked to instruct the SSAC to convene an implementation work group to develop a detailed implementation plan for the recommendations, including appropriate implementation costing, as presented in the Feasibility Assessment. The detailed implementation plan shall be completed within six (6) months from the adoption of this resolution. The implementation work group is to oversee the implementation process of these recommendations once the Board has accepted said detailed implementation plan.

Background

To ensure ICANN's multistakeholder model remains transparent and accountable, and to improve its performance, ICANN conducts Organizational Reviews of its Supporting Organizations, Advisory Committees (other than the Governmental Advisory Committee) and the Nominating Committee, as detailed in Article 4, Section 4.4 of its Bylaws. The second SSAC Review commenced in February 2018. The independent examiner conducting the review produced a final report that was published in December 2018. The SSAC Review Work Party, based on its detailed review of the independent examiner's final report, prepared its Feasibility Assessment, [approved](#) by the SSAC on 13 May 2019.

¹ Review work(ing) parties (RWPs) serve as liaisons in the organizational review process between the independent examiner, the organizational under review, and ICANN organization. Composition, meeting frequency, decision-making all other administrative and logistical issues related to the work of the group are determined by the organization under review, in this case the SSAC. The SSAC RWP's membership and all other relevant information can be found here: <https://community.icann.org/display/ACSSAC/SSAC+Review+Work+Party>.

Resource implications [description of benefit/revenue/cost to ICANN; increased oversight responsibilities; increased customer relations burdens; potential for additional litigation or substantial legal fees; potential for additional staff resources, etc.]

Exhibit A: Final Report SSAC Review

Exhibit B: Feasibility Assessment and Initial Implementation Plan

Signature Block:

Submitted by: Theresa Swinehart

Position: SVP

Date Noted: 6 June 2019

Email: theresa.swinehart@icann.org

ICANN Security and Stability Advisory Committee (SSAC)

SSAC Review Feasibility Assessment and Initial Implementation Plan

13 May 2019

Status of This Document

This is the SSAC approved feasibility assessment and initial implementation plan for the second organizational review of the SSAC.

Table of Contents

INTRODUCTION	3
1.OVERVIEW OF RECOMMENDATIONS.....	4
2.FEASIBILITY ASSESSMENT & INITIAL IMPLEMENTATION PLAN	5
ANNEX 1: BACKGROUND	60

1. Introduction

On 17 December 2018, the independent examiner for the 2nd SSAC organizational review, Analysis Group, published its [final report](#).

The final report includes an assessment of the SSAC and 30 recommendations for improving its operations. The independent examiner presented its findings and resulting recommendations for improvement in four categories:

- Continuing purpose and effectiveness of the SSAC
- SSAC and SO/AC/community relationships and interconnectedness
- SSAC membership and structure
- SSAC1 Review implementation state

Based on its detailed review of the final report the SSAC Review Work Party (RWP) has prepared this Feasibility Assessment and Initial Implementation Plan (FAIIP). This plan includes an analysis of recommendations made in the final report for usability and prioritization, provisional budget implications, anticipated resources and proposed implementation timeline. The RWP has noted any objections or proposed modifications to recommendations where applicable, along with supporting rationale.

Once finalized, the RWP will present this document to the [Organizational Effectiveness Committee](#) of the ICANN Board (OEC) to inform its recommendation to the Board of next steps.

2. Overview of Recommendations

The Security and Stability Advisory Committee (SSAC) advises the ICANN community and the ICANN Board of Directors (ICANN Board) on issues concerning the security and integrity of the Internet's naming and address allocation systems. The ICANN Bylaws stipulate that the SSAC be independently reviewed at least once every five years. In accordance with this requirement, the independent examiner's review included an assessment of:

- Whether the SSAC has a continuing purpose within the ICANN structure.
- How effectively the SSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness.
- The extent to which the SSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.
- The implementation state of the SSAC's prior review.

The independent examiner's report provided 30 recommendations and associated findings based on interviews with and a survey of, ICANN community members the independent examiner's observations of the SSAC, and the independent examiner's experience with ICANN and extensive work with other nonprofit and volunteer-based organizations to improve their effectiveness. In addition, an Assessment Report was published on 20 June 2018, and feedback reflected upon in the preparation of the report was solicited from the ICANN community via a public session at ICANN62, a public webinar, and a public comment period.

A draft final report was released on 15 October 2018 and was open for public comment through 3 December 2018. The draft final report was presented for discussion in person at ICANN63 and via webinar on 20 November 2018. The conversations and comments from this public comment period were helpful to the independent examiner, who conducted its assessment of the SSAC from February through July of 2018. That assessment found the SSAC to be a productive and effective organization, with room to improve in certain areas. The report provided 22 findings (reported as 23 findings for convenience of discussion) across a broad set of topic areas, including:

- The effectiveness of the SSAC, such as the amount of work asked of and accomplished by the SSAC, the mechanisms in place to understand the implementation of SSAC's advice by the ICANN Board, and the timing with which the SSAC's advice is provided and acted upon.
- The relationship and interconnectedness between the SSAC and both other SO/ACs and the broader ICANN Community, including on issues of transparency.
- The existing membership and structure of the SSAC, including its size, membership recruitment, and term limits.
- The implementation state of the SSAC's prior review, the results of which were released in 2009.

3. Feasibility Assessment & Initial Implementation Plan

Recommendation #1: The SSAC has a clear continuing purpose within ICANN. Its existence as an Advisory Committee should continue.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	N/A	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		
Expected level of implementation effort		
How long after the Board decision can this be implemented?		
High-level summary of proposed implementation steps	N/A	

Recommendation #2: The SSAC should ensure that each advisory or report provided to the ICANN Board includes a high-level summary that outlines the topic or issue in easily understandable terms and lists the key findings with uniquely numbered recommendations.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner's final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		The SSAC already does this, and will continue to do so. The IE's recommendation is a good reminder. However, some SSAC documents, such as correspondence, are too brief to require a high-level summary or listing of key findings.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		None
Expected budget implications		None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Easy
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		
Expected level of implementation effort		Low
How long after the Board decision can this be implemented?		Already done

<p>High-level summary of proposed implementation steps</p>	<p>These procedures are already documented in the SSAC Operational Procedures, Section 3.2.3 which specifies that SSAC documents have “a high-level summary that outlines the topic or issue in easily understandable terms and lists, if applicable, the uniquely numbered key findings and recommendations”.</p>
--	--

Recommendation #3: When providing advice, the SSAC should ensure that the Board Liaison reviews and provides feedback on both the summary and full document before submission to the Board. The SSAC should proactively discuss talking points and potential Board response timing with the SSAC Board Liaison.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		The procedure for ensuring Liaison review before publication is documented in the SSAC Operational Procedures in section 3.2.2, and SSAC has been following that procedure. The procedure to “proactively discuss talking points and potential Board response timing with the SSAC Board Liaison” should be adopted by adding explicit mention in the SSAC Operational Procedures.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		None
Expected budget implications		None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Easy
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		Improved communications

Expected level of implementation effort	Easy
How long after the Board decision can this be implemented?	Shortly thereafter
High-level summary of proposed implementation steps	SSAC to add specific language to the SSAC Operational Procedures, section 3.4, to “proactively discuss talking points and potential Board response timing with the SSAC Board Liaison”. The SSAC Admin Committee, the relevant SSAC Working Party, and the Board Liaison will have responsibility for execution.

Recommendation #4: The SSAC Board Liaison should work with the ICANN Board and ICANN Staff to ensure that Board Action Request Register (ARR) adequately captures the information required to understand the status of advice from when it is given through its implementation.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	This is already being done - it may require explicit mention in the SSAC Operational Procedures.	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	Will require assistance from ICANN staff	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	ICANN Board, ICANN Staff, SSAC Board Liaison	
Anticipated resource requirements (FTEs, tools)	To be determined by ICANN Board and Staff. This will require some time from Board staff support.	
Expected budget implications	To be determined by ICANN Board and Staff	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Improved governance	
Expected level of implementation effort	TBD in discussion with ICANN Board and Staff	
How long after the Board decision can this be implemented?	TBD in discussion with ICANN Board and Staff	

<p>High-level summary of proposed implementation steps</p>	<ol style="list-style-type: none">1. ICANN Board should have ICANN Staff alter the Board Action Request Register (ARR) so that it tracks recommendations <i>through the Implementation phase to closure</i> -- not just to the point where the Board takes an action (passes a Resolution) on the recommendation.2. The AAR should state additional milestone dates achieved. It is important to see how much time passes from when a recommendation is given to the Board and when the Board considers the issue (and passes a resolution or not), and then the amount of time that passes between the Board resolution and the finished implementation by Staff (if implementation is involved).3. See Recommendation 5 -- SSAC to add specific language to the SSAC Operational Procedures to require periodic review of open recommendations to the Board and implementation tasks. On the SSAC side, this will be tracked by the ICANN Board Liaison and SSAC Admin Committee.
--	---

Recommendation #5: The SSAC should periodically review the implementation state of past and future advice provided to the ICANN Board to ensure that all action items are listed in the ARR. The SSAC should follow-up with the ICANN Board via its Board Liaison when advice has not yet been addressed or when progress is unclear.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?	Y	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		Add this sentence to the recommendation: “The ICANN Board should periodically review the AAR to ensure that the Board is considering SSAC advice in a timely fashion, and that the Board understands the implementation status of relevant Board resolutions by ICANN Org.”
Review Working Party comments		<p>Part of SSAC’s effectiveness depends on the Board considering SSAC’s advice. While the SSAC has no power to effect change, the Board does. SSAC realizes that the Board may not accept SSAC’s advice. But SSAC advice loses value if not considered in a reasonable amount of time.</p> <p>Both the Board and SSAC share responsibility for ensuring that SSAC advice is considered by the Board in a timely fashion. As noted in the IE’s Report, it has sometimes taken the Board years to consider SSAC advice. It can even happen that, where there has been a significant delay in considering advice, events or developments have occurred to render the advice redundant or outdated.</p> <p>At its 2017 Annual Workshop, the SSAC undertook a triage of all issued SSAC reports and identified those reports which should be followed up, potentially through the BTC by the SSAC Board Liaison. The SSAC Board Liaison and SSAC Staff are currently devoting significant effort to reviewing all SSAC recommendations to categorize them as complete, no longer relevant, or open.</p>

	Another goal is better communication about the implementation status of Board resolutions.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC, ICANN Board, ICANN Board support staff
Anticipated resource requirements (FTEs, tools)	None
Expected budget implications	None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	High; easy
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Improved effectiveness of SSAC and ICANN Board. Improved governance, transparency, and Improved communications.
Expected level of implementation effort	Easy
How long after the Board decision can this be implemented?	Shortly thereafter
High-level summary of proposed implementation steps	<p>SSAC to add specific language to the SSAC Operational Procedures to:</p> <ol style="list-style-type: none"> 1. require periodic (at least twice-a-year) review of open recommendations to the Board and resulting implementation tasks. The reviews and tracking will be performed by the ICANN Board Liaison and SSAC Admin Committee. 2. ICANN Board Liaison to provide the SSAC membership with twice-yearly status updates regarding progress of SSAC recommendations at the Board. <p>Internally, SSAC will consider a method of flagging internally the high priority or urgent recommendations and work this through the BTC.</p>

Recommendation #6: For time sensitive issues, the SSAC should establish process and work deadlines that take into account the decision timelines of other ICANN entities. The SSAC should work with SSAC staff to ensure internal deadlines are set up to make meeting external deadlines as possible as reasonable.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		SSAC already endeavors to do this. For example, SSAC has been providing timely written comments during Public Comment Periods, which is the main community-standard way to provide feedback. SSAC has also provided efficient and timely participation in the recent and demanding ePDP. SSAC will not always be able to formally join some community efforts due to time/labor constraints -- please see also notes regarding Recommendations 14 and 15 below.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		None (although takes up a lot of SSAC member/volunteer time.)
Expected budget implications		None. Requires continued help of SSAC support staff.
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Medium

Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Community participation
Expected level of implementation effort	Medium
How long after the Board decision can this be implemented?	Shortly thereafter
High-level summary of proposed implementation steps	SSAC Admin Committee to monitor and manage as part of ongoing operations.

Recommendation #7: The SSAC should develop a process to, when possible, provide a “quick look” at a particular issue for the Board. Such “quick looks” might not be the result of a consensus-driven process, but rather would disclose differing opinions.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

		RWP RESPONSE	
		Y/ N	
Does RWP support the issue?		Y	
Does RWP support the recommendation?		N	
Does RWP suggest a revised recommendation?		N	
Does RWP support the revised recommendation?			
Additional Details & Comments			
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		<p>SSAC has always done its best to meet the requests of the Board in a timely manner when given a deadline. It is challenging at best to impose short deadlines on volunteers.</p> <p>SSAC is reticent about the concept of “quick looks” because:</p> <ol style="list-style-type: none"> 1. SSAC’s value to the community derives in part from the high quality of the SSAC’s advice. This is achieved by research and professional consideration of the issues. “Quick looks” do not allow the expected level of diligence. 2. “Quick looks” may provide poor communication and mixed messages. The community generally understands that SSAC documents are the result of SSAC consensus. <p>The SSAC is unsure whether the “quick look” idea is from one or a few individual Board members who were interviewed by the IE, or is an expression of more widespread interest on the Board. The need and interest level behind the recommendation are undocumented.</p>	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.			
Review Working Party comments		<p>If the Board is seeking briefings on technical subjects, for example as a way of educating Board members, then SSAC suggests that the Board consider making use of ICANN’s Office of the CTO team in situations where tight timelines are an essential constraint. In addition, if OCTO is in need of subject matter experts, SSAC has a close relationship with OCTO and</p>	

	we would expect it to be more likely to be able to support OCTO.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	N/A
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	N/A
Anticipated resource requirements (FTEs, tools)	N/A
Expected budget implications	N/A
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	N/A
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	N/A
Expected level of implementation effort	N/A
How long after the Board decision can this be implemented?	N/A
High-level summary of proposed implementation steps	N/A

Recommendation #8: The SSAC should formalize an annual process geared towards setting research priorities and identifying relevant emerging security, stability, and resiliency (SSR) threats in the short- and medium-term.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		SSAC does this as part of its annual workshop, where the membership convenes to do its annual planning.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		SSAC annual workshop
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		Continuance of SSAC annual workshop
Expected budget implications		Continuance of SSAC annual workshop
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Easy to implement
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		Improved service to community
Expected level of implementation effort		Already assumed
How long after the Board decision can this be implemented?		Already underway

<p>High-level summary of proposed implementation steps</p>	<p>The SSAC will memorialize its annual process geared towards setting research priorities and identifying relevant emerging security, stability, and resiliency (SSR) threats in the short- and medium-term, in the Operational Procedures section 4.</p>
--	--

Recommendation #9: The skills needed for tasks identified in the SSAC’s annual priority setting and emerging threat identification exercise should feed into the SSAC’s membership and recruitment processes.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC	
Anticipated resource requirements (FTEs, tools)	None	
Expected budget implications	None	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	Medium	
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		
Expected level of implementation effort	Medium	
How long after the Board decision can this be implemented?	2020 membership review process	

<p>High-level summary of proposed implementation steps</p>	<p>SSAC will update its Operational Procedures sections 2.3 and 2.5, so that skills needed for tasks identified in the SSAC's annual priority setting and emerging threat identification exercise are fed into the SSAC's membership processes and are taken into account there.</p>
--	--

Recommendation #10: The SSAC should explicitly communicate the reasons for its decisions around topic selection and focus with others in ICANN. New requests should be compared to the current set of priorities and communicated about accordingly.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		SSAC already does this in its public meetings at the thrice-a-year ICANN meetings. We will look to ways to sharpen our message regarding our motivations for selecting particular work products.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		None
Expected budget implications		None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Easy to implement
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		Improved communications
Expected level of implementation effort		Easy

How long after the Board decision can this be implemented?	Already underway
High-level summary of proposed implementation steps	SSAC Admin Committee will look to ways to sharpen our message regarding project selection.

Recommendation #11: The SSAC should continue to approach the ICANN Board when additional funding, resources, or access to external contractors may be required to achieve a project in the desired timeline or at the desired scale.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		Will do. An example in the past was the larger-than-usual NCAP project, where SSAC scoped and requested additional resources. The IE’s recommendation assumes that there will be no unfunded mandates to SSAC from the Board or the community.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		N/A
Expected budget implications		See above.
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Medium
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		Efficient process
Expected level of implementation effort		Easy

How long after the Board decision can this be implemented?	As needed
High-level summary of proposed implementation steps	SSAC Admin Committee is responsible for tracking and coordinating requests of this nature.

Recommendation #12: The SSAC should consider whether an internship can be offered to graduate students in cybersecurity or data analytics programs for assistance with research or specific work products. In addition, the SSAC should continue to endeavor to leverage the assistance of ICANN’s technical staff when it is appropriate to do so.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?		
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	<p>“Internship” is probably not the right model, because:</p> <ol style="list-style-type: none"> 1. We have been advised that under California law ICANN is probably not allowed to use unpaid internships. 2. Internships are not practical in that SSAC members do not have the time to interview, train, or manage interns, and that burden would fall on our support staff, who already have full plates. More seasoned help would avoid those problems. 	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	<p>The SSAC should consider whether a fellowship can be used for assistance with research or specific work products. In addition, the SSAC should continue to endeavor to leverage the assistance of ICANN’s technical staff when it is appropriate to do so.</p>	
Review Working Party comments	<p>The problem that the IE is trying to help solve is getting more resources for SSAC, which is stretched to capacity.</p> <p>In April 2019, ICANN Org secured two Research Fellows to support projects in SSAC and RSSAC. The ICANN Research Fellow Program is a pilot effort designed to engage security and technical researchers to work on emerging security and technology policy issues related to the DNS. The Research Fellows will help fill the need expressed by the IE.</p> <p>SSAC needs the assistance of people with writing skills who can help with the drafting of SSAC papers under SSAC direction.</p>	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC and ICANN Staff	

Anticipated resource requirements (FTEs, tools)	Research Fellow funding from ICANN Org.
Expected budget implications	Research Fellow funding from ICANN Org.
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	High
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Efficiency delivery, relieve some burden being imposed on SSAC volunteers
Expected level of implementation effort	
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	SSAC Admin Committee and ICANN staff collaborated to fill the Research Fellow position allowed under the budget; implementation completed April 2019 and planned to continue in future years.

Recommendation #13: The SSAC should work with ICANN Staff to obtain a dedicated, secure, data storage location for use in SSAC analyses.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	N	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?		
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	The SSAC sees no need for a dedicated facility; our usual projects do not require it. Specific projects may require storage, but these are few and far between, and the storage needs may be determined by the nature of the project. For example, the NCAP work party may need to examine data sets but will determine that during the course of its work and will make any arrangements it needs with OCTO once the needs have been defined.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	N/A	
Review Working Party comments	See above	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	N/A	
Anticipated resource requirements (FTEs, tools)	N/A	
Expected budget implications	See above -- specific future projects may require resourcing.	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	N/A	
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	N/A	
Expected level of implementation effort	N/A	
How long after the Board decision can this be implemented?	N/A	
High-level summary of proposed implementation steps	N/A	

Recommendation #14: The SSAC advises the ICANN Board and Community on matters relating to the security and integrity of the Internet’s naming and address allocation systems. To do this effectively, the SSAC needs to be aware of policymaking that is ongoing within ICANN. We recommend the SSAC designate an outward representative to each SO/AC that is willing to have one. These roles should be structured to add minimal burden to the SSAC’s already large set of responsibilities.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?	Y	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	<p>The SSAC agrees that it needs to be aware of policy-making that is ongoing within ICANN. It disagrees that additional outward liaisons are the best or only way to accomplish this, for the following reasons:</p> <ol style="list-style-type: none"> 1. SSAC’s volunteer membership has been stretched to the limit by the increasing scope and complexity of the work being carried out in the ICANN community, plus the projects that the Board has requested our involvement in, and projects that SSAC wishes to work on of its own choosing. Additional formal liaison positions will add unsupportable burden to the SSAC’s already large workload, no matter how it is managed. 2. It is difficult for SSAC members to “speak for the SSAC” or “represent the SSAC” to other bodies, especially during an ongoing working group, where new topics come up regularly and discussions are a moving target. SSAC does sometimes take positions or make recommendations, but it does so after discussing those as a group, to ensure the correctness of the statement and to give those statements weight. 	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	<p>The SSAC should consider and adopt appropriate mechanisms to ensure that it is aware of policy-making efforts going on within ICANN.</p>	
Review Working Party comments	<p>The SSAC invites other SOs and ACs to contact SSAC if they would like SSAC’s opinion on an upcoming matter. Proactive communication is always appreciated, and SSAC will endeavor to respond to requests to the best of its ability.</p>	

	<p>SSAC tracks policy-making, and when it sees an issue with security and stability implications, SSAC comments during the public comment periods. The public comment periods are the officially designated times when policy-making groups solicit feedback from the community, supposedly with enough time to digest the comments and adjust course as necessary. If public comment periods fall too late in the process, then that is an issue for the GNSO and ICANN Org to solve.</p> <p>SSAC takes advantage when SSAC members are participating in policy-making groups, per their own interests, their employer's, or on behalf of another group. These members bring back items for discussion within SSAC.</p> <p>The SSAC Chair meets regularly with the GNSO Chair and other SO/AC leaders. New and upcoming policy initiatives could be a topic in those leadership meetings.</p>
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC, other bodies with ICANN
Anticipated resource requirements (FTEs, tools)	
Expected budget implications	None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	Medium
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Improved community process
Expected level of implementation effort	Medium
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	

Recommendation #15: As time availability allows, the SSAC should continue to have members involved as individuals in large, cross-ICANN efforts that have SSR-related components, such as the SSR2.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		ICANN’s increasing number of cross-community efforts all require large time commitments. Some cross-community efforts are important for SSAC to participate in, and SSAC will continue to participate to the extent the topics are aligned with SSAC’s mission and capabilities. Some of those relevant efforts have placed significant burdens on SSAC and its members
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		
Expected level of implementation effort		

How long after the Board decision can this be implemented?	
High-level summary of proposed implementation steps	

Recommendation #16: In the process of developing each SAC-series document, the SSAC should explicitly discuss who affected parties may be and whether or not affected parties should be consulted for feedback or should be notified that the SSAC plans to publish a document on a given topic.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		SSAC already does this, per SSAC Operational Procedures sections 3.2.3 and 3.2.4.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		N/A
Expected budget implications		N/A
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Medium
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		Improved process
Expected level of implementation effort		Medium
How long after the Board decision can this be implemented?		

High-level summary of proposed implementation steps	The SSAC Operational Procedures section 3.2.3, “Developing an Initial Work Draft Product”, will be updated to read: “The work party should identify the parties potentially affected, and may consult with members of the ICANN community affected by the issue under study.”
---	---

Recommendation #17: The SSAC’s Administrative Committee should provide an email update to the leadership of ICANN’s SOs/ACs one month prior to each ICANN meeting with links to relevant SSAC documents/proceedings from the SSAC’s website.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	N	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?		
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		<p>SSAC prepares an update for every ICANN Meeting and delivers this at the meeting. Anything produced a month in advance will be out of date by the meeting. These include notes about projects underway and their potential delivery dates.</p> <p>The publication of SSAC work products are announced via ICANN communications, such as the weekly and monthly e-newsletters.</p> <p>In the end, we are concerned about this being extra, duplicative work for a very limited audience.</p>
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	N/A	
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	N/A	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	N/A	
Anticipated resource requirements (FTEs, tools)	N/A	
Expected budget implications	None	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	N/A	
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient	None	

process, greater NomCom accountability and transparency, etc. (high, medium, low)	
Expected level of implementation effort	N/A
How long after the Board decision can this be implemented?	N/A
High-level summary of proposed implementation steps	N/A

Recommendation #18: The SSAC should post specific additional materials online in the short-term, to consolidate information and increase transparency. The SSAC’s Administrative Committee should then undertake a yearly review of the SSAC’s website to determine whether additional content should be provided or whether the website should be restructured.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		<p>After consulting with the Admin Committee, plans are underway to incorporate this recommendation by adding the following to the SSAC website.</p> <ul style="list-style-type: none"> • An explanation of the purpose of the SSAC-Correspondence Series. • A link to the most recent ICANN Board ARR. • A clear articulation of how and when an SO/AC or Work Party within ICANN might request feedback or comments from the SSAC • A clear explanation of how one can apply to join the SSAC and high-level information regarding the types of skills that the SSAC is looking for in members. • Pictures of current members who are willing to include one, to assist newer members of ICANN in identifying SSAC members at ICANN meetings.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC Admin Committee and support staff
Anticipated resource requirements (FTEs, tools)		

Expected budget implications	N/A
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	Medium
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	More relevant and findable SSAC publications for Board and Community.
Expected level of implementation effort	Low/ Easy
How long after the Board decision can this be implemented?	N/A
High-level summary of proposed implementation steps	SSAC Admin Committee to lead efforts to improve the content of the SSAC Web site.

Recommendation #19: The SSAC should remain accountable directly to the ICANN Board and through it to the wider ICANN community.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	None	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	N/A	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	ICANN Board, SSAC	
Anticipated resource requirements (FTEs, tools)	N/A	
Expected budget implications	N/A	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	N/A	
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	No new implementation needed	
Expected level of implementation effort	None	
How long after the Board decision can this be implemented?	N/A	
High-level summary of proposed implementation steps	N/A	

Recommendation #20: The current number of SSAC members is appropriate. The SSAC should continue to work to ensure its members are engaged, in conjunction with the recruiting points made below.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	None	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC	
Anticipated resource requirements (FTEs, tools)	None	
Expected budget implications	None	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	High priority, for productivity	
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Greater membership engagement	
Expected level of implementation effort	Medium; requires work by Membership Committee	
How long after the Board decision can this be implemented?	Immediately	
High-level summary of proposed implementation steps	Continue to follow membership participation and evaluation procedures, per SSAC Operational Procedures.	

Recommendation #21: Each year, the SSAC should develop a formalized recruiting plan with goals, potential recruiting targets, meetings to attend, messaging for prospective candidates, and any other items that are deemed useful. Similarly, it should maintain a list of potential future members, even if those individuals are not currently applying to the SSAC.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	N	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?	Y	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	As a voluntary technical advisory committee, the SSAC is primarily interested in skills and expertise and is uncomfortable with the concept of a formal recruiting program. Interest in the SSAC is fostered through SSAC members engaging in a number of forums and through the SSAC itself engaging actively as a Committee within the ICANN community. It would be more useful for SSAC to perform a regular assessment of its skills inventory—a “gap analysis”—and to publicize the outcome of that assessment drive rather than any deliberate and direct search for new members.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	Each year, the SSAC should develop a formalized process to estimate the technical expertise required for anticipated future work and thereby identify any skills gaps in the current membership. These skills gaps should be widely publicized on the SSAC website and at any meetings where SSAC members are in attendance. Prospective candidates should be directed to review the published skills gaps. The Membership Committee should take technical expertise gaps into consideration when assessing new member applications.	
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	In conjunction with the annual assessment of new work conducted at the SSAC Annual Workshop, identify the skills required to undertake anticipated future work and the skills gaps that may need to be filled to do so. This activity is also covered by Recommendations 8 and 9 and is related to Recommendations 24 and 25.	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC, at its Annual Workshop. SSAC Membership Committee in considering new member applications	

Anticipated resource requirements (FTEs, tools)	None
Expected budget implications	None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	High priority, for productivity
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Medium. Greater membership engagement, more efficient membership application process, SSAC technical expertise closely aligned to the work anticipated to be undertaken.
Expected level of implementation effort	Medium; requires work by all SSAC members
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	<p>As part of the annual assessment of new work conducted at the SSAC Annual Workshop, identify the technical expertise required to undertake anticipated future work.</p> <p>Identify skills gaps that may need to be filled to do so.</p> <p>Publicize skills gap son the SSAC website and at any meetings where SSAC members are in attendance.</p> <p>Take technical expertise gaps into consideration when assessing new member applications.</p> <p>Make process for applying for SSAC membership clearer on Web site.</p>

Recommendation #22: The SSAC should work with the ICANN Board to secure funding to present its work at and/or attend two or three major security conferences outside of ICANN meetings annually, where members may meet new interested applicants.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	N	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?		
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	SSAC has limited funding to send a very small number of members to relevant conferences for exposure of SSAC Work Products, but not with a specific goal to identify new applicants. SSAC has work products and undertakes a relatively small levels of outreach for the work products, mainly in conjunction with activities in which members are already participating. The availability of volunteer members to undertake additional SSAC outreach is limited. SSAC members go major conferences already, and would unlikely have time or interest to attend more conferences.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	This is dependent on the overall financial environment within which ICANN operates.	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient		

process, greater NomCom accountability and transparency, etc. (high, medium, low)	
Expected level of implementation effort	
How long after the Board decision can this be implemented?	
High-level summary of proposed implementation steps	

Recommendation #23: The SSAC Membership Committee should generate a list of academic or other institutions with research efforts in fields related to SSR. The Membership Committee should keep this list up to date, and consider if academics may bring useful perspectives as either Invited Guests or full SSAC members.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	N	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?		
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	The SSAC is not convinced that the effort to generate and maintain such a list would generate a commensurate level of benefit to SSAC. The SSAC would be happy to avail itself of such a resource, particularly in terms of member recruitment, were it to be available to SSAC, but is of the view that it is not reasonable to add to the existing volunteer workload of SSAC members the task of generating and maintaining this resource.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		

Expected level of implementation effort	
How long after the Board decision can this be implemented?	
High-level summary of proposed implementation steps	

Recommendation #24: The SSAC should continue efforts to recruit individuals with a strong technical background but who also have legal/policy expertise. Discussion of the need for individuals with legal, policy, and law enforcement expertise should be codified in each year’s recruiting plan.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?	Y	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	As a voluntary technical advisory committee, the SSAC is primarily interested in skills and expertise and is uncomfortable with the concept of a formal recruiting program. Interest in the SSAC is fostered through SSAC members engaging in a number of forums and through the SSAC itself engaging actively as a Committee within the ICANN community. It would be more useful for SSAC to perform a regular assessment of its skills inventory—a “gap analysis”—and to publicize the outcome of that assessment rather than drive any deliberate and direct search for new members.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	Each year, the SSAC should develop a formalized process to estimate the non-technical expertise required for anticipated future work and thereby identify any skills gaps in the current membership. These skills gaps should be widely publicized on the SSAC website and at any meetings where SSAC members are in attendance. Prospective candidates should be directed to review the published skills gaps. The Membership Committee should take non-technical expertise gaps into consideration when assessing new member applications.	
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	In conjunction with the annual assessment of new work conducted at the SSAC Annual Workshop, identify the non-technical skills required to undertake anticipated future work and the skills gaps that may need to be filled to do so. This activity is also covered by Recommendations 8 and 9 and is related to Recommendations 21 and 25.	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC at its Annual Workshop SSAC Membership Committee in considering new member applications	
Anticipated resource requirements (FTEs, tools)	None	

Expected budget implications	None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	High priority, for productivity
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Medium. Greater membership engagement, more efficient membership application process, SSAC non-technical expertise closely aligned to the work anticipated to be undertaken.
Expected level of implementation effort	Medium; requires work by all SSAC members
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	<p>As part of the annual assessment of new work conducted at the SSAC Annual Workshop, identify the non-technical expertise required to undertake anticipated future work.</p> <p>Identify skills gaps that may need to be filled to do so.</p> <p>Publicize skills gaps on the SSAC website and at any meetings where SSAC members are in attendance.</p> <p>Take non-technical expertise gaps into consideration when assessing new member applications.</p>

Recommendation #25: The SSAC should endeavor to recruit individuals with a strong technical background who also represent a broad set of geographical locations and reasonably balanced set of genders. Discussion of how to do so should be codified in each year’s recruiting plan.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?	Y	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.	As a voluntary technical advisory committee, the SSAC is primarily interested in skills and expertise but is also supportive of increasing the diversity of its members in such a way that the quality of SSAC advice will be improved. The SSAC is uncomfortable with the concept of a formal recruiting program but rather fosters interest through SSAC members engaging in a number of forums, through the SSAC itself engaging actively as a Committee within the ICANN community and through targeted outreach by members and ICANN staff. It would be more useful for SSAC to perform a regular assessment of its current diversity, including but not limited to geography and gender, identify any diversity gaps, and publicize the outcome of that assessment rather than drive any deliberate and direct search for new members.	
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.	Each year, the SSAC should develop a formalized process to estimate its current and desired diversity, including but not limited to geography and gender, and thereby identify any diversity gaps in the current membership. These diversity gaps should be widely publicized on the SSAC website and at any meetings where SSAC members are in attendance. Prospective candidates should be directed to review the published skills gaps. The Membership Committee should take diversity gaps into consideration when assessing new member applications.	
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	In conjunction with the annual assessment of new work conducted at the SSAC Annual Workshop, identify the current and desired diversity, including but not limited to geography and gender, of its members to contribute to high quality of SSAC advice. Identify the diversity gaps that may need to be filled to do so. This activity is also covered by Recommendations 8 and 9 and is related to Recommendations 21 and 24.	

Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC at its Annual Workshop SSAC Membership Committee in considering new member applications
Anticipated resource requirements (FTEs, tools)	None
Expected budget implications	None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	High, for productivity
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Medium. Greater membership engagement, more efficient membership application process, increased SSAC diversity contributing to higher quality of SSAC advice.
Expected level of implementation effort	Medium; requires work by all SSAC members
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	As part of the annual assessment of the diversity of its members conducted at the SSAC Annual Workshop, identify the desired diversity, including but not limited to geography and gender, of its members to contribute to high quality of SSAC advice. Identify diversity gaps that may need to be filled to do so. Publicize diversity gaps on the SSAC website and at any meetings where SSAC members are in attendance. Take diversity gaps into consideration when assessing new member applications.

Recommendation #26: The SSAC’s membership review process should include a yearly review process for the SSAC’s external Liaisons.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	N	
Does RWP suggest a revised recommendation?	Y	
Does RWP support the revised recommendation?	Y	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		<p>Liaisons are ordinarily nominated for a term and thus the performance of the liaison role is reviewed regularly, according to the term which may not be annual.</p> <p>We note that in the textual explanation there was a concern about being able to provide confidential feedback regarding liaisons that is not captured in the recommendation. We do agree with this issue.</p> <p>Also, we note that a more important issue for SSAC is the effectiveness of the liaison relationship itself rather than the performance of an individual in the role.</p> <p>Finally, the engagement of SSAC members is reviewed by the membership committee in the final year of their respective term of membership. The performance of an individual as a liaison is considered during this review.</p>
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		<p>The SSAC should ensure that the effectiveness of an external liaison and the individual in the role are reviewed on a regular basis, and that a means of providing confidential feedback to the review is readily available and known.</p>
Review Working Party comments		<p>SSAC believes it has processes in place to mitigate the concern being raised. We will seek to revise our Operational Procedures to make this more apparent.</p> <p>The ICANN Board utilizes a formal mechanism in which Board members provide feedback to other Board members. So while the SSAC Liaison receives feedback about his or her effectiveness on the Board from other Board members, the SSAC has no mechanism for providing feedback to its own Liaison.</p>

Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC
Anticipated resource requirements (FTEs, tools)	None
Expected budget implications	None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	Medium
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Improved management, accountability
Expected level of implementation effort	Low
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	Additional text will be drafted and proposed for the SSAC Operational Procedures during the next revision cycle.

Recommendation #27: The SSAC’s leadership should be limited to two, three-year terms. The SSAC should impose no term limits on non-leadership members.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		See #28 for implementation regarding SSAC Chair. The SSAC Vice-Chair and Board Liaison are already term-limited to two three-year terms, via the SSAC Operational Procedures.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		See #28
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		See #28
Anticipated resource requirements (FTEs, tools)		None
Expected budget implications		None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		Medium
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		Improved governance and accountability
Expected level of implementation effort		Low
How long after the Board decision can this be implemented?		Immediately

High-level summary of proposed implementation steps

See #28 for implementation.

Recommendation #28: The SSAC should work with the ICANN Board to update the ICANN Bylaws in order to allow for there to be term limits on the SSAC Chair.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		SSAC is the only SO or AC that is not allowed to term-limit its chair. All other SOs and ACs are allowed to decide both term lengths and term limits for their leadership positions, and have chosen to impose both term lengths and term limits. (Except the GNSO, where the ICANN Bylaws themselves dictate term lengths and term limits for GNSO Counsellors and the GNSO Chair.) The ICANN Board, PTI, etc. also have terms limits. The amendment has been submitted for consideration in the next convenient round of Bylaws updates.
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		None
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		ICANN Board
Anticipated resource requirements (FTEs, tools)		None
Expected budget implications		None
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		The amendment has been submitted for consideration in the next convenient round of Bylaws updates.
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient		Improved governance and accountability

process, greater NomCom accountability and transparency, etc. (high, medium, low)	
Expected level of implementation effort	Low
How long after the Board decision can this be implemented?	Immediately
High-level summary of proposed implementation steps	ICANN Board must update Bylaws; SSAC Board Liaison to work with Board on necessary arrangements. The amendment has been submitted for consideration in the next convenient round of Bylaws updates.

Recommendation #29: The SSAC should maintain its current processes and activities around disclosing potential conflicts of interest, both at the individual level and as a group of individuals. It should also update its online disclosure of interest statements to clearly articulate when the disclosure was last submitted for each member.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments	None	
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation	None	
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?	SSAC	
Anticipated resource requirements (FTEs, tools)	None	
Expected budget implications	None	
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies	Medium	
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)	Improved accountability and transparency	
Expected level of implementation effort	Easy	
How long after the Board decision can this be implemented?	Immediately	

<p>High-level summary of proposed implementation steps</p>	<p>SSAC will update its Operational Procedures to make sure that online disclosure of interest statements clearly state when the disclosure was last submitted for each member.</p>
--	---

Recommendation #30: The SSAC should continue to nurture and build upon the SSAC’s culture that values self-improvement, including between formal reviews.

RWP Consensus Level for Assessment and Implementation Details: *[last step: enter level of consensus here]*

*Level of Consensus, as defined by the [GNSO Working Group Guidelines](#)

	RWP RESPONSE	
	Y/ N	
Does RWP support the issue?	Y	
Does RWP support the recommendation?	Y	
Does RWP suggest a revised recommendation?	N	
Does RWP support the revised recommendation?	N/A	
Additional Details & Comments		
If RWP does not support the independent examiner’s final recommendation, please provide rationale.		
If RWP suggests a revised recommendation, please state the suggested revised recommendation along with supporting rationale.		
Review Working Party comments		
Activities, if any, on which implementation is dependent, or that are dependent on implementation of this recommendation		The SSAC annual workshop, and travel support for 15 SSAC members to the thrice-yearly ICANN meetings, are essential to this goal.
Who will implement the recommendation: ICANN community, ICANN Board, ICANN organization, other?		SSAC
Anticipated resource requirements (FTEs, tools)		
Expected budget implications		The SSAC annual workshop, and travel support for 15 SSAC members to the thrice-yearly ICANN meetings, are essential to this goal.
Prioritization level, i.e. difficulty/ease to implement this recommendation, based on expected resource requirements, budget implications and other dependencies		
Potential benefit of the implementation of this recommendation for ICANN as a whole? Please consider: improved Board Governance, more efficient process, greater NomCom accountability and transparency, etc. (high, medium, low)		
Expected level of implementation effort		
How long after the Board decision can this be implemented?		
High-level summary of proposed implementation steps		

ANNEX 1: Background

Timeline

22 February 2018 – start of review

20 June 2018 – IE assessment report published for public consultation

15 October 2018 – IE draft final report published for public comment

17 December 2018 – IE delivery of final report

Review Scope

Acting on ICANN Bylaws' stipulated requirements, an independent review of the SSAC is mandated to occur at least once every five years. In accordance with this requirement, the independent examiner's review included an assessment of:

- Whether the SSAC has a continuing purpose within the ICANN structure.
- How effectively the SSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness.
- The extent to which the SSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.
- The implementation state of the SSAC's prior review.

Role of the RWP

The SSAC Review Work Party (RWP), acting as a steering committee, serves as the primary group working on the SSAC review. The roles and responsibilities of the RWP include:

- Sharing input into review scope and IE selection criteria
- Providing community outreach support
- Sharing input into data collection – online survey and interviews
- Providing clarification and factual corrections throughout the review

Once the independent examiner's final report is submitted, the RWP is responsible for:

- Establishing the RWP's level of agreement with the final report
- Assessing feasibility of recommendations
- Providing proposed alternatives if there is a disagreement with the feasibility of the independent examiner's recommendations
- Providing detailed rationale for each rejected assessment or recommendations
- Based on the above work, compiling a Feasibility Assessment and Initial Implementation Plan (FAIIP)
- Presenting the FAIIP to the OEC

**Independent Review of the ICANN Security and Stability Advisory
Committee:
Final Report**

Report Prepared for the Internet Corporation for Assigned Names and
Numbers (ICANN)

By Dr. Shlomo Hershkop, Christopher Llop, Dr. Greg Rafert,
Professor Steve Weber^{1,2}

December 17, 2018

¹ Dr. Shlomo Hershkop is the Director of Engineering at Allure Security Technology, Inc., and previously served for 15 years in roles as Adjunct Professors at the University of Pennsylvania and at Columbia University in the City of New York. Professor Steven Weber is the faculty director and a cofounder of UC Berkeley's Center for Long Term Cybersecurity (CLTC), an organization focused on developing and shaping cybersecurity research and practice based on a long-term vision of the Internet and its future. Greg Rafert (Vice President) and Christopher Llop (Associate) are employees of Analysis Group, Inc., an international economic, financial, and strategy consultancy.

² The authors would like to thank the SSAC RWP for its thoughtful participation in the review process, the SSAC for opening meetings to us, and ICANN's MSSSI for extensive help in interview and meeting coordination. We also thank all who have taken the time to be interviewed, surveyed, or provide commentary on the Assessment Report or Draft Final Report, and thank Almudena Arcelus (Principal) and Austin Bell (Senior Analyst) at Analysis Group, Inc. for assistance in research, data analysis, and report review.

I. Introduction

The Security and Stability Advisory Committee (SSAC) advises the ICANN community and the ICANN Board of Directors (ICANN Board) on issues concerning the security and integrity of the Internet’s naming and address allocation systems. The ICANN Bylaws stipulate that the SSAC be independently reviewed at least once every five years.³ In accordance with this requirement, our review includes an assessment of:

- Whether the SSAC has a continuing purpose within the ICANN structure.
- How effectively the SSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness.
- The extent to which the SSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.
- The implementation state of the SSAC’s prior review.⁴

This report provides findings and recommendations based on interviews with, and a survey of, ICANN community members, our observations of the SSAC, and our experience with ICANN and extensive work with other nonprofit and volunteer-based organizations to improve their effectiveness. In addition, an “Assessment Report” was published on June 20, 2018, and feedback reflected upon in the preparation of this report was solicited from the ICANN community via a public session at ICANN62, a public webinar, and a public comment period.⁵

A draft final report was released on October 15, 2018, and was open for public comment through December 3, 2018.⁶ The draft final report was presented for discussion in person at ICANN63 and via webinar on November 20, 2018. The conversations and comments from this public comment period were helpful to the Independent Reviewer, and we would like to thank those who took the time to assist with the entire review process, from those interviewed and surveyed, to those who provided feedback on the written reports.

Our assessment of the SSAC was conducted from February through July of 2018. That assessment found the SSAC to be a productive and effective organization, with room to improve in certain

³ ICANN Bylaws, *ICANN*, Article 4, Section 4, available at <https://www.icann.org/resources/pages/governance/bylaws-en#VII-1>, accessed on May 1, 2018.

⁴ ICANN An Overview of the Request for Proposal for the Review of the ICANN Security and Stability Advisory Committee, *ICANN*, 2017, available at <https://www.icann.org/en/system/files/files/rfp-ssac-review-07jul17-en.pdf>, accessed on May 20, 2018.

⁵ We would like to thank all those who commented during the public comment session, webinar, and period, including the Non-Commercial Stakeholder Group which provided written comments.

⁶ Six public comments and a Report of Public Comments are available on the SSAC Review Website. “Draft Final Report of The Second Security and Stability Advisory Committee Review (SSAC2), available at <https://www.icann.org/public-comments/ssac-review-final-2018-10-15-en>, accessed December 13, 2018.

areas. Our report provided 22 findings (reported here as 23 findings for convenience of discussion) across a broad set of topic areas, including:

- The effectiveness of the SSAC, such as the amount of work asked of and accomplished by the SSAC, the mechanisms in place to understand the implementation of SSAC's advice by the ICANN Board, and the timing with which the SSAC's advice is provided and acted upon.
- The relationship and interconnectedness between the SSAC and both other SO/ACs and the broader ICANN Community, including on issues of transparency.
- The existing membership and structure of the SSAC, including its size, membership recruitment, and term limits.
- The implementation state of the SSAC's prior review, the results of which were released in 2009.

We provide in this report a total of 30 recommendations that are based on our assessment findings.

Each finding is presented followed by its associated recommendations, if any. At times, there is not a perfect one-to-one relationship between findings and recommendation, as multiple findings may relate to one recommendation, and multiple recommendations may seek to address a single finding.

Section II provides background on the SSAC and Section III discusses the methodology we followed for our independent review of ICANN's SSAC. Sections IV through VII of the report detail our findings and recommendations. Below, is an overview of our recommendations, listed in groups by section of this report in which they appear.

Section IV relates to the continuing purpose of the SSAC.

1. The SSAC has a clear continuing purpose within ICANN. Its existence as an Advisory Committee should continue.

The SSAC is widely acknowledged to be very important to the overall mission of ICANN

Section V relates to the SSAC's advice generation and provision of advice to the ICANN Board.

2. The SSAC should ensure that each advisory or report provided to the ICANN Board includes a high-level summary that outlines the topic or issue in easily understandable terms and lists the key findings with uniquely numbered recommendations.

This will assist the Board in interpreting then implementing SSAC advice by making individual recommendations easier to identify and track through to resolution.

3. When providing advice, the SSAC should ensure that the Board Liaison reviews and provides feedback on both the summary and full document before submission to the

Board. The SSAC should proactively discuss talking points and potential Board response timing with the SSAC Board Liaison.

This will help ensure recommendations are phrased in a way that can be understood and acted upon expediently, and will help the SSAC to predict how the Board's advice review timing may interact with its competing priorities.

4. The SSAC Board Liaison should work with the ICANN Board and ICANN Staff to ensure that Board Action Request Register (ARR) adequately captures the information required to understand the status of advice from when it is given through its implementation.

This will make it easier and less time-intensive to identify the status of any recommendation that is pending ICANN Board response or implementation.

5. The SSAC should periodically review the implementation state of past and future advice provided to the ICANN Board to ensure that all action items are listed in the ARR. The SSAC should follow-up with the ICANN Board via its Board Liaison when advice has not yet been addressed or when progress is unclear.

Using the updated ARR, the SSAC should be able to review then check in on the status of any recommendation provided to the ICANN Board with relative ease.

6. For time sensitive issues, the SSAC should establish process and work deadlines that take into account the decision timelines of other ICANN entities. The SSAC should work with SSAC staff to ensure internal deadlines are set up to make meeting external deadlines as possible as reasonable.

The SSAC should continue to endeavor to align its work with ICANN deadlines where reasonably possible, without compromising the provision of sound advice.

7. The SSAC should develop a process to, when possible, provide a “quick look” at a particular issue for the Board. Such “quick looks” might not be the result of a consensus-driven process, but rather would disclose differing opinions.

This will help the ICANN Board better understand certain issues more quickly. When a “quick look” request is unreasonable, the SSAC's Liaison can work with the ICANN Board to refine the request or questions asked of the SSAC.

8. The SSAC should formalize an annual process geared towards setting research priorities and identifying relevant emerging security, stability, and resiliency (SSR) threats in the short- and medium-term.

This will allow the SSAC to plan research goals and membership needs around both a short- (1-year) and more medium-term (5-year) time horizon.

9. The skills needed for tasks identified in the SSAC's annual priority setting and emerging threat identification exercise should feed into the SSAC's membership and recruitment processes.

The SSAC's upcoming priorities can be assessed against current member interest, skills, and availability. The Membership Committee can help determine if new members or Invited Guests could be brought in to the SSAC for upcoming needs.

10. The SSAC should explicitly communicate the reasons for its decisions around topic selection and focus with others in ICANN. New requests should be compared to the current set of priorities and communicated about accordingly.

The SSAC fields many requests and completes a large amount of work. A well-articulated set of research priorities can be referred back to when considering tradeoffs or resources needed to fulfill requests when more is asked of the SSAC.

11. The SSAC should continue to approach the ICANN Board when additional funding, resources, or access to external contractors may be required to achieve a project in the desired timeline or at the desired scale.

This enables the ICANN Board to either refine requests or to assist the SSAC in obtaining required resources.

12. The SSAC should consider whether an internship can be offered to graduate students in cybersecurity or data analytics programs for assistance with research or specific work products. In addition, the SSAC should continue to endeavor to leverage the assistance of ICANN's technical staff when it is appropriate to do so.

Much like the SSAC's current volunteers, highly capable students are often interested in volunteering time to work with experts and gain experience. Certain tasks may be delegable via either paid or unpaid internships.

13. The SSAC should work with ICANN Staff to obtain a dedicated, secure, data storage location for use in SSAC analyses.

Centralized storage helps to organize and maintain data over time.

Section VI relates to the SSAC's integration with SO/ACs and the ICANN community.

14. The SSAC advises the ICANN Board and Community on matters relating to the security and integrity of the Internet's naming and address allocation systems. To do this effectively, the SSAC needs to be aware of policymaking that is ongoing within ICANN. We recommend the SSAC designate an outward representative to each SO/AC that is willing to have one. These roles should be structured to add minimal burden to the SSAC's already large set of responsibilities.

