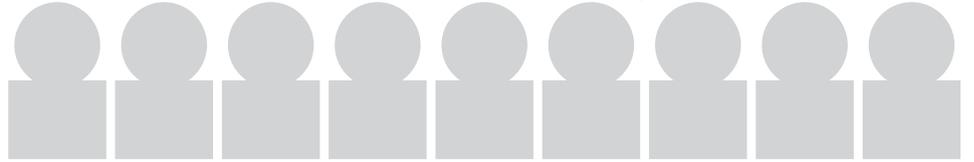


# Discussion Guide



## ARIN XXX Draft Policies and the PDP

<https://www.arin.net/ARIN-XXX/>

# Welcome

Policies in the ARIN region are developed by the Internet community using the open and transparent process described in the ARIN Policy Development Process (PDP). The Internet community develops policies via discussion on the ARIN Public Policy Mail List (PPML) and at the ARIN Public Policy Meetings. Anyone may participate in the process – ARIN membership is not required.

The ARIN Board of Trustees adopts draft policies recommended to it by the ARIN Advisory Council if the Board determines that the PDP has been followed, that support and consensus for policies has been reached among

the community, and if the draft policies are consistent with ARIN's Articles of Incorporation and Bylaws and with the applicable laws and regulations.

The ARIN Public Policy Meeting is conducted in an orderly manner to understand the sense of the majority, to respect the views of the minority, and to protect the interests of those absent. Accordingly, the flow of the meeting is structured according to a published agenda and participants are expected to follow Meeting Courtesies, Expected Standards of Behavior, and Rules of Discussion.

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## Meeting Courtesies and Expected Standards of Behavior

All participants are requested to:

1. Mute the audio output of their computers and other electronic devices.
2. Listen to the speakers and not engage in activities that are unrelated to the draft policy being discussed, such as processing e-mail.

*Those who take part in ARIN's policy development process undertake to:*

- Treat each other and all members of the ARIN community respectfully

both in person and online, irrespective of the nationality, gender, racial or ethnic origin, religion or beliefs, disability, age, sexual orientation, occupation, line of business, or policy position they espouse.

- Work to build consensus with others in order to develop solutions to issues. The ARIN policy development process is a bottom-up, consensus driven approach. Those who take part in the process must take responsibility for its success by working to build consensus with other participants.
- Act fairly and in good faith with other participants in the ARIN process.

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## Rules of Discussion

The Chair moderates discussions of formal draft policies so that all can speak and all can be heard. Accordingly, every person who participates in the Public Policy Meeting is asked to follow these simple rules and customs:

1. All persons have equal rights, privileges, and obligations.
2. Full and free discussion of all draft policies is the right of every person participating in the meeting.
3. Only one draft policy is considered at a time.
4. Persons should not speak in the discussion until they have moved to a designated speaker's position and have been recognized by the Chair and granted the floor.
5. Every time a speaker is recognized by the Chair, speakers should do the following:
  - a. State their name.
  - b. State their affiliation (organization, company, etc.).
  - c. State intent to support or not support the draft policy under discussion.
6. No person should speak a second time on the same topic if anyone who has not spoken on that topic wishes to do so.
7. No person should speak for more than three (3) minutes unless the Chair gives consent.
8. Speakers should direct all remarks to the Chair. They should not debate with other speakers or otherwise attack or question the motives of other speakers.
9. While the discussion is in progress, speakers may suggest amendments or other secondary proposals to the Chair, who will see them acted on accordingly.
10. Only the Chair may call for a poll to gain a sense of the participants regarding the draft policy under discussion, any part of that draft policy, any proposed amendment to that draft policy, or any secondary proposal. The Chair will state all questions before polling the participants and will explain what affirmative and negative responses mean.

# ARIN XXX DISCUSSION GUIDE

<b>For Discussion</b>	<p>This document contains the draft policies on the ARIN XXX agenda. The text of the draft policies in this document is up to date through 25 October 2012.</p> <p>Included at the end of this document is a copy of ARIN's Policy Development Process (PDP).</p>
<b>Table of Contents</b>	<ul style="list-style-type: none"><li>4 Draft Policy <b>2012-2</b> IPv6 Subsequent Allocations Utilization Requirement</li><li>5 Draft Policy <b>2012-5</b> Removal of Renumbering Requirement for Small Multihomers</li><li>6 Draft Policy <b>2012-6</b> Revising Section 4.4 C/I Reserved Pool Size</li><li>7 Draft Policy <b>2012-7</b> Reassignments for Third Party Internet Access (TPIA) over Cable</li><li>8 Draft Policy <b>2012-8</b> Aligning 8.2 and 8.3 Transfer Policy</li><li>9 Proposal <b>180</b> ISP Private Reassignment</li><li>9 Policy Development Process</li></ul>

## Draft Policy Discussion Structure

Policy development is facilitated by the use of a structured process at the Public Policy Meeting. The steps in this process are:

- 1. Draft Policy Introduction:** The history of the draft policy, including the date of introduction, the date of designation as a draft policy, and any previous considerations is presented. The presentation also identifies the ARIN Advisory Council members who are shepherds of the draft policy. In addition, ARIN staff and legal assessments are reviewed.
- 2. Presentation:** A member of the ARIN Advisory Council normally presents the draft policy.
- 3. Discussion:** Discussion of the draft policy is conducted using the Rules of Discussion.

# Draft Policy ARIN-2012-2: IPv6 Subsequent Allocations Utilization Requirement

[https://www.arin.net/policy/proposals/2012\\_2.html](https://www.arin.net/policy/proposals/2012_2.html)

Advisory Council Shepherds: **Heather Schiller and Cathy Aronson**

**26 September 2012**

## Summary:

*The intent of this proposal is to allow an additional way for ISPs that have already begun using their IPv6 space but who may not have sufficiently planned for longer term growth, to receive an additional allocation.*

## Policy Statement:

2.14. Serving Site (IPv6) When applied to IPv6 policies, the term serving site shall mean a location where an ISP terminates or aggregates customer connections, including, but, not limited to Points of Presence (POPs), Datacenters, Central or Local switching office or regional or local combinations thereof. It does not require the implementation of such aggregation in routing, only the implementation of an addressing plan that is subnetted along these topological boundaries to support the ability to aggregate.

### 6.5.3. Subsequent Allocations to LIRs

- a. Where possible ARIN will make subsequent allocations by expanding the existing allocation.
- b. An LIR qualifies for a subsequent allocation if they meet any of the following criteria:
  - Shows utilization of 75% or more of their total address space
  - Shows utilization of more than 90% of any serving site
  - Has allocated more than 90% of their serving site blocks to serving sites, and has sufficient actual utilization at their serving sites to continue to justify the block size being utilized for all serving sites as specified in section 6.5.2.
- c. If ARIN can not expand one or more existing allocations, ARIN shall make a new allocation based on the initial allocation criteria above. The LIR is encouraged, but not required to renumber into the new allocation over time and return any allocations no longer in use.
- d. If an LIR has already reached a /12 or more, ARIN will allocate a single additional /12 rather than continue expanding nibble boundaries.

## Rationale:

If you are executing to a long term plan, you should be able to continue to execute on your approved allocation and assignment plan regardless of the number of regions/groupings you originally planned for. We want to promote tie downs on nibbles and long term planning.

