

# SSR 1 Questions on Recommendations, 1-20

Based on a review of the SSR1 Final Implementation Report (SSR1 Report)

## General Questions

1. What individual within the ICANN organization holds ultimate responsibility for implementation of SSR1 recommendations?
2. How has the responsibility for implementation of SSR1 recommendations flowed down through the organization, in terms of ownership, deliverables, performance objectives, etc.?
3. What mechanisms exist within the ICANN organization to provide regular (at least annual) reviews of SSR1 implementation, and to make appropriate adjustments to working practices and responsibilities?
4. What measures of success have been adopted within the ICANN organization for implementation of SSR1 recommendations, and how has the community been involved in defining or reviewing such measures?
5. How has the ICANN organization ensured that the implementation of SSR1 recommendations are embedded in standard operating procedures?
6. The SSR1 Report includes check marks for due dates under “Status of Deliverables” and the accompanying text often does not contain completion dates. Please provide a “due date” and completion date for each deliverable.

## 1 SSR REMIT AND LIMITED TECHNICAL MISSION

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This recommendation states that **“ICANN should publish a single, clear and consistent statement of its SSR remit and limited technical mission. ICANN should elicit and gain public feedback in order to reach a consensus-based statement.”**

### QUESTIONS

- Since the version developed in 2012, what changes have been made to the SSR remit and technical mission statement? Who has made those changes? How has the community been allowed to review and comment on those changes? When were the last changes made to this statement?
- How are the definitions of security, stability and resiliency consistently carried through into key documents, such as strategic plans and agreements with contracted parties?

## 2 SSR REMIT AND MISSION REVIEWED

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Recommendation 2 states that **“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. The process should be repeated on a regular basis, perhaps in conjunction with the cycle of future SSR reviews.”**

### QUESTIONS

- Recommendation 2 directs that the definition of ICANN’s SSR remit and limited technical mission should be reviewed in order to maintain consensus and elicit feedback from the Community. Please provide details of reviews and community feedback that have occurred since 2013.

- As ICANN’s SSR remit and limited technical mission statement has evolved, how has comment from the community been incorporated? For instance, is there a summary of the comments on the FY 2014 Framework? Where is this published?

### 3 CONSISTENT TERMINOLOGY AND DESCRIPTIONS

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Recommendation 3 requires that **“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.”**

#### QUESTIONS

- In what way has ICANN publicized consistent terminology and descriptions related to ICANN’s SSR role and remit? Where are these published?
- What terms related to SSR have been added to the ICANN public glossary? When were they added?

### 4 SSR RELATIONSHIPS WITHIN THE ICANN COMMUNITY

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Recommendation 4 requires that **“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.”**

#### QUESTIONS

- What accounts for the inconsistencies between the different documents on the ICANN website that describe the nature of the SSR relationships it has within the ICANN community?
- In what way are these documents fulfilling the requirement to provide a single focal point for understanding the interdependencies between organizations?
- What opportunities have there been for community input into the nature/definition of ICANN’s SSR relationships?
- How is the document describing SSR relationships with partner organizations being updated?

### 5 MAINTAIN EFFECTIVE WORKING ARRANGEMENTS

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Recommendation 5 requires that **“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.”**

### 6 ROLES AND RESPONSIBILITIES FOR SSAC AND RSSAC

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Recommendation 6 directs that **“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.”**

#### QUESTIONS

- What is the status of the document currently available at: <https://www.icann.org/en/system/files/files/draft-rssac-ssac-roles-responsibilities-05mar15-en.pdf>?
- The recommendation requires that ICANN should seek consensus for this document across both groups. Please provide documentation that this occurred.

- What specific resourcing for RSSAC and SSAC appears in either the ICANN Operating Plan or the most recent budget?

## 7 SET OBJECTIVES AND PRIORITIZE ACTIVITIES

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Recommendation 7 says that **“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.”**

### QUESTIONS

- How are the objectives specific to the SSR Framework documented in either the Operating Plan or the Strategic Plan?
- Where are priorities for SSR activities and initiatives published?
- In what ways have pragmatic cost-benefit and risk analysis informed the choice of priorities (if any)?
- In addition to the ability to comment on draft ICANN budgets and plans, how is the community able to provide input into the objectives, initiatives and activities related to SSR at ICANN?
- The SSR1 Report indicates that ICANN will “improve and publish a process for establishing updated SSR priorities and objectives.” Where has this been published? Was there a mechanism for community review of the process (if so, please provide links)?

