



**An Overview
of the
Request for Proposal
for the
Review of the ICANN Security and
Stability Advisory Committee**

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About this Document

The Internet Corporation for Assigned Names and Numbers (“ICANN”) is seeking a provider to conduct an independent review of the [Security and Stability Advisory Committee](#) (SSAC), as mandated by ICANN’s [Bylaws](#).

In seeking a comprehensive proposal for these services, ICANN is placing maximum emphasis on several key components of value, including demonstrated expertise in SSAC and/or DNS security and stability disciplines. Additional ideas and suggestions are welcomed.

Note: This “Project Overview” to the RFP, even if it provides all the information relevant for the RFP such as the RFP background, scope, requirements, deliverables and timeline, does not constitute the complete RFP packet by itself. There are several other documents included as part of the RFP packet that require participants to provide information to ICANN in a structured format. A full list of RFP documents along with instructions for responding to the RFP will be available after you have provided your expression of interest by emailing SSACReview-RFP@icann.org.

The Internet Corporation for Assigned Names and Numbers

The Internet Corporation for Assigned Names Numbers’ (ICANN) mission is to help ensure a stable, secure and unified global Internet. To reach another person on the Internet, you have to type an address into your computer - a name or a number. That address has to be unique so computers know where to find each other. ICANN helps coordinate and support these unique identifiers across the world.

See www.icann.org for more information.

SSAC Review Requirements

Period of this Review

This is a one-time review. ICANN is planning to start the review of the SSAC on 1 October 2017, with an anticipated duration of nine (9) months, and is seeking qualified providers to conduct the review in an efficient and effective manner, submitting their Final Report by 30 June 2018.

Basis for this Review

As part of ICANN's ongoing commitment to its evolution and improvement, Article IV, Section 4.4 of [ICANN's Bylaws](#) contains provisions for “*periodic review of the performance and operation of each Supporting Organization, each Supporting Organization Council, each Advisory Committee (other than the Governmental Advisory Committee), and the Nominating Committee [...]by an entity or entities independent of the organization under review.*”

These periodic reviews present ICANN structures with opportunities for continuous improvement through consistent application of compliance audit principles to objectively measure performance relative to specific and quantifiable criteria developed by ICANN based on the unique nature of its structures. The resulting implementation of improvements and the systematic means of measuring performance and validating effectiveness of implementation are of utmost importance to the ongoing legitimacy of ICANN.

According to Article 12.1 of the ICANN Bylaws: *"The Board may create one or more "Advisory Committees" in addition to those set forth in this Article 12. Advisory Committee membership may consist of Directors only, Directors and non-directors, or non-directors only, and may also include non-voting or alternate members. Advisory Committees shall have no legal authority to act for ICANN, but shall report their findings and recommendations to the Board."*

Article 12.2(b) of ICANN Bylaws provides for the Security and Stability Advisory Committee, whose role *"is to advise the ICANN community and Board on matters relating to the security and integrity of the Internet's naming and address allocation systems."*

The SSAC is a committee whose members are appointed by the ICANN Board. SSAC appointments are for three-year terms, and there are no limits on the number of terms the chair or members may serve.(see also Article 12 Section 12.2(b) of the ICANN Bylaws and the [SSAC Operational Procedures](#)).

The SSAC is responsible to:

(i) The role of the Security and Stability Advisory Committee ("Security and Stability Advisory Committee" or "SSAC") is to advise the ICANN community and Board on matters relating to the security and integrity of the Internet's naming and address allocation systems. It shall have the following responsibilities:

(A) To communicate on security matters with the Internet technical community and the operators and managers of critical DNS infrastructure services, to include the root name server operator community, the top-level domain registries and registrars, the operators of the reverse delegation trees such as in-addr.arpa and ip6.arpa, and others as events and developments dictate. The SSAC shall gather and articulate requirements to offer to those engaged in technical revision of the protocols related to DNS and address allocation and those engaged in operations planning.

(B) To engage in ongoing threat assessment and risk analysis of the Internet naming and address allocation services to assess where the principal threats to stability and security lie, and to advise the ICANN community accordingly. The SSAC shall recommend any necessary audit activity to assess the current status of DNS and address allocation security in relation to identified risks and threats.

