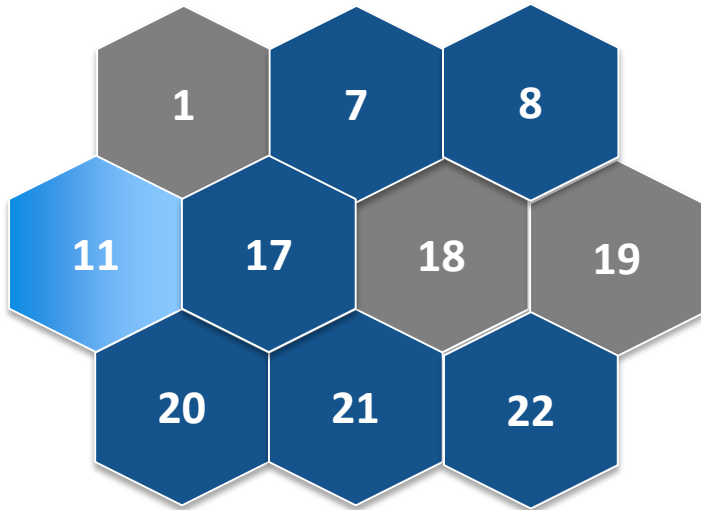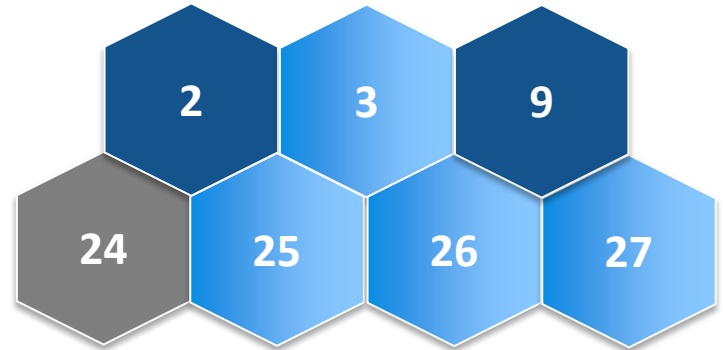# SSR1
Review Implementation

ICANN

Briefing on SSR1 Recommendations
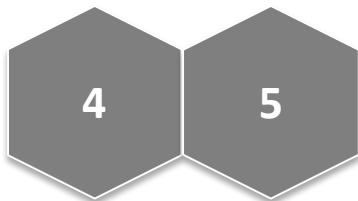
SSR1 Recommendations

SSR Framework

ICANN's SSR Role & Remit Within It's Limited Mission

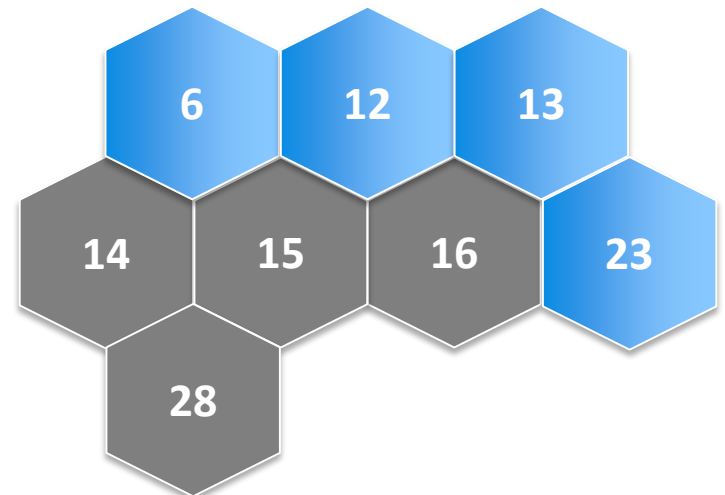## SSR Relationships to Support ICANN's Work

Compliance

SSR Community Outreach & Info Sharing – Security Threats & Mitigation

Legend:
- Briefing completed
- Briefing covered in this presentation
- Briefing not presented yet

Recommendations

ICANN should continue to refine its Strategic Plan objectives, particularly the goal of maintaining and driving DNS availability. The Strategic Plan and SSR Framework should reflect consistent priorities and objectives to ensure clear alignment.

8

2 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.

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.

21

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.

22

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. This process should be informed by a pragmatic cost-benefit and risk analysis.

7

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.

9

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. It also should establish metrics and milestones for implementation.

17

ICANN should increase the transparency of information about organization and budget related to implementing the SSR Framework and performing SSR-related functions. Information should be provided with enough clarity that the Community can track ICANN's execution of its SSR responsibilities, while not impeding ICANN's ability to operate effectively.

