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ICANN FIFTY
22-26 JUNE 2014

#ICANN50

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Contractual Compliance

Compliance Outreach Session

Wednesday, 25 Jun 2014

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Agenda

- General Update

- 2013 RAA Discussion and Clarification

- New Registry Agreement

- Risk and Audit Program Update

- Q&A Session

Contractual Compliance Global Staffing Model

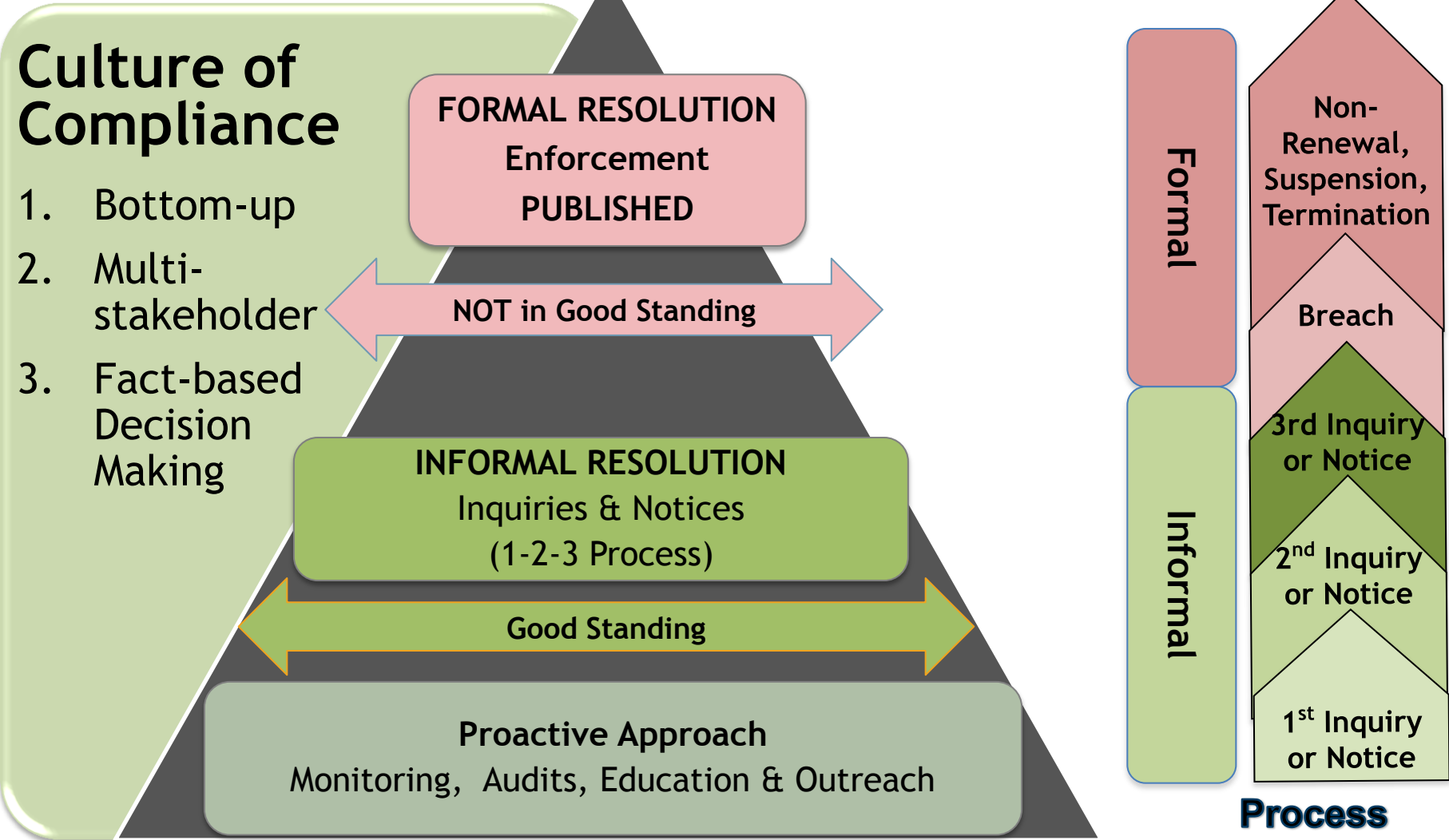| Los Angeles	Singapore	Istanbul
Full Time Equivalent(s): 16 Open Positions: 0	Full Time Equivalent(s): 2 Open Positions: 2	Full Time Equivalent(s): 3 Open Positions: 1

Scalability Through Contractors: 2 Full Time Equivalents Currently

- 21 Staff members strong

- Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish and Uzbek

- Link to staff page: https://www.icann.org/resources/pages/staff-2012-02-25-en

Contractual Compliance Global Model and Approach

Culture of Compliance

1. Bottom-up
2. Multi-stakeholder
3. Fact-based Decision Making

FORMAL RESOLUTION
Enforcement
PUBLISHED

NOT in Good Standing

INFORMAL RESOLUTION
Inquiries & Notices
(1-2-3 Process)

Good Standing

Proactive Approach
Monitoring, Audits, Education & Outreach

Formal

Non-Renewal, Suspension, Termination

Breach

Informal

3rd Inquiry or Notice

2nd Inquiry or Notice

1st Inquiry or Notice

Process

Published at: http://www.icann.org/en/resources/compliance/approach-processes

Readiness for the 2013 RAA and the New Registry Agreement

	Previous	Additional Registrar Complaints	Additional Registry Complaints
Public Complaints	1. Domain Renewal/ Redemption +ERRP 2. Registrar Contact 3. Registry 4. Transfer 5. UDRP 6. WHOIS Inaccuracy 7. WHOIS Unavailable	1. Domain deletion non-response WHOIS inquiry 2. Abuse Contact Data 3. Customer Service Handling 4. Failure to Support DNSSEC, IDN, IPv6 5. Privacy/Proxy Registration Program 6. WHOIS SLA	1. Dispute Resolution Processes PIC, RR, URS, TMPD 5. Registry Complaint (Service Performance + Other) 6. Sunrise Processes & Procedures 7. Abuse Contact Data 8. Wildcard Prohibition (Domain Redirect) 9. Code of Conduct (Registry Operator) 10. Claims Services (Trademark) 11. Zone File Access 12. Reserved and Blocked Second Level Domain (SLD) Names
ICANN Cases	8. Data Escrow 9. Fees 10. Other	7. WHOIS Format 8. CEO Certification 9. Registrar Info Specification 10. Reseller Agreement 11. Failure Notify ICANN Bankruptcy, Security Breach, Conviction, non-display of trademark notice	13. DNS Zone File Transfer (EBERO) 14. Data Escrow 15. Continued Operations Instrument (COI) 16. Registry Fees 17. Registry Monthly Report 18. Registry SLA Monitoring 19. Failure Notify ICANN of Bankruptcy

Registrar/Registry Compliance Check

	Registrar	Registry
Purpose of Compliance Check	2013 RAA Adoption Renewal of Accreditation Transfer of Accreditation	Amendment of TLDs contracts* Assignment of RA (Transfer)* New gTLD Applicants* Renewal of Accreditation
Breach, Suspension or Termination Notice	Yes/No	Yes/No
3rd Notice and/or Enforcement Notice	Yes/No	Yes/No
Data Escrow	Yes/No	Yes/No
Performance History	Breach, Suspension or Termination within last 12 months Registrar Turnaround Time	Breach, Suspension or Termination within last 24 months Registrar Turnaround Time List of open complaints

* May involve both Registrars and Registry Operators checks

Contractual Compliance – Governance Metrics

Metric	Target	Actual FY14 YTD (July 2013-May 2014)		
Reporter Customer Satisfaction Survey	≥70%	**77.0%** Durban 2013	**90.0%** Buenos Aires 2013	**74.5%** Singapore 2014
Registrar Audit Results	≥95%	**97** Year 1		**98.8** Year 2
Registry Audit Results	≥95%	**100** Year 1		**100** Year 2
Registrar – Data Escrow Compliance	≥95%	**98 98.5 98 98.2 97.8 98 97.9 96.8 97.7 95.8** Jul... Au... Se... Oc... No... De... Ja... Fe... Ma... Ap...		
Registrar – Compliance	≥95%	**98 98.5 98.1 98.3 98 98.2 98.1 96.8 97 96.2 96.3** Ju... A... S... O... N... D... Ja... F ... M... A... M...		
Registry (new gTLD's) – Compliance	≥95%	**100 99 100 100** Feb-14 Mar-14 Apr-14 May-14		
Compliance Closure Rate	≥55%	**72% 69% 73% 67% 60% 56% 60% 63% 60% 65% 64%** Jul-13 Aug-13 Sep-13 Oct-13 Nov-13 Dec-13 Jan-14 Feb-14 Mar-14 Apr-14 May-14		

The London 2014 value **72.0%** appears in the Reporter Customer Satisfaction Survey row.

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- **2013 RAA Discussion and Clarification**

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Since ICANN 49

- Ongoing efforts and alignment on 2013 RAA

- Registrars continue updating systems to comply with 2013 RAA and Specifications

  - Whois Format and collecting new information from RNHs

  - Whois Accuracy Program Specification verification and validation efforts
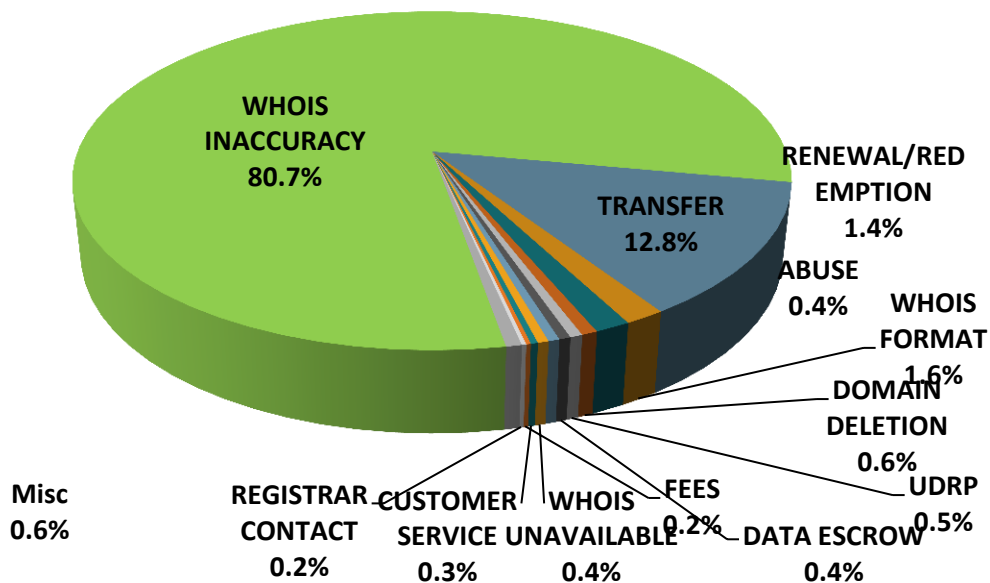
- Responding to the new registrar complaint types

