Agenda

- Project Timeline
- Contractual Compliance and the SSAD
- GAC Survey
- Identity Verification Methodology
- What’s Next?
- Q&A
Project Timeline
Project Timeline

The SSAD ODP project delivery date has been extended.

- The ICANN Board originally requested the Operational Design Assessment (ODA) be completed within six months from the date of its request (25 March), provided that there are no unforeseen legal or other matters that could affect the timeline.

- The SSAD is a brand-new concept and a first of its kind system that affects people globally.

- Various data collection activities have taken longer than expected and raised additional questions for team to explore.
  - Deadlines on all three surveys were extended.

- The data we received has raised more questions for the team to explore as it assembles the ODA. This will require further discussion with the community in the coming months.
Project Timeline continued

- Board Resolution Passed Thu 3/25
- ICANN71 (14-17 Jun) Tue 6/15
- Community Webinar Tue 7/13
- Board Workshop SSAD ODP session Fri 6/11
- ICANN72 SSAD ODP Session Thu 10/28
- 6 mos since Resolution Sat 9/25
- ICANN Closed (23-31 Dec) Thu 12/23
- Community Webinar December
- Community Webinar Thu 9/23
- Community Webinar Thu 11/18
- Submit Final ODA to the Board Fri 2/25

2021

- Team selection, Budgeting, Charter
- Assumptions, RFI areas, High-level “Vision” of SSAD, Assign Owners
- Project Team Governance/Preparations
- Prep and conduct RFI
- Survey: CPs and ICANN Community
- Outreach to GAC re: Country/Territory AA

2022

- Data Collection
- Assessment and Drafting by SMEs
- ODA Drafting
- Technical Writing and Revisions
- Internal Reviews
- Briefing to Board
- Final Editing & Reviews

Today
Contractual Compliance and the SSAD
Contractual Compliance and the SSAD

In the SSAD, there are two areas that involve ICANN Contractual Compliance intervention:

1. Alert mechanisms/complaints regarding contracted party behavior (Recs 5.3, 5.4)
   - The recommendation states the “alert mechanism is not an appeal mechanism – to contest disclosure or non-disclosure affected parties are expected to use available dispute resolution mechanisms such as courts or Data Protection Authorities…”
   - As a result, Compliance’s role is limited to investigating complaints related to procedural failures by the contracted party.
     - **Example 1**: Contracted party failure to include a rationale sufficient for the Requestor to objectively understand the reasons for the decision to deny.
     - **Example 2**: Contracted party denying requests following a prima facie review without first seeking further information from the Requestor.

2. Contracted party SLA requirements (Rec 10)
   - **Example 1**: Contracted party fails to meet the response times expected for Priority 1 Urgent Requests.
Contractual Compliance and the SSAD

Complaints

● Similar to existing processes, complaints or investigations related to contracted party requirements for SSAD may be received and processed through public-facing complaint forms that feed into the Naming Services portal (NSp) and result in individual cases.

● If needed, develop automation of complaints related to violations as those may be triggered from internal reporting.

Next Steps

● The implementation phase will play an important role in further developing the scope of Contractual Compliance.

● The language used to define requirements will guide the final methodology and approach.
Opportunity for Community Feedback

- Do the areas identified in the recommendations capture all intended areas in which Contractual Compliance can enforce the policy?

Question posed to GNSO Council Liaison*:

- Does the proposed approach regarding development of potential complaint forms or automated notifications (where possible) fulfill the intentions of the recommendations?

*Please see the public email archive at https://mm.icann.org/pipermail/odp-ssad/
Governmental Advisory Committee (GAC) Survey
Governmental Advisory Committee (GAC) Survey

When:
15 July - 31 October 2021

Purpose:
Collect relevant information from the GAC and its members about the accreditation of governmental entities.
Identity Verification
Methodology
The EPDP Phase 2 recommendations primarily relate to a system for users to submit trackable requests to contracted parties for nonpublic registration data.

System users **must** be accredited. There are two categories:
1. Non-governmental natural and legal persons (Rec 1)
2. Governmental entities and intergovernmental organizations (IGOs) (Rec 2)

**Non-Governmental (ICANN’s Central Accreditation Authority)**
- ICANN org is the accreditation authority* (AA), as defined in the Final Report in Section 3.5.1, or will designate one.
- Accreditation occurs when identity is verified.
- Maintaining accreditation requires periodic renewals and abiding by terms of use and non-abusive usage.

**Governmental (Country/Territory AAs)**
- Countries/territories designate their accreditation authority.
- They accredit users associated with a public policy task.
- Accreditation of governmental users is out of scope for ICANN org.
## Background - Recommendations (Continued)

<table>
<thead>
<tr>
<th>Users are accredited by</th>
<th>ICANN / Central Accreditation Authority</th>
<th>Governmental Accreditation Authorities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Natural person</td>
<td>✅ (for non-governmental users)</td>
<td>✅ (for governmental users - accreditation process varies by Country/Territory AA)</td>
</tr>
<tr>
<td>Non-governmental entity</td>
<td>✅</td>
<td>❌</td>
</tr>
<tr>
<td>Governmental entity</td>
<td>❌</td>
<td>✅</td>
</tr>
<tr>
<td>Intergovernmental organization (IGO)</td>
<td>❌</td>
<td>✅</td>
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</tbody>
</table>
Identity verification can be done in a variety of methods that are on a continuum of cost and effort.