20

Strategic & Operating Plan FY 2016 - 2020

SSR1 Recommendation 2 – **Status and Deliverables**

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.

1 Reflect ICANN's strategic SSR objectives, goals and key success factors (KSFs) in the Strategic Plan for FY2016—2020

2 Include SSR key performance indicators (KPI's), dependencies, five-year phasing and portfolios in the Five-Year Operating Plan

3 Include details on proposed SSR activities and expenditures in the Annual Operating Plan & Budget

4 Periodically review SSR Framework, including the SSR role and remit statement.

- 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.

- 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.

SSR1 Recommendation 7 – **Status and Deliverables**

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. This process should be informed by a pragmatic cost-benefit and risk analysis

1 Incorporate SSR Framework and reflect SSR priorities, objectives and activities into standard operating procedures for development of ICANN plans and budgets

2 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

3 Improve and publish process for establishing updated SSR priorities and objectives

4 Publish Annual SSR Framework Report

- 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.

SSR1 Recommendation 8 – **Status and Deliverables**

ICANN should continue to refine its Strategic Plan objectives, particularly the goal of maintaining and driving DNS availability. The Strategic Plan and SSR Framework should reflect consistent priorities and objectives to ensure clear alignment.

1 Incorporate SSR Framework and reflect SSR priorities, objectives and activities into standard operating procedures for development of ICANN plans and budgets

2 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

- 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

SSR1 Recommendation 17 – **Status and Deliverables**

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. It also should establish metrics and milestones for implementation.

1

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.

- 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.

ICANN Planning Process

- ICANN's Planning Process cycle has a threefold approach encompassing a *Strategic Plan*, a *Five-Year Operating Plan*, and an *Annual Operating Plan & Budget*.
    - ***Strategic Plan*** – Developed with community input and updated every five years. Designed to shape ICANN priorities, inform its budget and drive activities.
    - ***Five-Year Operating Plan*** – Developed with community input and updated annually.
    - ***Annual Operating Plan & Budget*** – Derived from the Five-Year Operating Plan and

Security, Stability, & Resiliency in the ICANN Strategic Plan

- In October 2014, ICANN published a new Strategic Plan for fiscal years 2016-2020.
- As illustrated below, the ICANN Strategic Plan identifies a healthy, stable, and resilient Unique Identifier ecosystem as one of five strategic objectives for the organization.

1 Evolve and further **globalize** ICANN.

4 Promote ICANN's role and **multistakeholder** approach.

2 Support a healthy, stable, and resilient **unique identifier ecosystem**.

5 Develop and implement a **global public interest** framework bounded by ICANN's mission.

3 Advance **organizational**, **technological** and **operational excellence**.

Figure 4 – ICANN's Strategic Objectives (2016-2020)

FY2016 – 2020 Strategic Objective 2: Support a healthy, stable, and resilient unique identifier ecosystem:

2.1) Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem.

2.2) Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities.

2.3) Support the evolution of domain name marketplace to be robust, stable and trusted.

Strategic Objective 2.1:

Foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem

ICANN

Strategic Objective 2.1 – ICANN Activities

To foster and coordinate a healthy, secure, stable, and resilient identifier ecosystem, ICANN organization will:

1. Deliver services to the ICANN Community according to service level targets
2. Monitor and manage service delivery against targets, identify opportunities for improvement and efficiency
3. Implement process improvements for increased operational efficiency and customer satisfaction
4. Implement system enhancements for increased operational efficiency and effectiveness

Strategic Objective 2.1 - Portfolios

2.1.1 – IANA Department Operations

Description: Operational responsibilities for maintaining registries for protocol parameters, IP numbers, Autonomous System Numbers, and root zone changes. Maintenance of relationship with Internet Engineering Task Force (IETF), Internet Architecture Board (IAB), five Regional Internet Registries (RIRs), and TLD operators

2.1.2 – IANA System Enhancements

Description: Software enhancements, tool development, and other discrete projects to improve delivery of the IANA services

2.1.3 – Advice Registry Management

Description: Development of processes and software used to track the acceptance, implementation, and resolution of advice provided to ICANN via Supporting Organizations, Advisory Committees, Review Teams, and others

2.1.4 – Global Domains Division (GDD) Operations

Description: Projects related to the service implementation and ongoing delivery of services to contracted parties by the GDD. This includes reviewing and improving the way services are delivered