ICANN Lessons Learned (Registrars)

- CEO Certification: filling out the form correctly

- 2013 RAA Whois Format: complying with standards

- Whois Accuracy: distinguishing verification/validation

- Abuse Reports: establishing investigative processes

- Registrar Information Specification: posting information

- Privacy/Proxy: ensuring separate legal entity

- UDRP: verifying with providers and preventing improper transfer

Contractual Compliance – Mar 2014 – May 2014 Registrar Complaint Types

Complaint Distribution

Pie chart – Complaint Distribution:
- WHOIS INACCURACY 80.7%
- TRANSFER 12.8%
- RENEWAL/REDEMPTION 1.4%
- ABUSE 0.4%
- WHOIS FORMAT 1.6%
- DOMAIN DELETION 0.6%
- UDRP 0.5%
- DATA ESCROW 0.4%
- FEES 0.2%
- WHOIS UNAVAILABLE 0.4%
- CUSTOMER SERVICE 0.3%
- REGISTRAR CONTACT 0.2%
- Misc 0.6%

REGISTRAR Complaints	Quantity
ABUSE	53
CEO CERTIFICATION	10
CUSTOMER SERVICE	33
DATA ESCROW	54
DNSSEC, IDN, IPV6	1
DOMAIN DELETION	75
FAILURE TO NOTIFY	10
FEES	22
PRIVACY/PROXY	16
REGISTRAR CONTACT	21
REGISTRAR INFO SPEC	16
REGISTRAR OTHER	8
RENEWAL/REDEMPTION	167
RESELLER AGREEMENT	3
TRANSFER	1,558
UDRP	59
WHOIS FORMAT	189
WHOIS INACCURACY	9,828
WHOIS SLA	9
WHOIS UNAVAILABLE	51
Total Complaints Processed	12,183
Total Complaints Closed	11,364

Registrar TAT	(in days)
Avg TAT 1st Notice	12.6
Avg TAT 2nd Notice	5.6
Avg TAT 3rd Notice	11.2

Enforcements	
Volume Breach	15
Volume Termination	0

Contractual Compliance – Mar 2014 – May 2014 Enforcement Activity

Notice Reasons

Maintain and provide communication records (RAA 3.4.2/3)

Respond to audits (RAA 3.14)

Pay accreditation fees (RAA 3.9)

Other

Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)

Display renewal/redemption fees (ERRP 4.1)
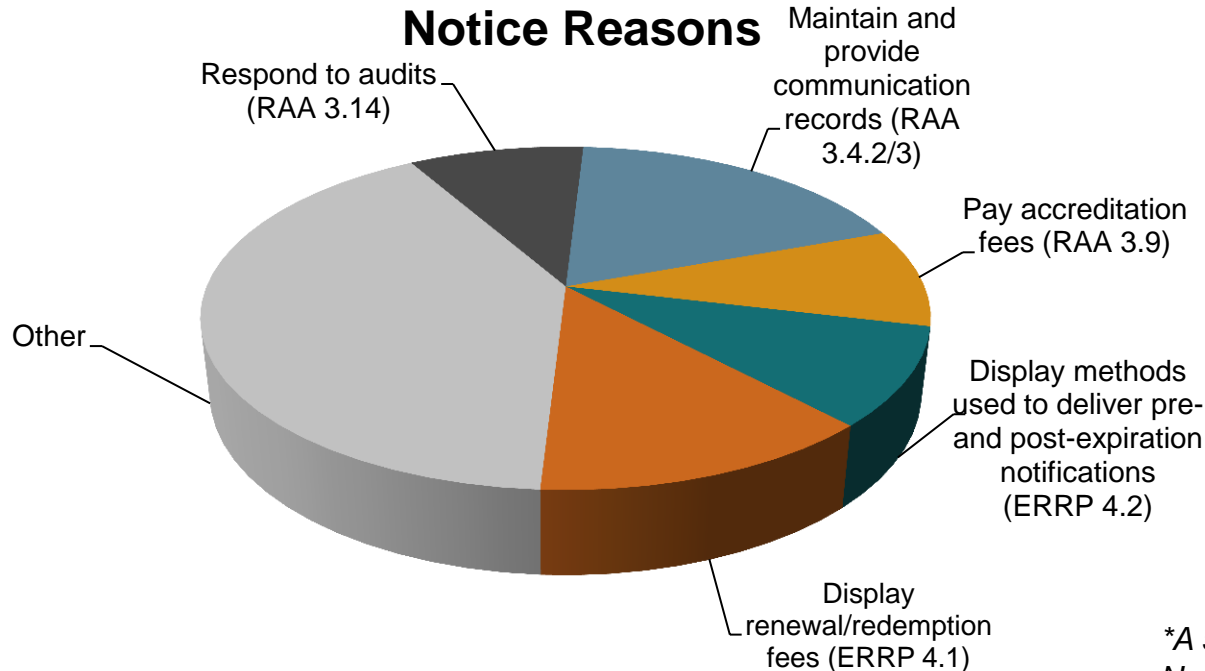
Notices	Qty
Breach	15
Suspension	0
Termination	0

Breach Notice Reason*	Qty*
Failure Notice Reasons	54
➢Cured	16
➢Not Cured	38

*A singe Breach may contain multiple Notices Reasons.

Enforcement Notice Reasons	%
Maintain and provide communication records (RAA 3.4.2/3)	18.5
Display renewal/redemption fees (ERRP 4.1)	13.0
Respond to audits (RAA 3.14)	9.2
Pay accreditation fees (RAA 3.9)	9.2
Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)	9.2
Other	40.7

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Whois Inaccuracy Verification & Validation Whois Accuracy Program Specification

- If valid complaint, registrar must verify or re-verify email address of Registered Name Holder ("RNH") and if different, Account Holder ("AH")
- The domain must be suspended or registrar must provide proof of manual verification
- 1st notice response deadline remains 15 business days
- Beginning with the 2nd notice, ICANN will inquire why registrars did not suspend or delete registrations

Whois Inaccuracy

Verification vs. Validation under 2013 RAA Whois Accuracy Program Specification

Verification: to confirm or correct information

- Affirmative response verification: receiving email from registrant email address listed in Whois data

- Manual verification: phone call contacting RNH may be enough depending on complaint (ICANN requires time, date, details of call)

Whois Inaccuracy

Validation: ensure formatting is consistent with standards

- "Standards" includes RFC 5322 (email), ITU-T E. 164 (telephone), UPU Postal or S42 addressing templates (postal addresses) or equivalents for territory or country
  - Not websites or map applications (unless relying on standards)
  - Not something obtained from the RNH

- The obligations to verify, validate and investigate alleged Whois inaccuracies under RAA Section 3.7.8 are not interchangeable

Abuse Reports Requirements
Section 3.18 of the 2013 RAA

- Registrars must take reasonable and prompt steps to investigate and respond appropriately to any reports of abuse
- Law enforcement reports: can be from any applicable jurisdiction once designated by a registrar's local government
- Registrars must include abuse email & phone number in Whois output
- Abuse email address must be conspicuously on website, and cannot be a web form
- Registrars cannot require a court order to investigate reports of abuse, unless they inform ICANN of a specific local law or regulation

Privacy/Proxy Services

Section 3.4.1.5 and Specification on Privacy and Proxy Registrations (2013 RAA)

- Privacy service: shows actual registrant's name, but with alternative contact information

- Proxy service: is the registrant, and licenses domain to beneficial user

- Registrant must be contactable for both privacy & proxy services

- Proxy service must be separate legal entity from registrar – "self registration" prohibited

- Registrar must verify/validate Whois data as required by 2013 RAA

Deceptive Notices

- Increased complaints for allegedly deceptive transfer and renewal notices

- Emails sent to registrants who never requested transfer or renewal

- Emails require action and ask recipient to contact current registrar or complete transfer/renewal by:
  - clicking on link to complete transfer/renewal
  - obtaining AuthInfo code and unlocking domain name

- Notices may violate RAA and Registrants' Benefits and Responsibilities

Policy and Working Group Efforts

- Trends learned from complaints and enforcement efforts guide policy changes and ongoing implementation strategies

    - Contributing to IRTP parts C and D working group efforts

    - Supporting UDRP revision implementation

    - Participating in Thick Whois (registry) implementation

    - Evaluating ERRP effectiveness

General UDRP Issues

- Registrar not responding to verification requests from service providers

- Complexity of matters involving "mutual jurisdiction"

- Complainants not providing information for registrars to update Whois

- Registrars transferring names during proceedings or instead of implementing Decision

➢ Process Improvement Note: in June 2013 ICANN reached out to UDRP providers to instruct them to file formal complaints rather than emailing staff directly.

Evaluating ERRP Effectiveness

- Initiated by ALAC request November 2008

- Implemented 31 August 2013

- Measure policy effectiveness – ICANN compared renewal/redemption complaints pre and post ERRP

  - Non-compliant registrars remediated and to date, remain compliant

  - 6 of the 152 registrars had ERRP issues during Year-2 audit program

Evaluating ERRP Effectiveness

- Review of Domain Renewal/Redemption complaints from 1 January 2013 – 30 April 2014

- Number of complaints received: pre ERRP = 471; post ERRP = 458

| Basis of complaints	pre ERRP %	post ERRP %
Lack of expiration-related info: • No renewal reminders sent prior to expiration	32%	19%
Unable to renew or restore: • Redemption Grace Period not offered • Changed Whois complicated renewal • Registrar unresponsive • Payment issues	43%	21%

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- **New Registry Agreement**

- Risk and Audit Program Update

- Q&A Session

Compliance Scope

- The [Registry Agreement](#) and applicable [Consensus Policies](#)
- The Dispute Resolution Procedures
  - Public Interest Commitments
  - Community Registration Restrictions
  - Trademark Post-Delegation
  - Uniform Rapid Suspension
- The Sunrise Processes
- The Claims Services Processes
- The Audit is limited to the representations and warranties in Article 1, and the covenants in Article 2

