Specifications for Gap Analysis

of the Implementation of

SSR1 Review Recommendations

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1.0   Introduction

1.1   Preamble

The Internet Corporation for Assigned Names and Numbers ("ICANN") is seeking an independent expert to perform an analysis of how ICANN implemented the Board-approved recommendations from the first Security, Stability and Resiliency Review, and identify gaps between the intent of the recommendations and actual implementation.

In seeking a comprehensive proposal for these services, ICANN is placing emphasis on having extensive knowledge of the Domain Name System (DNS) – both protocol development and ICANN's role according to its mission regarding security, stability and resiliency; extensive technical background and understanding of Internet security, resiliency of the Internet and all associated terminology; technical writing experience, including developing materials and preparing reports for publication.

1.2   Overview of the Internet Corporation for Assigned Names and Numbers (ICANN)

ICANN's 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.

2.0   Gap Analysis of Implementation of SSR1 Review Recommendations Requirements

2.1   Period of this Project

This is a one-time project. In collaboration with the second Security, Stability, and Resiliency Review Team (SSR2-RT), ICANN is anticipating that the gap analysis will start in December 2017 and last for approximately twelve (12) weeks, concluding in February 2018. ICANN is seeking qualified consultants to conduct a gap analysis review on the implementation of the first Security, Stability, and Resiliency (SSR1) Review recommendations as they were approved by the ICANN Board, and submit their Final Report by 13 February 2018.

2.2   Scope of Work

Contractor will perform an analysis of how ICANN implemented the Board-approved recommendations from the first Security, Stability, and Resiliency Review, identifying gaps between the intent of the recommendations and actual implementation. Contractor's analysis

and conclusions will be documented in a written report. The contractor will review various materials provided by ICANN (i.e. SSR1 Final Report, Implementation updates, Implementation Briefings, etc.) and work in coordination with the designated Review Team members to develop a suitable work plan and methodology.

Contractor must be available to attend meetings related to the SSR2 Review Team's work on the implementation of SSR1 recommendations, as requested by the designated members of the SSR2 Review Team. Remote participation in these meetings is acceptable and it is anticipated that the meetings will not exceed four hours per week.

The materials that the Contractor will be responsible for reviewing and assessing, in order to prepare the Final Report, include:

- SSR1 Review Team Final Report https://www.icann.org/resources/pages/documents-88-2012-05-31-en

- SSR1 Board Action on the Review Teams Final Report https://www.icann.org/resources/board-material/resolutions-2012-10-18-en#1.e

- SSR1 wiki page https://community.icann.org/display/SSR/SSR1+Review

- SSR1 Review Implementation Reports https://community.icann.org/display/SSR/SSR1+Review+Implementation+Home

- SSR1 Review Briefing Reports located in the SSR2 meeting archives https://docs.google.com/document/d/1-Q9U68DALXswJ46zyWPX_1PBnsVL1-_ag26w0ohylRY/edit?usp=sharing

Note that this is not an all-inclusive list and additional materials may be identified as the analysis commences and as the Draft Report undergoes its assessment by the Review Team.

The outcome of this work will be reviewed by the SSR2-RT and may be factored into their Final Report.

2.3   Project Overview

The objective is to identify a consultant to perform an analysis of how ICANN implemented the Board-approved recommendations from the first Security, Stability, and Resiliency Review, identifying gaps between the intent of the recommendations and actual implementation. Contractor's analysis and conclusions will be documented in a written report. The contractor will review various materials provided by ICANN (i.e. SSR1 Final Report, Implementation updates, Implementation Briefings, etc.) and work in coordination with the designated Review Team members to develop a suitable work plan and methodology.

As per the Bylaws (Article 4, Section 4.6(a)(iv), the Review Team may "solicit and select independent experts to render advice as requested by the review team. ICANN shall pay the reasonable fees and expenses of such experts for each review contemplated by [Section 4.6 of the Bylaws] to the extent such fees and costs are consistent with the budget assigned for such review."

The SSR2-RT will approve the criteria to be used in conducting the gap analysis. These criteria will be finalized in conjunction with the contractor and should include, but are not limited to, the categories listed below. To further elaborate on the criteria, several questions are included within relevant categories, possibly for inclusion by the independent examiner into interviews or surveys, as applicable:

Criteria for conducting the gap analysis:

1. Recommendations relevance to the function/activity/project discussed
2. Recommendation understanding by ICANN
3. Recommendation implementation objective and processes
4. Recommendation implementation status and metrics
5. Gap analysis
   a. From the actual recommendation to its implementation
   b. Post implementation impact compared to expectations
   c. Identified gaps
   d. Possible actions for SSR2 team
   e. Possible actions for ICANN

2.4   Project Work Methodology

The Contractor will follow suitable methodology appropriate for a gap analysis, including: interviews of, or submission of questions to, relevant ICANN organization members and members of the SSR1 Review Team (to the extent they are available) and the SSR2 Review Team; review and analysis of available documentation; and other means deemed appropriate.

The Contractor will interact and respond to the designated members of the SSR2 Review Team to ensure that the agreed to deliverables meet the intended objectives as identified in the scope of work and as may be amended as the assignment is executed by mutual agreement.

The Contractor shall also meet all contractual terms specified in the professional services agreement, which will be based on this specification document.

