



79 | COMMUNITY
FORUM



Program Update

ICANN Contractual Compliance



ICANN79 Prep Week
20 February 2024

Agenda

Program Update:

- Enforcement of the Registration Data Access Protocol (RDAP) requirements.
- Enforcement of Abuse Requirements.
 - ICANN Contractual Compliance's Readiness Efforts to Enforce New DNS Abuse Requirements.
- Support of Policy and Working Groups Efforts, and Other Initiatives of the Community.

Questions and Answers

ICANN Contractual Compliance - Introduction

Jamie Hedlund

SVP, Contractual Compliance & U.S. Government Engagement

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ICANN Contractual Compliance (“Compliance”) enforces the obligations in ICANN’s agreements with registries and registrars and the community-developed policies incorporated into those agreements. Compliance ensures all obligations are implemented to preserve and enhance the security, stability and resiliency of the Domain Name System.

- Compliance’s enforcement actions result from external complaints, proactive monitoring and audit-related activities.
- Compliance participates in training and outreach sessions to increase awareness regarding contractual obligations among the community.
- Compliance produces, publishes and maintains metrics and data on complaints received and enforcement actions to help inform community discussions.
- Compliance supports policy and working groups efforts by providing data and input regarding enforcement and enforceability of obligations.

Enforcement of RDAP Requirements

Amanda Rose
Contractual Compliance Lead

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RDAP Amendments & Enforcement

RDAP Timeline:

- 3 February 2024 - Ramp-up period ended
- 28 January 2025 - WHOIS sunset date (no longer required to provide WHOIS services)

Registrars and Registry Operators must be in compliance with all RDAP requirements, including:

- [RDAP response profile](#) and [Technical Implementation Guide](#)
- Service Level Requirements (RAA's [RDDS Specification Section 2](#); Registry Agreement's [Spec 10](#))
- New [RIS](#) requirement for Registrars (#15) to provide ICANN with 1 Registered Name sponsored by Registrar in any gTLD to be used in monitoring port 43 WHOIS and RDAP (updated form available [here](#))

Impact of RDAP amendments on RDDS display requirements

- If the value of the data element is redacted, there must be an indication in the RDDS, for example “REDACTED FOR PRIVACY” or similar.

RDAP Amendments & Enforcement

- Compliance initiates RDAP cases with contracted parties that have not implemented RDAP or whose RDAP implementation is not in conformance with the requirements:
 - From October 2019 to present, Compliance has enforced the requirement to implement an RDAP service and registrar base Uniform Resource Locators (URLs).
 - Current information indicates all registry operators have registered URLs; Compliance is following up with registrars that have not yet uploaded their URL to the Naming Services portal.
 - Following RDAP amendments (June 2023), Compliance began initiating cases related to conformance with RDAP Response Profile and Technical Service Guide requirements.
- Contracted parties implementing remediation measures are requested to provide regular updates on open compliance cases.
- There is no indication that any registrars or registry operators have ceased to operate WHOIS services.

Enforcement of Abuse Requirements

Leticia Castillo

Senior Director, Contractual Compliance



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Enforcement of Abuse Requirements (Registrar)

Registrar-related abuse complaints are addressed under [RAA, Section 3.18](#).

From January 2023 through December 2023, Compliance:

- Received 6,255 abuse complaints.
- Sent over 1,118 notifications to registrars within the informal stage of the compliance process.
- Closed 851 cases initiated with registrars (in approximately 47% of the cases, the domain name(s) or hosting services had been suspended; in 52% the registrar's investigation did not result in domain name/other services suspension.)
- Closed 5,268 complaints without contacting the registrar.

Percentages are rounded to nearest whole number

DNS Abuse Amendments

- The global amendments to the Registrar Accreditation Agreement and the base gTLD Registry Agreement that introduce DNS Abuse requirements will become effective on **5 April 2024**.
- ICANN issued an [Advisory](#) that provides guidance on the interpretation of and compliance with the new requirements.
- Readiness actions that ICANN Compliance is taking include:
 - Modifications to complaint webforms to collect the information needed to process complaints under the new requirements.
 - Modifications to compliance case processing system to track the information needed to enforce the requirements and report on enforcement actions.
 - Updates to training materials and related documents for Compliance team.

DNS Abuse Amendments - Reporting

- Introduction of data related to the enforcement of the new requirements in Compliance's metrics and reporting publications, including:
 - Complaints received broken-down by type of DNS Abuse
 - Phishing
 - Malware
 - Botnets
 - Pharming
 - Spam as a delivery mechanism for the other forms of DNS Abuse`
 - Cases resolved with contracted parties (CPs) and their outcome, including:
 - Whether the CP took mitigation actions to stop or to disrupt,
 - What type of action was taken; or
 - Whether no action was taken due to lack of actionable evidence.
- No change to reporting of other types of abuse complaints

Support of Policy, Working Groups & Other Community Initiatives

Jonathan Denison

Senior Director, Contractual Compliance

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Policy, Working Groups & Other Initiatives Support

- Compliance is a regular contributor to the Community's constant state of policy development and research work.
- Compliance's recorded metrics and data help inform community discussions and research on specific topics, such as domain name abuse or renewal.
- Compliance provides input on whether proposed policy language is clear and enforceable.
- Compliance allocates subject matter experts to participate in policy development, working group and other initiatives meetings, provide information and feedback on concepts and language, as well as how to implement policy in an effective way once approved.
- Compliance participates in training and outreach sessions to increase awareness regarding contractual obligations among the community.

Policy, Working Groups & Other Initiatives Support

Compliance has subject matter experts involved in, for example:

- The Transfer Policy Review PDP
- IDN Guidelines
- Rights Protection Mechanisms Implementation Review Team
- Registration Data Request Service (RDRS)
- The New gTLD Program: Next Round (NxR)
- Registration Data Policy Implementation
- Amendments to the Base gTLD RA and RAA re: DNS Abuse
- Privacy and Proxy Services Accreditation Implementation (PPSAI)

Compliance maintains a dedicated page with [Metrics and Dashboards](#).

Compliance participates in training and outreach events to discuss contractual obligations and the compliance process, for example:

- In October 2023, the team attended a brunch with Turkish registrars.
- In December 2023, in partnership with the GSE and GDS teams, Compliance participated in an online training with Ukrainian registrars and in an outreach event for members of the African Internet Community.

Questions & Answers



Send Compliance questions to:

compliance@icann.org

Subject line: ICANN79 Prep Week Compliance Update

This ICANN79 presentation will be available at:

- The ICANN79 Prep Week page at
<https://meetings.icann.org/en/meetings/icann79/>

APPENDIX



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Full-scope Registry Compliance Audit

- In August 2023, Compliance launched a new audit round to test and validate registry operators' (ROs) compliance with terms of the Registry Agreement (RA) and Consensus Policies.
- 19 ROs were selected for the audit. The selection criteria included:
 - TLDs/ROs that have never been audited (TLDs operated by the same RO are excluded)
 - gTLDs of those ROs with over 5,000 domains under management (DUMs)
 - gTLDs of those ROs with a Domain Abuse Activity Reporting (DAAR) abuse score greater than 0.0 percent.
- All audit data was received from September to November 2023, and the Audit team followed up with auditees on findings (when applicable).
- The audit was completed on 11 December 2023, and the [consolidated audit report](#) has been published.