An open line of communication with each SO/AC provides a mechanism by which the SSAC can keep apprised of the activities and PDP processes of SO/ACs, and can help it understand the types of SSR issues that may become important down the road. They also can help the SSAC communicate proactively when its advice and recommendations may affect an SO/AC.

15. As time availability allows, the SSAC should continue to have members involved as individuals in large, cross-ICANN efforts that have SSR-related components, such as the SSR2.

Doing so will enable the SSAC's members to leverage their expertise where useful and keep the SSAC more continuously connected with wider ICANN initiatives.

16. In the process of developing each SAC-series document, the SSAC should explicitly discuss who affected parties may be and whether or not affected parties should be consulted for feedback or should be notified that the SSAC plans to publish a document on a given topic.

Soliciting feedback can give the SSAC additional information to consider when generating advice, assist the SSAC in considering how its advice may be put into action, and increase SSR awareness within the potentially affected party.

17. The SSAC's Administrative Committee should provide an email update to the leadership of ICANN's SOs/ACs one month prior to each ICANN meeting with links to relevant SSAC documents/proceedings from the SSAC's website.

Brief communications that can be shared within SO/ACs makes the SSAC more transparent and keeps SSR top of mind as an ICANN meeting approaches.

18. The SSAC should post specific additional materials online in the short-term, to consolidate information and increase transparency. The SSAC's Administrative Committee should then undertake a yearly review of the SSAC's website to determine whether additional content should be provided or whether the website should be restructured.

Periodic website improvements increase transparency and can assist with member recruitment.

19. The SSAC should remain accountable directly to the ICANN Board and through it to the wider ICANN community.

The current accountability mechanisms for the SSAC are appropriate.

Section VII relates to SSAC's size, membership, and term length and limits.

20. The current number of SSAC members is appropriate. The SSAC should continue to work to ensure its members are engaged, in conjunction with the recruiting points made below.

There should be a yearly flow of individuals on to and off of the SSAC, providing new ideas and perspectives while retaining active members' expertise.

21. Each year, the SSAC should develop a formalized recruiting plan with goals, potential recruiting targets, meetings to attend, messaging for prospective candidates, and any other items that are deemed useful. Similarly, it should maintain a list of potential future members, even if those individuals are not currently applying to the SSAC.

A formalized recruiting plan can help the SSAC to increase the robustness of its talent pipeline, ease the transition of retiring members, reflect on the required skills

and diversity for more medium-term goals, and grow its network in light of increased workload.

22. The SSAC should work with the ICANN Board to secure funding to present its work at and/or attend two or three major security conferences outside of ICANN meetings annually, where members may meet new interested applicants.

Both academic and professional conferences provide opportunities to meet established and emerging experts in SSR-related fields who could bring new and useful perspectives as future SSAC members or Invited Guests. It also can assist with increasing geographical diversity.

23. The SSAC Membership Committee should generate a list of academic or other institutions with research efforts in fields related to SSR. The Membership Committee should keep this list up to date, and consider if academics may bring useful perspectives as either Invited Guests or full SSAC members.

Academics working in related fields may be interested in collaboration with the SSAC. A connection to academic institutions can also serve as a feeder for individuals to assist with SSAC work.

24. The SSAC should continue efforts to recruit individuals with a strong technical background but who also have legal/policy expertise. Discussion of the need for individuals with legal, policy, and law enforcement expertise should be codified in each year's recruiting plan.

While the SSAC currently has members experienced in legal, policy, and law enforcement backgrounds, it is important that this continue to be a criteria that is considered when planning the SSAC's recruiting.

25. The SSAC should endeavor to recruit individuals with a strong technical background who also represent a broad set of geographical locations and reasonably balanced set of genders. Discussion of how to do so should be codified in each year's recruiting plan.

When it is possible to obtain both diversity and the required technical expertise for the SSAC, processes should be in place that maximize the likelihood of doing so.

26. The SSAC's membership review process should include a yearly review process for the SSAC's external Liaisons and representatives.

This informal review will provide feedback to the SSAC's external interfaces to help them identify actions that are seen as useful.

27. The SSAC's leadership should be limited to two, three-year terms. The SSAC should impose no term limits on non-leadership members.

This aligns with the SSAC's current term limits, except for the SSAC Chair.

28. The SSAC should work with the ICANN Board to update the ICANN Bylaws in order to allow for there to be term limits on the SSAC Chair.

After the update is made, the SSAC should term-limit its Chair as described above.

29. The SSAC should maintain its current processes and activities around disclosing potential conflicts of interest, both at the individual level and as a group of individuals. It should also update its online disclosure of interest statements to clearly articulate when the disclosure was last submitted for each member.

In an organization such as the SSAC, it is impossible to assure a complete lack of conflict of interest on the part of each individual. Instead, the SSAC needs internal checks among the group of individuals to assure that conflicts are addressed and don't influence the institutional decisions of the organization.

Section VIII relates to the SSAC's prior review implementation and continuing efforts for self-improvement.

30. The SSAC should continue to nurture and build upon the SSAC's culture that values self-improvement, including between formal reviews.

Effective organizations do not learn and improve only during formal processes, but via continuous reflection as experience is gathered. Such continual improvement allows an organization to learn in real time and to be robust to change.

Outside of these recommendations above, we note that in managing its work, the SSAC faces certain tensions. For example, while technical excellence is the foundation of the SSAC's credibility and excellence is strongly tied to the SSAC's consensus building processes, this can at times be in tension with the need to communicate more broadly and quickly to non-technical constituents. Similar tensions arise when balancing outside transparency into the topics discussed by the SSAC with the need for responsible disclosure that does not notify attackers of potential security risks, or when balancing organizational flexibility with the need to at times have well defined formal processes. Recommendations are made with the balance of these tensions in mind, as discussed further throughout this report.

II. Background

A. ICANN

The Internet Corporation for Assigned Names and Numbers (ICANN) is an international non-profit organization in charge of coordinating the global Domain Name System and Internet policy,

among other responsibilities.⁷ The mission of ICANN, as stated in its Bylaws, is “to ensure the stable and secure operation of the Internet’s unique identifier systems.”⁸

This mission includes the coordination and allocation of names in the root zone of the Domain Name System (DNS) and the coordination of the development and implementation of policies concerning the registration of second-level domain names. ICANN also coordinates the operation and evolution of the DNS root name sever system, as well as the allocation and assignment of Internet Protocol and Autonomous System numbers at the top-most level, providing open access for registries and facilitating the development of global registry policies.

Security, stability, and resiliency (SSR) is critical for the proper functioning of the Internet and the fulfillment of ICANN’s mission. ICANN’s “multi-stakeholder model” is structured to ensure that ICANN also represents the interests of industries, non-commercial organizations, individual Internet users, the technical community, and national governments. While final decisions on Internet policy recommendations rest with the Board of Directors, ICANN’s three Supporting Organizations (SOs) and four Advisory Committees (ACs) develop policy recommendations and advise the Board.⁹

B. ICANN’s Security and Stability Advisory Committee

Since 2002, the Security and Stability Advisory Committee (SSAC) has advised the ICANN community and the ICANN Board of Directors (ICANN Board) on issues concerning the security and integrity of the Internet’s naming and address allocation systems. In particular, the SSAC is responsible for:¹⁰

- Communicating on security matters with the Internet technical community and the operators and managers of critical DNS infrastructure services.
- Engaging in ongoing threat assessment and risk analysis of the Internet naming and address allocation services to assess where the principal threats to stability and security lie, and advising the ICANN community accordingly.
- Communicating with those who have direct responsibility for Internet naming and address allocation security matters (e.g., IETF, RSSAC, RIRs, and name registries) to ensure that its advice on security risks, issues, and priorities is properly synchronized with existing standardization, deployment, operational, and coordination activities.
- Reporting periodically to the ICANN Board of Directors on its activities.

⁷ “Beginner’s Guide to Participating in ICANN,” *ICANN*, p. 2, available at <https://www.icann.org/resources/pages/beginners-guides-2012-03-06-en>, accessed on May 15, 2018.

⁸ ICANN Bylaws, *ICANN*, Article 1, Section 1(a), *ICANN*, available at <https://www.icann.org/resources/pages/governance/bylaws-en/#article1>, accessed May 15, 2018.

⁹ “Beginner’s Guide to Participating in ICANN,” p. 2, available at <https://www.icann.org/resources/pages/beginners-guides-2012-03-06-en>, accessed on May 15, 2018.

¹⁰ ICANN Bylaws, *ICANN*, Article 12, Section 12.2(b)(i), available at <https://www.icann.org/resources/pages/governance/bylaws-en#VII-1>, accessed on June 14, 2018.

- Making policy recommendations to the ICANN community and ICANN Board of Directors.¹¹

In order to fulfil these responsibilities, the SSAC studies issues using a consensus-driven model in order to produce reports, advisories, and comments:

- Reports are in-depth analyses that may recommend specific actions to ICANN, and typically take a number of months to produce.
- Advisories handle more time-sensitive concerns, addressing an active security or stability problem with recommended actions.
- Comments are responses to requests for feedback on other documents, either from groups within ICANN or from external organizations.¹²

These publications, known as the SAC series, are available online.¹³ There have been 100 SAC-series publications in the SSAC's history, with ten publications released in 2017.¹⁴ In 2018, the SSAC also launched a new SSAC-Correspondence series of documents, used to communicate on management or community issues.¹⁵

The SSAC Liaison to the ICANN Board of directors formally submits any SSAC reports or advisories via email along with a Submission Cover Letter 48 hours prior to publication. After 48 hours, the publication is posted to the SSAC web site and SSAC Discussion Space. The SSAC Chair then sends an email along with a Submission Cover Letter to any affected ICANN parties notifying them that the work product has been published.¹⁶

The SSAC selects research topics primarily through its own members, but also studies topics when directed to by the ICANN Board, and it accepts suggestions from SO/ACs and the ICANN community. Once the committee selects a particular subject, a Work Party (consisting of one or two leaders, as well as a flexible number of contributors and reviewers) is formed to study the issue.¹⁷

The SSAC is currently composed of 37 volunteer members, all of whom are technical experts in domain name, addressing, and/or security areas, with a mix of industry and research backgrounds.¹⁸ All members participate as equals, although there is an Administrative Committee

¹¹ "Security Committee Charter." *ICANN*, 2011. <https://www.icann.org/groups/ssac/charter>, accessed on May 21, 2018.

¹² "SSAC Operational Procedures Version 5.1," SSAC, February 27, 2018, Section 1, p. 6.

¹³ "SSAC Documents | by Category", *ICANN*, available at <https://www.icann.org/groups/ssac/documents-by-category>, accessed on May 15, 2018.

¹⁴ "SSAC Reports and Advisories", *ICANN*, available at <https://www.icann.org/groups/ssac/documents>, accessed on May 21, 2018.

¹⁵ "SSAC Documents | Correspondence", *ICANN*, available at <https://www.icann.org/groups/ssac/documents-correspondence>, accessed on May 21, 2018.

¹⁶ "SSAC Operational Procedures Version 5.1," SSAC, February 27, 2018, Section 3.4, p. 33.

¹⁷ "SSAC Operational Procedures Version 5.1," SSAC, February 27, 2018, Sections 3.1-3.2, p. 28-29.

¹⁸ "SSAC Bios and Disclosures of Interest," available at <https://www.icann.org/groups/ssac>, accessed on May 21, 2018.

that includes the SSAC Chair, Vice-Chair, Liaison to the ICANN Board of Directors, and SSAC Support Staff. SSAC members in leadership roles do not receive special rights or privileges and are elected by SSAC's members. In addition to the Administrative Committee, other special roles in SSAC include liaisons, invited guests, and the SSAC Membership Committee.¹⁹

The SSAC Membership Committee has two primary roles. First, it is the administrative body responsible for reviewing applicants and inviting new members to join the SSAC, subject to approval by the ICANN Board. Second, the SSAC Membership Committee is responsible for reviewing current members at the end of their term and making a recommendation regarding renewal to the SSAC. Members of the SSAC are appointed for three-year terms, which can be renewed indefinitely. Members whose terms are expiring that year are not eligible to serve on the Membership Committee. Typically, a third of SSAC's members are considered for renewal each year. The Membership Committee is composed of three non-voting members (the SSAC Chair and Vice-Chair, and the Liaison to the ICANN Board) and five voting members, who are volunteers from the SSAC.

In addition to the appointed members of the SSAC, there are three SSAC Support Staff who are paid employees of ICANN. These staff include the Sr. Director of Policy Development Support, a Technical and Policy Specialist, and a Senior Technical Analyst.²⁰ Their role is to assist in the production of SSAC work product and to serve on the Administrative Committee.

III. Methodology of the Independent Review of the SSAC

A. Scope of Review

The ICANN Bylaws require that the SSAC be independently reviewed at least once every five years.²¹ In accordance with this requirement, our review includes:

- **An assessment of whether the SSAC has a continuing purpose within the ICANN structure.** This includes an examination of SSAC's chartered purpose, which is to advise the ICANN community and Board on matters relating to the security and integrity of the Internet's naming and address allocation systems, and how well it is fulfilled. Such an examination is designed to assess the SSAC's continuing purpose within the ICANN structure.

¹⁹ The SSAC currently has Outward Liaisons including a Liaison to the ICANN Board. While the SSAC does have Inward Liaisons, any Inward Liaison to the SSAC must meet the full qualifications to be an SSAC member. As a result, some individuals mentioned in interviews that they do not consider these to be Inward Liaisons in the traditional sense. Invited guests participate in SSAC activities such as Work Parties for an extended period of time when their expertise is particularly relevant (e.g., while developing a specific work product), but do not have the privileges of full membership such as voting, serving on the membership committee, or holding a leadership position. After this work is completed, they may apply to become permanent members.

²⁰ "Security and Stability Advisory Committee." *ICANN*, 2017, <https://www.icann.org/groups/ssac>, accessed on May 21, 2018.

²¹ ICANN Bylaws, *ICANN*, Article 4, Section 4, available at <https://www.icann.org/resources/pages/governance/bylaws-en#VII-1>, accessed on May 1, 2018.

- **An assessment of how effectively the SSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness.** Subject to the scope of the SSAC’s chartered remit (ICANN Bylaws, 12.2(b)), we examine the purpose, structure, and operations with respect to the SSAC’s effectiveness, in accordance with ICANN-provided criteria.
- **An assessment of the extent to which the SSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.** Here, we will assess if the SSAC is sufficiently accountable regarding security matters according to its chartered mandate to provide advice to the ICANN community and Board, and to engage and communicate with the community on various security matters as detailed in its role.²²
- **An assessment of the implementation state of the SSAC’s prior review.** This includes a status report of the implementations approved by the ICANN Board from the first SSAC Review, and an assessment of the effectiveness of these implementations.

Our independent review of the ICANN SSAC has been divided into two stages: (1) assessment of the SSAC’s performance and (2) recommendations to improve the SSAC’s effectiveness. This draft final report reflects the findings of both phases.

B. Review Methodology

To assess the SSAC’s performance, we rely on a large number of individual interviews, an online survey, documents developed by the SSAC and other SOs/ACs, the prior external review, and auditing of SSAC’s in-person meetings at ICANN61 and conducted remotely after ICANN61. This draft final report includes recommendations to improve the functioning of the SSAC based on this assessment, our experience with ICANN, and extensive work with other nonprofit and volunteer-based organizations to improve their effectiveness.

It is important to emphasize that our approach does not require perfect representation across the ICANN community from either those interviewed or those surveyed. We have not, for example, drawn conclusions based principally on the frequency with which we heard a particular opinion during our interviews and through the survey instrument. Rather, the interviews and online survey are methods designed to gather diverse perspectives across ICANN with the goal of ensuring we have heard and considered many diverse opinions before making our assessment and our recommendations. Throughout this process, we have endeavored to minimize potential bias, for example by scheduling additional interviews to be sure competing perspectives were heard.

We conducted 42 individual interviews with current and former members of the SSAC, the ICANN Board, SSAC support staff, and other members of the ICANN community. These interviews were conducted in-person at ICANN61 and remotely, and were intended to capture a wide variety of

²² ICANN An Overview of the Request for Proposal for the Review of the ICANN Security and Stability Advisory Committee, *ICANN*, 2017, available at <https://www.icann.org/en/system/files/files/rfp-ssac-review-07jul17-en.pdf>, accessed on May 20, 2018.

individuals' views on the role and processes of the SSAC, the strengths and weaknesses of the SSAC, and the relationship between the SSAC and the ICANN community.

To ensure we spoke with individuals that possessed a variety of perspectives, potential interviewees were selected through a variety of channels. In particular, interviewees were selected based on recommendations from the SSAC Review Working Party and from others within the ICANN community. Additionally, we asked interviewees for their personal recommendations of community members with different perspectives, and also interviewed people who contacted us directly and expressed an interest in sharing their feedback on the SSAC.

Interviews were semi-structured. While a list of questions was used as a reference, interviewees were asked different questions based on their backgrounds and on our learnings from prior interviews. In doing so, a variety of perspectives were explored and followed-up on throughout the process. We found 42 interviews to be sufficient to explore multiple perspectives on the ideas and feedback points raised.

Figures 1, 2, and 3 show the composition of interviewees in terms of their affiliations within ICANN, their gender, and the global region that they associate with.

Figure 1: Current/Former ICANN Roles and Affiliations

Number of Interviewees: 42

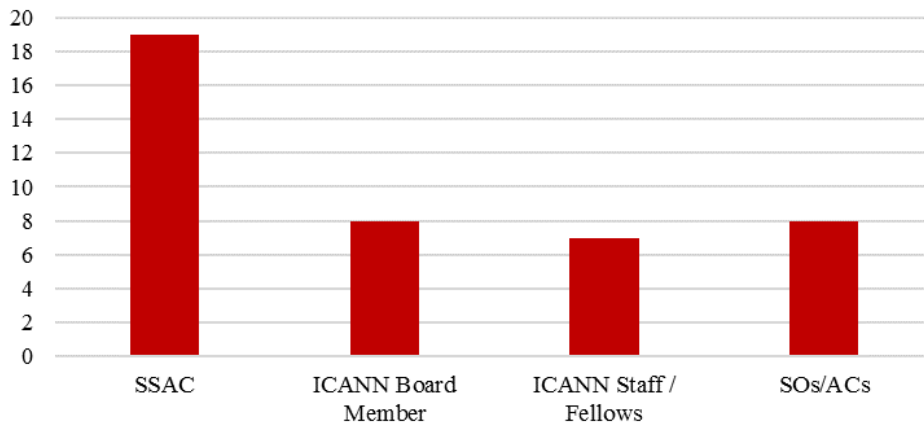


Figure 2: Gender Composition
Number of Interviewees: 42

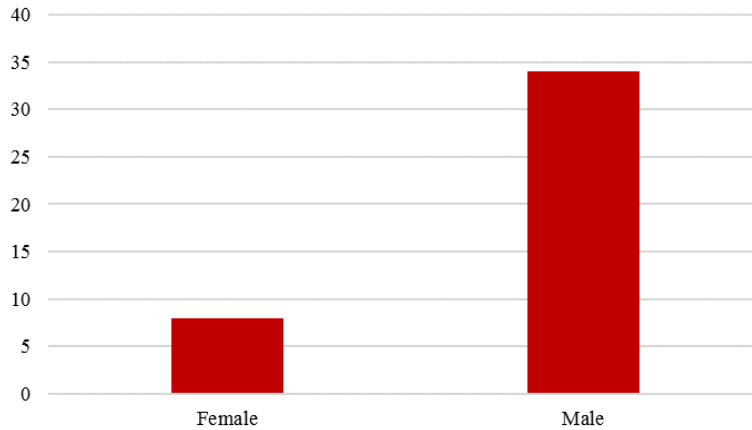
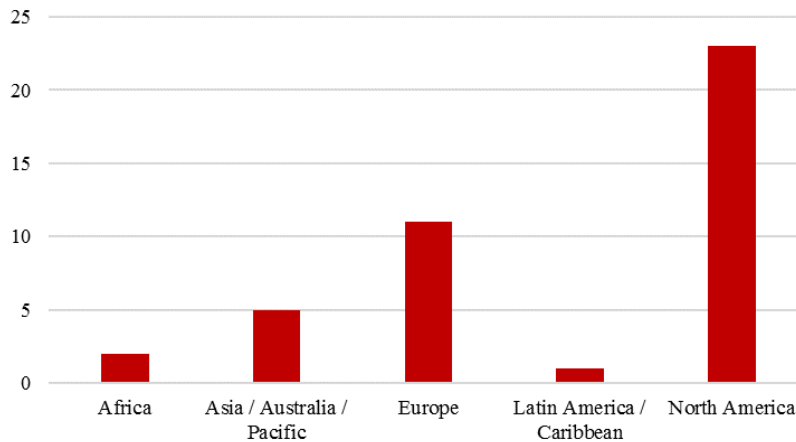


Figure 3: Region in which Interviewees Reside
Number of Interviewees: 42



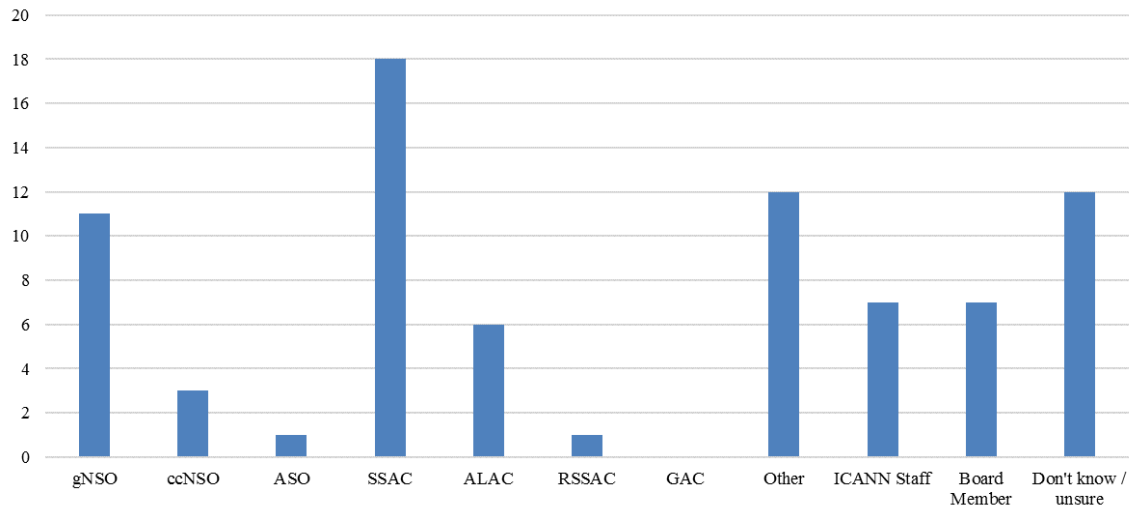
We also received input from the ICANN community through an online survey with the goals of (1) collecting feedback from a wider set of respondents, (2) allowing individuals who were not interviewed to provide feedback on the SSAC, and (3) allowing those who were interviewed and interested to comment on a broader set of topics. The survey was informed by our interviews and was refined in collaboration with the SSAC Review Work Party (RWP). The survey was publicized widely, and used best practices in survey design.²³

²³ Promotion of the survey included ICANN announcements, use of ICANN social media, and outreach to community members conducted by RWP. Survey best practices included randomized answer order to avoid potential bias, minimization of open-ended questions for quantitative analysis, and options to “Not know” or be “Unsure,” among others.

The online survey collected feedback from current and former members of the SSAC, the ICANN Board of Directors, other SOs/ACs, as well as ICANN staff and other individual members of the ICANN community. The survey had 52 total respondents who completed the entire survey.²⁴ Figures 4, 5, and 6 below show the makeup of the group of survey respondents in terms of their affiliations within ICANN, their gender, and the global region which they associate with, respectively.

Figure 4: Current/Former ICANN Roles and Affiliations²⁵

Number of Survey Respondents: 80



²⁴ In addition, a larger group of up to 80 respondents answered only a portion of the survey. Findings are robust to this larger sample. Figures in this report show results from all respondents who answered the question.

²⁵ The number of survey respondents in each category does not sum to the total number of respondents because there is overlap in organizational affiliation.

Figure 5: Gender Composition
Number of Survey Respondents: 53

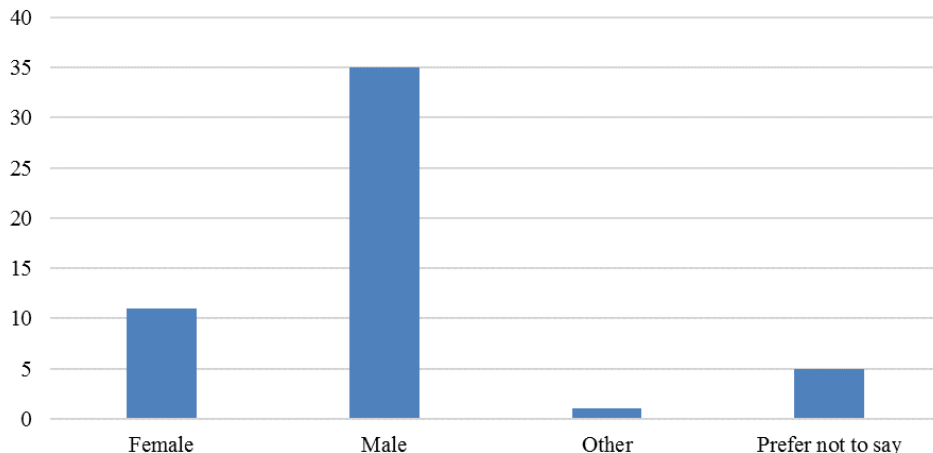
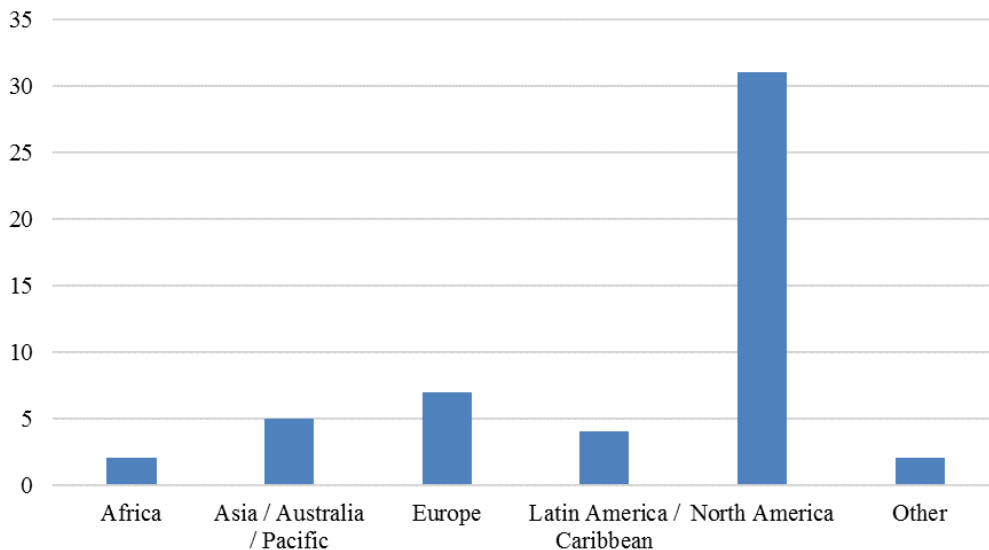


Figure 6: Region in which Survey Respondents Reside
Number of Survey Respondents: 52



We note that, in the public comment period of this report, the Business Constituency (BC) and the gTLD Registries Stakeholder Group (RySG) both commented that more representation from non-SSAC SO/AC members would have been useful in the review process. We note that multiple outreach strategies were used both in person and digitally to solicit feedback from SO/AC members, including passing out fliers to announce interview opportunities broadly, direct requests to members of SO/ACs to assist in distributing the online survey, social media blasts, public meetings and webinars, and two public comment periods. To the extent that stakeholders feel as though the independent review processes as put forth by ICANN do not sufficiently solicit

feedback or open the process to SO/ACs outside of the one under review (in this case, the SSAC), we would encourage those interested to continue the dialogue within ICANN.

IV. Findings and Recommendations: The Continuing Purpose of the SSAC

A. Finding 1: The SSAC is widely acknowledged to be very important to the overall mission of ICANN. The role of the SSAC is closely aligned with ICANN’s mission.

The role of the SSAC is closely aligned with the overarching mission of ICANN. The mission of ICANN, as stated in its Bylaws, is “to ensure the stable and secure operation of the Internet’s unique identifier systems.”²⁶ SSAC’s role as an Advisory Committee within ICANN is “to advise the ICANN community and Board on matters relating to the security and integrity of the Internet’s naming and address allocation systems.”²⁷

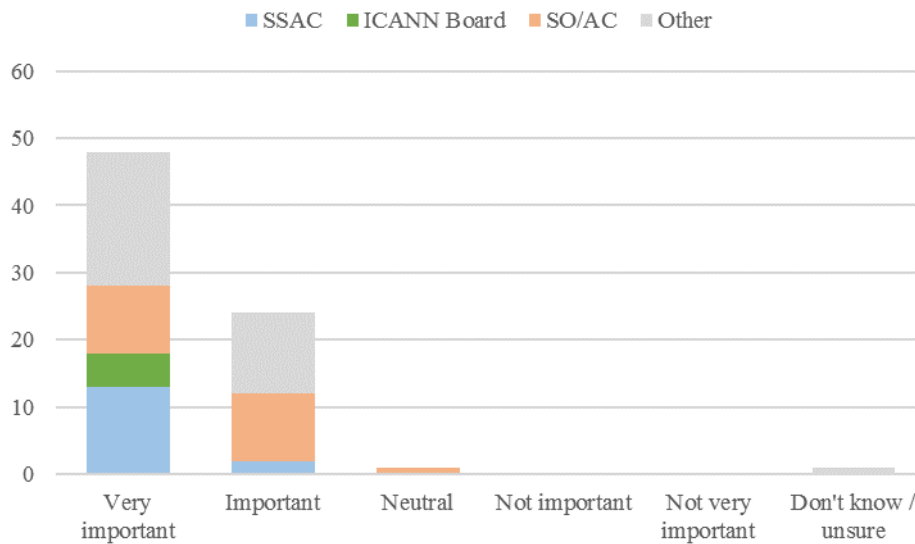
Numerous interviews revealed that, in practice, the missions of ICANN and the SSAC align. While ICANN’s role extends broadly beyond technical matters, the SSAC focuses specifically on providing reliable technical advice regarding security risks to the Internet naming and address allocation services. Interviewees who self-identified as non-technical members of the ICANN community widely agreed that they rely on and expect the SSAC to proactively help the community, including those without technical backgrounds, on technical issues related to the security, stability, and reliability of processes and decisions regarding the DNS and root zone.

As shown in Figure 7, when asked how important the SSAC is to the overall mission of ICANN, all but one respondent indicated that the SSAC is either very important or important, with 97% indicating that the SSAC was very important. Notably, not a single survey respondent believed that the SSAC was not important or very much not important. This aligns with the results of our interviews, where all but one person asked agreed that the SSAC is “critical” to the mission of ICANN.

²⁶ ICANN Bylaws, *ICANN*, Article 1, Section 1(a), *ICANN*, available at <https://www.icann.org/resources/pages/governance/bylaws-en/#article1>, accessed June 20, 2018.

²⁷ ICANN Bylaws, *ICANN*, Article 12, Section 2(b), available at <https://www.icann.org/resources/pages/governance/bylaws-en/#article12>, accessed June 20, 2018.

Figure 7: How important do you perceive the SSAC is to the overall mission of ICANN?
Number of Survey Respondents: 74



Recommendation 1: The SSAC has a clear continuing purpose within ICANN. Its existence as an Advisory Committee should continue.

For the reasons outlined above and throughout this report, it is clear that the SSAC provides an important role within ICANN and that the high value of this role is widely recognized. While additional specifics are discussed throughout this draft final report, we conclude that the SSAC has a continuing purpose within ICANN, and that its role as an Advisory Committee to the ICANN community and the ICANN Board is both necessary and appropriate.

V. Findings and Recommendations: The SSAC’s Advice Generation and Provision of Advice to the ICANN Board

This section begins by examining the effectiveness of the SSAC, and then discusses the effectiveness of the relationship and between the SSAC and the ICANN Board, the body which is typically charged with reviewing and deciding what SSAC advice should be implemented. It then reviews the SSAC’s method of selecting topics for study and ends by discussing the SSAC’s advice-generation process.

A. Finding 2: Individuals throughout ICANN largely agree that the SSAC is successful in providing high quality advice on a broad variety of relevant SSR issues.

Interviews and survey responses largely agree that the SSAC is successful in providing high quality SSR advice. Individuals noted that the SSAC provides high quality advice on a variety of SSR issues, and they noted that the SSAC has a particularly strong work ethic and generates a large quantity of advice and documents for a volunteer group. The technical skill and ability of

SSAC members are clear to others throughout the ICANN community, and ICANN Board members indicate that they appreciate and rely on the SSAC’s advice.

SSAC’s published materials are its primary way of providing advice to the community. As shown in Figure 8, the SSAC has published 100 documents in its SAC series, which include SSAC Reports, Advisories, and Comments, as discussed in Section I.B. above. The SSAC has continued its high rate of publication since its last review, and interviews indicate that these documents have been useful to the ICANN community. Numerous interviewees noted SAC095, “SSAC Advisory on the Use of Emoji in Domain Names,” as a particularly useful recent SSAC work that was widely reviewed.²⁸

In 2018, the SSAC introduced a new type of document, known as an “SSAC Correspondence” to allow the SSAC to more effectively track SSAC letters, comments, and other correspondence on administrative, community, and other non-SSR issues (e.g., comments on the recent NomCom Independent Review).²⁹ To date, this new document series appears to have increased SSAC’s communication with the wider community, as the total number of SSAC Correspondences for the first part of 2018 is greater than the total number of SSAC documents in 2017.

²⁸ “SAC095 SSAC Advisory on the Use of Emoji in Domain Names”, SSAC, May 25, 2017, available at <https://www.icann.org/en/system/files/files/sac-095-en.pdf>, accessed on May 15, 2018.

²⁹ “New SSAC Document Numbering System”, SSAC, January 3, 2018, available at <https://www.icann.org/en/system/files/files/ssac2018-01-03jan18-en.pdf>

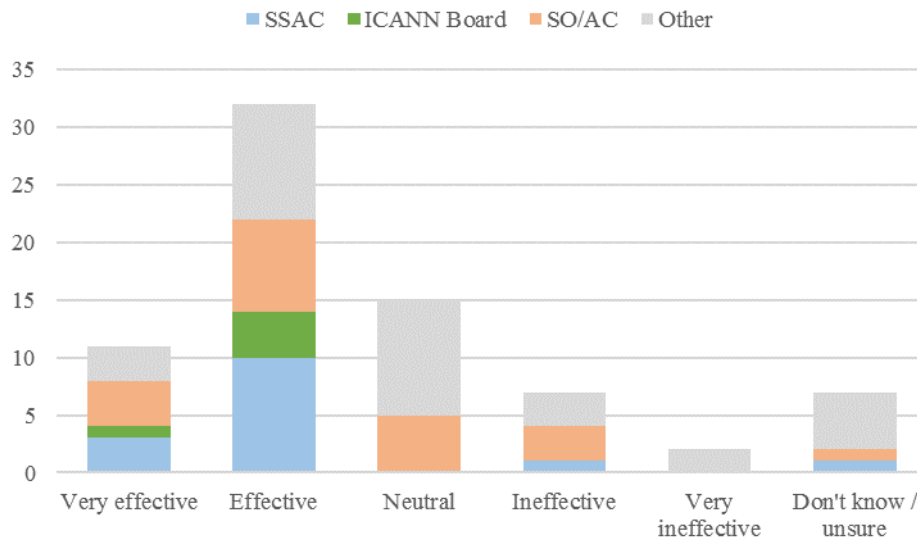
Figure 8: SSAC’s Published Documents through May 10, 2018
Number of Documents

Year	SAC Series Documents				Total	SSAC Correspondence
	Report	Advisory	Comment	Letter		
2001	1				1	
2002	3				3	
2003	1				1	
2004	1				1	
2005	1				1	
2006	6		2		8	
2007	5	1	2		8	
2008	5	3	4		12	
2009	4	1	2		7	
2010	3		1		4	
2011	2	1	2		5	
2012	2	2	1		5	
2013	1	3	2	1	7	
2014	2	3	1		6	
2015		2	5		7	
2016		2	11	1	14	
2017		2	7	1	10	
2018					0	13
Total	37	20	40	3	100	13

While 58% of respondents find the SSAC to be very effective or effective, some individuals indicated otherwise (see Figure 9).³⁰ Understanding these perspectives is important as the SSAC continues to improve upon itself in the years ahead. 12% of respondents indicated that the SSAC was either ineffective or very ineffective, while 20% were neutral. Notably, while the majority of SSAC and ICANN Board members found the SSAC to be effective, members of other SOs/ACs and others held more varied views.

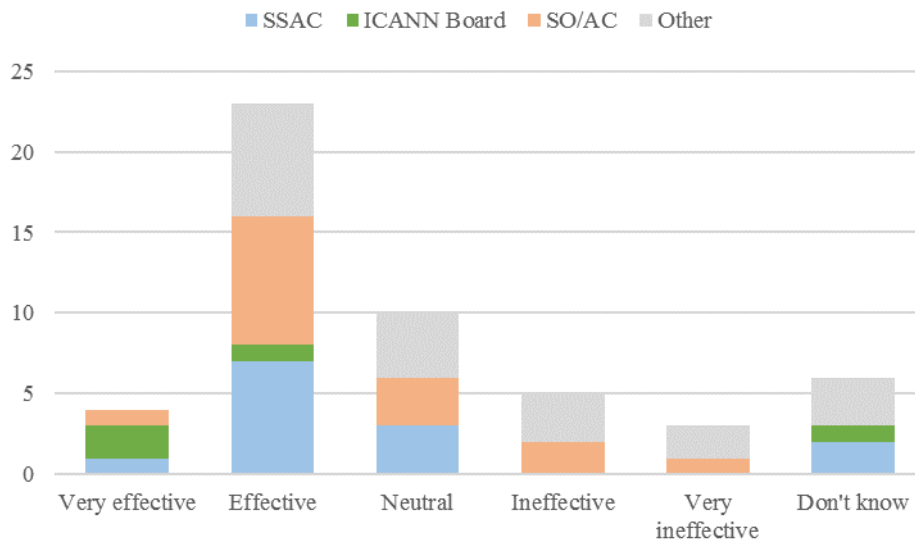
³⁰ We note that “neutral” is different from “don’t know/unsure” in that a neutral opinion is an opinion that falls between “effective” and “ineffective”, whereas “don’t know/unsure” reflects that the respondent does not feel sufficiently knowledgeable to answer the question.

Figure 9: How effective, or ineffective, is the SSAC in performing its role?
Number of Survey Respondents: 74



We also asked both interviewees and survey respondents to comment on the effectiveness of SSAC’s advisory process. Figure 10 shows that 53% of respondents found the SSAC’s advisories, in particular, to be either very effective or effective.

Figure 10: How effective, or ineffective, are the outcomes from SSAC’s advisory process?³¹
Number of Survey Respondents: 51



Individuals provided a number of ways that they believe the SSAC could be more effective. Figure 11 shows the results of a question asking respondents to rank the most important areas for the SSAC to improve upon. Top responses include requests for the SSAC to develop processes to provide advice in a more timely fashion, to increase stakeholder involvement, and to develop better relationships within the ICANN community (e.g., with other SOs/ACs). Recommendations for these and other suggested places for refinement are discussed throughout this draft final report.

The SSAC prides itself on technical expertise and its credibility stems from that; but, it serves and communicates with a broader audience that is in some places much less technical. Interviews indicated that increased efficiencies could come from heightened sensitivity to a less-technical mindset and the priorities of readers (e.g., policy development timelines and implementation needs). For example, it was suggested that at times the SSAC could be more clear and/or concrete in articulating how advice could be acted on or implemented, and work on its articulation on issues where legal, policy, or territorial matters closely relate to technical security.

Figure 11: What would you consider the most important areas for the SSAC to improve on?

Number of Survey Respondents Who Included Response in Top Three Selections

Response	Total
Develop processes to provide advice in a more timely fashion	17
Engage stakeholders through public meetings and presentations	12
Develop better relationships with ICANN community (such as SOs/ACs)	12
Solicit feedback from ICANN community and third parties as part of work party process	11
Improve delivery process of relaying advice to the ICANN community	10
Develop better relationships with third parties outside of ICANN	10
Participate in ICANN community public comment periods	10
SSAC recruiting	9
Develop better coordination with the timing of priorities for other SOs/ACs	8
Better tailor writing styles based on audience of advice	8
Incorporate outside expertise into the SSAC advisory process	7
Topic selection	6
Improve SSAC work party efficiency and coordination. Establish formal coordination processes	6
Technical writing	6
Incorporate support staff into WP	3
None	2

These areas of potential improvement are discussed at length throughout this draft final report, and recommendations are given. While these areas for self-improvement are critical, we view these as avenues to improve an already relatively strong and effective SSAC.

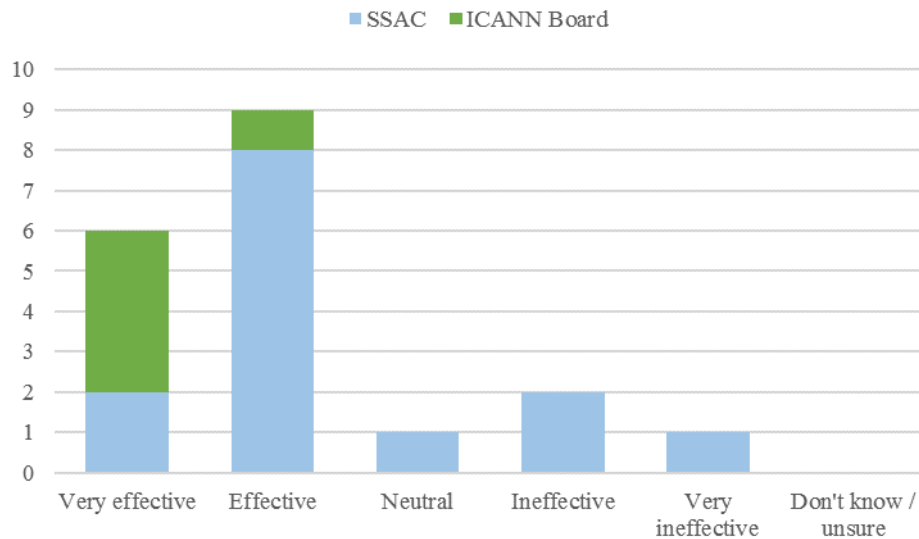
³¹ This question also explained that “The SSAC’s advisory process involves activities such as providing advisories, comments, or reports in regards to security, stability, and resiliency technical issues.”

B. Finding 3: The role of the SSAC Board Liaison is key in ensuring the Board is able to interpret and understand the advice provided by the SSAC.

Both interviews and survey results, as shown in Figure 12, confirm that the SSAC and ICANN Board have an effective relationship. Members of the ICANN Board unanimously spoke of the importance and value of the role played by the SSAC Liaison in maintaining that relationship, and also described other SSAC members as approachable.

Figure 12: How do you describe the relationship between the SSAC and the ICANN Board?

Number of Survey Respondents: 19



The ICANN Board is an extremely busy body, and its membership has a varied background with differing degrees of technical expertise. The ICANN Board relies heavily on the SSAC Liaison to assist it in understanding the importance and implications of SSAC advice, drawing its attention to specific items, and understanding when and how to ask the SSAC for advice. In practice, the SSAC Liaison formally submits SSAC documents to the ICANN Board. Board members indicated that the Liaison has gone beyond this by preparing useful summaries of the documents to help the Board contextualize any important technical nuances of the advice. It was separately suggested that similar summaries may also be useful to a broader audience outside of the ICANN Board.

Recommendations involving the role of the Board Liaison are included across the various findings below.

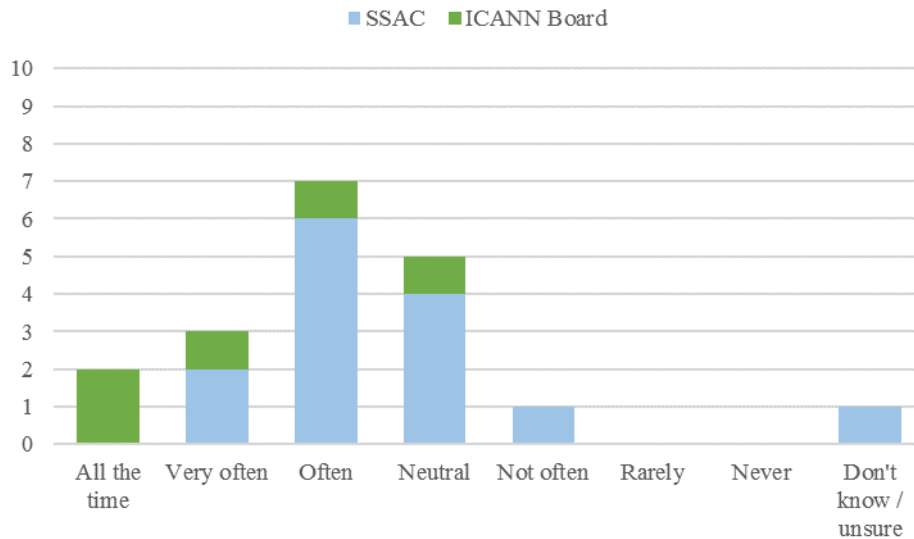
C. Finding 4: There is some concern among members of the SSAC that advice provided to the ICANN Board is not acted on in a timely manner.

Interviews and survey results generally indicated that the relationship between the SSAC and the ICANN Board is effective.³² The ICANN Board greatly appreciates the advice of the SSAC, and relies on its advice when making SSR-related decisions. It was also indicated that there may be room for further alignment in timing or timing expectations between the SSAC and the ICANN Board. Within the SSAC, many individuals indicated that they do not feel the ICANN Board implements advice in a timely manner. On the Board, individuals indicated that they wished the SSAC could, at times, better align the timing of advice with the Board’s decision making schedule.

As shown in Figure 13, the majority of respondents on both the ICANN Board and the SSAC feel as though the ICANN Board implements SSAC advice often, very often, or all the time, while only one respondent said not often.

Figure 13: How often does the ICANN Board implement advice given to them by the SSAC?

Number of Survey Respondents: 19



In October 2016, ICANN reviewed the historical advice provided to the ICANN Board by the SSAC and provided the SSAC with an update.³³ Since that time, the ICANN Board has maintained an advice tracker, updated periodically.³⁴ This Action Request Register (ARR) “provides a centralized system supporting a consistent and repeatable process for tracking and managing

³² See Figure 12.

³³ “ICANN Board Advice Register and Status of SSAC’s Historical Advice to the ICANN Board,” ICANN, October 19, 2016, available at <https://www.icann.org/en/system/files/correspondence/crocker-to-faltstrom-19oct16-en.pdf>.

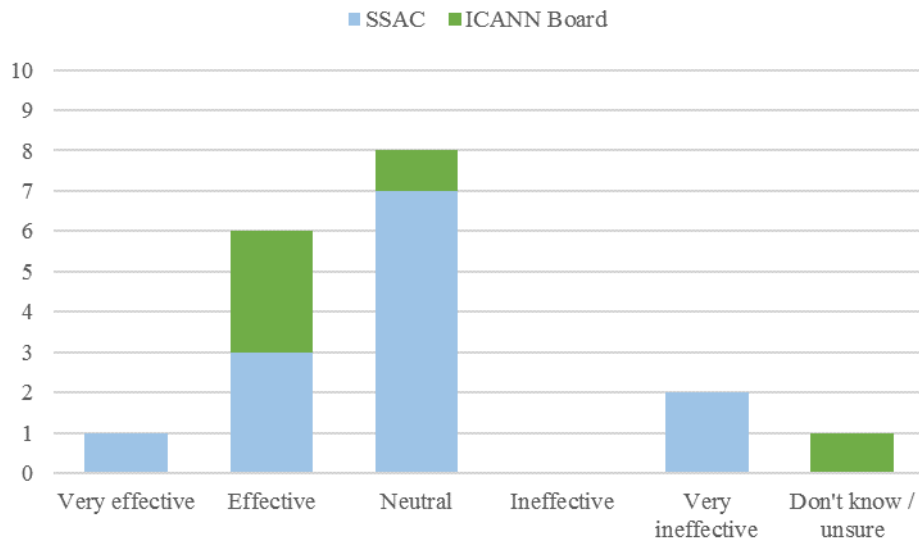
³⁴ The most recent tracker can be found on ICANN’s website at <https://features.icann.org/board-advice>.

[ALAC, RSSAC, and SSAC] advice.”³⁵ Many interviewees indicated that the ARR has been very helpful in creating a more transparent feedback process, allowing the SSAC to have a better idea as to the status of its advice. However, while 39% of survey respondents expressed that the ARR is very effective or effective, 44% felt neutrally, and several find the tracker to be very ineffective (see Figure 14).

Interviews reveal that those who do not find the ARR to be effective have concerns about the timeliness of the ICANN Board in responding to SSAC advice, and find the tracker to lack transparency in showing the status of items that are in the process of being implemented, a process that they say can at times take more than a year. Figure 15 indicates that many respondents feel that the ICANN Board can be untimely in its response, and no respondents feel that the Board responds in a very timely manner. An internal analysis conducted by members of the SSAC RWP found that some SSAC advice takes more than two years between report release and ICANN Board Resolution, and advice can at times take over a year to implement thereafter.

Figure 14: How effective have you found the Board’s tracker at tracking advice received from the SSAC?