Any system or set of mechanisms for identification should be appropriate to the assurance level required for the situation.

**Limited:** Data loss that entails negligible impact to an organization, its assets or to an individual.

**Moderate:** Data loss resulting in limited impact to an organization, its assets or to an individual.

**Substantial:** Data loss resulting in significant negative impact to an organization, its assets or to an individual.

**High:** Data loss resulting in severe or catastrophic adverse effects to an organization, its assets or to an individual.
Proposed Assurance Level

ICANN org is proposing a moderate level of assurance for identity verification of natural persons (users).

- Provides a balance of cost and value.
- Offers a degree of comfort that an individual is identified per policy requirements.
  - Penalties can be effectively enforced in the case of abuse.
- Accredited users do not automatically receive data, but may only request it.
The SSAD requires three (3) types of verification:

1. Verification of Natural Persons
   Example: Göran Marby as a user

2. Verification of Legal Persons
   Example: Göran Marby as a user affiliated to ICANN

3. Verification of User Representation of Another Organization
   Example: Joe Smith from a law firm as a user representing ICANN
## Central AA - Natural Persons Verification

### Use of a “qualifying electronic identification” (eID) system
- Recognized and being used at scale to access services of financial or legal significance provided by the public / healthcare / financial sectors
- Subject to regulation or public supervision
- Available for use by private entities

### Possession of a recognizable government ID with photo
- Verification would consist of verifying the appearance and features of the document with measures to detect manipulation
- Remote interaction with applicant

### Possession of a recognizable govt ID with electronic capabilities
- Securely verify ID via embedded chip
- Remote interaction with applicant
Central AA - Natural Person Verification Process

**PROCESS:**
- Natural Person
  - Provide gov’t issued ID
  - Accreditation Authority
  - Verify a Natural Person

**OUTCOME:**
- Natural Person becomes a Verified Natural Person
Other Assumptions

- Renewal to occur every two years or upon expiration of underlying identification document(s).
- Specific identification costs may be in the range of USD 10.00 to USD 20.00.
  - This range represents only potential vendor costs for transactions and does not directly translate into fee amounts that may be assessed for accreditation.
- Accreditation fees will be comprised of the costs for identity verification, system operation, support, and other related services.
- Costs will also be subject to the final design, participants in any RFPs, type of solution selected, contract negotiations, and other issues.
Central AA - User Affiliation Verification Process

**PROCESS:**
- Provide:
  - Info about Legal Person
  - Certificate of good standing
- Accreditation Authority
- Verify a Legal Person

**OUTCOME:**
- The legal person is established in the SSAD
- Affiliation established between the two parties
- Verified Natural Person becomes a Verified Natural Person with affiliation
Other Assumptions

- Re-verification to occur every five years.
- Any abusive behavior by one affiliated user can affect all affiliated users.
Central AA - User Representation Verification Process

**PROCESS:**

- Verified Natural Person

  **Provide:**
  - Info about representee (Legal Person)
  - Point of Contact (PoC) (Verified Natural Person with affiliation)

  PoC (Verified Natural Person with affiliation)

  **Provide certificate of good standing**

  **Verify representation**

  Accreditation Authority

  **END**

**OUTCOME:**

- The representative and representee are associated within the system
- Verified Natural Person becomes a Verified Natural Person with representation

**Verified Legal Person**

**Verified Natural Person with representation**

**Verified Natural Person**
Other Assumptions

- Re-verification to occur every five years.
- All parties involved need to be verified to establish representation.
- Any abusive behavior by users that represent an entity may be attributed to the represented entity as well as their individual accounts.
Opportunity for Community Feedback

- Does the proposed approach provide an appropriate level of verification related to:
  - The identity of natural persons who may become users of the SSAD?
  - The identity of legal persons which will exist within the SSAD for purposes of documenting affiliation by users?
  - The relationship between represented organizations and users?

- Does the proposed approach represent a reasonable level of effort for:
  - Users who wish to become accredited?
  - Those who are required to declare and maintain affiliation?
  - Those who are required to declare and maintain representation?

**Consideration**
Accredited users do not automatically receive data, but may only request it.
What’s Next?
Please provide your feedback!

- Your feedback and input can be sent to the SSAD ODP project team at odp-ssad@icann.org (all submissions will be public).

- You can review community submissions at https://mm.icann.org/pipermail/odp-ssad/

- Next webinar planned for November 2021
Questions?
Thank You

https://www.icann.org/ssadodp

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