(C) To communicate with those who have direct responsibility for Internet naming and address allocation security matters (IETF, RSSAC (as defined in Section 12.2(c)(i)), RIRs, name registries, etc.), to ensure that its advice on security risks, issues, and priorities is properly synchronized with existing standardization, deployment, operational, and coordination activities. The SSAC shall monitor these activities and inform the ICANN community and Board on their progress, as appropriate.

(D) To report periodically to the Board on its activities.

(E) To make policy recommendations to the ICANN community and Board.

Section 4.4 of the [Bylaws](#) addresses the periodic review of ICANN's structures and operations:

The Board shall cause a periodic review of the performance and operation of each Supporting Organization, each Supporting Organization Council, each Advisory Committee (other than the Governmental Advisory Committee), and the Nominating Committee (as defined in Section 8.1) by an entity or entities independent of the organization under review. The goal of the review, to be undertaken pursuant to such criteria and standards as the Board shall direct, shall be to determine (i) whether that organization, council or committee has a continuing purpose in the ICANN structure, (ii) if so, whether any change in structure or operations is desirable to improve its effectiveness and (iii) whether that organization, council or committee is accountable to its constituencies, stakeholder groups, organizations and other stakeholders.

These periodic reviews shall be conducted no less frequently than every five years, based on feasibility as determined by the Board. Each five-year cycle will be computed from the moment of the reception by the Board of the final report of the relevant review Working Group.

The results of such reviews shall be posted on the Website for public review and comment, and shall be considered by the Board no later than the second scheduled meeting of the Board after such results have been posted for 30 days. The consideration

by the Board includes the ability to revise the structure or operation of the parts of ICANN being reviewed by a two-thirds vote of all Directors, subject to any rights of the EC under the Articles of Incorporation and these Bylaws.

The outcome of the current review will be factored into ICANN's strategic planning work and holistic considerations of the ICANN structure.

Scope of Work

The objective of this RFP is to identify an independent reviewer to conduct a review of the SSAC as mandated by the [ICANN Bylaws](#). The Review is scheduled to take place from October 2017 through June 2018.

1. *An assessment of the implementation state of SSAC's prior review;*

This includes a status report of the implementations approved by the ICANN Board from the first SSAC Review, and an assessment of the effectiveness of these implementations.

2. *An assessment of whether SSAC has a continuing purpose within the ICANN structure;*

Examination of SSAC's chartered purpose, to advise the ICANN community and Board on matters relating to the security and integrity of the Internet's naming and address allocation systems, and how well it is fulfilled, will help assess the SSAC's continuing purpose within the ICANN structure.

3. *An assessment of how effectively SSAC fulfills its purpose and whether any change in structure or operations is needed to improve effectiveness, in accordance with the ICANN-provided objective and quantifiable criteria*

Subject to the scope of the SSAC's chartered remit (ICANN Bylaws, 12.2(b)), examination of purpose, structure, and operations with respect to the SSAC's effectiveness, in accordance with ICANN-provided objective and quantifiable criteria

4. *An assessment of the extent to which SSAC as a whole is accountable to the wider ICANN community, its organizations, committees, constituencies, and stakeholder groups.*

Determine if the SSAC is sufficiently accountable regarding security matters according to its chartered mandate to provide advice to the ICANN community and Board, and to engage and communicate with the community on various security matters as detailed in its charter.

The scope of work for this review includes years from 2011 to the present.

Any additional areas of exploration during the review are dependent on input from the ICANN Board's Organizational Effectiveness Committee (OEC) and/or the SSAC Review Work Party.

In addition, the SSAC may perform a self-assessment in preparation for, or in parallel with, the independent examiner's work.

Review Work Methodology

The review's methodology is expected to include the following:

- 1) Subject to SSAC's confidentiality requirements: Examination of documentation, records and reports, and their impact on ICANN and the multi-stakeholder process.
- 2) Impact of the recommendations from previous review efforts (see 'Scope of Work' above).
- 3) Subject to SSAC's confidentiality requirements: Observation of proceedings of SSAC activities.
- 4) Interviews (group and/or individual) with existing and former SSAC members, and the broader ICANN community, especially those in leadership positions of the SO/ACs, as well as the ICANN Board and ICANN Organization¹.
- 5) Online survey aimed to collect feedback pertinent to the scope of this review. Feedback should be sought from existing and former SSAC members, as well as all of ICANN's Supporting Organizations (SOs) and Advisory Committees (ACs); the ICANN Board of Directors; interested members from ICANN community; the ICANN Organization.
- 6) Consulting studies and/or literature related to the roles/procedures of the SSAC and/or other, comparable technical advisory committees.