**Timetable for implementation:** Immediate.

## STAFF ASSESSMENT

### ARIN Staff Comments

We believe that the intent of this policy is to allow ISPs who have allocated at least 90% of their space to serving sites to qualify for an additional allocation as long as the block size allocated to each serving site is justified based on the number of customers at the largest single serving site. However, we find the new policy text "Has allocated more than 90% of their serving site blocks to serving sites, and has sufficient actual utilization at their serving sites to continue to justify the block size being utilized for all serving sites as specified in section 6.5.2." to be unclear and confusing.

The phrase "has sufficient actual utilization at their serving sites" implies that what's being considered is only what's actually being used today, which seems to conflict with the policy's intent to allow an ISP to carry out their deployment plan to allow for aggregation and growth. To illustrate the point, suppose an ISP has 180 serving sites with 200 customers at the largest serving site, /48 per customer. 200 customers at the largest serving site justifies a /36 per serving site, and 180 serving sites @ /36 justifies a /28. The ISP deploys a /36 to each of the 180 serving sites. Their IPv6 deployment goes slowly. In one year they've opened 60 more serving sites, but the largest one only has 100 customers converted to using IPv6. They now have 240 /36s deployed to serving sites, which is 94% of the block. But the "actual utilization" of their serving sites only justifies a /40 per serving site (100 customers @ /48 justifies a /40). They wouldn't qualify anymore. We think this is the exact opposite of the policy's intent.

To avoid this problem, staff suggests that the text be modified to: "has allocated more than 90% of their total address space to serving sites, with the block size allocated to each serving site being justified based on the criteria specified in section 6.5.2" This would allow block size to be based on the same criteria used to determine block size for the initial allocation.

### ARIN General Counsel

This policy does not create significant legal issues.

### Resource Impact:

This policy would have minimal resource impact from an implementation aspect. It is estimated that implementation could occur within 3 months after ratification by the ARIN Board of Trustees.

The following would be needed in order to implement:

- Guidelines and procedures need to be updated
- Staff training

# ARIN-2012-5: Removal of Renumbering Requirement for Small Multihomers

[https://www.arin.net/policy/proposals/2012\\_5.html](https://www.arin.net/policy/proposals/2012_5.html)

Advisory Council Shepherds: **Cathy Aronson and Bill Darte**

**25 July 2012**

## **Summary:**

*This proposal removes existing NRPM policy 4.3.6.3 "Additional Assignments for Small Multihomers". Eliminating this section removes the requirement for small multi-homers to renumber when they come back to ARIN for additional IPv4 address space.*

## **Policy Statement:**

Remove the entire subsection 4.3.6.2 "Additional Assignments for Small Multihomers".

## **Rationale:**

The policy has had the unintended effect of freezing small multi-homed end users from being able to return to ARIN for additional assignments. The requirement to renumber out of space is unique and is applying an undue burden of renumbering what would be an organization's core infrastructure.

**Timetable for implementation:** Immediate

## **STAFF ASSESSMENT**

### **ARIN Staff Comments**

The original intent of NRPM 4.3.6.3 was to conserve routing table slots. However, statistics have shown that NRPM 4.3.6.3 has rarely been used and that most small multi-homers have not come back to ARIN for additional space. Therefore, it doesn't seem to be contributing anything significant toward its original goal. This policy will provide an obvious benefit to the small multi-homers who are currently being forced to suffer the pain and expense of renumbering.

### **ARIN General Counsel**

*No significant legal issue is posed by this proposal.*

### **Resource Impact:**

This policy would have minimal resource impact from an implementation aspect. It is estimated that implementation would occur within 3 months after ratification by the ARIN Board of Trustees.

The following would be needed in order to implement:

- Updated guidelines
- Staff training

# ARIN-2012-6: Revising Section 4.4 C/I Reserved Pool Size

[https://www.arin.net/policy/proposals/2012\\_6.html](https://www.arin.net/policy/proposals/2012_6.html)

Advisory Council Shepherds: **Bill Sandiford and Owen DeLong**

**5 September 2012**

## Summary:

*This proposal would modify the existing micro-allocation policy and have ARIN staff reserve a /15 equivalent for critical infrastructure rather than the /16 currently cited in the policy text. Additionally, it removes the clause that would allow ARIN to release any remaining space from within the reserved block back into its available pool at the end of 2 years.*

## Policy Statement:

Change Section 4.4 Paragraph 2 from:

ARIN will place an equivalent of a /16 of IPv4 address space in a reserve for Critical Infrastructure, as defined in section 4.4. If at the end of the policy term there is unused address space remaining in this pool, ARIN staff is authorized to utilize this space in a manner consistent with community expectations.

Change Section 4.4 Paragraph 2 to:

ARIN will place an equivalent of a /15 of IPv4 address space in a reserve for Critical Infrastructure, as defined in section 4.4.

## Rationale:

Additional critical infrastructure is being added to the Internet and in a number greater than anticipated when this proposal was written and adopted.

The original CI pool was created to serve new IX and new CI requirements. The pending need is estimated in the 600 new gTLD range. With a /24 assignment from the existing boundary and the likelihood of some sharing platforms, assigning a /15 would seem prudent. I have removed the limited term. I have proposed implementation to occur at the point where there is only an equivalent of a /8 available overall. The process for completing the gTLD additions still has some time to play out, but it is likely we will have exhausted by the time that the process does fully play out.

**Timetable for implementation:** Immediate

## STAFF ASSESSMENT

### ARIN Staff Comments

- This proposal will likely benefit organizations who provide critical Internet infrastructure, particularly as the new expanded ICANN gTLD program rolls out.
- The following statement needs to be part of the actual policy text that gets added to NRPM "Implementation: When the equivalent of less than a /8 is left in all inventory," If implemented, ARIN staff will prepend that statement to the policy text for clarification purposes..

### ARIN General Counsel

No significant legal issue on this proposal.

### Resource Impact:

This policy would have minimal resource impact from an implementation aspect. It is estimated that implementation would occur within 3 months after ratification by the ARIN Board of Trustees. The following would be needed in order to implement:

Updated guidelines and procedures

# Draft Policy ARIN-2012-7: Reassignments for Third Party Internet Access (TPIA) over Cable

[https://www.arin.net/policy/proposals/2012\\_7.html](https://www.arin.net/policy/proposals/2012_7.html)

Advisory Council Shepherds: **Kevin Blumberg and Cathy Aronson**

**12 October 2012**

## Summary:

*This draft policy would allow TPIA providers to assign addresses to incumbent cablecos and have ARIN count individual pools as used for the purposes of reviewing an additional address space request from the TPIA provider.*

## Policy Statement:

Insert new section to NRPM to read as follows:

4.2.3.8 IP addresses reassigned by an ISP to an incumbent cable operator for use with Third Party Internet Access (TPIA) will be counted as fully used once they are assigned to equipment by the underlying cable carrier provided they meet the following requirements:

- initial assignments to each piece of hardware represent the smallest subnet reasonably required to deploy service to the customer base served by the hardware
- additional assignments to each piece of hardware are made only when all previous assignments to that specific piece of hardware are at least 80% used and represent a three month supply
- IP allocations issued through 4.2.3.8 are non-transferable via section 8.3 and section 8.4 for a period of 36 months. In the case of a section 8.2 transfer the IP assignment must be utilized for the same purpose or needs based justification at a rate consistent with intended use.