## 8 REFINE STRATEGIC PLAN OBJECTIVES AROUND DNS AVAILABILITY

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Recommendation 8 says that **“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.”**

## 9 ASSESS CERTIFICATION OPTIONS WITH INTERNATIONAL STANDARDS

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Recommendation 9 says that **“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.”**

### QUESTIONS

- SysTrust certification is referenced in the SSR1 Report as already in place. Please explain how it is claimed to be implementation of SSR1.
- Beside the certifications/audits done for processes in IANA, what certification activities have been assessed or implemented related to SSR?
- For staff working on SSR-related objectives, is there a certification plan in place as part of career/staff development?
- When was the EFQM model implemented within ICANN, and please provide details of how the SSR Framework and standard operating procedures have been evaluated and updated in the light of EFQM adoption to demonstrate process improvements over time.
- Has ICANN ever published a document that would include “a clear roadmap towards certification?” If so, where? Was there a mechanism by which community comment or engagement took place for such a document?

## 10 INCREASE CONTRACT COMPLIANCE ENFORCEMENT

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Recommendation 10 says that **“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.”**

### QUESTIONS

- Please provide a summary of the number of complaints and enforcement actions against registries and registrars taken by contractual compliance on the basis of SSR obligations in the past 5 years.
- To what extent does ICANN measure the incidence and impact of registration abuse and/or malicious conduct by contracted parties?

## 11 SSR MEASURES OF SUCCESS FOR NEW GTLDS AND IDN FAST TRACK

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Recommendation 11 says that **“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.”**

### QUESTIONS

- What measurements exist, and are used, for the effectiveness of mechanisms to mitigate domain name abuse, as required in recommendation 11?
- Please provide details of the measures of success relating to new gTLDs and IDNs that expressly address SSR related program objectives. The link in the SSR1 Report did not resolve.
- Please provide details of how SSR objectives are explicitly referenced in ICANN’s standard operating procedures, 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.
- Noting IAG-CCT produced 70 metrics of which a single one (1.13) related to security issues; please provide details of the information gathered according to that metric. The web page of metrics and measures does not include information relating to 1.13.
- The SSR1 Report refers to Specification 11 as applying to all new gTLD registries. Please provide reports on the number and type of security threats reported by registries under their Specification 11 obligations. Please give details of enforcement action(s) taken by ICANN’s contractual compliance department in relation to Specification 11.
- How many new gTLD applications were failed (or placed in contention or required to take additional steps) on the basis of the (i) the security and stability review or (ii) the string similarity review.
- In relation to the IDN ccTLD Fast Track, please give details of any strings that have failed those security and stability checks for security and stability related reasons rather than for consumer confusion – a CCT Review issue.
- Considering staff and community feedback, how effective is the EPSRP mechanism (the second security and stability review in the IDN ccTLD Fast Track) in detecting and preventing stability and security issues other than consumer confusion?
- Are there any updates on the status of Coordinated Vulnerability Disclosure Reporting since 2013?
- Please provide a copy of the report referred to in bullet point 9 of recommendation 11 implementation in the Final Implementation Report. Given that the SSR objectives referred to in the report remain ‘to be defined’ please provide an explanation as to why this recommendation is said to be complete.

- To what extent was the commissioning of the CDAR report, the Root Stability Study Workshop and the new gTLD program security and stability impact triggered by the SSR1 recommendation, and why is the SSR1 Report not referenced in the published materials relating to those initiatives?

## 12 SSR BEST PRACTICES – IDENTIFICATION AND IMPLEMENTATION

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Recommendation 12 requires that **“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.”**

### QUESTIONS

- In what way have the recommendations contained in the paper, “Identifier System Attack Mitigation Methodology,” been integrated into contracts, agreements and MoUs as envisioned by SSR1 recommendation 12?
- Is there a central, up-to-date resource to see how the ISSSR team, and other professionals in the SSR field, have worked with SOs and ACs to identify additional, targeted best-practices for their constituents? Are there pointers to or records of those engagements?
- What are some examples of significant MoUs with international entities that have SSR-practices embedded within them?
- Is the only place where ICANN has documented work on recommendations for web application protection and development of resources for security awareness in the report from the 4<sup>th</sup> Global DNS Stability, Security and Resiliency Symposium?
- Has there been a Global DNS Stability, Security and Resiliency Symposium since 2014?

