SSR Review

Executive Summaries for Recommendations 1 - 28

Fully Implemented as of April 2017



SSR Review Recommendation 1 Implementation

Recommendation fully implemented as of 30 June 2015



SSR Recommendation 1 Implementation ICANN's SSR Remit and Limited Technical Mission

30 June 2015

Implementation 1 Timeline



Publish remit

Recommendation 1 Implementation Description

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

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



SSR Recommendation 1 Implementation ICANN's SSR Remit and Limited Technical Mission

30 June 2015

Project Status

Project Status						
Public comment was taken on a draft statement between May-Sept 2012; it was subsequently revised in Oct 2012.						
The updated <u>statement</u> was published on ICANN's website and incorporated in the <u>FY 14 SSR Framework</u> 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



SSR Review Recommendation 2 Implementation

Recommendation fully implemented as of 30 June 2015



SSR Recommendation 2 Implementation ICANN's SSR Remit and Limited Technical Mission

30 June 2015

Implementation 2 Timeline



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 30 June 2015

Project Status

The <u>statement</u> (and <u>SSR Framework</u>) informed ICANN's new <u>Strategic Plan for FY2016—2020</u>, 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 <u>here</u>.

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

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 <a href="https://example.com/here/bear-based-series/bear-based

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



SSR Review Recommendation 3 Implementation

Recommendation fully implemented as of 30 June 2015



SSR Recommendation 3 Implementation ICANN's SSR Remit and Limited Technical Mission

30 June 2015

Implementation 3 Timeline



Recommendation 3 Implementation Description

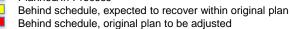
Once ICANN issues a consensus-based statement of its SSR remit and limited technical mission, ICANN should utilize consistent terminology and descriptions of this statement in all materials.

Status of Deliverables

	Responsible	Due Date
Publicize consistent <u>terminology and descriptions</u> 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	√



Complete Planned/In Process





SSR Recommendation 3 Implementation ICANN's SSR Remit and Limited Technical Mission

30 June 2015

Project Status

Consistent terminology and descriptions related to ICANN	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

SSR Review Recommendation 4 Implementation

Recommendation fully implemented as of 31 December 2016



SSR Recommendation 4 Implementation

ICANN's SSR-Related Roles and Responsibilities 31 December 2016

Implementation 4 Timeline



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.

	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	√



SSR Recommendation 4 Implementation

ICANN's SSR-Related Roles and Responsibilities 31 December 2016

Project Status

- (Phase I) Many of ICANN's SSR relationships have been <u>defined and publicized</u>. As part of ISSSR Team SOP, this work will be <u>updated periodically</u> 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: September 2016.
 - Work is underway to capture and publish all the SSR-related MOUs and publish the information on the IS-SSR web site one the inventory has been completed
- (Phase II) In final development for posting to IS-SSR site document builds on above, provide additional detail on formal relationships ICANN has with key organizations. This includes: 1) noting the "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: September 2016. Draft completed and pending final review.
- <u>ICANN Security Awareness Resource Locator Developed</u> 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.
- The document tracking ICANN SSR related roles and responsibilities has been completed and posted at https://www.icann.org/en/system/files/files/ssr-relationships-fy17-23jan17-en.pdf

Implementation Notes

This recommendation has been completed.



SSR Review Recommendation 5 Implementation

Recommendation fully implemented as of 31 December 2016



SSR Recommendation 5 Implementation

ICANN's SSR-Related Roles and Responsibilities 31 December 2016

Implementation 5 Timeline



SSR relationships

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.

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	√



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 2016

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: September 2016.
 - SSR Framework for 2015 under development with current publication date revised to December 2016
- The document tracking ICANN SSR related roles and responsibilities has been completed and posted at https://www.icann.org/en/system/files/files/ssr-relationships-fy17-23jan17-en.pdf

Implementation Notes

This recommendation has been completed..