## Rationale:

A unique situation exists particularly, and perhaps only, in the Canadian region that is preventing legitimate ISPs from obtaining subsequent allocations of IPv4 addresses for use with the Third Party Internet Access (TPIA) framework that has been mandated by the CRTC (Canada's version of the FCC). Adding this section to the NRPM will allow ISPs that intend to make use of this CRTC mandated framework to obtain the number resources that they require but are currently unable to obtain.

**Timetable for implementation:** Immediate

## STAFF ASSESSMENT

### ARIN Staff Comments

This policy proposal would solve a problem that the Canadian TPIA providers are currently facing. There's a math problem they've come up against which is otherwise unsolvable. Current policy provides no way for TPIA providers to put more space where its needed when its needed, especially when one market area grows disproportionately to other market areas. If a TPIA deployment goes to 30 market areas, and 7 of those grow very quickly and use up the space they were assigned, the TPIA provider has no way of coming back to ARIN successfully to get more space for those 7 market areas. Under the current incumbent cableco rules, they cannot re-provision any under-utilized blocks from other market areas.

### ARIN General Counsel

This policy poses a first of its kind and deserves comment from a legal perspective - this proposal responds to a single sovereign nation's regulatory ruling (Canada) and regards only a single named service. It is valid for ARIN to make a policy that responds to a single country's regulatory issues, but the community should take care to consider the circumstances in general to make policy as widely applicable as possible. When doing so the authors, community (and counsel) should undertake a heightened duty to examine how the policy will impact ARIN members operations in other countries. Counsel is not aware of any significant legal issues posed for ARIN members in other countries at this juncture.

### Resource Impact:

This policy would have minimal resource impact from an implementation aspect. It is estimated that implementation would occur within 3 months after ratification by the ARIN Board of Trustees. The following would be needed in order to implement:

- Updated guidelines and procedures.

# ARIN-2012-8: Aligning 8.2 and 8.3 Transfer Policy

[https://www.arin.net/policy/proposals/2012\\_8.html](https://www.arin.net/policy/proposals/2012_8.html)

Advisory Council Shepherds: **Chris Grundemann and David Farmer**

**5 September 2012**

## Summary:

*This draft policy attempts to align 8.2 transfers with 8.3 and 8.4 transfers by adding some additional common criteria to 8.2. It codifies the minimum size of address blocks that can be transferred; it requires the recipient of a transfer to sign an RSA; and it codifies the requirement that the source entity of the transfer be the current registrant and not be engaged in a dispute over the registration rights.*

## Policy Statement:

Replace the first paragraph of section 8.2 with the following:

ARIN will consider requests for the transfer of number resources in the case of mergers and acquisitions under the following conditions:

- The source entity must be the current registered holder of the number resources, and not be involved in any dispute as to the status of those resources.
- The new entity (recipient) must provide evidence that they have acquired assets that use the resources transferred from the current registrant (source entity) such that their continued need is justified. ARIN will maintain an up-to-date list of acceptable types of documentation.
- The transferred resources will be subject to current ARIN policies.
- The recipient entity must sign an RSA.
- The minimum IPv4 transfer size is a /24.
- The minimum IPv6 transfer size is a /48.

## Rationale:

The base intent here is to lower confusion, raise clarity, and level the bar between 8.2 and 8.3 transfers. M&A transfers are distinct from specified transfers and not all of the same rules can apply - but many can and should. Therefore this policy change explicitly adds requirements which do not exist in 8.2 policy text today: Source must be the undisputed current registered holder, recipient must sign an RSA (and is subject to policy), and /24 minimum for IPv4, /48 for IPv6.

**Timetable for implementation:** Immediate

## STAFF ASSESSMENT

### ARIN Staff Comments

No comments as previous comments were addressed.

### ARIN General Counsel

Any change in NPRM 8.2 requires heightened legal scrutiny because literally hundreds of different disparate proposed 8.2 acquisitions may be considered within the next several years under the changed language. I have these comments.

First, the use of RSA in this case may need to permit issuance of an LRSA, if the resources are legacy addresses that have not previously been the subject of an RSA.

Second, the following new language needs careful community review: "The new entity (recipient) must provide evidence that they have acquired assets that use the resources transferred from the current registrant (source entity) such that their continued need is justified. ARIN will maintain an up-to-date list of acceptable types of documentation"

Counsel believes this proposed language requires the 8.2 recipient to demonstrate that the number resources are part of an ongoing business that is being sold, and that the number resources are utilized by the business. It would be unwise to adopt language in 8.2 that would arguably permit an 8.2 transfer where the number resources are the only genuinely valuable asset of the business that has any material monetary value.

If the number resources are the only genuinely valuable remaining material assets of the prior business which is now defunct, the transfer has to be considered under NPRM 8.3, not 8.2. If the community agrees that is the case, the language does not pose problematic legal issues.

### Resource Impact:

This policy would have minimal resource impact from an implementation aspect. It is estimated that implementation would occur within 3 months after ratification by the ARIN Board of Trustees. The following would be needed in order to implement:

- Updated guidelines and procedures

# ARIN-prop-180: ISP Private Reassignment

**Proposal Originator:** Yi Chu

**Proposal Version:** 2

**Date:** 2012-08-15

**Proposal type:** new

**Policy term:** permanent

## Policy Statement:

NRPM 4.2.3.7.1.1 and 6.5.5.1.1 ISP private reassignment

1. ARIN approval: ISP to submit private reassignment request to ARIN for approval. The info in the request is exactly the same as it would be for public records
2. Alignment with residential policy: Upon ARIN's approval, the ISP may substitute that organization's name for the customer's name, e.g. 'Private Customer - XYZ Network', and the customer's street address may read 'Private'. Each private downstream reassignment must have accurate upstream Abuse and Technical POCs visible on the WHOIS directory record for that block.
3. 'Slow zone': Each ISP may only have one outstanding private reassignment request with ARIN.

## Rationale:

Some ISP's customers wish to keep their reassignment private. This can be for security reasons, to reduce their exposure to online hacking and targeted DDOS attack. It can also be that the customer does not have the staff or know-how to manage their network. They in term outsource the management of their network to the upstream ISP.

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## POLICY DEVELOPMENT PROCESS

This version of the ARIN Policy Development Process was published on 7 January 2009. It supersedes the previous version.

### Part One – Principle

#### 1. Purpose

This document describes the ARIN Policy Development Process (PDP). The ARIN PDP is the process by which all policies governing the management of Internet number resources in the ARIN region are developed by and for the ARIN community. ARIN's Internet number resource policies are documented community decisions that directly determine the rules by which ARIN manages and administers Internet number resources.

Internet number resource policies are developed in an open and transparent manner by the Internet community. Anyone may participate in the process - ARIN membership is not required. The Policy Development Process (PDP) described in this document defines how policy is established in the ARIN region. Part I of this document provides background information regarding the ARIN PDP and Part II provides the details of the process.

#### 2. Scope

1. Policies developed through the PDP are community selfregulatory statements that mandate or constrain actions. They apply throughout the ARIN region. Policies contribute to the security and stability of the Internet as they foster good stewardship of Internet number resources by ensuring fair distribution of resources and facilitating the operation of the Internet by those who use them.
2. Policies developed through the PDP do not describe a step-by-step process. Such a process is called a procedure. Procedures are established by the policy implementer to execute the policy in such a manner to comply with the policy.
3. Polices developed through the PDP do not define a service to be offered by ARIN.
4. Policies developed through the PDP do not define or establish ARIN fees. All matters concerning fees are a fiduciary responsibility of the Board of Trustees.