2.5   Deliverables

Contractor shall provide the following:

- An outline of the gap analysis report by 9 January 2018 and present it to the SSR2 Review Team or its designated representatives for agreement;
- A draft gap analysis report within four weeks of the gap analysis outline based upon analysis and review of the materials that have been identified, and to meet with the Review Team to present the Draft Report;
- A Final Report taking into account all feedback and comments within four weeks of the feedback on the Draft Report;
- Presentation of Final Report to the Review Team by 20 February 2018.

2.6   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 Microsoft Word and PDF format, including a 'tracked changes' version (if applicable). The Final Report should follow ICANN guidelines for written content and be suitable for translations, if deemed necessary.

3.0   High-Level Selection Criteria

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

1) Technical Knowledge
   A. Extensive knowledge of the stable and secure operation of the Internet's unique identifier systems, and ICANN's role regarding the security, stability and resiliency of the internet, as outlined in the SSR2-RT Terms of Reference [https://community.icann.org/display/SSR/Terms+of+Reference].
   B. Extensive Internet background, and understanding of relevant technical and policy terms and other associated terminology.
   C. Extensive experience with systems/projects audits and review.
2) Other Expertise
   A. Demonstrated ability to work cross-functionally with various groups to obtain information and to facilitate discussions of topics relevant to the scope of the work identified.
   B. Demonstrated experience in conducting broadly similar projects.
   C. Ability to balance timelines and deliverables with resource limitations and scheduling uncertainties inherent in volunteer-based organizations.
3) Conflict of Interest
   A. Absence of activity or relationships that may impact sound and impartial judgment or cause the appearance of a conflict.

4) Proposed Methodology
   A. Careful examination of documentation, records and reports, to gain an understanding of the SSR remit and its impact on ICANN and the multistakeholder process.
   B. Approach that assures productive cooperation with SSR2-RT and ICANN organization.
   C. Capability to bring outside best practices to inform the gap analysis.

4.0   Project Timelines

The following dates have been established as milestones for this solicitation. The SSR2-RT reserves the right to modify or change this timeline at any time as necessary. All expressions of interest (including proposals, supporting documentation, questions, etc.) must be submitted to ssr2-gap-analysis@icann.org by 7 November 2017.

Process	Date
Announcement posted on ICANN.org	28 September 2017
Proposals Due	7 November 2017
Contractor starts project	4 December 2017

Contractor Deliverables

Deliverables	Estimated Date
Gap analysis outline and presentation to SSR2 Review Team to collect input	11 December 2017
Draft gap analysis report	5 January 2018
Meeting with SSR2 Review Team to present Draft gap analysis report and collect input	9 January 2018
Final Report	13 February 2018
Meeting with SSR2 Review Team to present Final gap analysis Report	20 February 2018

5.0   Instructions

5.1   Instructions for Submitting an Expression of Interest

All expressions of interest must be submitted to SSR2-gap-analysis@icann.org. The following information should be included as part of your response:

1. Proposal
2. Pricing information
3. Document indicating your interest and detailing your qualifications
4. References (if any)
5. Any other documents that are needed

5.2   General Instructions

1. Any questions you have about this request should be sent to ssr2-gap-analysis@icann.org.
2. Ensure that you submit your expression of interest before the deadline indicated. Do not provide your response via postal mail or other means. Submissions should include the documents noted in 5.1 above.
3. All direct communications with ICANN shall be made to ssr2-gap-analysis@icann.org.
4. Note that ICANN email addresses should not be added to email subscription lists without explicit prior approval of the recipient. Such email subscriptions, if added without explicit prior approval, will reflect negatively upon you during the evaluation process.

6   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 document.

2. All costs of preparing and submitting its proposal, responding to or providing any other assistance to ICANN in connection with this process 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 the contents herein 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 the contents herein, Respondent must notify ICANN of such findings immediately in writing via e-mail no later than three (3) days prior to the submission deadline. 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 selection process. If Respondent requires additional information, Respondent must request that the issuer of this process furnish such information in writing.

3. A Respondent's proposal is presumed to represent its best efforts to respond to this selection process. 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 submission. The burden of proof as to cost credibility rests with the Respondent.

4. If necessary, supplemental information to this specification document will be provided to all prospective Respondents receiving this document. All supplemental information issued by ICANN or the SSR2 Review Team will form part of the selection process. ICANN is not responsible for any failure by prospective Respondents to receive supplemental information.

Assessment and Award

The responsibility for selecting a qualified contractor will be shared by ICANN organization and the Review Team.

The Review Team will designate a point person(s) to speak with a singular voice on behalf of the Review Team through the selection process and during the term of the contract. This point person(s) will manage substantive aspects of work (as defined in statement of work and within budgetary constraints).

ICANN organization will designate a point person(s) (member of the Multistakeholder Strategy and Strategic Initiatives Team "MSSI") to manage operational elements, financials and deliverables based on contractual terms, to ensure compliance with contractual terms.

1. ICANN in collaboration with the designated SSR2 Review Team point person(s) reserve the right, without penalty and at its discretion, to accept or reject any proposal, withdraw this request, 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 and the designated SSR2 Review Team point person(s) 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 selection process.

3. ICANN is not obliged to accept the lowest-priced proposal. Price is only one of the determining factors for the successful award.

4. ICANN and the designated SSR2 Review Team point person(s) will assess proposals based on compliant responses to the requirements set out in the Specficiations, 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 selection process and in the best interests of ICANN. Information respondents will submit as part of their proposal will be shared with the designated point person(s) from the Review Team. No cost or contractual terms will be shared with any member of the Review Team.

5. 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.