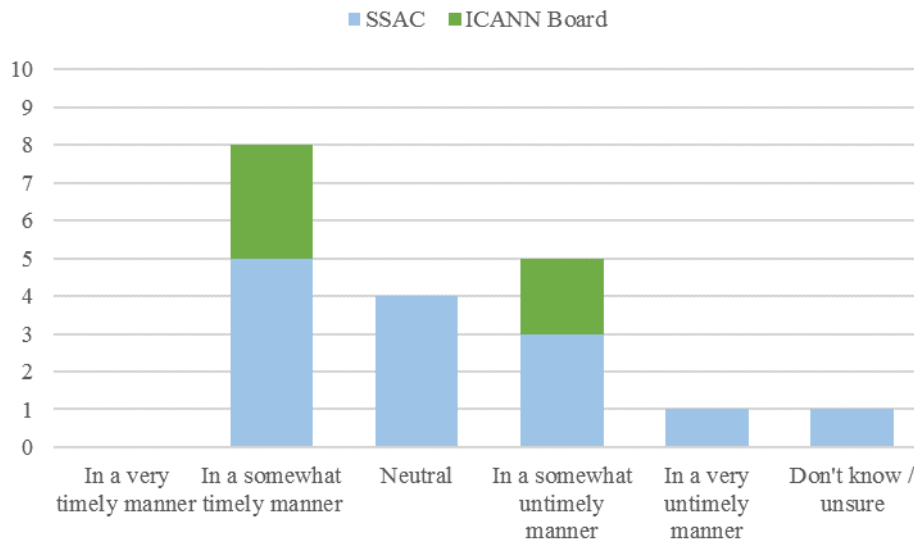
Number of Survey Respondents: 18



³⁵ “Board Advice Process,” ICANN, available at <https://www.icann.org/en/system/files/files/board-advice-process-handbook-25oct17-en.pdf>.

Figure 15: How timely, or untimely, is the ICANN board in reacting to, and potentially incorporating, SSAC advice?

Number of Survey Respondents: 19



This aligns with responses heard in interviews: that is, that the ICANN Board is very busy, SSAC advice is one of many items that the Board considers, and thus is sometimes is not considered as quickly as some might expect. Interviews with ICANN Board members indicate there are several factors that affect the speed with which the Board responds to SSAC advice. This includes the clarity of the advice, the alignment of SSAC advice with the timing of other issues the Board is considering, and the ways in which particular pieces of advice are put forward for review by the Board.

Delayed timing can either stem from process issues (e.g., if it were too difficult to track recommendations) or a misalignment in expectations (e.g., if the ICANN Board believes it to be answering all items placed in front of it promptly, but the SSAC feels some items are lagging). To address both of these potential issues, our recommendations relate to the preparation of advice, delivery of advice, the tracking of advice consideration and subsequent implementation, and the ability to check in on the status of any item.

Recommendations 2 through 4 below relate most closely to this finding.³⁶

³⁶ As noted in the Introduction, there is not necessarily a one-to-one relationship between findings and recommendations. Some recommendations are informed by multiple findings, while some findings may lead to multiple recommendations. Recommendations are presented in this report in proximity to the most relevant findings.

Recommendation 2: The SSAC should ensure that each advisory or report provided to the ICANN Board includes a high-level summary that outlines the topic or issue in easily understandable terms and lists the key findings with uniquely numbered recommendations.

Section 3.5 of the current SSAC Operating Procedures discusses the importance of tracking, reviewing, and following-up on SSAC recommendations. The section itself contains details in regards to the numbering of SSAC's documents, but it does not provide details on the numbering of specific recommendations or an outline of how the SSAC should follow-up on recommendations to ensure they are considered and, if accepted, accurately implemented.

In order to track the consideration and subsequent implementation of recommendations, it should be made as easy as possible for all involved to identify, understand, and monitor the recommendations themselves.

A first step is ensuring that the reader had adequate information to contextualize recommendations. This is achieved by the introduction or executive summary of the document, a section the SSAC currently provides. This summary should present the core issues studied in easily understandable terms, and it should discuss the work that the SSAC underwent to study the issue. Relevant stakeholders should be disclosed, for example, if the SSAC consulted with other SO/ACs in the course of advice generation. While the primary audience of many SSAC documents is the ICANN Board, these introductions or executive summaries can also be written using language to make the document accessible to the ICANN community as a whole.

The second step is then ensuring that recommendations are clearly articulated and enumerated. Recommendations should be actionable in that the required next step should be clear. Recommendations should also be numbered so they can be tracked. As the SAC-series documents are uniquely identified, we propose a unique numbering system for recommendations that leverages this existing enumeration. Items within SAC-series documents could be tracked using a suffix to the SAC name, for example in SAC101, *SSAC Advisory Regarding Access to Domain Name Registration Data*, the seven contained recommendations could be numbered SAC101-1 through SAC101-7.

This enumeration can then globally identify a recommendation, be it in the ARR or another document.

Recommendation 3: When providing advice, the SSAC should ensure that the Board Liaison reviews and provides feedback on both the summary and full document before submission to the Board. The SSAC should proactively discuss talking points and potential Board response timing with the SSAC Board Liaison.

As discussed above, the SSAC Board Liaison plays a critical role in the delivery of the SSAC's advice to the ICANN Board and in setting the expectations of the SSAC for how and when the ICANN Board may respond. The Board Liaison is the individual who typically relays the SSAC's advice to the ICANN Board, and historically the Liaison has provided summaries and

contextualization to help ensure the ICANN Board understands advice. The Liaison then participates in SSAC meetings where she or he updates the SSAC on Board activities.

Discussion with the SSAC Board Liaison can help the SSAC gauge the time and effort that it may take for specific recommendations to be responded to or implemented, given the ICANN Board’s competing priorities. To do so, we recommend that the Board Liaison review and provide feedback on both the introduction/executive summary and the content of each document before its submission to the Board. To the extent the Board Liaison believes additional contextualization within the document would help to increase understanding and decrease response times, any such language could be considered.

Additionally, as the Board Liaison develops talking points for either the cover email or discussion with the ICANN Board, we recommend that these talking points be shared with the SSAC Administrative Committee and relevant SSAC Work Party so that they may understand how the information is being presented and weigh in as necessary. In the process of developing these talking points, the Board Liaison can give an idea of how the recommendation may fit into other priorities of the ICANN Board and provide a rough idea of when the Board may have the bandwidth to respond to the advice - either in the typical course of business or via proactive prompting from the Board Liaison.

Recommendation 4: The SSAC Board Liaison should work with the ICANN Board and ICANN Staff to ensure that Board Action Request Register adequately captures the information required to understand the status of advice from when it is given through its implementation.

The ARR should allow the ICANN community to quickly and easily understand the status of the advice made to the ICANN Board.³⁷ As of July 31, 2018, the SSAC has 46 items listed in the ARR. As can be seen below in Figure 16, 27 (59%) of the open Advice Items from the SSAC are currently in the implementation phase, meaning the Board has accepted the recommendation and directed ICANN to implement an action. Interviews have indicated that it can be difficult to understand the implementation state of these items, and so additional details into these items could assist the ICANN community in understanding their status.

Figure 16: Current Status of Open Advice Items in the ARR
As of 31 July 2018

Status of Open Advice Items (# items)	Phase 1 Receive & Acknowledge	Phase 2 Understand Request	Phase 3 Evaluate & Consider	Phase 4 Implement	Phase 5 Close Request	Total Number of Open Advice Items
ALAC	0	0	0	3	1	4
RSSAC	0	7	4	0	0	11
SSAC	0	7	0	27	12	46
Total by Phase	0	14	4	30	13	61
Δ since update	0	-1	-1	-1	-2	-5

³⁷ The discussion in this section is specifically based on our review of the SSAC. We have not reviewed the use of the ARR for RSSAC and ALAC feedback. We note that the advice of the GAC is not registered in the ARR.

The current ARR provides two columns of information in addition to a summary of the advice given: they are “Phase” (which lists one of the five phases shown above) and “Action Taken” (a general status update). Based on our review, most items the implementation state are characterized at a fairly high level. Additionally, no date information outside of the date advice was given is included in the tracker, so it can be difficult to understand when a given entry was last updated.

We recommend that the SSAC Board Liaison work with the ICANN Board or relevant ICANN Staff to ensure that the ARR captures additional information that is not currently captured in the ARR. In particular, this information should help to differentiate between the status of advice before it is accepted or rejected by the ICANN Board, then again during implementation. Some useful fields to capture may be:

- Date Last Updated - A simple date field recording the last time the entry for a given piece of advice was updated.
- Days Since Last Update - A calculated field based on “Date Last Updated” that makes it easy to filter the ARR to records based on how long it has been since the status was updated, making follow-up easier.
- Action Taken - The current “Action Taken” field could be updated to specifically articulate actions taken by the Board, allowing for implementation status to be captured separately by those asked to implement by the Board.
- Implementation Owner - The part of ICANN responsible for implementation, per the ICANN Board’s directive. This should include enough detail for the SSAC to identify who to follow-up with if implementation status is unclear.
- Implementation Status - For accepted advice, this field could provide a status update based on the latest understanding of implementation progress. This field could be set to “N/A” for advice that has been rejected or not yet decided upon.

We recommend that the SSAC’s Board Liaison work with the SSAC and the ICANN Board/relevant ICANN Staff to implement a plan that properly balances the effort in maintaining the ARR with the ability to track items until their completion. As the ARR is also used to track the advice of the RSSAC and the ALAC, we suggest inviting representatives from those ACs to join the discussion. The final process for updating the ARR should be clear, and each item under implementation should have a known point of contact who can speak to its current status when asked.

In addition, we note that the ARR does not track, in detail, any recommendations that the SSAC makes to other SO/ACs. For example, SAC100 which provided recommendations to the Policy Development Process Working Group on New gTLD Subsequent Procedures was listed as a single line-item in the ARR with a note that no action was required on the part of the ICANN Board. While we do not feel that the ARR is the right place to track advice made bilaterally from ACs to all other bodies within of ICANN, the SSAC may wish to consider whether such advice should be tracked in a more detailed fashion.

Recommendation 5: The SSAC should periodically review the implementation state of past and future advice provided to the ICANN Board to ensure that all action items are listed in the ARR. The SSAC should follow-up with the ICANN Board via its Board Liaison when advice has not yet been addressed or when progress is unclear.

Ultimately, the ARR should be a tool that the SSAC can use to understand what happens to the advice and recommendations that the SSAC has given. While it is not the SSAC's role to implement advice, the SSAC should be able to know that its advice is being duly considered and, when appropriate, implemented.

The SSAC should be able to follow-up on any item by either discussing the item with the SSAC Board Liaison, or, when the Liaison is unsure of the status, she or he can reach out to the ICANN Board or other relevant party (such as an ICANN Staff member in charge of implementation) for information. The Board Liaison can help the SSAC identify the most effective times to follow-up given the ICANN Board's other objectives.

We recommend the SSAC's Administrative Committee actively review the implementation state of advice provided to the ICANN Board. This includes both historical advice currently in the ARR, and new advice items moving forward. We expect this process will be made much easier to do once updates to the ARR, such as those in Recommendation 4, are implemented. Ultimately, the SSAC should not be shy about working with its Liaison to ensure it understands the review and implementation status of advice that has been given.

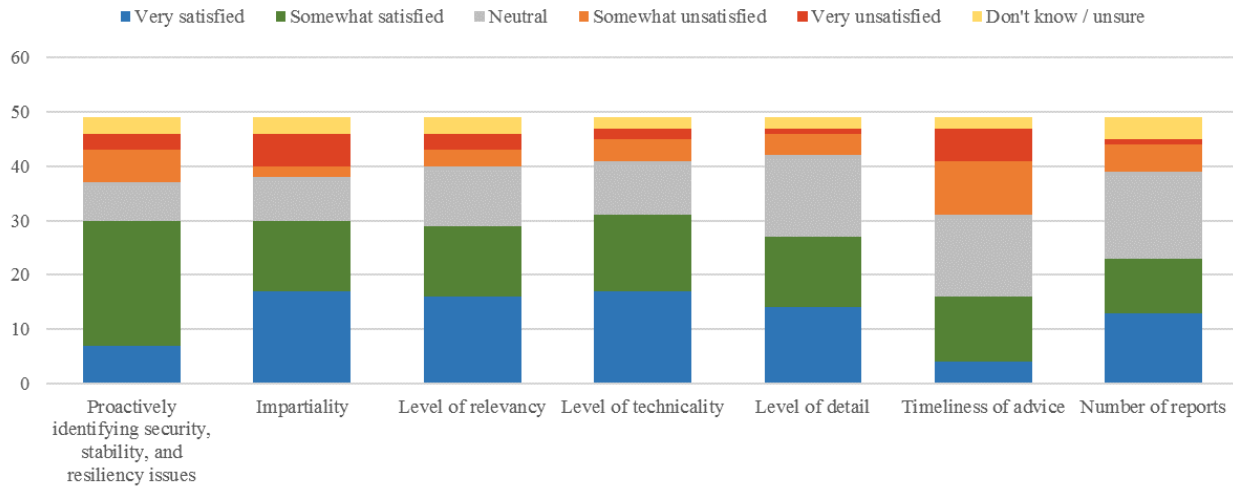
D. Finding 5: There is some concern among members of the ICANN Board that the advice of the SSAC cannot be provided quickly and could more often align with the Board's decision making schedule.

Interviews with ICANN Board members indicated that some believe the SSAC could do a better job of lining up the advice it provides with the decision making timeline of the ICANN Board. The Board also expressed that it would be useful if the SSAC were able to provide the Board with a "quick look" at certain SSR issues, even if it meant foregoing the full consensus process used by the SSAC. These Board members believed it would be valuable for the SSAC to be able to at times consider providing a varied set of non-consensus opinions (with that nuance laid out clearly) to help the Board understand an issue expediently when needed.

Figure 17 shows the results of a question asking how satisfied respondents were with various aspects of the SSAC's advisory process. Most individuals were either very satisfied or somewhat satisfied across a broad variety of aspects relating to the SSAC's advice generation. Respondents were least satisfied with the timeliness of the SSAC's advice.

Figure 17: Please indicate the extent to which you are satisfied, or not, with the following aspects of the advisory process.³⁸

Number of Survey Respondents: 49



Additionally, certain ICANN Board and SSAC members cautioned that the SSAC should be careful not to become unduly focused on process issues at the expense of technical advice. Several individuals suggested that the Name Collision Analysis Project (NCAP) is one such example to be mindful of.

Recommendations 6 and 7 below relate most closely to this finding.

Recommendation 6: For time sensitive issues, the SSAC should establish process and work deadlines that take into account the decision timelines of other ICANN entities. The SSAC should work with SSAC staff to ensure internal deadlines are set up to make meeting external deadlines as possible as reasonable.

While timeliness is certainly important, we generally agree that the SSAC is correct to be cautious about rushing advice. Security issues can by their nature be complicated, and interviews have revealed that the SSAC appropriately puts time and care into picking words carefully in an effort to be as clear as possible. That said, there may be ways the SSAC can work to provide advice in ways more in line with the decision making schedule of the ICANN Board. The SSAC does not produce advice in a vacuum. Rather, advice is developed to be reviewed and implemented by those who have need of it when making decisions or developing policy.

We recommend that the SSAC should, for time sensitive issues, establish work schedules that take into account the decision timelines of other ICANN entities. This could involve asking other ICANN entities when decisions will be made, and/or working with the relevant Liaisons to understand the expected timing of decisions that would rely on the SSAC’s advice. For example, the Board Liaison can provide the SSAC with regular updates of the types of items that the Board

³⁸ This question also explained that “The SSAC’s advisory process involves activities such as providing advisories, comments, or reports in regards to security, stability, and resiliency technical issues.”

is focusing on throughout the year, so that the SSAC can aim to provide advice at times that may be most ideal for implementation.

While the SSAC should make an effort to provide advice in a fashion that is in-line with decision making schedules, the SSAC should also continue to be clear to others that it follows a consensus driven process, and that, depending on complexity, it may be impossible to provide advice on a tight timeframe. When such an impossible deadline is requested of the SSAC, the SSAC should provide a clear update to the other body to explain why additional time is needed.

Recommendation 7: The SSAC should develop a process to, when possible, provide a “quick look” at a particular issue for the Board. Such “quick looks” might not be the result of a consensus-driven process, but rather would disclose differing opinions.

The existing, consensus-based process of advice generation within the SSAC is highly valuable and should remain the main way that the SSAC produces recommendations and advice. Multiple members of the ICANN Board also expressed that it would be useful to, at times, be able to ask the SSAC for a “quick look” at a particular issue. Such correspondence could help the Board frame or understand an issue at a high level, without providing specific recommendations. It could also provide the ICANN Board with an understanding of the range of potential perspectives that might exist on a topic.

We recommend the SSAC develop a procedure to provide a “quick look” on certain issues to the ICANN Board, particularly given the new SSAC Correspondence Series meant to focus on communication instead of advice. The SSAC would always have the capability to reject such a “quick look” request, and/or help the ICANN Board to modify its request into one that can be handled in such a fashion (via the SSAC’s Board Liaison). If desired, the SSAC should also be able to use this process to provide a “quick look” on any issue of its choosing, outside of a formal request.

E. Finding 6: The SSAC is well prepared to deal with emerging security threats. It was noted that the SSAC does not have formal procedures geared towards identifying emerging threats as an input to setting research priorities. Some interviewees indicated that as threats continue to increase in number and in complexity, there could be value in developing processes by which the SSAC could more formally review the security ecosystem as part of its topic selection.

The SSAC has strong technical expertise and almost all interviewees indicated that the SSAC is generally well-prepared for SSR threats that may occur in the future. Less technical interviewees indicated that they do not have the background to know if the SSAC is appropriately evaluating the security landscape to pick topics of research focus, but these interviewees stated they are relying on the SSAC to do so.

The SSAC’s method of selecting topics to provide advice on has evolved over time. Interviews indicate that in the early days of the organization, the SSAC Chair drove the focus of the organization. Today, the SSAC’s administrative committee maintains a running list of potential topics for research, and it keeps tabs on SSAC member interest in each topic. Topic ideas are

generated in a variety of methods, including informally via SSAC meetings and emails, direct requests from the ICANN Board and SO/ACs, and also at ICANN Meetings including via informal interactions and the SSAC's Public Meeting. The SSAC's internal Annual Workshop also devotes a section to developing new ideas.

In order for a topic to be focused on by the SSAC, several conditions must be met. There needs to be a member (or two) of the SSAC who is interested in leading the Work Party on that topic, and there needs to be enough interest and availability among other members to take part. The question must also be clearly defined, actionable, and within the scope of the SSAC's remit. The SSAC has historically disbanded a Work Party if it becomes apparent that the underlying questions are not clear. There are currently no formal voting or prioritizing mechanisms around topic selection, which has been seen as appropriate for a volunteer organization.

This process of topic selection has been effective for many years. Interviewees indicate that, historically, the research interests of the SSAC have aligned with the security needs of the ICANN community, in part because the SSAC is comprised of experts who inherently are interested in pressing security issues. However, individuals on the SSAC and the ICANN Board also indicated that there is some interest in considering whether or not the SSAC should develop more formal procedures geared towards identifying emerging threats as an input to setting research priorities. Several interviewees believe that the cybersecurity landscape and number of threats is rapidly evolving, and that a more defined process could be useful in assessing this environment. The SSAC's recent session on emergency security threats during Tech Day at ICANN62 was well attended, and the SSAC fielded many questions from the ICANN community.

As shown in Figure 18 below, 53% of survey respondents find the current topic selection process to be either very effective or effective in identifying emerging and future security threats, while 24% were neutral, and 18% felt the process was ineffective or very ineffective. While the majority of respondents find the current process to be effective, the ability to identify emerging and future threats in regards to SSR issues is critical for ICANN, and it would be ideal if more respondents felt this way. Similarly, Figure 19 shows that while 18% of respondents were very satisfied with the current topic selection process, 47% were only somewhat satisfied, and 35% felt neutral, somewhat unsatisfied, or very unsatisfied.

Figure 18: How well do you feel the current topic selection process is able to identify emerging and future threats?

Number of Survey Respondents: 17

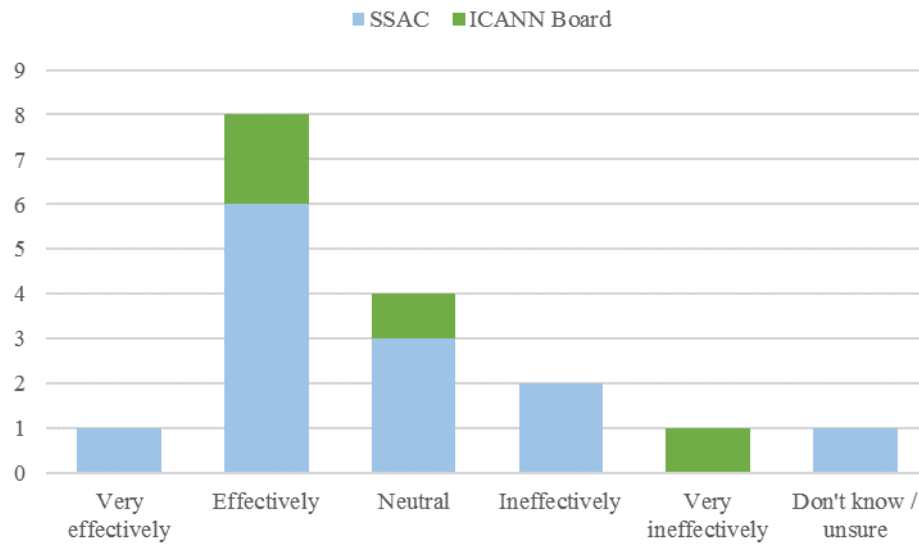
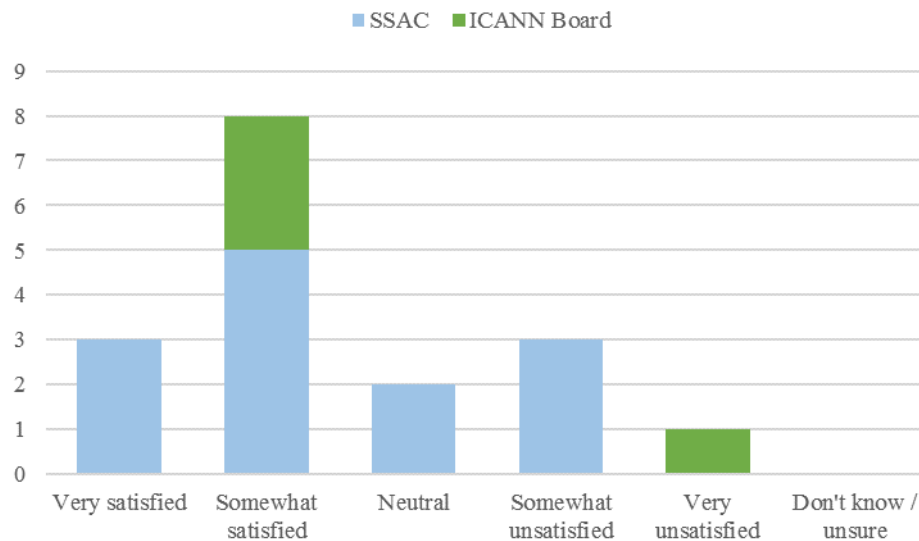


Figure 19: Are you satisfied, or unsatisfied, with the current topic selection process?

Number of Survey Respondents: 17



Recommendations 8 and 9 below relate most closely to this finding.

Recommendation 8: The SSAC should formalize an annual process geared towards setting research priorities and identifying relevant emerging SSR threats in the short- and medium-term.

We recommend that the SSAC formalize a process to build structure into its mechanisms of setting research priorities and identifying emerging threats within the SSAC’s remit. This process should not be overly time-consuming, but rather should be created with the goal of allowing the SSAC to clearly plan potential research goals over both short (one-year) and medium-term (five-year) time horizon. The results of this exercise can assist the SSAC in communicating goals with other ICANN and non-ICANN organizations, and can flow into internal processes relating to membership and skills evaluation, e.g., so that the SSAC can ensure it recruits new members with skills in emerging security areas.

We recommend this process build upon the SSAC’s already successful activities, such as the “new idea” session at the SSAC’s internal Annual Workshop. Regardless of how the process is structured, we recommend SSAC members reflect upon ongoing changes in the security space and how it may impact future SSAC work needs. Items for research could be split into short (one-year) and medium (five-year) priorities, and items that are particularly critical for SSR reasons can be flagged with a variant of “needs to happen.” As discussed more below, it is important that the conversation around topic focus include a discussion of member interest, skills, and the SSAC’s ability to take on any items seen as critical.

As the SSAC at times is given research requests from other entities within ICANN, including the ICANN Board, the lightweight planning exercise should be completed with these stakeholders in mind. The SSAC should consider the priorities and ongoing activities of such groups. The Board Liaison and other liaisons should be a part of the conversation to assist with this.

After the first year of implementing such a process, the list of research goals should be revisited on at least an annual basis and updated as needed.

Recommendation 9: The skills needed for tasks identified in the SSAC’s annual priority setting and emerging threat identification exercise should feed into the SSAC’s membership and recruitment processes.

Once research priorities are clearly identified across both short and medium-term time horizons, these research goals can flow into SSAC processes, including those around membership. We recommend the SSAC reflect on its list of upcoming priorities to assess how they align with current member interest, skills, and time availability. If there are important topics that the SSAC does not have the time to take on, this can be flagged for the Membership Committee to help determine if there are Invited Guests that could be brought into the SSAC for selected topics.

We recommend identified research priorities also be used as an informal gauge of which topics current SSAC members are interested in. We suggest there be a step where members are encouraged to flag which short and medium-term topics they are likely to have interest in. As discussed elsewhere in this report, the SSAC is currently close to an ideal size and, to the extent

that certain members are not interested in participating in topics on a medium-term time horizon, it may be an indication that it makes sense for that member to roll off as new members are recruited.

In the longer-term, the SSAC should consider if there are specific upcoming topics for which additional new or redundant expertise or perspectives could be useful. The Membership Committee should use this information when determining how to focus recruiting efforts, when considering the skills of new applicants, and when periodically updating the SSAC's skills matrix (see Recommendation 21).

F. Finding 7: Individuals suggested that the largest impediment to the SSAC's success is the fact that the organization is volunteer-based, yet has a large amount of work to do. SSAC volunteers express they have been subject to an increasing requests, both in number and in scope.

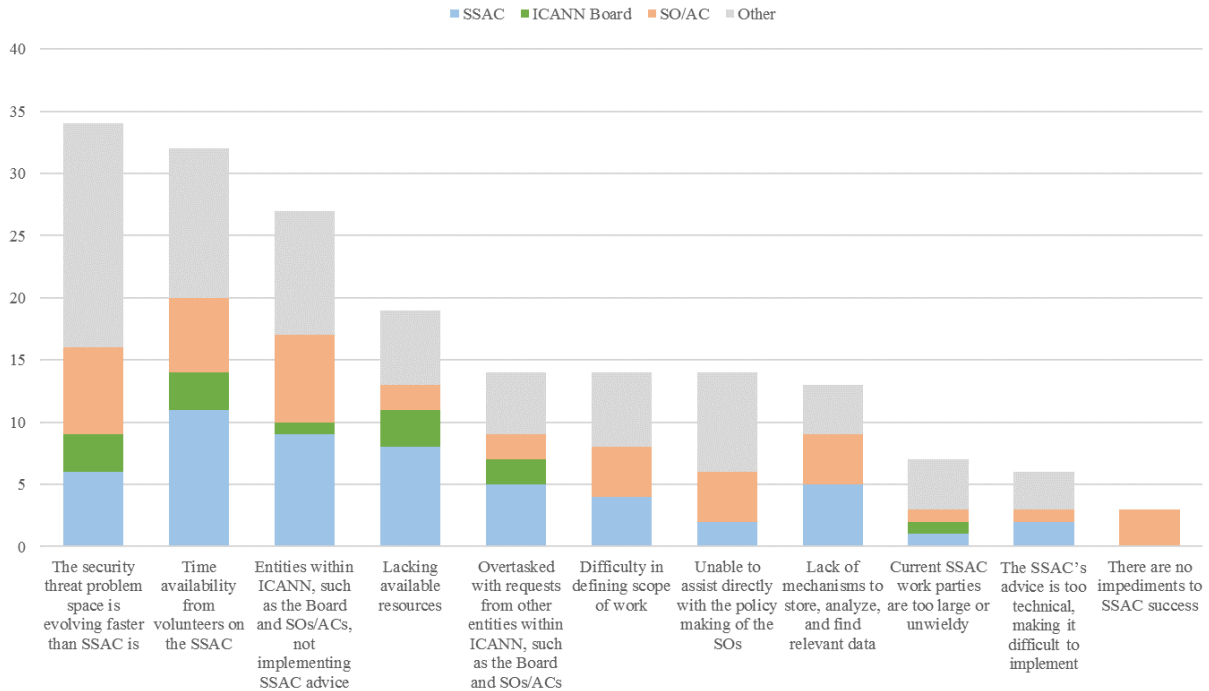
As with many bodies within ICANN, the SSAC is comprised entirely of volunteer members who donate their time, efforts, and expertise. As discussed above, SSR issues are important within the mission of ICANN, and they relate to a wide variety of ICANN activities. The limited time of SSAC members has historically needed to be juggled between competing priorities to provide advice, and as mentioned above, the SSAC has been prolific in providing advice documents to the ICANN Board and Community.

Interviews revealed numerous individuals who feel that a lot is being asked of the SSAC. This included among SSAC members, many of whom reported that there are increasing demands on their time. Multiple reasons were given: some SSAC members feel as though the ICANN Board is asking for guidance more often than it previously did; some reflect that the recent NCAP project is very large in scope (the largest project that the SSAC has taken on), and that it also requires project management overhead; and, others reflect that there is increasing requests for collaboration with other SO/ACs.

When asked about the largest impediments to the SSAC completing its duties, roles, or mission, options relating to the time and resources available to the SSAC were mentioned frequently. As show in Figure 20, the second most selected option (32 respondents) indicated that "time availability from volunteers on the SSAC" is the largest impediment. This "time availability" was the most frequently selected option by SSAC members themselves, and tied as the top impediment noted by members of the ICANN Board. Similarly, 19 respondents cited the SSAC was "lacking available resources," and 14 indicated that the SSAC was "overtasked with requests from other ICANN entities." These three options each ranked in the top five most frequent responses.

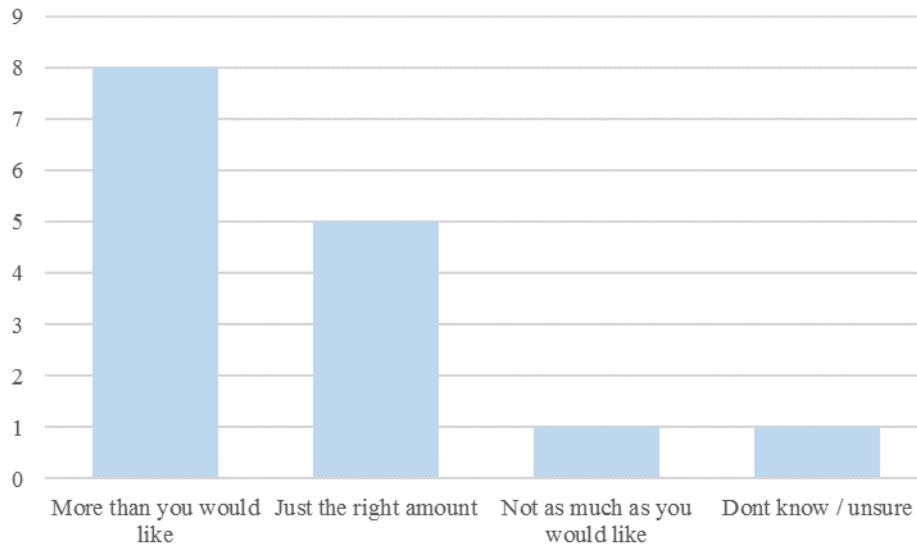
Figure 20: What would you consider the biggest impediments to the SSAC completing its duties, roles, or mission?

Number of Survey Respondents: 72



Survey responses also show that SSAC members may feel they need to contribute more often than they would like to, an important factor in the longer-term sustainability of any volunteer organization. As seen in Figure 21, 53% of SSAC respondents felt that their time contribution to the SSAC was “more than you would like,” while 33% felt their contribution was “just the right amount.”

Figure 21: What is your view of your time contributions to the SSAC?
Number of Survey Respondents (SSAC Members): 15



Several individuals suggested strategies that could be considered to help reduce the burden on the SSAC without decreasing its effectiveness. One option frequently mentioned was to look for opportunities to collaborate with ICANN’s Office of the Chief Technology Officer (OCTO) more frequently, and it was noted that communication between the two groups is already strong. It was also noted that the SSAC should go back to the ICANN Board (or others) with requests for resources if needed - for example, the SSAC recently requested funding to support the NCAP project, which would include the use of external contractors for certain tasks.

In terms of support for individual research projects, several individuals noted that past experience with working with SSAC “Invited Guests” on specific issues has been helpful, a result born out in the survey where 73% of SSAC respondents reflected that such guests have been effective. Interviewees noted that these guests could be academics with related research interests, or simply individuals interested in assisting the SSAC with a specific project or research item. Additionally, it was suggested that the SSAC could consider whether or not ICANN Fellows could provide assistance in certain kinds of work.

Finally, SSAC members broadly have praised the skills of ICANN Staff in supporting the SSAC. Several interviewees suggested that perhaps additional staff resources would help with the large amount being asked of the SSAC.

Recommendations 10 through 12 below relate most closely to this finding.

Recommendation 10: The SSAC should explicitly communicate the reasons for its decisions around topic selection and focus with others in ICANN. New requests should be compared to the current set of priorities and communicated about accordingly.

The SSAC both sets its own research agenda and takes on tasks as requested by other ICANN bodies, including the ICANN Board. In doing so, the SSAC has many potential projects that compete for the SSAC's limited resources.

Ultimately, the SSAC will not be able to focus on every item requested of it. In these situations, the SSAC should continue to take proactive action and responsibility for organizing its resources. This should include selecting what projects to focus on and what projects to save until later, working with those who request projects to refine the scope of requests, and communicating these decisions transparently so that members of the ICANN Community can understand why the SSAC has decided to focus on each task and how the task is important to ICANN. There must be a well-developed process to track potential and incoming topics and, for those not selected, a clear rationale for why the SSAC's limited resources could not be allocated to these tasks.

We first recommend that the outcomes of the SSAC's lightweight topic selection and emerging threat identification process be shared more broadly within ICANN (see Recommendation 8). This could take the form of a yearly SSAC-Correspondence series document discussing emerging threats and the SSAC's potential short and medium-term focus for the ICANN Board. To the extent that there are topics considered then rejected by the SSAC (either as out of the SSAC's remit, unlikely to lead to actionable recommendations, or for other reasons), we recommend these be included along with a brief summary of why they should not be pursued at the present time.

Throughout the year as the SSAC is approached with new requests, these requests should be compared against the current task list and intended short-term goals of the SSAC. Using this information, the SSAC can judge whether a particular task is feasible and what kinds of tradeoffs might be required in order to meet new requests. This information can be communicated back to the requesting body via the appropriate channels, along with requests for additional resources when needed (see Recommendation 11). The SSAC should periodically update its list of based on such requests and information.

In addition, the SSAC should continue to communicate its ongoing and upcoming research focuses broadly within the ICANN Community, as it currently does at ICANN Public Meetings. The SSAC should also continue to invite the public to suggest topics at such meetings. To the extent that the SSAC is studying or considering review of a potential threat that must remain confidential, that item should be listed once it becomes safe to do so.

We also recommend that the SSAC's priorities be communicated to other SO/ACs in meetings of the SO/AC chairs, by relevant liaisons, and continued informal interaction. The SSAC's upcoming focuses may in part be set by the needs and requests of others in the ICANN community as revealed in such conversations.

Recommendation 11: The SSAC should continue to approach the ICANN Board when additional funding, resources, or access to external contractors may be required to achieve a project in the desired timeline or at the desired scale.

When the SSAC is asked by the ICANN Board to provide services that fall outside the reasonable capabilities of a volunteer organization, either due to the time required or other circumstances, the SSAC should first work with the ICANN Board to see if the request can be refined. If the project reflects a large scope of work, the SSAC should let the ICANN Board know what kind of resources would be required in order to achieve the desired goal. These responses should give a rough idea of the funding, resources, or other items that might be required.

The recent Name Collision Analysis Project (NCAP) is one example of the SSAC requesting additional resources when it believes a project to be too extensive to shoulder alone. In addition to establishing a stakeholder process for community input into creating a project plan, the initial project proposal advised the ICANN Board that reasonable costs could be in excess of \$3 million USD over three years.³⁹

This kind of communication is a useful starting point for the SSAC as it communicates with the ICANN Board about what would be needed to fulfill a large request. We note there also may be times where the ICANN Board asks a question that it believes to be straightforward, but that in fact the SSAC believes it would take more resources than reasonable or easily obtained. In these situations, we recommend the SSAC work with the ICANN Board via the Board Liaison, and potentially the SSAC Correspondence series, to refine or clarify the request.

Recommendation 12: The SSAC should consider whether an internship can be offered to graduate students in cybersecurity or data analytics programs for assistance with research or specific work products. In addition, the SSAC should continue to endeavor to leverage the assistance of ICANN’s technical staff when it is appropriate to do so.

While the deep expertise of SSAC members is valuable, so are the contributions to the SSAC by ICANN Staff. As we have seen in meetings, these contributions can at times include detailed research or analysis provided to assist the SSAC. These results are then presented to the SSAC or a specific Work Party for review and for discussion. We note that from all of our observations, the SSAC puts care into ensuring that assistance from ICANN staff is at the direction of the SSAC and that it does not affect the SSAC’s independence.⁴⁰

We recommend the SSAC reflect upon whether this model could potentially be useful in a slightly different implementation, and recommend the SSAC’s Membership Committee study the idea of providing an internship opportunity open to graduate students in cybersecurity or data

³⁹ “SSAC Proposal for the Name Collision Analysis Project,” SSAC, March 2, 2018, available at <https://community.icann.org/display/NCAP/NCAP+Working+Documents?preview=/79437474/79438151/NCAP%20Proposal%20for%20Public%20Comment%2020180302.pdf>.

⁴⁰ Further details regarding the role of ICANN Staff in regards to the SSAC can be found in the most recent SSAC Operating Procedures, Section 2.8.7. “SSAC Operational Procedures Version 7.0,” SSAC, November 30, 2018, available at <https://www.icann.org/en/system/files/files/operational-procedures-30nov18-en.pdf>.

science/analytics programs. The internship, paid or unpaid, could be associated with one specific Work Party, or with the SSAC more broadly. Graduate students are often looking for ways to apply their knowledge, and we believe many students would be interested in the opportunity to assist the SSAC's technical experts. The SSAC could post about opportunities on its website, and/or let academic contacts know about the opportunity.

There are also likely ways that the SSAC can leverage internal ICANN resources to assist with specific research tasks. We have heard from many interviewees about the positive relationship between the SSAC and the ICANN Office of the Chief Technology Officer (OCTO). While it is important that the SSAC maintain its independence from paid ICANN Staff, we recommend that the SSAC should continue to work with and leverage the research of OCTO. The SSAC may be able to ask for targeted assistance with specific research or data gathering tasks, while saving aspects of independent judgement and advice generation for the SSAC's volunteers.

In addition, while we are not recommending another dedicated staff member to the SSAC at this time, if the SSAC is subject to an increasing number of requests, one will be needed. We recommend that the SSAC keep this in mind and, if requests of the SSAC continue to increase, start a discussion with the ICANN Board about providing an additional staff member. We note that as the SSAC shares some staff with the RSSAC, an increase in workload of either committee could lead to tightening of ICANN Staff's availability for the SSAC.

G. Finding 8: The SSAC's process of generating advice is collegial and is generally effective. Some best practices and suggestions for improvement have been gathered as part of the review process.

SSAC members that we interviewed generally reflected that the process of generating advice is collegial and effective. This matches our observations of SSAC meetings both remotely and in person. Interviewees noted three areas of success that particularly stand out: (1) the SSAC makes sustained efforts to provide a collaborative environment; (2) the SSAC works to keep an awareness of its audience and the "bigger picture"; and, (3) the SSAC Support Staff effectively assists the SSAC.

The SSAC makes a clear effort to foster an environment where expressing differing viewpoints and building consensus is encouraged. Members of the SSAC state that they are comfortable speaking up on any topic, and that they aim to listen to and engage in dialogue with their peers. From observation, SSAC meetings are very polite. Members take turns in meetings, and make sure any interested member has time to speak on a topic. Work parties also make an effort to incorporate views into SSAC materials after a conversation takes place. The results of this collegiality can be seen in the large amount of consensus-based output that the SSAC creates.

In addition, we observed that members of the SSAC take a step back to think about the "big picture." Members of the SSAC ask themselves if the work they engage in is relevant to the SSAC's remit, and if it is of use to the ICANN Community. Multiple SSAC members indicated that the SSAC is not afraid to stop Work Parties that do not appear to have a clearly defined objective or that do not seem as though they will result in actionable advice. Additionally, we have seen the SSAC engage in discussions regarding the audience of their communications to attempt

to ensure that wording is as clear as possible. Multiple SSAC members reiterated the importance of getting this right.

Every interviewee who was asked reflected on the importance of, and appreciation for, the work undertaken by the SSAC Support Staff. Contributions range from heavily assisting with writing, to keeping detailed track of and notes from Administrative Committee and Work Party meetings via status and timeline tracking, to assisting with and presenting on data analysis.

A number of favored best practices were also mentioned in discussions. Several SSAC members identified that it has been useful at times to have two chairs for a Work Party, in case one becomes busy. These individuals reflected that typically the SSAC is successful at determining situations in which two Work Party chairs might be useful. Others reflected that recent efforts to standardize document processes around Google Docs have been effective.

Several pain points and places for refinement were identified. Multiple members of the SSAC mentioned that the SSAC does not currently have dedicated data storage space, which could be useful for the ability to do more analysis. Others reflected that it would be useful for the SSAC to record operational metrics around the time taken for each stage of the publication development process, so that the SSAC could use these data to refine processes. Finally, a few interviewees reflected that the SSAC should be careful not to get too caught up in administrative issues at the expense of technical analysis and advice.

Recommendation 13: The SSAC should work with ICANN Staff to obtain a dedicated, secure, data storage location for use in SSAC analyses.

Multiple members of the SSAC mentioned that the SSAC does not currently have dedicated data storage space. We believe there would be benefits from the SSAC having dedicated and secure storage.

A single, secure storage space would allow the SSAC to store and then access raw data and related files in a single place. As time passes, members of the SSAC would be able to easily find data used or generated in old analyses, even if that analysis occurred years before or as part of a different Work Party. Data and stored files could be less likely to be lost when a member leaves the SSAC, taking their personal devices with them.

We recommend that the SSAC work with relevant ICANN Staff to obtain dedicated space suitable to its needs. We note that we, as the independent examiner, have not studied ICANN's file storage system in depth and do not know the full extent of its technical capabilities. The exact solution for space provision will be subject to what makes sense within ICANN's systems.

In addition, if the SSAC believes that permissions are likely to be required (e.g., if only certain members of the SSAC should be able to access certain kinds of data), we suggest the SSAC work with ICANN Staff to determine what can be done to allow for this kind of security.

VI. Findings and Recommendations: The SSAC's Integration with SO/ACs and the ICANN Community

- A. Finding 9: There is a need for individuals with an understanding of SSR-related issues to take part in policy development, and some members of the community suggest the SSAC or its members (as individuals) should play that role. Others state that the SSAC should play a technical advice, audit, and verification role, and that assisting more directly in policymaking itself is not the point of the SSAC.**

Interviews indicated that there are varied expectations among members of the ICANN community in regard to the role of the SSAC within ICANN's policymaking processes. Some individuals indicated that the SSAC needs to play a more active part in the community and participate in policy making and other community work. These individuals suggested that the SSAC participate directly in working groups, and through this participation, provide their expertise and knowledge directly with those helping to develop ICANN policy early in the process.

Others, including many individuals on the SSAC, suggest that this is a misunderstanding of how the SSAC functions and how security issue awareness should be integrated into policy development. These individuals tended to suggest that the SSAC should continue to focus on providing consensus-based advice on core technical issues, and that the role of the SSAC is to provide advice, and to audit the SSR implications of policies and practices once they are developed. As one interviewee stated, for example: "The SSAC should not evaluate what TLD strings are okay, but rather should comment on whether the process used to determine the appropriateness of TLD strings has been okay."

All interviewees who were asked about this issue agreed that it is important for SSR advice and awareness of SSR issues to be incorporated into ICANN policymaking. In practice, individuals had mixed views whether or not the SOs/ACs are currently effective in incorporating SSR knowledge and implementing the SSAC's advice. In interviews, some members of SOs/ACs stated that they believe the SSAC's advisories are primarily used by the ICANN Board and not in SO/AC policymaking. Survey results, as shown in Figure 22, provide a more mixed view. Many individuals state that SSAC advice is sometimes incorporated in reviews. However, we note that the number of survey responses from members of any one individual SO/AC was small, making it difficult to put too much weight on this metric, as can be seen in Figure 23. In both figures, we see that many respondents were unsure whether the SSAC's advice was used in policy development.

Figure 22: How often is the advice given by the SSAC incorporated into the policy development process of the following SOs/ACs?

Number of Survey Respondents: 51

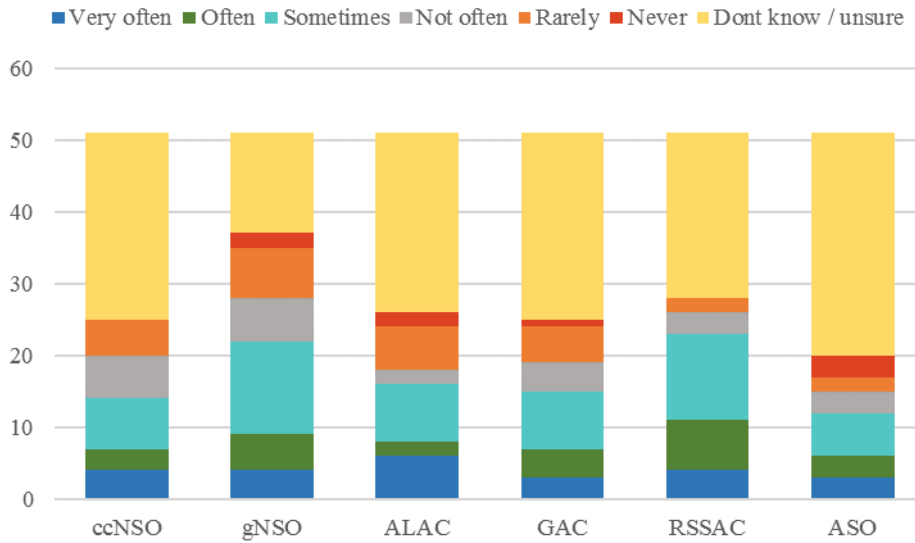
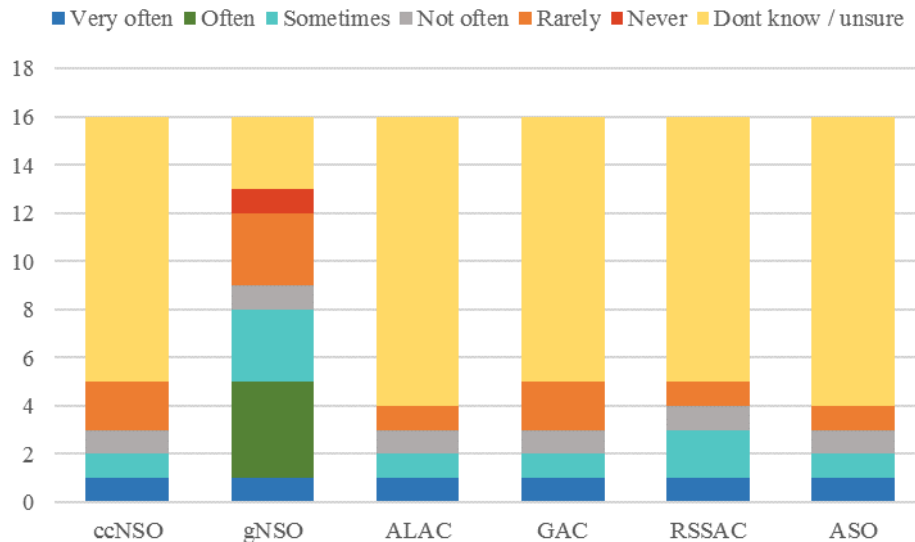


Figure 23: How often is the advice given by the SSAC incorporated into the policy development process of the following SOs/ACs? (SO/AC Member Responses Only)

Number of Survey Respondents: 16



Individuals also reflected on situations in the past few years where the SSAC’s decision audit and verification role has led to tensions between the SSAC and other groups. Interviewees referenced instances where the SSAC’s advice was either in disagreement with the advice of work parties or shutdown work processes, sometimes after volunteers had invested significant time into the effort. For example:

- SAC084 (2016) responded to the ccNSO’s EPSRP Working Group’s Proposed Guidelines for the Extended Process Similarity Review Panel for the IDN ccTLD Fast Track Process.⁴¹ The SSAC recommended that the “ICANN Board not accept the proposed guidelines for the EPSRP, as those guidelines represent a threat to the security and stability of the DNS.”⁴²
- SAC098 (2017) commented on the processes being followed by the SSR2 Review Team after the review team had spent “hundreds of hours engaged in procedural matters and almost no progress... made on substantive matters,” and suggested that the ICANN Board, “[t]ake immediate action to temporarily halt the SSR2 review.”⁴³

To be clear: it is the role of an independent SSAC to audit policy and to advise the ICANN Board to prevent policies that may inadvertently lead to security risks. It is not only healthy, but also necessary for ICANN to have a mechanism by which security experts can flag concerns, and that the ICANN Board is able to listen to these concerns to pause, slow down, or halt work that may have adverse security implications for the Internet. The fact that the SSAC’s advice was able to lead to a pause in work streams that the SSAC believed needed to be revisited is a sign that these mechanisms are working.⁴⁴

At the same time, when the SSAC’s advice regards the work of other volunteers after a significant amount of time has been invested, feedback can cause tensions. For example, in SAC055, the SSAC commented on the WHOIS Review Team’s Final Report that “a single universal ‘WHOIS’ policy, as defined in the Review Team’s report, is unlikely to be effective or even achievable,” and that the ICANN Board should “defer any activity... directed at finding a ‘solution’ to ‘the WHOIS problem’” until the purpose of domain name registration data is better understood.^{45,46} Individuals wished that they had known the SSAC’s concerns regarding this earlier, before substantial volunteer efforts had been invested. In the case of SAC055 and SAC084, some individuals wished that the SSAC had participated in the work party or in earlier opportunities for public review. One individual cautioned that it can seem as though the “SSAC ends up [...] marking up people’s homework and giving them an “F” without being involved in their work.”