New Registry Agreement Efforts
Applicant Guidebook Timeline

Link to ICANN.org:
http://www.icann.org/en/resources/compliance/registries

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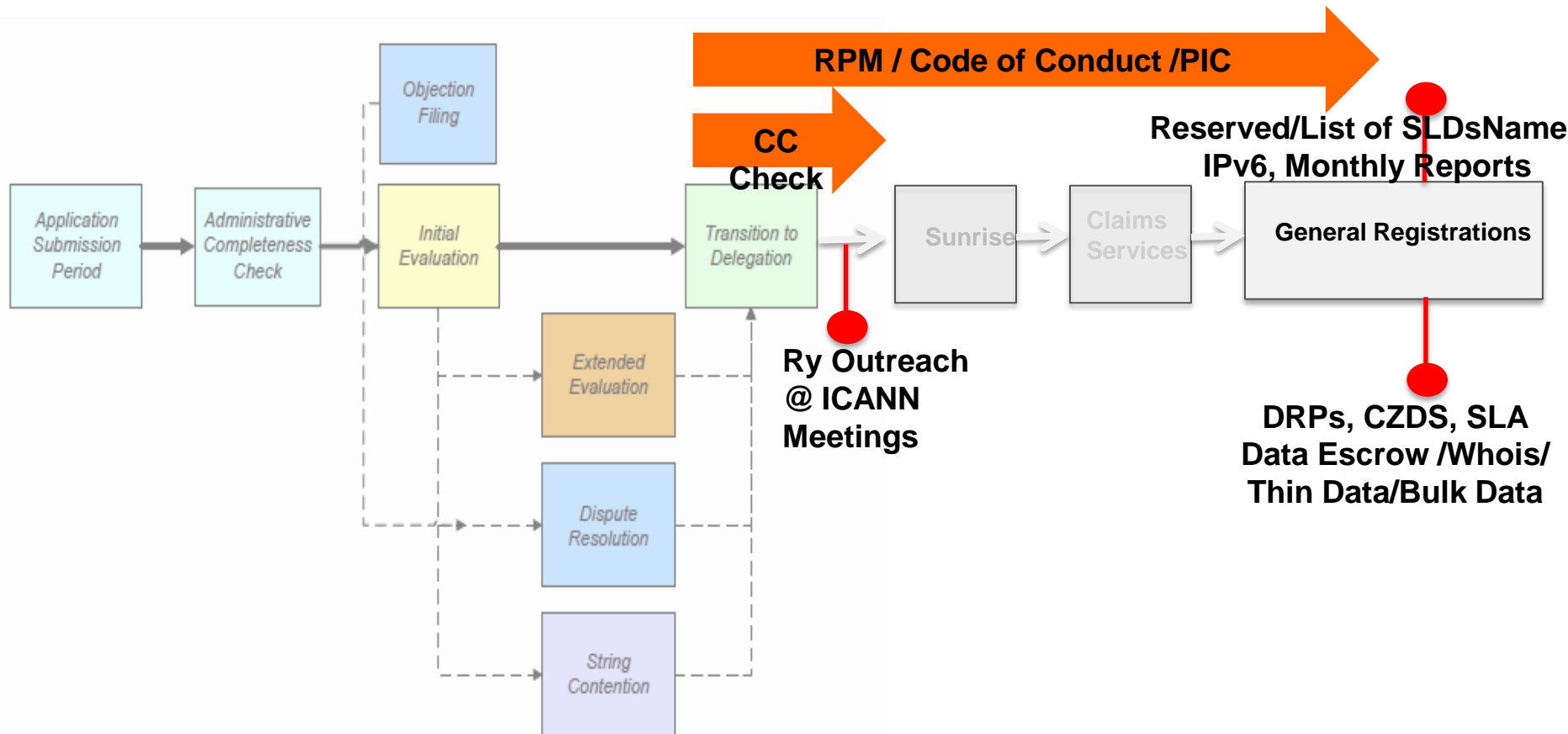
Registry Complaints - March 2014

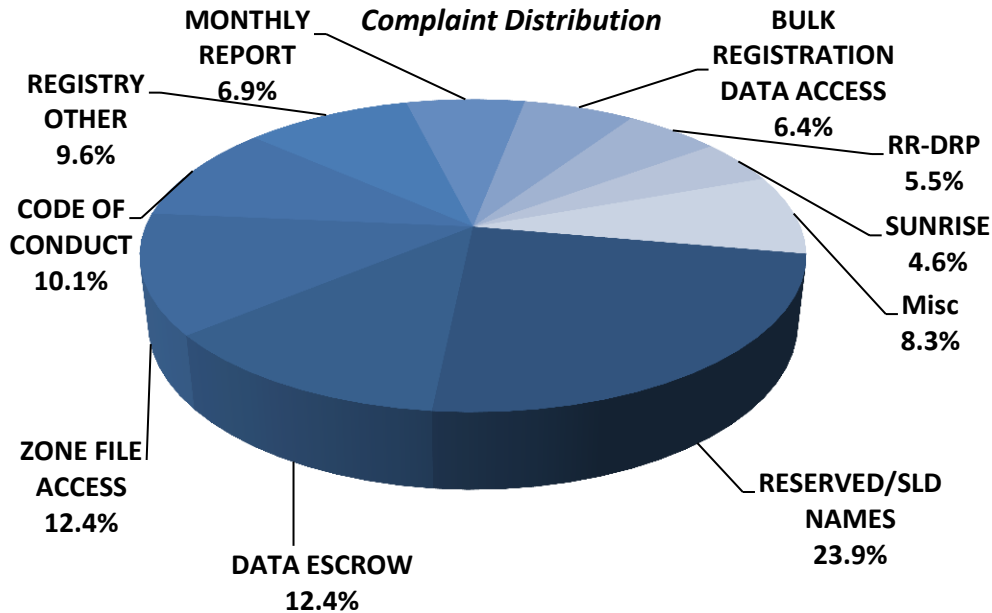| Registry Complaint Types	
• Data Escrow • Monthly Reports • SLA • Reserved Names • Registry Fees	• Wildcard Prohibition • Abuse Contact Data • Registry Operator Code of Conduct • Trademark Claims Notice • Continued Operations Instrument

• Sunrise Processes & Procedures
• Centralized Zone File Access
• Name Collision – SLDs Blocked
• Post-delegation Procedures
    • Public Interest Commitments,
    • Registry Restrictions
    • Trademark Post-Delegation
• Rights Protection Mechanism
    • Uniform Rapid Suspension
	• Failure to Notify ICANN
	    • Officer/Board Member Conviction
	    • Bankruptcy

Lessons Learned Since ICANN 49

- RPM: Allocation of domain names before Sunrise outside of allowed exceptions

- RPM: Failure to send LORDN timely

- Abuse Contact Data: failure to comply with website posting

- PIC: Missing mandatory provision in RRA

- End-User Zone File Access: Delayed response / Invalid denial

- Data Escrow: Missing registry operator's notification

- Monthly Reports: both reports required

Contractual Compliance – Mar 2014 – May 2014 Registry Complaint Types

Complaint Distribution

Pie chart labels:
- MONTHLY REPORT 6.9%
- BULK REGISTRATION DATA ACCESS 6.4%
- RR-DRP 5.5%
- REGISTRY OTHER 9.6%
- SUNRISE 4.6%
- CODE OF CONDUCT 10.1%
- Misc 8.3%
- ZONE FILE ACCESS 12.4%
- RESERVED/SLD NAMES 23.9%
- DATA ESCROW 12.4%

REGISTRY Complaints	Qty
ABUSE CONTACT DATA	4
BULK REGISTRATION DATA ACCESS	14
BULK ZFA	1
CLAIMS SERVICES	3
CODE OF CONDUCT	22
DATA ESCROW	27
MONTHLY REPORT	15
PIC-DRP	2
REGISTRY OTHER*	21
RESERVED/SLD NAMES	52
RR-DRP	12
SLA	2
SUNRISE	10
URS	4
WILDCARD PROHIBITION	2
ZONE FILE ACCESS	27
Total Complaints Processed	**218**
Total Complaints Closed	**197**

Registry TAT	(in days)
Avg TAT 1st Notice	6.6
Avg TAT 2nd Notice	2.9
Avg TAT 3rd Notice	n/a

Enforcements	
Volume Breach	0
Volume Termination	0

* 'Registry Other' breakdown:	Qty
Customer Service	3
Pricing	3
Invalid Registrar	1
Publish Data	1
Miscellaneous	13
TOTAL	21

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Agenda

- General Update

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- New Registry Agreement

- **Risk and Audit Program Update**

- Q&A Session

Audit Program Update

- **Year-2 Audit Program**
  - launched 14 October 2013
  - Selected one third (1/3) of the Registrars and Registries
  - Five rollover registrars from Year-1
  - Excluded the Year-1 audited list
- **New Registry Audit Program**
  - Audit Program steps developed
  - Conducted three outreach sessions with Registries
- **Internal Audit**
  - Conducted in July 2013 to assess compliance with the process and procedures
  - 45 total controls were in scope
  - 8 findings were identified and corrected by the September 2013

Year-2 Audit Program Sample

Registrars	#
Total Selected Registrars	322
Including Y1 Rollovers	5

Registries	#
Total Selected Registries	6
US Ireland Switzerland	4 1 1

Country	Registrars
United States	191
India	24
Canada	11
United Kingdom	10
Germany	8
China	10
Korea (South)	6
Japan	5
Spain	5
Australia	4
Italy	4
France	5
Mexico	3
Brazil	3
Sweden	3
Netherlands	2
Belgium	2
Lithuania	2
Russian Federation	2
Israel	2

Country	Registrars
Thailand	1
Finland	1
Czech Republic	1
Cayman Islands	1
Austria	1
Taiwan	1
Ghana	1
Hong Kong	2
Ireland	1
Argentina	1
Singapore	1
Viet Nam	1
Kuwait	1
Latvia	1
Liechtenstein	1
Malaysia	1
Panama	1
Philippines	1
Indonesia	1

Over 95% of all Registrars collaborated with, or immediately remediated their initial deficiencies if any were noted. The rest 5% were either not responsive or remediation takes an extended period of time and efficiency to be tested during Year 3 audit.

Year-2 Audit Program Results
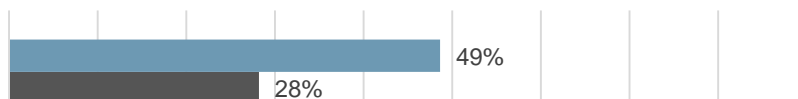
Registrar Deficiency Profiles
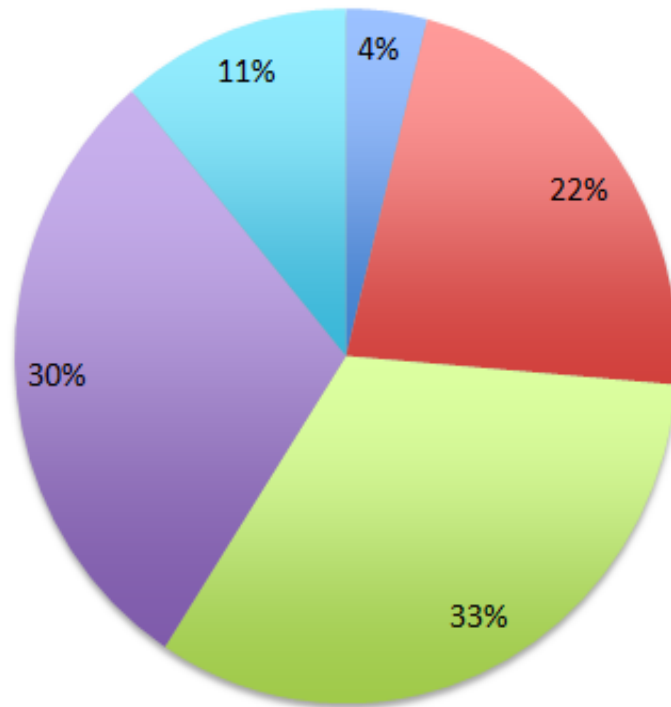
- ■ % of Registrars with No Deficiencies
- ■ % of Registrars with 1 to 2 Deficiency Areas
- ■ % of Registrars with 3 to 4 Deficiency Areas
- ■ % of Registrars with 5 to 6 Deficiency Areas
- ■ % of Registrars with 7 to 8 Deficiency Areas