5. The ARIN Board of Trustees adopts draft policies recommended to it by the ARIN Advisory Council if the Board determines that the PDP has been followed, that support and consensus for a policy has been reached among the community, and if the draft policies are consistent with ARIN's Articles of Incorporation and Bylaws and with the applicable laws and regulations.

6. Internet number resource policies are distinctly separate from ARIN general business practices and procedures. ARIN's general business practices (including fees) and procedures are not within the purview of the Policy Development Process. (The ARIN Consultation and Suggestion Process can be used to propose changes in non-policy areas.)

7. This version of the ARIN PDP is designed to bring forth clear, technically sound and useful policy; reduce overlapping policy proposals; require both staff and legal assessments; give adequate opportunity for discussion prior to each public policy meeting; and provide a means of review prior to possible adoption. The PDP empowers the ARIN Advisory Council as a policy development body with checks and balances, and maintains an open and transparent process.

### 3. Policy Development Principles

All policies are developed following three principles: open, transparent, and bottom-up.

#### 3.1. Open

All policies are developed in an open forum in which anyone may participate. There are no qualifications for participation. Policy discussions in the ARIN region are conducted in an open, publicly accessible forum that consists of a Public Policy Mail List (PPML) and the Public Policy Meeting (PPM). Anyone may subscribe to the PPML and anyone may attend a PPM via the Internet or in person.

#### 3.2. Transparent

All aspects of the PDP are documented and publicly available via the ARIN website. The PPML is archived. The proceedings of each PPM are

published. All policies are documented in the Number Resource Policy Manual (NRPM). All policy statements in the NRPM are cross referenced to the original policy proposal, the archives of the PPML, all related PPM proceedings, and the minutes of the appropriate Advisory Council and the ARIN Board of Trustees meetings. Finally any procedures that are developed to implement the policy are documented, publicly available, and not deviated from by the ARIN staff.

### 3.3. Bottom Up

All policies in the ARIN region are developed by the ARIN community from the bottom up. The community initiates proposals; the ARIN Advisory Council develops the proposals into draft policies which are then discussed by the community. When the Advisory Council determines that the community has reached consensus on a proposal it recommends it to the Board of Trustees who after receipt adopts the draft policy as a policy. The Board of Trustees may not disapprove a policy, but if it has concerns about a draft policy, it may refer it back to the Advisory Council for further work.

## 4. Policy Development Process Philosophy

Internet number resource management requires good stewardship and judicious management. Thus policies must be developed that ensure fair distribution, meet technical requirements, and enable administration. All policy statements must be clear, complete, and concise. The criteria that are defined must be simple and obtainable.

### 4.1. Fair Distribution

Although the available amount of Internet number resources appears to be infinitely large, their defined characteristics create a finite resource to which principles of conservation must be applied. These defined characteristics include the recognition of network topology realities. To prevent capricious consumption such as stockpiling, Internet number resource policies provide for the distribution according to demonstrated operational needs.

### 4.2. Technical Requirements

Policies must meet the technical requirements for the way that they are used in the operational environment. Policies must allow for aggregation of Internet number resources in a hierarchical manner to permit the routing scalability which is necessary for proper Internet routing. However, policies cannot guarantee routability of any particular Internet number resource as that is dependent on the actions of the individual Internet operators. Policies must not create a situation in which Internet number resources intended for public operation are not globally unique.

### 4.3. Administration

Policies must enable administration and management of Internet number resources that is neutral, impartial, and consistent. Policies must be unambiguous and not subject to varying degrees of interpretation.

## 5. Terms

### Proposal

An idea for a policy that is submitted to the Advisory Council using the policy proposal template.

### Draft Policy

A policy proposal that has been developed by the Advisory Council from individual submitted proposals or merged proposals, reviewed by ARIN staff and legal counsel, and posted for discussion on the PPML.

### Policy

A draft policy that has the support of the community and the Advisory Council, and has been adopted by the Board of Trustees.

## 6. The PDP Cycle

The policy development process is composed of a five (5) phase cycle – need, discussion, consensus, implementation, and evaluation.

### 6.1. Need

The PDP cycle begins with the identification of a need for either a new policy or the revision or elimination of an existing policy. This need is usually determined by a change in technology, a change in the operational environment of the Internet, or the result of the experience of the implementation of an existing policy.

## 6.2. Discussion

Draft policies are discussed by the community both on the public policy mailing list and in the public policy meeting.

## 6.3. Consensus

The Advisory Council determines the consensus of the community regarding the draft policy. It evaluates the type and amount of support and opposition to a policy as expressed by the community on the ppml and in the public policy meeting.

## 6.4. Implementation

The policy is implemented by ARIN staff using published procedures.

## 6.5. Evaluation

The implementation experience of the policy is periodically reviewed by the staff who reports the results to the Advisory Council and the community.

## Part Two – The Policy Development Process

This section provides the details of the ARIN Policy Development Process. A graphical flow depiction of the process is provided at Appendix A. All days are calendar days unless otherwise specified.

### 1. The Policy Proposal

Policy proposals may be submitted by anyone in the global Internet community except for members of the ARIN Board of Trustees or the ARIN staff. Proposals may be submitted any time to the ARIN staff for delivery to the Advisory Council using the template at Appendix B. There is no deadline for the submittal of policy proposals. Besides delivering the policy proposal to the Advisory Council, the staff will post the policy proposal to the public policy mailing list so that the community will be provided the ability to comment on the proposal. Policy proposals posted to the PPML by individuals will not be considered by the Advisory Council until the proposal is submitted to the staff and delivered to them. Only policy proposals that are developed into draft policies by the Advisory Council, or successfully petitioned, will be discussed for adoption on the PPML and at the public policy meeting.

### 2. Draft Policy

Upon receipt of a policy proposal, the Advisory Council assumes control of the proposal. The Advisory Council evaluates policy proposals and develops them into technically sound and useful draft policies that, if adopted, will make a positive contribution to the Number Resource Policy Manual. The development of draft policy consists of several steps.

#### 2.1. Clarity & Understanding

Upon receipt of a policy proposal the ARIN staff will work with the proposal originator to ensure there is clarity and understanding of the proposal text. Staff does not evaluate the proposal itself at this time, their only aim is to make sure that they understand the proposal and believe that the community will as well. Staff reports the results of this step to the Advisory Council within 10 days.

#### 2.2. Development & Evaluation

The Advisory Council develops a draft policy. During this effort they may take any action such as rewrite, abandon, merge various proposals, or use a proposal as an idea to generate a draft policy. The Advisory Council must make a decision regarding any policy proposal at their next regularly scheduled meeting that occurs after the Advisory Council receives the Clarity and Understanding Report from staff. If the period before the next regularly scheduled meeting is less than 10 days, then the period may be extended to the subsequent regularly scheduled meeting, but the period shall not be extended beyond 45 days. The Advisory Council will announce its decision regarding any policy proposal once they have decided how to utilize the proposal.

Once the Advisory Council crafts a draft policy it submits it for staff and legal review. This review will be completed within 10 business days. Upon receipt of the staff and legal comments, the Advisory Council examines staff and legal comments to ensure its understanding and resolve any issues that may have been raised. These comments may cause the Advisory Council to revise its draft policy.