2.1.5 – Global Customer Support

Description: Projects related to the development, implementation and ongoing operations of the ICANN Customer Service Center. This includes support, engagement and advocacy for the global registrant community

2.1.6 – Product Management

Description: Projects and ongoing activities in support of the new gTLD Program. This include technical development work for service platforms

2.1.7 – Implementation of IANA Functions Stewardship Transition and Enhancing ICANN Accountability

Description: Implementation of the community-developed proposals to transition the IANA Functions stewardship and enhance ICANN's accountability
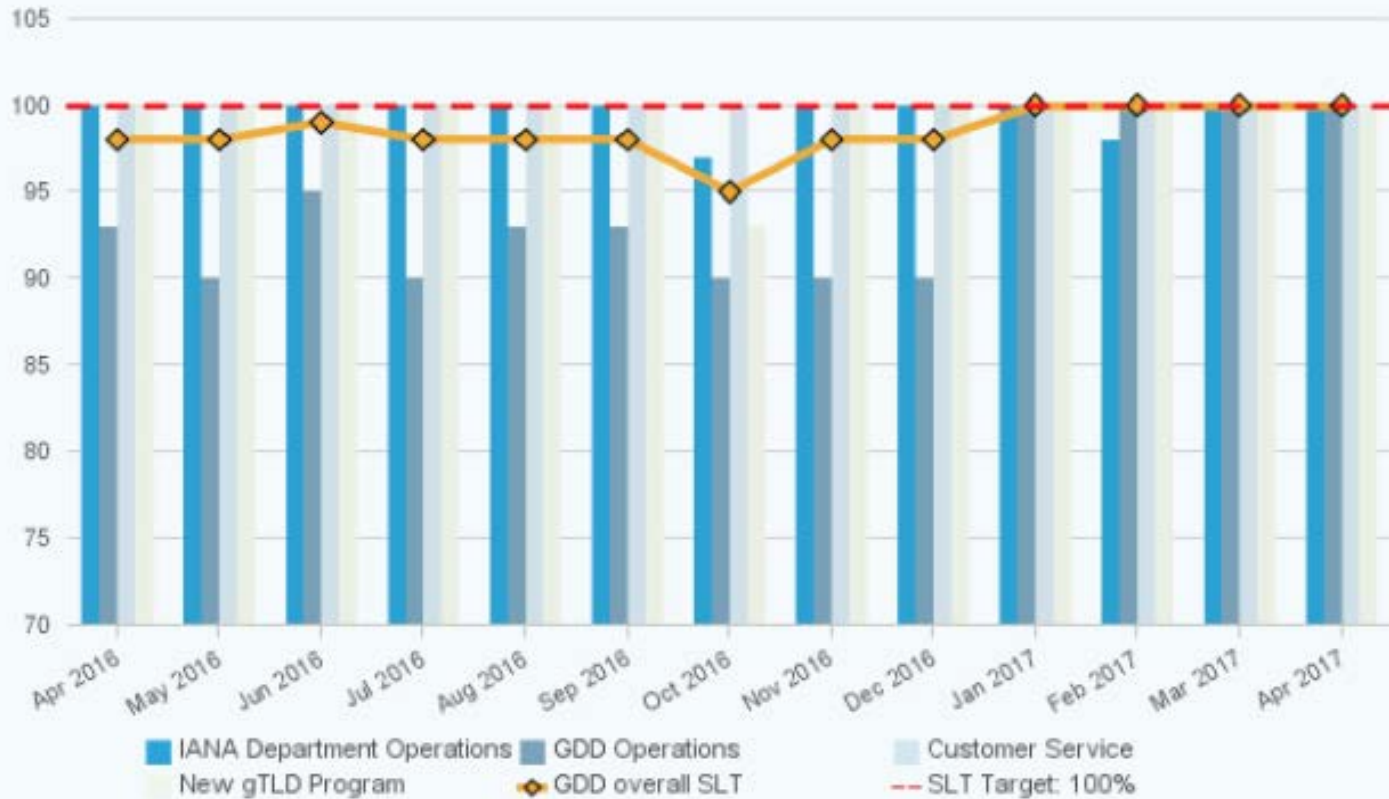
Strategic Objective 2.1 - KPI(s)

Key Performance Indicators (Metrics):

- % of Service Level Targets met across multiple departments including but not limited to IANA, GDD Operations, and Global Customer Support departments

GDD Overall SLT Performance

GDD Overall SLT Performance

The scores represent the aggregate of SLTs measured for the following areas: IANA operations, GDD operations, Customer Service and New gTLD Program.

