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VIRTUAL ANNUAL GENERAL	

SSAD ODP Project Update #3 and Community Discussion

ICANN72 Session

SSAD ODP Project Team

28 October 2021



Agenda

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

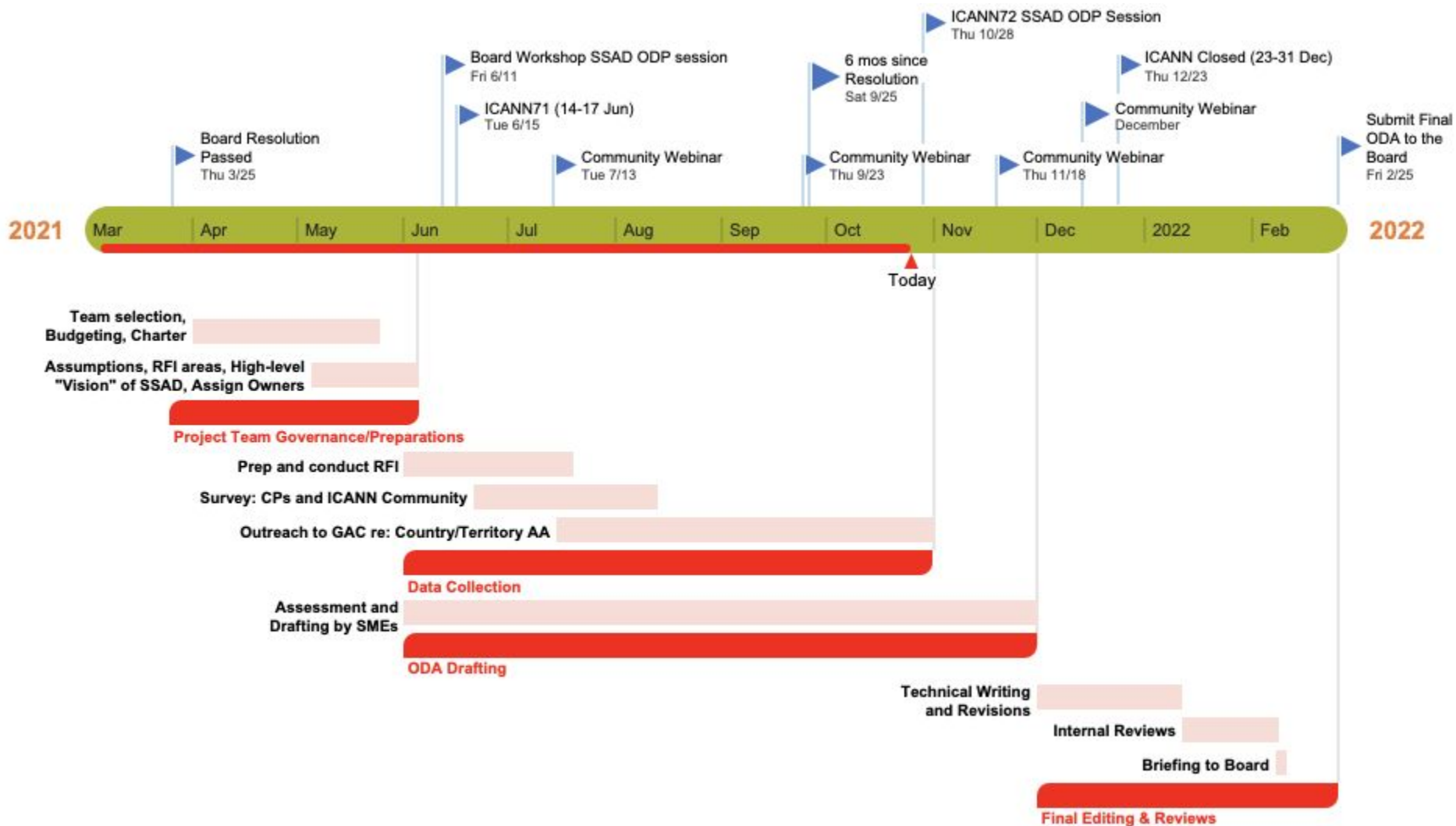
Project Timeline

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



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

Background - Recommendations

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)

Users are accredited by	ICANN / Central Accreditation Authority	Governmental Accreditation Authorities
Natural person	 (for non-governmental users)	 (for governmental users - accreditation process varies by Country/Territory AA)
Non-governmental entity		
Governmental entity		
Intergovernmental organization (IGO)		

Central Accreditation Authority (AA) Assurance Level

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.