SSR Review Recommendation 6 Implementation

Recommendation fully implemented as of 30 June 2015



SSR Recommendation 6 Implementation

ICANN's SSR-Related Roles and Responsibilities 30 June 2015

Implementation 6 Timeline



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.

	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 <u>text</u> as agreed to by the AC's chairs	Staff	√



SSR Recommendation 6 Implementation ICANN's SSR-Related Roles and Responsibilities

30 June 2015

Pro	ject	Sta	tus
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 Roles and Responsibilities of SSAC are reflected in ICANN's Bylaws and defined in SSAC's 	Operatin	g Procedures.
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•	Roles and Res	ponsibilities for F	RSSAC are reflected	in an updated charte	r contained in	ICANN's By	/laws.
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•	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

SSR Review Recommendation 7 Implementation

Recommendation fully implemented as of 30 September 2016



SSR Recommendation 7 Implementation

ICANN's SSR Framework and Strategic Plan 30 September 2016

Implementation 7 Timeline



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.

	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 <u>Annual SSR Framework Report</u>	Staff	✓



SSR Recommendation 7 Implementation

ICANN's SSR Framework and Strategic Plan 30 September 2016

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. The ICANN Security, Stability and Resiliency department documented its Mission, Approach, Tasks in its August 2015 blog.
- •The 2015 SSR Annual Framework report, was released in August 2016.

Implementation Notes

This recommendation is completed with the Report published August 2016

SSR Review Recommendation 8 Implementation

Recommendation fully implemented as of 30 June 2015



SSR Recommendation 8 Implementation

ICANN's SSR Framework and Strategic Plan 30 June 2015

Implementation 8 Timeline



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.

	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	√



SSR Recommendation 8 Implementation

ICANN's SSR Framework and Strategic Plan 30 June 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 <u>portfolio management reporting</u> and SSR <u>quarterly reports</u>

Implementation Notes



SSR Review Recommendation 9 Implementation

Recommendation fully implemented as of 30 September 2015



SSR Recommendation 9 Implementation

ICANN Operational Responsibilities 30 September 2015

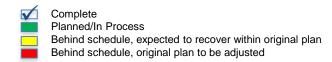
Implementation 9 Timeline



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.

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





SSR Recommendation 9 Implementation

ICANN Operational Responsibilities 30 September 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 <u>EFQM web page</u> 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

SSR Review Recommendation 10 Implementation

Recommendation fully implemented as of 30 June 2015



SSR Recommendation 10 Implementation

ICANN Operational Responsibilities 30 June 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.

	Responsible	Due Date
Report compliance activities as part of standard operating procedures	Staff	√
 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	√



SSR Recommendation 10 Implementation

ICANN Operational Responsibilities 30 June 2015

Pro	ject	Status	3
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[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 outreached programs in place; new positions created to ensure fulfillment of goals and objectives in this area.

Implementation Notes

SSR Review Recommendation 11 Implementation

Recommendation fully implemented as of 14 April 2017



SSR Recommendation 11 Implementation

ICANN Operational Responsibilities 14 April 2017

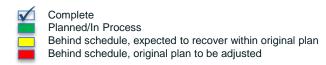
Implementation 11 Timeline

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.

	Responsible	Due Date
Identify and implement measures of success for new gTLDs and IDN fast track that expressly address SSR-related program objectives	Staff	√
Include operations that support SSR objectives in new gTLDs as part of standard operating procedures, including: •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	√