Strategic Objective 2.1 - Key Success Factors

- Increased collaboration with the global community that improves the security, stability and resiliency of the unique identifier ecosystem (including updates of the root zone, Internet numbers registries, and protocol parameter registries, operation of the "L" root server, and other operational infrastructure supporting the identifier ecosystem).
- Ecosystem is able to withstand attacks or other events without loss of confidence in the operation of the unique identifier system.
- Unquestionable, globally recognized legitimacy as coordinator of unique identifiers.
- Reduction of government/industry/other stakeholders' concerns regarding availability of IP addresses.
- Strengthened arrangements, including commitments, roles and responsibilities, with entities that directly use IANA services.
- Successful transition of the IANA functions stewardship to ICANN as announced by the NTIA.
- Globally accepted, reliable, secure, and trusted services to facilitate access to, and update of, identifier registration data.

Strategic Objective 2.2:
Proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide ICANN activities

ICANN

Strategic Objective 2.2 – ICANN Activities

In order to proactively plan for changes in the use of unique identifiers and develop technology roadmaps to help guide our activities, ICANN organization will:

1. Expand the department to enhance logistical support for research and SSR-related projects.
2. Gain approval of Technology Roadmaps from the community.
3. Continue to expand and enhance relationships with protocol/technology development organizations.
4. Deploy automated systems to collect data and compute ratio of registered domain names to active IP addresses.
5. Deploy automated systems to collect data and compute ratio of registered domain names to Internet users regionally and globally.
6. Publish analyses of data collected, implications of changes in data over time, and other topics relevant to the use of unique identifiers and evolution of identifier technologies
7. Document growth in ratios in developing regions.

Strategic Objective 2.2 - Portfolios

2.2.1 – WHOIS Core Function/Service and Improvements

Description: To promote trust and confidence in the Internet for all stakeholders, ICANN is committed to:

- Enforcing its current WHOIS policy
- Identifying improvements to the accuracy and reliability of the WHOIS system
- Implementing new GNSO consensus policies for WHOIS
- Addressing privacy and data protection concerns

2.2.2 – Identifier Evolution

Description: Track and support the evolution of the Internet's system of unique identifiers through venues such as the IETF, DNS-OARC, W3C, the RIRs, and other relevant bodies

2.2.3 – Technical Experts Group

Description: Support and enhance the Technical Expert Group, facilitating its activities related to exploration of technical issues and opportunities facing ICANN

2.2.4 – Security, Stability, and Resiliency of Internet Identifiers

Description: Work to observe, assess and improve the security, stability, and resiliency (SSR) of the Internet's Identifier systems in close collaboration with other ICANN departments and the community at large. This will be achieved through a range of activities including risk awareness and preparedness, measurement and analysis of identifier system behaviors or performance, and cooperative outreach that emphasizes coordination, capability building, and knowledge transfer

Strategic Objective 2.2 - KPI(s)

Key Performance Indicators (Metrics):

- Identifier Technologies Health Index will measure ICANN's contribution to health of identifiers in both the ICANN and broader Internet communities

Strategic Objective 2.2 - Key Success Factors

- The unique identifier system evolves to meet the world's needs.

- Effective coordination with the IETF and other forums that focus on protocol and technology changes.

- Improved technical acceptance of new TLDs, including Internationalized Domain Names (IDNs), within operating systems, applications, services, etc.

- Unique identifiers are used for the development of new technologies and enhancements to existing technologies.

Strategic Objective 2.3:
Support the evolution of domain name marketplace to be robust, stable and trusted

ICANN

Strategic Objective 2.3 – ICANN Activities

To support the development of a robust, stable and trusted domain marketplace, ICANN organization will:

1. Continue ongoing monitoring of the Domain Name Marketplace Health Index
2. Improve multistakeholder satisfaction by reducing survey gap by at least 10% year over year
3. Show stable healthy year over year growth in the domain name industry
4. Finish the current round of the New gTLD Program and have agreement on the start of next round

Strategic Objective 2.3 - Portfolios

2.3.1 – Registration Directory Services Analysis and Development

Description: To promote trust and confidence in the Internet for all stakeholders, ICANN will evaluate whether there is a better system for providing information about gTLD domain names, consistent with applicable data protection and privacy laws to replace WHOIS, including:

- Conducting a Policy Development Process, to examine whether a new policy framework will be needed to support the next generation of registration directory services
- Evaluating new Registration Directory Services technology
- Understanding the evolving data protection and privacy regulatory framework

