

SSR Recommendation 1 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Implementation 1 Timeline



Publish SSR remit and Mission

Status of Deliverables

| | Responsible | Due Date |
|--------------------------------|-------------|----------|
| Post public comment | Staff | ✓ |
| Incorporate into SSR Framework | Staff | ✓ |
| Publish SSR remit | Staff | ✓ |
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- Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

Recommendation 1 Implementation Description

ICANN should publish a single, clear and consistent statement of its SSR remit and limited technical mission.

SSR Recommendation 1 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Project Status

Public comment was taken on a [draft statement between May-Sept 2012](#); it was subsequently [revised in Oct 2012](#).

The updated [statement](#) was published on ICANN's website and incorporated in the [FY 14 SSR Framework](#) and is part of SSR SOP in which SSR Framework and statement is periodically reviewed and updated as needed. This statement also has been incorporated into other ICANN documentation.

Implementation Notes

This recommendation is complete.



SSR Recommendation 2 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Implementation 2 Timeline



Review remit

Recommendation 2 Implementation Description

ICANN's definition and implementation of its SSR remit and limited technical mission should be reviewed in order to maintain consensus and elicit feedback from the Community.

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Reflect ICANN's strategic SSR objectives, goals and key success factors (KSFs) in the Strategic Plan for FY2016—2020 | Staff | ✓ |
| Include SSR key performance indicators (KPI's), dependencies, five-year phasing and portfolios in the Five-Year Operating Plan | Staff | ✓ |
| Include details on proposed SSR activities and expenditures in the Annual Operating Plan & Budget | Staff | ✓ |
| Periodically review SSR Framework, including the SSR role and remit statement | Staff | ✓ |



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

SSR Recommendation 2 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Project Status

The [statement](#) (and [SSR Framework](#)) informed ICANN's new [Strategic Plan for FY2016—2020](#), which reflects strategic SSR objectives, goals and key success factors (KSFs) for the next five years and was result of input and review by the ICANN community, Staff and Board. SSR elements are highlighted [here](#).

This, in turn, informed the new [Five-Year Operating Plan](#), which also was developed with community input and includes SSR key performance indicators (KPIs), dependencies, five-year phasing, and portfolios. SSR elements are highlighted [here](#).

The Annual Operating Plan & Budget, which is derived from the Five-Year Operating Plan and from community input, is being developed for FY16 and will include details on proposed SSR activities and expenditures. More information is posted [here](#).

Periodic review of the SSR Framework, including the SSR role and remit statement, are part of the SSR SOP, and also will be reviewed by the next SSR RT in 2015.

This is a recurring component as ICANN continues to refine the scope of its SSR activities (within its mission) to meet changing demands. The new structure of the Identifier System Security, Stability and Resiliency Team (ISSSR, previously the ICANN Security team) and ICANN's new Chief Technology Officer help ensure ICANN's SSR remit and scope continually evolves.

Implementation Notes

This recommendation is complete.



SSR Recommendation 3 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Implementation 3 Timeline







Consistent terminology and descriptions

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Publicize consistent terminology and descriptions related to ICANN's SSR role and remit | Staff | ✓ |
| Add key terms to ICANN's public glossary on an ongoing basis as part of SOP; as SSR activities evolve, terminology and descriptions will be updated as part of SOP | Staff | ✓ |
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Recommendation 3 Implementation Description

Once ICANN issues a consensus-based statement of its SSR remit and limited technical mission, ICANN should utilize consistent terminology and descriptions of this statement in all materials.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted



SSR Recommendation 3 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Project Status

Consistent [terminology and descriptions](#) related to ICANN's SSR role and remit have been publicized and are encouraged in all ICANN material.

Key terms are added to ICANN's public [glossary](#) on an ongoing basis as part of SOP.
As SSR activities evolve, terminology and descriptions will be updated as part of SOP.

Implementation Notes

This recommendation is complete.



SSR Recommendation 4 Implementation

ICANN's SSR-Related Roles and Responsibilities

31 December 2015

Implementation 4 Timeline







Document SSR relationships

Recommendation 4 Implementation Description

ICANN should document and clearly define the nature of the SSR relationships it has within the ICANN Community in order to provide a single focal point for understanding the interdependencies between organizations.

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Update ISSSR Team SOP work based on SSR activities | Staff | ✓ |
| (Phase I) Post Memorandums of Understanding that indicate roles and responsibilities relevant to SSR | Staff | ✓ |
| (Phase II) Provide additional detail on formal relationships ICANN has with key organizations | Staff | ✓ |
| (Phase II) Extract and catalogue SSR-related elements of MOUs | Staff | Dec 2015 |

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 4 Implementation

ICANN's SSR-Related Roles and Responsibilities

31 December 2015

Project Status

- (Phase I) Many of ICANN's SSR relationships have been [defined and publicized](#). As part of ISSSR Team SOP, this work will be [updated periodically](#) to keep pace with SSR activities.
- (Phase I) Memorandums of Understanding that indicate roles and responsibilities relevant to SSR have been signed with numerous entities; the list is posted [here](#) and will be updated as part of SOP, as needed.
- (Phase II) Extract and catalogue SSR-related elements of MOUs; Target completion date: Dec 2015.
 - Work is underway to capture and publish all the SSR-related MOUs and publish the information on the IS-SSR web site once the inventory has been completed
- (Phase II) In development stage – building on above, provide additional detail on formal relationships ICANN has with key organizations. This includes: 1) defining “relationship,” covering informal and formal arrangements; 2) documenting that some relationships are sensitive (not disclosed) and noting the industry best practices and conventions that are used to address this lack of disclosure. Target completion date for phase II details
 - [ICANN Security Awareness Resource Locator Developed](#) - All stakeholders should learn how to protect themselves, their families, or their organizations against online threats. The resources on this page can help consumers, business or IT professionals avoid online threats or harm and make informed choices regarding (personal) data disclosure or protection.

