For Best Audio: Join via Telephone Using Dial-Out

Connecting via the audio bridge is always preferable to the AC audio connection.

Upon logging into Adobe Connect, a pop-up window will appear for the AC to call your phone. This preferred method will assure the best audio for the meeting.

Join Audio Conference

How would you like to join the meeting's audio conference?

○ Dial-out [Receive a call from the meeting]

+1 (USA) ▼ 310-111-11111

○ Dial-in to the Audio Conference via Phone

○ Using Microphone (Computer/Device)

[Join] [Listen Only]

After 2 background noise occurrences, staff will mute the offending line (either Telephone or Adobe Connect).

After two failed attempts to speak over the audio, participants will be invited to type their comments in the chat or take them to the mailing list.

PLEASE ALWAYS MUTE WHEN NOT SPEAKING!
*6 to mute and *6 to unmute

For any questions, dial out requests, apologies, please email: mssi-secretariat@icann.org

SSR2 Review Team Plenary Call #45

27 September 2018

ICANN

Agenda

1. Welcome, roll call, SOI updates

2. Barcelona - updates from staff and team members on any outstanding issues

3. SSR1 recommendations
   a) Review of recommendations (document circulated to list)
   b) Next steps for handling recommendations

4. AOB

5. Confirm action items / decisions reached

Review of SSR1 Recommendations

Table circulated via email

RECOMMENDATION 1: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- 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.
- SSR1 implementation report here (slides 1 - 3)
- FY 15-16 SSR Framework is here.
- SSR2-RT briefing slides on this recommendation here (slides 5 – 13).

Questions & Answers
1. 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?
- Answers to this question available here (published in in 2015): https://www.icann.org/resources/pages/ssr-role-remit-2015-01-19-en
2. How are the definitions of security, stability and resiliency consistently carried through into key documents, such as strategic plans and agreements with contracted parties?
- Because of the variety of subjects that this question incorporates, it is difficult to address. Different departments work on different aspects of this question and don't always have visibility to the topics covered in the question. Because of this, ICANN ORG operates in a "Best Effort" model and reaches out to OCTO-SSR if any questions arise surrounding the use of the definitions. To date, ICANN ORG feels that it has stayed consistent with the usage of the definitions between the various types of documents.

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 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. The process should be repeated on a regular basis, perhaps in conjunction with the cycle of future SSR reviews.

What was done to implement the recommendation? Was the recommendation fully implemented?

- The statement (and SSR Framework) informed ICANN's 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 implementation report here (slides 4 - 6)
- SSR2-RT briefing slides on this recommendation here (slides 4 – 29).

Questions & Answers – **SOME ANSWERS OUTSTANDING**
1. 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.

- Answer outstanding
2. 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?
- Answer outstanding

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 3: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- Consistent terminology and descriptions related to ICANN's SSR role and remit have been publicized and are encouraged in all ICANN material.
- Key terms are added to ICANN's public glossary on an ongoing basis as part of SOP.
- As SSR activities evolve, terminology and descriptions will be updated as part of SOP.
- Document of definitions across ICANN org available here (provided to RT in March 2017).
- SSR1 implementation report here (slides 7 - 9)

Questions & Answers
1. In what way has ICANN publicized consistent terminology and descriptions related to ICANN's SSR role and remit? Where are these published?
- Document of definitions is available here: https://community.icann.org/pages/viewpage.action?pageId=64074062&preview=/64074062/64076676/SSR%20Def_Steve%20Conte.pdf
2. What terms related to SSR have been added to the ICANN public glossary? When were they added?
- See here: https://www.icann.org/icann-acronyms-and-terms/en/G0301

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 4: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- (Phase I) Many of ICANN's SSR relationships have been defined and publicized. As part of OCTO SSR Team SOP, this work will be updated periodically to keep pace with SSR activities. 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; 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.
- ICANN Security Awareness Resource Locator Developed - All stakeholders should learn how to protect themselves, their families, or their organizations against online threats. The resources on this page can help consumers, business or IT professionals avoid online threats or harm and make informed choices regarding

(personal) data disclosure or protection.
- 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
- SSR1 implementation report here (slides 10 - 12)
- SSR2- RT briefing on this recommendation here (slides 23 – 27).