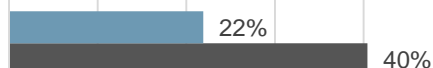# Top initial deficiencies noted after audit phase

Year 1 vs Year 2

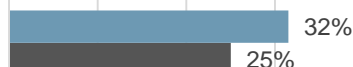
5.11 Update Primary Contact Information in RADAR — Y2: 49%, Y1: 28%
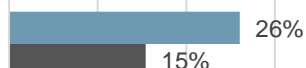
4.3.1 Consensus Policies — Y2: 84%, Y1: 53%

3.16 Registrar contact details on registrars website — Y2: 22%, Y1: 40%

3.12 Reseller agreement (mandatory provisions) — Y2: 32%, Y1: 25%

3.10 Insurance — Y2: 26%, Y1: 15%

3.7.5.3 to 3.7.5.6 EDDP-Domain name renewal, provision of applicable information to registrants — Y2: 8%, Y1: 7%
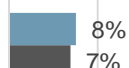
3.4.2 Retention of Registration Data — Y2: 59%, Y1: 56%

3.3.1 to 3.3.5 Whois- Port43/Web, Corresponding Data Elements — Y2: 51%, Y1: 68%

Legend: ■ Y2 ■ Y1

Audit Program phases statistics

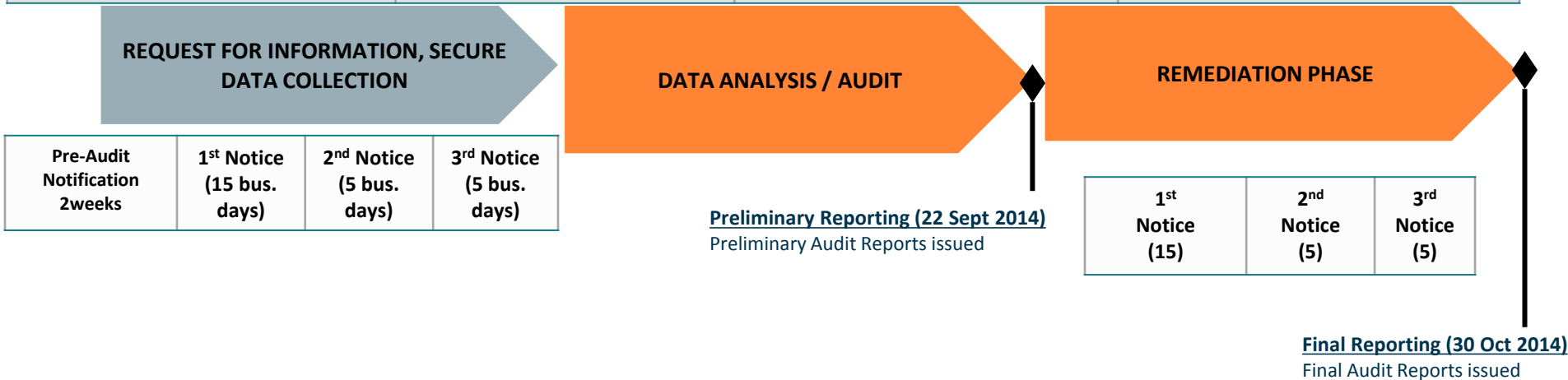| Statistics	Year 1	Year 2
Total number of Registrars in scope	317	322
Breakdown	175 non-family Rrs + 136 Rr from 14 families	138 non-family Rrs + 180 Rr from 14 families
Received breach notices during RFI stage	10	7
Did not pass RFI stage (termination/acquisition)	3	3
Total number of "clean" reports issued upon completion of the audit phase	6	6
Total number of audit reports requiring remediation, issued upon completion of the audit phase	180	146
Terminated upon completion of remediation phase	0	1
Rrs completely remediated all deficiencies during remediation phase	170	129
Rrs partially remediated, working on a corrective actions plans and rolled in future full re-audit	5	5
Registrars partially remediated, working on a corrective actions plans; ICANN will verify effectiveness in Q4 2014	5	10

Year-3 Audit Plan Scope and Dates

- Remaining Registrars and Registries

- Same timeline as Year 2
  - Planning & Organizing Phase : September – October 2014;
  - Pre-Audit (2 weeks prior to RFI) Notice: beginning of October 2014
  - Request for Information (RFI) Notice: mid-October 2014
  - Data Collection: mid-October - beginning of December 2014
  - Audit Phase: December – April 2015
  - Reporting Phase: March 2015
  - Remediation phase: March – May 2015
  - Final Reporting: May 2015

- Same process as the Year 1 follow Compliance 1-2-3 approach

New Registry Audit Program Steps

- Conducted 2 outreach webinars on 12 May 2014

- By request, a follow-up call on 21 May 2014 with the Registry Stakeholder Group

- Feedback from Registries by 23 May 2014

- ICANN review by 30 May 2014

- ICANN updated the Audit Program accordingly

- Present the Audit Program @ ICANN 50

- Start Audit Process in July 2014

New Registry Agreement Audit Timeline

JULY 2014	AUGUST 2014	SEPTEMBER 2014	OCTOBER 2014

REQUEST FOR INFORMATION, SECURE DATA COLLECTION

DATA ANALYSIS / AUDIT

REMEDIATION PHASE

Pre-Audit Notification 2weeks	1st Notice (15 bus. days)	2nd Notice (5 bus. days)	3rd Notice (5 bus. days)

Preliminary Reporting (22 Sept 2014)
Preliminary Audit Reports issued

1st Notice (15)	2nd Notice (5)	3rd Notice (5)

Final Reporting (30 Oct 2014)
Final Audit Reports issued

New Registry Agreement Provisions under Consideration – Summary (1/2)

Registration Agreement Articles	Test Objective
1.3 Representations and Warranties. 1.3 (a) ii.	Registry Operator is still in good standing since application process
2.2 Compliance with Consensus Policies and Temporary Policies	To obtain an assurance that Registry is complying with all Consensus Policies - AGP (Add Grace Policy)
2.3 Data Escrow; Specification 2; PART B Legal Requirements	Content of the escrow deposits are per the contract
2.4 Monthly Reporting; Specification 3	To ensure the monthly Per-Registrar Transactions Report accurately represents the number of active domains
2.5 Publication of Registration Data (Whois); Specification 4	Availability and following Specification 4 (Section 1.4)
2.6 Reserved Names; Specifications 5	Names that Registry Operators are obligated to reserve are actually reserved
2.7 Registry Interoperability and Continuity; Spec 6.2.2 Name Collision Occurrence Assessment (Blocked Second Level Domain Names)	Names that Registry Operators are obligated to block are actually blocked

New Registry Agreement Provisions under Consideration – Summary 2/2

Registration Agreement Articles	Test Objective
2.7 Registry Interoperability and Continuity; Specification 6	Registry Operators have BCP
2.8 Protection of Legal Rights of Third Parties - (TMCH) Sunrise Period; Specification 7	Domain names registered during sunrise were eligible for registration
2.8 Protection of Legal Rights of Third Parties (TMCH) Claims Period; Specification 7	During the trademark claims period, Registry performed required validation
2.14 Registry Code of Conduct; Specification 9 Parts A, D, E	Compliance of the Registry on Code of Conduct
2.17 Additional Public Interest Commitments; Specification 11	To ensure that Registry Operator complies with its public interest commitments as incorporated into Specification 11 of the Registry Agreement
2.19 Community- Based TLDs Obligations of Registry Operator to TLD Community; Specification 12	Registry has a written Registration Policy and complied with it when registering with community based TLDs
Specification 13 . BRAND TLD PROVISIONS; 5.1 (ii)	To confirm that only Registry Operator, its Affiliates, or Trademark Licensees register domain names and control the DNS records associated with domain names at any level in the TLD.

"Self" Internal Audit Exercise

- Conducted an Internal audit in July 2013 to assess compliance with the process and procedures

- 45 total controls were in scope

- 8 findings were identified

- Exceptions noted were system software issue and procedural

- Compliance team has corrected procedural items in Aug 2013

- Software updates to deploy in Dec 2014

- Internal controls will be reviewed in 2015; the need for re-audit will be re-evaluated then.

Thank You

Please send general questions:
To: Compliance@icann.org
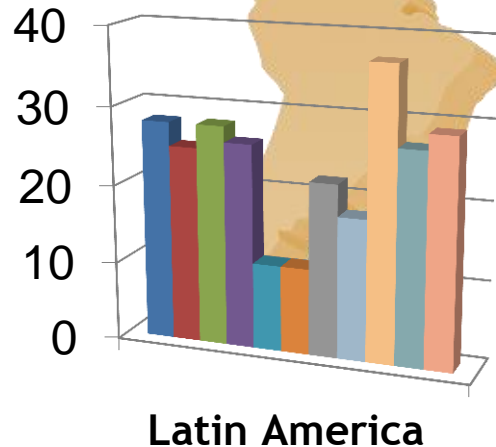Subject line: **ICANN50 Compliance Outreach Session**
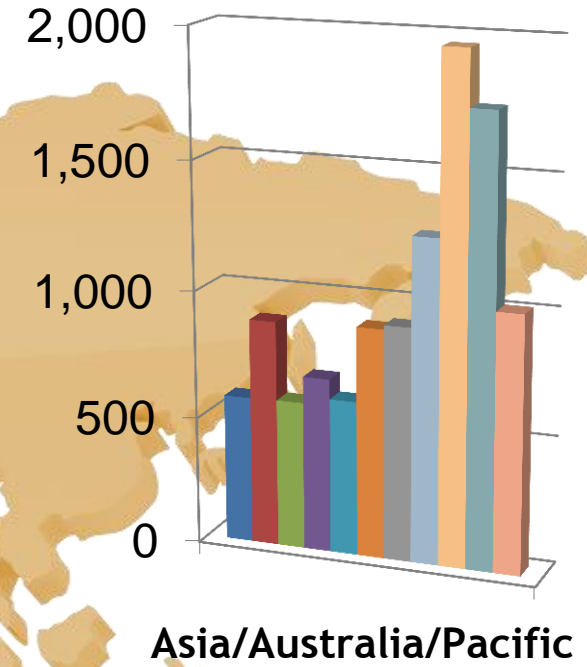
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FY 14 YTD Metrics
July 2013 – May 2014

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Contractual Compliance – July 2013 – May 2014 Global Complaint Trend