Implementation Notes

This recommendation is in progress.

SSR Recommendation 5 Implementation

ICANN's SSR-Related Roles and Responsibilities

31 December 2015

Implementation 5 Timeline







Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| (Phase 1) Report on ICANN's progress toward SSR-related KSFs and KPIs involving SSR relationships | Staff | ✓ |
| (Phase II) Include information on how key relationships noted in Recommendation 4 are used to achieve SSR goals (as part of SOP) in next SSR Framework/report on SSR activities | Staff | Dec 2015 |
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Recommendation 5 Implementation Description

ICANN should use the definition of its SSR relationships to maintain effective working arrangements and to demonstrate how these relationships are utilized to achieve each SSR goal.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 5 Implementation

ICANN's SSR-Related Roles and Responsibilities

31 December 2015

Project Status

- (Phase 1) Reporting on ICANN's progress toward SSR-related KSFs and KPIs involving SSR relationships is SOP, and can be found in ICANN's regular project management reporting, operating plans, [SSR Framework](#), and SSR quarterly reports.
- (Phase II) Next SSR Framework/report on SSR activities will include information on how key relationships noted in Recommendation 4 are used to achieve SSR goals (as part of SOP). Revised target completion date: December 2015.
 - SSR Framework for 2015 under development with expected publication date December 2015

Implementation Notes

This recommendation is in progress.



SSR Recommendation 6 Implementation

ICANN's SSR-Related Roles and Responsibilities

31 December 2015

Implementation 6 Timeline







SSR Roles and Responsibilities

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Reflect roles and responsibilities of SSAC in ICANN's Bylaws and defined in SSAC's Operating Procedures | Staff | ✓ |
| Reflect roles and responsibilities for RSSAC in an updated charter contained in ICANN's Bylaws | Staff | ✓ |
| Reflect SSAC and RSSAC roles and responsibilities in a brief explanatory text for icann.org (linking to respective charters), and text as agreed to by the AC's chairs | Staff | ✓ |

Recommendation 6 Implementation Description

ICANN should publish a document clearly outlining the roles and responsibilities for both the SSAC and RSSAC in order to clearly delineate the activities of the two groups. ICANN should seek consensus for this across both groups, recognizing the history and circumstances of the formation of each. ICANN should consider appropriate resourcing for both groups, consistent with the demands placed upon them.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 6 Implementation

ICANN's SSR-Related Roles and Responsibilities

31 December 2015

Project Status

- Roles and Responsibilities of SSAC are reflected in ICANN's Bylaws and defined in SSAC's [Operating Procedures](#).
- Roles and Responsibilities for RSSAC are reflected in an updated charter contained in [ICANN's Bylaws](#).
- SSAC and RSSAC have been asked to reflect their roles and responsibilities in a brief explanatory text for icann.org (linking to respective charters), and [text](#) as agreed to by the AC's chairs. April 2015

Implementation Notes

This recommendation is complete.



SSR Recommendation 7 Implementation

Operations Excellence - Objectives

31 December 2015

Implementation 7 Timeline



Clear SSR objectives and priorities

Recommendation 7 Implementation Description

ICANN should build on its current SSR Framework by establishing a clear set of objectives and prioritizing its initiatives and activities in accordance with these objectives.

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------------------------------|
| Incorporate SSR Framework and reflect SSR priorities, objectives and activities into standard operating procedures for development of ICANN plans and budgets | Staff | ✓ |
| Report on SSR-related priorities, objectives and activities on regular basis as part of SOP, including in ICANN's regular portfolio management reporting and SSR quarterly reports | Staff | ✓ |
| Improve and publish process for establishing updated SSR priorities and objectives | Staff | ✓ |
| Publish Annual SSR Framework Report | Staff | Target Feb. 2016 for 2015 Report |

- ✓ Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

SSR Recommendation 7 Implementation

ICANN's SSR Remit and Limited Technical Mission

31 December 2015

Project Status

[Note: Recommendation was made before ICANN's current planning, budgeting and portfolio/project management and reporting processes were instituted].

- The Strategic and Operating Plans (see Recommendation 2) were informed by SSR Framework and reflect SSR priorities, objectives and activities. This is SOP for development of ICANN plans and budgets.
- SSR-related priorities, objectives and activities are reported on regularly as part of SOP, including in ICANN's regular [portfolio management reporting](#) and SSR [quarterly reports](#).
- Revamped process for establishing updated SSR priorities and objectives will be documented and published.
Target completion date: Oct 2015
ICANN Security, Stability and Resiliency department documented its [Mission, Approach, Tasks](#)
- Release of 2015 [SSR Annual Framework report](#), target February 2016

Implementation Notes

This recommendation is in progress.