2.3.2 – Placeholder

Description: Projects in this portfolio were moved to 2.1.5 based on feedback received on the draft plans. This placeholder has been retained to minimize reader confusion regarding portfolio numbering

2.3.3 – GDD Technical Services

Description: Projects to enhance systems, services and technical subject matter expertise related to a safe, secure, and reliable operation of the DNS

2.3.4 – Internationalized Domain Names

Description: Support the introduction and universal acceptance and adoption of Internationalized Domain Names (IDNs)

2.3.5 – New gTLD Program

Description: Projects and ongoing activities in support of the new gTLD Program. Activities include:

- Program Operations to support New gTLD Contracting, as well as prior to delegation operations including Pre-Delegation Testing, Registry Onboarding and Transition to Delegation. Module 5 of the AGB
- Operate and support Trademark Clearinghouse to enable New gTLD launch processes
- Project to Capture FY17 cost allocations from ICANN (Company 1) to New gTLD budget

Strategic Objective 2.3 – Portfolios (continued)

2.3.6 – Outreach and Relationship Management with Existing and new Registry, Registrar Community

Description: Create outreach and engagement strategies for registry and registrar operators to promote and cultivate a positive and constructive relationship among ICANN Staff, registries, registrars and other participants in the domain name industry value chain. Activities include having dedicated account managers, conducting workshops, webinars, and inter-sessional meetings, and attending ICANN meetings

2.3.7 – Domain Name Services

Description: Domain Name Services ongoing operations and Industry Engagement

2.3.8 – Next gTLD Round Planning

Description: Projects to design, plan and operationally prepare for the next application round of the new gTLD Program

2.3.9 – Universal Acceptance

Description: ICANN support to the Internet community to enable all protocol valid domains - including ccTLDs, gTLDs, and IDNs - to work in applications regardless of the age or script. This work is intended to support the goals of the user choice, user confidence, and competition

2.3.10 – Registry Services

Description: Projects related to managing the contracts, defining new services, and building a strong relationship with current and future registrar operators

2.3.11 – Registrar Services

Description: Projects related to managing the contracts, defining new services, and building a strong relationship with current and future registry operators

Strategic Objective 2.3 - KPI(s)

Key Performance Indicators (Metrics):

- Domain Name Marketplace Health Index

gTLD Marketplace Health Index

*Published for public comment in July 2016 and updated with current data in December 2016. Report available at https://www.icann.org/resources/pages/metrics-gdd-2015-01-30-en
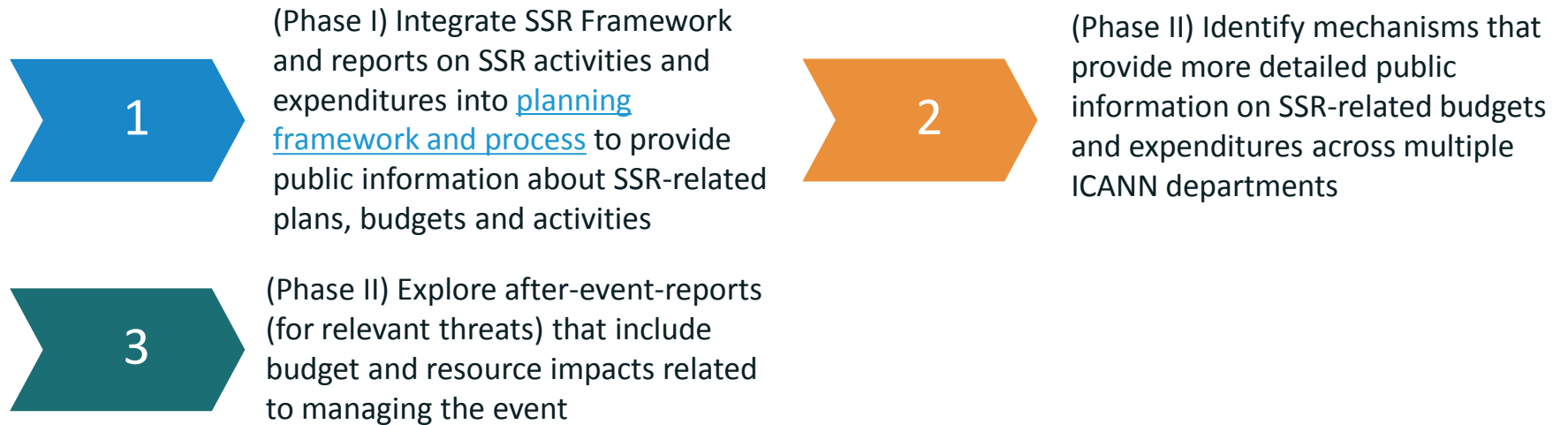
Strategic Objective 2.3 - Key Success Factors

- Credible and respected industry that is compliant with its responsibilities as demonstrated by open, transparent, and accountable systems, policies, and procedures implemented using best practices.