SSAC members and others explained in interviews (and in SAC089) that ability to participate is partially a function of the SSAC’s available resources and existing processes, and that the SSAC

⁴¹ “Final Report ccNSO EPSRP Working Group”, ccNSO, January 6, 2017, available at <https://ccnso.icann.org/sites/default/files/file/field-file-attach/2017-04/epsrp-final-report-06jan17-en.pdf>, accessed on May 30, 2018.

⁴² “SAC084 SSAC Comments on Guidelines for the Extended Process Similarity Review Panel for the IDN ccTLD Fast Track Process”, SSAC, August 31, 2016, available at <https://www.icann.org/en/system/files/files/sac-084-en.pdf>

⁴³ “SAC098: The Security, Stability and Resiliency of the DNS Review (SSR2)”, SSAC, October 4, 2017, available at <https://www.icann.org/en/system/files/files/sac-098-en.pdf>

⁴⁴ We note that we have not independently reviewed all of the security details behind these decisions and are not commenting on the details of these specific examples.

⁴⁵ “WHOIS Policy Review Team Final Report”, May 11, 2012, available at <https://www.icann.org/en/system/files/files/final-report-11may12-en.pdf>

⁴⁶ “SAC055 WHOIS: Blind Men And an Elephant” SSAC, September 14, 2012, available at <https://www.icann.org/en/system/files/files/sac-055-en.pdf>, accessed on May 30, 2018.

has worked to discuss and improve processes.⁴⁷ The SSAC is small relative to the number of ICANN efforts that intersect with SSR issues, and furthermore, as SSAC opinions require consensus-building process, individuals are unable to speak alone on behalf of the SSAC. This does not prevent SSAC members as individuals from being involved in ICANN policy, though in practice that is difficult due to the volunteer nature of the SSAC and the amount of work required by SSAC members. Interviewees widely agree that individual members of the SSAC are friendly, helpful, and approachable when it comes to discussing SSR. The SSAC has also focused more in recent years on providing feedback into public comment periods. Additionally, members of both the ccNSO and the SSAC reflected that collaboration after initial tensions was generally effective.

Some individuals note that if the SSAC is not to be involved in policymaking, then the SSAC could consider ways to help ensure that SSR issues are raised earlier in the policymaking processes of other SOs/ACs: for example, by helping to nurture a discussion forum for those working to incorporate SSR issues into ICANN policy. It was suggested that this could raise the likelihood of all going well in SSAC audit activities. As one interviewee put it: “the greatest success is if it is the case that interaction between PDPs and SSAC and SSR people lead to the result that the SSAC’s review of PDPs and policy find that everything is fine.”

B. Finding 10: Many individuals both inside and outside of the SSAC identified that creating more interaction with other ICANN SOs/ACs should be an area of focus for the SSAC. The SSAC has been making strides to communicate more frequently and to forge stronger relationships with other SOs/ACs.

The SSAC has a strong reputation throughout ICANN for its technical expertise. Non-SSAC members who know individual SSAC members describe them as approachable, and generally reflect on having positive personal relationships. However, some interviewees also have indicated that the SSAC can at times seem like an “ivory tower” that is less accessible to the rest of ICANN. As the SSAC’s purpose is to provide SSR advice to both the ICANN Board and the ICANN community, many individuals indicated that strong and active relationships throughout ICANN, coupled with the SSAC’s independence, is helpful to that goal.

Of survey respondents who had an opinion, the current relationships between the SSAC and SOs/ACs are largely described as somewhat positive or neutral, with the exception of the RSSAC which is described as very positive or somewhat positive (see Figure 24).⁴⁸ We find similar results in 7, which shows that most respondents were either somewhat satisfied or felt neutrally about the level of interaction between the SSAC and SO/ACs, and in Figure 26, which shows that most respondents were either somewhat satisfied or felt neutrally about the level of interaction between the SSAC and the ICANN community, more broadly. Of those who had an opinion, 26% were

⁴⁷ “SAC089: SSAC Response to ccNSO Comments on SAC084”, SSAC, December 12, 2016, available at <https://www.icann.org/en/system/files/files/sac-089-en.pdf>

⁴⁸ We note that this observation aligns with the recent RSSAC review, which found that “The RSSAC’s relationship with the SSAC has improved and is working well.” “Independent Review of the ICANN Root Server System Advisory Committee (RSSAC),” Interisle Consulting Group, February 22, 2018, available at <https://www.icann.org/en/system/files/files/rssac-review-assessment-report-22feb18-en.pdf>.

either somewhat unsatisfied or very unsatisfied with the SSAC's level of interaction with the ICANN community.

Figure 24: How would you describe the relationship between the SSAC and SOs/ACs?
Number of Survey Respondents: 57

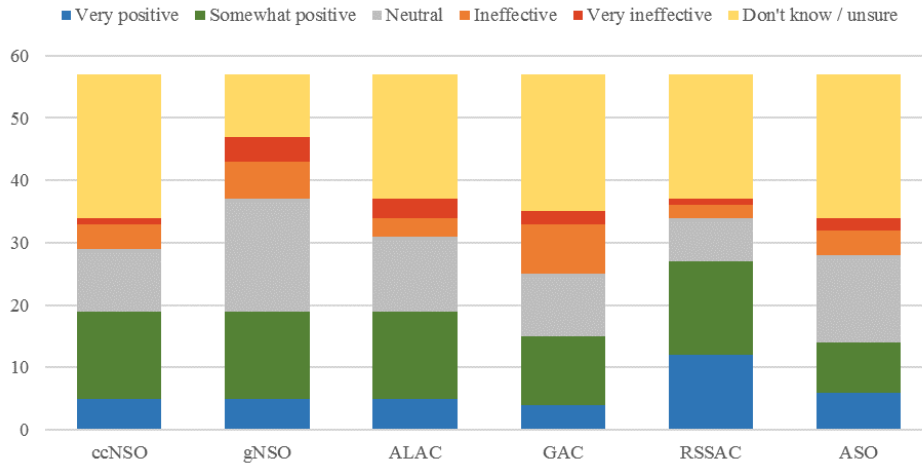


Figure 25: How satisfied, or unsatisfied, are you with the current level of interaction between the SSAC and the following SOs/ACs?
Number of Survey Respondents: 56

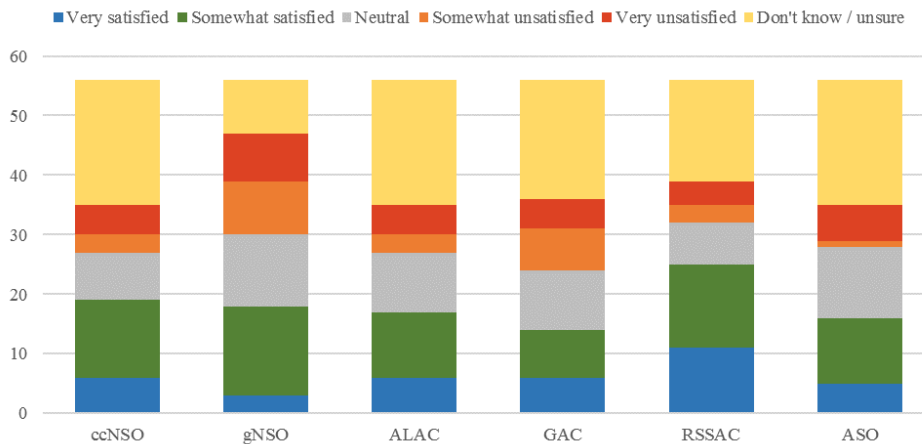
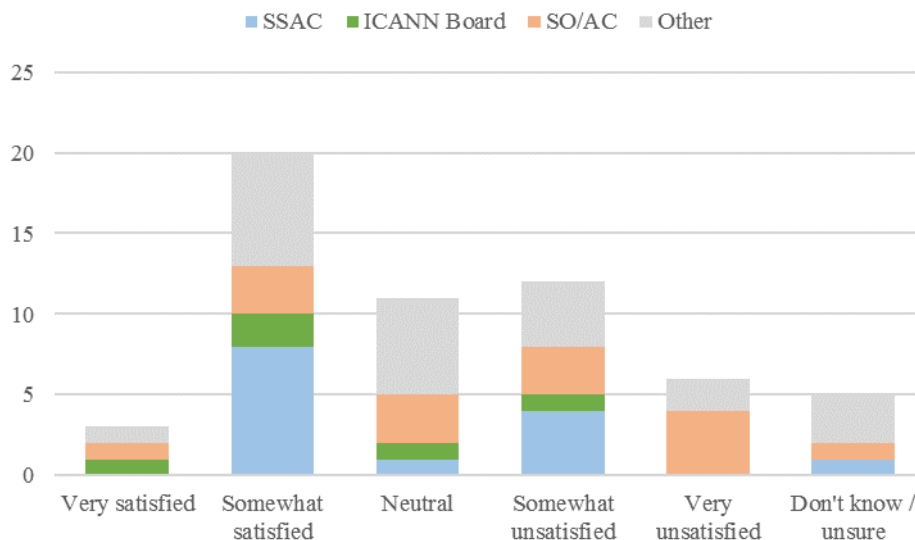


Figure 26: How satisfied, or unsatisfied, are you with the current level of interaction between the SSAC and the ICANN community (outside of SOs/ACs)?

Number of Survey Respondents: 57



Interviews identified many instances where individuals would like more communication from the SSAC. Survey respondents who identified reasons why they were not satisfied with their interactions with the SSAC reported that some top reasons are:

- There is no mechanism for feedback between the SSAC and SOs/ACs.
- There are few shared group members between the SSAC and other SOs/ACs.
- The SSAC does not participate enough in public comment periods of other SOs/ACs.
- The timing of SSAC advice is not synchronized with the needs of SOs/ACs.

While these areas were identified, we note that people commented in interviews that the SSAC has taken steps in recent years to increase its visibility within ICANN. This has occurred both within and outside of the SSAC’s formal advisories.

In regards to its advisories, our interviews and observation of SSAC meetings indicate that the SSAC is focused on providing advice in a way that is understandable and accessible. Almost all interviewees who had an interest in doing so indicated that they are able to read and understand SSAC documents. SSAC interviewees were particularly focused on ensuring documents could be understood so that they could be useful.

Outside of its advisories, the SSAC has made efforts to focus on the community. For example, the SSAC has been increasingly focused on providing feedback into public comment periods in recent years. Members of the SSAC also participated on the original SSR2 Review Team (prior to SAC098) and intend to continue participation. It was noted positively that both outgoing and incoming SSAC Chairs attended recent SO/AC Chairs meetings. We also observed recent examples directly: the SSAC held a joint session with the ALAC at ICANN61, hosted large public meetings in regards to the NCAP Working Group, and hosted a well-attended session on emerging security topics at Tech Day at ICANN62.

Recommendations 14 through 16 below relate most closely to the two findings above.

Recommendation 14: The SSAC advises the ICANN Board and Community on matters relating to the security and integrity of the Internet’s naming and address allocation systems. To do this effectively, the SSAC needs to be aware of policymaking that is ongoing within ICANN. We recommend the SSAC designate an outward representative to each SO/AC that is willing to receive one. These roles should be structured to add minimal burden to the SSAC’s already large set of responsibilities.

We believe that the SSAC provides the most value to ICANN when it can focus on providing consensus-based advice on core technical issues. The SSAC should provide advice and audit the SSR implications of policies and practices once (and sometimes as) they are developed. However, to those who are not deeply steeped in SSR issues, security issues can at times come up unexpectedly, as can be seen in examples of “surprise” expressed to us in interviews and outlined above.

We think it is important that the SSAC have an open line of communication with each SO/AC for multiple reasons. Open communication provides a mechanism by which the SSAC can keep apprised of the high-level activities and PDP processes of SO/ACs, which can help it understand where ICANN is headed and the types of SSR issues that may become important down the road. It also can help the SSAC disseminate its publications and advice, and give the SSAC a better idea of how its recommendations are used and discussed by SO/ACs.

We recommend this be accomplished by external representatives to each of ICANN’s interested SO/ACs. This role should be structured in a way that is not overly burdensome to the SSAC. While the SSAC does have a mechanism in place to designate “outward liaisons,” this mechanism tends to be quite time consuming for the SSAC members involved. As a result, while we suggest the SSAC keep the outward liaison positions it currently has (and that it maintain the mechanism to designate new outward liaisons), we believe it would be overly burdensome to recommend that the SSAC have full outward liaisons for all of its SO/AC relationships.

We recommend the SSAC reach out to each SO/AC to determine which would be interested in having an outward representative from the SSAC, then work with those interested to provide one. In addition to increasing communication, this will have important implications for transparency, as outlined further below.

The roles of this representative should include:

- Have that representative meet with their designated SO/AC at least once at each ICANN public meeting, and include as an agenda item an opportunity to answer questions, report on the SSAC’s work, and discuss as relevant the SSR nature of that SO’s/AC’s work.⁴⁹
- Attend a sufficient quantity of the remote meetings of the given SO/AC to keep generally apprised on the goals of the SO/AC, and important PDP or other processes.

⁴⁹ We note that the SSAC as a whole already has joint meetings certain other SO/ACs, such as the ALAC. Such a meeting could take the place of the Liaison in person agenda item, discussed above.

- Assist in letting the SO/AC know if it might be stumbling into an SSR issue that is readily apparent to the representative. For example, if it becomes clear that an activity of the SO/AC may run afoul of historic SSAC advice, or that it may reasonably prompt a desire for the SSAC to review a topic more formally.
- Report back to the SSAC on the activities of the SO/ACs, and assist the SSAC in giving the SO/AC a professional “heads up” when SSAC’s advice under development may impact the committee (see also Recommendation 16).

In defining this role, the SSAC should show care to ensure that the SSAC’s outward representatives do not become a means for other SO/ACs to exert direct or indirect influence over the SSAC, its work activities, or its conclusions.

It is important to underscore that individuals, even representatives or external liaisons, cannot formally speak for the SSAC, which takes a consensus-driven approach to providing advice and documents. When setting up the outward representative relationship, the SSAC should be clear that this individual is unable to speak on behalf of the entire SSAC, and rather is there to help increase communication. While certain questions may be answerable by the representative, the representative should also feel empowered to remind the SO/AC of this limitation, and let the SO/AC know when a request would be better sent to the SSAC as a whole, or when the organization might need to recruit someone with SSR experience (e.g., an external contractor) to assist with details of the PDP process.

Recommendation 15: As time availability allows, the SSAC should continue to have members involved as individuals in large, cross-ICANN efforts that have SSR-related components, such as the SSR2.

Members of the SSAC have historically taken part in some large, cross-ICANN efforts, such as the SSR2 Review. To the extent members have interest and bandwidth, we recommend they continue to participate in ICANN-wide activities that may have important implications for SSR issues of the SSAC’s remit.

We note that in an organization as large as ICANN, the SSAC’s members may not always have the bandwidth to participate in processes. The SSAC’s website should have a clear way that the PDP group can reach out to the SSAC with SSR-related questions (see Recommendation 18, below).

Recommendation 16: In the process of developing each SAC-series document, the SSAC should explicitly discuss who affected parties may be and whether or not affected parties should be consulted for feedback or should be notified that the SSAC plans to publish a document on a given topic.

As discussed above, there have been several instances where an SO/AC or other working group has expressed surprise at advice rendered by the SSAC. According to the SSAC’s operating procedures, Sections 3.2.3 and 3.2.4, “The Work Party also may consult with members of the ICANN community affected by the issue under study,” and “[o]nce the SSAC has approved an

initial draft work product, the next step is to engage affected parties in the ICANN community in a preliminary review if the Work Party deems it necessary to do so.” Section 3.2.4 also provides a detailed process under which the SSAC can solicit a party for feedback.

From our audit of SSAC meetings, the SSAC does think about and discuss potentially affected parties. We recommend the process be more formalized, and would suggest that the discussions regarding affected parties occur early and throughout in the Work Party process and not only once the SSAC has approved initial draft work product.

We recommend that, when embarking on a new Work Party, a first task should be to explicitly discuss who the potentially affected parties are. While affected parties may be unclear or may evolve over the course of a Work Party’s activities, a baseline discussion is useful and relatively quick to have. Second, once potentially affected parties are identified, we recommend the Work Party discuss whether or not that party should be consulted for feedback or should be otherwise notified.

Our goal is not to encourage the SSAC to slow down each and every advisory document process with an extended public review period. As the SSAC’s advice is primarily technical in nature, many or the majority of advisories may not require such a process. In addition, when a pressing security concern arises, the SSAC may not have time for a review process before advising the ICANN Board. In certain situations, a professional “heads up” may be more appropriate than a review. However, we note that the speed in providing an advisory up front may only be a temporary time savings - to the extent that an advisory catches another ICANN body off-guard, time savings up front could be traded off with complicated discussion once an advisory or other communication is released.

C. Finding 11: The SSAC is generally seen to be less transparent than other parts of ICANN. While most interviewees understand this to be necessary given the sensitive nature of security risks, many would like to see a more transparent SSAC.

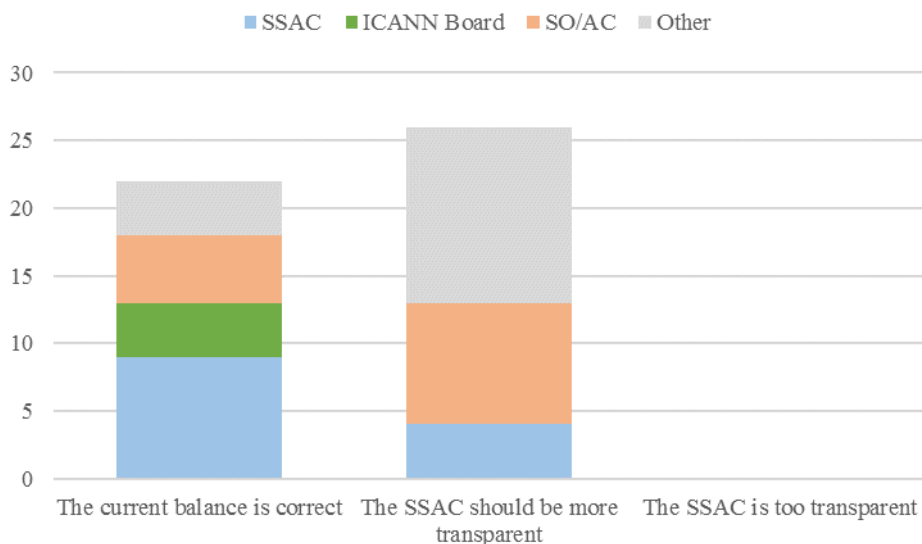
The needs of transparency and the handling of SSR issues can be in tension. While ICANN’s philosophy is to be as open as reasonably possible, those in the security community must follow a responsible disclosure model. In short, a vulnerability or security issue should only be disclosed to the community after it has been discovered, notification has been given to the impacted parties, and a period of time allowing the vulnerability to be addressed has passed.

The SSAC, by its nature and role, deliberates on issues related to the security, stability, and resilience of the Internet’s naming and numbering systems. As the SSAC studies various topics, a bad actor with too much transparency could look for and identify clues into vulnerabilities to exploit. Interviews have indicated that many within the SSAC value and want to provide transparency, but finding the right way to do so can be difficult.

That said, many individuals around the ICANN community (including a portion of SSAC members) question whether or not the SSAC needs to be as closed as it is. As can be seen in Figure 27, 54% of survey respondents would like the SSAC to be more transparent. Notably, while 100%

of respondents from the ICANN Board and 69% of those from the SSAC feel as though the SSAC is properly transparent, 71% of SO/AC and Other respondents would like more transparency. Nobody felt that the SSAC should be less transparent.

Figure 27: How well do you feel as though the SSAC’s level of transparency balances with competing values (e.g., the importance of confidentiality in security issues)?
Number of Survey Respondents: 48



Interviewees and survey respondents who want more transparency indicate that it is difficult to trust the outcome of processes that are not known and traceable. When the SSAC serves in an audit role that can (and has) generated advice leading to the security-related shutdown of potential policies and community processes, it becomes easy for those working on the impacted activities to question the process by which the SSAC has reached its conclusion.

Two specific community concerns were identified:

- Some feel as though SSAC outcomes are provided without an ability to see or understand the SSAC’s processes. They describe that SSAC meetings are closed and public meetings are scheduled during busy ICANN weeks.
- As discussed in-depth elsewhere in this review, the SSAC has not historically participated in community-based policy development. Individuals who have not studied the SSAC and its methods have stated it is not immediately obvious to them why that is.

The SSAC has taken a number of steps since its last review to increase transparency. These include the publication of materials online (as discussed further below), the creation and publication of work plans, and enhanced language around objections and conflicts of interest in SSAC publications. At ICANN61, the Independent Examiner attended the SSAC’s public meeting and noticed that the SSAC was clear in presenting planned work, offered significant time for community engagement, and proactively answered the questions that were asked of it.

SSAC members indicate that recent conversations have probed ways to increase transparency further. Ideas have included whether additional meeting minutes could be provided, whether more SSAC meetings could be open, and how the SSAC might work with ICANN Communications to provide public updates or highlights to SSAC work. In addition, the recent NCAP work party has required the SSAC to proceed in a more transparent manner (e.g., with extended public meetings and comment periods).

Recommendation 17: The SSAC’s Administrative Committee should provide an email update to the leadership of ICANN’s SOs/ACs one month prior to each ICANN meeting with links to relevant SSAC documents/proceedings from the SSAC’s website.

We recommend that the SSAC’s Administrative Committee provide a short email update to the leaders of ICANN’s SO/ACs on a quarterly basis, and that the SSAC encourage the SO/AC leadership to share these messages with their wider membership. These email messages could provide a brief overview of the SSAC’s activities, and bulleted lists to key SSAC publications in the period, with a couple of sentences explaining the topic of the document.

Our interviews suggested that some in ICANN see the SSAC as an “ivory tower.” Periodic communication can help break down this perception, and such a message also provides another avenue for the SSAC to promote readership of its publications for those who might not otherwise go to the SSAC’s website to download them.

While not strictly part of this recommendation, we note that the SSAC may also consider maintaining an opt-in mailing list where others can sign up to receive the periodic SSAC updates.

D. Finding 12: The SSAC’s website includes important information that assists with transparency. Community members suggested other items that may be useful to include.

The SSAC’s website broadly contains information on:

- What the SSAC is and how it operates (including a link to the SSAC’s operating procedures);
- The official role of the SSAC, as per the ICANN Bylaws;
- Biographical information and conflict of interest statements for SSAC members;
- SSAC work plans back to 2010, currently published at a pace of 3 per year; and,
- The SSAC’s “SAC” and “SSAC-Correspondence” document series.

Review of the SSAC’s website reveals that it is generally kept up to date. As of May 2018, the SSAC’s most recent operating procedures are posted (version 5.1 from February 2018), the SSAC’s stated role matches the current ICANN Bylaws, and the SSAC’s biographical information was last updated on March 2018.

Since 2014, the SSAC’s work plans have been presented via “SSAC Activities Update[s]” during the SSAC’s Public Session at ICANN meetings. These documents are hosted online and include a

contemporaneous overview of the SSAC, the SSAC's advice generating processes, current Work Parties, recent SSAC publications, and questions to/from the community.

The SAC and SSAC-Correspondence documents are clearly organized by topic and year, which is helpful in reviewing. The topics for the SAC series are currently: "Addressing," "DNS Abuse," "DNS Security," "ICANN Planning," "Internationalized Domain Names," "Registration Services," "Root System," and "WHOIS." We note that the SSAC's overview page does not currently explain the purpose of the SSAC Correspondence series, which may be a helpful clarification.

Two types of information, not on the SSAC website, came up in interviews. First, several interviewees questioned why the SSAC does not post minutes of its meetings or more details about the activities of its working groups. As discussed in detail above, historically this has been because of tradeoffs between security and transparency. Second, interviewees asked if the SSAC would be able to put more information on its website regarding what the SSAC looks for in new members and how one might know if he/she were qualified to apply. While the Membership Selection process is described in Section 2.2 of the SSAC's operating procedures, it is not discussed on the main SSAC webpage.

In addition, one member of the community stated that it might be helpful to include pictures of current SSAC members on the SSAC's webpage to make it easier to identify and meet individuals at ICANN meetings.

Recommendation 18: The SSAC should post some specific additional materials online in the short-term, to consolidate information and increase transparency. The SSAC's Administrative Committee should then undertake a yearly review of the SSAC's website to determine whether additional content should be provided or whether the website should be restructured.

We recommend that several items be added to the SSAC's website in the short term. These are:

- An explanation of the purpose of the SSAC-Correspondence Series.
- A link to the most recent ICANN Board ARR.
- A clear articulation of how and when an SO/AC or Work Party within ICANN might request feedback or comments from the SSAC.
- A clear explanation of how one can apply to join the SSAC and high-level information regarding the types of skills that the SSAC is looking for in members.
- (Optional) Pictures of current members who are willing to include one, to assist newer members of ICANN in identifying SSAC members at ICANN meetings.

In addition to the information above, as the SSAC continues to evolve it will have new content to post to its website. We suggest that the SSAC Administrative Committee engage in a yearly discussion as to whether there are new types of items to include on the SSAC's website. While some years this conversation may be short, in other years it may trigger the addition of information useful for transparency.

E. Finding 13: The SSAC is accountable directly to the ICANN Board, and through it to the wider ICANN community.

In order to function effectively, the SSAC must be free to give accurate technical advice on SSR issues regardless of whether or not that advice is popular. One can imagine situations where security interests and business desires may not align (e.g., areas where compromising the security of the internet may be profitable to one specific stakeholder). As such, it is important that the SSAC is accountable in a way that it can maintain its independence.

While to date the ICANN Board has relied on members of the SSAC to recommend whether new members should be added or existing members should be renewed, interviews indicate that the SSAC has put careful study into its membership recommendations, which has led the ICANN Board to accept them.

Additionally, we note that as the SSAC is an advisory committee, and it is the ICANN Board and other parts of the community that act on the SSAC's advice. As the SSAC itself makes recommendations, not decisions, the recommendations of the SSAC by their nature will involve the scrutiny of the ICANN Board or other impacted groups. Because it is an advisory committee, interviewees indicated that it is paramount for the SSAC to provide its advice in an unbiased and transparent way to maintain trust in its recommendations. As discussed elsewhere, community members generally find the SSAC's advice to be effective, and interviewees note that outside of some specific instances of tension outlined above, the SSAC's advice is well respected within ICANN.

Recommendation 19: The SSAC should remain accountable directly to the ICANN Board and through it to the wider ICANN community.

We find the current methods of accountability for the SSAC to be appropriate, and do not find there to be a need for changes at this time.

VII. Findings and Recommendations: SSAC's Size, Membership, and Term Length and Limits

In this section, we summarize our findings, derived from both our interviews and survey results, regarding the SSAC's size, membership, and term length and limits.

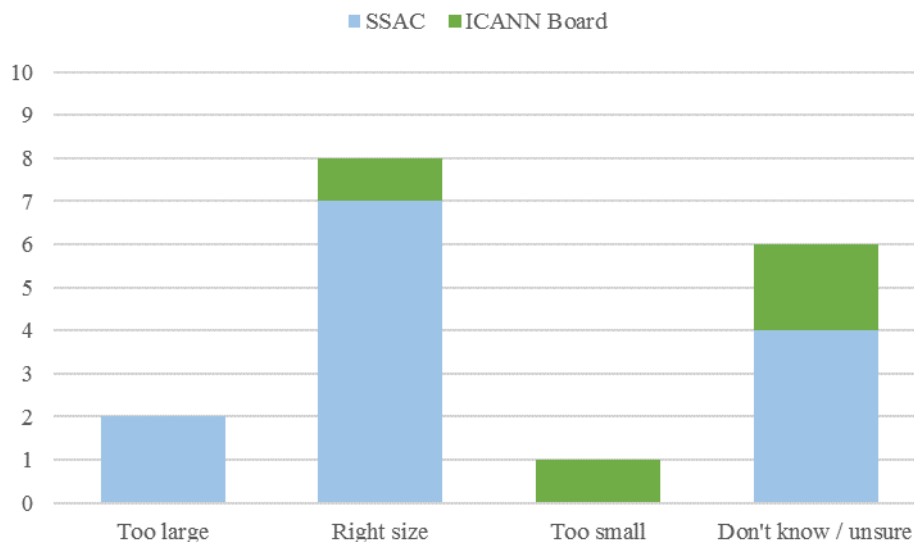
A. Finding 14: The SSAC's size of roughly 40 members appears to be appropriate given tradeoffs in the size of the SSAC, though some thought that additional members with additional perspectives would be valuable.

Currently, the SSAC is made up of 37 members, one of whom is elected by the SSAC to be the Liaison to the ICANN Board of Directors. Members of the SSAC are appointed for three-year terms, which can be renewed indefinitely. The SSAC Chair and Vice-Chair lead the committee, and the SSAC receives support from three SSAC Support Staff who are paid employees of ICANN. This includes the Sr. Director of Policy Development Support, a Technical and Policy Specialist,

and a Senior Technical Analyst.⁵⁰ Their role is to assist in the production of work products and to serve on the Administrative Committee.

Many individuals indicated that a balance needed to be struck when considering the size of the SSAC. In particular, more members may help with an increasingly large work load while also increasing the range of skills, or diversity of perspectives, held by SSAC members, while fewer members may make it easier to reach consensus on certain issues before the SSAC. Cognizant of this balance, most individuals we interviewed stated that SSAC’s current size of approximately 40 members (currently 37) is appropriate. This is supported by our survey results, displayed below in Figure 28, in which a large majority of individuals indicated that the SSAC is the “right size.”

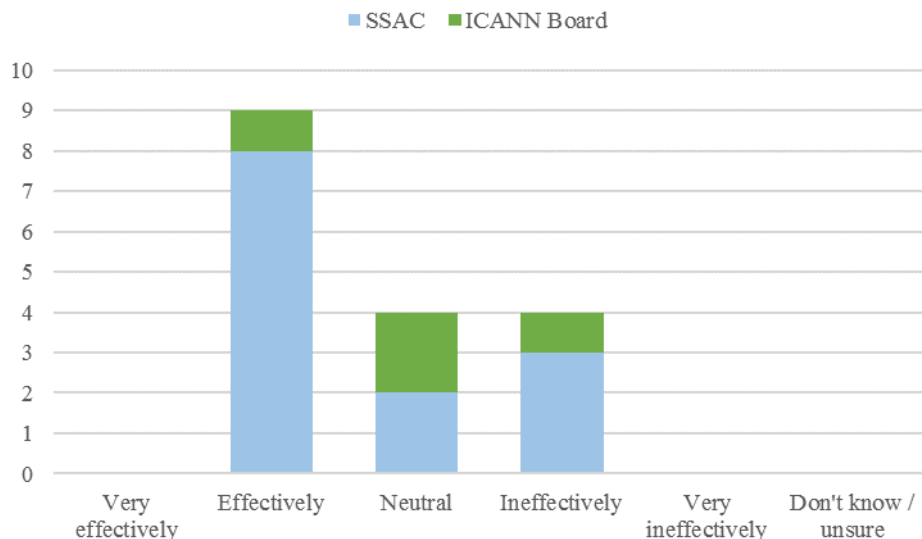
Figure 28: Is the Current Size of the SSAC Too Large, Too Small, or the Right Size?
Number of Survey Respondents: 17



While most interviewees who were asked and most survey respondents (see Figure 29) indicated that the SSAC currently covers the areas of expertise that it should, several individuals noted that there are certain types of skills and experience that are lacking.

⁵⁰ “Security and Stability Advisory Committee.” ICANN, 2017, <https://www.icann.org/groups/ssac>, accessed on May 21, 2018.

Figure 29: How Effectively Does the SSAC Cover All Areas of Expertise?
Number of Survey Respondents: 17



Recommendation 20: The current number of SSAC members is appropriate. The SSAC should continue to work to ensure its members are engaged, in conjunction with the recruiting points made below.

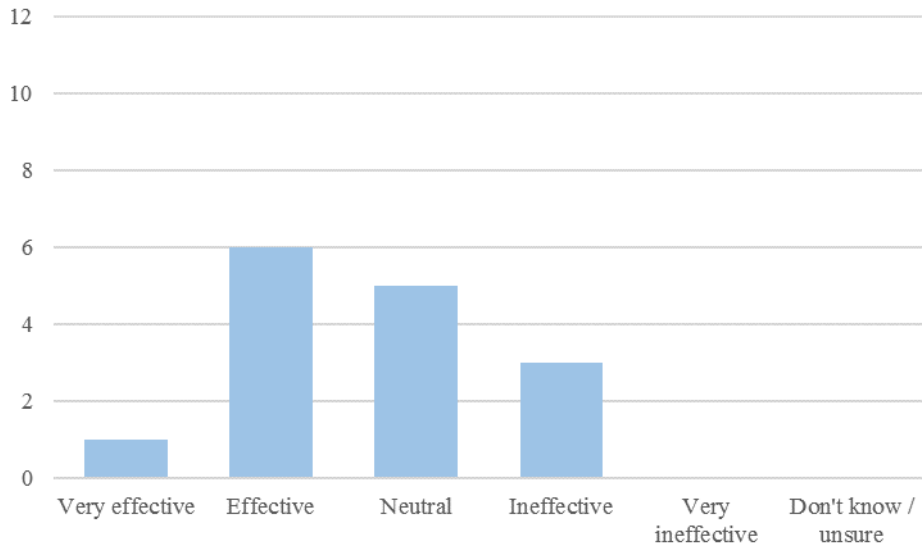
Given tradeoffs in size and time availability discussed above, a roughly 40-person SSAC is working well. A larger SSAC would risk becoming difficult to manage, and a smaller might not be able to complete the SSAC’s large amount of work.

That said, the fact that the current size of the SSAC is similar to this ideal size does not mean that there does not need to be a yearly flow of individuals on to and off of the SSAC. New ideas and perspectives are useful to any organization, and we suggest the SSAC continue to work proactively to make sure members are engaged and contributing, or otherwise encouraged to roll off to make room for new participants.

B. Finding 15: The SSAC does not undergo active or targeted recruiting, but rather recruits informally based on need and the existing network of the SSAC. Many interviewees would like to see improvements in the SSAC’s recruiting process, but they are cautious about the burden such processes might place on the SSAC’s volunteers.

When considering whether to recruit new members, the SSAC first identifies gaps in skills through the use of a skills matrix that the SSAC has developed and refined over the years. Although some individuals find the skills survey to be either very effective or ineffective in identifying these gaps (see Figure 30 below), a number of individuals either were neutral on the effectiveness of the skills survey or found it to be ineffective in identifying gaps. Interviews indicated that this is because the skills survey was seen as out of date. However, the SSAC is currently in the process of updating the skills survey to address this.

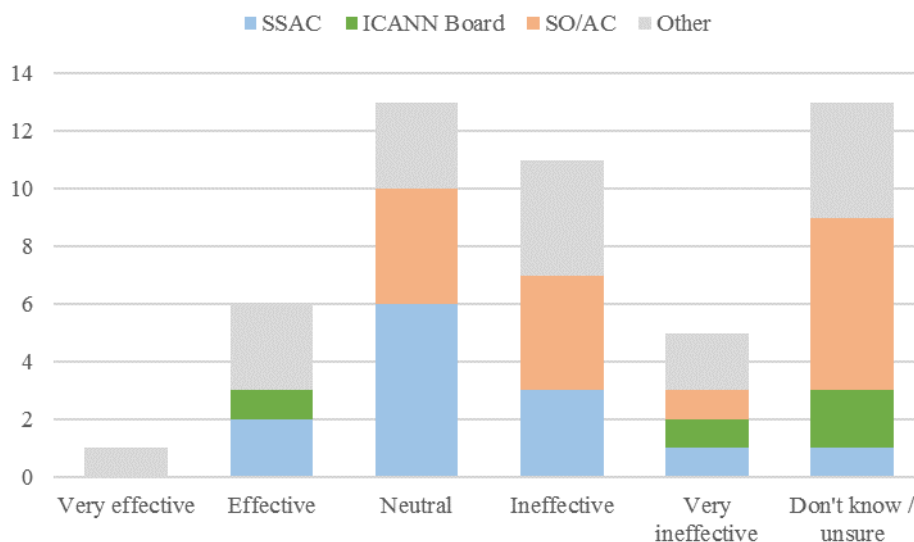
Figure 30: How Effective is the SSAC Skills Survey at Identifying Gaps?
Number of Survey Respondents (SSAC Members): 15



Once these gaps have been identified, SSAC members then typically rely on their own networks of contacts to identify potential candidates, in addition to the general practice of accepting applications for membership. While this informal approach to recruiting has generally appeared to work well, many interviewees and survey respondents suggested that improvements could be made, and in particular, that a more formalized process might increase the diversity of backgrounds, skills, and expertise of new SSAC members. In particular, as shown below in Figure 31 below, only a small number of survey respondents rated the SSAC’s recruiting operations as being very effective or effective, with many respondents indicating that the SSAC’s recruiting operations as neutral, ineffective, or very ineffective. Some commented that the question was difficult to answer, because the SSAC does not have a formal recruiting operation.

Figure 31: How effective, or ineffective, do you believe the SSAC’s recruiting operations are?

Number of Survey Respondents: 49



The SSAC has an open process for accepting applications for membership; anybody can contact the SSAC and request consideration to join. However, we heard from several individuals that the process and requirements to become an SSAC member is not clear to many outside of the SSAC. Some interviewees reflected a concern that the ICANN Board might simply “rubber stamp” whoever the SSAC deems should join. The lack of geographic and gender diversity on the SSAC also leads some to view its membership selection process with suspicion (i.e., “an ivory tower” or “boys club”), as the technical diversity valued by the SSAC may not be as readily apparent to the community at large.

Recommendations 21 through 23 below relate most closely to this finding.

Recommendation 21: Each year, the SSAC should develop a formalized recruiting plan with goals, potential recruiting targets, meetings to attend, messaging for prospective candidates, and any other items that are deemed useful. Similarly, it should maintain a list of potential future members, even if those individuals are not currently applying to the SSAC.

We recommend that the SSAC, each year, develop a formalized recruiting plan with specific recruiting goals. While the historic method of recruitment to the SSAC based primarily on the network of existing members has worked well for many years, this process is vulnerable to creating echo chambers and blind spots. While we do not believe the current SSAC to be operating in such a state, it is important that the SSAC directly address this risk by having processes in place that allow for active reflection and planning around member recruitment.

The success of the Internet and general advance of technology has led to an increasing number of experts in fields of cybersecurity. A planned effort around recruiting will help the SSAC identify these individuals, and would also offer second-order benefits. The process of reflecting on recruiting goals generates conversation and can useful pressures on existing members of the SSAC. For example, having an expectation of planning around new members may make it easier for existing SSAC members to flag that they intend to roll off, or simply need to take a short break.

Recruiting is also closely related to networking, and by undertaking targeted recruiting efforts, such as by presenting at a conference about the SSAC's work, the SSAC can increase the body of security experts who are aware of and interested in the SSAC's work. Such processes would provide additional leads to restock the SSAC's already broad technical diversity in the case that someone rolls off the SSAC, and it could allow the SSAC to broaden, for example, its geographical diversity as qualified experts are identified (see Recommendations 25).

We recommend that the SSAC's Membership Committee put together a preliminary recruiting plan each year, and that it be open to comment by the full SSAC before finalization by the Membership Committee. This could include potential technical skills the SSAC would like to recruit, regions the SSAC would like represented in its membership, and/or recruiting and outreach activities that the SSAC would like to undertake (e.g., attending conferences to meet SSR experts outside of the current SSAC's network or other ideas as determined by the SSAC).

In preparing the preliminary plan, items of reflection should include consideration of:

- The SSAC's short and medium-term topic-selection/emerging-threat identification.
- The SSAC's internal skills survey.
- Member availability and recent participation levels.
- Potential avenues for networking and raising awareness about the work of the SSAC.
- Diversity of perspectives, particularly in technical skill, but also in legal and policy expertise, and in geographic and gender diversity (See Recommendations 24 and 25).
- The level of interest of current members in tackling administrative as well as technical tasks.
- Goals and outcomes of the prior years' recruiting plan.
- Other items, as decided by the SSAC.

The recruiting plan should not be overly cumbersome, but rather should have clear goals designed to help the SSAC recruit and learn from the effort. Early versions could be two to three pages in length, and we expect that as time passes the SSAC's plans may become more concrete as specific conferences, academic programs, or other venues where suitable experts congregate are identified.

Potential items valuable to discuss in a plan includes:

- The SSAC's internal assessment of skills it would be useful to add to the SSAC in the year, based on the items reviewed above.
- A concrete number of individuals the SSAC would like to recruit with each skill or characteristic.

- The SSAC’s plan to meet/encourage said individuals to join.

Each year, the SSAC should take action to attempt to accomplish the goals of its recruiting plan. All actions need not be taken by the Membership Committee. For example, in the case of presenting a SAC document as a networking tool outside of the traditional ICANN meetings, members of the Work Party may be best suited to attend and report back with names of potential candidates. The Membership Committee should periodically communicate progress against the plan to the wider SSAC in a transparent way.

In addition, we recommend that the SSAC’s Membership Committee maintain a list of potential members that have been met via various networking efforts. This will assist the SSAC in finding replacements for specific skills when needed, and can be useful in conjunction with the formalized recruiting plan to allow the SSAC to consider reaching back out to contacts met in a one-off fashion. This list should, to the extent reasonable, contain the skills a contact could potentially bring to the SSAC, and it should be updated as members of the SSAC meet new contacts in the security space who might be good fits for the SSAC.

Recommendation 22: The SSAC should work with the ICANN Board to secure funding to present its work at and/or attend two or three major security conferences outside of ICANN meetings annually, where members may meet new interested applicants.

The cybersecurity community holds conferences regularly on a variety of topics at locations worldwide. These include both academic conferences around published work, and professional conferences organized around topics or specific events.⁵¹ These conferences are seen as a primary mode of communication and networking by academics and professionals in the field. Conferences can provide an opportunity for the SSAC, as they can also serve as a mechanism for the SSAC to share its work and identify potential new SSAC members.

By building a presence at conferences that discuss SSR issues, the SSAC could further increase the robustness of its membership by meeting new practitioners in the field. In addition, networking can generate excitement among potential recruits about the interesting work that the SSAC undertakes, and can help ensure a potential stream of future applicants to the SSAC from academic backgrounds.

We recommend that the SSAC’s Board Liaison work with the ICANN Board to secure funding for SSAC members to travel to and participate in security conferences. A useful target would be for the SSAC aim to present its research at 2-3 security conferences per calendar year.⁵² In addition, we encourage members of the SSAC who regularly attend security conferences as an individual to

⁵¹ For example, see a list of academic conferences and discussion of their prominence at http://faculty.cs.tamu.edu/guofei/sec_conf_stat.htm, and a list of upcoming professional conferences at <https://infosec-conferences.com/>.

⁵² We understand that some academic conferences may focus only on peer-reviewed, published work. We do not suggest the SSAC should feel required to enter its work into the peer-review process. Given its SSR role within ICANN, academic security conferences may very well be interested in hearing about the SSACs work, and conferences where the SSAC does not present are still useful as an opportunity to identify potential new members.

keep in mind their work on the SSAC while in attendance. New connections that could potentially serve as SSAC members should be referred to the Membership Committee for further consideration and outreach.

Finally, as conferences are held all over the world, they provide natural opportunities for SSAC members to meet individuals in under-represented regions and to encourage those qualified to apply to join the SSAC (see Recommendation 25).

Recommendation 23: The SSAC Membership Committee should generate a list of academic or other institutions with research efforts in fields related to SSR. The Membership Committee should keep this list up to date, and consider if academics may bring useful perspectives as either Invited Guests or full SSAC members.

A number of academic institutions have departments or researchers focused specifically on issues of cybersecurity. While not all of these departments will immediately relate to the SSAC's ICANN-specific remit, engagement with more academics could be useful to the SSAC both to increase the diversity of its membership and to build relationships that could help yield Invited Guests or others (e.g., interns) to assist with specific projects (see Recommendation 12).

As such, we recommend the SSAC's Membership Committee generate a list of academic programs or institutions with research in fields related to SSR that may overlap with qualification to study items of the SSAC's remit. As part of the development of its yearly recruiting plan, we recommend the SSAC consider this list and whether there are individuals at these institutions who could either in the short or the medium-term be reached out to about potential membership on the SSAC. This list should periodically be shared with the SSAC for comment or suggestions.

C. Finding 16: The SSAC has wide-ranging and deep technical expertise. The SSAC does not compromise its high technical requirements when vetting potential members, though some interviewees caution that the SSAC should avoid defining "technical" too narrowly, as SSR issues can be both technical and interdisciplinary.

In particular, we heard from several interviewees regarding the value of having individuals with a legal and/or policy background, as such expertise would help to ensure that the SSAC's advice is clear, understandable, and actionable. With this in mind, it should be noted that over the past several years the SSAC has recruited members with more diverse backgrounds, particularly with legal and/or policy expertise, in part to adapt to ICANN's needs and to be prepared for current and future issues. The SSAC reflects that current SSAC membership includes two members with law degrees, two privacy and public policy experts, and seven with experience in government positions across executive branch, law enforcement, and military service.

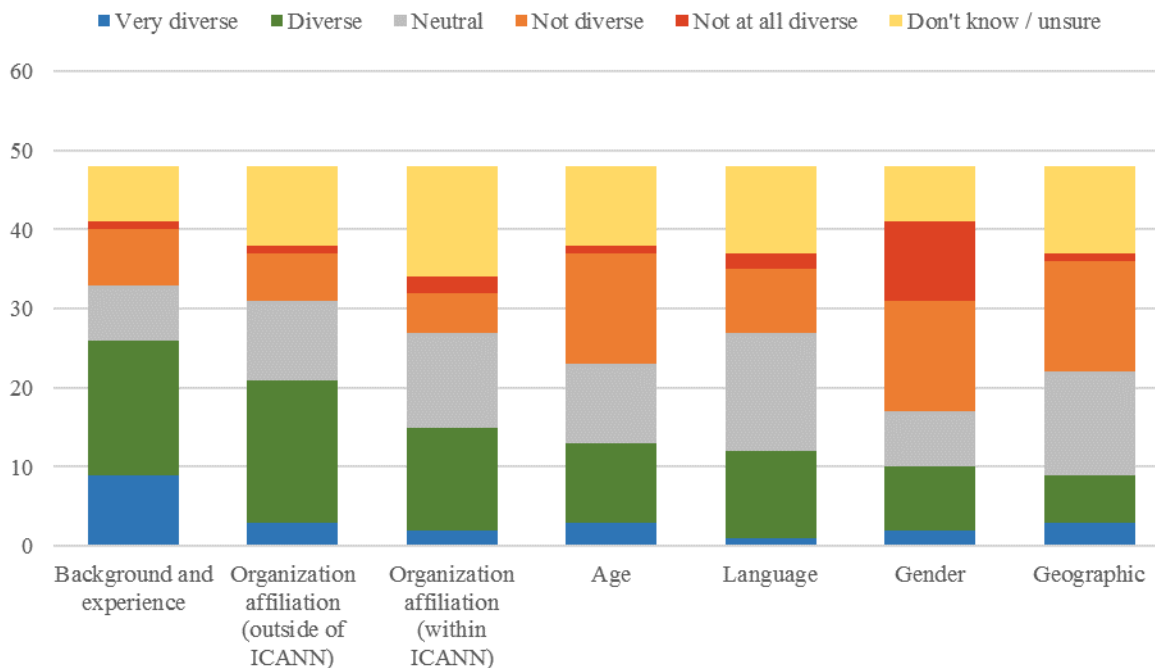
Recommendation 24: The SSAC should continue efforts to recruit individuals with a strong technical background but who also have legal/policy expertise. Discussion of the need for individuals with legal, policy, and law enforcement expertise should be codified in each year's recruiting plan.

While the SSAC currently has members experienced in legal, law enforcement, and policy backgrounds, it is important that this continue to be a criteria that is thought about when planning the SSAC's recruiting. As such, we recommend that this topic be explicitly discussed in each yearly recruiting plan.

D. Finding 17: The SSAC is perceived to lack geographical and gender diversity and is comprised mostly of male individuals from the U.S. and Europe. While many individuals told us that they do not feel it is appropriate for a technical body to have diversity at the expense of technical skill, several SSAC and non-SSAC members indicated that perspectives from other regions and types of individuals would be beneficial.