#### 2.3. Discussion & Review

Once the Advisory Council completes its work on a draft policy, to include the staff and legal reviews, it publishes the draft policy and

accompanying staff and legal reviews on the PPML for review and discussion. In order for a draft policy to be considered for adoption discussion at a public policy meeting it must be published on the PPML at least 35 days prior to the public policy meeting.

## 2.4 Discussion Petition

Any member of the community, including a proposal originator, may initiate a Discussion Petition if they are dissatisfied with the action taken by the Advisory Council regarding any specific policy proposal. If successful, this petition will change the policy proposal to a draft policy which will be published for discussion and review by the community on the PPML and at an upcoming public policy meeting.

The Discussion Petition must be initiated within 5 business days of announcement of the Advisory Council's decision regarding a specific policy proposal; the petition must include the proposal and a petition statement. The petition duration is 5 business days. The ARIN President determines if the petition succeeds (success is support from at least 10 different people from 10 different organizations). In order to be considered at an upcoming public policy meeting, the petition must be successfully completed at least 35 days prior to that meeting.

A successful petition may result in competing versions of the same draft policy. Staff and legal reviews will be conducted and published for successful petitions.

All draft policies that are selected by the Advisory Council or successfully petitioned are published for review and discussion on the public policy mailing list.

## 3. Public Policy Meeting

Those draft policies that are published at least 35 days prior to a public policy meeting will be placed on the agenda of that meeting for adoption discussion. In the period leading up to the public policy meeting changes may be made to the text of the draft policy. At 10 days prior to the public policy meeting no further changes will be made to the draft policy text so that a single text for each draft policy is considered at the meeting. The text remains frozen until after the completion of the public policy meeting. The draft policies that have been selected by the Advisory Council are presented by the Advisory Council at the public policy meeting. Draft policies resulting from successful petitions are presented by the petitioner. Competing draft policies, if any, will be discussed together. Discussion and votes at the meeting are for the consideration of the Advisory Council.

## 4. Consensus

### 4.1 Discussion Evaluation

At the conclusion of the public policy meeting, the Advisory Council controls all draft policies, including those that were successfully petitioned. The Advisory Council reviews all draft policies and, taking into account discussion on the PPML and at the public policy meeting, decides what to do with each one within 30 days following the public policy meeting. The Advisory Council may take any action such as rewrite, merge, abandon, or send to last call the draft policies. The results of the Advisory Council's decisions are announced to the PPML. Draft policies that are not abandoned or sent to last call are placed on the AC docket for further development and evaluation.

### 4.2 Last Call Petition

Any member of the community, including a proposal originator, may initiate a Last Call Petition if they are dissatisfied with the action taken by the Advisory Council regarding any draft policy. If successful, this petition will move the draft policy to last call discussion and review by the community on the PPML.

The Last Call Petition must be initiated within 5 business days of the announcement of the Advisory Council's decision regarding a specific draft policy; the petition must include the draft policy and a petition statement. The petition duration is 5 business days. The ARIN President determines if the petition succeeds (success is support from at least 10 different people from 10 different organizations).

### 4.3 Last Call

The Advisory Council selects draft policies that have the support of the community and the Advisory Council and sends these draft policies to a last call for review and discussion by the community on the PPML. The last call period will be for a minimum of 10 days. The Advisory Council may decide that certain draft policies require a longer last call period of review, such as those that were revised based on comments received while the text was frozen. If the Advisory Council sends a draft policy

to last call that is different from the frozen version, then the Advisory Council will provide an explanation for all changes to the text.

## 4.4. Last Call Review

Within 30 days of the end of last call the Advisory Council determines consensus for each draft policy by reviewing last call comments, revisiting its decision (the Advisory Council may take any action such as rewrite, merge, or abandon), and determining readiness for consideration by the Board of Trustees. If the Advisory Council modifies a draft policy, it will be sent to another last call or may be placed back on the docket of the Advisory Council for further development and evaluation.

The results of the Advisory Council's decisions are announced to the PPML. The Advisory Council forwards the draft policies that it supports to the Board of Trustees for consideration.

## 4.5 Board of Trustees Consideration Petition

Any member of the community may initiate a Board of Trustees Consideration Petition if they are dissatisfied with the action taken by the Advisory Council regarding any last call review. If successful, this petition will move the draft policy for consideration by the Board of Trustees.

The Board of Trustees Consideration Petition must be initiated within 5 business days of the announcement of the Advisory Council's decision regarding a specific last call review of a draft policy; the petition must include the draft policy and a petition statement. The petition duration is 5 business days. The ARIN President determines if the petition succeeds (success is support from at least 10 different people from 10 different organizations).

## 5. Board of Trustees Review

The ARIN Board of Trustees reviews and evaluates each draft policy within 30 days of receipt. The Board examines each draft policy in terms of fiduciary risk, liability risk, conformity to law, development in accordance with the ARIN PDP, and adherence to the ARIN Articles of Incorporation and By-laws. The Board may adopt, reject or remand draft policies to the Advisory Council. Rejections will include an explanation. Remands will include an explanation and a recommendation. The Board may also seek clarification from the Advisory Council without remanding the draft policy. The results of the Board's decision are announced to the community via PPML.

## 6. Implementation

The projected implementation date of the policy is announced at the time that adoption of the policy is announced. ARIN staff updates the NRPM to include the adopted policy and implements and publishes a new version of the manual.

## 7. Special Policy Actions

### 7.1. Emergency PDP

The Board of Trustees may initiate the Emergency PDP by declaring an emergency and posting a draft policy to the PPML for discussion for a minimum of 10 business days. The Advisory Council will review the draft policy within 5 business days of the end of the discussion period and make a recommendation to the Board of Trustees. If the Board of Trustees adopts the policy, it will be presented at the next public policy meeting for reconsideration.

### 7.2. Policy Suspension

If, after a policy has been adopted, the Board receives credible information that a policy is flawed in such a way that it may cause significant problems if it continues to be followed, the Board of Trustees may suspend the policy and request a recommendation from the Advisory Council on how to proceed. The recommendation of the Advisory Council will be published for discussion on the PPML for a period of at least 10 business days. The Board of Trustees will review the Advisory Council's recommendation and the PPML discussion. If suspended, the policy will be presented at the next scheduled public policy meeting in accordance with the procedures outlined in this document.

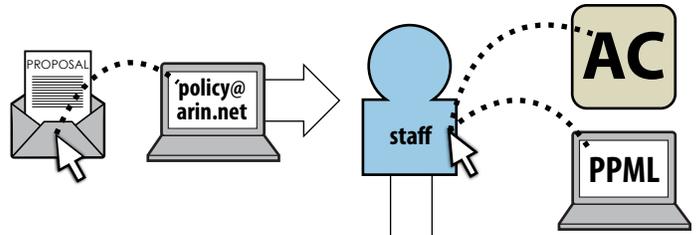
If, after a policy has been ratified and put into effect, the Board of Trustees receives credible information that a policy is flawed in such a way that it may cause unforeseen problems if it is continued to be followed, the Board may suspend the policy and request a recommendation from the ARIN Advisory Council on how to proceed. The Advisory Council's recommendation will be posted for discussion on the Public Policy Mailing List for a period of at least ten working days.