North America

Europe

Legend:
- Jul-13
- Aug-13
- Sep-13
- Oct-13
- Nov-13
- Dec-13
- Jan-14
- Feb-14
- Mar-14
- Apr-14
- May-14
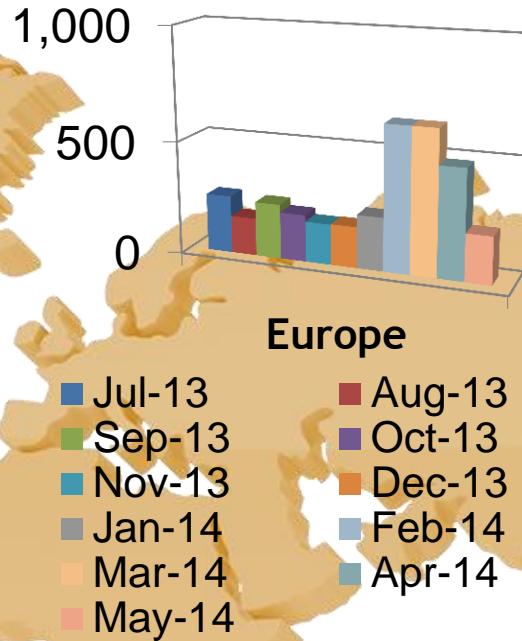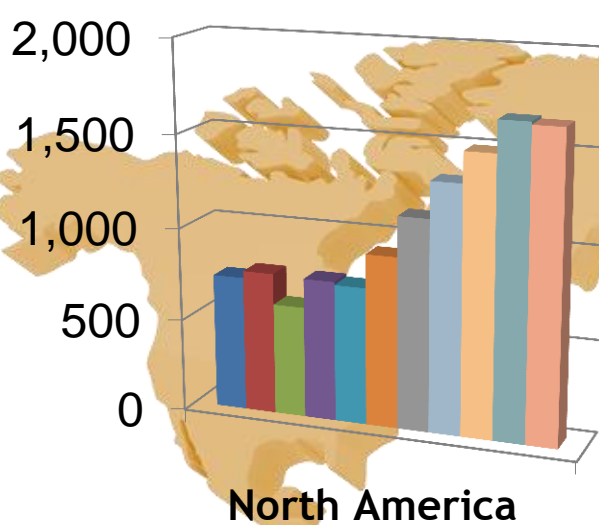
Africa – 4 complaints in Oct; 1 in Jan; 4 in May; 2 in Mar; 1 in Apr

Asia/Australia/Pacific

Latin America

Global Complaint Count Trend *

* Includes complaints from 'unknown' geography

Month	Count
Jul-13	1,761
Aug-13	1,968
Sep-13	1,530
Oct-13	1,805
Nov-13	1,735
Dec-13	2,280
Jan-14	2,701
Feb-14	3,516
Mar-14	4,465
Apr-14	4,595
May-14	3,341

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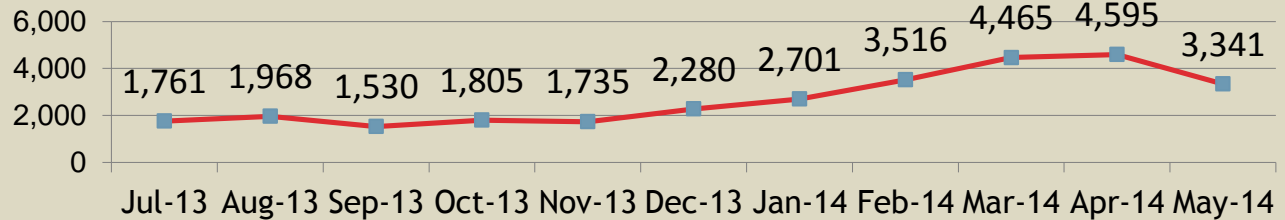
Contractual Compliance – July 2013 – May 2014 Complaints per Domain Volume

Europe

24.0M	3,340	.014%
171	121	70.8%

N. America

103.6M	11,653	.011%
868	356	41.0%

Asia/A/P

25.0M	11,085	.044%
184	142	77.2%

Latin America

1.2M	262	.023%
24	23	95.8%

Africa

17,544	12	.068%
7	6	85.7%

LEGEND

November 2013 Domain Volume/Million	# Complaints	% Complaints per Domain Volume
# registrars per region	# registrar w/ Complaints	% registrars with complaints per region

Note: "# registrars per region" data may contain some obsolete registrars but is retained for reporting history

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Contractual Compliance – July 2013 – May 2014 Enforcement Activity
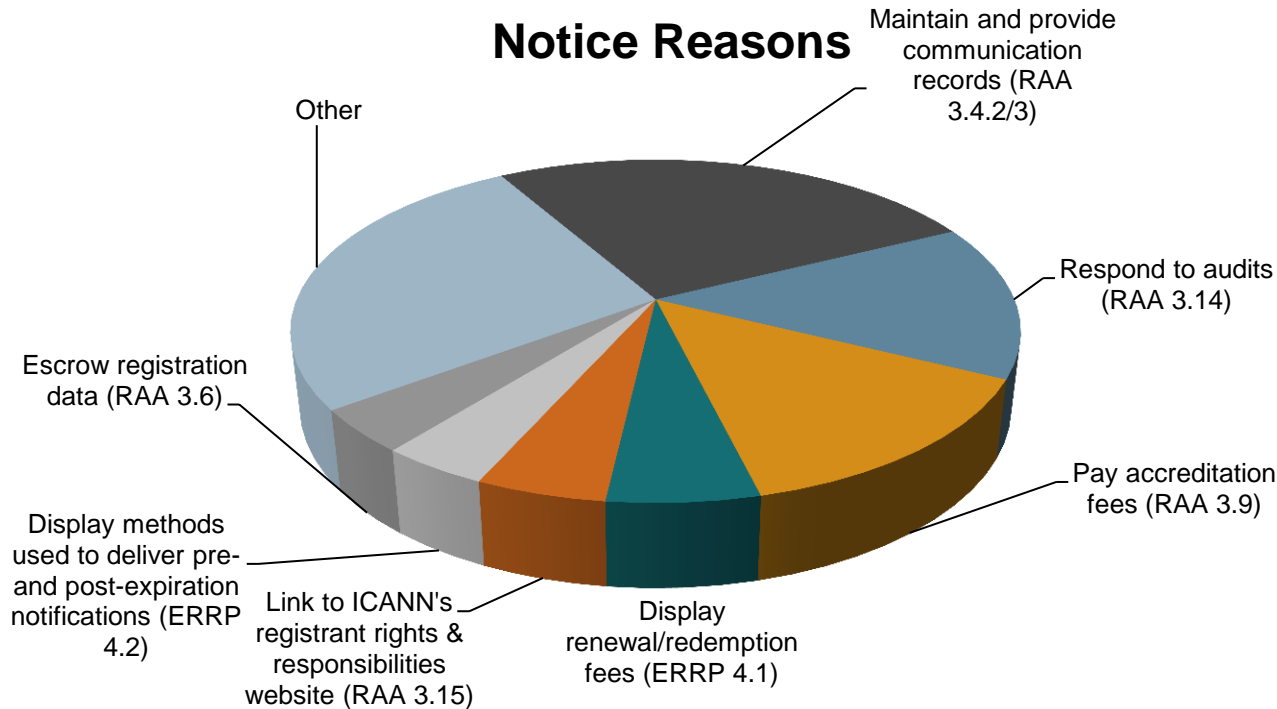
Notice Reasons

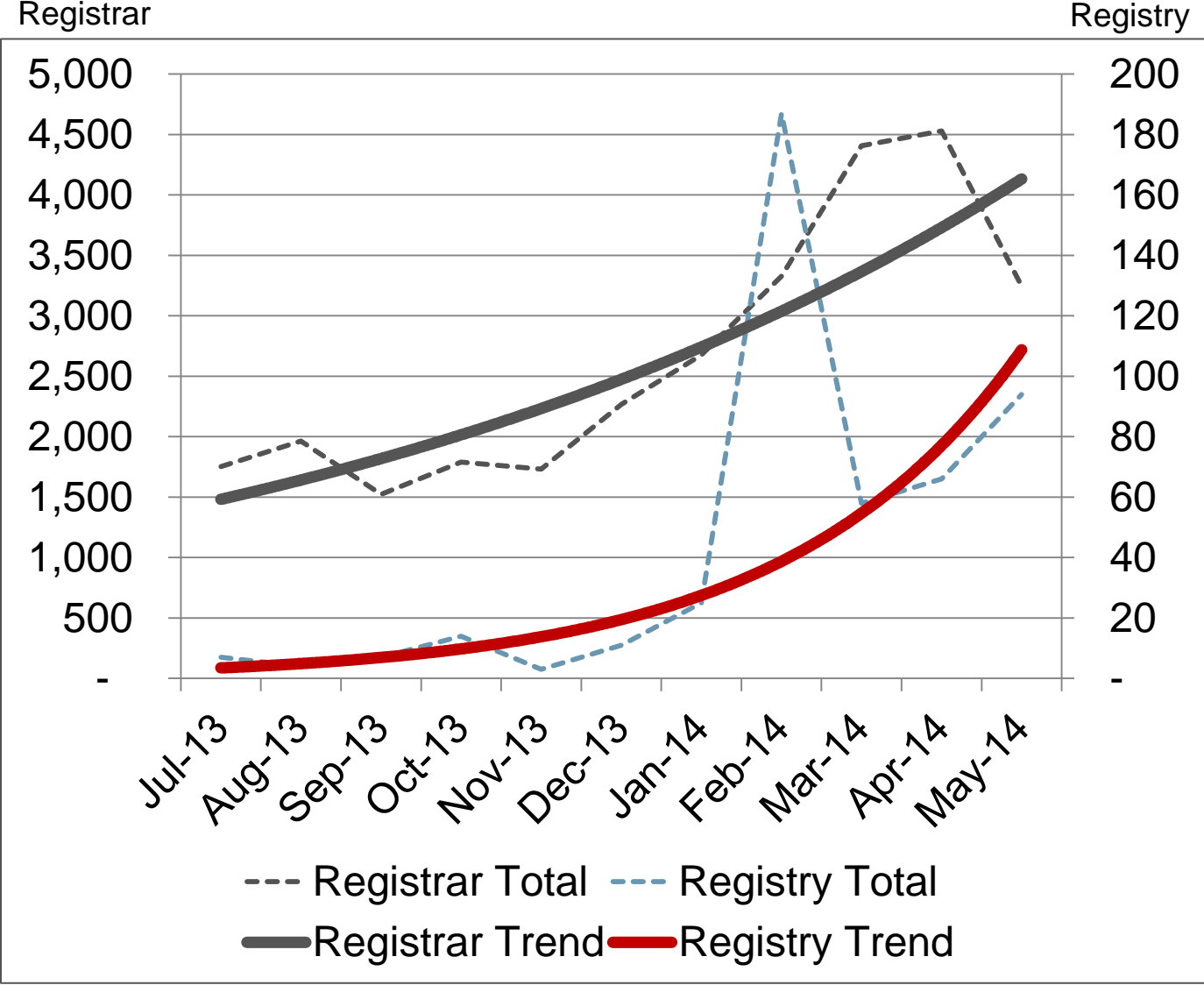| Notices	Qty
Breach	38
Suspension	2
Termination	6

Breach Notice Reason*	Qty*
Failure Notice Reasons	131
• Cured	49
• Not Cured	82

A singe Breach may contain multiple Notice Reasons.