Interviewees who were asked, as well as survey respondents, generally indicated that the SSAC is not diverse along a number of dimensions, including geography, gender, age, and language. Below, in Figure 32, we provide a summary of survey responses to the question of the degree to which the SSAC is diverse with respect to geography, gender, ICANN organizational affiliation, organizational affiliation outside of ICANN, background/experience, age, and language. While 49% of responses indicated that the SSAC is either very diverse or diverse with respect to organizational affiliation outside of ICANN and background/experience, only 23% of responses indicated that the SSAC is either very diverse or diverse with respect to including geography, gender, age, and language.

Figure 32: How Diverse is the SSAC along these Dimensions?
Number of Survey Respondents: 48



Although a lack of diversity was noted, many interviewees stated that given the technical nature of the material considered by the SSAC, diversity should not be prioritized over technical expertise. However, there was one caveat to this sentiment; in particular, several individuals noted that to the extent there are SSR-related issues that are specific to certain regions or geographies, it may be important to ensure greater geographic diversity within the SSAC.

Recommendation 25: The SSAC should endeavor to recruit individuals with a strong technical background who also represent a broad set of geographical locations and reasonably balanced set of genders. Discussion of how to do so should be codified in each year’s recruiting plan.

We recommend that, in addition to technical diversity, discussion of geographical and gender diversity should be included within the SSAC’s yearly recruitment plan. We are not, however, recommending a specific breakdown by gender or geography as part of this recommendation. While we agree with the sentiment that diversity should not be prioritized at the expense of needed technical expertise, when it is possible to obtain both diversity and the required technical expertise for the SSAC, processes should be in place that maximize the likelihood of doing so.

The security sub-filed of computer science is gender-imbalanced, and while the SSAC can over time contribute to the other efforts that are underway to fix that, the SSAC cannot fix it alone and also cannot compromise on its core technical mission. As such, we recommend the SSAC continue to encourage qualified potential members of all genders to join the organization, where possible encouraging members who are of a gender that is under-represented on the SSAC.

With regards to geographical diversity, we have heard in interviews, including from some ICANN Board and SSAC members, that there is a concern that a predominantly North American and European-based SSAC may have a more difficult time understanding the cultural contexts of how the Internet is likely to be used in cultures that differ from those regions. These voices suggest that better representation of those with new cultural contexts can only increase the robustness of the SSAC's discussions.

The current levels of diversity on the SSAC do not appear to be incompatible with the SSAC's ability to meet the objective of providing ICANN with sound expertise. However, we suggest that the aforementioned yearly recruitment plan is a place where this can be reflected upon and weighed along other recruiting needs to strike the right balance. This process can encourage the SSAC's likelihood of meeting a more diverse set of individuals. For example, as mentioned above, we believe that SSAC could seek to meet people in new regions via targeted participation in conferences outside of regions where the majority of SSAC members reside.

E. Finding 18: The membership review process used by the SSAC today is clearer and more transparent than it had been in the past, and when flaws have been identified the process has undergone (and continues to undergo) improvements.

As noted earlier above, each SSAC member is reviewed prior to determining whether to reappoint that member to an additional three-year term. Based on both our interviews and the survey responses, the membership review process is generally seen as being effective (see Figure 33 below), although there have been a small number of instances in which the review process resulted in outcomes that were viewed negatively. Based on these negative outcomes, interviewees noted that changes have been made to the review process, including informal check-ins with the Chair of the SSAC.

In addition to individuals generally indicating that the review process is effective, most individuals also noted that the Membership Committee is transparent (see Figure 34) and that the Membership Committee follows its own rules and procedures (see Figure 35).

Figure 33: How Effective if the Membership Committee at Reviewing Current SSAC Members?

Number of Survey Respondents (SSAC Members): 15

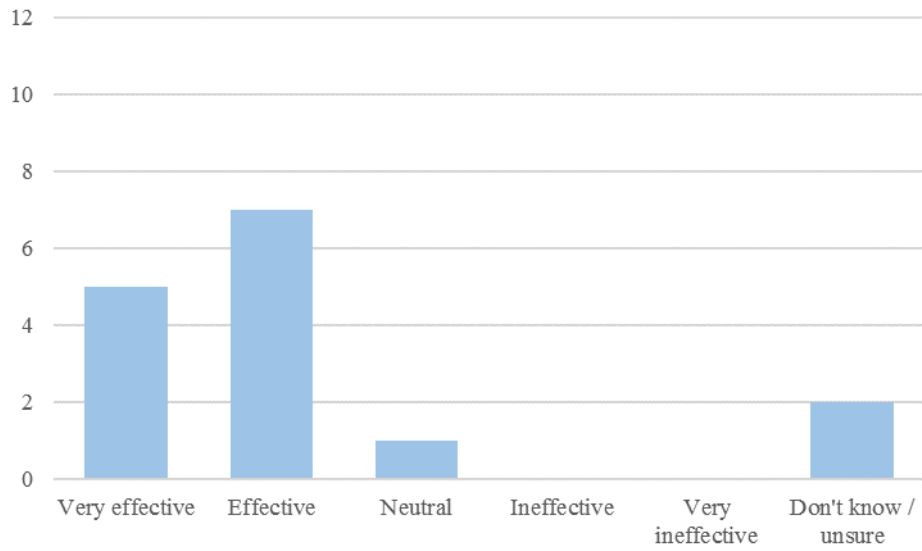


Figure 34: Is the Membership Committee Transparent?

Number of Survey Respondents (SSAC Members): 15

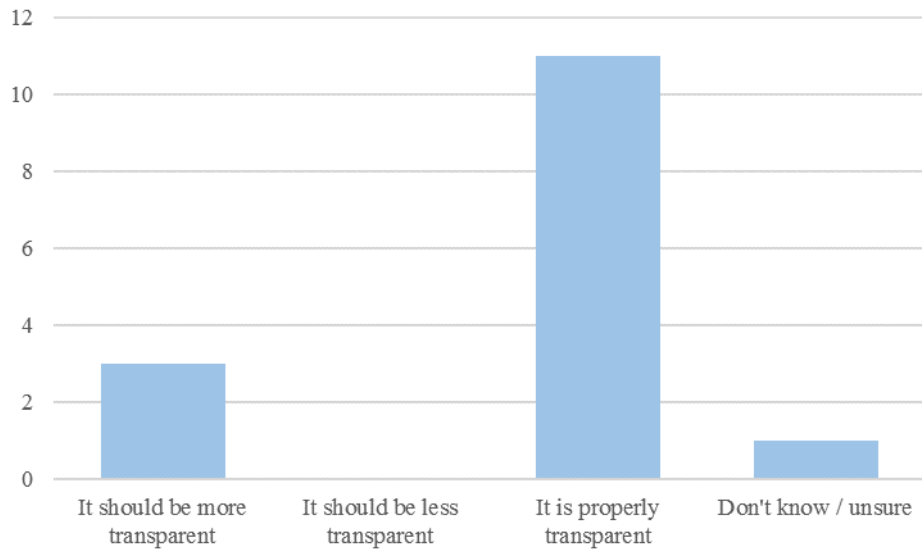
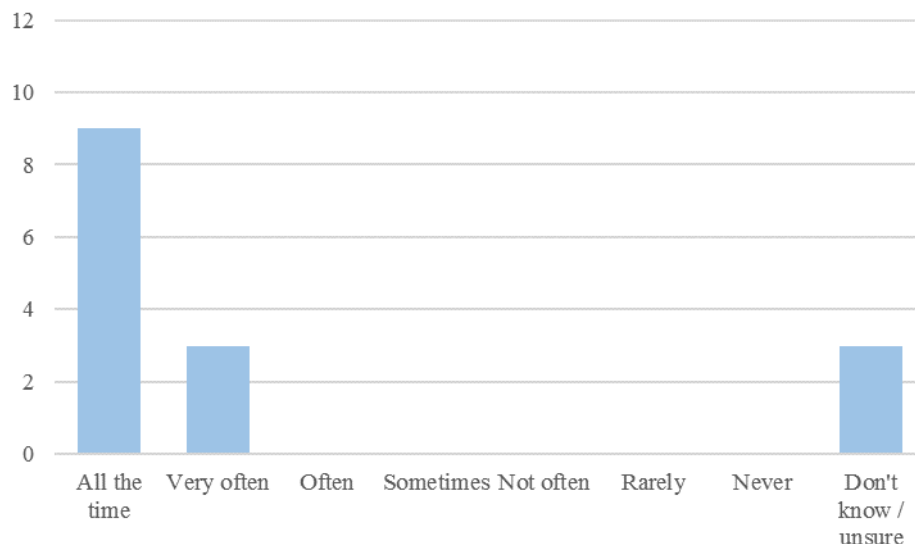


Figure 35: Does the Membership Committee Follow Its Procedures?
Number of Survey Respondents (SSAC Members): 15



Recommendation 26: The SSAC’s membership review process should include a yearly review process for the SSAC’s external Liaisons and representatives.

While for the most part, SSAC members told us that they are comfortable openly and honestly debating with peers, several SSAC members noted that they would feel uncomfortable voicing an opinion in relation to the effectiveness of one of the SSAC’s external Liaisons. The current SSAC operating procedures have no process in place to consider the performance of external Liaisons and to provide feedback to assist the Liaison in refining the way that they represent the SSAC.

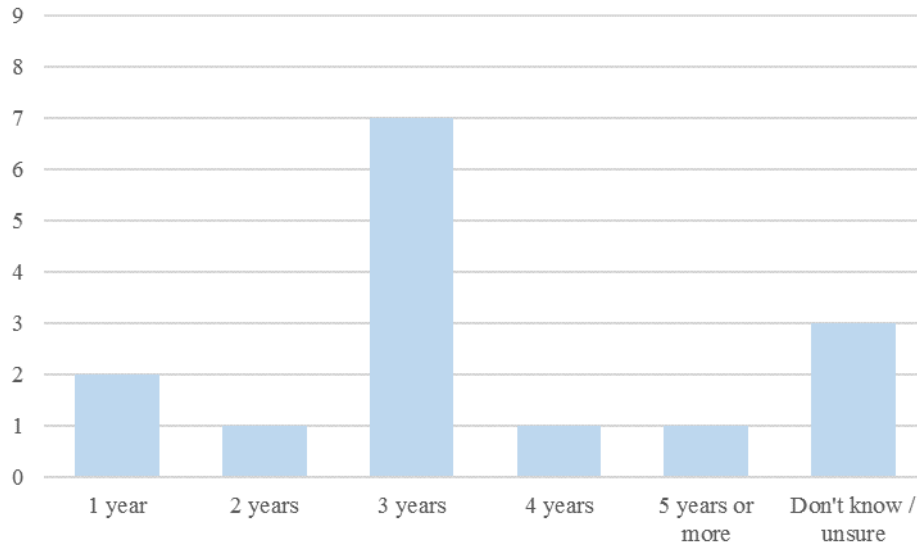
We recommend that the Membership Committee conduct a brief review for each of its external Liaisons and outward representatives (as recommended above) each year. This review should allow the committee to reflect on the activities of that Liaison or representative, and to provide a mechanism for them to hear what efforts are seen to be most useful to the SSAC and to adjust activities accordingly. It should also provide a confidential avenue for any SSAC member to voice feedback or concerns. To the extent that issues arise, we recommend that the SSAC Chair have an informal conversation with any Liaison or representative when needed.

F. Finding 19: The SSAC’s term length of three years for non-leadership members is generally considered to be appropriate, and almost all interviewees and survey respondents indicated that there should be no term limits for SSAC’s non-leadership members.

When asked whether any changes should be made to the term length of SSAC’s non-leadership members, as shown in Figure 36 below, the majority of respondents suggested that the current three-year term length is the most appropriate, although a few individuals suggested shorter or longer terms for SSAC members. When asked about the appropriate term length, individuals noted the tradeoff in shorter as opposed to longer terms, with shorter terms potentially allowing for more turnover and less chances of organizational capture, and longer terms allowing for greater

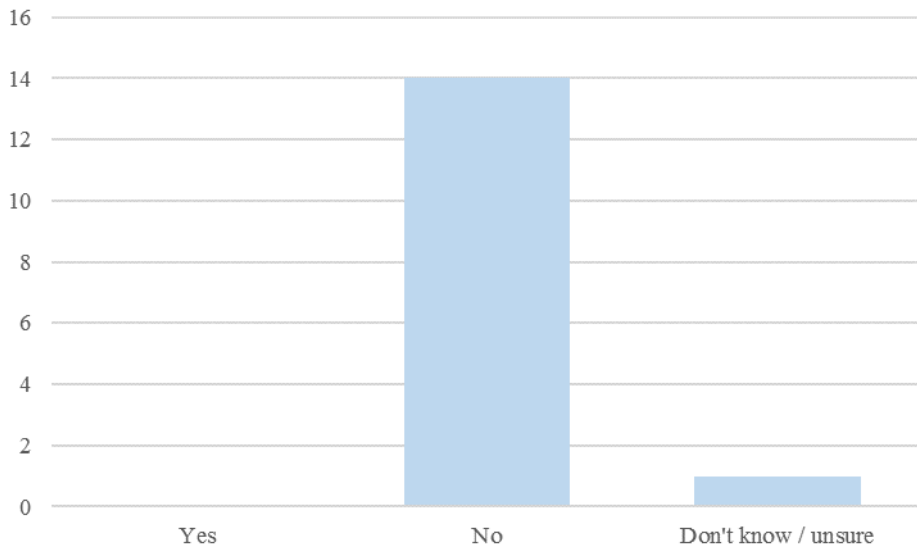
organizational effectiveness given the time required to come up to speed on working within ICANN and SSAC. Most respondents indicated that a three-year term balances these benefits and concerns.

Figure 36: What is the Appropriate Term Length for SSAC’s Non-Leadership Members?
Number of Survey Respondents (SSAC Members): 15



When asked if SSAC members should have term limits, no survey respondents indicated that such term limits should exist. (See Figure 37 below.) Similarly, no interviewees proposed that term limits be instituted.

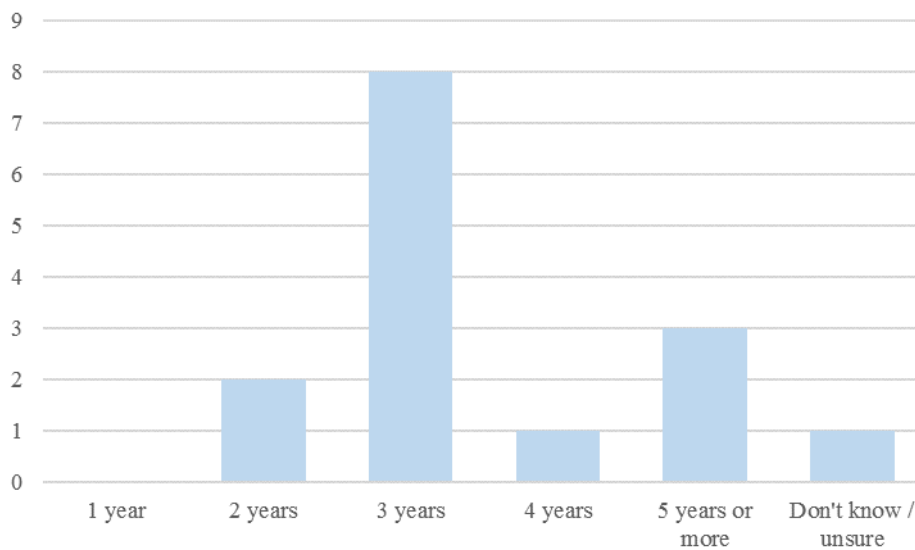
Figure 37: Should there be Term Limits for SSAC’s Non-Leadership Members?
Number of Survey Respondents (SSAC Members): 15



G. Finding 20: The SSAC’s term length of three years for leadership members is generally considered to be appropriate (Chair and Vice Chair). There exists much more variation in individuals’ views as to the appropriate term limit, if any, for SSAC leadership.

When asked whether any changes should be made to the term length of SSAC’s leadership members, as shown in Figure 38 below, the majority of respondents suggested that the current three-year term length is the most appropriate, although a few individuals suggested shorter or longer terms for SSAC leadership members.

Figure 38: What is the Appropriate Term Length for SSAC’s Leadership Members?
Number of Survey Respondents (SSAC Members): 15

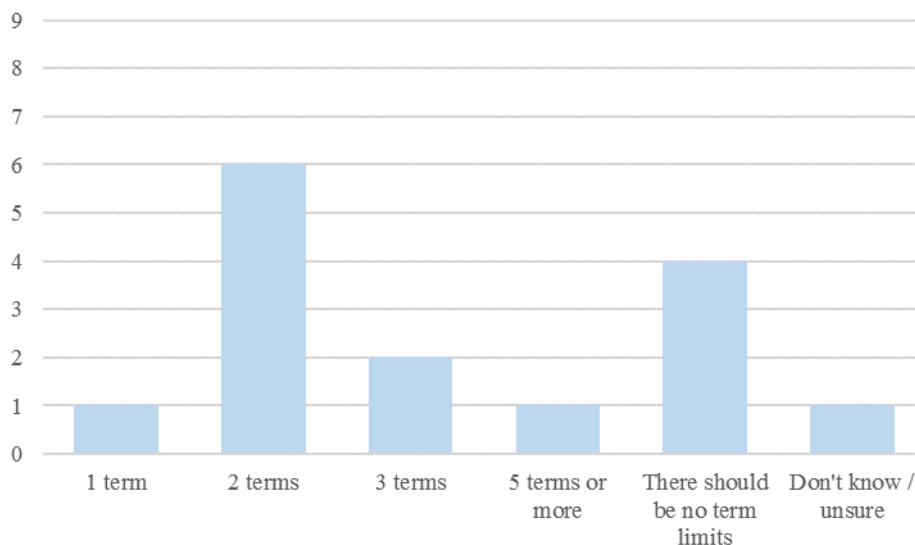


There was somewhat less consensus with respect to whether there should be term limits for the leadership of the SSAC, and if there are term limits, the appropriate length of such a term limit. As shown in Figure 39 below, a total of four respondents (out of 15) expressed a view that there should be no term limits for SSAC’s leadership, as currently is the case for the SSAC Chair, while ten respondents expressed a view that there should be a term limit, with most of these individuals expressing support for a limit of two terms for SSAC’s leadership.

It should be noted that in February 2018, the SSAC voted to impose term limits for its Vice-Chair and Board Liaison positions, however, was unable to impose term limits for the SSAC Chair position due to the ICANN Bylaws. The ICANN Bylaws specifically state that the SSAC Chair may serve an unlimited number of terms.⁵³ The ICANN Bylaws do not impose a similar restriction across other SOs/ACs, and some SSAC members noted it may be useful for the SSAC to have prerogative of choice over this decision.

⁵³ “The chair and members may be re-appointed, and there are no limits to the number of terms the chair or members may serve,” ICANN Bylaws, Section 12.2.b.ii

Figure 39: Should there be Term Limits for SSAC’s Leadership Members?
Number of Survey Respondents (SSAC Members): 15



Recommendations 27 and 28 below relate most closely to the two findings above.

Recommendation 27: The SSAC’s leadership should be limited to two, three-year terms. The SSAC should impose no term limits on non-leadership members.

When considering the tradeoffs described above, we find term limitations of two, three-year terms to be appropriate. Two terms of three years gives sufficient time for the SSAC to undertake longer-term projects under stable leadership, while also periodically providing the opportunity for new members of the SSAC to serve in leadership roles.

We also recommend that the SSAC endeavor to have at least two applicants for any opening in the SSAC’s Chair, Vice-Chair, or Board Liaison position, even when the current holder of a position is eligible for reelection. Competition is healthy, and the process of periodically discussing the desired future direction of the SSAC’s leadership roles can cause useful reflection for the SSAC as a whole.

We do not recommend term limits for non-leadership members. Because very detailed technological knowledge required for the SSAC, automatic removal could lead to a loss of important niche skills that are hard to recruit for, and we have seen no evidence of negative outcomes due to the current term lengths.

Recommendation 28: The SSAC should work with the ICANN Board to update the ICANN Bylaws in order to allow for there to be term limits on the SSAC Chair.

As discussed above, the SSAC has been unable to place a term-limit on its Chair position, despite a desire to do so. The ICANN Bylaws 12.2(b)(E)(ii) state that “The SSAC’s chair [...] shall be

appointed by the Board. [...] The chair and members may be re-appointed, and there are no limits to the number of terms the chair [...] may serve.”⁵⁴

We recommend the SSAC be able to term-limit its Chair, and suggest that the SSAC’s Board Liaison work with the ICANN Board and relevant members of ICANN Staff to amend the bylaws so that they do not explicitly state that the SSAC Chair is immune from term limitations. The SSAC may then term-limit the Chair per its own Operational Procedures.

H. Finding 21: The SSAC has mechanisms to allow for the disclosure of conflicts of interest, and members seem comfortable identifying each other’s potential conflicts of interest. Some SSAC members indicated that, by nature of the technical expertise required to contribute to the SSAC, limited conflicts of interest are unavoidable. Other SSAC members believe more can be done to limit potential conflicts.

The SSAC has both formal and informal mechanisms to disclose a conflict of interest. Formally, every member of the SSAC is required to provide a Declaration of Interests “not less frequently than once a year, or whenever there is a material change, declaring and describing any specific interests, relationships, arrangements, or affiliations that might affect or reasonably be perceived to affect his or her judgement in the context of participation in SSAC.”⁵⁵ These declarations are posted on the SSAC’s website, and our review shows that they are regularly updated both in the course of business and as new members join. SAC publications after this mechanism went into effect also contain a hyperlink to these statements.

Informally, most interviewees indicated that members of the SSAC either properly recuse themselves or disclose conflicts of interest as they arise. Several described situations where a potential conflict of interest was called out proactively during SSAC meetings to help ensure that potential biases were clear in conversation. SSAC members seemed to welcome and encourage such dialogue. In our observation of SSAC meetings, this mechanism seems to be working - individuals were quick to disclose both personal and professional biases as part of conversation. Almost all SSAC survey respondents are either very satisfied or satisfied with the current recusal policies (see Figure 40).

Many members of the SSAC discussed that potential conflicts of interest are impossible to completely avoid on the SSAC, as many of its members have built their deep expertise in industry and, as volunteers, it would be unrealistic for SSAC members to leave their job as a requirement for SSAC duty. As can be seen in Figure 41, a majority of SSAC members believe that the level of conflict of interest perceived in the SSAC is a 3 on a 1-5 scale (with 1 being the lowest).

However, several interviewees expressed that additional recruitment outside of the SSAC’s traditional network might help to reduce conflicts of interest further. For example, they suggested that recruiting additional academics or security researchers might diversify the SSAC and lower the potential for conflicts of interest. In addition, a couple of interviewees suggested that the

⁵⁴ “ICANN Bylaws,” <https://www.icann.org/resources/pages/governance/bylaws-en>.

⁵⁵ “SSAC Operational Procedures Version 5.1,” SSAC, February 27, 2018.

informal method of topic selection in the SSAC could potentially cause SSAC members to focus on topics related to their day job. In our survey, 20% of SSAC respondents stated they were more likely to participate in a work party that related to their day job.

Finally, several interviewees noted that the SSAC has been discussing conflicts of interest in-depth as part of the NCAP working group.

Figure 40: How satisfied, or not satisfied, are you with the SSAC’s current recusal policies (e.g., allowing for recusals or withdrawals in each published document)?

Number of Survey Respondents (SSAC Members): 15

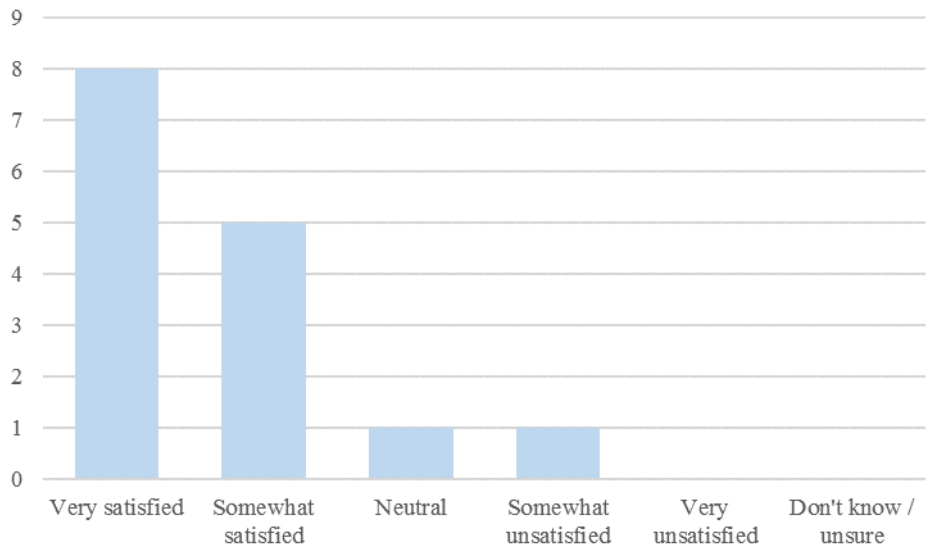
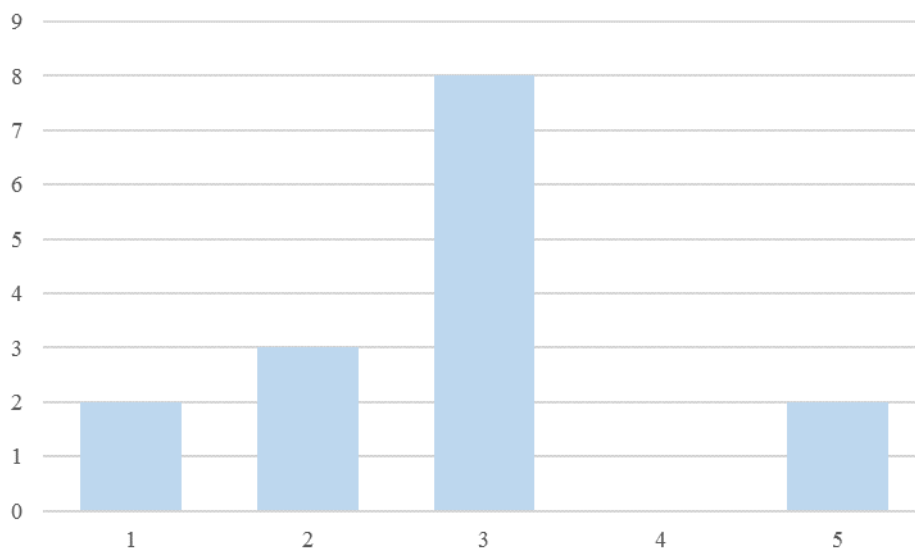


Figure 41: Do you perceive the current level of conflict of interest on the SSAC to be low, moderate, or high, on a scale of 1 to 5 (with 1 being low and 5 being high)?

Number of Survey Respondents (SSAC Members): 15



Recommendation 29: The SSAC should maintain its current processes and activities around disclosing potential conflicts of interest, both at the individual level and as a group of individuals. It should also update its online disclosure of interest statements to clearly articulate when the disclosure was last submitted for each member.

In a setting such as the SSAC, it is impossible to assure a complete lack of conflict of interest on the part of *each individual*. Instead, the SSAC needs internal checks among the *group of individuals* to assure that conflicts are addressed and don't influence the institutional decisions of the organization. Based on our review, the SSAC's work does not appear to be unduly influenced by external conflicts.

The SSAC should continually strive to reduce the potential for a conflict of interest to unduly impact its judgement. We recommend that the SSAC maintain its current processes around disclosures of interest, and its current culture where these items can be actively discussed.

While our review of the SSAC's website shows that disclosure of interest statements are periodically updated, it is currently impossible for a member of the public to determine whether or not individual members of the SSAC are updating these statements "no less frequently than once a year," (in addition to the many other specific instances where updates are required).

We recommend that the SSAC update its disclosure of interest page to explicitly state when the disclosure of interest statement was last updated for each member of the SSAC, instead of only using one date for the entire webpage. On the current page,⁵⁶ each member of the SSAC has a

⁵⁶ See, for example, the biographies listed at <https://www.icann.org/resources/pages/ssac-biographies-2018-06-15-en>.

biography, under which a disclosure of interest is listed. We recommend the line which currently states “Disclosure of Interest” be updated to state “Disclosure of Interest (last updated on [date]).”

While this is a small change in text, tracking this date publically will create a commitment mechanism to ensure disclosures remain up to date. The SSAC’s Staff should periodically follow-up with SSAC members to ensure disclosures are updated at least yearly, as well as outside of this when in line with the current SSAC’s Operating Procedures.

VIII. Findings and Recommendations: Prior Review Implementation and Self-Improvement

A. Finding 22: The SSAC has taken clear steps to implement the recommendations that were accepted after its prior review. With minor caveat, the SSAC has been successful in these implementations.

JAS Communications LLC was engaged to perform an external review of the SSAC in November 2008, and subsequently released its assessment on May 15, 2009 (the “JAS Review”).⁵⁷ The ICANN Bylaws dictate that an external review is to be carried out for each of its advisory committees and support organizations every five years. At the time of the JAS Review, the ICANN Bylaws dictated that the external review identify:

- Whether that organization has a continuing purpose in the ICANN structure, and
- If so, whether any change in structure or operations is desirable to improve its effectiveness.

The JAS Review determined that “Unquestionably, the SSAC has a continuing purpose in the ICANN structure.”⁵⁸ The review found that security and stability was and would continue to be important within the ICANN community and that the SSAC were adept at providing the necessary technical advice. In its report, JAS identified three areas around which to improve the SSAC:

- Organizational clarity and charter - The SSAC’s charter was considered overly broad leading to difficulties in determining what fell within the SSAC’s remit. JAS identified several areas where further clarification was needed.
- Improving formality and transparency - JAS recommended the SSAC engage in an annual review and planning process together with ICANN management, staff, and other SOs/ACs enabling better coordination with the community. Additionally, JAS recommended several improvements to strengthen SSAC’s internal processes such as publishing meeting minutes, incorporating outside expertise, and implementing a member review process.

⁵⁷ “Review of the ICANN Security and Stability Advisory Committee,” JAS Communications, May 15, 2009.

⁵⁸ “Review of the ICANN Security and Stability Advisory Committee,” JAS Communications, Section 3, p. 4, May 15, 2009.

- Proactively addressing conflicts of interest - JAS recommended various actions to reduce conflicts of interest and provide an opportunity for recusal and dissents to be noted.

1. JAS Review Findings

JAS outlined a series of findings in its Final Assessment Report including but not limited to the SSAC's adherence to its mandate and the procedural effectiveness of publishing work products.

JAS provided a summary of the SSAC's effectiveness for each of the SSAC's chartered task areas.⁵⁹

- **Develop a security framework:** The original SSAC Charter included a task area aimed at developing a security framework for the DNS and outlined a need to focus on operational issues. The JAS review concluded that the SSAC did not appear to have a "security framework" document, or similar work product. Furthermore, there was some ambiguity and disagreement over whether the SSAC's should continue to "focus on operational considerations of critical naming infrastructure" as the SSAC typically focused on items of larger, strategic importance rather than strictly operational issues. As a result of the review, the mandate to develop a security framework was dropped from the SSAC's Charter.⁶⁰
- **Communication on security matters:** The SSAC has been highly effective in communicating with the internet technical community and operators, and it has become a respected brand.
- **Ongoing threat assessment and risk analysis:** The SSAC has been proactive in research and publications, however, JAS noted that ongoing threat and risk assessment might require significant resources that were lacking. Some SSAC reports were found to be too technically focused to be easily used to policy makers and too technical to be accessed by non-technical professionals.
- **Communicate with those who have direct responsibility for DNS security matters:** The SSAC membership was well representative of relevant communities, leading to direct communication.
- **Report periodically to the ICANN Board:** In the past, communication was largely informal. In November 2008, the positions of "SSAC Chair" and "Liaison to the ICANN Board" were created to increase formality.
- **Make policy recommendations:** The SSAC makes occasional policy recommendations, however, the "consistency and effectiveness of SSAC's formal communication with the Board is in doubt." Some feedback noted that the lack of an "active response" from the Board to SSAC advice made it difficult to determine whether SSAC advice was effectively consumed and implemented.

⁵⁹ "Review of the ICANN Security and Stability Advisory Committee," JAS Communications, Section 6.1, pp. 16-19 May 15, 2009; Please refer to the SSAC charter detailed in section 1.B of the report.

⁶⁰ Earlier versions of the SSAC Charter included an additional task area that read "To develop a security framework for Internet naming and address allocation services that defines the key focus areas, and identifies where the responsibilities for each area lie. The committee will focus on the operational considerations of critical naming infrastructure."

Additionally, the JAS Review provided feedback on the effectiveness of the SSAC's work products. It was noted that the SSAC's work were of "superb technical quality and almost completely if not entirely free of technical errors." However, JAS raised potential concerns around the informality of the procedures for developing a work product. Various stakeholders throughout the review process indicated that "SSAC products would be substantially improved with additional policy, economic, business, and risk management content." JAS believed that the SSAC "lack[ed] the skill-set to provide significant commentary in these nontechnical areas" into its reports, which was subsequently outlined in JAS' recommendations. The previous RWP considered that the SSAC Charter should not be amended to specifically include nontechnical risks to security and stability.

2. JAS Review Recommendations and Assessment

As a result of the review, JAS presented the SSAC with 33 recommendations aimed at improving the SSAC. These recommendations and our findings as to their current implementation state can be found in Appendix A. The Appendix outlines the original recommendation, a general sense of the previous Review Work Party's (then called the Review Working Group) agreement or disagreement with the recommendation, the final action to be implemented, a measure of recommendation implementation status by the previous RWP as of March 2011, and a brief assessment of the implementation state.

Additional details on our assessment follow:

Significant portions of the JAS Review recommendations were aimed at improving the SSAC's "Organization Clarity and Charter." Within this set, most recommendations focused on maintaining current processes deemed important by JAS to ensuring efficacy of the SSAC. In large part, these recommendations required little to no action and included recommendations focusing on maintaining independence as an advisory body, maintaining independence from other groups within the ICANN community, and remaining sensitive to political and business issues while providing advice.⁶¹ In large part, the SSAC has been successful at maintaining the current processes outlined in JAS' initial recommendations. There is room for improvement in one suggestion from the JAS Review, to "Whenever possible, provide advance notice in the form of a professional 'heads-up' when uncomfortable situations are reasonably foreseeable. Avoid the perception of 'blindsiding' individuals and entities." A small number of members of the ICANN community reflect they felt blindsided by specific SAC documents, as discussed in Section II.C of this review.

Additionally, the JAS Review recommended that the SSAC Charter be amended in certain situations to provide organizational clarity. In most cases, the SSAC RWP disagreed or partially disagreed with the suggested amendments. For example, the JAS Review suggested that the SSAC Charter be amended to require the SSAC Chair and Liaison to the ICANN Board be separate individuals, and the SSAC Charter also be amended to specifically include non-technical risks to security and stability as within its scope.⁶² In these and similar situations, the SSAC RWP

⁶¹ Please refer to JAS recommendations numbered one, two, three, six, seven, and thirteen.

⁶² Please refer to JAS recommendations numbered eight and eleven.

disagreed with the recommendation and no actions were immediately taken. In the case of the SSAC Chair and SSAC Liaison, the SSAC later decided to update its Operational Procedures to require these two roles to be separate individuals, regardless.

A significant number of recommendations relating to “Formality and Transparency” required changes to SSAC procedures. The JAS Review recommended that the SSAC increase transparency to the ICANN community and public by posting meeting ‘minutes’ and simple conflict disclosure forms for each member on their website. The SSAC currently does not post minutes from internal meetings publically, but keeps extensive internal meetings and notes on its private Wiki site. The SSAC has recently been discussing if there are appropriate ways to post more such information publically without compromising security. The SSAC has provided additional transparency by its posted work plans and “Activities Updates” from each ICANN meeting.⁶³ Additionally, all SSAC members’ biographies now include a “Disclosure of Interest” section online.⁶⁴

Furthermore, the JAS Review recommended that the SSAC formalize a series of membership and lightweight planning procedures such as including language stating that SSAC membership can be renewed indefinitely, reviewing SSAC memberships every three years such that one-third of membership are up for review every year, allowing for administrative members to be removed via a simple majority vote, and implementing an annual planning process.⁶⁵ To date, the SSAC has implemented each of these recommendations. Additional language has been added to the ICANN Bylaws to allow for indefinite membership,⁶⁶ that the SSAC would undergo a yearly membership review,⁶⁷ and that SSAC appointees can be removed by a majority vote.⁶⁸ Finally, the SSAC has implemented a lightweight annual planning process evidenced by new language in the operation procedures and “Current and Future Milestones” presented at yearly ICANN meetings.⁶⁹

In an effort to further increase transparency around conflicts, the JAS Review included a series of recommendations for “Conflicts of Interest.” JAS recommended that each SSAC publication include sections allowing for dissenting opinions and recusals from the research.⁷⁰ The SSAC agreed with this recommendation and implemented an “Objections or Withdrawals” section in all subsequent reports. Second, JAS suggested that the SSAC develop and post a conflicts of interest

⁶³ “SSAC Work Plans and Activities”, *ICANN*, available at <https://www.icann.org/groups/ssac/workplan-activities>, accessed on May 24, 2018.

⁶⁴ “Biographies and Statements of Interest of SSAC Members”, *ICANN*, available at <https://www.icann.org/groups/ssac/biographies-13feb14-en>, accessed on May 24, 2018.

⁶⁵ Please refer to recommendations numbered 21, 22, 24, and 15.

⁶⁶ “The SSAC’s chair and members shall be appointed by the Board. SSAC membership appointment shall be for a three-year term... The chair and members may be re-appointed, and there are no limits to the number of terms the chair or members may serve,” ICANN Bylaws, Section 12.2.b.ii

⁶⁷ “The SSAC chair shall stagger appointment recommendations so that approximately one-third (1/3) of the membership of the SSAC is considered for appointment or reappointment each year,” ICANN Bylaws, Section Article 12, Section 2.b.ii

⁶⁸ “The Board shall also have the power to remove SSAC appointees as recommended by or in consultation with the SSAC.” ICANN Bylaws, Article 12, Section 2.b.ii

⁶⁹ “SSAC Operational Procedures Version 5.1,” SSAC, February 27, 2018, Section 2.5, pp. 8-20.

⁷⁰ Please refer to recommendations numbered 31 and 32.

policy similar to the one posted by the ICANN Board, which resulted in additional language to the SSAC Operational Procedures.⁷¹

Finally, the JAS Review made two recommendations involving financial compensation to SSAC Members from the ICANN Organization. These decisions are made by the ICANN Board and thus are to some extent outside of the SSAC's direct control. First, the JAS Review suggested that ICANN reimburse travel expenses for the SSAC Chair to ICANN meetings when appropriate. Currently up to fifteen members of the SSAC can receive travel reimbursements if incurred, one of which can be the SSAC Chair. Second, the JAS Review suggested the ICANN Board study the issue of paying a stipend or honorarium to SSAC Leadership and members. We are unaware of such a study taking place.

With the few noted exceptions, the SSAC has been diligent and effective at implementing the accepted feedback from its prior review.

B. Finding 23: The SSAC values self-improvement and makes clear efforts to continually improve even outside of the formal review process.

Outside of the implementation of prior review feedback, the SSAC has made continuous efforts to improve its processes. Conversations with members of both the SSAC's incoming and outgoing Administrative Committee have shown that individuals take the continual improvement of the SSAC seriously, and that they were excited to discuss how the SSAC could continue to improve.

The SSAC's belief in continual self-improvement has manifested in multiple ways. As examples:

- The SSAC has updated its Operating Procedures at least five times since its last review. For example, a February 2018 update implemented term limits on the SSAC's Liaison to the ICANN Board.
- The SSAC's Annual Workshop, an in-person meeting of SSAC members, regularly polls attendees and reports back on what was effective or not effective.
- The SSAC RWP has conducted its own internal analysis and Assessment of the SSAC. The RWP is taking steps to refine SSAC processes regardless of this Independent Review.
- The SSAC is in the middle of reviewing and updating its skills matrix to better understand member capabilities and skills on a yearly basis.
- The SSAC is engaged in internal conversation regarding how it might be more transparent to the ICANN community.

⁷¹ "All members provide independent advice and are expected to call attention to circumstances when the comments they offer are not their own." "If members wish to withdraw support from a document, or register a dissent, these positions are included at the end of the document to which they apply." See Section 1.1 of SSAC Operational Procedures, p. 7.

Recommendation 30: The SSAC should continue to nurture and build upon the SSAC's culture that values self-improvement, including between formal reviews.

Effective organizations (and individuals) do not learn and improve only during formal processes, but via continuous reflection as experience is gathered. Such continual reflection and self-improvement allows an organization to learn from activities in real time and to be robust to change. We encourage the SSAC to continue to nurture and build upon its existing culture of self-improvement, which is highly valuable.

As an example: the NCAP project is one potential location where the SSAC can learn from experience. Members have indicated an interest in using the scale of the NCAP project to help establish best practices for future projects on similar scale, and to take in learnings about working on a project with more public participation than other work of the SSAC. We would encourage such activities, and suspect there will be many similar opportunities to learn from experience between this review and the next review that the SSAC undertakes.

Public Comments Issue Tracking Checklist (v3.0)

Forum Title: Proposed Changes to the RrSG Charter

Open Date:	18 December 2018	Close Date:	5 February 2019
-------------------	------------------	--------------------	-----------------

A total of 4 issues, suggestions, and recommendations were offered by ICANN Org during the Charter Amendment Process and responded to by the RrSG during the Public Comment Proceeding. These items are documented in this Checklist. They are grouped into four categories as follows:

- Category A: GNSO Operating Procedures Alignment
- Category B: Representation at GNSO Council Level
- Category C: Non-Voting Member Participation within RrSG
- Category D: Non-Voting Member Participation in Empowered Community

The following table shows the original disposition by Status category as of 7 February 2019 after a thorough review of ICANN Org's concerns, extensive dialogue with ICANN Org and a written response provided to ICANN Staff via the public comment proceeding by Graeme Bunton, Chair of the Registrar Stakeholder Group (RrSG) on behalf of the RrSG.

Status	Number of Issues 7 Feb. 2019
Resolved	0
Under Review	4
Deferred/Postponed	0
Unknown	0
Needs Clarification	0
Total	4

Public Comments Issue Tracking Checklist (v3.0)

1) Category A: GNSO Operating Procedures Alignment		
Issue/Suggestion/Recommendation – ICANN Org	Status	Comments/Disposition
<p>1.1 May not be aligned with the clarity required under GNSO operating procedures, particularly where there is significant discretion provided to making such a determination as to who can vote and may not (see terms such as "non-exhaustive list" "entities whose primary business activity derives from an accredited TLD registry or registry operator" "entities who are directly or indirectly operated/owned by governments");</p> <p>1.2 Item 1.1 above focuses on the potential lack of clarity in the definition of non-voting registrars, through the inclusion of language granting significant discretion in defining which entities might be deemed non-voting. such as "non-exhaustive list" "entities whose primary business activity derives from an accredited TLD registry or registry operator" or "entities who are directly or indirectly operated/owned by governments".</p> <p>The clauses that ICANN org relies upon out of the Operating Procedures regarding this lack of clarity include:</p> <p>7.1.1a (Participation Principles): "These rules and any other rules governing participation should be objective, standardized and clearly stated."</p> <p>7.1.2b (Membership): "All Groups should abide by rules governing membership, which are based on common principles. All Group members should have rights, duties and responsibilities and in particular, rights to vote as applicable as per Group membership rules."</p> <p>7.1.2e (Membership): "Admission criteria should be predictable and objective and not arbitrary or discretionary."</p>	<p>Under Review</p>	<p>RrSG Response:</p> <p>§2.2.3 of the new Charter reads:</p> <p>2.2.3 Non-Voting Members: The following is a non-exhaustive list of entities which, although they meet the primary membership eligibility requirements in 2.2.1, are considered eligible for membership only as Non-Voting Members:</p> <ul style="list-style-type: none"> a. Not-for-profit entities excepting trade associations or coalitions representing for-profit entities; b. Entities whose primary business activity derives from an accredited TLD registry or registry operator; and c. Entities who are directly or indirectly operated/owned by governments. <p>Determination of a, b or c will be a fact-based exercise so the issue of "significant discretion" should not arise. With regard to the language "non-exhaustive list", such term and other similar terms ("including but not limited to" or "including but without limitation") are commonly used in governance documents and contracts in order to preserve certain degree of discretion for any unforeseeable circumstances. Our cursory look reveals that these terms appear in the Procedures, ICANN Bylaws, the ICANN Registry Agreement, Registrar Accreditation Agreement, just to name a few.</p>

Public Comments Issue Tracking Checklist (v3.0)

	<p>Under Review</p>	<p>No one can predict with absolute certainty how the domain market may evolve or change in the future, thus, we consider the term "non-exhaustive list" used in §2.2.3 not only prudent but essential. §2.2.3 of the New Charter was discussed at great length within the RrSG to ensure it is "fit for purpose" - i.e. to prevent entities that may have a conflict of interest through their affiliation with other business or government interests from being able to vote.</p> <p>§2.2.3 is intended to allow the Executive Committee ("ExCom") the means and flexibility to make an appropriate determination on voting status. As noted in our prior communications with ICANN Org, our reading of the GNSO Operating Procedures do not preclude a group from developing its own rules around voting rights. Thus, we do not believe the criteria and rules around admission and voting rights in the New Charter are inconsistent with the Procedures.</p>
--	----------------------------	---

Public Comments Issue Tracking Checklist (v3.0)

2) Category B: Representation at GNSO Council Level		
Issue/Suggestion/Recommendation – ICANN Org	Status	Comments/Disposition
<p>2.1 Lack of representation at the Council level: If the Registrar Stakeholder Group is going to maintain its practice of reaching a voting position (as noted on recently filed GNSO Council Abstention Forms), then there is no ability for these otherwise eligible entities to have votes raised at the Council level. If otherwise eligible registrars are not allowed to have their voice considered during Council votes on items such as consensus policies, ICANN org is concerned with how that might impact the future applicability of those policies and the ability to enforce against disenfranchised registrars. In addition, ICANN org is concerned with how this disenfranchisement may impact Council votes on the exercise of Empowered Community powers.</p> <p>2.2 Item (2) above discusses the potential impacts to ICANN's ability to enforce Consensus Policies on registrars that are excluded from developing a voting position in the event the Registrar Stakeholder Group cannot reach consensus and takes the issue to an internal vote. While the Drafting Team suggests this is not really an issue for concern, there remains the possibility for there to be disagreement on the impact of a proposed Consensus Policy amongst those with voting rights and those without, and for that disagreement to force a vote within the Registrar Stakeholder Group's internal processes in which the non-voting registrars couldn't participate.</p> <p>Because those registrars also are not participating in any other part of the GNSO, they would effectively not have the ability to participate in a decision on whether to support a Consensus Policy, and seems likely to give rise to a challenge against enforcement. ICANN's ability to uniformly enforce Consensus Policy is essential.</p>	<p>Under Review</p>	<p>RrSG Response:</p> <p>GNSO Council Representatives of the RrSG vote as directed by the RrSG ExCom, who in turn are informed by discussion within membership and, as pointed out above, voting and non-voting Member registrars participate on equal footing in policy discussions. The RrSG therefore does not see §2.2.3 non-voting status as a barrier to having votes raised at the Council level. Furthermore, one of the important changes reflected in the New Charter is to allow non-voting Members' representatives to stand for election and serve as GNSO Council Representatives.</p> <p>We reiterate it is not mandatory for ICANN-accredited registrars to join the RrSG. ICANN's ability to enforce Consensus Policies is based on contract (the RAA), regardless of whether a registrar is a member or non-member of the RrSG and voting or non-voting member status has no bearing whatsoever.</p>

Public Comments Issue Tracking Checklist (v3.0)

<p>The ability for ICANN to enforce consensus policies arises through the Registrar Accreditation Agreement (https://www.icann.org/resources/pages/approved-with-specs-2013-09-17-en) and Bylaws, which require Consensus Policies to be approved through a GNSO Supermajority vote, which is defined as: “(A) two-thirds (2/3) of the Council members of each House, or (B) three-fourths (3/4) of the Council members of one House and a majority of the Council members of the other House.” (Article 11.3 (i)(xix)). The three Council Members appointed by the Registrar Stakeholder Group sit alongside three from the Registry Stakeholder Group and a Nominating Committee appointee to form the Contracted Parties House.</p> <p>Item (2) also discusses similar issues with allowing ICANN understanding the scope of support at the Council level for Empowered Community actions, if there is underlying ability for the Registrar Stakeholder Group to require a vote on internal voting positions or actions supporting the powers of the Empowered Community, as defined within the Bylaws.</p>	<p>Under Review</p>	
<p>3) Category C: Non-Voting Member Participation within RrSG</p>		
Issue/Suggestion/Recommendation – ICANN Org	Status	Comments/Disposition
<p>3.1 Lack of clarity on non-voting participation in consensus calls on policy statements/voting positions. Further, if non-voting members do not support a consensus call, they then automatically excluded from any simple majority vote on the policy statements issued in the name of the group of which they are members. (See Item (2) above)</p> <p>Items (3) and (4) are inherently related to the items already discussed above.</p>	<p>Under Review</p>	<p>RrSG Response :</p> <p>With regard to policy-related matters, §6.3 of the New Charter requires that the RrSG endeavors to seek general consensus from membership. §6.3 further mandates: “All members should be given the opportunity to review the draft statement, discuss any required amendments and come to a consensus on the final version.”</p>

Public Comments Issue Tracking Checklist (v3.0)

	Under Review	From the above, it is clear that for the purposes of consensus call, voting or non-voting members and their views are treated equally. While a vote by a simple majority is one of the two “last resort” options if there is continuing dissent, no policy statements/voting positions were subject to a membership vote under the previous charter in the last 5 years or under the New Charter to date. Surveys and questionnaires are instead often used to gather opinion and identify the preference of the majority.
4) Category D: Non-Voting Member Participation in Empowered Community		
Issue/Suggestion/Recommendation – ICANN Org	Status	Comments/Disposition
4.1 Lack of clarity in how the otherwise eligible non-voting members will participate in Empowered Community processes originating within the RrSG (prior to the Council votes). 2 ICANN org understands that the RrSG is interested in moving the proposed Charter to the OEC for further consideration. As noted in our prior communication, we'll provide the OEC with a copy of this note for consideration along with the Charter	Under Review	<p>RrSG Response:</p> <p>The Empowered Community processes are relatively new and the RrSG is yet to develop a process to receive and evaluate petitions originated within the RrSG. However, we note the GNSO Council has recently called for volunteers to form a “GNSO Drafting Team to Further Develop Guidelines and Principles for the GNSO’s Roles and Obligations as a Decisional Participant in the Empowered Committee”. The RrSG will closely monitor the progress the GNSO Drafting Team’s work and outputs and we plan adopt or adapt those as appropriate. It is our intention to ensure that, regardless of voting or non-voting status, all members of the RrSG will be able to submit a petition.</p>

Notes:

*Categories: Use as many separate topic groupings as needed to organize the issues; insert/delete rows as appropriate.
 Status may include: Under Review, Closed, Active, Resolved, N/A, or other classification pertinent to the issue.*

Staff Report of Public Comment Proceeding

Proposed Changes to The Registrar Stakeholder Group (RrSG) Charter			
Publication Date:	7 February 2019		
Prepared By:	Benedetta Rossi		
Public Comment Proceeding		Important Information Links	
Open Date:	18 December 2018		
Close Date:	5 February 2019		
Staff Report Due Date:	19 February 2019		
Staff Contact:	Benedetta Rossi	Email:	Benedetta.rossi@icann.org
Section I: General Overview and Next Steps			
<p>The GNSO Registrar Stakeholder Group (RrSG) has completed phase I of the formal ICANNBoard Process for approval of GNSO Stakeholder Group and Constituency charter amendments and on 28 June 2018, the RrSG membership voted to approve amendments to its governing documents and availed itself of the Board process as of 6 July, 2018.</p> <p>As part of Phase II of the GNSO Charter Amendment Process, ICANN Org reviewed the proposed changes to the RrSG Charter. The Policy and Legal staff teams at ICANN organization reviewed the entire document, and worked with the RrSG to clarify potential fiscal or liability concerns contained within the amended Charter. ICANN Org notes that most of the concerns previously raised in the initial review of potential legal or fiduciary concerns have been addressed through an updated document.</p> <p>However, some of the concerns previously raised by ICANN Org persist, specifically as they relate to the development of a grouping of registrars that have non-voting status within the RrSG even if they are not exercising a vote in any other part of the GNSO, as set out in Section 2.2.3. As previously noted, these concerns do not apply where an otherwise eligible member elects to vote through a different Stakeholder Group in the GNSO, or is part of a registrar family.</p> <p>A dialogue was held between ICANN Org and the drafting team. ICANN Org confirmed for the drafting team that if it wished to proceed without making further changes to the proposed Charter, ICANN Org would provide to the OEC the above analysis, which was previously shared with the drafting team. The drafting team has provided a note to the OEC with their response to the issues raised during those dialogues, and the RrSG provided a comment once again addressing ICANN Org's concerns as tracked below.</p> <p>Phase III of the Board's process requires that the new Charter be shared with the larger community via ICANN Public Comment.</p> <p>After review of this Summary of Public Comment and subsequent deliberations, the Organizational Effectiveness Committee (OEC) shall make a recommendation to the Board either to:</p> <ol style="list-style-type: none">Recognize the proposed charter amendment by a simple majority vote; orReject the proposed amendment by a supermajority (2/3) vote and provide a specific rationale for its concerns.			