SSR Recommendation 8 Implementation

ICANN's SSR Framework and Strategic Plan

31 December 2015

Implementation 8 Timeline







Strategic Plan and
Objectives

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Incorporate SSR Framework and reflect SSR priorities, objectives and activities into standard operating procedures for development of ICANN plans and budgets | Staff | ✓ |
| Report on SSR-related priorities, objectives and activities on regular basis as part of standard operating procedures, including in ICANN's regular portfolio management reporting and SSR quarterly reports | Staff | ✓ |

Recommendation 8 Implementation Description

ICANN should continue to refine its Strategic Plan objectives, particularly the goal of maintaining and driving DNS availability. Clear alignment of Framework & Strategic Plan.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 8 Implementation

ICANN's SSR Framework and Strategic Plan

31 December 2015

Project Status

The Strategic and Operating Plans (see Recommendation 2) were informed by SSR Framework and reflect SSR priorities, objectives and activities. This is SOP for development of ICANN plans and budgets, in which SSR alignment is reviewed as annual plans/budgets are developed.

Progress on SSR-related priorities, objectives and activities are reported on regularly as part of SOP, including in ICANN's regular [portfolio management reporting](#) and SSR [quarterly reports](#)

Implementation Notes

This recommendation is complete.



SSR Recommendation 9 Implementation

ICANN Operational Responsibilities

31 December 2015

Implementation 9 Timeline







Certifications

Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Implement DNSSEC in the root | Staff | ✓ |
| Incorporate SSR-related certification into EFQM program | Staff | ✓ |

Recommendation 9 Implementation Description

ICANN should assess certification options with commonly accepted international standards (e.g. ITIL, ISO and SAS-70) for its operational responsibilities. ICANN should publish a clear roadmap towards certification.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 9 Implementation

ICANN Operational Responsibilities

31 December 2015

Project Status

ICANN's implementation of DNSSEC in the root has [achieved SysTrust certification](#).

Staff certification options initially focused on ITIL certification of DNS engineering staff. SSR-related certification effort subsequently incorporated into EFQM program in April 2015. Closure date TBD as part of EFQM RADAR evaluation schedule (FY15).

ICANN launched its [EFQM web page](#) where the focus is on continuous improvement. The EFQM Excellence Model provides mechanisms for the holistic assessment of an organization. These assessments help improve the way ICANN works, so that it can deliver better results.

Implementation Notes

This recommendation is complete.



SSR Recommendation 10 Implementation

ICANN Operational Responsibilities

31 December 2015

Implementation 10 Timeline



Contractual
Compliance

Recommendation 10 Implementation Description

ICANN should continue its efforts to step up contract compliance enforcement and provide adequate resources for this function. ICANN also should develop and implement a more structured process for monitoring compliance issues and investigations.

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Report compliance activities as part of standard operating procedures | Staff | ✓ |
| <ul style="list-style-type: none">• Migrate complaints icann.org and automated• Launch bulk complaint tool• Implement Pulse Survey• Launch WHOIS inaccuracy qualities check• Create complaints submission processes & FAQs to address new 2013 RAA requirements• Launch compliance auditing and outreach programs• Create new positions to ensure fulfillment of goals and objectives in this area | Staff | ✓ |

- ✓ Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

SSR Recommendation 10 Implementation

ICANN Operational Responsibilities

31 December 2015

Project Status

[Note: As Review Team noted, this Recommendation is more fully addressed in the WHOIS Review]

Regular public reporting of compliance activities are part of SOP; detailed information is available [here](#).

Complaints migrated to icann.org and automated; bulk complaint tool launched; Pulse Survey implemented; WHOIS inaccuracy qualities check launched; complaints submission processes & FAQs to address new 2013 RAA requirements completed; compliance auditing and outreach programs in place; new positions created to ensure fulfillment of goals and objectives in this area.

Implementation Notes

This recommendation is complete.



SSR Recommendation 11 Implementation

ICANN Operational Responsibilities

31 December 2015

Implementation 11 Timeline







Effectiveness of mechanisms to mitigate abuse

Recommendation 11 Implementation Description

ICANN should finalize and implement measures of success for new gTLDs and IDN fast track that expressly relate to its SSR-related program objectives, including measurements for the effectiveness of mechanisms to mitigate domain name abuse.

Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Identify and implement measures of success for new gTLDs and IDN fast track that expressly address SSR-related program objectives | Staff | Oct 2015 |
| Include operations that support SSR objectives in new gTLDs as part of standard operating procedures, including: <ul style="list-style-type: none"> • Service Level Agreements and monitoring • Emergency back-end registry operators and data escrow • Trademark Clearinghouse • Root zone scaling management • DNSSEC-related activities • Compliance Department activities | Staff | ✓ |
| Organize two panels for security and stability review for all applied-for labels | Staff | ✓ |
| Incorporate security and stability evaluation mechanisms for applied-for IDN labels across the new gTLD and IDN ccTLD Fast Track Programs | Staff | ✓ |

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 11 Implementation

ICANN Operational Responsibilities

31 December 2015

Project Status

Effort has been underway to identify and implement measures of success for new gTLDs and IDN fast track that expressly address SSR-related program objectives. Examples of key activities that are being factored in are included below. Target completion date for implementation schedule: Closure date estimated March 2106.

✓ Operations that support SSR objectives in new gTLDs are part of ICANN's SOP, including Service Level Agreements and monitoring, emergency back-end registry operators and data escrow, Trademark Clearinghouse, root zone scaling management, DNSSEC-related activities, and Compliance Dept. activities.