# Appendix A: PROCESS FLOW CHART

## 1 Proposal

### Submittal

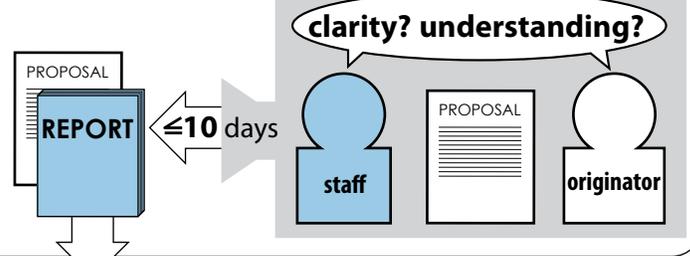
- By anyone at anytime (not Staff or BoT)
- Submit template to policy at ARIN
- Staff posts the proposal to PPML and forwards it to the AC.



## 2 Draft Policy

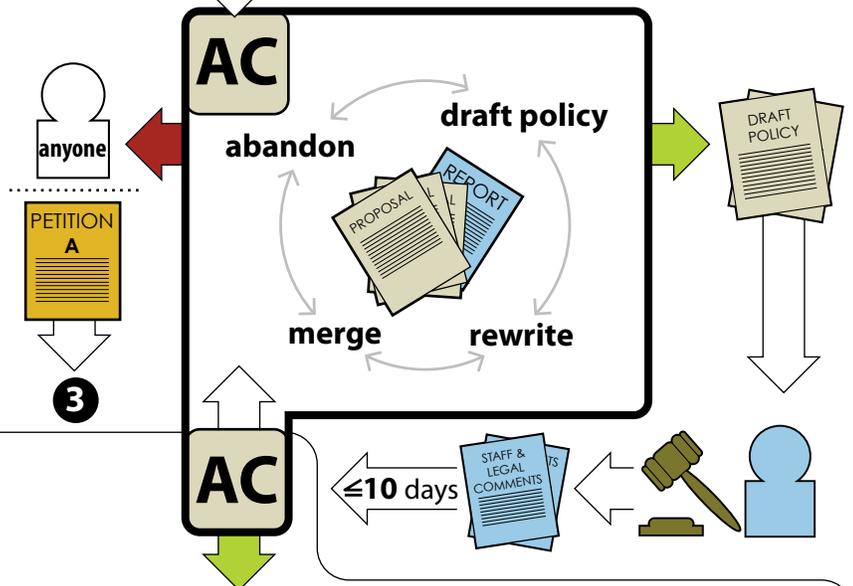
### a. Clarity & Understanding

- Staff and originator work together to ensure clarity and understanding of what is being proposed.
- Staff does not evaluate the proposal.
- Staff reports the result of this step to the AC within 10 days.



### b. Development & Evaluation

- AC assumes control of all proposals.
- AC develops and evaluates proposals to only bring forth technically sound policies that make a positive contribution to the Number Resource Policy Manual. The AC may rewrite, merge, abandon, etc.; for example, they may use a proposal as an idea to generate a draft policy.
- AC must submit for Staff and Legal review if it intends to move a draft policy forward. Review comments must be understood and addressed. Text may be revised in response.
- AC must make a decision regarding any proposal within 30 days of receipt (approx.).
- Decisions posted to PPML.



### c. Discussion & Review

- AC selects sound and useful draft policies for community discussion.
- Relevant staff and legal comments are published with each draft policy.
- Anyone may initiate Discussion Petition (Petition A\*) if dissatisfied with AC action.
- Staff and legal reviews are conducted for successful petitions.
- Draft policy is posted to PPML for community discussion and review.

### AC selects...



## 3 Public Policy Meeting

- The PPM agenda will contain those draft policies that will have been on the PPML for at least 35 days prior to the meeting.



Draft policy text is frozen 10 days prior to PPM so that a single text for each draft policy is considered at the meeting.



- The AC presents draft policies at the Public Policy Meeting; the successful petitioner presents their draft policy. Competing proposals will be discussed together.

### 3 Public Policy Meeting (cont.)

Discussion and votes at the meeting are for the consideration of the AC.

### 4 Consensus

#### a. Discussion Evaluation

- AC controls all draft policies.
- AC considers list and meeting discussion and may rewrite, merge, abandon, send to last call, etc.
- Draft policies not abandoned or sent to last call are placed on AC's docket for further development and evaluation.
- AC's decisions are posted to PPML.
- Anyone may initiate Last Call Petition (Petition B\*) if dissatisfied with AC action.
- AC must make a decision within 30 days of the PPM.

#### b. Last Call

AC selects draft policies that have support both in the community and the AC and sends them to a last call for comments on the PPML for at least 10 days. If text is different from the frozen version, AC will explain.



#### c. Last Call Review

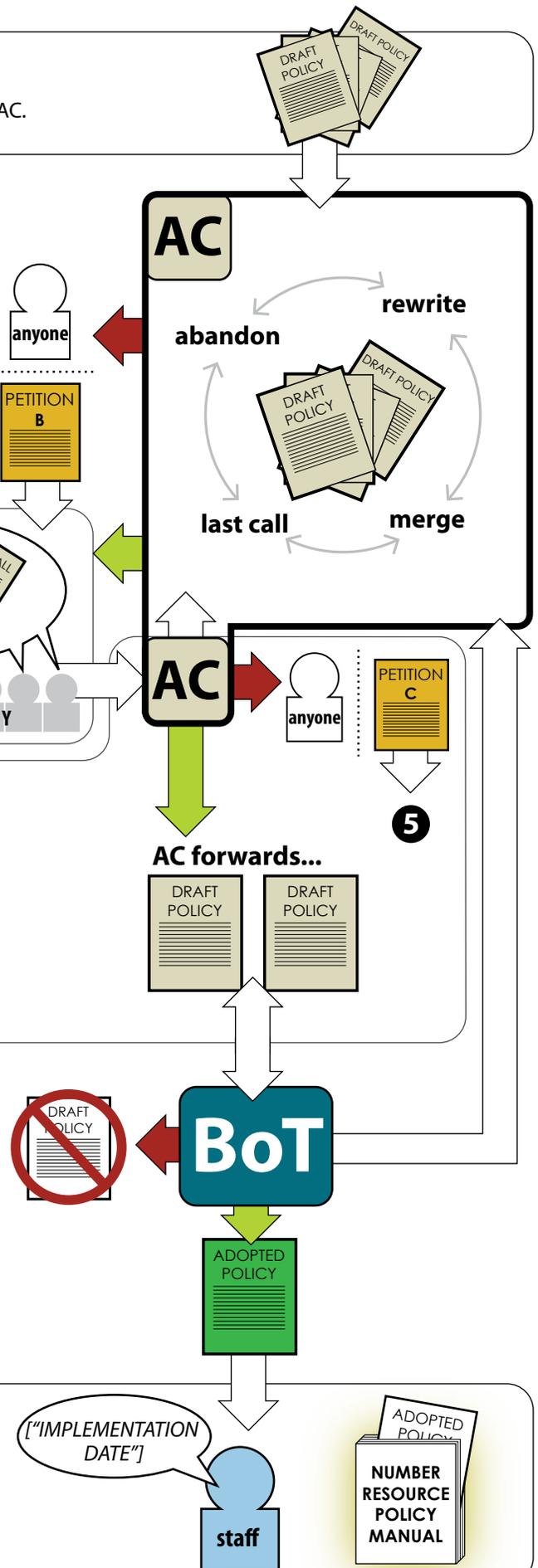
- AC determines consensus for each draft policy.
  - Reviews last call comments
  - Revisits earlier decision
  - Determines readiness for consideration by BoT
- AC may revise and repost to last call.
- AC's decisions are posted to PPML.
- Anyone may initiate BoT Consideration Petition (Petition C\*) if dissatisfied with AC action.
- AC determines consensus within 30 days of the end of Last Call.