Central AA - Identity Verification Methodology

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

OR

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

OR

Possession of a recognizable govt ID with electronic capabilities

- Securely verify ID via embedded chip
- Remote interaction with applicant

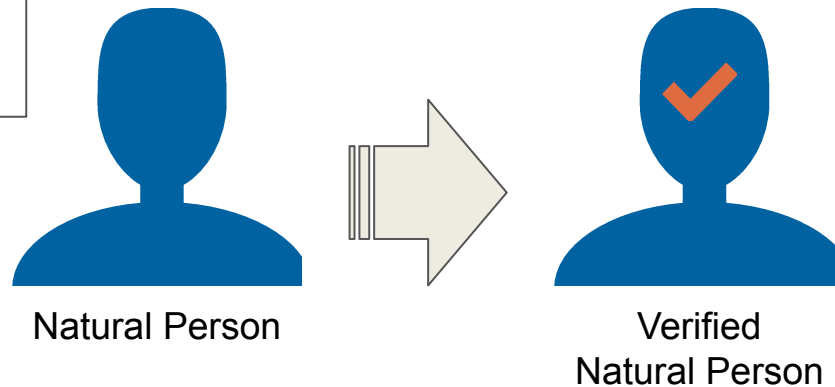
Central AA - Natural Person Verification Process

PROCESS:



OUTCOME:

Natural Person becomes a Verified Natural Person

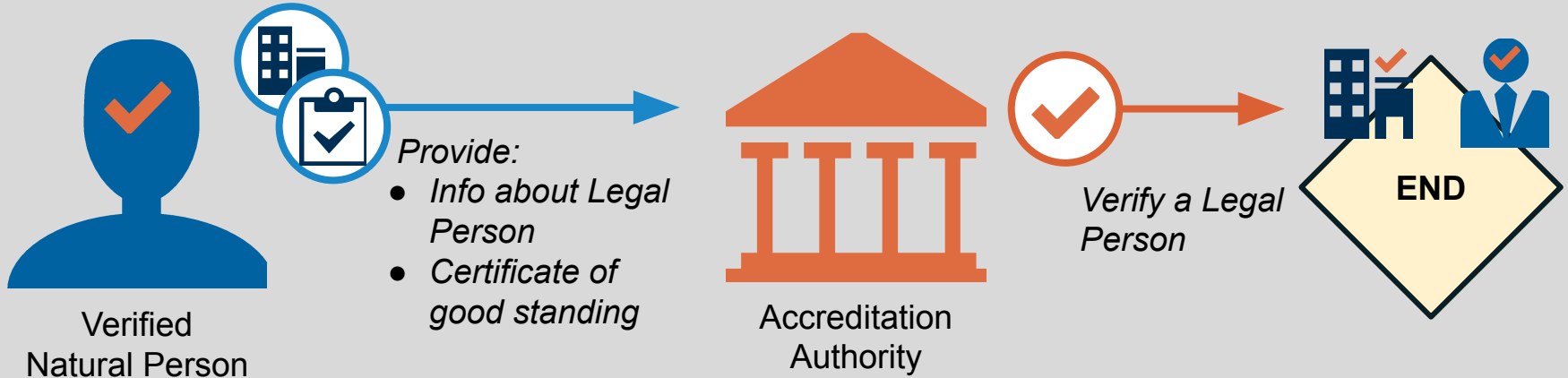


Other Assumptions

- 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.

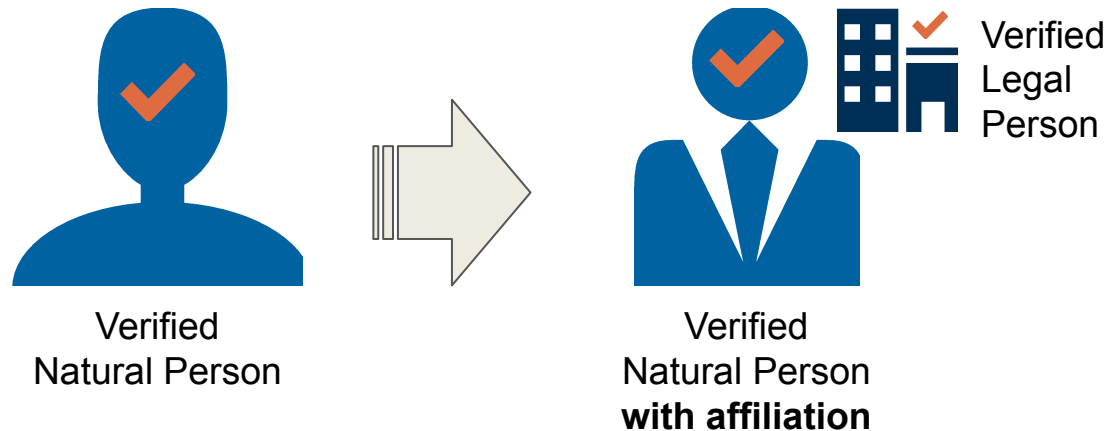
Central AA - User Affiliation Verification Process

