

SSR REVIEW IMPLEMENTATION REPORT



The following tables show the current status of implementation for the 28 SSR Review Team recommendations, as directed by the ICANN Board.





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


15 - Complete ✓ or 


13 - In Progress ○ or 

Report Recommendations Implementation As of June 2015



AoC Rec #	Board Action	Description/Summary of Implementation Directions	Milestones, Completion Dates, SOP Links
ICANN Remit, Mission			
1 	Adopted	ICANN should publish a single, clear and consistent statement of its SSR remit and limited technical mission.	<ul style="list-style-type: none"> ✓ 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.
2 	Adopted	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.	<ul style="list-style-type: none"> ✓ 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.
18 	Adopted	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.	<ul style="list-style-type: none"> √ 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.
24 	Adopted	ICANN must clearly define the charter, roles and responsibilities of the Chief Security Office Team.	<ul style="list-style-type: none"> √ 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.
Internationalization – Terminology and Relationships			
3 	Adopted	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.	<ul style="list-style-type: none"> √ 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. <p>As SSR activities evolve, terminology and descriptions will be updated as part of SOP.</p>
4 	Adopted	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	<ul style="list-style-type: none"> √ (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 II) In development stage – building on above, provide additional detail on formal relationships ICANN has with key organizations. This includes: 1) defining “relationship,”



		understanding the interdependencies between organizations.	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: Sept 2015. Closure date TBD. ✓ (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: Sept 2015.
5 	Adopted	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.	✓ (Phase I) 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). Target completion date: Oct 2015.
Multistakeholder Model Evolution			
6 	Adopted	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.	✓ 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 was agreed to by the AC’s chairs. April 2015
12 	Adopted	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.	○ 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. Target completion date: Oct 2015 ✓ ICANN staff has a resource locator page that the Security Team maintains to support ICANN


			<p>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.</p> <p>√ 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.</p> <p>√ MoUs with numerous international entities address SSR-related best practices.</p> <p>√ Several Regional Engagement Strategies include SSR best practices; in particular, strategies for Africa, Latin America and Middle East regions emphasize SSR responsibilities.</p> <p>√ 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.</p> <p>√ The revised new gTLD registry agreement contains additional language on SSR best practices.</p>
13 	Adopted	ICANN should encourage all Supporting Organizations to develop and publish SSR-related best practices for their members.	<p>√ 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.</p> <p>√ ICANN staff engages in a variety of ongoing activities to encourage global use of SSR best practices, as part of SOP (see Recommendation 12).</p> <p>√ 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.</p>




Operations Excellence – Objectives

7 	Adopted	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.	<p>[Note: Recommendation was made before ICANN’s current planning, budgeting and portfolio/project management and reporting processes were instituted].</p> <ul style="list-style-type: none"> √ 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
8 	Adopted	ICANN should continue to refine its Strategic Plan objectives, particularly the goal of maintaining and driving DNS availability. Clear alignment of Framework & Strategic Plan.	<ul style="list-style-type: none"> √ 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.




Operations Excellence – Standards and Compliance






9 	Adopted	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.	<ul style="list-style-type: none"> √ 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).
10 	Adopted	ICANN should continue its efforts to step up contract compliance enforcement and provide adequate resources for this function. ICANN also should develop and	<p>[Note: As Review Team noted, this Recommendation is more fully addressed in the WHOIS Review]</p> <ul style="list-style-type: none"> √ Regular public reporting of compliance activities are part of SOP; detailed information is available here.



		implement a more structured process for monitoring compliance issues and investigations.	√ 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.
Operations Excellence – New Generic TLDs and IDNs			
11 	Adopted	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.	<ul style="list-style-type: none"> ○ Effort is 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: Aug 2015. Closure date Oct 2015. √ 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. Target completion date: Oct 2015. ○ 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. Target completion date: Oct. 2015 √ 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 ccLD 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 being developed to have a conservative mechanism to define IDN TLD labels, focused on DNS stability and security. Target completion date: Oct. 2015

			√ The IDN ccTLD Fast Track Process is reviewed annually and includes SSR components.
22 	Adopted	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.	See Recommendation 20
Internationalization – Outreach and Engagement			
14 	Adopted	ICANN should ensure that its SSR-related outreach activities continuously evolve to remain relevant, timely and appropriate.	√ 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.
16 	Adopted	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.	<p>√ 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.</p> <p>√ Several Regional Engagement Strategies include SSR best practices and SSR topics are addressed by ICANN across all global regions.</p> <p>√ This is related to Recommendations 4, 5 and 14.</p> <p>√ 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.</p>

Operations Excellence – Risk Management and Threat Mitigation

15 	Adopted	ICANN should act as a facilitator in the responsible disclosure and dissemination of DNS security threats and mitigation techniques.	<ul style="list-style-type: none"> √ 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.
19 	Adopted	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.	<ul style="list-style-type: none"> √ 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.
25 	Adopted	ICANN should put into place mechanisms for identifying both near and longer-term risks and strategic factors in its Risk Management Framework.	<p>[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]</p> <ul style="list-style-type: none"> √ 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
26 	Adopted	ICANN should prioritize the timely completion of a Risk Management Framework.	See above
27 	Adopted	ICANN’s Risk Management Framework should be comprehensive within the scope of its SSR remit and limited missions	See above
28 	Adopted	ICANN should continue to actively engage in threat detection and mitigation, and participate in efforts to distribute threat and incident information	See above
Operations Excellence - Transparency			
17 	Adopted	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.	√ 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.
20 	Adopted	ICANN should increase the transparency of information about organization and budget related to implementing the SSR Framework and performing SSR-related functions.	[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.

			<ul style="list-style-type: none"> ○ (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: Oct 2015. ○ (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: Oct 2015.
Operations Excellence - Structure			
21 	Adopted	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.	See Recommendation 20
Multistakeholder Model Innovation			
23 	Adopted	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.	<ul style="list-style-type: none"> √ 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.