If neither above condition is met, the Board will ask for further explanation of the proposed amendments by the community.

Section II: Contributors

At the time this report was prepared, a total of five (5) community submissions had been posted to the forum. The contributors, organizations/groups, are listed below in chronological order by posting date with initials noted. To the extent that quotations are used in the foregoing narrative (Section III), such citations will reference the contributor's initials.

Organizations and Groups:

Name	Submitted by	Initials
Blacknight Internet Solutions Ltd	Michele Neylon	BIS
Alibaba Cloud Computing Ltd	Antonia Chu	ACC
Namecamp Limited	Amy Thomas	NL
Internet Infrastructure Coalition (i2Coalition)	Monica Sanders	I2C
Registrar Stakeholder Group	Zoe Bonython	RrSG

Individuals:

Name	Affiliation (if provided)	Initials
--	--	--

Section III: Summary of Comments

General Disclaimer: This section intends to summarize broadly and comprehensively the comments submitted to this public comment proceeding but does not address every specific position stated by each contributor. The preparer recommends that readers interested in specific aspects of any of the summarized comments, or the full context of others, refer directly to the specific contributions at the link referenced above (View Comments Submitted).

There were four comments submitted in support of the RrSG Charter Amendments (BIS, ACC, NL, I2C) which were submitted to provide written support of the RrSG Charter Amendment process. One substantive comment was submitted by the RrSG addressing the Charter Amendment Process and the discussions held within the RrSG, with ICANN Org especially relative to fiscal responsibility concerns.

1. Accountability

I2C noted that following the CCWG Accountability process one of the most notable proposed improvements sits within SO/AC accountability. On that note, I2C flagged that “[they] believe that the Registrar Stakeholder Group (RrSG) Charter has drafted a good charter that sits above the bar required by the aforementioned SO/AC reforms. [They] believe their requested changes, including the change to exclude registrars as voting members that are run by governments, are sensible and based on sound reasoning. [They] are pleased by the ways in which they have remained open and inclusive when it comes to participation. [They] strongly support the proposed changes as requested.”

2. General Support

Three comments were submitted expressing their support of the proposed changes to the RrSG Charter, noting these changes were approved by the RrSG Membership via a majority vote (BIS, ACC, NL).

3. ICANN Org Concerns – Response from RrSG

The RrSG submitted a thorough comment addressing concerns from ICANN Org following several discussions during the Charter Amendment Review process. During this phase, the RrSG made several changes to the proposed Charter prior to submitting it to public comment. Some concerns from ICANN Org remain to be resolved (see: [ICANN Org Concerns](#)) and the RrSG already commented on said concerns via a letter posted on the Public Comment Proceeding page (see: [RrSG Response to ICANN Org](#)). On the comment submitted by the RrSG, the RrSG expressed their views in support of the amended Charter which was approved by the RrSG Membership via a majority vote and thoroughly discussed during a 2-year amendment process. Particular attention was brought to section 2.2.3 of the amended RrSG Charter.

Provision Language:

§2.2.3 Non-Voting Members: The following is a non-exhaustive list of entities which, although they meet the primary membership eligibility requirements in 2.2.1, are considered eligible for membership only as Non-Voting Members:

- a. Not-for-profit entities excepting trade associations or coalitions representing for-profit entities;*
- b. Entities whose primary business activity derives from an accredited TLD registry or registry operator; and*
- c. Entities who are directly or indirectly operated/owned by governments.*

The RrSG commented flagging that *“the RrSG is committed to the ICANN multi-stakeholder model and decision making methodology by consensus. However, it is inevitable that conflicts of interest may arise in the RrSG as the domain ecosystem evolves. The RrSG firmly believes §2.2.3 of the New Charter is prudent and necessary. In the spirit of a bottom-up governance environment in ICANN, each group is empowered to determine its charter, including rules around admission and voting rights. Considering that the New Charter has been duly approved by the RrSG members in June 2018 and has been in operation since, [they] urge ICANN Board to recognize the proposed charter amendments as reflected in the New Charter.”*

Please refer to the issue tracking list document submitted to view the full report on specific issues brought forward by the RrSG in an effort to resolve ICANN Org’s concerns.

Section IV: Analysis of Comments

General Disclaimer: *This section intends to provide an analysis and evaluation of the comments submitted along with explanations regarding the basis for any recommendations provided within the analysis.*

The feedback summarized in Section III (above) does not require any special analysis by Staff other than to document the question/comments for review and disposition as recommended by the OEC and/or ICANN Board.

Following the substantive comment submitted by the RrSG providing written responses to each substantive item present within ICANN Org’s Concerns document, ICANN Org tracked these responses in the [“Public Comment Issue Tracking Checklist: RrSG Charter”](#) for further review and disposition as recommended by the OEC and/or ICANN Board.



Registrar Stakeholder Group Charter (v6.0)

Table of Contents

CHARTER DEFINITIONS.....	2
1.0 MISSION AND PRINCIPLES.....	4
2.0 MEMBERSHIP.....	5
3.0 STAKEHOLDER GROUP LEADERSHIP: EXECUTIVE COMMITTEE.....	10
4.0 GENERIC NAMES SUPPORTING ORGANIZATION COUNCIL REPRESENTATIVES AND NOMINATING COMMITTEE DELEGATE.....	20
5.0 OTHER TEMPORARY OR STANDING COMMITTEES.....	25
6.0 DECISION-MAKING, ELECTIONS, AND POLICY POSITIONS.....	26
7.0 COMMUNICATIONS.....	32
8.0 MEETINGS.....	34
9.0 OUTREACH.....	35
10.0 FINANCES.....	36
11.0 AMENDMENTS, REVISIONS, AND VERSION CONTROL.....	36
12.0 REGISTRAR STAKEHOLDER GROUP OPERATING PROCEDURES.....	38



Registrar Stakeholder Group Charter (v6.0)

Charter Definitions

For the purposes of this document, the following definitions shall apply:

“Affiliated Registrar” is a registrar that, directly or indirectly, through one or more intermediaries, is controlled by or remains under common control with another entity.

“Affiliation” refers to a relationship with a person or entity that, directly or indirectly, through one or more intermediaries, controls, is controlled by, or remains under common control with another person or entity.

“Alternate Member Representative” is an individual that is employed by or affiliated with a Member and appointed to represent the Member if the Member Representative is not available or is unable to participate.

“Article” refers to a numbered stipulation within Clauses of this Charter.

“Clause” refers to a separate or distinct section of this Charter.

“Consensus” refers to a position where only a small minority disagrees, but most agree.

“Council Representative” refers to three (3) Council Representatives selected by the Registrar Stakeholder Group to serve on the Generic Names Supporting Organization Council for terms as specified in the [ICANN Bylaws](#).

“Designated Representative” refers collectively to the Member Representative, Alternate Member Representative and Member Participants.

“Distribution List” refers to the Registrar Stakeholder Group Members’ email distribution list and may also be referred to as the Member List.

“Executive Committee Officers” consists of five elected or appointed officers: a Chair, a Vice-Chair for Technical Operations, a Vice-Chair for Policy Coordination, a Secretary, and a Treasurer. All Executive Committee Members are elected by the Members.

“Fiscal Year” means July 1 through June 30.

“ICANN-Accredited Registrar” shall mean a company, individual or entity that has a Registrar Accreditation Agreement (RAA), which is the contract that governs the registrar relationship with ICANN. The authoritative list of ICANN-Accredited Registrars is maintained by ICANN at <http://www.icann.org/registrars/accredited-list.html>.

“ICANN Related Structure” shall refer to ICANN Supporting Organizations, Advisory Committees, Stakeholder Groups, Constituencies or any other ICANN structure or entity.

“Member” is an ICANN-Accredited Registrar that has paid the required membership fees to the Registrar Stakeholder Group for the current Fiscal Year.



Registrar Stakeholder Group Charter (v6.0)

“Member Participant” refers to all participants subscribed by a Member to all Registrar Stakeholder Group communications platforms in addition to the Member Representative and Alternate Member.

“Member Representative” is an individual that is employed by or affiliated with a Member and appointed to represent the Member.

“Nominating Committee Delegate” refers to one voting delegate from the Registrar Stakeholder Group serving in ICANN’s Nominating Committee as specified in the [ICANN Bylaws](#).

“Non-Voting Member” refers to members of the Registrar Stakeholder Group who hold a non-voting status and cannot stand or vote in Registrar Stakeholder Group general elections as per 5.2.3.

“Officer” refers to elected and/or appointed members of the Executive Committee.

“Registrar Family” is a group of Affiliated Registrars.

“Registrar Stakeholder Group” is a recognized structure within the ICANN community that represents the interests of its Members.

“Simple Majority” refers to a majority in which the highest number of votes cast for any one candidate, issue or item exceeds the second-highest number, while not constituting an absolute majority.

“Super Majority” refers to a two-thirds affirmative vote of Voting Members.

“Voting Member” refers to members of the Registrar Stakeholder Group who qualify to vote and stand in Registrar Stakeholder Group elections as per 5.2.2.

“Voting Representative” is a Member Representative authorized to vote on behalf of the Member.

Any disputes regarding these definitions shall be resolved by a Simple Majority Vote of the Voting Representatives.



Registrar Stakeholder Group Charter (v6.0)

1.0 Mission and Principles.

1.1 ICANN Bylaws.

The Registrar Stakeholder Group of ICANN's Generic Names Supporting Organization is constituted according to the [Bylaws of the Internet Corporation for Assigned Names and Numbers \("ICANN"\)](#). This Charter is drafted to represent Members of the Registrar Stakeholder Group.

1.2 Mission.

The Registrar Stakeholder Group represents registrars on issues of critical importance to our community, from matters of customer experience to industry values and policies. We offer an open forum for all ICANN-accredited registrars to:

- a. Participate in the development of ICANN policies that underlie our contracts;
- b. Support innovation, coordination, and exchange across our community;
- c. Advocate for a stable and open DNS environment; and
- d. Ensure the continued accountability of ICANN and the multi-stakeholder model.

1.3 Principles.

The Officers, Council Representatives and Designated Representatives of the Registrar Stakeholder Group are committed to:

- 1.3.1 Carrying out its mission when appropriate, feasible and in keeping with the best interests of the Registrar Stakeholder Group mission and its Members, in a fair, open and transparent manner, whilst ensuring that new participants can easily access and understand its operations and processes;
- 1.3.2 Establishing and maintaining standards for leadership positions including impartiality, accountability, and disclosure of conflicts of interest;
- 1.3.3 Establishing and maintaining professional standards of behavior for all participants including:
 - a. Adhering to [ICANN Bylaws](#) policies, and "[Expected Standards of Behavior](#)";
 - b. Supporting the bottom-up consensus model and acting in a thoughtful, reasonable, and informed manner when participating in policy development and decision-making processes;



Registrar Stakeholder Group Charter (v6.0)

- c. Treating all members of the ICANN community equally, irrespective of nationality, gender, racial or ethnic origin, religion or beliefs, disability, age, or sexual orientation;
 - d. Treating others fairly and in good faith with dignity, respect, courtesy, and civility;
 - e. Maintaining good community standing; and
 - f. Supporting diversity amongst Member Designated Representatives.
- 1.3.4 Promoting ICANN's model of a global and multi-stakeholder community. Those who take part in the ICANN process are expected to acknowledge the value of all stakeholders by listening attentively, seeking to understand other points of view, and working in good faith to build consensus in finding solutions to the issues that fall within the areas of ICANN's responsibility.
- 1.3.5 Refraining from facilitating, promoting or otherwise knowingly allowing unlawful collusion or other forms of anti-competitive behavior by its Members.

2.0 Membership.

2.1 Member Rights/Privileges

The rights and privileges documented in this section apply to the Member whether Voting or Non-Voting (in accordance with eligibility requirements outlined in §2.2.) and, where applicable, Member Designated Representatives (as specified in §2.3). Members are subject to various restrictions and/or stipulations contained elsewhere in this Charter; otherwise, each Member of the Registrar Stakeholder Group in good standing shall have the right to:

2.1.1 Receive Communications.

- a. Have access to the Registrar Stakeholder Group web presence(s), Distribution Lists, and any other communication mechanisms established pursuant to Clause 7.0;
- b. Be given timely notice of all initiatives being considered by the Registrar Stakeholder Group; and
- c. Be provided with timely information concerning meetings, significant actions, and decisions of the Executive Committee or other authorized Registrar Stakeholder Group committee as well as relevant matters occurring within the Generic Names Supporting Organization Council.

2.1.2 Participation. Registrar Stakeholder Group discussions on all policy and administrative issues are held via teleconference, Distribution List, website or in



Registrar Stakeholder Group Charter (v6.0)

person and are open for participation by all Members. Notice of discussions are provided via the Distribution List. Except as otherwise specifically stated in §2.2.3, all Members, whether Voting or Non-Voting, shall have the same rights to participate in all RrSG discussions.

- 2.1.3 Submission of Agenda Items. Members may submit agenda items for Registrar Stakeholder Group meetings. The Executive Committee reserves the right to limit the agenda.

2.2 Eligibility.

Registrar Stakeholder Group Members are categorized as either Voting or Non-Voting, depending on their current circumstances, with Voting Members given full membership rights and privileges and Non-Voting Members given limited membership rights and privileges, as specified in §2.2.3.

2.2.1 Eligible Organizations. To be eligible for Registrar Stakeholder Group membership, an entity must meet the following requirements:

- a. Be an ICANN-Accredited Registrar in good standing;
- b. Pay the required Registrar Stakeholder Group membership fees for the current Fiscal Year; and
- c. Declare any:
 - i. Conflicts of interest;
 - ii. Affiliations with other Registrar Stakeholder Group Members;
 - iii. Affiliations with other ICANN Related Structures; and
 - iv. Affiliations with any other organization that is a member of another ICANN Related Structure.

Prospective and existing Members must declare if they are, or subsequently become owned, controlled by, or under common ownership with any other entity that votes in the Registrar Stakeholder Group or is officially a voting member in another Generic Names Supporting Organization Stakeholder Group or Constituency. In this case, the prospective or existing Member will become ineligible for Voting status within the Registrar Stakeholder Group and will revert to Non-Voting status as per the [Generic Names Supporting Organization Operating Procedures](#).



Registrar Stakeholder Group Charter (v6.0)

Members or prospective Members who switch voting status to the Registrar Stakeholder Group from another Stakeholder Group or Constituency will not be eligible to vote in the Registrar Stakeholder Group for a minimum of six (6) months. This time period may be subject to change.

2.2.2 Voting Members: In addition to meeting the primary membership eligibility requirements in 2.2.1, to be eligible as a Voting Member, a Member must currently distribute domains, by sales or other means, to unaffiliated third parties. In the event that a Member discontinues any such distribution, the Member shall be excluded from Voting Member status. Unless deemed a Non-Voting Member, an eligible applicant or existing Member shall respectively achieve or have the status of Voting Member and shall be entitled to and abide by the following:

- a. Vote in all general elections of the Registrar Stakeholder Group including, but not limited to officers and Generic Names Supporting Organization Council Representatives, Nominating Committee Delegate and whenever a general membership vote has been called by an authorized officer of the Registrar Stakeholder Group.
- b. Any Designated Representative(s) of a Voting Member may only run for or hold one elected leadership position at one time, including the positions of Officer, Generic Names Supporting Organization Council Representative and Nominating Committee Delegate within the Registrar Stakeholder Group, as specified in §3.2; however, any Designated Representative(s) may hold any such position consecutively.

2.2.3 Non-Voting Members: The following is a non-exhaustive list of entities which, although they meet the primary membership eligibility requirements in 2.2.1, are considered eligible for membership only as Non-Voting Members:

- a. Not-for-profit entities excepting trade associations or coalitions representing for-profit entities;
- b. Entities whose primary business activity derives from an accredited TLD registry or registry operator; and
- c. Entities who are directly or indirectly operated/owned by governments.

2.2.4 Non-Voting Members Voting Restrictions:

- a. A Designated Representative(s) of a Non-Voting Member may run for or hold one Council Representative position within the Registrar Stakeholder Group at one time, but shall not be eligible to run for or hold an Officer or Nominating Committee Delegate position within the Registrar Stakeholder Group. Only one Non-Voting GNSO Council Representative may hold a seat at once;



Registrar Stakeholder Group Charter (v6.0)

- b. All Non-Voting Member Designated Representatives shall not nominate nor second any eligible Designated Representative of a Voting Member to hold an Officer or Nominating Committee Delegate position in the Registrar Stakeholder Group, as specified in §6.2;
 - c. All rights and privileges of membership specified in §2.1.1 apply to Non-Voting Members.
 - d. Non-voting restrictions included in this charter are not intended to impair the voting rights available to ICANN-Accredited Registrars under the Registrar Accreditation Agreement.
- 2.2.5 Representation. Whether Voting or Non-Voting, Members must agree to act in the interests of all ICANN-Accredited Registrars for all matters addressed within the Registrar Stakeholder Group.
- 2.2.6 Whether Voting or Non-Voting, Members can access and participate in all discussions the Member Distribution List and at RrSG meetings
- 2.2.7 If any dispute arises regarding the interpretation of this Charter regarding membership rights or membership eligibility, such interpretation will be decided upon via a Simple Majority vote from the Voting Representatives without prejudice to the right of any Member to file a complaint to the ICANN Ombudsman, as per §11.2.

2.3 Member Representation.

- 2.3.1 Member Representative. Each Member, whether it has Voting or Non-Voting status, shall appoint one Member Representative to act on its behalf and serve as its primary point-of-contact. The Member Representative of a Voting Member acts as the Voting Representative. As set out in §6.2.6, the Alternate Member Representative or a Member Participant may represent the Member Representative as a proxy. If the Member is a part of a Registrar Family, the Registrar Family may not have more than one Member Representative.
- 2.3.2 Alternate Member Representative. At its discretion, each Member may also officially appoint one Alternate Member Representative to represent the Member if the Member Representative is not available or is unable to participate.
- 2.3.3 Member Participants. A Member may subscribe a reasonable number of additional Member Participants to any of the Registrar Stakeholder Group communication platforms, including the Registrar Stakeholder Group's Distribution List, for information purposes:
- a. Such Member Participants do not vote on behalf of the Member organization unless as described in §6.2.6; however, they may participate in Registrar



Registrar Stakeholder Group Charter (v6.0)

Stakeholder Group discussions, meetings, committees, and working groups. Such contacts must identify themselves as affiliated with the Member when participating in Registrar Stakeholder Group affairs.

- b. In order to ensure even participation of Member Participants, the Executive Committee reserves the right to establish specific guidelines for, and limits to, the number of Member Participants per Member permitted in the Registrar Stakeholder Group.
- 2.3.4 The Member Representative, Alternate Member Representative, and Member Participants are collectively referred to as “Designated Representative(s).”
- 2.3.5 In order to be eligible for an elected leadership position, any Designated Representative of a Voting Member must ensure any Statement of Interest is current and accurate.
- 2.3.6 The Member Representative and Alternate Member Representative must satisfy all the conditions and specifications below:
- a. The designated Member Representative and Alternate Member Representative must be appointed by the Member or majority-owned subsidiary.
 - b. Each Member Representative and Alternate Member Representative shall act on behalf of and represent the Member organization within the Registrar Stakeholder Group.
 - c. Unless otherwise provided in this Charter, the Member Representative, or Alternate Member Representative serving in the capacity of Member Representative, shall be the only person able to vote on behalf of a Voting Member.
 - d. A Member may change its Member Representative or Alternate Member Representative at its discretion and agrees to:
 - i. Notify the Executive Committee of the change; and
 - ii. Authorize a new Member Representative or Alternate Member Representative following the departure of the prior representative.
- 2.3.7 A new Member Representative or Alternate Member Representative appointed in accordance with this Charter does not assume an elected or appointed office within the Registrar Stakeholder Group held by the prior representative. The Executive Committee will fill any office vacancy created by a departing Member Representative or Alternate Member Representative if applicable, in accordance with §6.2.
- 2.3.8 If two or more Member companies should merge, the Registrar Stakeholder Group shall be notified immediately upon completion of the merger and the Registrar Stakeholder Group Executive Committee shall be notified as to whom shall be the



Registrar Stakeholder Group Charter (v6.0)

subsequent Member Representative and Alternate Member Representative, if applicable.

2.4 Membership Fees.

2.4.1 Membership Fees. The Registrar Stakeholder Group has the right to require membership fees, which shall be proposed by the Executive Committee, in accordance with the fiscal needs of the Registrar Stakeholder Group and §10.1.

2.4.2 Payment of Fees. Approved or existing Members are expected to pay the annual membership fees, within a fixed period stipulated on the invoice, to begin or continue participating in the Registrar Stakeholder Group. After this time a limited extension on the payment period can be granted to enable payment of the membership fees, although existing Members may be charged a late fee. If payment is not received within the stipulated extension dates, existing Members will then lose all their rights and privileges. The Treasurer will provide notice of removal to the Member Representative at least five (5) business days prior to any such removal.

2.5 Applications for Membership and Eligibility Renewal.

2.5.1 Member Application, Eligibility and Voting Status. All prospective Members must complete a Membership Application Form, which the Executive Committee shall utilize for the purpose of confirming eligibility and voting status in accordance with this Clause 2. The information provided, once initially approved by the Executive Committee, will be held on record. The Executive Committee will periodically check that the information is up to date to ensure each Member's continued eligibility and voting status. If a Member's circumstances change in any way that may impact eligibility or voting status, in particular with regard to ownership or affiliation with another Stakeholder Group or Constituency in the Generic Names Supporting Organization, the Secretary should be informed in writing. If, after consultation with the applicable Member, the Executive Committee subsequently determines that the Member's eligibility or voting status should be changed, it will formally notify the Member.

2.5.2 Effective Date. Membership and voting status are effective upon written notification from the Executive Committee to the affected Member.

3.0 Stakeholder Group Leadership: Executive Committee.

3.1 Composition.



Registrar Stakeholder Group Charter (v6.0)

The Registrar Stakeholder Group will have an Executive Committee comprised as follows:

3.1.1 Officers.

- a. A Chair;
- b. A Vice-Chair for Technical Operations;
- c. A Vice-Chair for Policy Coordination;
- d. A Secretary; and
- e. A Treasurer.

3.2 **Eligibility and Elections.**

3.2.1 To be eligible for an Executive Committee position:

- a. The Member must be in good standing according to the Articles §2.1 – 2.4
- b. The Member may not be owned by, or under common ownership or affiliated with, any entity which holds an elected position and/or votes in another Stakeholder Group, Constituency, Supporting Organization or Advisory Committee within ICANN;
- c. A candidate must be a Designated Representative of a Voting Member (see §2.2) of the Registrar Stakeholder Group; and
- d. An eligible Designated Representative of a Voting Member may only hold one Officer, Council Representative or Nominating Committee Delegate position within the Registrar Stakeholder Group at one time. Each Voting Member may fill one Officer position in addition to one Council Representative or Nominating Committee Delegate position within the Registrar Stakeholder Group simultaneously.

3.2.2 All Executive Committee positions shall be elected by the Members as provided in Clause 6.0.

3.2.3 If there is any question or disagreement regarding whether a Designated Representative of a Voting Member is eligible to serve in any elected position, it shall be investigated by the Executive Committee, who will then confirm if the potential candidate is eligible.

3.3 **Executive Committee Term Limits.**

3.3.1 Officers of the Executive Committee will be elected for staggered two-year terms which run concurrently with the fiscal year.



Registrar Stakeholder Group Charter (v6.0)

3.3.2 Officers may serve no more than two (2) consecutive terms in the same position.

3.3.3. An Officer who has served two (2) consecutive terms on the Executive Committee must remain out of office for one (1) full term prior to serving any term within the Registrar Stakeholder Group Executive Committee.

3.4 Vacancies.

3.4.1 If at any point in time an Executive Committee Officer (a) leaves the Registrar Stakeholder Group, (b) resigns, (c) is terminated for cause, (d) is recalled by the Member, (e) has his/her membership rights/privileges suspended or revoked, or (f) becomes ineligible for Registrar Stakeholder Group Membership as per the criteria set forth in § 2.1, he/she shall vacate the office upon the effective date of the action.

3.4.2 If the office of the Chair becomes vacant, then one of the two Vice-Chairs shall become acting Chair until the end of the current term or, at the Executive Committee's discretion, until an election for the Chair can be held. If neither of the Vice-Chairs are able or willing to serve in this capacity, then the Executive Committee shall unanimously select another Executive Committee Officer to serve as acting Chair. If the Executive Committee is unable to select another Executive Committee Officer to serve as acting Chair unanimously, the decision will be made via a Simple Majority Vote of the full Registrar Stakeholder Group Membership.

3.4.3 If a vacancy occurs with respect to an Executive Committee Officer other than the Chair, with:

- a. Six (6) or more months left in the term, the Chair shall direct the Executive Committee to hold an election to replace the individual in accordance with the procedures described in §6.2; or
- b. Less than six (6) months left in the term, the Chair, in consultation with the Executive Committee, shall appoint an individual to fill the vacancy until the term is expired.

3.5 Officer Duties.

Officers will act impartially, treat all Members equally and fairly, and be accountable to the Registrar Stakeholder Group membership for the conduct of the Registrar Stakeholder Group's business.

The duties and functions outlined below are the intended functions for each Elected and/or Appointed Officer, but when circumstances require, Executive Committee Officers may assume the duty/duties of other Executive Committee Officers as warranted.



Registrar Stakeholder Group Charter (v6.0)

Executive Committee Officers may also arrange for some of the following duties and functions to be performed by contracted services and/or ICANN Staff, as necessary.

- 3.5.1 On behalf of the Registrar Stakeholder Group membership, the Chair will:
- a. Act as a neutral facilitator of Registrar Stakeholder Group meetings and teleconferences and conduct them in an open and transparent manner, including those held during the ICANN public meetings;
 - b. Oversee the agendas and meeting schedules for the Executive Committee and the Registrar Stakeholder Group;
 - c. Collaborate with the Executive Committee in coordinating the overall activities of the Registrar Stakeholder Group;
 - d. Act as spokesperson for the Registrar Stakeholder Group including representing official Registrar Stakeholder Group positions determined by the Membership;
 - e. Encourage and facilitate the development of Registrar Stakeholder Group consensus on issues and decisions that come before the membership;
 - f. Liaise with other Generic Names Supporting Organization Stakeholder Groups and Constituencies, ICANN Supporting Organizations, ICANN Advisory Committees, the ICANN Board, and ICANN Staff as warranted and appropriate;
 - g. Participate in outreach, recruiting, and networking efforts;
 - h. Ensure that timelines and standards for the work of the officers and committees are set and met; and
 - i. Report activities of interest and importance to the Registrar Stakeholder Group on a regular basis, but no less than every ninety (90) calendar days.
- 3.5.2 On behalf of the Registrar Stakeholder Group membership, the Vice-Chair for Policy Coordination will:
- a. Act as Chair in situations when the Chair is temporarily unable or unavailable to do so in coordination with the Vice-Chair for Technical Operations;
 - b. Manage the development of Registrar Stakeholder Group policy positions intended for the wider ICANN audience to meet prescribed timelines and deadlines;
 - c. Encourage and facilitate consensus among Members while creating mechanisms to properly and accurately reflect minority positions in Registrar Stakeholder Group policy development;
 - d. Recommend to the Executive Committee, when appropriate, the formation of new policy related working groups as well as the dissolution of completed and/or redundant groups;



Registrar Stakeholder Group Charter (v6.0)

- e. Assist with the identification and recruitment of Registrar Stakeholder Group representatives to serve on Generic Names Supporting Organization working groups or drafting teams;
- f. Note policy activities and report items of interest to the Registrar Stakeholder Group on a regular basis, but no less than every ninety (90) calendar days, including the work of: Generic Names Supporting Organization working groups, drafting teams, or other decision-making teams convened by the Executive Committee to address policy issues;
- g. Coordinate with the Council Representatives to be aware of any upcoming Generic Names Supporting Organization Council motions for which a Council Representative will be unable to vote or intends to abstain and be prepared to recommend to the Chair whether a voting remedy should be exercised;
- h. Recommend to the Registrar Stakeholder Group membership practical policy and voting strategies for its elected Council Representatives;
- i. Coordinate with the Registries Stakeholder Group and the Contracted Parties House of the Generic Names Supporting Organization and ICANN community concerning policy issues of mutual interest in coordination with the Vice-Chair for Technical Operations; and
- j. Monitor, report and make recommendations regarding legislation and regulations affecting the registrar community.

3.5.3 On behalf of the Registrar Stakeholder Group membership, the Vice-Chair for Technical Operations will:

- a. Act as Chair in situations when the Chair is temporarily unable or unavailable to do so in coordination with the Vice-Chair for Policy Coordination;
- b. Manage the development of Registrar Stakeholder Group technical and operational positions intended for the wider ICANN audience to meet prescribed timelines and deadlines;
- c. Encourage and facilitate consensus among Members while creating mechanisms to properly and accurately reflect minority positions in technical and operational discussion;
- d. Recommend to the Executive Committee, when appropriate, the formation of new technical and operations related working groups as well as the dissolution of completed and/or redundant groups;
- e. Assist with the identification and encourage Registrar Stakeholder Group representatives to discuss outputs of technical impact on Generic Names Supporting Organization working groups or drafting teams;
- f. Report technical & operational activities of interest and import to the Registrar Stakeholder Group on a regular basis, but no less than every ninety (90) calendar



Registrar Stakeholder Group Charter (v6.0)

days, including the work of: Generic Names Supporting Organization working groups, drafting teams, or other decision-making teams convened by the Executive Committee to address technical & operational issues; and

- g. Coordinate with the Registries Stakeholder Group, the Contracted Parties House of the Generic Names Supporting Organization and ICANN community concerning technical & operational issues of mutual interest, in coordination with the Vice-Chair for Policy Coordination.

3.5.4 On behalf of the Registrar Stakeholder Group membership, the Treasurer will arrange for the following administrative functions to be provided, which may be performed by contracted services (e.g., Secretariat), or one or more Executive Committee Officers:

- a. Manage Registrar Stakeholder Group bookkeeping, accounting, banking relationship(s), and membership fees collection;
- b. Make recommendations for and prepare an annual Registrar Stakeholder Group budget in accordance with Article 3.6.2;
- c. Liaise with ICANN's finance department and/or other appointed budget committee(s);
- d. Seek sources of support from ICANN pursuant to Clause 10.0;
- e. Ensure that the financial operations of the Registrar Stakeholder Group conform to generally accepted accounting practices and that any Secretary function administers expenditures in accordance with the budget and funding;
- f. Report to the Members of the Registrar Stakeholder Group at the end of each annual budget period concerning all funding and expenditures during that year and post to the Registrar Stakeholder Group Distribution List as approved by the Executive Committee; and
- g. Provide *ad hoc* financial status reports when called upon to do so during interim formal reporting periods.

3.5.5 On behalf of the Registrar Stakeholder Group membership, the Secretary will arrange for the following administrative functions to be provided, which may be performed by contracted services (e.g., Secretariat), ICANN Staff, or one or more Executive Committee Officers:

- a. Take, maintain, and publish in a timely manner, minutes/action items of Registrar Stakeholder Group meetings and facilitate communications of and within the Registrar Stakeholder Group pursuant to §8.1.3;
- b. Encourage new ICANN-Accredited Registrars to join the Registrar Stakeholder Group;



Registrar Stakeholder Group Charter (v6.0)

- c. Establish and manage all communications facilities as detailed on Registrar Stakeholder Group Website/Web presence.;
- d. Establish and maintain the Registrar Stakeholder Group web presence(s) including publication of Member information as prescribed in §7.1.1;
- e. Provide timely notice on the Distribution List (see §7.2.1) of all Registrar Stakeholder Group meetings, agendas, minutes/action items, reports to the membership, and formal Registrar Stakeholder Group positions and/or statements;
- f. As directed by the Executive Committee, manage elections according to §6.2 including the posting of Notices of Election and Requests for Nominations to the Distribution List;
- g. Maintain all records, databases, and documents, including archives, of the Registrar Stakeholder Group for at least a 4-year period within limits of applicable laws and as directed by ICANN;
- h. Support Registrar Stakeholder Group committees and/or working groups as and when established according to this Charter;
- i. Support the Executive Committee and any other standing committees established according to this Charter;
- j. Coordinate in-person and telephone meetings and associated outreach activities;
- k. Respond to Member and prospect inquiries;
- l. Administer membership fees and other budgeted expenditures, as requested by the Executive Committee, including periodic financial reporting to the Treasurer;
- m. Coordinate with ICANN Staff; and
- n. Act as a liaison between ICANN Staff and Registrar Stakeholder Group participants in ICANN groups.

3.6 Executive Committee Officers Duties.

The Executive Committee is tasked with fulfilling the Registrar Stakeholder Group mission through its operational and administrative leadership, management, supervision, and coordination. The Executive Committee may divide its duties and responsibilities among the Executive Committee Officers as it sees fit and conduct its business as it deems necessary. The Executive Committee will:

3.6.1 Conduct Elections. In accordance with §6.2, the Executive Committee will:

- a. Direct the Secretary to:
 - i. Announce a call for candidate nominations;
 - ii. Establish a list of those Members eligible to vote in such election including their Voting Representative; and



Registrar Stakeholder Group Charter (v6.0)

- iii. Collect and post, via the Distribution List, statements of qualifications and intentions of all candidates on the ballot.
 - b. Establish and oversee a secure, confidential, and accurate balloting procedure; and
 - c. Notify Members of the results in a timely and transparent manner.
- 3.6.2 Manage Funding and Expenditures. The Executive Committee will:
 - a. Approve and monitor Registrar Stakeholder Group funding from ICANN, Members, individuals and organizations that are not Members;
 - b. Approve reports on expenditures at the end of each budget period and ensure that records and accountings are maintained, as necessary, to satisfy the requirements of any funding source and/or ICANN;
 - c. Authorize exceptional expenditures not foreseen in the budget; and
 - d. Evaluate and approve any action related to an application of hardship concerning Registrar Stakeholder Group membership fees.
- 3.6.3 Make Appointments. The Executive Committee will confirm appointments or establish elections for Registrar Stakeholder Group candidates, as requested, to serve on, or liaise with, other ICANN structures, including the ICANN Nominating Committee.
- 3.6.4 Establish Additional Committees and Working Groups.
 - a. The Executive Committee, acting at its sole discretion or upon a request from an Registrar Stakeholder Group Member, may propose to the membership the establishment of additional temporary or permanent (e.g., standing) committees or working groups. The Executive Committee shall post such a proposal on the Distribution List. The proposal will:
 - i. Explain the need for and intended purpose of such group;
 - ii. Describe group formation criteria, participation and eligibility requirements, functions, and procedures; and
 - iii. Aim to have the group formed within thirty (30) calendar days after the proposal is posted. If three (3) or more Members request, via the Distribution List, that the Executive Committee's decision to create a new committee or working group be put to Member vote, the Executive Committee shall conduct a vote in accordance with the procedures set forth in Clause 6.0.
 - b. Volunteers. The Secretary shall post, via the Distribution List, a call for volunteers to serve on newly created committees or working groups before the first meeting is scheduled.



Registrar Stakeholder Group Charter (v6.0)

- 3.6.5 Resolve Disputes. The Executive Committee will hear and resolve Member disputes in a timely manner including matters of conflicts of interest.
- 3.6.6 Perform with Diligence and Loyalty. Executive Committee Officers have a duty to perform their roles with diligence and loyalty to the Registrar Stakeholder Group and will promptly disclose any and all conflicts of interest in a timely fashion, recusing themselves from discussions and decisions whenever there is an actual conflict or offering to recuse themselves in situations which could be perceived to be a conflict.
- a. During the term of elected office, Executive Committee Officers are required to ensure that their Statements Of Interest are current and accurate and that all current Affiliations are declared. If any action requires an Executive Committee Officer to modify his/her Statement of Interest, the revised Statement of Interest must promptly be forwarded in writing to the Executive Committee.
 - b. An Executive Committee Officer shall recuse him/herself in the event that any action or decision, such as a motion or election, may result in a conflict of interest based upon the revised Statement of Interest disclosure.
- 3.6.7 Support Outreach and Education. The Executive Committee will:
- a. Devise and conduct recruitment and outreach programs/efforts; and
 - b. Cooperate to create and support opportunities for the Members to keep current with literature, research, and discussion of policies being developed within ICANN.
- 3.6.8 Decisions. All members of the Executive Committee will participate faithfully in making decisions. A quorum of at least two-thirds (2/3) of the members of the Executive Committee is required for making decisions not otherwise delegated to an individual officer. Wherever possible, decisions will be made by consensus; however, if the Executive Committee cannot resolve a matter through consensus, the Chair shall conduct a vote in which a Simple Majority will prevail. All members of the Executive Committee, including the Chair, have a vote. In the case of a tie, the Chair's vote is decisive; however, at the Chair's option, the Executive Committee may conduct a vote of the Members.
- 3.6.9 Membership: The Executive Committee will:
- a. Administer and enforce, where necessary, the Registrar Stakeholder Group's membership eligibility requirements as provided in Clause 2.0;
 - b. Receive and review new Member applications and, if the information in the application is insufficient to warrant acceptance, notify the applicant and request additional information;
 - c. Establish and monitor compliance with the new Member application process, assuring itself of the qualifications of any applicant both at the time of



Registrar Stakeholder Group Charter (v6.0)

submission and at any time thereafter based on presentation of documented concerns about eligibility as described in §2.4.1;

- d. Accept and welcome new Members who qualify in accordance with this Charter;
- e. Ensure that a list (or database) of Members, including appropriate contact information, is maintained and published on the Registrar Stakeholder Group's web presence(s);
- f. Determine the voting status of Members as defined in Clause 2.0 including assessment of the number of geographic regions in which a Member is based;
- g. Conduct reviews upon request (see §2.4.1) or if there is a change in the circumstances of the Member that may impact eligibility status or if the Member or any of its Designated Representatives allegedly engages in behavior inconsistent with this Charter; and
- h. Recommend amendments, when deemed appropriate, to Member eligibility criteria, voting status, the membership application form/process, the nature and amount of information necessary to evaluate Member eligibility/status, and any other requirements pertaining to Registrar Stakeholder Group membership.

3.7 Executive Committee Accountability.

3.7.1 Minimum Participation and Availability Requirements. An Elected Officer must strive to regularly participate in Meetings or conference calls, throughout the duration of the elected term (where Meetings" refer to ICANN Public Meetings, Registrar Stakeholder Group online meetings and face-to-face Registrar Stakeholder Group Meetings).

- a. An exception may be allowed if:
 - The Officer provided adequate notice, appropriate to the circumstances, as determined by a Simple Majority vote of Executive Committee Officers; or
 - The Officer's continued service to the Registrar Stakeholder Group is deemed to be important and not reasonably fulfilled by another available representative; or
 - A majority of the Executive Committee Officers holds a reasonable expectation that the Officer will be available for forthcoming meetings.

3.7.2 Removal From Office. If a Registrar Stakeholder Group Member Representative files a complaint or the Chair is notified that an Executive Committee Officer, Council Representative or Nominating Committee Delegate, has failed to faithfully perform the duties of the office, including satisfying attendance and/or participation requirements related to his/her position, the Executive Committee shall conduct an



Registrar Stakeholder Group Charter (v6.0)

investigation requesting supporting information with respect to the alleged deficiency. Any Registrar Stakeholder Group Member Representative may request the Executive Committee to replace any Executive Committee Officer, Council Representative and/or Nominating Committee Delegate, who fails to meet the Executive Committee accountability requirements itemized in Article 3.7 and Clause 4.0.

- a. As an initial step in the investigation, the Executive Committee will communicate in writing with such individual outlining the deficiency and providing an opportunity for the individual to respond, within fourteen (14) calendar days, to the particulars including rationale and/or remedy.
- b. If the individual fails to respond or the response (a) does not commit to remedy the deficiency or (b) does not provide a rationale convincing to the Executive Committee, the Executive Committee will ask the affected member to voluntarily resign from office within fourteen (14) calendar days.
- c. If the individual does not resign within the prescribed period, the Executive Committee will initiate the process for a Simple Majority Vote of Voting Members to recall such Executive Committee Officer, Generic Names Supporting Organization Council Representative and/or Nominating Committee Delegate. If the majority of the membership supports the recall:
 - i. The Executive Committee shall formally notify the individual of removal from office;
 - ii. A message may be copied to the Distribution List by the Chair stating that the individual is being removed pursuant to this Article; and
 - iii. The Executive Committee shall call an election of the Registrar Stakeholder Group Membership to fill such vacancy.

4.0 Generic Names Supporting Organization Council Representatives and Nominating Committee Delegate.

4.1 Council Representative Positions and Eligibility.

- 4.1.1 As specified in the [ICANN Bylaws](#) the Registrar Stakeholder Group will select three (3) Council Representatives to each serve a two-year term on the Generic Names Supporting Organization Council.
- 4.1.2 The Registrar Stakeholder Group's Council Representatives will act on the Generic Names Supporting Organization Council as representatives of and spokespersons for the Registrar Stakeholder Group.
- 4.1.3 The three (3) Generic Names Supporting Organization Council Representatives should normally be from three (3) different geographic regions. In accordance with



Registrar Stakeholder Group Charter (v6.0)

6.2.3.c, when a Council Representative position becomes available, only candidates from regions not already represented can be nominated and only if no candidates are found after further extending the nomination period, can candidate(s) from a region already represented be nominated.

- 4.1.4 To be eligible for the Generic Names Supporting Organization Council Representative positions:
- a. Members must be in good standing according to the Articles §2.1 – 2.4
 - b. A candidate must be a Designated Representative of a Voting or Non-Voting Member (see §2.2) of the Registrar Stakeholder Group; and
 - c. An otherwise eligible Designated Representative of a Voting or Non-Voting Member may not concurrently hold an elected office or Council Representative position within the Registrar Stakeholder Group. Each Member may only fill one elected position within the Registrar Stakeholder Group simultaneously as per § 3.2 .

4.2 Council Representative Terms and Regional Representation.

- 4.2.1 The Registrar Stakeholder Group’s Council Representatives will be elected to serve staggered two-year terms under the rules for elections in §6.2 and as per the [ICANN Bylaws](#).

4.3 Council Representative Duties and Obligations.

- 4.3.1. Stakeholder Group Participation. Each Council Representative shall actively and faithfully participate in developing administrative and policy positions and represent the Registrar Stakeholder Group at large rather than his/her respective Member or Registrar Family.
- 4.3.2 Generic Names Supporting Organization Council Participation. Each Council Representative shall actively and faithfully participate in the activities of the Generic Names Supporting Organization Council and in advancing the goals of the Registrar Stakeholder Group in every aspect of the Generic Names Supporting Organization’s administrative and policy development processes. In particular, Council Representatives are expected to adhere to the following obligations:
- a. Active participation: A Council Representative is expected to actively participate in the regular affairs of the Generic Names Supporting Organization Council including, inter alia, attending its scheduled meetings, staying abreast of the technical and administrative agenda, engaging in relevant email and live discussions, reading minutes, evaluating reports, listening to meeting recordings (in the event of absence), voting responsibly on all matters before the Council, and, when requested, periodically reviewing the performance of the Council Chair and Vice-Chairs.



Registrar Stakeholder Group Charter (v6.0)

- b. Reasonable inquiry: Council Representatives shall request and receive sufficient information, including support from the Registrar Stakeholder Group, as appropriate, so that they may carry out their responsibilities. When a problem manifests itself or some issue does not make sense, a Councilor has a duty to inquire into the surrounding facts and circumstances and seek guidance from available Registrar Stakeholder Group resources (e.g. Chair, Vice-Chairs, Members), in advance of any consequential discussions, decisions, or votes.
- 4.3.3 Communication. Each Council Representative shall inform the Vice-Chair for Policy Coordination, in a timely manner, but no less than every thirty (30) calendar days, of:
- a. The initiation of a new working group, drafting team, committee or Policy Development Process within ICANN;
 - b. The content of working group charters;
 - c. Any formal motion made by a Generic Names Supporting Organization Council Representative, wherever practicable, at least seven (7) calendar days in advance of the scheduled vote; and
 - d. Any other matter reasonably pertinent to permitting the full involvement in ICANN policy development by Registrar Stakeholder Group Members.
- 4.3.4 Registrar Stakeholder Group Positions. Each Council Representative shall represent on the Generic Names Supporting Organization Council the goals and priorities of the Members to the best of his/her ability and in accordance with the following principles:
- a. Positions that are formally adopted within the Registrar Stakeholder Group, as described in clause 6.0, are presumptively binding on Council Representative votes. This presumption may be rebutted only with the consent of the Members and in the event of very significant countervailing concerns, which must be disclosed to the Members.
 - b. On motions, votes, and other matters for which an Registrar Stakeholder Group position has not been formally established, Council Representatives are required to proactively consult with the Executive Committee as far in advance as is practicable. The Executive Committee shall determine if specific guidance should be provided to Council Representatives consonant with the Members' interests.
 - c. In the absence of a formally adopted position or specific direction from the Executive Committee, Council Representatives are authorized to vote on Generic Names Supporting Organization Council matters as they think best with a reasonable effort to reflect the positions held by Members of the Registrar Stakeholder Group.