### 5 Board of Trustees Review

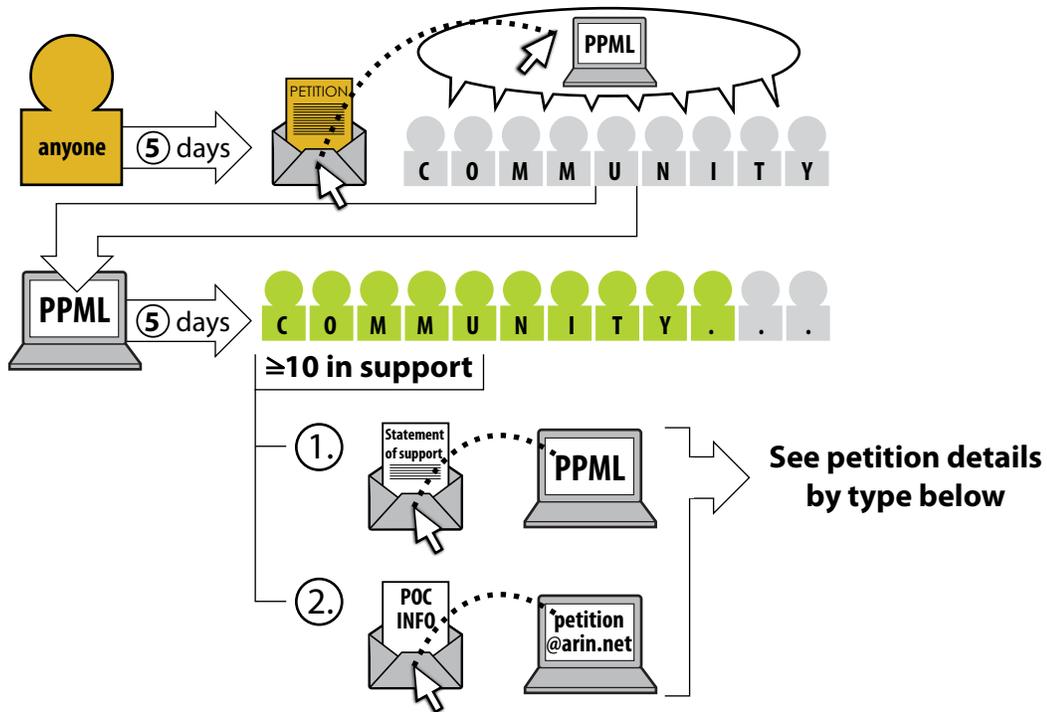
Within 30 days of receipt the Board examines each draft policy in terms of fiduciary risk, liability risk, conformity to law, development in accordance with the ARIN PDP, and adherence to the ARIN Articles of Incorporation and bylaws. The Board may adopt, reject or remand draft policies to the AC. Rejections will include an explanation. Remands will include an explanation and a recommendation. The Board may also seek clarification from the AC without remanding the draft policy. The results of the Board's decision are announced to the community via PPML.

### 6 Implementation

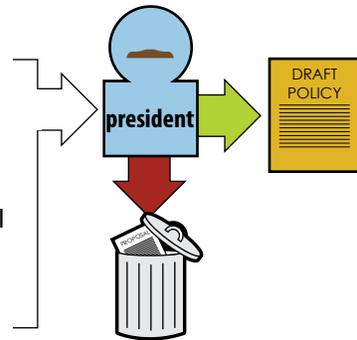
The expected implementation date of the policy is announced at the time that adoption of the policy is announced. ARIN staff updates to include the adopted policy into the Number Resource Policy Manual and implements and publishes a new version of the manual.



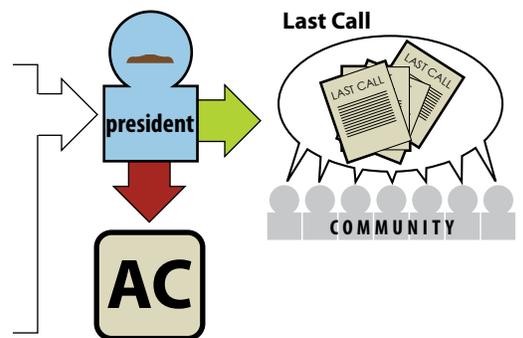
# Appendix A: PDP PETITIONS



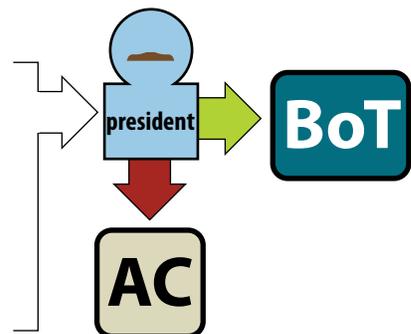
**Discussion Petition** - If any member of the community, including a proposal originator, is dissatisfied with the AC action on a policy proposal they can initiate a Discussion Petition to move this particular proposal to the PPML for discussion as a draft policy. Anyone may initiate the petition on the PPML (within 5 business days of publication of the AC's decision); the petition must include the proposal and a petition statement. The petition duration is 5 business days. The ARIN President determines if the petition succeeds. Success is support from at least 10 different people from 10 different organizations.



**Last Call Petition** - If any member of the community, including a proposal originator, is dissatisfied with the AC action on a draft policy they can initiate a Last Call Petition to move this particular draft policy to the PPML for last call. Anyone may initiate the petition on the PPML (within 5 business days of the publication of the AC's decision); the petition must include the draft policy and a petition statement. The petition duration is 5 business days. The ARIN President determines if the petition succeeds. Success is support from at least 10 different people from 10 different organizations.