Structure of the Reports

The independent examiner is expected to prepare and submit two reports: an Assessment Report and a Final Report.

The Assessment Report is to be the initial published document, presenting findings about areas that are working well and those that need improvement, but without providing

¹ ICANN Organization is the term used for all ICANN employees.

recommendations for concrete improvements. A draft version of the Assessment Report will be made available to the SSAC Review Work Party, who will provide feedback. Subsequently, a public consultation, led by the SSAC Review Work Party and ICANN's department of Multi-Stakeholder Strategy and Strategic Initiatives, will take place.

The Assessment Report should have the following main sections:

1. **Executive Summary:** This section should provide a clear and easy to understand summary of findings and recommendations.
2. **Facts:** This section should provide data on all aspects as described in the Scope of Work section above.
3. **Analysis:** This section should provide an in-depth analysis of the data collected, and show correlations amongst the various data sets.
4. **Assessment:** This section should provide an overview of what processes work well and where improvements can be made; the assessment ought to be based on and refer to the 'Facts' and 'Analysis' sections.

The Final Report is the concluding work product of this review, containing the Assessment Report's findings and analysis and providing specific, measurable, achievable, relevant, and time-sensitive recommendations. A draft version of the Final Report will be provided to the SSAC Review Work Party for its feedback before it is submitted to ICANN's public comment procedure.

1. **Executive Summary:** This section should provide a clear and easy to understand summary of findings and recommendations.
2. **Facts:** This section should provide data on all aspects as described in the Scope of Work section above.
3. **Analysis:** This section must provide an in-depth analysis of the data collected, and show correlations amongst the various data sets.
4. **Assessment:** This section should provide an overview of what processes work well and where improvements can be made; the assessment ought to be based on and refer to the 'Facts' and 'Analysis' sections.

5. **Recommendations:** The Report should provide providing specific, measurable, achievable, relevant, and time-sensitive recommendations on ways to improve effectiveness of the SSAC.

Other

The Final Report and any attached documents will be submitted in the English language. All reports will be submitted to ICANN as an electronic document in MS-Word and PDF format, including a red-line version (if applicable).

Background of the RFP

Current Review

The timing of the current SSAC Organizational Review is in accordance with the [July 2015 ICANN Board resolution](#) on Proposed Schedule and Process / Operational Improvements for AoC and Organizational Reviews, setting the second organizations review of the Security and Stability Advisory Committee for 2017.

In preparation for the 2017 SSAC Review, the current SSAC has established a Review Work Party to serve as a liaison between the independent examiner, the wider Community, the current SSAC and the Organizational Effectiveness Committee of the Board ([OEC](#)) who is responsible for the oversight of Organizational Reviews, including this SSAC Review.

The role of the SSAC Review Work Party is to provide input on review criteria and the SSAC assessment, coordinate interviews and objectively supply clarification and responses to the Assessment Report and the Final Report as well as any intermediary findings. Once the Final Report is issued, the SSAC Work Party is expected to coordinate with the SSAC to prepare a Feasibility Assessment and Initial Implementation Plan based on the Final Report. Subsequently both reports will be sent on to the ICANN Board's OEC for its consideration.

Previous Review

The SSAC Review Working Group formed in June 2008 was charged with addressing recommendations in the independent examiner's Final Report, to consider named improvements.

JAS Consulting was appointed as independent examiner. This was the first SSAC Review, and it focused on how well SSAC performed its function, and whether there were general or specific ways to enhance its effectiveness. The [Final Report](#), summarizing findings from the independent review and containing proposals for action, was published on 15 May 2009.

The Public Comment period on Draft Independent Review of the Security and Stability Advisory Committee was open from 20 March 2009 to 22 April 2009.