SSR Recommendation 11 Implementation

ICANN Operational Responsibilities 14 April 2017

Project Status

- Work took place 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 were factored in are included below. The published report can be found at: https://community.icann.org/display/SSR/Rec+%2311
- Operations that support SSR objectives in new gTLDs are part of ICANN's SOP, including Service Level Agreements and monitoring, emergency backend registry operators and data escrow, Trademark Clearinghouse, root zone scaling management, DNSSEC-related activities, and Compliance Dept. activities.
- Implementation is underway for (<u>IAG-CCT</u>) 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 <u>third-party research</u> 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.
- Per the new gTLD Program <u>Applicant Guide Book</u>, 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 <u>Final Implementation Plan</u>, 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 <u>Label Generation Rule set (LGR)</u> 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
- As part of addressing recommendation and its implementation, a report was developed to inventory numerous activities within multiple ICANN departments that have the potential to support to-be-defined SSR objectives for new gTLD and IDN fast track programs.
- ICANN 55 Root Stability Study Workshop
- A review of the New gTLD Program for security and stability impact is a previous commitment based on advice from the GAC and other discussions. The vendor contracted to conduct this study presented their methodology for conducting this review and invited feedback from interested stakeholders. This recommendation implementation also looked at the work underway in the CCT RT on new gTLDs and domain name abuse.

Implementation Notes



SSR Review Recommendation 12 Implementation

Recommendation fully implemented as of 31 March 2017



SSR Recommendation 12 Implementation

ICANN Areas of Influence as a Coordinator, Collaborator and Facilitator 31 March 2017

Implementation 12 Timeline

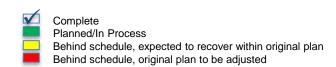


Practices

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.

	Responsible	Due Date
Identify and/or establish "best practices," and integrate those best practices into agreements into which ICANN enters	Staff	✓
Maintain resource locator <u>page</u> 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	√





SSR Recommendation 12 Implementation

ICANN Areas of Influence as a Coordinator, Collaborator and Facilitator 31 March 2017

Project Status

Staff worked 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 has assessed the range of activities underway that advance identification and communication of SSR-related best practices, and instituted an updated and holistic approach to identifying and supporting the implementation of best practices. This information was captured in a report.

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



SSR Review Recommendation 13 Implementation



SSR Recommendation 13 Implementation ICANN Areas of Influence as a Coordinator, Collaborator and Facilitator

30 June 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	√

Behind schedule, original plan to be adjusted



SSR Recommendation 13 Implementation

ICANN Areas of Influence as a Coordinator, Collaborator and Facilitator 30 June 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 <u>information</u> 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

SSR Review Recommendation 14 Implementation



SSR Recommendation 14 Implementation ICANN Engagement with Others in the Global Internet Ecosystem 30 June 2015

Implementation 14 Timeline



Publish remit

Recommendation 14 Implementation Description

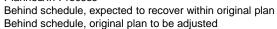
ICANN should ensure that its SSR-related outreach activities continuously evolve to remain relevant, timely and appropriate

Status of Deliverables

	Responsible	Due Date
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.	Staff	√



Planned/In Process





SSR Recommendation 14 Implementation ICANN Engagement with Others in the Global Internet Ecosystem 30 June 2015

Project Status	Proj	ect	Statu	S
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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 <u>new Engagement Interface</u> allows the community to see upcoming SSR
and related outreach and engagement activities. This is an on-going obligation.

Implementation Notes

SSR Review Recommendation 15 Implementation



SSR Recommendation 15 Implementation ICANN Engagement with Others in the Global Internet Ecosystem 30 June 2015

Implementation 15 Timeline



disclosure

Recommendation 15 Implementation Description

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

	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	√



SSR Recommendation 15 Implementation ICANN Engagement with Others in the Global Internet Ecosystem 30 June 2015

Proj	ect	Stat	us
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ICANN published a Coordinat	ed Vulnerability	Disclosure do	ocument in 2013.	While the fr	amework and	SOP is in place,
staff notes that because facil	itation of respon	sible disclosu	re is an on-going	obligation th	ne 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

SSR Review Recommendation 16 Implementation



SSR Recommendation 16 Implementation

Maintaining Clear Processes for SSR Issues 30 June 2015

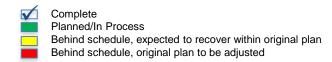
Implementation 16 Timeline



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.