- High confidence in ICANN's coordination of the domain name system.

SSR-Related Budget & Expenditures

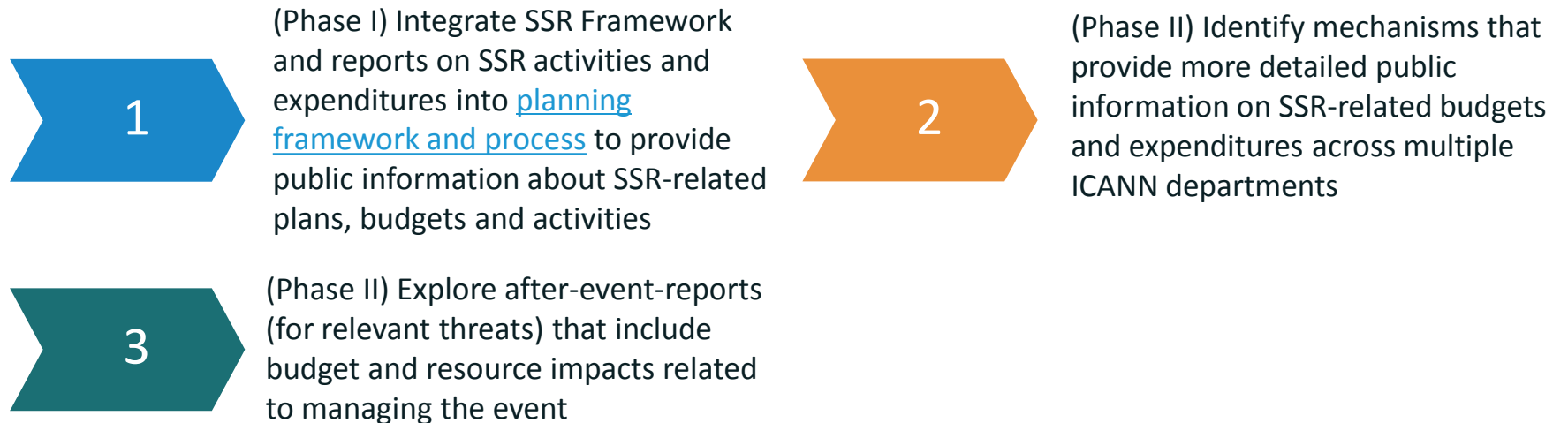# SSR1 Recommendation 20 – **Status and Deliverables**

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.

1 (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

2 (Phase II) Identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments

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

- (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.

SSR1 Recommendation 21 – **Status and Deliverables**

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.

1 (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

2 (Phase II) Identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments

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

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SSR1 Recommendation 22 – **Status and Deliverables**

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.

1 (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

2 (Phase II) Identify mechanisms that provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments

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

- (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.

SSR-Related Budget & Expenditure – Strategic Objective (2.1)

Strategic Objective (2.1): Foster and Coordinate a Healthy, Secure, Stable, and Resilient Identifier Ecosystem

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin	Capital	Total
2.1.1 IANA Department Operations	18.1	3.0	0.2	0.7	0.4	0.1	4.4
2.1.2 IANA System Enhancements	1.2	0.3	0.0	0.0	0.0	0.0	0.3
2.1.3 Advice Registry Management	1.3	0.3	0.0	0.0	0.0	0.0	0.3
2.1.4 Global Domains Division (GDD) Operations	15.1	2.8	0.8	2.3	0.0	0.0	5.9
2.1.5 Global Customer Support	15.0	1.5	0.1	0.0	0.2	0.0	1.9
2.1.6 Product Management	2.0	0.4	0.0	0.0	0.0	0.0	0.5
2.1.7 Implementation of IANA Functions Stewardship Transition & Enhancing ICANN Accountability	1.0	0.3	0.0	0.9	0.1	0.1	1.4
Total	53.5	$8.5	$1.2	$3.9	$0.7	$0.2	$14.5

Strategic Objective (2.2): Proactively Plan for Changes in the Use of Unique Identifiers and Develop Technology Roadmaps to Help Guide ICANN Activities