The SSAC Review Working Group (RWG), following a process that is no longer in practice, presented its report for public comment to ensure that the Review Working Group report contained sufficient and accurate information and to advise the Board on the changes recommended for SSAC. Following the 22 April 2009 closing of the public comment period, the Final Report was presented to the ICANN Board on 29 January 2010.

The SSAC RWG's report addressed the 33 recommendations made by the independent examiner, plus nine Working Group conclusions from the SSAC community. Pursuant to its Charter, the report was presented to the Structural Improvements Committee (SIC), currently the Organizational Effectiveness Committee (OEC) of the ICANN Board. After the SIC reviewed the report, and developed implementation steps, the Committee recommended that the ICANN Board Approve them.

The report was adopted in June 2010. The Board resolution can be found here:
<https://www.icann.org/resources/board-material/resolutions-2010-06-25-en#1.4>

The latest details of the implementation of all recommendations from the 2009 Review were published on 18 March 2011.

Additional information about the first SSAC Review is available at:
<https://www.icann.org/resources/reviews/org/ssac>

The Final Report of the SSAC Review Working Group is available at:
<https://www.icann.org/en/system/files/files/ssac-review-wg-final-report-29jan10-en.pdf>

The public comment on the RWG-SSAC Review Draft Report, is available at:
<https://www.icann.org/resources/pages/ssac-review-2009-2009-10-05-en>

High-Level Selection Criteria

The decision to select a final provider as an outcome of this RFP will be based on, but not limited to, the following selection criteria:

1. Technical Knowledge
 - A. Technical knowledge or experience with security matters with the Internet technical community and the operators and managers of critical DNS infrastructure services.
 - B. Demonstrate an understanding of the SSAC's charter and its [Operational Procedures](#).
 - C. Demonstrate familiarity with the SSAC's publications since the last review.
 - D. Demonstrate knowledge of the technical areas covered by the SSAC's charter, including security and integrity of the Internet's naming and address allocation systems; this includes operational matters (i.e., pertaining to the correct and reliable operation of the root zone publication system), administrative matters (i.e., pertaining to address allocation and Internet number assignment), and registration matters (i.e., pertaining to registry and registrar services).
 - E. Basic knowledge of ICANN, including experience as a general participant in the ICANN community
 - F. Some experience working with ICANN
 - G. Ability to garner respect and buy-in from ICANN community
 - H. Suitability of proposed CVs

2. Other Expertise
 - A. Demonstrated experience in conducting broadly similar examinations of large, multistakeholder volunteer-based organizations
 - B. Ability to balance timelines and deliverables with resource limitations and scheduling uncertainties inherent in volunteer-based organizations
 - C. Demonstrated experience in working with volunteer-based organizations and demonstrated sensitivity and consideration of volunteer time and contribution
 - D. Demonstrated understanding of not-for-profit or non-governmental organizations
 - E. Geographic and cultural diversity, multilingualism, gender balance and demonstrated experience of living and working in different cultural settings

3. Proposed methodology
 - A. Careful examination of documentation, records and reports, to gain an understanding of their impact on ICANN and the multi-stakeholder process
 - B. Ability to articulate approach to work organization, project management, and achievement of milestones provided in the timeline
 - C. Suitability of tools and methods for conducting a wide-ranging survey and other work
 - D. Suitability of methodology and sampling techniques for effectiveness assessment
 - E. Suitability of planned structure and presentation of deliverables
 - F. Suitability for engaging volunteers within volunteer-based Organizations, including ability to work cooperatively with SSAC while maintaining independence
 - G. Capability to bring outside best practices to inform the work and educate SSAC and ICANN
4. Flexibility - Willingness and ability to extend the schedule based on needs of the community.
 - A. Geographic, gender, cultural and linguistic diversity
 - B. Meeting the timeline, including ability to adjust to circumstances that could extend the review
 - C. General adaptability
5. Financial Value
6. Independence, impartiality and objectivity, including no conflict of interest
7. Reference Checks

High-Level Business Requirements

In order to be considered, the providers must be able to demonstrate ability to meet the business requirements. The full list of business requirements and questions are available after you log into the RFP via the ICANN Sourcing Tool.