PROCESS:



OUTCOME:

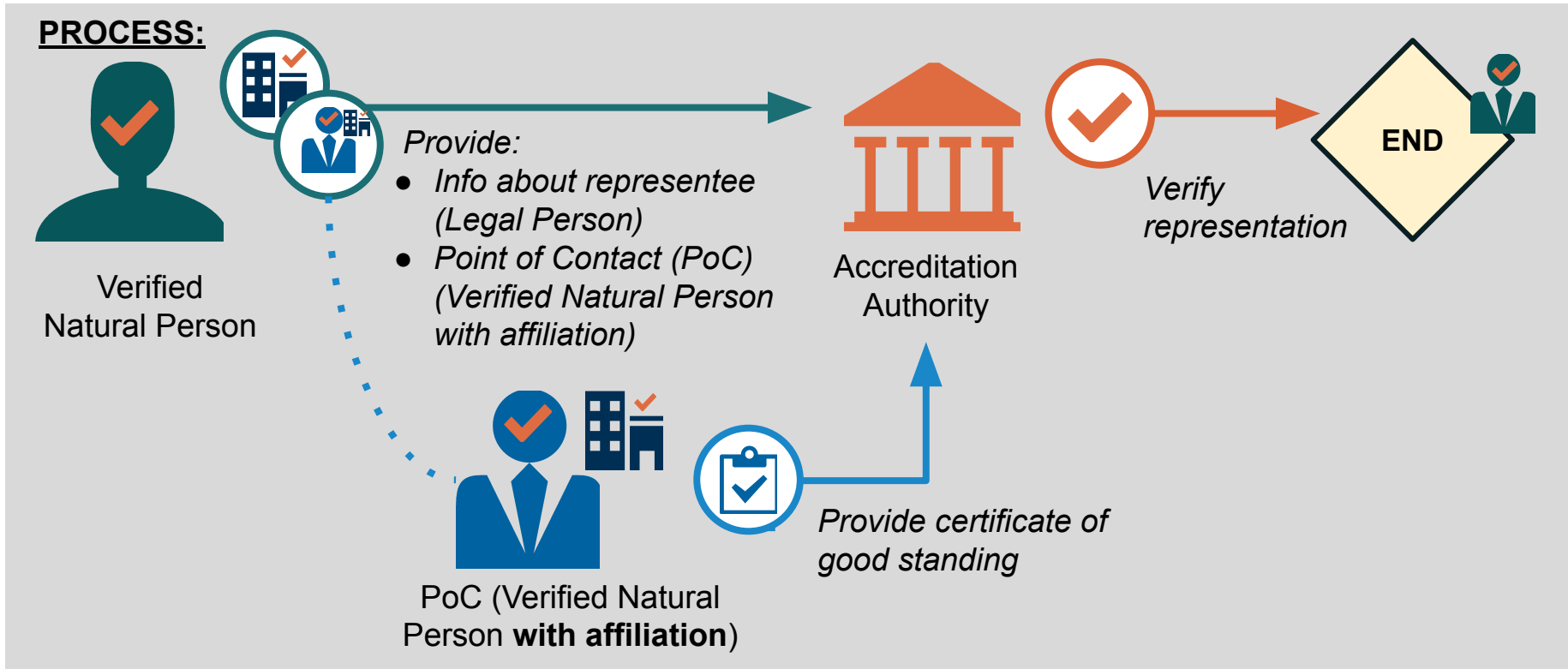
- The legal person is established in the SSAD
- Affiliation established between the two parties
- Verified Natural Person becomes a Verified Natural Person with affiliation



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

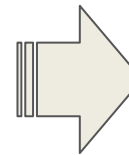


OUTCOME:

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



Verified Natural Person



Verified Natural Person **with representation**

Verified Legal 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?



Engage with ICANN



Thank You

<https://www.icann.org/ssadodp>

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