✓ Implementation is underway for ([IAG-CCT](#)) metrics on the impact of the New gTLD Program on competition, consumer trust, and consumer choice, which has SSR-related elements; this supports the upcoming CCT Review. ICANN commissioned [third-party research](#) that supports the IAG-CCT work.

○ Specification 11 of the Registry Agreement signed by all new gTLD registries requires technical analysis and reporting on security threats, and a framework is under development. The targeted schedule of deliverables for the [Framework Drafting Team](#) is as follows:

4 Sept. 2015 - Initial Draft Framework for consultation with relevant communities

2 Oct. 2015 - Revised Draft Framework for discussion during ICANN 54 (to be held Oct. 18-22 in Dublin).

6 Nov. 2015 - Final Draft Framework released for Public Comment.

29 Jan. 2016 - Release of Framework revised with input received during public comment period.

✓ Per the new gTLD Program [Applicant Guide Book](#), two separate panels were organized for security and stability review for all applied-for labels, focused on: (i) security and stability evaluation of the strings, and (ii) string similarity review against existing, reserved and applied-for labels.

✓ Security and stability evaluation mechanisms for applied-for IDN labels across the new gTLD and IDN ccTLD Fast Track Programs are in place. As defined in the [Final Implementation Plan](#), the IDN ccTLD Fast Track Program includes a two-panel mechanism for technical string evaluations, including the DNS Stability Panel.

✓ For both IDN gTLDs & ccTLDs, the [Label Generation Rule set \(LGR\)](#) for the root zone is developed to have a conservative mechanism to define IDN TLD labels, focused on DNS stability and security. [Guidelines for Designing Script-Specific Label Generation Rules \(LGR\) for the Root Zone](#)

✓ The IDN ccTLD Fast Track Process is reviewed annually and includes SSR components.

✓ [Coordinated Vulnerability Disclosure Reporting at ICANN](#)

Implementation Notes

This recommendation is in progress.



SSR Recommendation 12 Implementation

ICANN Areas of Influence with Others in the Global Internet Ecosystem

31 December 2015

Implementation 12 Timeline







SSR Best Practices

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Identify and/or establish “best practices,” and integrate those best practices into agreements into which ICANN enters | Staff | Oct 2015 |
| Maintain resource locator page to support ICANN community member security awareness | Staff | ✓ |
| Inform SOs/ACs of best-practices and invite these groups to identify additional, targeted best-practices for their constituents. | Staff | ✓ |
| Address SSR-related practices in MoUs with numerous international entities | Staff | ✓ |
| Emphasize SSR responsibilities and best practices in Regional Engagement Strategies | Staff | ✓ |
| Work with Anti-Phishing Working Group (APWG) Internet Policy Committee to publish recommendations for web application protection and development of resources for security awareness | Staff | ✓ |
| Include additional SSR best practices language in revised new gTLD registry agreement | Staff | ✓ |

Recommendation 12 Implementation Description

ICANN should work with the Community to identify SSR-related best practices and support the implementation of such practices through contracts, agreements and MOUs and other mechanisms.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 12 Implementation

ICANN Areas of Influence with Others in the Global Internet Ecosystem

31 December 2015

Project Status

Staff has been working with a number of SSR-related bodies in the wider Internet community (described below) to identify and/or establish “best practices,” and have been working to integrate those best practices into agreements into which ICANN enters.

○ Staff is assessing the range of activities underway that advance identification and communication of SSR-related best practices, and will institute an updated and holistic approach to identifying and supporting the implementation of best practices. This information will be captured in a report. Target completion date currently March 2016

ICANN staff has a resource locator [page](#) that the Security Team maintains to support ICANN community member security awareness. The page identifies web sites, organizations, and government resources, in some cases in multiple languages, that have developed security awareness education, training, and best practices or guidelines for individuals and members of collaborative communities. Additional information related to best-practices is linked [here](#) and [here](#).

ICANN Staff periodically informs SOs/ACs of best-practices and invites these groups to identify additional, targeted best-practices for their constituents. As part of SOP this will be done annually and publicly documented.

[MoUs](#) with numerous international entities address SSR-related best practices.

Several [Regional Engagement Strategies](#) include SSR best practices; in particular, strategies for Africa, Latin America and Middle East regions emphasize SSR responsibilities.

ICANN staff works with the Anti-Phishing Working Group (APWG) Internet Policy Committee to publish recommendations for web application protection, has engaged in development of resources for security awareness (through SANS Securethehuman.org activities and with NCA Stop.Think.Connect). Organization of American States (OAS) has released a 2014 Latin American & Caribbean Cybersecurity Report which includes best practices recommendations for countries in the region and includes a section contributed by ICANN. ICANN Staff also is participating through the Commonwealth Cybercrime Initiative.

The [revised new gTLD registry agreement](#) contains additional language on SSR best practices.

Implementation Notes

This recommendation is in progress.

SSR Recommendation 13 Implementation

ICANN Areas of Influence as a Coordinator, Collaborator and Facilitator

31 December 2015

Implementation 13 Timeline



Encourage Best Practices

Recommendation 13 Implementation Description

ICANN should encourage all Supporting Organizations to develop and publish SSR-related best practices for their members.

Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Contact SO and AC Chairs to encourage identification and publication of a best practices repository page that is responsive to their constituencies | Staff | ✓ |
| Engage in a variety of ongoing activities to encourage global use of SSR best practices | Staff | ✓ |
| Develop standard operating procedures to support activity in this area | Staff | ✓ |

- ✓ Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

SSR Recommendation 13 Implementation

ICANN Areas of Influence as a Coordinator, Collaborator and Facilitator

31 December 2015

Project Status

As part of SOP, ICANN staff contacts all SOs and ACs (via chairs) to encourage identification and publication of a best practices repository page that is responsive to their constituencies. The ccNSO currently publishes SSR-related best practices [information](#) for their members.

ICANN staff engages in a variety of ongoing activities to encourage global use of SSR best practices, as part of SOP (see Recommendation 12).

Activity in this area is ongoing as part of SOP and ICANN builds on its activities annually. In 2015, for example, ICANN anticipates the creation [of a set of resources of best practices](#) for securing collaborative community assets. These resources will help SOs and ACs make informed decisions regarding identity management and data protection. From these, SOs and ACs could set requirements for how community assets should be made secure, stable and resilient.

Implementation Notes

This recommendation is complete.



SSR Recommendation 14 Implementation

ICANN Engagement with Others in the Global Internet Ecosystem

31 December 2015

Implementation 14 Timeline







Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Expand outreach activities to be reviewed annually as part of standard operating procedures | Staff | ✓ |

Recommendation 14 Implementation Description

ICANN should ensure that its SSR-related outreach activities continuously evolve to remain relevant, timely and appropriate

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 14 Implementation

ICANN Engagement with Others in the Global Internet Ecosystem

31 December 2015

Project Status

Outreach activities have been expanded and are reviewed annually as part of SOP. The Security team provides both a service function to ICANN's Global Stakeholder Engagement team as subject matter experts, and a community function in outreach and engagement in SSR matters. A [new Engagement Interface](#) allows the community to see upcoming SSR and related outreach and engagement activities. This is an on-going obligation.

Implementation Notes

This recommendation is complete.



SSR Recommendation 15 Implementation

ICANN Engagement with Others in the Global Internet Ecosystem

31 December 2015

Implementation 15 Timeline







Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Publish Coordinated Vulnerability Disclosure document | Staff | ✓ |
| Collaborate with operators and trusted security community entities on DNS security threats and mitigation techniques | Staff | ✓ |

Recommendation 15 Implementation Description

ICANN should act as a facilitator in the responsible disclosure and dissemination of DNS security threats and mitigation techniques.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 15 Implementation

ICANN Engagement with Others in the Global Internet Ecosystem

31 December 2015

Project Status

ICANN published a [Coordinated Vulnerability Disclosure document](#) in 2013. While the framework and SOP is in place, staff notes that because facilitation of responsible disclosure is an on-going obligation the work in this area is ongoing.

Staff collaborates with operators and trusted security community entities on DNS security threats and mitigation techniques. This is related to Recommendation 28.

Implementation Notes

This recommendation is complete.



SSR Recommendation 16 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Implementation 16 Timeline



Outreach and Participation

Recommendation 16 Implementation Description

ICANN should continue its outreach efforts to expand Community participation and input into the SSR Framework development process. ICANN also should establish a process for obtaining more systematic input from other ecosystem participants.

Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Expand Outreach activities and processes to solicit input on the SSR Framework | Staff | ✓ |
| Include SSR best practices and SSR topics in several Regional Engagement Strategies | Staff | ✓ |
| Support a variety of capability-building initiatives by the Security Team | Staff | ✓ |



Complete



Planned/In Process



Behind schedule, expected to recover within original plan



Behind schedule, original plan to be adjusted

SSR Recommendation 16 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Project Status

[Outreach activities](#) and processes solicit input on the SSR Framework have been expanded and are part of ICANN's SSR SOP; activities are ongoing and are reviewed annually. For example: the Security team's ongoing work with security communities including the Anti Phishing Working (APWG), the Messaging, Malware and the Mobile Anti-Abuse Working Group (MAAWG) has resulted in participation by members of those communities in SSAC; through engagement with the International Criminal Law Network (ICLN) and Commonwealth Cybercrime Initiative (CCI), the Security team emphasizes the value of multistakeholder approaches to cybersecurity issues.

Several [Regional Engagement Strategies](#) include SSR best practices and SSR topics are addressed by ICANN across all global regions.

This is related to Recommendations 4, 5 and 14.

At the request of stakeholders, the Security team supports a variety of capability-building initiatives, such as DNSSEC training, ccTLD attack and contingency response training, law enforcement training, outreach at Network Operator Group meetings such as Caribbean Network Operators Group (CaribNOG), Middle East Network Operators Group (MENOG), among others.

Implementation Notes

This recommendation is complete.



SSR Recommendation 17 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Implementation 17 Timeline







Structured Internal
Process

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| See Recommendation 2 for information on how activities and initiatives relate to SSR priorities, objectives and goals and are integrated into ICANN's planning, budgeting and project reporting efforts. | Staff | ✓ |

Recommendation 17 Implementation Description

ICANN should establish a more structured internal process for showing how activities and initiatives relate to specific strategic goals, objectives and priorities in the SSR Framework

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 17 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Project Status

See Recommendation 2 for information on how activities and initiatives relate to SSR priorities, objectives and goals and are integrated into ICANN's planning, budgeting and project reporting efforts.

Implementation Notes

This recommendation is complete.