Registrar Stakeholder Group Charter (v6.0)

- 4.3.5 Abstention, Absence, and Vacancy. It is important that votes of the Registrar Stakeholder Group be registered, through its elected Council Representatives, on every matter of significance that comes before the Generic Names Supporting Organization Council for action. For Council Representative occurrences of abstention, planned absence, and vacancy, the Registrar Stakeholder Group intends to utilize the voting remedies provided in the [Generic Names Supporting Organization Operating Procedures](#), which include Voting Direction, Proxy, and Temporary Alternate.
- a. Abstention. In the event that a Council Representative experiences a circumstance requiring a volitional or obligational abstention, as described in [the Generic Names Supporting Organization Operating Procedures](#), the Council Representative must notify the Executive Committee as far in advance as practicable. The Executive Committee, coordinating with the Vice-Chair for Policy Coordination, will decide whether or not to utilize a prescribed remedy of Voting Direction or Proxy. For these two remedies, there is a requirement that the Registrar Stakeholder Group establish a position on the matter concerned. In the event that the Registrar Stakeholder Group does not have a formally adopted position (§4.3.4-a) and there is insufficient time to develop one using its normal procedures (§6.3):
 - i. For matters involving policy positions, the Chair, with the concurrence of the Vice-Chair for Policy Coordination, may interpret the Registrar Stakeholder Group's position using their best judgment so that a voting remedy may be exercised.
 - ii. For non-policy motions/votes, the Chair, with the concurrence of the Vice-Chair for Policy Coordination, may interpret the Registrar Stakeholder Group's position using their best judgment so that a voting remedy may be exercised.
 - b. Planned Absence. When a Council Representative expects to be unable to attend a Generic Names Supporting Organization Council meeting, in whole or in part, the Council Representative is expected to notify the Executive Committee as far in advance as practicable. Consistent with §4.3.5-a, the Executive Committee will determine whether to utilize the Proxy voting remedy as provided in [the Generic Names Supporting Organization Operating Procedures](#).
 - c. Extended Absence or Vacancy. Under circumstances which will cause a Council Representative to miss multiple Generic Names Supporting Organization Council meetings or otherwise be unable to fulfill his/her duties and obligations for an extended period, the Executive Committee may identify one or more Members who satisfy the [Generic Names Supporting Organization Operating Procedures](#) criteria and can be called upon to serve as a Temporary Alternate (§4.5.3-c).
 - d. Unplanned Absence. Because unplanned absences, by definition, do not permit sufficient opportunity or time to apply a voting remedy, they are to be minimized.



Registrar Stakeholder Group Charter (v6.0)

Council Representatives who more than occasionally fail to attend Generic Names Supporting Organization Council meetings in whole or in part, for any reason, without providing the Executive Committee sufficient advance notice to evaluate and, at its option, execute a voting remedy, may be subject to removal as per §3.7.2.

- e. Communication to Members. Any Executive Committee judgment(s) applied under §4.3.5 must be communicated to the Members as soon as practicable after the decision is made.

- 4.3.6 Removal From Office: Generic Names Supporting Organization Council Representatives who fail to meet duties and obligations as specified in 4.3 may be recalled from office as per procedures outlined in 3.7.2.

4.4 Nominating Committee Delegate Position and Term.

There shall be a Nominating Committee of ICANN, responsible for the selection of all ICANN Directors except the President and those Directors selected by ICANN's Supporting Organizations, and for such other selections as are set forth in Article 8 of the [ICANN Bylaws](#).

- 4.4.1 As specified in the [ICANN Bylaws](#) there shall be one voting delegate from the Registrar Stakeholder Group in the Nominating Committee.
- 4.4.2 Each voting delegate shall serve a one-year term.
- 4.4.3 A delegate may serve at most two successive one-year terms, after which at least two years must elapse before the individual is eligible to serve another term.
- 4.4.4 The regular term of each voting delegate shall begin at the ICANN annual meeting and shall end at the conclusion of the immediately following ICANN annual meeting.
- 4.4.5 Vacancy. Any vacancy occurring during the Nominating Committee Delegate's term shall be handled by the Registrar Stakeholder Group as per the vacancy rules outlined for Executive Committee members in Article 3.4.3.

4.5 Nominating Committee Delegate Eligibility

Only Voting Members of the Registrar Stakeholder Group are eligible to stand on ICANN's Nominating Committee as appointed by the Registrar Stakeholder Group. Delegates to the ICANN Nominating Committee shall also meet eligibility requirements as noted in the [ICANN Bylaws](#).

4.6 NomCom Duties and Obligations:



Registrar Stakeholder Group Charter (v6.0)

- 4.6.1 Attend all three NomCom face-to-face meetings, normally scheduled during ICANN's conferences. In the event of schedule conflicts with non-NomCom meetings, priority should be given to the NomCom meetings;
- 4.6.2 Attend all teleconferences of the NomCom;
- 4.6.3 Participate in NomCom's outreach for soliciting potential candidates; and
- 4.6.4 Keep the Registrar Stakeholder Group informed of NomCom activities and milestones to the extent allowed under the confidentiality obligations of the NomCom.

4.7 NomCom Removal from Office:

- 4.7.1 Nominating Committee Delegates who fail to meet duties and obligations as specified in 4.7 and in the [ICANN Bylaws](#) may be recalled from office as per procedures outlined in 3.7.2.

5.0 Other Temporary or Standing Committees.

5.1 General Provisions.

- 5.1.1 Chair Responsibilities. The members of each committee, working group, drafting team and other groups formed within the Registrar Stakeholder Group, shall elect a Chair who, among other duties mentioned elsewhere in this Charter, will:
 - a. Schedule meetings and develop agendas;
 - b. Conduct deliberations consistent with the consensus stipulations in §6.1;
 - c. Keep and publish (or direct others to keep and publish) minutes/action items of committee meetings and records of committee actions, which shall be made available on request on the Distribution List (§7.2.1); and
 - d. Report to and involve Registrar Stakeholder Group Members in the activities of the committee, as appropriate.
- 5.1.2 Conflicts of Interest. Committee members have a duty to perform their roles with diligence and loyalty to the Registrar Stakeholder Group and will promptly disclose any and all conflicts of interest in a timely fashion, recusing themselves from discussions and decisions whenever there is an actual conflict or offering to recuse themselves in situations which could be perceived to be a conflict.



Registrar Stakeholder Group Charter (v6.0)

6.0 Decision-Making, Elections, and Policy Positions.

6.1 Decision-Making.

- 6.1.1 Commitment to Consensus. The Registrar Stakeholder Group, its various committees, working groups, drafting teams, and other deliberative bodies, shall endeavor to decide issues by general agreement whenever practicable. Formally chartered working groups, in particular, should follow the decision-making practices specified in the [Generic Names Supporting Organization Operating Procedures](#), Annex 1, entitled “Generic Names Supporting Organization Working Group Guidelines.” Except for elections (§6.2) and written policy development positions (§6.3), voting shall be relied upon only to the extent that is necessary in cases where general agreement cannot be reached.
- 6.1.2 Stakeholder Group, Committee, Group, and Team Voting. After all reasonable attempts to reach consensus have been exhausted, the Chair may call for a vote following these general guidelines:
- a. A decision may be considered carried if Simple Majority is reached.
 - b. Voting shall be conducted via electronic voting.

6.2 Elections.

- 6.2.1 Announcement. In the event that a Registrar Stakeholder Group leadership position becomes available, the Secretary shall post a Notice of Election and Request for Nominations on the Distribution List within a reasonable time prior to the election date. The Secretary will run all election processes and use online voting systems to facilitate participation within the Registrar Stakeholder Group. Leadership positions include: Executive Committee Officers, Council Representatives and Nominating Committee Delegates.
- 6.2.2 Eligibility. At the start of the election cycle, the Secretary shall declare the geographic regions of the Council Representative positions that are eligible for election.
- a. Only the Designated Representatives of Voting Members can be nominated for Executive Committee Officer or Nominating Committee Delegate position. A Designated Representative of any Member can be nominated for a Council Representative position.
 - b. Any eligible Designated Representative nominated for elected office must complete a Statement of Interest form, as documented in the [Generic Names Supporting Organization Operating Procedures](#), and provide its reference (URL) to the Registrar Stakeholder Group Distribution List.



Registrar Stakeholder Group Charter (v6.0)

- c. Conflicts of interest must be disclosed within the Statement of Interest or published separately by a nominee prior to the commencement of an election.
- d. Failure to complete a Statement of Interest prior to an election will be deemed sufficient basis for the Executive Committee to disqualify a nominee from further consideration as a candidate.

6.2.3 Nominations and Candidates.

- a. The Secretary shall accept nominations for a period of no less than two (2) calendar days but no more than seven (7) calendar days. The Chair, Vice-Chair for Policy Coordination, Vice-Chair for Technical Operations, Secretary, and Treasurer will be elected at the same time except in the case of an interim vacancy, which shall be handled according to Article 3.4. The election cycle for Council Representatives will be determined based on the [Generic Names Supporting Organization Operating Procedures](#). Nominating Committee Delegates will be elected based on staggered terms as per the ICANN Bylaws. Candidate nominations will be published on the Distribution List upon the close of this period. If no nominations are received, the Executive Committee will extend the nomination period by a maximum of twenty-one (21) calendar days to allow for nominees to come forward for all vacant positions.
- b. Any Designated Representative of a Voting Member of the Registrar Stakeholder Group in good standing may nominate a Designated Representative of a Voting Member for the Executive Committee Officers, and Nominating Committee Representatives positions, and a Designated Representative of a Voting or one Non-Voting Member one of the Generic Names Supporting Organization Councilor positions, by submitting the candidate's name to the Registrar Stakeholder Group Distribution List. The nomination must be seconded by at least one (1) other Designated Representative who is not in the same Registrar Family as the candidate. One Non-Voting Member is eligible for nomination for a Generic Names Supporting Organization Council Representative position only per term.
- c. In the event that there are no nominees for a Council Representative position who represent the eligible geographic region(s), the nomination period shall be extended by a maximum of twenty-one (21) calendar days to further allow nominees from these region(s) to apply. To provide reasonable flexibility, candidates who are citizens of a country in one geographic region, but have been domiciled in another geographic region for at least five (5) years may be associated with either region as specified in their Statement of Interest (§6.2.2). If after the maximum twenty-one (21) days there is still no candidate(s) from the eligible geographic region(s), in accordance with 4.1.3, candidate(s) from a region already represented can be nominated.
- d. When a nomination is received, the Executive Committee will (i) conduct a review to confirm the candidate satisfies the eligibility requirements for their



Registrar Stakeholder Group Charter (v6.0)

position and (ii) report any discrepancies to the candidate to allow them to update their Statement of Interest and, if applicable, withdraw their candidacy, prior to the close of the nomination period.

- e. Within two (2) business days of the nomination, or by the close of the nomination period, whichever occurs later, the nominee must accept the nomination and submit to the Registrar Stakeholder Group Distribution List a reference (URL) to a completed Statement of Interest (see §6.2.2-a).

6.2.4 Candidate Discussion. Upon the close of the of nomination period, the Secretary will submit the list of nominees and announce the start of the Discussion of Candidates period to the Registrar Stakeholder Group Distribution List. This period of time shall occur for a minimum of three (3) calendar days but no greater than seven (7) calendar days. The Secretary will notify the Registrar Stakeholder Group upon completion of the Discussion of Candidates period via email to the Registrar Stakeholder Group Distribution List.

6.2.5 Voting.

- a. Within three (3) calendar days after the close of discussion period, the Secretary will arrange for an electronic ballot to be sent and publish the opening and closing dates for the election on the Distribution List.
- b. An election period will be open for voting for no less than five (5) calendar days, but no more than ten (10) calendar days, during which Registrar Stakeholder Group Voting Member Member Representatives will cast their ballots electronically. During this time, advocating and/or campaigning for any candidates, whether on or off the Registrar Stakeholder Group's Distribution List, shall be suspended.
- c. Each Registrar Stakeholder Group Voting Member Member Representative eligible to vote is accorded one (1) vote which is not divisible. Registrar Families are allowed only one (1) Voting Member Representative. Only members in good standing shall have voting rights. If two (2) or more active Members become Affiliated Registrars, they shall only have one (1) vote from that point on, without regard to Registrar Stakeholder Group fees already paid. Any disagreement regarding whether a Member is considered an Affiliated Registrar of another Member shall be decided by a Simple Majority vote of the Member Representatives, as per Clause 2.0.
- d. Voting Member Member Representatives shall retain the right to formally abstain during any vote. Formal abstentions are included in the total votes cast but do not count as a vote against a candidate or motion.
- e. The winner(s) will be the candidate(s) receiving the largest number of votes.



Registrar Stakeholder Group Charter (v6.0)

- f. In case of a tie among those candidates receiving the most votes, an additional one-week election period will be held between the tied nominees. Such election shall occur no later than one week after the tie is determined.
- g. The Secretary shall publish vote results on the Distribution List including the number of votes cast per candidate, and the names of Voting Members who cast votes.

6.2.6 Proxy. A Voting Member may appoint a proxy for a specific vote in the Registrar Stakeholder Group. The proxy must fulfill the conditions of appointment as an Member Representative or be another Member's Member Representative within the Registrar Stakeholder Group. Notification of a proxy must be made in writing to the Secretary at least one calendar day prior to the start of the election.

6.3 Developing a Written Policy or Position.

6.3.1 The Registrar Stakeholder Group aims to address and, where appropriate (for example with ICANN public comments or Registrar Accreditation Agreement Amendment Reviews), make a public statement on any issue that is considered of interest to registrars. In order to facilitate this, a nominated individual or team of volunteer participants can be made responsible for deciding what should be commented on, and/or preparing a draft statement.

All members should be given the opportunity to review the draft statement, discuss any required amendments and come to a consensus on the final version.

6.3.2 Consensus for written policies or positions. An effort should be made to reach general consensus on any statement that the Registrar Stakeholder Group will make public, via discussion on the Distribution List, in accordance with Article 6.1.1.

If there is continuing dissent the Executive Committee may move the process forward in one of the following two ways:

- a. The statement will be signed only by those Member Representatives that support it and will not be submitted on behalf of the entire Registrar Stakeholder Group;
or
- b. A vote, requiring a Simple Majority, will be held to decide if the statement will be submitted or not in its current form on behalf of the Registrar Stakeholder Group.

6.4 General Membership Voting.

6.4.1 Announcement. In the event that a general membership vote is required, such as when a Registrar Stakeholder Group position is drafted as per Article 6.3.1, or a budget vote is required as per Article 10.1, the Chair shall post a Notice of Vote on the



Registrar Stakeholder Group Charter (v6.0)

Distribution List within a reasonable time prior to a procedural or position deadline. The Secretary will run all vote processes and use online voting systems to facilitate participation within the Registrar Stakeholder Group.

6.4.2 Eligibility. Only Voting Member Member Representatives may cast votes in general membership voting.

6.4.3 Voting.

- a. The Secretary will distribute to the Registrar Stakeholder Group Distribution List the ballot announcement for each general vote or position no later than three (3) calendar days following the Notice of Vote.
- b. An election period will be open for voting for no less than five (5) calendar days, but no more than ten (10) calendar days, during which Registrar Stakeholder Group Voting Member Member Representatives will cast their ballots electronically. During this time, advocating and/or campaigning for any position or policy, whether on or off the Registrar Stakeholder Group's Distribution List, shall be suspended.
- c. Each Registrar Stakeholder Group Voting Member Member Representative eligible to vote is accorded one (1) vote which is not divisible. Registrar Families are allowed only one (1) Voting Member Representative. Only members in good standing shall have voting rights. If two (2) or more active Members become Affiliated Registrars, they shall only have one (1) vote from that point on, without regard to Registrar Stakeholder Group fees already paid. Any disagreement regarding whether a Member is considered an Affiliated Registrar (see definition in Clause 11.0) of another Member shall be decided by a Simple vote of the Member Representatives, as per Clause 2.0.
- d. Voting Member Member Representatives shall retain the right to formally abstain during any vote. Formal abstentions are included in the total votes cast but do not count as a vote against a position or motion.
- e. An affirmative vote will be decided in accordance with the Simple Majority required for that situation.
- f. The Secretary shall publish vote results on the Distribution List including the number of votes cast per position, and the names of Voting Members who cast votes.

6.4.4 Proxy. A Voting Member may appoint a proxy for a specific vote in the Registrar Stakeholder Group as per 6.2.6

6.5 Fast Track Motions

6.5.1 Certain motions may receive "Fast Track" treatment, whereby a vote may be conducted in less time than prescribed in 6.4.3.



Registrar Stakeholder Group Charter (v6.0)

- 6.5.2 Requests for Fast Track treatment may be made by any Member at any scheduled meeting of the Registrar Stakeholder Group or electronically on the Distribution List and must include a written justification supporting the Fast Track treatment.
- 6.5.3 Fast Track treatment is only available under urgent circumstances. Urgent circumstances exist if following the standard timing of a motion in Clause 6.0 would dramatically harm the value or effectiveness of the motion and the need for fast track treatment could not reasonably have been foreseen.
- 6.5.4 A motion may only be considered for Fast Track treatment upon a Simple Majority vote of the Registrar Stakeholder Group Executive Committee. In considering whether to approve Fast Track treatment, the Executive Committee should consider the justification for the treatment, only grant it in exceptional circumstances, and provide a written summary of its rationale in approving it.
- 6.5.5 Motions to amend the Registrar Stakeholder Group Charter are ineligible for Fast Track treatment.
- 6.5.6 Any motion receiving Fast Track treatment made at an in-person meeting must also be published on the Registrar Stakeholder Group distribution list prior to a vote.
- 6.5.7 Fast Track motions must have a minimum of 5 (five) endorsements from Voting Members to proceed to a vote.
- 6.5.8 Fast Track motions must be adopted by a Super Majority of the votes cast.
- 6.5.9 Notwithstanding Article 6.5.8 above, any vote on a Fast Track motion that receives less than 33% of those Voting Members (including votes cast for and against the motion, and any abstentions) will be deemed defeated.
- 6.5.10 If a Fast Track motion is defeated, another vote may be held using the standard motion procedures in Article 6.4.3 above.

6.6 Fast Track Voting

6.6.1 Process:

- a. The Secretary will arrange for an electronic ballot to be sent and publish the opening and closing dates for the fast track vote on the Distribution List.
- b. A voting period will be open for voting for no less than one (1) calendar days during which Registrar Stakeholder Group Voting Member Representatives will cast their ballots electronically. During this time, advocating and/or campaigning for any position or policy, whether on or off the Registrar Stakeholder Group's Distribution List, shall be suspended.
- c. Each Registrar Stakeholder Group Voting Member Representative eligible to vote is accorded one (1) vote which is not divisible. Registrar Families are allowed only one (1) Voting Member Representative. Only members in good standing



Registrar Stakeholder Group Charter (v6.0)

shall have voting rights. If two (2) or more active Members become Affiliated Registrars, they shall only have one (1) vote from that point on, without regard to Registrar Stakeholder Group fees already paid. Any disagreement regarding whether a Member is considered an Affiliated Registrar of another Member shall be decided by a Simple vote of the Member Representatives, as per Clause 2.0.

- d. Voting Member Representatives shall retain the right to formally abstain during any fast track vote. Formal abstentions are included in the total votes cast but do not count as a vote against a position or motion.
- e. A Super Majority is required for an affirmative vote for any fast track motions; and
- f. The Secretary shall publish vote results on the Distribution List including the number of votes cast per position, and the names of Voting Members who cast votes.

7.0 Communications.

7.1 Web Presence.

- 7.1.1 Member Information. The Executive Committee will maintain a public record in the Registrar Stakeholder Group web presence(s) including the following current, accurate information about each Member:
 - a. Name and contact information (individual members have the right to withhold the posting of contact details for privacy reasons);
 - b. Status (i.e., Voting or Non-Voting);
 - c. Listing of all elected and appointed positions within ICANN structures, including Supporting Organizations (e.g., Generic Names Supporting Organization), Stakeholder Groups (e.g., Registrar Stakeholder Group), Constituencies, Advisory Committees, and the Registrar Stakeholder Group; and
 - d. Name of Member Representative, Alternate Member Representative (if designated), and additional contacts, if applicable, to the Registrar Stakeholder Group.
- 7.1.2 Use of Site. Membership use of the web presence(s) must comply with the publication policies set forth in section §7.3.
- 7.1.3 Web Page. The Registrar Stakeholder Group will publish formal positions on the Registrar Stakeholder Group Web Page. The Web Page shall be established by the Executive Committee and maintained by the Secretary or, if so delegated, a



Registrar Stakeholder Group Charter (v6.0)

Secretariat. The Registrar Stakeholder Group Web Page must be archived and accessible to the public upon request.

7.2 Electronic Mailing Lists.

7.2.1 Distribution List. The Registrar Stakeholder Group will also operate a Distribution List to enable Members to engage in dialogue, via direct posting, concerning issues which may be developed into formal positions/statements as well as other matters including discussion of policies and practices, elections, policy issues, logistics, sharing of relevant news/information, and coordinating participation in ICANN-related events. Separate internal lists are also maintained, where warranted, for approved committees. The Executive Committee shall establish a mechanism to archive these lists.

7.3 Publication Policies.

The following publication policies apply to all Registrar Stakeholder Group communications regardless of media:

7.3.1 Responsibility. The responsibility for posting accurate, appropriate, and authorized content will reside with the author. Only Designated Representatives of Members, as specified in Article 2.2, are entitled to post to official Registrar Stakeholder Group media. Any Designated Representative's decision to post or submit content shall constitute acceptance of the Registrar Stakeholder Group publications policy as set forth in this section.

7.3.2 Supervision. The Executive Committee shall appoint the appropriate Vice-Chair to supervise the appropriate use of the Registrar Stakeholder Group's communications media in whatever form with the Secretary serving in the capacity of administrator. Stipulations related to the removal of inappropriate content and/or the suspension of posting privileges are prescribed in §7.5.

7.4 Protection of Member Data.

The Executive Committee and Members of the Registrar Stakeholder Group shall ensure reasonable care of Member data and, in particular, shall not utilize such data beyond what is necessary for its originally intended purposes.

7.5 Limits on Communication Privileges.

In addition to the above obligations and consequences, the Chair or Vice-Chairs have the right to suspend or restrict a Designated Representative's posting privileges to or on any of the Registrar Stakeholder Group's communications mechanisms and to direct that posted material not conforming to the stipulations of this Charter be removed. Any such action must be approved by a Simple Majority of Executive Committee Officers.



Registrar Stakeholder Group Charter (v6.0)

- 7.5.1 Delete. Before exercising the right to delete, a good faith effort must be made to determine that such Designated Representative has posted material that is inappropriate.
- 7.5.2 Suspend or Restrict. Before exercising the right to suspend or restrict, a good faith determination must be made that such Designated Representative's posting of inappropriate material represents an egregious violation of [ICANN's Expected Standards of Behavior](#) or a pattern of abuse.
- 7.5.3 Notice. The Executive Committee must give notice to such Designated Representative if action is taken to suspend, restrict, or delete. Upon request, a statement of rationale will be provided. All formal communications related to this Article will also be communicated to the Member Representative.
- 7.5.4 Appeal. Any determination to suspend, restrict, or delete may be appealed to the Executive Committee and/or the ICANN Ombudsman.

8.0 Meetings.

8.1 General Membership Meetings.

- 8.1.1 Format. The Registrar Stakeholder Group will meet in person at all ICANN meetings and, additionally, the Chair will schedule virtual (electronic) sessions at least once per month, wherever practicable, via the Registrar Stakeholder Group Distribution List and/or calendar. Such sessions are intended to:
- Share information among Members;
 - Discuss relevant Registrar Stakeholder Group and ICANN matters;
 - Establish consensus on policy positions;
 - Plan Registrar Stakeholder Group participation at ICANN meetings; or
 - Address other topics, issues, and business as determined by the Executive Committee.
- 8.1.2 Notification. Advanced notice will be provided to Members of any upcoming face-to-face meetings with final agendas made available no less than five (5) calendar days prior.
- 8.1.3 Minutes. The Secretary will post to the Registrar Stakeholder Group Distribution List the transcript, chat room discussions, and audio recording from any general membership meeting within seven (7) calendar days of such meeting. Whenever



Registrar Stakeholder Group Charter (v6.0)

possible, for the convenience of Members, the Secretary will take minutes at Registrar Stakeholder Group meetings for the purpose of summarizing what transpires including the agenda, attendance, and any decisions or actions items that stemmed from discussions. If votes or consensus calls are taken at a meeting, the minutes shall indicate the outcomes as well as key discussion points.

- 8.1.4 Public. Registrar Stakeholder Group meetings shall be public unless the Executive Committee decides that circumstances warrant a closed session.
- 8.1.5 Procedure. At the discretion of the Chair, meetings may be conducted informally or as appropriate for the size of the group and topic being discussed. Concerns or issues regarding the manner in which a meeting is conducted may be appealed to the Executive Committee.
- 8.1.6 Translation and Remote Participation. Upon request, the Executive Committee will make a reasonable effort to facilitate translation and remote participation services.

8.2 Committee Meetings.

The Chair of any standing or ad hoc committee, working groups, or drafting teams shall consult its members when making determinations as to how its meetings are to be conducted including compliance with Section 8.1.

- 8.2.1 Format. Committee meetings may be conducted using electronic means.
- 8.2.2 Appeals. Concerns or issues regarding the manner in which a meeting is conducted may be appealed to the Executive Committee.

9.0 Outreach.

9.1 Outreach Policies.

- 9.1.1 Commitment. Registrar Stakeholder Group is committed to being inclusive and representative of registrars globally and will conduct outreach to registrars eligible for membership as outlined in Clause 2.0.
- 9.1.2 Objective. Recruiting will be focused on encouraging representation from each ICANN geographic region.

9.2 Outreach Opportunities.

The full Executive Committee and any attending Registrar Stakeholder Group Member will seek opportunities at each ICANN public meeting to recruit new Members and educate interested attendees about the Registrar Stakeholder Group and ICANN.



Registrar Stakeholder Group Charter (v6.0)

10.0 Finances.

10.1 Reasonable Fees.

The Executive Committee may propose membership fees. The annual budget and proposed increase or decrease of membership fees by the Executive Committee must be approved by a Simple Majority vote of the Registrar Stakeholder Group Voting Members.

10.2 Funding Sources.

10.2.1 The Chair and Treasurer are primarily responsible for identifying external funding and procuring such funding for the Registrar Stakeholder Group with the assistance of Members upon request.

10.2.2 Any prospective external funding must be given without any obligation to support a policy position and must be free of conflicts of interest. The Treasurer shall disclose any proposed funding source to the membership for a period of not less than two (2) weeks before accepting it.

10.3 Invoicing.

The Registrar Stakeholder Group's membership cycle operates on a fiscal year basis with fees invoiced annually for existing Members. A new Member joining during the first six months of a year will be invoiced for an entire year. A new Member joining during the last six months of a year will be invoiced on a pro-rata basis.

10.4 Refunds.

No refund of membership fees will be given to a Member due to resignation, removal, or voting status change as specified in this Charter.

10.5 Accounting and Transparency.

The Registrar Stakeholder Group's accounting period is a fiscal year from 1 July through 30 June. The proposed budget for each year and the year-end summary of accounts will be posted on the Distribution List.

11.0 Amendments, Revisions, and Version Control.

11.1 Amendments.

This Charter may be amended from time-to-time, in whole or in part, by a Super Majority vote of Members. Once an affirmative vote is cast, the Registrar Stakeholder Group must comply with the [Generic Names Supporting Organization Charter Amendment Process](#) as approved by the ICANN Board.



Registrar Stakeholder Group Charter (v6.0)

11.2 Interpretation.

If any dispute arises regarding the interpretation of this Charter, such interpretation will be decided upon via a Simple Majority vote from the Voting Representatives without prejudice to the right of any Member to file a complaint to the ICANN Ombudsman.

11.3 Effect and Transition.

All Articles of any revised Charter shall take effect immediately following an affirmative Super Majority vote of the Registrar Stakeholder Group membership and all phases of the [Generic Names Supporting Organization Charter Amendment Process](#) are concluded.

11.4 Version Control:

Version	Date	Name	Description
3.0	17 Apr 2003		Bylaws of the ICANN Generic Names Supporting Organization Registrar Constituency Version 3, Revision 0, Draft 0
4.0	24 Feb 2009	Tim Ruiz	Stakeholder Group Transitional Charter submitted to ICANN Board for approval
4.1	22 Jun 2009	Structural Improvements Committee (SIC)	Revisions per ICANN Board
4.2	30 Jul 2009	Structural Improvements Committee (SIC)	Additional revisions approved by ICANN Board
5.0	25 Sep 2013	Michele Neylon, Chair	<ul style="list-style-type: none"> • Address capabilities of members to serve in leadership positions • Clarify voting rights of Registrar Stakeholder Group members • Provide clarity regarding ability of affiliated members under common ownership to vote • Streamline election of officers when there is only one candidate • Provisions for existing officers to vacate their office where ownership changes or other circumstances render them ineligible for office • Clarification of the directed voting of Generic Names Supporting Organization Councilors
5.1	27 May 2014	ICANN Staff Recommendations approved by Michele Neylon, Chair	<ul style="list-style-type: none"> • Incorporation of Rules of Procedure (previously separate) into Charter as Section 7 • Added Amendments Tracking Log (Section 8), Table of Contents, and page numbering



Registrar Stakeholder Group Charter (v6.0)

5.2	16 October 2014	ICANN Board of Directors	Approved by ICANN Board of Directors – Resolution 2014.10.16.07
6.0	6 July 2018	Theo Geurts, Lindsay Hamilton-Reid, Janelle McAlister, Peter Green, Luc Seufer, Zoe Bonython (RrSG Charter Drafting Team)	Complete redraft to update and modernize provisions, improve language across the document, and incorporate new sections recommended by ICANN Staff. Voted for adoption by Registrar Stakeholder Group Membership on 27 June 2018.

12.0 Registrar Stakeholder Group Operating Procedures.

The Registrar Stakeholder Group Operating Procedures shall be maintained by the Executive Committee and provide additional details on processes within the Registrar Stakeholder Group. Where any inconsistency/conflict exist between the Charter and the Operating Procedures, the Charter will prevail.



Registrar Stakeholder Group Charter (v6.0)

Table of Contents

Charter Definitions	1
1.0 Mission and Principles	4
2.0 Membership	5
3.0 Stakeholder Group Leadership: Executive Committee	10
4.0 Generic Names Supporting Organization Council Representatives and Nominating Committee Delegate. 20	
5.0 Other Temporary or Standing Committees	25
6.0 Decision-Making, Elections, and Policy Positions	26
7.0 Communications	32
8.0 Meetings	34
9.0 Outreach	35
10.0 Finances	36
11.0 Amendments, Revisions, and Version Control	37
12.0 Registrar Stakeholder Group Operating Procedures	39

Charter Definitions

For the purposes of this document, the following definitions shall apply:

“Affiliated Registrar” is a registrar that, directly or indirectly, through one or more intermediaries, is controlled by or remains under common control with another entity.

“Affiliation” refers to a relationship with a person or entity that, directly or indirectly, through one or more intermediaries, controls, is controlled by, or remains under common control with another person or entity.

“Alternate Member Representative” is an individual that is employed by or affiliated with a Member and appointed to represent the Member if the Member Representative is not available or is unable to participate.

“Article” refers to a numbered stipulation within Clauses of this Charter.

“Clause” refers to a separate or distinct section of this Charter.

“Consensus” refers to a position where only a small minority disagrees, but most agree.



Registrar Stakeholder Group Charter (v6.0)

“Council Representative” refers to three (3) Council Representatives selected by the Registrar Stakeholder Group to serve on the Generic Names Supporting Organization Council for terms as specified in the [ICANN Bylaws](#).

“Designated Representative” refers collectively to the Member Representative, Alternate Member Representative and Member Participants.

“Distribution List” refers to the Registrar Stakeholder Group Members’ email distribution list and may also be referred to as the Member List.

“Executive Committee Officers” consists of five elected or appointed officers: a Chair, a Vice-Chair for Technical Operations, a Vice-Chair for Policy Coordination, a Secretary, and a Treasurer. All Executive Committee Members are elected by the Members.

“Fiscal Year” means July 1 through June 30.

“ICANN-Accredited Registrar” shall mean a company, individual or entity that has a Registrar Accreditation Agreement (RAA), which is the contract that governs the registrar relationship with ICANN. The authoritative list of ICANN-Accredited Registrars is maintained by ICANN at <http://www.icann.org/registrars/accredited-list.html>.

“ICANN Related Structure” shall refer to ICANN Supporting Organizations, Advisory Committees, Stakeholder Groups, Constituencies or any other ICANN structure or entity.

“Member” is an ICANN-Accredited Registrar that has paid the required membership fees to the Registrar Stakeholder Group for the current Fiscal Year.

“Member Participant” refers to all participants subscribed by a Member to all Registrar Stakeholder Group communications platforms in addition to the Member Representative and Alternate Member.

“Member Representative” is an individual that is employed by or affiliated with a Member and appointed to represent the Member.

“Nominating Committee Delegate” refers to one voting delegate from the Registrar Stakeholder Group serving in ICANN’s Nominating Committee as specified in the [ICANN Bylaws](#).

“Non-Voting Member” refers to members of the Registrar Stakeholder Group who hold a non-voting status and cannot stand or vote in Registrar Stakeholder Group general elections as per 5.2.3.

“Officer” refers to elected and/or appointed members of the Executive Committee.

“Registrar Family” is a group of Affiliated Registrars.

“Registrar Stakeholder Group” is a recognized structure within the ICANN community that represents the interests of its Members.

“Simple Majority” refers to a majority in which the highest number of votes cast for any one candidate, issue or item exceeds the second-highest number, while not constituting an absolute majority.



Registrar Stakeholder Group Charter (v6.0)

“Super Majority” refers to a two-thirds affirmative vote of Voting Members.

“Voting Member” refers to members of the Registrar Stakeholder Group who qualify to vote and stand in Registrar Stakeholder Group elections as per 5.2.2.

“Voting Representative” is a Member Representative authorized to vote on behalf of the Member.

Any disputes regarding these definitions shall be resolved by a Simple Majority Vote of the Voting Representatives.



Registrar Stakeholder Group Charter (v6.0)

1.0 Mission and Principles.

1.1 ICANN Bylaws.

The Registrar Stakeholder Group of ICANN's Generic Names Supporting Organization is constituted according to the [Bylaws of the Internet Corporation for Assigned Names and Numbers \("ICANN"\)](#). This Charter is drafted to represent Members of the Registrar Stakeholder Group.

1.2 Mission.

The Registrar Stakeholder Group represents registrars on issues of critical importance to our community, from matters of customer experience to industry values and policies. We offer an open forum for all ICANN-accredited registrars to:

- a. Participate in the development of ICANN policies that underlie our contracts;
- b. Support innovation, coordination, and exchange across our community;
- c. Advocate for a stable and open DNS environment; and
- d. Ensure the continued accountability of ICANN and the multi-stakeholder model.

1.3 Principles.

The Officers, Council Representatives and Designated Representatives of the Registrar Stakeholder Group are committed to:

- 1.3.1 Carrying out its mission when appropriate, feasible and in keeping with the best interests of the Registrar Stakeholder Group mission and its Members, in a fair, open and transparent manner, whilst ensuring that new participants can easily access and understand its operations and processes;
- 1.3.2 Establishing and maintaining standards for leadership positions including impartiality, accountability, and disclosure of conflicts of interest;
- 1.3.3 Establishing and maintaining professional standards of behavior for all participants including:
 - a. Adhering to [ICANN Bylaws](#) policies, and "[Expected Standards of Behavior](#)";
 - b. Supporting the bottom-up consensus model and acting in a thoughtful, reasonable, and informed manner when participating in policy development and decision-making processes;



Registrar Stakeholder Group Charter (v6.0)

- c. Treating all members of the ICANN community equally, irrespective of nationality, gender, racial or ethnic origin, religion or beliefs, disability, age, or sexual orientation;
 - d. Treating others fairly and in good faith with dignity, respect, courtesy, and civility;
 - e. Maintaining good community standing; and
 - f. Supporting diversity amongst Member Designated Representatives.
- 1.3.4 Promoting ICANN's model of a global and multi-stakeholder community. Those who take part in the ICANN process are expected to acknowledge the value of all stakeholders by listening attentively, seeking to understand other points of view, and working in good faith to build consensus in finding solutions to the issues that fall within the areas of ICANN's responsibility.
- 1.3.5 Refraining from facilitating, promoting or otherwise knowingly allowing unlawful collusion or other forms of anti-competitive behavior by its Members.

2.0 Membership.

2.1 Member Rights/Privileges

The rights and privileges documented in this section apply to the Member whether Voting or Non-Voting (in accordance with eligibility requirements outlined in §2.2.) and, where applicable, Member Designated Representatives (as specified in §2.3). Members are subject to various restrictions and/or stipulations contained elsewhere in this Charter; otherwise, each Member of the Registrar Stakeholder Group in good standing shall have the right to:

2.1.1 Receive Communications.

- a. Have access to the Registrar Stakeholder Group web presence(s), Distribution Lists, and any other communication mechanisms established pursuant to Clause 7.0;
- b. Be given timely notice of all initiatives being considered by the Registrar Stakeholder Group; and
- c. Be provided with timely information concerning meetings, significant actions, and decisions of the Executive Committee or other authorized Registrar Stakeholder Group committee as well as relevant matters occurring within the Generic Names Supporting Organization Council.



Registrar Stakeholder Group Charter (v6.0)

- 2.1.2 Participation. Registrar Stakeholder Group discussions on all policy and administrative issues are held via teleconference, Distribution List, website or in person and are open for participation by all Members. Notice of discussions are provided via the Distribution List. Except as otherwise specifically stated in §2.2.3, all Members, whether Voting or Non-Voting, shall have the same rights to participate in all RrSG discussions.
- 2.1.3 Submission of Agenda Items. Members may submit agenda items for Registrar Stakeholder Group meetings. The Executive Committee reserves the right to limit the agenda.

2.2 Eligibility.

Registrar Stakeholder Group Members are categorized as either Voting or Non-Voting, depending on their current circumstances, with Voting Members given full membership rights and privileges and Non-Voting Members given limited membership rights and privileges, as specified in §2.2.3.

2.2.1 Eligible Organizations. To be eligible for Registrar Stakeholder Group membership, an entity must meet the following requirements:

- a. Be an ICANN-Accredited Registrar in good standing;
- b. Pay the required Registrar Stakeholder Group membership fees for the current Fiscal Year; and
- c. Declare any:
 - i. Conflicts of interest;
 - ii. Affiliations with other Registrar Stakeholder Group Members;
 - iii. Affiliations with other ICANN Related Structures; and
 - iv. Affiliations with any other organization that is a member of another ICANN Related Structure.

Prospective and existing Members must declare if they are, or subsequently become owned, controlled by, or under common ownership with any other entity that votes in the Registrar Stakeholder Group or is officially a voting member in another Generic Names Supporting



Registrar Stakeholder Group Charter (v6.0)

Organization Stakeholder Group or Constituency. In this case, the prospective or existing Member will become ineligible for Voting status within the Registrar Stakeholder Group and will revert to Non-Voting status as per the [Generic Names Supporting Organization Operating Procedures](#).

Members or prospective Members who switch voting status to the Registrar Stakeholder Group from another Stakeholder Group or Constituency will not be eligible to vote in the Registrar Stakeholder Group for a minimum of six (6) months. This time period may be subject to change.

2.2.2 Voting Members: In addition to meeting the primary membership eligibility requirements in 2.2.1, to be eligible as a Voting Member, a Member must currently distribute domains, by sales or other means, to unaffiliated third parties. In the event that a Member discontinues any such distribution, the Member shall be excluded from Voting Member status. Unless deemed a Non-Voting Member, an eligible applicant or existing Member shall respectively achieve or have the status of Voting Member and shall be entitled to and abide by the following:

- a. Vote in all general elections of the Registrar Stakeholder Group including, but not limited to officers and Generic Names Supporting Organization Council Representatives, Nominating Committee Delegate and whenever a general membership vote has been called by an authorized officer of the Registrar Stakeholder Group.
- b. Any Designated Representative(s) of a Voting Member may only run for or hold one elected leadership position at one time, including the positions of Officer, Generic Names Supporting Organization Council Representative and Nominating Committee Delegate within the Registrar Stakeholder Group, as specified in §3.2; however, any Designated Representative(s) may hold any such position consecutively.

2.2.3 Non-Voting Members: The following is a non-exhaustive list of entities which, although they meet the primary membership eligibility requirements in 2.2.1, are considered eligible for membership only as Non-Voting Members:

- a. Not-for-profit entities excepting trade associations or coalitions representing for-profit entities;
- b. Entities whose primary business activity derives from an accredited TLD registry or registry operator; and
- c. Entities who are directly or indirectly operated/owned by governments.

2.2.4 Non-Voting Members Voting Restrictions:



Registrar Stakeholder Group Charter (v6.0)

- a. A Designated Representative(s) of a Non-Voting Member may run for or hold one Council Representative position within the Registrar Stakeholder Group at one time, but shall not be eligible to run for or hold an Officer or Nominating Committee Delegate position within the Registrar Stakeholder Group. Only one Non-Voting GNSO Council Representative may hold a seat at once;
 - b. All Non-Voting Member Designated Representatives shall not nominate nor second any eligible Designated Representative of a Voting Member to hold an Officer or Nominating Committee Delegate position in the Registrar Stakeholder Group, as specified in §6.2;
 - c. All rights and privileges of membership specified in §2.1.1 apply to Non-Voting Members.
 - d. Non-voting restrictions included in this charter are not intended to impair the voting rights available to ICANN-Accredited Registrars under the Registrar Accreditation Agreement.
- 2.2.5 Representation. Whether Voting or Non-Voting, Members must agree to act in the interests of all ICANN-Accredited Registrars for all matters addressed within the Registrar Stakeholder Group.
- 2.2.6 Whether Voting or Non-Voting, Members can access and participate in all discussions the Member Distribution List and at RrSG meetings
- 2.2.7 If any dispute arises regarding the interpretation of this Charter regarding membership rights or membership eligibility, such interpretation will be decided upon via a Simple Majority vote from the Voting Representatives without prejudice to the right of any Member to file a complaint to the ICANN Ombudsman, as per §11.2.

2.3 Member Representation.

- 2.3.1 Member Representative. Each Member, whether it has Voting or Non-Voting status, shall appoint one Member Representative to act on its behalf and serve as its primary point-of-contact. The Member Representative of a Voting Member acts as the Voting Representative. As set out in §6.2.6, the Alternate Member Representative or a Member Participant may represent the Member Representative as a proxy. If the Member is a part of a Registrar Family, the Registrar Family may not have more than one Member Representative.
- 2.3.2 Alternate Member Representative. At its discretion, each Member may also officially appoint one Alternate Member Representative to represent the Member if the Member Representative is not available or is unable to participate.



Registrar Stakeholder Group Charter (v6.0)

- 2.3.3 Member Participants. A Member may subscribe a reasonable number of additional Member Participants to any of the Registrar Stakeholder Group communication platforms, including the Registrar Stakeholder Group’s Distribution List, for information purposes:
- a. Such Member Participants do not vote on behalf of the Member organization unless as described in §6.2.6; however, they may participate in Registrar Stakeholder Group discussions, meetings, committees, and working groups. Such contacts must identify themselves as affiliated with the Member when participating in Registrar Stakeholder Group affairs.
 - b. In order to ensure even participation of Member Participants, the Executive Committee reserves the right to establish specific guidelines for, and limits to, the number of Member Participants per Member permitted in the Registrar Stakeholder Group.
- 2.3.4 The Member Representative, Alternate Member Representative, and Member Participants are collectively referred to as “Designated Representative(s).”
- 2.3.5 In order to be eligible for an elected leadership position, any Designated Representative of a Voting Member must ensure any Statement of Interest is current and accurate.
- 2.3.6 The Member Representative and Alternate Member Representative must satisfy all the conditions and specifications below:
- a. The designated Member Representative and Alternate Member Representative must be appointed by the Member or majority-owned subsidiary.
 - b. Each Member Representative and Alternate Member Representative shall act on behalf of and represent the Member organization within the Registrar Stakeholder Group.
 - c. Unless otherwise provided in this Charter, the Member Representative, or Alternate Member Representative serving in the capacity of Member Representative, shall be the only person able to vote on behalf of a Voting Member.
 - d. A Member may change its Member Representative or Alternate Member Representative at its discretion and agrees to:
 - i. Notify the Executive Committee of the change; and
 - ii. Authorize a new Member Representative or Alternate Member Representative following the departure of the prior representative.
- 2.3.7 A new Member Representative or Alternate Member Representative appointed in accordance with this Charter does not assume an elected or appointed office within the Registrar Stakeholder Group held by the prior representative. The Executive Committee will fill any office vacancy created by a departing Member Representative or Alternate Member Representative if applicable, in accordance with §6.2.



Registrar Stakeholder Group Charter (v6.0)

- 2.3.8 If two or more Member companies should merge, the Registrar Stakeholder Group shall be notified immediately upon completion of the merger and the Registrar Stakeholder Group Executive Committee shall be notified as to whom shall be the subsequent Member Representative and Alternate Member Representative, if applicable.

2.4 Membership Fees.

- 2.4.1 Membership Fees. The Registrar Stakeholder Group has the right to require membership fees, which shall be proposed by the Executive Committee, in accordance with the fiscal needs of the Registrar Stakeholder Group and §10.1.
- 2.4.2 Payment of Fees. Approved or existing Members are expected to pay the annual membership fees, within a fixed period stipulated on the invoice, to begin or continue participating in the Registrar Stakeholder Group. After this time a limited extension on the payment period can be granted to enable payment of the membership fees, although existing Members may be charged a late fee. If payment is not received within the stipulated extension dates, existing Members will then lose all their rights and privileges. The Treasurer will provide notice of removal to the Member Representative at least five (5) business days prior to any such removal.

2.5 Applications for Membership and Eligibility Renewal.

- 2.5.1 Member Application, Eligibility and Voting Status. All prospective Members must complete a Membership Application Form, which the Executive Committee shall utilize for the purpose of confirming eligibility and voting status in accordance with this Clause 2. The information provided, once initially approved by the Executive Committee, will be held on record. The Executive Committee will periodically check that the information is up to date to ensure each Member's continued eligibility and voting status. If a Member's circumstances change in any way that may impact eligibility or voting status, in particular with regard to ownership or affiliation with another Stakeholder Group or Constituency in the Generic Names Supporting Organization, the Secretary should be informed in writing. If, after consultation with the applicable Member, the Executive Committee subsequently determines that the Member's eligibility or voting status should be changed, it will formally notify the Member.
- 2.5.2 Effective Date. Membership and voting status are effective upon written notification from the Executive Committee to the affected Member.

3.0 Stakeholder Group Leadership: Executive Committee.

3.1 Composition.



Registrar Stakeholder Group Charter (v6.0)

The Registrar Stakeholder Group will have an Executive Committee comprised as follows:

3.1.1 Officers.

- a. A Chair;
- b. A Vice-Chair for Technical Operations;
- c. A Vice-Chair for Policy Coordination;
- d. A Secretary; and
- e. A Treasurer.

3.2 **Eligibility and Elections.**

3.2.1 To be eligible for an Executive Committee position:

- a. The Member must be in good standing according to the Articles §2.1 – 2.4
- b. The Member may not be owned by, or under common ownership or affiliated with, any entity which holds an elected position and/or votes in another Stakeholder Group, Constituency, Supporting Organization or Advisory Committee within ICANN;
- c. A candidate must be a Designated Representative of a Voting Member (see §2.2) of the Registrar Stakeholder Group; and
- d. An eligible Designated Representative of a Voting Member may only hold one Officer, Council Representative or Nominating Committee Delegate position within the Registrar Stakeholder Group at one time. Each Voting Member may fill one Officer position in addition to one Council Representative or Nominating Committee Delegate position within the Registrar Stakeholder Group simultaneously.

3.2.2 All Executive Committee positions shall be elected by the Members as provided in Clause 6.0.

3.2.3 If there is any question or disagreement regarding whether a Designated Representative of a Voting Member is eligible to serve in any elected position, it shall be investigated by the Executive Committee, who will then confirm if the potential candidate is eligible.

3.3 **Executive Committee Term Limits.**

3.3.1 Officers of the Executive Committee will be elected for staggered two-year terms which run concurrently with the fiscal year.

3.3.2 Officers may serve no more than two (2) consecutive terms in the same position.



Registrar Stakeholder Group Charter (v6.0)

- 3.3.3. An Officer who has served two (2) consecutive terms on the Executive Committee must remain out of office for one (1) full term prior to serving any term within the Registrar Stakeholder Group Executive Committee.

3.4 Vacancies.

- 3.4.1 If at any point in time an Executive Committee Officer (a) leaves the Registrar Stakeholder Group, (b) resigns, (c) is terminated for cause, (d) is recalled by the Member, (e) has his/her membership rights/privileges suspended or revoked, or (f) becomes ineligible for Registrar Stakeholder Group Membership as per the criteria set forth in § 2.1, he/she shall vacate the office upon the effective date of the action.
- 3.4.2 If the office of the Chair becomes vacant, then one of the two Vice-Chairs shall become acting Chair until the end of the current term or, at the Executive Committee's discretion, until an election for the Chair can be held. If neither of the Vice-Chairs are able or willing to serve in this capacity, then the Executive Committee shall unanimously select another Executive Committee Officer to serve as acting Chair. If the Executive Committee is unable to select another Executive Committee Officer to serve as acting Chair unanimously, the decision will be made via a Simple Majority Vote of the full Registrar Stakeholder Group Membership.
- 3.4.3 If a vacancy occurs with respect to an Executive Committee Officer other than the Chair, with:
- a. Six (6) or more months left in the term, the Chair shall direct the Executive Committee to hold an election to replace the individual in accordance with the procedures described in §6.2; or
 - b. Less than six (6) months left in the term, the Chair, in consultation with the Executive Committee, shall appoint an individual to fill the vacancy until the term is expired.

3.5 Officer Duties.

Officers will act impartially, treat all Members equally and fairly, and be accountable to the Registrar Stakeholder Group membership for the conduct of the Registrar Stakeholder Group's business.

The duties and functions outlined below are the intended functions for each Elected and/or Appointed Officer, but when circumstances require, Executive Committee Officers may assume the duty/duties of other Executive Committee Officers as warranted.

Executive Committee Officers may also arrange for some of the following duties and functions to be performed by contracted services and/or ICANN Staff, as necessary.