	Responsible	Due Date
Expand <u>Outreach activities</u> 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	√





SSR Recommendation 16 Implementation

Maintaining Clear Processes for SSR Issues 30 June 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 <u>Regional Engagement Strategies</u> 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



SSR Review Recommendation 17 Implementation



SSR Recommendation 17 Implementation

Maintaining Clear Processes for SSR Issues 30 June 2015

Implementation 17 Timeline

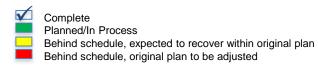


Process

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

	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	√





SSR Recommendation 17 Implementation Maintaining Clear Processes for SSR Issues 30 June 2015

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Implementation Notes

SSR Review Recommendation 18 Implementation



SSR Recommendation 18 Implementation

Maintaining Clear Processes for SSR Issues 30 June 2015

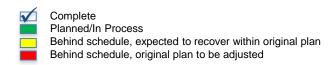
Implementation 18 Timeline



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

	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	√





SSR Recommendation 18 Implementation

Maintaining Clear Processes for SSR Issues 30 June 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 <u>Organizational (structural) reviews</u>, as appropriate; these are scheduled every five years.

Implementation Notes

SSR Review Recommendation 19 Implementation



SSR Recommendation 19 Implementation

Maintaining Clear Processes for SSR Issues 30 June 2015

Implementation 19 Timeline

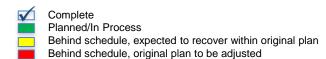


SSR Framework

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.

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





SSR Recommendation 19 Implementation Maintaining Clear Processes for SSR Issues 30 June 2015

Proj	ect	Statu	IS
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The publication of the <u>annual SSR Framework</u> 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

SSR Review Recommendation 20 Implementation

Recommendation fully implemented as of 10 April 2017



SSR Recommendation 20 Implementation

ICANN's SSR-Related Budget and Staff 10 April 2017

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.

	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	✓
(Phase II) Explore after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event	Staff	✓



SSR Recommendation 20 Implementation

ICANN's SSR-Related Budget and Staff 10 April 2017

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 was underway to identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments. Staff also explored after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event; A template for a public version of these reports has been published and can be found at: https://community.icann.org/display/SSR/Rec+%2320 . This report will be published annually for every fiscal year, starting FY18.

Implementation Notes

SSR Review Recommendation 21 Implementation

Recommendation fully implemented as of 10 April 2017



SSR Recommendation 21 Implementation

ICANN's SSR-Related Budget and Staff 10 April 2017

Implementation 21 Timeline



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 costbenefit analysis

	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	√
(Phase II) Explore after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event	Staff	✓



SSR Recommendation 21 Implementation

ICANN's SSR-Related Budget and Staff 10 April 2017

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 was underway to identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments. Staff also explored after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event; A template for a public version of these reports has been published and can be found at: https://community.icann.org/display/SSR/Rec+%2320 . This report will be published annually for every fiscal year, starting FY18.

Implementation Notes

This recommendation is complete. See update in Recommendation 20.

SSR Review Recommendation 22 Implementation

Recommendation fully implemented as of 10 April 2017



SSR Recommendation 22 Implementation

ICANN's SSR-Related Budget and Staff 10 April 2017

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.

	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	✓
(Phase II) Explore after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event	Staff	√



SSR Recommendation 22 Implementation

ICANN's SSR-Related Budget and Staff 10 April 2017

Project Status

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

(Phase I) A <u>planning framework and process</u> 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 <u>reporting</u> augments this public information.

(Phase II) Exploration was underway to identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments. Staff also explored after-event-reports (for relevant threats) that include budget and resource impacts related to managing the event; A template for a public version of these reports has been published and can be found at: https://community.icann.org/display/SSR/Rec+%2320 . This report will be published annually for every fiscal year, starting FY18.

Implementation Notes

This recommendation is complete. See update in Recommendation 20.