SSR Recommendation 18 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Implementation 18 Timeline



Annual Operational Review

Recommendation 18 Implementation Description

ICANN should conduct an annual operational review of its progress in implementing the SSR Framework and include this assessment as a component of the following year's SSR Framework

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Implement SSR Framework and update annually | Staff | ✓ |
| Publish previous status of SSR Review Team implementation | Staff | ✓ |
| Reflect SSR Framework in the Strategic and Operating Plans and budgets, with the status/progress being reviewed and reported annually for public input prior to the issuance of the following-year's Ops Plan and budget | Staff | ✓ |
| Integrate SSR objectives and goals into ICANN's Organizational (structural) reviews | Staff | ✓ |



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

SSR Recommendation 18 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Project Status

Implemented as part of the [FY 13 & FY 14 SSR Frameworks](#) and will be repeated annually.

The previous status of SSR RT implementation was published in [Appendix C of the ATRT2 Report](#)

Elements of the SSR Framework are reflected in the Strategic and Operating Plans and budgets, with the status/progress being reviewed and reported annually for public input prior to the issuance of the following-year's Ops Plan and budget. Information is posted [here](#).

SSR objectives and goals are integrated into ICANN's [Organizational \(structural\) reviews](#), as appropriate; these are scheduled every five years.

Implementation Notes

This recommendation is complete.



SSR Recommendation 19 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Implementation 19 Timeline







SSR Framework

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| Publish annual SSR Framework and track progress against activities committed to in the previous year's Framework | Staff | ✓ |

Recommendation 19 Implementation Description

ICANN should establish a process that allows the Community to track the implementation of the SSR Framework. Information should be provided with enough clarity that the Community can track ICANN's execution of its SSR responsibilities.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 19 Implementation

Maintaining Clear Processes for SSR Issues

31 December 2015

Project Status

The publication of the [annual SSR Framework](#) tracks progress against the activities committed to in the previous year's Framework. This tracking mechanism, along with ICANN's regular project management reporting, and operating plans and budgets, provide more details on SSR (see Recommendation 2 for more information) and are all part of ICANN's SOP.

Implementation Notes

This recommendation is complete.



SSR Recommendation 20 Implementation

ICANN's SSR-Related Budget and Staff

31 December 2015

Implementation 20 Timeline







SSR Budget

Recommendation 20 Implementation Description

ICANN should increase the transparency of information about organization and budget related to implementing the SSR Framework and performing SSR-related functions.

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|-----------|
| (Phase I) Integrate SSR Framework and reports on SSR activities and expenditures into planning framework and process to provide public information about SSR-related plans, budgets and activities | Staff | ✓ |
| (Phase II) Identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments | Staff | Nov. 2015 |
| (Phase II) Explore after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event | Staff | ✓ |

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 20 Implementation

ICANN's SSR-Related Budget and Staff

31 December 2015

Project Status

[Note: Recommendations 20, 21, 22 are addressed by the framework and related processes that ICANN has in place.]

(Phase I) A [planning framework and process](#) is in place to provide public information about SSR-related plans, budgets and activities (as outlined in Recommendation 2). This is integrated with ICANN's SSR Framework and reports on SSR activities and expenditures. Periodic SSR activity [reporting](#) augments this public information.

(Phase II) Exploration is underway to identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments. Target completion date: Nov 2015.

- November 2015 – Information gathered for SSR-related budget and expenses support from ICANN's various departments and is being reviewed before it is posted.
- February 2016 – posting of data collected for ICANN SSR-related budget and expenses

(Phase II) Staff also is exploring after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event; producing a public version of these reports is under consideration. Target completion date: Nov 2015.

Implementation Notes

This recommendation is in progress.



SSR Recommendation 21 Implementation

ICANN's SSR-Related Budget and Staff

31 December 2015

Implementation 21 Timeline







SSR Budget

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| (Phase I) Integrate SSR Framework and reports on SSR activities and expenditures into planning framework and process to provide public information about SSR-related plans, budgets and activities | Staff | ✓ |
| (Phase II) Identify mechanisms that provides more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments | Staff | Nov 2015 |
| (Phase II) Explore after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event | Staff | ✓ |

Recommendation 21 Implementation Description

ICANN should establish a more structured internal process for showing how organization and budget decisions relate to the SSR Framework, including the underlying cost-benefit analysis

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 21 Implementation

ICANN's SSR-Related Budget and Staff

31 December 2015

Project Status

[Note: Recommendations 20, 21, 22 are addressed by the framework and related processes that ICANN has in place.]

(Phase I) A [planning framework and process](#) is in place to provide public information about SSR-related plans, budgets and activities (as outlined in Recommendation 2). This is integrated with ICANN's SSR Framework and reports on SSR activities and expenditures. Periodic SSR activity [reporting](#) augments this public information.

(Phase II) Exploration is underway to identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments. Target completion date: Nov 2015.

- November 2015 – Information gathered for SSR-related budget and expenses support from ICANN's various departments and is being reviewed before it is posted.
- February 2016 – posting of data collected for ICANN SSR-related budget and expenses

(Phase II) Staff also is exploring after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event; producing a public version of these reports is under consideration.

Implementation Notes

This recommendation is in progress.



SSR Recommendation 22 Implementation

ICANN's SSR-Related Budget and Staff

31 December 2015

Implementation 22 Timeline







SSR Resources
for new gTLDs

Recommendation 22 Implementation Description

ICANN should publish, monitor and update documentation on the organization and budget resources needed to manage SSR issues in conjunction with introduction of new gTLDs.