Registrar Stakeholder Group Charter (v6.0)

- 3.5.1 On behalf of the Registrar Stakeholder Group membership, the Chair will:
- a. Act as a neutral facilitator of Registrar Stakeholder Group meetings and teleconferences and conduct them in an open and transparent manner, including those held during the ICANN public meetings;
 - b. Oversee the agendas and meeting schedules for the Executive Committee and the Registrar Stakeholder Group;
 - c. Collaborate with the Executive Committee in coordinating the overall activities of the Registrar Stakeholder Group;
 - d. Act as spokesperson for the Registrar Stakeholder Group including representing official Registrar Stakeholder Group positions determined by the Membership;
 - e. Encourage and facilitate the development of Registrar Stakeholder Group consensus on issues and decisions that come before the membership;
 - f. Liaise with other Generic Names Supporting Organization Stakeholder Groups and Constituencies, ICANN Supporting Organizations, ICANN Advisory Committees, the ICANN Board, and ICANN Staff as warranted and appropriate;
 - g. Participate in outreach, recruiting, and networking efforts;
 - h. Ensure that timelines and standards for the work of the officers and committees are set and met; and
 - i. Report activities of interest and importance to the Registrar Stakeholder Group on a regular basis, but no less than every ninety (90) calendar days.
- 3.5.2 On behalf of the Registrar Stakeholder Group membership, the Vice-Chair for Policy Coordination will:
- a. Act as Chair in situations when the Chair is temporarily unable or unavailable to do so in coordination with the Vice-Chair for Technical Operations;
 - b. Manage the development of Registrar Stakeholder Group policy positions intended for the wider ICANN audience to meet prescribed timelines and deadlines;
 - c. Encourage and facilitate consensus among Members while creating mechanisms to properly and accurately reflect minority positions in Registrar Stakeholder Group policy development;
 - d. Recommend to the Executive Committee, when appropriate, the formation of new policy related working groups as well as the dissolution of completed and/or redundant groups;

Registrar Stakeholder Group Charter (v6.0)

- e. Assist with the identification and recruitment of Registrar Stakeholder Group representatives to serve on Generic Names Supporting Organization working groups or drafting teams;
- f. Note policy activities and report items of interest to the Registrar Stakeholder Group on a regular basis, but no less than every ninety (90) calendar days, including the work of: Generic Names Supporting Organization working groups, drafting teams, or other decision-making teams convened by the Executive Committee to address policy issues;
- g. Coordinate with the Council Representatives to be aware of any upcoming Generic Names Supporting Organization Council motions for which a Council Representative will be unable to vote or intends to abstain and be prepared to recommend to the Chair whether a voting remedy should be exercised;
- h. Recommend to the Registrar Stakeholder Group membership practical policy and voting strategies for its elected Council Representatives;
- i. Coordinate with the Registries Stakeholder Group and the Contracted Parties House of the Generic Names Supporting Organization and ICANN community concerning policy issues of mutual interest in coordination with the Vice-Chair for Technical Operations; and
- j. Monitor, report and make recommendations regarding legislation and regulations affecting the registrar community.

3.5.3 On behalf of the Registrar Stakeholder Group membership, the Vice-Chair for Technical Operations will:

- a. Act as Chair in situations when the Chair is temporarily unable or unavailable to do so in coordination with the Vice-Chair for Policy Coordination;
- b. Manage the development of Registrar Stakeholder Group technical and operational positions intended for the wider ICANN audience to meet prescribed timelines and deadlines;
- c. Encourage and facilitate consensus among Members while creating mechanisms to properly and accurately reflect minority positions in technical and operational discussion;
- d. Recommend to the Executive Committee, when appropriate, the formation of new technical and operations related working groups as well as the dissolution of completed and/or redundant groups;
- e. Assist with the identification and encourage Registrar Stakeholder Group representatives to discuss outputs of technical impact on Generic Names Supporting Organization working groups or drafting teams;
- f. Report technical & operational activities of interest and import to the Registrar Stakeholder Group on a regular basis, but no less than every ninety (90) calendar days, including the work of: Generic Names Supporting Organization working groups,



Registrar Stakeholder Group Charter (v6.0)

drafting teams, or other decision-making teams convened by the Executive Committee to address technical & operational issues; and

- g. Coordinate with the Registries Stakeholder Group, the Contracted Parties House of the Generic Names Supporting Organization and ICANN community concerning technical & operational issues of mutual interest, in coordination with the Vice-Chair for Policy Coordination.

3.5.4 On behalf of the Registrar Stakeholder Group membership, the Treasurer will arrange for the following administrative functions to be provided, which may be performed by contracted services (e.g., Secretariat), or one or more Executive Committee Officers:

- a. Manage Registrar Stakeholder Group bookkeeping, accounting, banking relationship(s), and membership fees collection;
- b. Make recommendations for and prepare an annual Registrar Stakeholder Group budget in accordance with Article 3.6.2;
- c. Liaise with ICANN's finance department and/or other appointed budget committee(s);
- d. Seek sources of support from ICANN pursuant to Clause 10.0;
- e. Ensure that the financial operations of the Registrar Stakeholder Group conform to generally accepted accounting practices and that any Secretary function administers expenditures in accordance with the budget and funding;
- f. Report to the Members of the Registrar Stakeholder Group at the end of each annual budget period concerning all funding and expenditures during that year and post to the Registrar Stakeholder Group Distribution List as approved by the Executive Committee; and
- g. Provide *ad hoc* financial status reports when called upon to do so during interim formal reporting periods.

3.5.5 On behalf of the Registrar Stakeholder Group membership, the Secretary will arrange for the following administrative functions to be provided, which may be performed by contracted services (e.g., Secretariat), ICANN Staff, or one or more Executive Committee Officers:

- a. Take, maintain, and publish in a timely manner, minutes/action items of Registrar Stakeholder Group meetings and facilitate communications of and within the Registrar Stakeholder Group pursuant to §8.1.3;
- b. Encourage new ICANN-Accredited Registrars to join the Registrar Stakeholder Group;
- c. Establish and manage all communications facilities as detailed on Registrar Stakeholder Group Website/Web presence.;
- d. Establish and maintain the Registrar Stakeholder Group web presence(s) including publication of Member information as prescribed in §7.1.1;



Registrar Stakeholder Group Charter (v6.0)

- e. Provide timely notice on the Distribution List (see §7.2.1) of all Registrar Stakeholder Group meetings, agendas, minutes/action items, reports to the membership, and formal Registrar Stakeholder Group positions and/or statements;
- f. As directed by the Executive Committee, manage elections according to §6.2 including the posting of Notices of Election and Requests for Nominations to the Distribution List;
- g. Maintain all records, databases, and documents, including archives, of the Registrar Stakeholder Group for at least a 4-year period within limits of applicable laws and as directed by ICANN;
- h. Support Registrar Stakeholder Group committees and/or working groups as and when established according to this Charter;
- i. Support the Executive Committee and any other standing committees established according to this Charter;
- j. Coordinate in-person and telephone meetings and associated outreach activities;
- k. Respond to Member and prospect inquiries;
- l. Administer membership fees and other budgeted expenditures, as requested by the Executive Committee, including periodic financial reporting to the Treasurer;
- m. Coordinate with ICANN Staff; and
- n. Act as a liaison between ICANN Staff and Registrar Stakeholder Group participants in ICANN groups.

3.6 Executive Committee Officers Duties.

The Executive Committee is tasked with fulfilling the Registrar Stakeholder Group mission through its operational and administrative leadership, management, supervision, and coordination. The Executive Committee may divide its duties and responsibilities among the Executive Committee Officers as it sees fit and conduct its business as it deems necessary. The Executive Committee will:

3.6.1 Conduct Elections. In accordance with §6.2, the Executive Committee will:

- a. Direct the Secretary to:
 - i. Announce a call for candidate nominations;
 - ii. Establish a list of those Members eligible to vote in such election including their Voting Representative; and
 - iii. Collect and post, via the Distribution List, statements of qualifications and intentions of all candidates on the ballot.
- b. Establish and oversee a secure, confidential, and accurate balloting procedure; and
- c. Notify Members of the results in a timely and transparent manner.



Registrar Stakeholder Group Charter (v6.0)

- 3.6.2 Manage Funding and Expenditures. The Executive Committee will:
- a. Approve and monitor Registrar Stakeholder Group funding from ICANN, Members, individuals and organizations that are not Members;
 - b. Approve reports on expenditures at the end of each budget period and ensure that records and accountings are maintained, as necessary, to satisfy the requirements of any funding source and/or ICANN;
 - c. Authorize exceptional expenditures not foreseen in the budget; and
 - d. Evaluate and approve any action related to an application of hardship concerning Registrar Stakeholder Group membership fees.
- 3.6.3 Make Appointments. The Executive Committee will confirm appointments or establish elections for Registrar Stakeholder Group candidates, as requested, to serve on, or liaise with, other ICANN structures, including the ICANN Nominating Committee.
- 3.6.4 Establish Additional Committees and Working Groups.
- a. The Executive Committee, acting at its sole discretion or upon a request from an Registrar Stakeholder Group Member, may propose to the membership the establishment of additional temporary or permanent (e.g., standing) committees or working groups. The Executive Committee shall post such a proposal on the Distribution List. The proposal will:
 - i. Explain the need for and intended purpose of such group;
 - ii. Describe group formation criteria, participation and eligibility requirements, functions, and procedures; and
 - iii. Aim to have the group formed within thirty (30) calendar days after the proposal is posted. If three (3) or more Members request, via the Distribution List, that the Executive Committee's decision to create a new committee or working group be put to Member vote, the Executive Committee shall conduct a vote in accordance with the procedures set forth in Clause 6.0.
 - b. Volunteers. The Secretary shall post, via the Distribution List, a call for volunteers to serve on newly created committees or working groups before the first meeting is scheduled.
- 3.6.5 Resolve Disputes. The Executive Committee will hear and resolve Member disputes in a timely manner including matters of conflicts of interest.
- 3.6.6 Perform with Diligence and Loyalty. Executive Committee Officers have a duty to perform their roles with diligence and loyalty to the Registrar Stakeholder Group and will promptly disclose any and all conflicts of interest in a timely fashion, recusing themselves from discussions and decisions



Registrar Stakeholder Group Charter (v6.0)

whenever there is an actual conflict or offering to recuse themselves in situations which could be perceived to be a conflict.

- a. During the term of elected office, Executive Committee Officers are required to ensure that their Statements Of Interest are current and accurate and that all current Affiliations are declared. If any action requires an Executive Committee Officer to modify his/her Statement of Interest, the revised Statement of Interest must promptly be forwarded in writing to the Executive Committee.
- b. An Executive Committee Officer shall recuse him/herself in the event that any action or decision, such as a motion or election, may result in a conflict of interest based upon the revised Statement of Interest disclosure.

3.6.7 Support Outreach and Education. The Executive Committee will:

- a. Devise and conduct recruitment and outreach programs/efforts; and
- b. Cooperate to create and support opportunities for the Members to keep current with literature, research, and discussion of policies being developed within ICANN.

3.6.8 Decisions. All members of the Executive Committee will participate faithfully in making decisions. A quorum of at least two-thirds (2/3) of the members of the Executive Committee is required for making decisions not otherwise delegated to an individual officer. Wherever possible, decisions will be made by consensus; however, if the Executive Committee cannot resolve a matter through consensus, the Chair shall conduct a vote in which a Simple Majority will prevail. All members of the Executive Committee, including the Chair, have a vote. In the case of a tie, the Chair's vote is decisive; however, at the Chair's option, the Executive Committee may conduct a vote of the Members.

3.6.9 Membership: The Executive Committee will:

- a. Administer and enforce, where necessary, the Registrar Stakeholder Group's membership eligibility requirements as provided in Clause 2.0;
- b. Receive and review new Member applications and, if the information in the application is insufficient to warrant acceptance, notify the applicant and request additional information;
- c. Establish and monitor compliance with the new Member application process, assuring itself of the qualifications of any applicant both at the time of submission and at any time thereafter based on presentation of documented concerns about eligibility as described in §2.4.1;
- d. Accept and welcome new Members who qualify in accordance with this Charter;
- e. Ensure that a list (or database) of Members, including appropriate contact information, is maintained and published on the Registrar Stakeholder Group's web presence(s);



Registrar Stakeholder Group Charter (v6.0)

- f. Determine the voting status of Members as defined in Clause 2.0 including assessment of the number of geographic regions in which a Member is based;
- g. Conduct reviews upon request (see §2.4.1) or if there is a change in the circumstances of the Member that may impact eligibility status or if the Member or any of its Designated Representatives allegedly engages in behavior inconsistent with this Charter; and
- h. Recommend amendments, when deemed appropriate, to Member eligibility criteria, voting status, the membership application form/process, the nature and amount of information necessary to evaluate Member eligibility/status, and any other requirements pertaining to Registrar Stakeholder Group membership.

3.7 Executive Committee Accountability.

- 3.7.1 Minimum Participation and Availability Requirements. An Elected Officer must strive to regularly participate in Meetings or conference calls; throughout the duration of the elected term (where Meetings” refer to ICANN Public Meetings, Registrar Stakeholder Group online meetings and face-to-face Registrar Stakeholder Group Meetings).
 - a. An exception may be allowed if:
 - The Officer provided adequate notice, appropriate to the circumstances, as determined by a Simple Majority vote of Executive Committee Officers; or
 - The Officer’s continued service to the Registrar Stakeholder Group is deemed to be important and not reasonably fulfilled by another available representative; or
 - A majority of the Executive Committee Officers holds a reasonable expectation that the Officer will be available for forthcoming meetings.
- 3.7.2 Removal From Office. If a Registrar Stakeholder Group Member Representative files a complaint or the Chair is notified that an Executive Committee Officer, Council Representative or Nominating Committee Delegate, has failed to faithfully perform the duties of the office, including satisfying attendance and/or participation requirements related to his/her position, the Executive Committee shall conduct an investigation requesting supporting information with respect to the alleged deficiency. Any Registrar Stakeholder Group Member Representative may request the Executive Committee to replace any Executive Committee Officer, Council Representative and/or Nominating Committee Delegate, who fails to meet the Executive Committee accountability requirements itemized in Article 3.7 and Clause 4.0.
 - a. As an initial step in the investigation, the Executive Committee will communicate in writing with such individual outlining the deficiency and providing an opportunity for the individual to respond, within fourteen (14) calendar days, to the particulars including rationale and/or remedy.



Registrar Stakeholder Group Charter (v6.0)

- b. If the individual fails to respond or the response (a) does not commit to remedy the deficiency or (b) does not provide a rationale convincing to the Executive Committee, the Executive Committee will ask the affected member to voluntarily resign from office within fourteen (14) calendar days.
- c. If the individual does not resign within the prescribed period, the Executive Committee will initiate the process for a Simple Majority Vote of Voting Members to recall such Executive Committee Officer, Generic Names Supporting Organization Council Representative and/or Nominating Committee Delegate. If the majority of the membership supports the recall:
 - i. The Executive Committee shall formally notify the individual of removal from office;
 - ii. A message may be copied to the Distribution List by the Chair stating that the individual is being removed pursuant to this Article; and
 - iii. The Executive Committee shall call an election of the Registrar Stakeholder Group Membership to fill such vacancy.

4.0 Generic Names Supporting Organization Council Representatives and Nominating Committee Delegate.

4.1 Council Representative Positions and Eligibility.

- 4.1.1 As specified in the [ICANN Bylaws](#) the Registrar Stakeholder Group will select three (3) Council Representatives to each serve a two-year term on the Generic Names Supporting Organization Council.
- 4.1.2 The Registrar Stakeholder Group's Council Representatives will act on the Generic Names Supporting Organization Council as representatives of and spokespersons for the Registrar Stakeholder Group.
- 4.1.3 The three (3) Generic Names Supporting Organization Council Representatives should normally be from three (3) different geographic regions. In accordance with 6.2.3.c, when a Council Representative position becomes available, only candidates from regions not already represented can be nominated and only if no candidates are found after further extending the nomination period, can candidate(s) from a region already represented be nominated.
- 4.1.4 To be eligible for the Generic Names Supporting Organization Council Representative positions:
 - a. Members must be in good standing according to the Articles §2.1 – 2.4
 - b. A candidate must be a Designated Representative of a Voting or Non-Voting Member (see §2.2) of the Registrar Stakeholder Group; and
 - c. An otherwise eligible Designated Representative of a Voting or Non-Voting Member may not concurrently hold an elected office or Council Representative position within



Registrar Stakeholder Group Charter (v6.0)

the Registrar Stakeholder Group. Each Member may only fill one elected position within the Registrar Stakeholder Group simultaneously as per § 3.2 .

4.2 Council Representative Terms and Regional Representation.

- 4.2.1 The Registrar Stakeholder Group’s Council Representatives will be elected to serve staggered two-year terms under the rules for elections in §6.2 and as per the [ICANN Bylaws](#).

4.3 Council Representative Duties and Obligations.

- 4.3.1. Stakeholder Group Participation. Each Council Representative shall actively and faithfully participate in developing administrative and policy positions and represent the Registrar Stakeholder Group at large rather than his/her respective Member or Registrar Family.
- 4.3.2 Generic Names Supporting Organization Council Participation. Each Council Representative shall actively and faithfully participate in the activities of the Generic Names Supporting Organization Council and in advancing the goals of the Registrar Stakeholder Group in every aspect of the Generic Names Supporting Organization’s administrative and policy development processes. In particular, Council Representatives are expected to adhere to the following obligations:
- a. Active participation: A Council Representative is expected to actively participate in the regular affairs of the Generic Names Supporting Organization Council including, inter alia, attending its scheduled meetings, staying abreast of the technical and administrative agenda, engaging in relevant email and live discussions, reading minutes, evaluating reports, listening to meeting recordings (in the event of absence), voting responsibly on all matters before the Council, and, when requested, periodically reviewing the performance of the Council Chair and Vice-Chairs.
 - b. Reasonable inquiry: Council Representatives shall request and receive sufficient information, including support from the Registrar Stakeholder Group, as appropriate, so that they may carry out their responsibilities. When a problem manifests itself or some issue does not make sense, a Councilor has a duty to inquire into the surrounding facts and circumstances and seek guidance from available Registrar Stakeholder Group resources (e.g. Chair, Vice-Chairs, Members), in advance of any consequential discussions, decisions, or votes.
- 4.3.3 Communication. Each Council Representative shall inform the Vice-Chair for Policy Coordination, in a timely manner, but no less than every thirty (30) calendar days, of:
- a. The initiation of a new working group, drafting team, committee or Policy Development Process within ICANN;



Registrar Stakeholder Group Charter (v6.0)

- b. The content of working group charters;
- c. Any formal motion made by a Generic Names Supporting Organization Council Representative, wherever practicable, at least seven (7) calendar days in advance of the scheduled vote; and
- d. Any other matter reasonably pertinent to permitting the full involvement in ICANN policy development by Registrar Stakeholder Group Members.

4.3.4 Registrar Stakeholder Group Positions. Each Council Representative shall represent on the Generic Names Supporting Organization Council the goals and priorities of the Members to the best of his/her ability and in accordance with the following principles:

- a. Positions that are formally adopted within the Registrar Stakeholder Group, as described in clause 6.0, are presumptively binding on Council Representative votes. This presumption may be rebutted only with the consent of the Members and in the event of very significant countervailing concerns, which must be disclosed to the Members.
- b. On motions, votes, and other matters for which an Registrar Stakeholder Group position has not been formally established, Council Representatives are required to proactively consult with the Executive Committee as far in advance as is practicable. The Executive Committee shall determine if specific guidance should be provided to Council Representatives consonant with the Members' interests.
- c. In the absence of a formally adopted position or specific direction from the Executive Committee, Council Representatives are authorized to vote on Generic Names Supporting Organization Council matters as they think best with a reasonable effort to reflect the positions held by Members of the Registrar Stakeholder Group.

4.3.5 Abstention, Absence, and Vacancy. It is important that votes of the Registrar Stakeholder Group be registered, through its elected Council Representatives, on every matter of significance that comes before the Generic Names Supporting Organization Council for action. For Council Representative occurrences of abstention, planned absence, and vacancy, the Registrar Stakeholder Group intends to utilize the voting remedies provided in the [Generic Names Supporting Organization Operating Procedures](#), which include Voting Direction, Proxy, and Temporary Alternate.

- a. Abstention. In the event that a Council Representative experiences a circumstance requiring a volitional or obligational abstention, as described in [the Generic Names Supporting Organization Operating Procedures](#), the Council Representative must notify the Executive Committee as far in advance as practicable. The Executive Committee, coordinating with the Vice-Chair for Policy Coordination, will decide whether or not to utilize a prescribed remedy of Voting Direction or Proxy. For these two remedies, there is a requirement that the Registrar

Registrar Stakeholder Group Charter (v6.0)

Stakeholder Group establish a position on the matter concerned. In the event that the Registrar Stakeholder Group does not have a formally adopted position (§4.3.4-a) and there is insufficient time to develop one using its normal procedures (§6.3):

- i. For matters involving policy positions, the Chair, with the concurrence of the Vice-Chair for Policy Coordination, may interpret the Registrar Stakeholder Group's position using their best judgment so that a voting remedy may be exercised.
 - ii. For non-policy motions/votes, the Chair, with the concurrence of the Vice-Chair for Policy Coordination, may interpret the Registrar Stakeholder Group's position using their best judgment so that a voting remedy may be exercised.
- b. Planned Absence. When a Council Representative expects to be unable to attend a Generic Names Supporting Organization Council meeting, in whole or in part, the Council Representative is expected to notify the Executive Committee as far in advance as practicable. Consistent with §4.3.5-a, the Executive Committee will determine whether to utilize the Proxy voting remedy as provided in [the Generic Names Supporting Organization Operating Procedures](#).
 - c. Extended Absence or Vacancy. Under circumstances which will cause a Council Representative to miss multiple Generic Names Supporting Organization Council meetings or otherwise be unable to fulfill his/her duties and obligations for an extended period, the Executive Committee may identify one or more Members who satisfy the [Generic Names Supporting Organization Operating Procedures](#) criteria and can be called upon to serve as a Temporary Alternate (§4.5.3-c).
 - d. Unplanned Absence. Because unplanned absences, by definition, do not permit sufficient opportunity or time to apply a voting remedy, they are to be minimized. Council Representatives who more than occasionally fail to attend Generic Names Supporting Organization Council meetings in whole or in part, for any reason, without providing the Executive Committee sufficient advance notice to evaluate and, at its option, execute a voting remedy, may be subject to removal as per §3.7.2.
 - e. Communication to Members. Any Executive Committee judgment(s) applied under §4.3.5 must be communicated to the Members as soon as practicable after the decision is made.

4.3.6 Removal From Office: Generic Names Supporting Organization Council Representatives who fail to meet duties and obligations as specified in 4.3 may be recalled from office as per procedures outlined in 3.7.2.

4.4 Nominating Committee Delegate Position and Term.



Registrar Stakeholder Group Charter (v6.0)

There shall be a Nominating Committee of ICANN, responsible for the selection of all ICANN Directors except the President and those Directors selected by ICANN's Supporting Organizations, and for such other selections as are set forth in Article 8 of the [ICANN Bylaws](#).

4.4.1 As specified in the [ICANN Bylaws](#) there shall be one voting delegate from the Registrar Stakeholder Group in the Nominating Committee.

4.4.2 Each voting delegate shall serve a one-year term.

4.4.3 A delegate may serve at most two successive one-year terms, after which at least two years must elapse before the individual is eligible to serve another term.

4.4.4 The regular term of each voting delegate shall begin at the ICANN annual meeting and shall end at the conclusion of the immediately following ICANN annual meeting.

4.4.5 Vacancy. Any vacancy occurring during the Nominating Committee Delegate's term shall be handled by the Registrar Stakeholder Group as per the vacancy rules outlined for Executive Committee members in Article 3.4.3.

4.5 Nominating Committee Delegate Eligibility

Only Voting Members of the Registrar Stakeholder Group are eligible to stand on ICANN's Nominating Committee as appointed by the Registrar Stakeholder Group. Delegates to the ICANN Nominating Committee shall also meet eligibility requirements as noted in the [ICANN Bylaws](#).

4.6 **NomCom Duties and Obligations:**



Registrar Stakeholder Group Charter (v6.0)

- 4.6.1 Attend all three NomCom face-to-face meetings, normally scheduled during ICANN's conferences. In the event of schedule conflicts with non-NomCom meetings, priority should be given to the NomCom meetings;
- 4.6.2 Attend all teleconferences of the NomCom;
- 4.6.3 Participate in NomCom's outreach for soliciting potential candidates; and
- 4.6.4 Keep the Registrar Stakeholder Group informed of NomCom activities and milestones to the extent allowed under the confidentiality obligations of the NomCom.

4.7 NomCom Removal from Office:

- 4.7.1 Nominating Committee Delegates who fail to meet duties and obligations as specified in 4.7 and in the [ICANN Bylaws](#) may be recalled from office as per procedures outlined in 3.7.2.

5.0 Other Temporary or Standing Committees.

5.1 General Provisions.

- 5.1.1 Chair Responsibilities. The members of each committee, working group, drafting team and other groups formed within the Registrar Stakeholder Group, shall elect a Chair who, among other duties mentioned elsewhere in this Charter, will:
 - a. Schedule meetings and develop agendas;
 - b. Conduct deliberations consistent with the consensus stipulations in §6.1;
 - c. Keep and publish (or direct others to keep and publish) minutes/action items of committee meetings and records of committee actions, which shall be made available on request on the Distribution List (§7.2.1); and
 - d. Report to and involve Registrar Stakeholder Group Members in the activities of the committee, as appropriate.
- 5.1.2 Conflicts of Interest. Committee members have a duty to perform their roles with diligence and loyalty to the Registrar Stakeholder Group and will promptly disclose any and all conflicts of interest in a timely fashion, recusing themselves from discussions and decisions whenever there is an actual conflict or offering to recuse themselves in situations which could be perceived to be a conflict.



Registrar Stakeholder Group Charter (v6.0)

6.0 Decision-Making, Elections, and Policy Positions.

6.1 Decision-Making.

- 6.1.1 Commitment to Consensus. The Registrar Stakeholder Group, its various committees, working groups, drafting teams, and other deliberative bodies, shall endeavor to decide issues by general agreement whenever practicable. Formally chartered working groups, in particular, should follow the decision-making practices specified in the [Generic Names Supporting Organization Operating Procedures](#), Annex 1, entitled “Generic Names Supporting Organization Working Group Guidelines.” Except for elections (§6.2) and written policy development positions (§6.3), voting shall be relied upon only to the extent that is necessary in cases where general agreement cannot be reached.
- 6.1.2 Stakeholder Group, Committee, Group, and Team Voting. After all reasonable attempts to reach consensus have been exhausted, the Chair may call for a vote following these general guidelines:
- a. A decision may be considered carried if Simple Majority is reached.
 - b. Voting shall be conducted via electronic voting.

6.2 Elections.

- 6.2.1 Announcement. In the event that a Registrar Stakeholder Group leadership position becomes available, the Secretary shall post a Notice of Election and Request for Nominations on the Distribution List within a reasonable time prior to the election date. The Secretary will run all election processes and use online voting systems to facilitate participation within the Registrar Stakeholder Group. Leadership positions include: Executive Committee Officers, Council Representatives and Nominating Committee Delegates.
- 6.2.2 Eligibility. At the start of the election cycle, the Secretary shall declare the geographic regions of the Council Representative positions that are eligible for election.
- a. Only the Designated Representatives of Voting Members can be nominated for Executive Committee Officer or Nominating Committee Delegate position. A Designated Representative of any Member can be nominated for a Council Representative position.
 - b. Any eligible Designated Representative nominated for elected office must complete a Statement of Interest form, as documented in the [Generic Names Supporting Organization Operating Procedures](#), and provide its reference (URL) to the Registrar Stakeholder Group Distribution List.



Registrar Stakeholder Group Charter (v6.0)

- c. Conflicts of interest must be disclosed within the Statement of Interest or published separately by a nominee prior to the commencement of an election.
- d. Failure to complete a Statement of Interest prior to an election will be deemed sufficient basis for the Executive Committee to disqualify a nominee from further consideration as a candidate.

6.2.3 Nominations and Candidates.

- a. The Secretary shall accept nominations for a period of no less than two (2) calendar days but no more than seven (7) calendar days. The Chair, Vice-Chair for Policy Coordination, Vice-Chair for Technical Operations, Secretary, and Treasurer will be elected at the same time except in the case of an interim vacancy, which shall be handled according to Article 3.4. The election cycle for Council Representatives will be determined based on the [Generic Names Supporting Organization Operating Procedures](#). Nominating Committee Delegates will be elected based on staggered terms as per the ICANN Bylaws. Candidate nominations will be published on the Distribution List upon the close of this period. If no nominations are received, the Executive Committee will extend the nomination period by a maximum of twenty-one (21) calendar days to allow for nominees to come forward for all vacant positions.
- b. Any Designated Representative of a Voting Member of the Registrar Stakeholder Group in good standing may nominate a Designated Representative of a Voting Member for the Executive Committee Officers, and Nominating Committee Representatives positions, and a Designated Representative of a Voting or one Non-Voting Member one of the Generic Names Supporting Organization Councilor positions, by submitting the candidate's name to the Registrar Stakeholder Group Distribution List. The nomination must be seconded by at least one (1) other Designated Representative who is not in the same Registrar Family as the candidate. One Non-Voting Member is eligible for nomination for a Generic Names Supporting Organization Council Representative position only per term.
- c. In the event that there are no nominees for a Council Representative position who represent the eligible geographic region(s), the nomination period shall be extended by a maximum of twenty-one (21) calendar days to further allow nominees from these region(s) to apply. To provide reasonable flexibility, candidates who are citizens of a country in one geographic region, but have been domiciled in another geographic region for at least five (5) years may be associated with either region as specified in their Statement of Interest (§6.2.2). If after the maximum twenty-one (21) days there is still no candidate(s) from the eligible geographic region(s), in accordance with 4.1.3, candidate(s) from a region already represented can be nominated.
- d. When a nomination is received, the Executive Committee will (i) conduct a review to confirm the candidate satisfies the eligibility requirements for their position and (ii) report any discrepancies to the candidate to allow them to update their Statement of Interest and, if applicable, withdraw their candidacy, prior to the close of the nomination period.



Registrar Stakeholder Group Charter (v6.0)

- e. Within two (2) business days of the nomination, or by the close of the nomination period, whichever occurs later, the nominee must accept the nomination and submit to the Registrar Stakeholder Group Distribution List a reference (URL) to a completed Statement of Interest (see §6.2.2-a).

6.2.4 Candidate Discussion. Upon the close of the of nomination period, the Secretary will submit the list of nominees and announce the start of the Discussion of Candidates period to the Registrar Stakeholder Group Distribution List. This period of time shall occur for a minimum of three (3) calendar days but no greater than seven (7) calendar days. The Secretary will notify the Registrar Stakeholder Group upon completion of the Discussion of Candidates period via email to the Registrar Stakeholder Group Distribution List.

6.2.5 Voting.

- a. Within three (3) calendar days after the close of discussion period, the Secretary will arrange for an electronic ballot to be sent and publish the opening and closing dates for the election on the Distribution List.
- b. An election period will be open for voting for no less than five (5) calendar days, but no more than ten (10) calendar days, during which Registrar Stakeholder Group Voting Member Member Representatives will cast their ballots electronically. During this time, advocating and/or campaigning for any candidates, whether on or off the Registrar Stakeholder Group's Distribution List, shall be suspended.
- c. Each Registrar Stakeholder Group Voting Member Member Representative eligible to vote is accorded one (1) vote which is not divisible. Registrar Families are allowed only one (1) Voting Member Representative. Only members in good standing shall have voting rights. If two (2) or more active Members become Affiliated Registrars, they shall only have one (1) vote from that point on, without regard to Registrar Stakeholder Group fees already paid. Any disagreement regarding whether a Member is considered an Affiliated Registrar of another Member shall be decided by a Simple Majority vote of the Member Representatives, as per Clause 2.0.
- d. Voting Member Member Representatives shall retain the right to formally abstain during any vote. Formal abstentions are included in the total votes cast but do not count as a vote against a candidate or motion.
- e. The winner(s) will be the candidate(s) receiving the largest number of votes.
- f. In case of a tie among those candidates receiving the most votes, an additional one-week election period will be held between the tied nominees. Such election shall occur no later than one week after the tie is determined.
- g. The Secretary shall publish vote results on the Distribution List including the number of votes cast per candidate, and the names of Voting Members who cast votes.

6.2.6 Proxy. A Voting Member may appoint a proxy for a specific vote in the Registrar Stakeholder Group. The proxy must fulfill the conditions of appointment as an Member Representative or be another Member's Member Representative within the Registrar



Registrar Stakeholder Group Charter (v6.0)

Stakeholder Group. Notification of a proxy must be made in writing to the Secretary at least one calendar day prior to the start of the election.

6.3 Developing a Written Policy or Position.

- 6.3.1 The Registrar Stakeholder Group aims to address and, where appropriate (for example with ICANN public comments or Registrar Accreditation Agreement Amendment Reviews), make a public statement on any issue that is considered of interest to registrars. In order to facilitate this, a nominated individual or team of volunteer participants can be made responsible for deciding what should be commented on, and/or preparing a draft statement.

All members should be given the opportunity to review the draft statement, discuss any required amendments and come to a consensus on the final version.

- 6.3.2 Consensus for written policies or positions. An effort should be made to reach general consensus on any statement that the Registrar Stakeholder Group will make public, via discussion on the Distribution List, in accordance with Article 6.1.1.

If there is continuing dissent the Executive Committee may move the process forward in one of the following two ways:

- a. The statement will be signed only by those Member Representatives that support it and will not be submitted on behalf of the entire Registrar Stakeholder Group; or
- b. A vote, requiring a Simple Majority, will be held to decide if the statement will be submitted or not in its current form on behalf of the Registrar Stakeholder Group.

6.4 General Membership Voting.

- 6.4.1 Announcement. In the event that a general membership vote is required, such as when a Registrar Stakeholder Group position is drafted as per Article 6.3.1, or a budget vote is required as per Article 10.1, the Chair shall post a Notice of Vote on the Distribution List within a reasonable time prior to a procedural or position deadline. The Secretary will run all vote processes and use online voting systems to facilitate participation within the Registrar Stakeholder Group.
- 6.4.2 Eligibility. Only Voting Member Member Representatives may cast votes in general membership voting.

Registrar Stakeholder Group Charter (v6.0)

6.4.3 Voting.

- a. The Secretary will distribute to the Registrar Stakeholder Group Distribution List the ballot announcement for each general vote or position no later than three (3) calendar days following the Notice of Vote.
- b. An election period will be open for voting for no less than five (5) calendar days, but no more than ten (10) calendar days, during which Registrar Stakeholder Group Voting Member Member Representatives will cast their ballots electronically. During this time, advocating and/or campaigning for any position or policy, whether on or off the Registrar Stakeholder Group's Distribution List, shall be suspended.
- c. Each Registrar Stakeholder Group Voting Member Member Representative eligible to vote is accorded one (1) vote which is not divisible. Registrar Families are allowed only one (1) Voting Member Representative. Only members in good standing shall have voting rights. If two (2) or more active Members become Affiliated Registrars, they shall only have one (1) vote from that point on, without regard to Registrar Stakeholder Group fees already paid. Any disagreement regarding whether a Member is considered an Affiliated Registrar (see definition in Clause 11.0) of another Member shall be decided by a Simple vote of the Member Representatives, as per Clause 2.0.
- d. Voting Member Member Representatives shall retain the right to formally abstain during any vote. Formal abstentions are included in the total votes cast but do not count as a vote against a position or motion.
- e. An affirmative vote will be decided in accordance with the Simple Majority required for that situation.
- f. The Secretary shall publish vote results on the Distribution List including the number of votes cast per position, and the names of Voting Members who cast votes.

6.4.4 Proxy. A Voting Member may appoint a proxy for a specific vote in the Registrar Stakeholder Group as per 6.2.6

6.5 **Fast Track Motions**

- 6.5.1 Certain motions may receive "Fast Track" treatment, whereby a vote may be conducted in less time than prescribed in 6.4.3.
- 6.5.2 Requests for Fast Track treatment may be made by any Member at any scheduled meeting of the Registrar Stakeholder Group or electronically on the Distribution List and must include a written justification supporting the Fast Track treatment.
- 6.5.3 Fast Track treatment is only available under urgent circumstances. Urgent circumstances exist if following the standard timing of a motion in Clause 6.0 would dramatically harm the value or effectiveness of the motion and the need for fast track treatment could not reasonably have been foreseen.

Registrar Stakeholder Group Charter (v6.0)

- 6.5.4 A motion may only be considered for Fast Track treatment upon a Simple Majority vote of the Registrar Stakeholder Group Executive Committee. In considering whether to approve Fast Track treatment, the Executive Committee should consider the justification for the treatment, only grant it in exceptional circumstances, and provide a written summary of its rationale in approving it.
- 6.5.5 Motions to amend the Registrar Stakeholder Group Charter are ineligible for Fast Track treatment.
- 6.5.6 Any motion receiving Fast Track treatment made at an in-person meeting must also be published on the Registrar Stakeholder Group distribution list prior to a vote.
- 6.5.7 Fast Track motions must have a minimum of 5 (five) endorsements from Voting Members to proceed to a vote.
- 6.5.8 Fast Track motions must be adopted by a Super Majority of the votes cast.
- 6.5.9 Notwithstanding Article 6.5.8 above, any vote on a Fast Track motion that receives less than 33% of those Voting Members (including votes cast for and against the motion, and any abstentions) will be deemed defeated.
- 6.5.10 If a Fast Track motion is defeated, another vote may be held using the standard motion procedures in Article 6.4.3 above.

6.6 Fast Track Voting

- 6.6.1 Process:
 - a. The Secretary will arrange for an electronic ballot to be sent and publish the opening and closing dates for the fast track vote on the Distribution List.
 - b. A voting period will be open for voting for no less than one (1) calendar days during which Registrar Stakeholder Group Voting Member Representatives will cast their ballots electronically. During this time, advocating and/or campaigning for any position or policy, whether on or off the Registrar Stakeholder Group's Distribution List, shall be suspended.
 - c. Each Registrar Stakeholder Group Voting Member Representative eligible to vote is accorded one (1) vote which is not divisible. Registrar Families are allowed only one (1) Voting Member Representative. Only members in good standing shall have voting rights. If two (2) or more active Members become Affiliated Registrars, they shall only have one (1) vote from that point on, without regard to Registrar Stakeholder Group fees already paid. Any disagreement regarding whether a Member is considered an Affiliated Registrar of another Member shall be decided by a Simple vote of the Member Representatives, as per Clause 2.0.
 - d. Voting Member Representatives shall retain the right to formally abstain during any fast track vote. Formal abstentions are included in the total votes cast but do not count as a vote against a position or motion.



Registrar Stakeholder Group Charter (v6.0)

- e. A Super Majority is required for an affirmative vote for any fast track motions; and
- f. The Secretary shall publish vote results on the Distribution List including the number of votes cast per position, and the names of Voting Members who cast votes.

7.0 Communications.

7.1 Web Presence.

- 7.1.1 Member Information. The Executive Committee will maintain a public record in the Registrar Stakeholder Group web presence(s) including the following current, accurate information about each Member:
 - a. Name and contact information (individual members have the right to withhold the posting of contact details for privacy reasons);
 - b. Status (i.e., Voting or Non-Voting);
 - c. Listing of all elected and appointed positions within ICANN structures, including Supporting Organizations (e.g., Generic Names Supporting Organization), Stakeholder Groups (e.g., Registrar Stakeholder Group), Constituencies, Advisory Committees, and the Registrar Stakeholder Group; and
 - d. Name of Member Representative, Alternate Member Representative (if designated), and additional contacts, if applicable, to the Registrar Stakeholder Group.
- 7.1.2 Use of Site. Membership use of the web presence(s) must comply with the publication policies set forth in section §7.3.
- 7.1.3 Web Page. The Registrar Stakeholder Group will publish formal positions on the Registrar Stakeholder Group Web Page. The Web Page shall be established by the Executive Committee and maintained by the Secretary or, if so delegated, a Secretariat. The Registrar Stakeholder Group Web Page must be archived and accessible to the public upon request.

7.2 Electronic Mailing Lists.



Registrar Stakeholder Group Charter (v6.0)

7.2.1 Distribution List. The Registrar Stakeholder Group will also operate a Distribution List to enable Members to engage in dialogue, via direct posting, concerning issues which may be developed into formal positions/statements as well as other matters including discussion of policies and practices, elections, policy issues, logistics, sharing of relevant news/information, and coordinating participation in ICANN-related events. Separate internal lists are also maintained, where warranted, for approved committees. The Executive Committee shall establish a mechanism to archive these lists.

7.3 **Publication Policies.**

The following publication policies apply to all Registrar Stakeholder Group communications regardless of media:

7.3.1 Responsibility. The responsibility for posting accurate, appropriate, and authorized content will reside with the author. Only Designated Representatives of Members, as specified in Article 2.2, are entitled to post to official Registrar Stakeholder Group media. Any Designated Representative's decision to post or submit content shall constitute acceptance of the Registrar Stakeholder Group publications policy as set forth in this section.

7.3.2 Supervision. The Executive Committee shall appoint the appropriate Vice-Chair to supervise the appropriate use of the Registrar Stakeholder Group's communications media in whatever form with the Secretary serving in the capacity of administrator. Stipulations related to the removal of inappropriate content and/or the suspension of posting privileges are prescribed in §7.5.

7.4 **Protection of Member Data.**

The Executive Committee and Members of the Registrar Stakeholder Group shall ensure reasonable care of Member data and, in particular, shall not utilize such data beyond what is necessary for its originally intended purposes.

7.5 **Limits on Communication Privileges.**

In addition to the above obligations and consequences, the Chair or Vice-Chairs have the right to suspend or restrict a Designated Representative's posting privileges to or on any of the Registrar Stakeholder Group's communications mechanisms and to direct that posted material not conforming to the stipulations of this Charter be removed. Any such action must be approved by a Simple Majority of Executive Committee Officers.



Registrar Stakeholder Group Charter (v6.0)

- 7.5.1 Delete. Before exercising the right to delete, a good faith effort must be made to determine that such Designated Representative has posted material that is inappropriate.
- 7.5.2 Suspend or Restrict. Before exercising the right to suspend or restrict, a good faith determination must be made that such Designated Representative's posting of inappropriate material represents an egregious violation of [ICANN's Expected Standards of Behavior](#) or a pattern of abuse.
- 7.5.3 Notice. The Executive Committee must give notice to such Designated Representative if action is taken to suspend, restrict, or delete. Upon request, a statement of rationale will be provided. All formal communications related to this Article will also be communicated to the Member Representative.
- 7.5.4 Appeal. Any determination to suspend, restrict, or delete may be appealed to the Executive Committee and/or the ICANN Ombudsman.

8.0 Meetings.

8.1 General Membership Meetings.

- 8.1.1 Format. The Registrar Stakeholder Group will meet in person at all ICANN meetings and, additionally, the Chair will schedule virtual (electronic) sessions at least once per month, wherever practicable, via the Registrar Stakeholder Group Distribution List and/or calendar. Such sessions are intended to:
- Share information among Members;
 - Discuss relevant Registrar Stakeholder Group and ICANN matters;
 - Establish consensus on policy positions;
 - Plan Registrar Stakeholder Group participation at ICANN meetings; or
 - Address other topics, issues, and business as determined by the Executive Committee.
- 8.1.2 Notification. Advanced notice will be provided to Members of any upcoming face-to-face meetings with final agendas made available no less than five (5) calendar days prior.



Registrar Stakeholder Group Charter (v6.0)

- 8.1.3 Minutes. The Secretary will post to the Registrar Stakeholder Group Distribution List the transcript, chat room discussions, and audio recording from any general membership meeting within seven (7) calendar days of such meeting. Whenever possible, for the convenience of Members, the Secretary will take minutes at Registrar Stakeholder Group meetings for the purpose of summarizing what transpires including the agenda, attendance, and any decisions or actions items that stemmed from discussions. If votes or consensus calls are taken at a meeting, the minutes shall indicate the outcomes as well as key discussion points.
- 8.1.4 Public. Registrar Stakeholder Group meetings shall be public unless the Executive Committee decides that circumstances warrant a closed session.
- 8.1.5 Procedure. At the discretion of the Chair, meetings may be conducted informally or as appropriate for the size of the group and topic being discussed. Concerns or issues regarding the manner in which a meeting is conducted may be appealed to the Executive Committee.
- 8.1.6 Translation and Remote Participation. Upon request, the Executive Committee will make a reasonable effort to facilitate translation and remote participation services.

8.2 Committee Meetings.

The Chair of any standing or ad hoc committee, working groups, or drafting teams shall consult its members when making determinations as to how its meetings are to be conducted including compliance with Section 8.1.

- 8.2.1 Format. Committee meetings may be conducted using electronic means.
- 8.2.2 Appeals. Concerns or issues regarding the manner in which a meeting is conducted may be appealed to the Executive Committee.

9.0 Outreach.

9.1 Outreach Policies.



Registrar Stakeholder Group Charter (v6.0)

9.1.1 Commitment. Registrar Stakeholder Group is committed to being inclusive and representative of registrars globally and will conduct outreach to registrars eligible for membership as outlined in Clause 2.0.

9.1.2 Objective. Recruiting will be focused on encouraging representation from each ICANN geographic region.

9.2 Outreach Opportunities.

The full Executive Committee and any attending Registrar Stakeholder Group Member will seek opportunities at each ICANN public meeting to recruit new Members and educate interested attendees about the Registrar Stakeholder Group and ICANN.

10.0 Finances.

10.1 Reasonable Fees.

The Executive Committee may propose membership fees. The annual budget and proposed increase or decrease of membership fees by the Executive Committee must be approved by a Simple Majority vote of the Registrar Stakeholder Group Voting Members.

10.2 Funding Sources.

10.2.1 The Chair and Treasurer are primarily responsible for identifying external funding and procuring such funding for the Registrar Stakeholder Group with the assistance of Members upon request.

10.2.2 Any prospective external funding must be given without any obligation to support a policy position and must be free of conflicts of interest. The Treasurer shall disclose any proposed funding source to the membership for a period of not less than two (2) weeks before accepting it.

10.3 Invoicing.

The Registrar Stakeholder Group's membership cycle operates on a fiscal year basis with fees invoiced annually for existing Members. A new Member joining during the first six months of a year will be invoiced for an entire year. A new Member joining during the last six months of a year will be invoiced on a pro-rata basis.



Registrar Stakeholder Group Charter (v6.0)

10.4 Refunds.

No refund of membership fees will be given to a Member due to resignation, removal, or voting status change as specified in this Charter.

10.5 Accounting and Transparency.

The Registrar Stakeholder Group's accounting period is a fiscal year from 1 July through 30 June. The proposed budget for each year and the year-end summary of accounts will be posted on the Distribution List.

11.0 Amendments, Revisions, and Version Control.

11.1 Amendments.

This Charter may be amended from time-to-time, in whole or in part, by a Super Majority vote of Members. Once an affirmative vote is cast, the Registrar Stakeholder Group must comply with the [Generic Names Supporting Organization Charter Amendment Process](#) as approved by the ICANN Board.

11.2 Interpretation.

If any dispute arises regarding the interpretation of this Charter, such interpretation will be decided upon via a Simple Majority vote from the Voting Representatives without prejudice to the right of any Member to file a complaint to the ICANN Ombudsman.

11.3 Effect and Transition.

All Articles of any revised Charter shall take effect immediately following an affirmative Super Majority vote of the Registrar Stakeholder Group membership and all phases of the [Generic Names Supporting Organization Charter Amendment Process](#) are concluded.

11.4 Version Control:



Registrar Stakeholder Group Charter (v6.0)

Version	Date	Name	Description
3.0	17 Apr 2003		Bylaws of the ICANN Generic Names Supporting Organization Registrar Constituency Version 3, Revision 0, Draft 0
4.0	24 Feb 2009	Tim Ruiz	Stakeholder Group Transitional Charter submitted to ICANN Board for approval
4.1	22 Jun 2009	Structural Improvements Committee (SIC)	Revisions per ICANN Board
4.2	30 Jul 2009	Structural Improvements Committee (SIC)	Additional revisions approved by ICANN Board
5.0	25 Sep 2013	Michele Neylon, Chair	<ul style="list-style-type: none"> • Address capabilities of members to serve in leadership positions • Clarify voting rights of Registrar Stakeholder Group members • Provide clarity regarding ability of affiliated members under common ownership to vote • Streamline election of officers when there is only one candidate • Provisions for existing officers to vacate their office where ownership changes or other circumstances render them ineligible for office • Clarification of the directed voting of Generic Names Supporting Organization Councilors
5.1	27 May 2014	ICANN Staff Recommendations approved by Michele Neylon, Chair	<ul style="list-style-type: none"> • Incorporation of Rules of Procedure (previously separate) into Charter as Section 7 • Added Amendments Tracking Log (Section 8), Table of Contents, and page numbering
5.2	16 October 2014	ICANN Board of Directors	Approved by ICANN Board of Directors – Resolution 2014.10.16.07



Registrar Stakeholder Group Charter (v6.0)

6.0	6 July 2018	Theo Geurts, Lindsay Hamilton-Reid, Janelle McAlister, Peter Green, Luc Seufer, Zoe Bonython (RrSG Charter Drafting Team)	Complete redraft to update and modernize provisions, improve language across the document, and incorporate new sections recommended by ICANN Staff. Voted for adoption by Registrar Stakeholder Group Membership on 27 June 2018.
-----	-------------	---	---

12.0 Registrar Stakeholder Group Operating Procedures.

The Registrar Stakeholder Group Operating Procedures shall be maintained by the Executive Committee and provide additional details on processes within the Registrar Stakeholder Group. Where any inconsistency/conflict exist between the Charter and the Operating Procedures, the Charter will prevail.