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin	Capital	Total
2.2.1 WHOIS Core Function/Service & Improvements	0.6	0.3	0.0	0.0	0.0	0.0	0.3
2.2.2 Identifier Evolution	2.0	0.6	0.0	0.2	0.1	0.0	1.0
2.2.3 Technical Experts Group	0.3	0.1	0.0	0.0	0.0	0.0	0.1
2.2.4 Security, Stability, and Resiliency of Internet Identifiers	10.6	2.8	0.3	0.4	0.1	0.1	3.8
Total	13.5	$3.8	$0.3	$0.6	$0.3	$0.2	$5.1

SSR-Related Budget & Expenditure – Strategic Objective (2.3)

Strategic Objective (2.3): Support the Evolution of Domain Name Marketplace to be Robust, Stable and Trusted

Portfolios	FTE	Pers	T&M	Prof Svcs	Admin	Capital	Total
2.3.1 Registration Directory Services Analysis and Development	1.0	0.2	0.0	0.0	0.0	0.0	0.2
2.3.2 Placeholder: Projects in this portfolio were moved to 2.1.5 based on feedback received on the draft plans. This placeholder has been retained to minimize reader confusion regarding portfolio numbering.	-	0.0	0.0	0.0	0.0	0.0	0.0
2.3.3 GDD Technical Services	3.4	0.6	0.0	0.2	0.0	0.0	0.8
2.3.4 Internationalized Domain Names	1.0	0.2	0.2	0.8	0.0	0.0	1.2
2.3.5 New gTLD Program	4.4	3.5	0.8	6.2	1.1	0.0	11.7
2.3.6 Outreach and Relationship Management with Existing and new Registry, Registrar Community	-	0.0	0.0	0.1	0.0	0.0	0.1
2.3.7 Domain Name Services	5.7	1.3	0.1	0.2	0.0	0.0	1.7
2.3.8 Next gTLD Round Planning	8.3	1.6	0.0	0.8	0.0	0.0	2.5
2.3.9 Universal Acceptance	-	0.0	0.0	1.3	0.0	0.0	1.3
2.3.10 Registry Services	9.0	1.4	0.2	0.2	0.0	0.0	1.9
2.3.11 Registrar Services	6.0	1.1	0.1	0.1	0.1	0.0	1.4
Total	38.8	$9.9	$1.5	$9.9	$1.3	$0.0	$22.7
	105.7	$22.2	$3.1	$14.4	$2.3	$0.4	$42.2

SSR-Related Budget & Expenditure on-going Reporting Template

Summarized view of total SSR-related costs:

SSR Functions	FYxx Budget	FYxx Actual	FYxy Budget
Direct Costs / Dedicated resources			
Direct Costs / Shared resources			
Support Services Allocations			
Total			

SSR-related cost breakdown by department:

Function	Department	Description
Direct SSR Departments	Department Name	Travel & Meeting Cost: Personnel Cost: Capital Cost: Total Cost:
	Department Name	Travel & Meeting Cost: Personnel Cost: Capital Cost: Total Cost:
Direct Shared Resources	Department Name	Travel & Meeting Cost: Personnel Cost: Capital Cost: Total Cost:
	Department Name	Travel & Meeting Cost: Personnel Costs: Capital Cost: Total Cost:
Support Services Allocations	Multiple	Travel & Meeting Cost: Personnel Costs: Capital Cost: Total Cost:

Certification

SSR1 Recommendation 9 – **Status and Deliverables**

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.

1 Implement DNSSEC in the root

2 Incorporate SSR-related certification into EFQM program

- ICANN's implementation of DNSSEC in the root has achieved SysTrust certification.
- 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.

Certifications & Audits

- As part of ICANN organization's commitment to ensuring the security and stability of the Internet's unique identifier systems, we conduct two third-party audits each year on different aspects of the IANA functions we provide. These audits evaluate our Service Organization Controls (SOCs) against the "Trust Services Principles and Criteria":

  - SOC 3 Certification of Root Zone KSK System

  - SOC 2 for Registry Assignment and Maintenance Systems

Trust Services Principles and Criteria

- The Trust Services Principles and Criteria is an international set of principles and criteria developed and managed by the American Institute of Certified Public Accountants (AICPA).

- The SOC 2 and SOC 3 examination is a rigorous process developed by the AICPA to provide independent assurance that an organization's systems are reliable.

- ICANN organization's SOC certification and reports focus on the following Trust Services principles:
    - Availability — the system was available for operation and use, as committed or agreed
    - Processing Integrity — the system processing was complete, accurate, timely, and authorized
    - Security — the system was protected against unauthorized access
    - Each principle is supported by well-defined and detailed criteria that encompass a company's infrastructure, software, data, people, and procedures.