Questions & Answers – **SOME ANSWERS OUTSTANDING**
1. 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?
- Answer outstanding
2. In what way are these documents fulfilling the requirement to provide a single focal point for understanding the interdependencies between organizations?
- MOUs are in place that have been incorporated as part of the agreements. We have several links in place for ICANN security resource locator development, and a document published in January of 2017, that identifies, in detail, all the relationships. This information can be found here:
- * ICANN's major agreements and related reports are published at: https://www.icann.org/en/about/agreements
- * Detailed breakdown of ICANN's SSR Relationships is located at: https://www.icann.org/en/system/files/files/ssr-relationships-fy17-23jan17-en.pdf
- * ICANN's Security Awareness Resource Locator page can be found at: https://www.icann.org/resources/pages/security-awareness-resource-2014-12-04-en
3. What opportunities have there been for community input into the nature/definition of ICANN's SSR relationships?
- This document is revisited and revised periodically with new versions being published as such. The community is always able to provide input given ICANN's commitment to transparency but there is no official public comment process on the relationships.
4. How is the document describing SSR relationships with partner organizations being updated?
- Answer outstanding.

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 5: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- (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).
- 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
- SSR1 implementation report here (slides 13 - 15)
- SSR2- RT briefing on this recommendation here (slides 23 – 27).

No questions & answers.

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 6: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- Roles and Responsibilities of SSAC are reflected in ICANN's Bylaws and defined in SSAC's Operating Procedures.
- Roles and Responsibilities for RSSAC are reflected in an updated charter contained in ICANN's Bylaws.
- SSAC and RSSAC have been asked to reflect their roles and responsibilities in a brief explanatory text for icann.org (linking to respective charters), and text as agreed to by the AC's chairs. April 2015
- SSR1 implementation report here (slides 17-18)

Questions & Answers – **SOME ANSWERS OUTSTANDING**
1. 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?
- Answer outstanding
2. The recommendation requires that ICANN should seek consensus for this document across both groups. Please provide documentation that this occurred.
- Answer outstanding
3. What specific resourcing for RSSAC and SSAC appears in either the ICANN Operating Plan or the most recent budget?
- Answer outstanding

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 7: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- [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 SSR Framework document archive is here.
- SSR1 implementation report here (slides 19 - 21)
- SSR2- RT briefing on this recommendation here (slides 4 – 29).

Questions & Answers – **SOME ANSWERS OUTSTANDING**
1. How are the objectives specific to the SSR Framework documented in either the Operating Plan or the Strategic Plan?
- The components of the SSR Framework are included in the ICANN strategic plan. SSR related KPI's in the strategic plan are related 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. Progress against these KPIs is available here: https://www.icann.org/accountability-indicators
2. Where are priorities for SSR activities and initiatives published?

- We have identified SSR related KPI's in the strategic plan. ICANN's strategic plan is here: https://www.icann.org/en/system/files/files/strategic-plan-2016-2020-10oct14-en.pdf. More details are available here: https://www.icann.org/resources/pages/strategic-engagement-2013-10-10-en
3. In what ways have pragmatic cost-benefit and risk analysis informed the choice of priorities (if any)?
- Over the last couple of years, risk & opportunity and financial assessments have been progressively entrenched to inform and drive prioritization. The FY18 Strategic Trend Outlook assessment was conducted with every functional team within org, the Board and community. The assessment results inform the annual operating plan update and budget and form the foundation for the next Five-Year Strategic Plan. Financial (cost/benefit) assessments have been a key focus within org, the Board and community in developing annual budgets and driving numerous cost-saving initiatives.
4. 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?
- As ICANN publishes its SSR frameworks, they are open to community review and comment. In light of the changes that took place during the IANA transition a new SSR Framework is currently in the making and will be published for review.
5. 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)?
- Answer outstanding

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 8: ICANN should continue to refine its Strategic Plan objectives, particularly the goal of maintaining and driving DNS availability. Clear alignment of Framework & Strategic Plan.

What was done to implement the recommendation? Was the recommendation fully implemented?

- 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 implementation report here (slides 22 - 24)
- SSR2- RT briefing on this recommendation here (slides 4 – 29).

No questions & answers.

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 9: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- 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.
- SSR1 implementation report here (slides 25 - 27)
- SSR2- RT briefing on this recommendation here (slides 38 – 43).