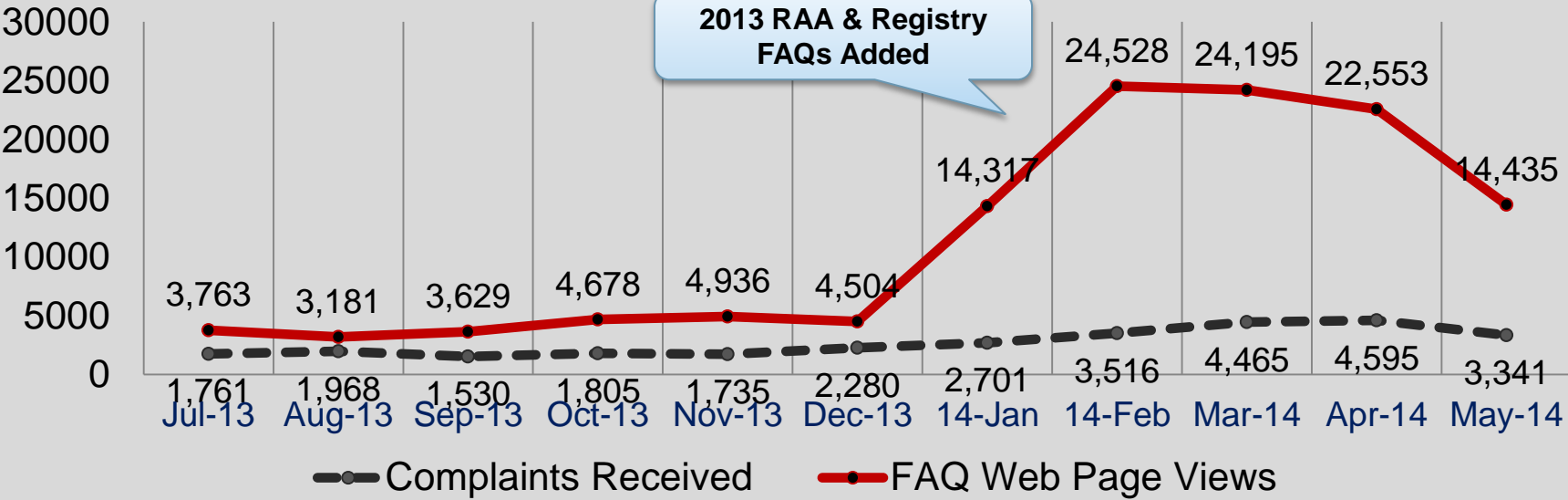| Enforcement Notice Reasons	%
Maintain and provide communication records (RAA 3.4.2/3)	26.0
Respond to audits (RAA 3.14)	14.6
Pay accreditation fees (RAA 3.9)	13.8
Display renewal/redemption fees (ERRP 4.1)	5.7
Link to ICANN's registrant rights & responsibilities website (RAA 3.15)	4.9
Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)	4.1
Escrow registration data (RAA 3.6)	4.1
Other	26.8

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Complaint Volume Trends July 2013 – May 2014

Registrar

Registry

Legend:
- Registrar Total (dashed gray)
- Registry Total (dashed blue)
- Registrar Trend (solid gray)
- Registry Trend (solid red)

Contractual Compliance – Jul 2013 – May 2014 ICANN.Org and MyICANN.Org Web Page Views

New Complaint Volume & ICANN.ORG FAQ Web Page Views

2013 RAA & Registry FAQs Added

FAQ Web Page Views: 3,763 — 3,181 — 3,629 — 4,678 — 4,936 — 4,504 — 14,317 — 24,528 — 24,195 — 22,553 — 14,435

Complaints Received: 1,761 — 1,968 — 1,530 — 1,805 — 1,735 — 2,280 — 2,701 — 3,516 — 4,465 — 4,595 — 3,341

Months: Jul-13, Aug-13, Sep-13, Oct-13, Nov-13, Dec-13, 14-Jan, 14-Feb, Mar-14, Apr-14, May-14

YTD Total	
124,719	
29,697	

- - - Complaints Received   —●— FAQ Web Page Views

MyICANN.ORG Compliance Metrics Web Page Views

336, 588, 424, 446, 381, 304, 432, 380, 496, 651, 444

Jul-13 Aug-13 Sep-13 Oct-13 Nov-13 Dec-13 Jan-14 Feb-14 Mar-14 Apr-14 May-14
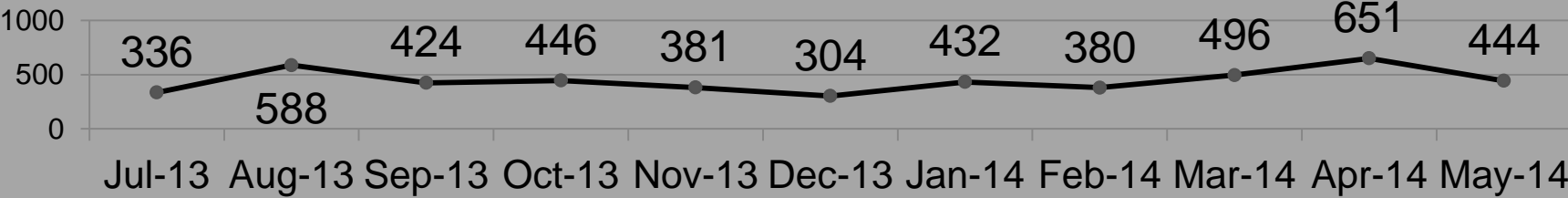
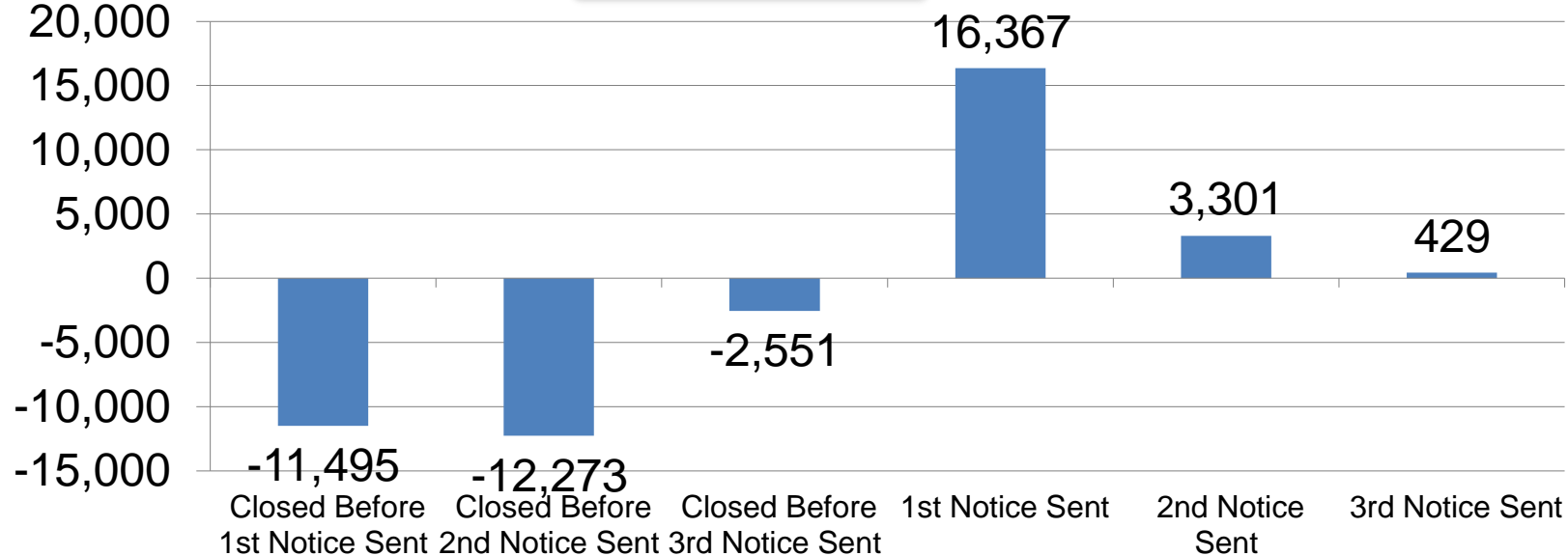# Contractual Compliance – Jul 2013 – May 2014 Complaints per Notification Cycle

Complaint Summary	Jul – May Total Complaints Processed	Jul - May Complaints Closed	Jul - May Complaints Remaining Open	Complaints Remaining Open After May 31
	41.547	26,719	14,828	1,926

July 2013 – May 2014

Closure Rate 64%

28% complaints closed before sending to Registrar

Closed Before 1st Notice = # tickets received AND closed without any notice being sent to a registrar

Complaint Impact due to 2013 RAA Renewals

- Complaint Volume five months before & after contract renewal date reviewed
- Complaints compared are: Transfer, UDRP, Whois Format, Whois Inaccuracy, Whois SLA and Whois Unavailable

IMPACT

- **Slight increase in Complaints, after 2013 RAA signed**
- **Will continue to monitor as more Registrars sign 2013 RAA**

Contract Renewal Month	Pre 2013 RAA	Post 2013 RAA
Oct-13	34%	66%
Nov-13	44%	56%
Dec-13	40%	60%
Jan-14	62%	38%