SOC 3 Certification of Root Zone KSK System

- As the DNSSEC Root Zone Key Signing Key (RZ KSK) manager, ICANN organization engages a third party to ensure appropriate internal controls are in place to meet the availability, processing integrity and security objectives for the RZ KSK System.

- For this system, SOC 3 framework (formerly known as SysTrust) is used, with the audit conducted by the international accounting firm, PricewaterhouseCoopers, LLP (PwC).

- PwC has been performing the SysTrust/SOC 3 audit since 15 June 2010.

- PwC has evaluated the IT operational practices and controls around the RZ KSK System and awarded ICANN organization with SOC 3 certification with an unqualified opinion. This certification is renewed annually.

SOC 2 for Registry Assignment and Maintenance Systems

- ICANN organization engages a third party to ensure we have appropriate internal controls in place to meet the availability, processing integrity, and security objectives for the key systems used to support the IANA function's transaction processing.

- These systems are referred to as our Registry Assignment and Maintenance Systems (RAMS), and includes the Root Zone Management System, and the system used to manage IETF protocol parameter registries and number allocation requests.

- The RAMS are audited using the SOC2 framework, with the audit conducted by PwC.

- The SOC 2 audit report is provided to the relevant oversight bodies to fulfill a requirement of the contract between PTI and ICANN; the Memorandum of Understanding between ICANN and the IETF; and the SLA contract between ICANN and the five Regional Internet Registries.

- PwC has prepared SOC 2 reports covering periods commencing June 2013, with audits conducted on an annual basis.
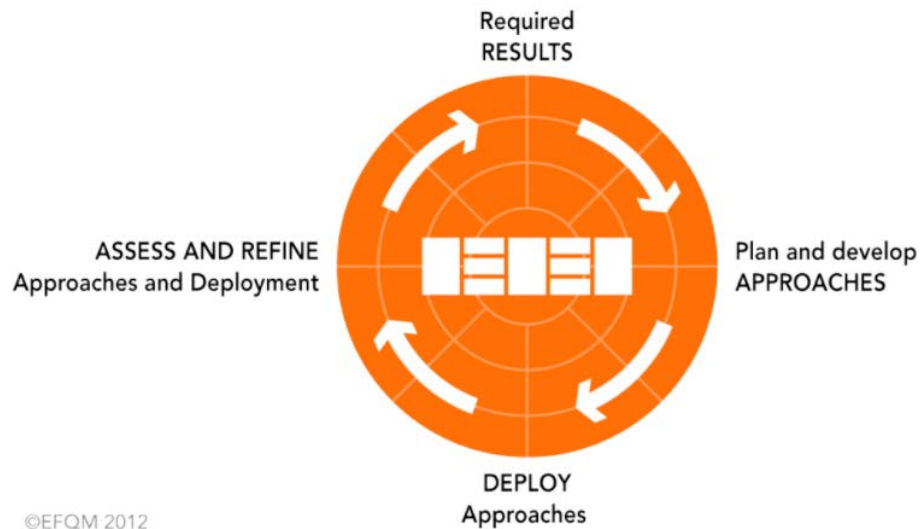
Excel@ICANN

applying the excellence model, EFQM

Organizational Excellence

- IANA functional team begun annual internal assessment based on the EFQM Excellence Model since 2009

- Received EFQM Committed to Excellence recognition for IANA function following an external assessment conducted by a panel of three independent assessors in August 2013

- Conducted organization-wide annual internal assessment since FY15 based on the EFQM Excellence Model

- Currently, conducting FY17 (3rd annual) internal assessment

Excellence Models

Required RESULTS

ASSESS AND REFINE
Approaches and Deployment

Plan and develop APPROACHES

DEPLOY Approaches

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- The EFQM Excellence Model is a framework that has been used to drive sustainable organizational development for over 20 years. It can be applied to any organization, regardless of size or sector. It is based on observation and learnings from leading organizations on what has made them successful and what they need to do to remain competitive in future.

- For continuous improvements in various functional areas, ICANN also uses other applicable excellence models and frameworks that have specific focus in each of these areas.

Additional information

Additional Information

Security Stability and Resiliency Review (SSR1)

SSR1 Implementation Quarterly Reports

SSR2-RT information

SSR Framework

ICANN Planning Process

ICANN Operating Plan 2016 – 2020

ICANN Strategic Plan