Project Timeline

The following dates have been established as milestones for this RFP. ICANN reserves the right to modify or change this timeline at any time as necessary. All responses (including proposals, supporting documentation, questions, etc.) must be submitted via the ICANN Sourcing Tool. Access to the ICANN Sourcing Tool may be obtained by sending a request to SSACReview-RFP@icann.org.

Important Dates for RFP Candidates

EVENT	ESTIMATED DATE
RFP Published	7 July 2017
Interest indication by candidates	21 July 2017 by 23:59 PDT
Question submissions to ICANN	26 July 2017 by 23:59 PDT
ICANN responses to questions	28 July 2017
RFP Submissions Due	4 August 2017 by 23:59 PDT
Finalist presentations	Estimated the week of 21 August 2017
Evaluations, contracting, award	Estimated by 22 September 2017

Independent Examiner Deliverables- estimated dates

IE DELIVERABLE	ESTIMATED DATE
Work plan + timeline	October 2017
Interview plan	October 2017
Survey(s) plan	November 2017
Conduct Independent Review Deliver Assessment Report; solicit feedback	October 2017 – March 2018

Deliver Draft Final Report; solicit feedback	April 2018
Deliver Final Report; solicit feedback	June 2018

SSAC Events

The independent examiner is expected to travel to ICANN60 and ICANN61. The independent examiner is expected to work with the SSAC Review Work Party to attend/participate in SSAC events during ICANN meetings and/or separately.

Terms and Conditions

General Terms and Conditions

1. Submission of a proposal shall constitute Respondent's acknowledgment and acceptance of all the specifications, requirements and terms and conditions in this RFP.
2. All costs of preparing and submitting its proposal, responding to or providing any other assistance to ICANN in connection with this RFP will be borne by the Respondent.
3. All submitted proposals including any supporting materials or documentation will become the property of ICANN. If Respondent's proposal contains any proprietary information that should not be disclosed or used by ICANN other than for the purposes of evaluating the proposal, that information should be marked with appropriate confidentiality markings.

Discrepancies, Omissions and Additional Information

1. Respondent is responsible for examining this RFP and all addenda. Failure to do so will be at the sole risk of Respondent. Should Respondent find discrepancies, omissions, unclear or ambiguous intent or meaning, or should any question arise concerning this RFP, Respondent must notify ICANN of such findings immediately in writing via e-mail no later than three (3) days prior to the deadline for bid submissions. Should such matters remain unresolved by ICANN, in writing, prior to Respondent's preparation of its proposal, such matters must be addressed in Respondent's proposal.
2. ICANN is not responsible for oral statements made by its employees, agents, or representatives concerning this RFP. If Respondent requires additional information, Respondent must request that the issuer of this RFP furnish such information in writing.

3. A Respondent's proposal is presumed to represent its best efforts to respond to the RFP. Any significant inconsistency, if unexplained, raises a fundamental issue of the Respondent's understanding of the nature and scope of the work required and of its ability to perform the contract as proposed and may be cause for rejection of the proposal. The burden of proof as to cost credibility rests with the Respondent.
4. If necessary, supplemental information to this RFP will be provided to all prospective Respondents receiving this RFP. All supplemental information issued by ICANN will form part of the RFP. ICANN is not responsible for any failure by prospective Respondents to receive supplemental information.

Assessment and Award

1. ICANN reserves the right, without penalty and at its discretion, to accept or reject any proposal, withdraw this RFP, make no award, to waive or permit the correction of any informality or irregularity and to disregard any non-conforming or conditional proposal.
2. ICANN may request a Respondent to provide further information or documentation to support Respondent's proposal and its ability to provide the products and/or services contemplated by this RFP.
ICANN is not obliged to accept the lowest priced proposal. Price is only one of the determining factors for the successful award.
3. ICANN will assess proposals based on compliant responses to the requirements set out in the RFP, further issued clarifications (if any) and consideration of any other issues or evidence relevant to the Respondent's ability to successfully provide and implement the products and/or services contemplated by the RFP and in the best interests of ICANN.
4. ICANN reserves the right to enter into contractual negotiations and if necessary, modify any terms and conditions of a final contract with the Respondent whose proposal offers the best value to ICANN.