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|----------|
| (Phase I) Integrate SSR Framework and reports on SSR activities and expenditures into planning framework and process to provide public information about SSR-related plans, budgets and activities | Staff | ✓ |
| (Phase II) Identify mechanisms that provides more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments | Staff | Nov 2015 |
| (Phase II) Explore after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event | Staff | ✓ |

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 22 Implementation

ICANN's SSR-Related Budget and Staff

31 December 2015

Project Status

[Note: Recommendations 20, 21, 22 are addressed by the framework and related processes that ICANN has in place.]

(Phase I) A [planning framework and process](#) is in place to provide public information about SSR-related plans, budgets and activities (as outlined in Recommendation 2). This is integrated with ICANN's SSR Framework and reports on SSR activities and expenditures. Periodic SSR activity [reporting](#) augments this public information.

(Phase II) Exploration is underway to identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments. Target completion date: Nov 2015.

- November 2015 – Information gathered for SSR-related budget and expenses support from ICANN's various departments and is being reviewed before it is posted.
- February 2016 – posting of data collected for ICANN SSR-related budget and expenses

(Phase II) Staff also is exploring after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event; producing a public version of these reports is under consideration.

Implementation Notes

This recommendation is in progress.



SSR Recommendation 23 Implementation

Immediate and Near-Term Future Risk

31 December 2015

Implementation 23 Timeline







Appropriate Resources
and Support

Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Maintain adequate independent funding to allow SSAC and RSSAC to conduct work | Staff | ✓ |
| Establish processes and procedures for Working Groups and ACs to support their decisions being reached in an objective manner that is free from external or internal pressure | Staff | ✓ |
| Document budget process for SO/AC input on the budget | Staff | ✓ |

Recommendation 23 Implementation Description

ICANN must provide appropriate resources for SSR-related Working Groups and Advisory Committees, consistent with the demands placed upon them. ICANN also must ensure decisions reached by Working Groups and Advisory Committees are reached in an objective manner that is free from external or internal pressure.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 23 Implementation

Immediate and Near-Term Future Risk

31 December 2015

Project Status

ICANN has in place [funding allocated to allow SSAC and RSSAC](#) to conduct work. The support funding has never been linked to, or conditioned by, any performance/output/content evaluation, thus maintaining adequate independence.

Established processes and procedures for WGs and ACs also support their decisions being reached in an objective manner that is free from external or internal pressure.

A publicly documented budget process for SO/AC input on the budget is SOP; for example, these requests have been [published for FY 15](#).

Implementation Notes

This recommendation is complete.



SSR Recommendation 24 Implementation

Longer-Term Future Risk

31 December 2015

Implementation 24 Timeline



Chief Security
Office Role

Recommendation 24 Implementation Description

ICANN must clearly define the charter, roles and responsibilities of the Chief Security Office Team.

Status of Deliverables

| | Responsible | Due Date |
|---|-------------|----------|
| Address range of internal and external SSR responsibilities with Identifier Systems Security, Stability & Resiliency (ISSSR) Team, CTO (and staff), and CIO (and staff); ISSSR team to focus on current externally focused ISSSR, the CIO and team to focus on current internally focused ISSSR and the CTO and team looking towards future ISSSR risks and opportunities | Staff | ✓ |

- ✓ Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

SSR Recommendation 24 Implementation

Longer-Term Future Risk

31 December 2015

Project Status

The Identifier Systems Security, Stability & Resiliency ([ISSSR](#)) Team, CTO (and staff), and CIO (and staff) closely coordinate to address the range of ICANN's internal and external SSR responsibilities, enumerated in this document, with ISSSR team focused on current externally focused ISSSR, the CIO and team focused on current internally focused ISSSR and the CTO and team looking towards future ISSSR risks and opportunities. As the SSR environment associated with the Internet's system of unique identifiers evolves, so too will ICANN staffing. Updates will be published in appropriate places on the icann.org website.

Implementation Notes

This recommendation is complete.



SSR Recommendation 25 Implementation

Longer-Term Future Risk

31 December 2015

Implementation 25 Timeline







Risk Management

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|------------|
| The DNS Risk Management Framework was approved by the Board in Nov. 2013. | Staff | ✓ |
| The DNS Risk Assessment and DNS Resilience Model was published in May 2014. | Staff | ✓ |
| ICANN is now in the ongoing DNS Risk Mitigation Phase, which is part of our SOP; risk mitigation collaboration (such as this session), have been held to engage the community to participate in mitigation of the identified risks. | Staff | ✓ |
| ICANN also has published a Report on Mitigating Risk of Name Collisions , and has been using the Name Collision Risk Management Framework to manage name collision issues. | Staff | ✓ |
| Periodic review and update of the DNS Risk Management Framework is part of ICANN's SOP. | Staff | March 2016 |
| Community collaboration on, and updating of, ERM continues. Recommendations 25 – 28 will reach closure upon completion and Board Risk Committee approval of ERM update. Target date for completion: June 2015 | Staff | ✓ |

Recommendation 25 Implementation Description

ICANN should put into place mechanisms for identifying both near and longer-term risks and strategic factors in its Risk Management Framework.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 25 Implementation