Questions & Answers – **SOME ANSWERS OUTSTANDING**
1. SysTrust certification is referenced in the SSR1 Report as already in place. Please explain how it is claimed to be implementation of SSR1

- Certification options were assessed after the final SSR1 final report was published. Within the IANA Function's team, two different audits are completed on an annual basis. SOC3 Certification of Root Zone KSK System, and SOC2 Certification for our Registry Assignment and Maintenance Systems. These audits evaluate our service organization controls (SOCs) against the "Trust Services Principles and Criteria". This is a well-established framework that's certified by the American Institute of Certified Public Accountants and the Canadian Institute of Chartered Accountants for assessing organization controls over security systems. More information is available here: https://www.iana.org/about/audits

2. Beside the certifications/audits done for processes in IANA, what certification activities have been assessed or implemented related to SSR?
- Answer outstanding.

3. For staff working on SSR-related objectives, is there a certification plan in place as part of career/staff development?
- Answer outstanding.

4. 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.
- ICANN IANA functions have implemented the EFQM since 2009, and ICANN has also been implementing the EFQM model org-wide since FY15. The SSR Framework and standard operating procedures have been part of the process improvement assessment focus along with the model adoption. 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?

5. 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?
- Answer outstanding

Did the implementation have the intended effect? How was the assessment conducted?

Is the recommendation still relevant today? If so, what further work needed? If not, why not?

RECOMMENDATION 10: 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.

What was done to implement the recommendation? Was the recommendation fully implemented?

- 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.
- SSR1 implementation report here (slides 28 - 30)
- SSR2- RT briefing on this recommendation here

Questions & Answers
1. 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.
- ICANN has a dedicated public page for Contractual Compliance Reporting. This page provides three types of data to the ICANN Community. The first section, referred to as Metrics and Dashboards, provides monthly, quarterly and annual data. The second section, referred to as Contractual Compliance Metrics for a rolling 13-month period, provides ten different types of reports for a period of 13-month. The third section, referred to as Additional Contractual Compliance related data, provides links to the metrics and data specifically requested by different working groups or review teams.
- A summary of the number of complaints and enforcement actions against registries and registrars, including the number of complaints by complaint type can be found at https://features.icann.org/compliance/dashboard/report-list .
- As for enforcement, there are multiple reports to refer to:
- a) In the Metrics and Dashboards section, there are two reports to provide enforcement data; a report that presents data about the Formal Resolution Process broken out by enforcement reason (https://features.icann.org/compliance/dashboard/2018/q2/enforcement-complaint-type) and another that

shows the data from a Compliance Approach & Process
(https://features.icann.org/compliance/dashboard/2018/q2/complaints-approach-process-registrars)
perspective for registrar and another for registry related complaints. Same reports can also be found in the
Annual Report section.

- b) in the 13-month rolling section, there is a Formal Notices
(https://features.icann.org/compliance/enforcement-notices) report that lists enforcement actions by a
contracted party and the enforcement reasons for both registrars and registries

2. To what extent does ICANN measure the incidence and impact of registration abuse and/or malicious
conduct by contracted parties?

- ICANN Contractual Compliance reports on the total number of registrar abuse report complaints received
and processed. In late 2017, compliance reporting included the subject matter category in its monthly metrics;
for example - the abuse complaint type now provides the subject of registrar related Domain Name System
(DNS) abuse complaints such as spam, pharming, phishing, malware, and botnets in addition to
counterfeiting, pharmaceutical, fraudulent and deceptive practices, trademark or copyright infringement, and
registrar abuse contact.

- ICANN Contractual Compliance also proactively monitors compliance with the abuse-related obligations of
the Registrar Accreditation Agreement and Registry Agreement through audits. At the closure of every audit
round, ICANN published an audit report on the Reports & Blogs Page
(https://www.icann.org/resources/compliance-reporting-performance). ICANN org is developing use of the
information from the Domain Abuse Activity Reporting (DAAR) (https://www.icann.org/octo-ssr/daar)
project for studying and reporting on domain name registration and security threat (domain abuse) behavior
across registrars and registry operators.

| Did the implementation have the intended effect? How was the assessment conducted? |

| Is the recommendation still relevant today? If so, what further work needed? If not, why not? |

AOB
Confirm action items / decisions reached