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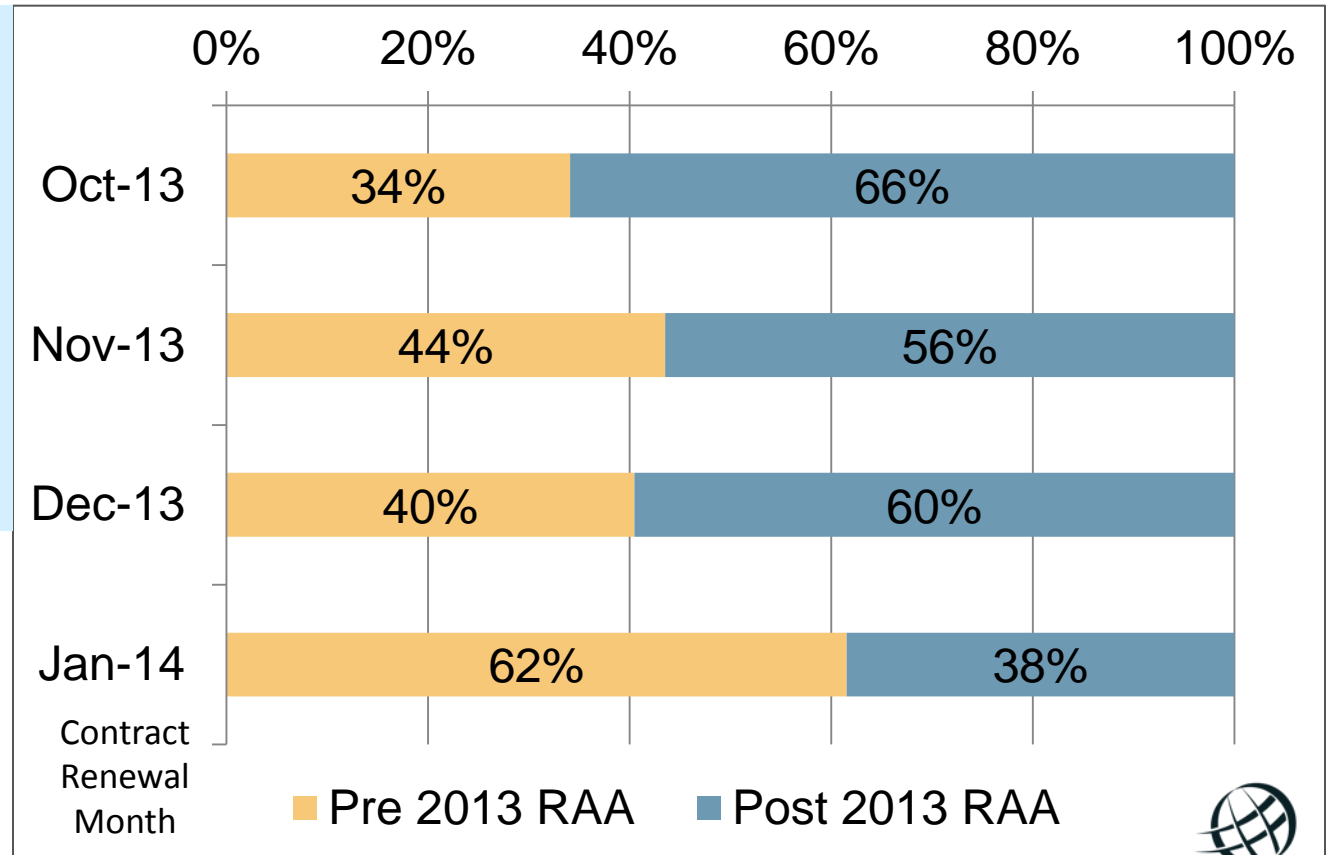
Contractual Compliance – Jul 2013 – May 2014 Operations Scorecard

Complaint Distribution
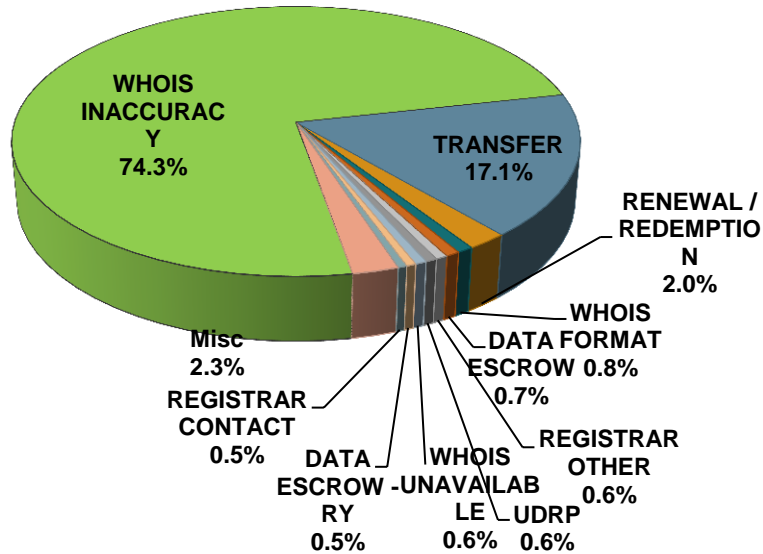

WHOIS INACCURACY 74.3%
TRANSFER 17.1%
RENEWAL / REDEMPTION 2.0%
WHOIS DATA FORMAT 0.8%
ESCROW 0.7%
Misc 2.3%
REGISTRAR CONTACT 0.5%
DATA ESCROW - REGISTRY 0.5%
WHOIS - UNAVAILABLE 0.6%
UDRP 0.6%
REGISTRAR OTHER 0.6%

Registrar/Registry TAT - July-13 - May-14	(in days)
Avg TAT 1st Notice	12.1
Avg TAT 2nd Notice	6.9
Avg TAT 3rd Notice	9.0
CC Staff TAT - July-13 - May-14	
Avg TAT Open-1st Notice	1.6
Avg TAT 2nd WIP	2.7
Avg TAT 3rd WIP	5.4
Avg TAT Received-Closed	10.0

	YTD Complaints	Sub-total
REGISTRAR	29,221	
REGISTRY	476	
Total New Complaints Received		29,697
Total Prior Months Carryover		11,850
Total Complaints Received		41,547
	Complaints Closed	
Volume Closed Before 1st Notice	11,495	
Volume Closed Before 2nd Notice	12,273	
Volume Closed Before 3rd Notice	2,551	
Volume Closed Before Enforcement WIP	273	
Volume Closed After Enforcement	127	
Total Closed		26,719
	Complaints Open (Carryover)	
Volume Open Before 1st Notice Sent	4,989	
Volume Open in 1st Notice Sent	7,882	
Volume Open in 2nd Notice Sent	1,313	
Volume Open in 3rd Notice Sent	580	
Volume Open After Enforcement All	64	
Total Remaining Open (Carryover)		14,828
Carryover- at end of period	1,926	1,926
	Enforcements	
Volume Breach	38	
Volume Suspension	2	
Volume Termination	6	

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Contractual Compliance – Jul 2013 – May 2014 Registrar Complaint Types
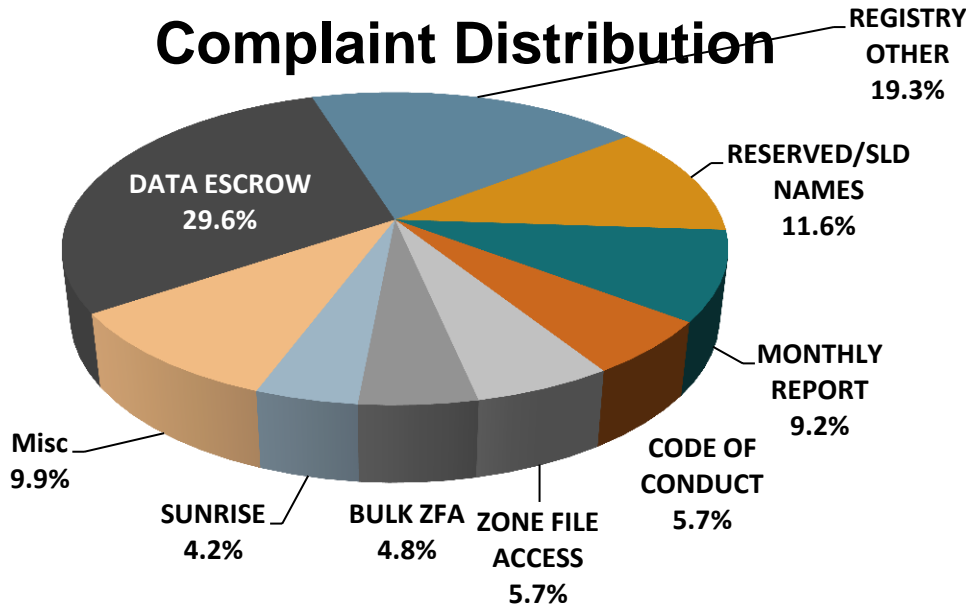
Complaint Distribution
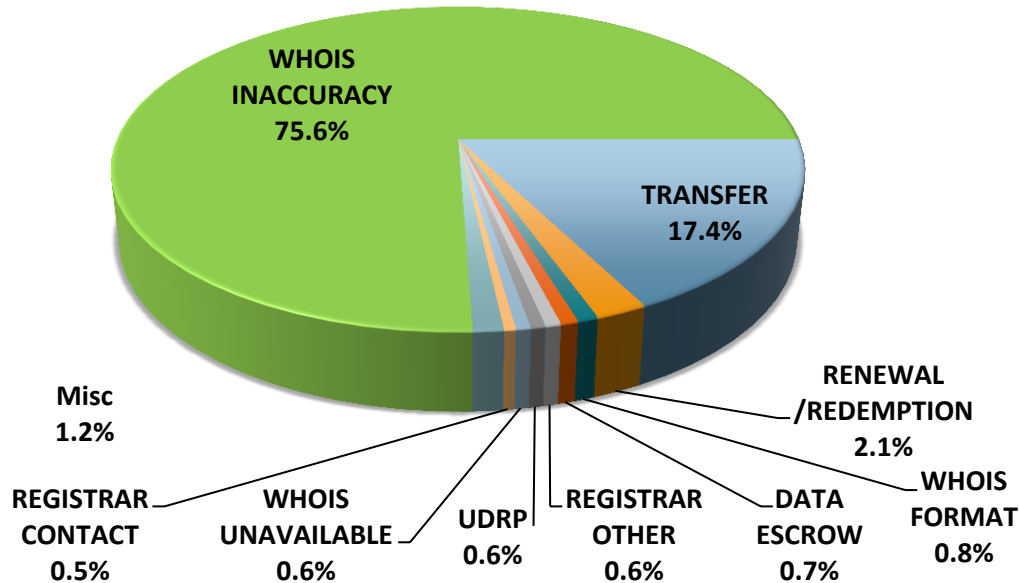
Registrar TAT	(in days)
Avg TAT 1st Notice	12.2
Avg TAT 2nd Notice	6.9
Avg TAT 3rd Notice	9.0

Enforcements	
Volume Breach	38
Volume Suspension	2
Volume Termination	6

REGISTRAR Complaint Type	Quantity
ABUSE	57
CEO CERTIFICATION	10
CUST SRV (LEGACY)	24
CUSTOMER SERVICE	41
DATA ESCROW	205
DNSSEC, IDN, IPV6	1
DOMAIN DELETION	83
FAILURE TO NOTIFY	10
FEES	63
PRIVACY/PROXY	17
REGISTRAR CONTACT	134
REGISTRAR INFO SPEC	31
REGISTRAR OTHER	180
RENEWAL/REDEMPTION	603
RESELLER AGREEMENT	3
TRANSFER	5091
UDRP	170
WHOIS FORMAT	240
WHOIS INACCURACY	22077
WHOIS SLA	12
WHOIS UNAVAILABLE	169
Total Complaints Processed	29,221
Total Complaints Closed	26,574