Longer-Term Future Risk

31 December 2015

Project Status

[Note: ICANN's enterprise risk management work—including the ongoing efforts to identify and remediate enterprise risk and apply ERM best practices, under guidance of the Board Risk Committee—incorporates SSR-related risk management and threat mitigation addressed in Recommendations 25 – 28]

- The [DNS Risk Management Framework](#) was [approved](#) by the Board in Nov. 2013.
- A [DNS Risk Assessment and DNS Resilience Model](#) was published in May 2014.
- ICANN is now in the ongoing DNS Risk Mitigation Phase, which is part of our SOP; risk mitigation collaboration (such as this [session](#)), have been held to engage the community to participate in mitigation of the identified risks. ICANN will continue to collaboratively engage and leverage the Enterprise Risk Model to identify the key asset owners and resources needed to address the risks that have been shared and identified with the community.
- [ICANN also has published a Report on Mitigating Risk of Name Collisions](#), and has been using the Name Collision Risk Management Framework to manage name collision issues.
- Periodic review and update of the [DNS Risk Management Framework](#) is part of ICANN's SOP.
- Also part of ICANN's ERM SOP, are ongoing root zone coordination and monitoring, L Root operations, threat detection and mitigation related to ICANN's DNS Operations.
 - [Community collaboration](#) on, and updating of, ERM continues. Recommendations 25– 28 will reach closure upon completion and Board Risk Committee approval of ERM update. Target date for completion: June 2015
- Risk Committee of the ICANN Board is engaged in reviewing the ERM framework.

Implementation Notes

This recommendation is in progress.

The Risk Committee of the Board has agreed on the ERM strategy that the organization should pursue, and that this strategy includes at the minimum annual updates on risk assessments, mitigation plans assessment and risk governance.

SSR Recommendation 26 Implementation

ICANN's Risk Management Process

31 December 2015

Implementation 26 Timeline







Risk Management

Status of Deliverables

| | Responsible | Due Date |
|-----------------------|-------------|------------|
| See Recommendation 25 | Staff | March 2016 |

Recommendation 26 Implementation Description

ICANN should prioritize the timely completion of a Risk Management Framework.

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 26 Implementation

ICANN's Risk Management Process

31 December 2015

Project Status

See Recommendation 25

Implementation Notes

This recommendation is in progress.

The Risk Committee of the Board has agreed on the ERM strategy that the organization should pursue, and that this strategy includes at the minimum annual updates on risk assessments, mitigation plans assessment and risk governance.

SSR Recommendation 27 Implementation

Risk Management Framework

31 December 2015

Implementation 27 Timeline







Risk Management

Status of Deliverables

| | Responsible | Due Date |
|-----------------------|-------------|------------|
| See Recommendation 25 | Staff | March 2016 |

Recommendation 27 Implementation Description

ICANN's Risk Management Framework should be comprehensive within the scope of its SSR remit and limited missions

-  Complete
-  Planned/In Process
-  Behind schedule, expected to recover within original plan
-  Behind schedule, original plan to be adjusted

SSR Recommendation 27 Implementation

Risk Management Framework

31 December 2015

Project Status

See Recommendation 25

Implementation Notes

This recommendation is in progress.

The Risk Committee of the Board has agreed on the ERM strategy that the organization should pursue, and that this strategy includes at the minimum annual updates on risk assessments, mitigation plans assessment and risk governance.

SSR Recommendation 28 Implementation

Incidence Response and Notification

31 December 2015

Implementation 28 Timeline



Publish remit

Recommendation 28 Implementation Description

ICANN should continue to actively engage in threat detection and mitigation, and participate in efforts to distribute threat and incident information

Status of Deliverables

| | Responsible | Due Date |
|--|-------------|------------|
| See Recommendation 25 for status of Enterprise Risk Management Framework | Staff | March 2016 |
| Identifier Systems SSR Activities Reporting | Staff | ✓ |
| Coordinated Vulnerability Disclosure Reporting | Staff | ✓ |



Complete



Planned/In Process



Behind schedule, expected to recover within original plan



Behind schedule, original plan to be adjusted



SSR Recommendation 28 Implementation

Incidence Response and Notification

31 December 2015

Project Status

[Identifier Systems SSR Activities Reporting](#)

As part of our continuing commitment to transparency and accountability, the Identifier Systems SSR department publishes an activities report. The report describes the activities ICANN performs to maintain the security, stability, and resiliency of the Internet's global identifier systems. These activities include collaboration with ICANN, security and operations, and public safety communities, where our staff serves several roles.

- The 1H 2015 activities report highlights ICANNs collaboration and stakeholder activities from January 1 through June 15, 2014. It summarizes activities performed as part of the identifier system SSR threat awareness and preparedness remit. It also provides progress reports on analytics or productivity improvement projects as well.

[Coordinated Vulnerability Disclosure Reporting at ICANN](#)

Posted the following Blogs:

- [Threats, Vulnerabilities and Exploits – oh my! 10 August 2015](#)
- [What is ICANN IIS-SSR? 4 August 2015](#)
- [Is This a Hack or an Attack? 15 September 2015](#)
- [Top Level Domain Incident Response Resource Now Available 28 September 2015](#)

See Recommendation 25 for additional details on ICANNs risk management work.

Implementation Notes

This recommendation is in progress.

The Risk Committee of the Board has agreed on the ERM strategy that the organization should pursue, and that this strategy includes at the minimum annual updates on risk assessments, mitigation plans assessment and risk governance