SSR Review Recommendation 23 Implementation



SSR Recommendation 23 Implementation

Immediate and Near-Term Future Risk 30 June 2015

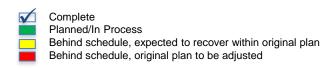
Implementation 23 Timeline

Appropriate Resources and Support

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.

	Responsible	Due Date
Maintain adequate independent <u>funding to allow</u> <u>SSAC and RSSAC</u> 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	√





SSR Recommendation 23 Implementation

Immediate and Near-Term Future Risk 30 June 2015

Project Status

ICANN has in place <u>funding allocated to allow SSAC and RSSAC</u> 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 <u>published</u> <u>for FY 15</u>.

Implementation Notes

SSR Review Recommendation 24 Implementation



SSR Recommendation 24 Implementation

Longer-Term Future Risk 30 June 2015

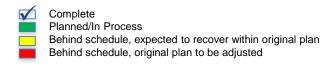
Implementation 24 Timeline



Recommendation 24 Implementation Description

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

	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	√





SSR Recommendation 24 Implementation Longer-Term Future Risk 30 June 2015

Project Status

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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 Review Recommendation 25 Implementation



SSR Recommendation 25 Implementation

Longer-Term Future Risk 31 March 2016

Implementation 25 Timeline

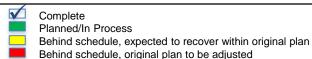


Risk Management

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.

	Responsible	Due Date
The <u>DNS Risk Management Framework</u> was <u>approved</u> by the Board in Nov. 2013.	Staff	٧
The DNS Risk Assessment and DNS Resilience Model was published in May 2014.	Staff	٧
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	٧
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	٧
Periodic review and update of the <u>DNS Risk</u> <u>Management Framework</u> is part of ICANN's SOP.	Staff	٧
Community collaboration on, and updating of, ERM continues. Recommendations 25 – 28 will reach closure upon completion and Board Risk Committee approval of ERM update.	Staff	٧





SSR Recommendation 25 Implementation

Longer-Term Future Risk 31 March 2016

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 <u>DNS Risk Management Framework</u> 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.
- —<u>Community collaboration</u> on, and updating of, ERM continues. Recommendations 25 28 will reach closure upon completion and <u>Board Risk Committee</u> approval of ERM update.
- •Risk Committee of the ICANN Board is engaged in reviewing the ERM framework.

Implementation Notes

This recommendation is complete.

The <u>Risk Committee of the Board</u> 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 Review Recommendation 26 Implementation



SSR Recommendation 26 Implementation

ICANN's Risk Management Process 31 March 2016

Implementation 26 Timeline



Risk Management

Recommendation 26 Implementation Description

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

	Responsible	Due Date
See Recommendation 25	Staff	√



SSR Recommendation 26 Implementation

ICANN's Risk Management Process 31 March 2016

Project	S tatus
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See Recommendation 25		

Implementation Notes

This recommendation is completed.

The <u>Risk Committee of the Board</u> 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 Review Recommendation 27 Implementation



SSR Recommendation 27 Implementation

Risk Management Framework 31 March 2016

Implementation 27 Timeline



Risk Management

Recommendation 27 Implementation Description

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

	Responsible	Due Date
See Recommendation 25	Staff	٧



SSR Recommendation 27 Implementation

Risk Management Framework 31 March 2016

Project Stat	tus
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See Recommendation 25			

Implementation Notes

This recommendation is completed.

<u>The Risk Committee of the Board</u> 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 Review Recommendation 28 Implementation



SSR Recommendation 28 Implementation

Incidence Response and Notification 31 March 2016

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

	Responsible	Due Date
See Recommendation 25 for status of Enterprise Risk Management Framework	Staff	√
Identifier Systems SSR Activities Reporting	Staff	√
Coordinated Vulnerability Disclosure Reporting	Staff	√



SSR Recommendation 28 Implementation

Incidence Response and Notification 31 March 2016

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 completed.

The <u>Risk Committee of the Board</u> 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