## 13 INFLUENCE AS A COORDINATOR, COLLABORATOR AND FACILITATOR

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Recommendation 13 states that **“ICANN should encourage all Supporting Organizations to develop and publish SSR-related best practices for their members.”**

### QUESTIONS

- In what way are the resources on the ICANN Security Awareness Resource Locator supposed to help Supporting Organizations secure collaborative community assets?
- Have any recent steps been taken to encourage SOs and ACs to produce and publish best practices repositories for SSR-related information? Is the 2012 information on the ccTLD website the most recent example of SSR-related information published by a Supporting Organization?

## 14 ENGAGEMENT WITH OTHERS IN THE INTERNET ECOSYSTEM

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Recommendation 14 states that **“ICANN should ensure that its SSR-related outreach activities continuously evolve to remain relevant, timely and appropriate.”**

### QUESTIONS

- When is the Annual Report for FY 2016-2017 going to be published as a community resource?
- In the ICANN Engagement Interface, are all the SSR-Related outreach activities recorded or listed?

## 15 ENGAGEMENT WITH OTHERS IN THE INTERNET ECOSYSTEM

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Recommendation 15 states that **“ICANN should act as a facilitator in the responsible disclosure and dissemination of DNS security threats and mitigation techniques.”**

### QUESTIONS

- Is there any record of the methodology in the Coordinated Vulnerability Disclosure Document ever being invoked since 2013?
- Are there any statistics available for the processes identified in the Coordinated Vulnerability Disclosure Document?
- Are there any metrics or statistics available for ICANN’s engagement with operators and trusted community entities on DNS security threats and mitigation techniques?

## 16 MAINTAINING CLEAR PROCESSES FOR SSR ISSUES

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Recommendation 16 states that **“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.”**

### QUESTIONS

- What public engagement was done for the creation of the Frameworks and Annual Reports?
- Is there a record showing how Community participation and input into the SSR Framework was incorporated?
- Are the documents that used to be called Frameworks, now to be SSR Annual Reports? If so, what is the community engagement mechanism being used for the Annual Reports?
- The implementation report specifically mentions capability building initiatives that would affect greater engagement in the development of the SSR Frameworks or Annual Reports. What initiatives have taken place? Who has participated? How have they expanded participation and input into the SSR Framework development process?

## 17 MAINTAINING CLEAR PROCESSES FOR SSR ISSUES

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Recommendation 17 states that **“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.”**

### QUESTIONS

- What is an example of a more structured internal process for showing how activities and initiatives relate to specific strategic goals, objectives and priorities in the SSR Framework? Has this been incorporated into the internal “At Task” system or other internal management systems?
- Are there any statistics available for the processes identified in the Coordinated Vulnerability Disclosure Document?
- Are there any metrics or statistics available for ICANN’s engagement with operators and trusted community entities on DNS security threats and mitigation techniques?

## 18 MAINTAINING CLEAR PROCESSES FOR SSR ISSUES

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Recommendation 18 states that **“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.”**

## 19 TRACKING THE IMPLEMENTATION OF THE SSR FRAMEWORK

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Recommendation 19 states that **“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.”**

### QUESTIONS

- In ICANN’s Portfolio Management system, the only SSR-related activity that appears is KSK Rollover. Is there another place where SSR-activities are tracked so that the community can see progress on current year activities (for instance the KPI Dashboard seems to be entirely related to the OCTO’s work with the technical and public safety communities)?

## 20 TRANSPARENCY OF INFORMATION REGARDING BUDGET, ORGANIZATION

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Recommendation 20 states that, **“ICANN should increase the transparency of information about organization and budget related to implementing the SSR Framework and performing SSR-related functions.”**

### QUESTIONS

- Provide documentation of, and links to, mechanisms that have been used since 2012 to provide more detailed public information on SSR-related budgets and expenditures across multiple ICANN departments
- Have any after-event reports (for relevant threats) been published that include budget and resource impacts related to managing the event? What would be an example of this kind of after-event-report?