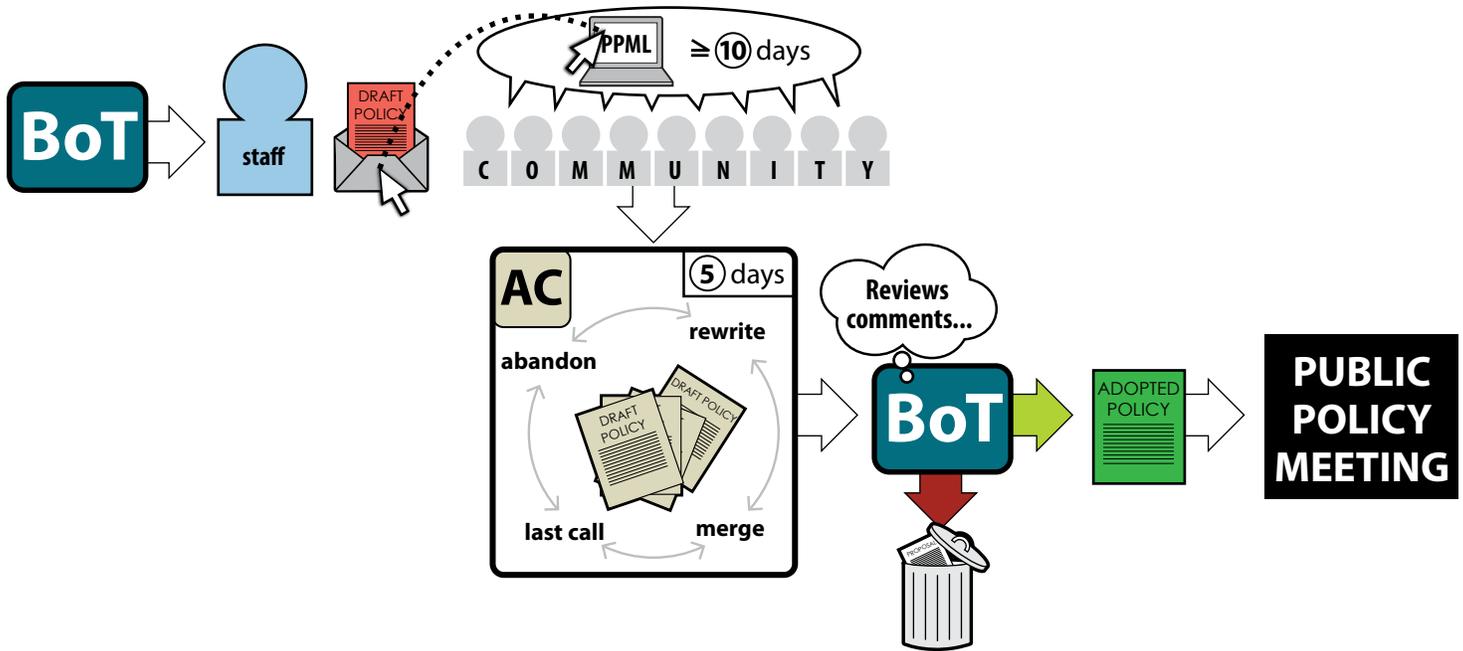
**BoT Consideration Petition** - If any member of the community is dissatisfied with the AC action on a draft policy they can initiate a Board of Trustees Consideration Petition to move this particular draft policy for consideration by the Board of Trustees. Anyone may initiate the petition on the PPML (within 5 business days of the publication of the AC's decision); the petition must include the draft policy and a petition statement. The petition duration is 5 business days. The ARIN President determines if the petition succeeds. Success is support from at least 10 different people from 10 different organizations.



# Appendix A: SPECIAL BoT POLICY ACTIONS

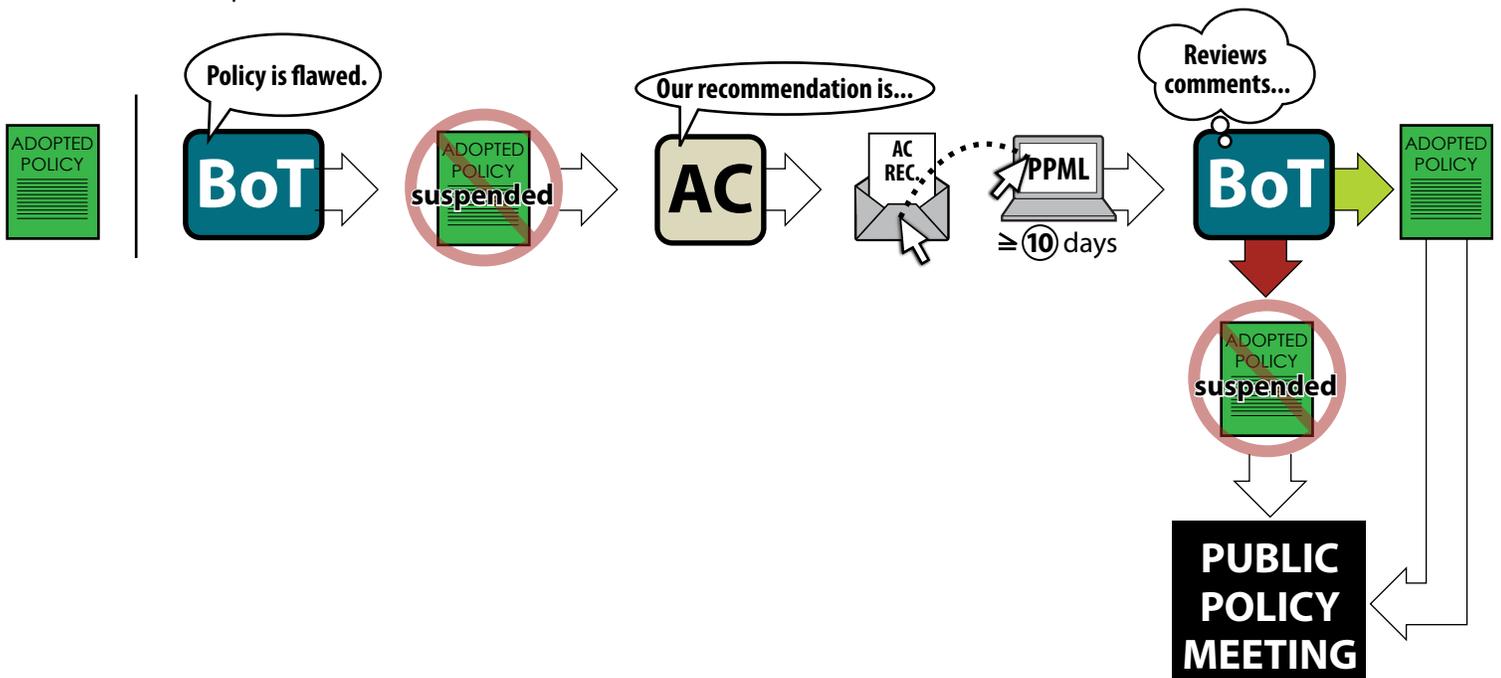
## Emergency PDP

The Board of Trustees may initiate the Emergency PDP by declaring an emergency and posting a draft policy to the PPML for discussion (minimum 10 business days). The AC will review the draft policy within 5 business days of the end of the discussion period and make a recommendation to the BoT. If the BoT adopts the policy, it will be presented at the next PPM for reconsideration.



## Policy Suspension

If, after a policy has been adopted, the BoT receives credible information that a policy is flawed in such a way that it may cause significant problems if it is continued to be followed, the BoT may suspend the policy and request a recommendation from the AC on how to proceed. The AC's recommendation will be posted for discussion on the PPML for a period of at least 10 business days. The BoT will review the AC's recommendation and the list discussion. If suspended, the policy will be presented at the next scheduled PPM in accordance with the procedures outlined in this document.



## Appendix B: PROPOSAL TEMPLATE

Guidelines for Completing the ARIN Policy Proposal Template are available at: [https://www.arin.net/policy/pdp\\_appendix\\_b.html](https://www.arin.net/policy/pdp_appendix_b.html).

Template: ARIN-POLICY-PROPOSAL-TEMPLATE-2.0

1. Policy Proposal Name:
2. Proposal Originator
  1. name:
  2. email:
  3. telephone:
  4. organization:
3. Proposal Version:
4. Date:
5. Proposal type:  
new, modify, or delete.
6. Policy term:  
temporary, permanent, or renewable.
7. Policy statement:
8. Rationale:
9. Timetable for implementation:

END OF TEMPLATE