Contractual Compliance – Jul 2013 – May 2014 Registry Complaint Types

Complaint Distribution

REGISTRY Complaint Type	Qty
ABUSE CONTACT DATA	4
BULK REGISTRATION DATA ACCESS	14
BULK ZFA	23
CLAIMS SERVICES	3
CODE OF CONDUCT	27
DATA ESCROW	141
MONTHLY REPORT	44
PIC-DRP	2
REGISTRY OTHER	92
RESERVED/SLD NAMES	55
RR-DRP	13
SLA	2
SUNRISE	20
URS	7
WILDCARD PROHIBITION	2
ZONE FILE ACCESS	27
Total Complaints Processed	**476**
Total Complaints Closed	**145**

Registry TAT	(in days)
Avg TAT 1st Notice	6.1
Avg TAT 2nd Notice	3.4
Avg TAT 3rd Notice	n/a

Enforcements	
Volume Breach	0
Volume Termination	0

Contractual Compliance – Jul 2013 – May 2014 Complaint Types & Top 5 Closure Reasons - Registrar

Domain Renewal: Closure Reasons
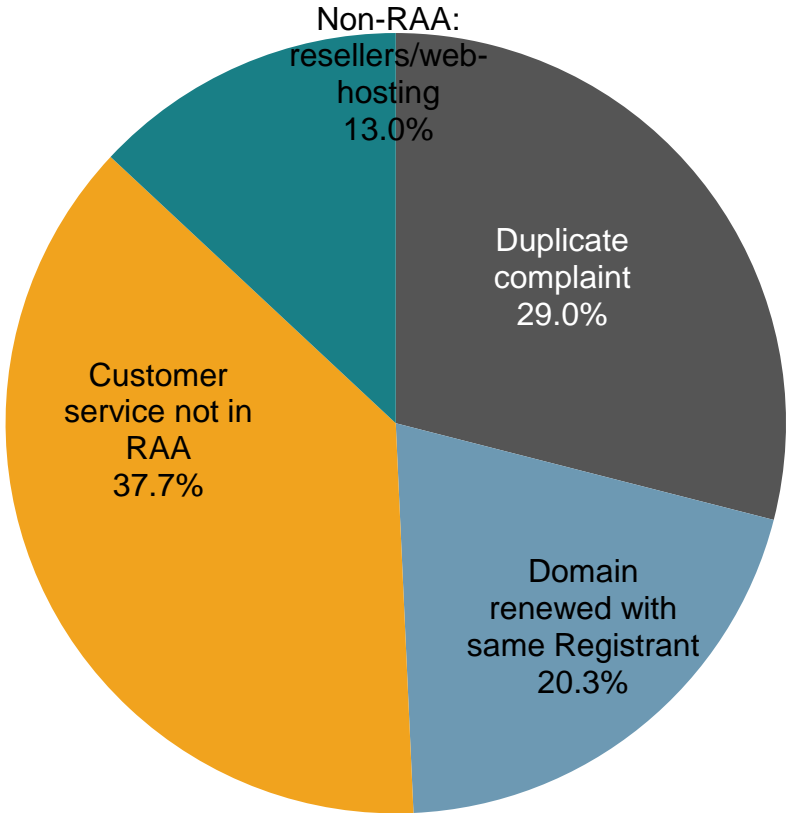
- Non-RAA: resellers/web-hosting 13.0%
- Duplicate complaint 29.0%
- Domain renewed with same Registrant 20.3%
- Customer service not in RAA 37.7%

Contractual Compliance – July 2013 – May 2014 Complaint Types & Top 5 Closure Reasons - Registrar

Whois Inaccuracy: Closure Reasons

- Report not confirmed 7.5%
- Data changed 8.9%
- Duplicate complaint 12.4%
- Invalid complaint 20.3%
- Domain not in DNS 50.9%
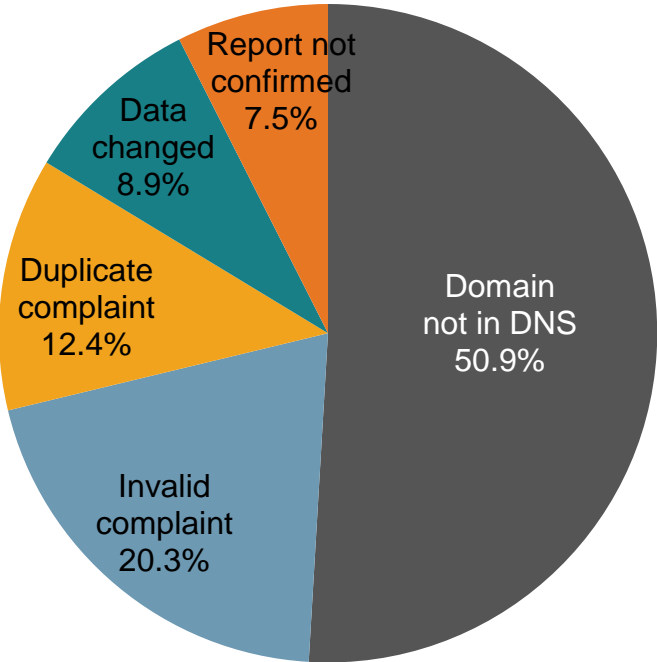
Whois Unavailable: Closure Reasons

- Service restored 66.7%
- Duplicate complaint 4.5%
- Incomplete or broad 9.1%
- Invalid complaint 19.7%

Contractual Compliance – July 2013 – May 2014 Complaint Types & Top 5 Closure Reasons - Registrar

UDRP: Closure Reasons

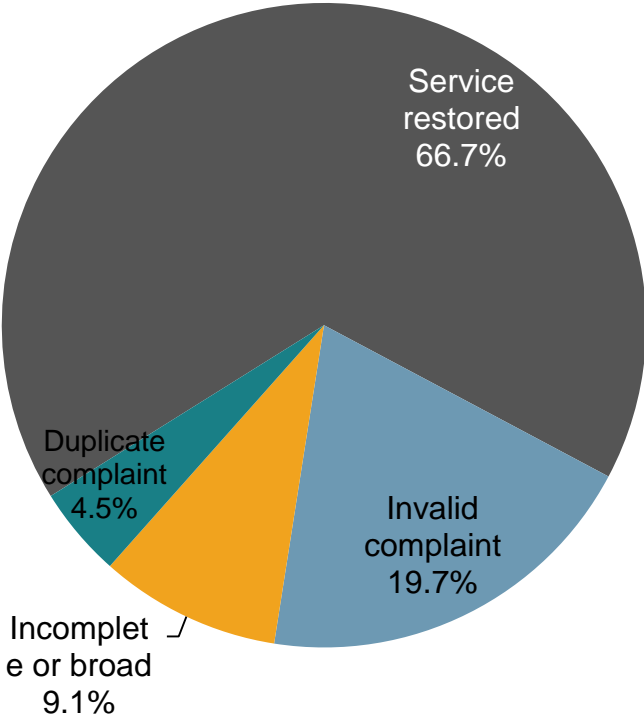- Registrar compliant 9.7%
- Duplicate complaint 9.7%
- Invalid complaint 16.9%
- Private dispute 21.8%
- No UDRP Proceeding 41.9%
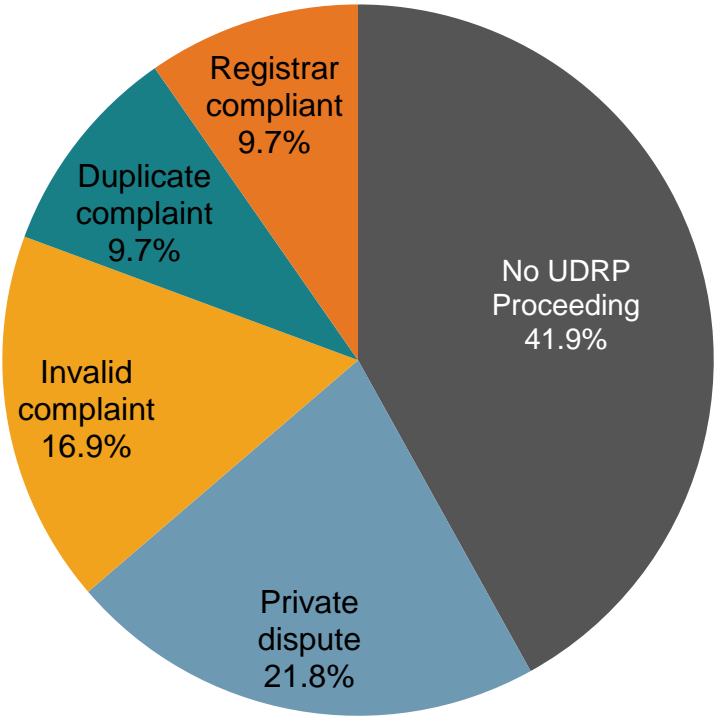
Transfer: Closure Reasons

- Complainant not Transfer Contact 13.8%
- Duplicate of pending 19.4%
- Transfer completed 19.3%
- Duplicate complaint 18.3%
- Auth-code provided/Domain unlocked 29.2%
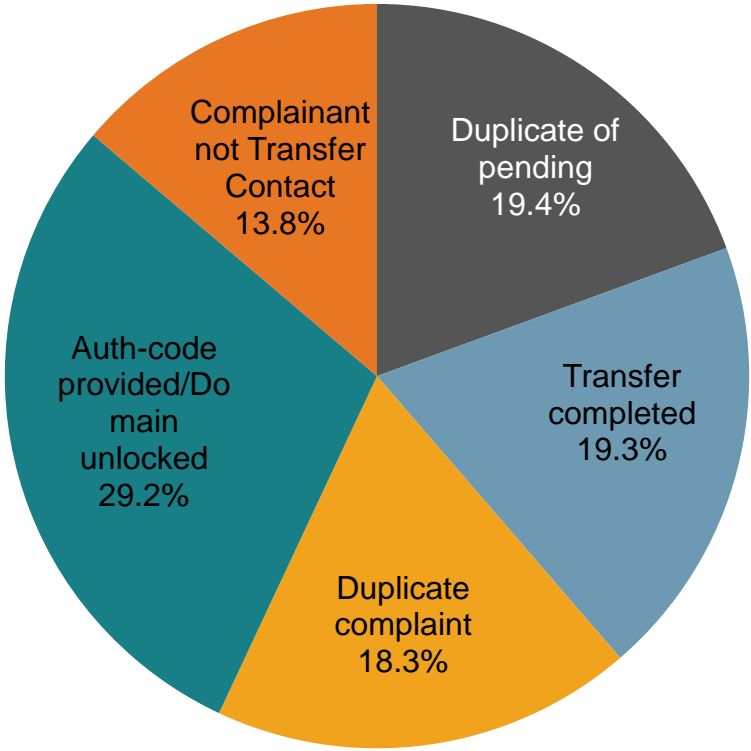
Contractual Compliance – Jul 2013 – May 2014 Regional Registrar/Registry Turn-Around-Time

North America

Latin America

Europe

Africa

Asia/Australia/Pacific

Legend:
- Avg TAT 1st Notice
- Avg TAT 2nd Notice
- Avg TAT 3rd Notice
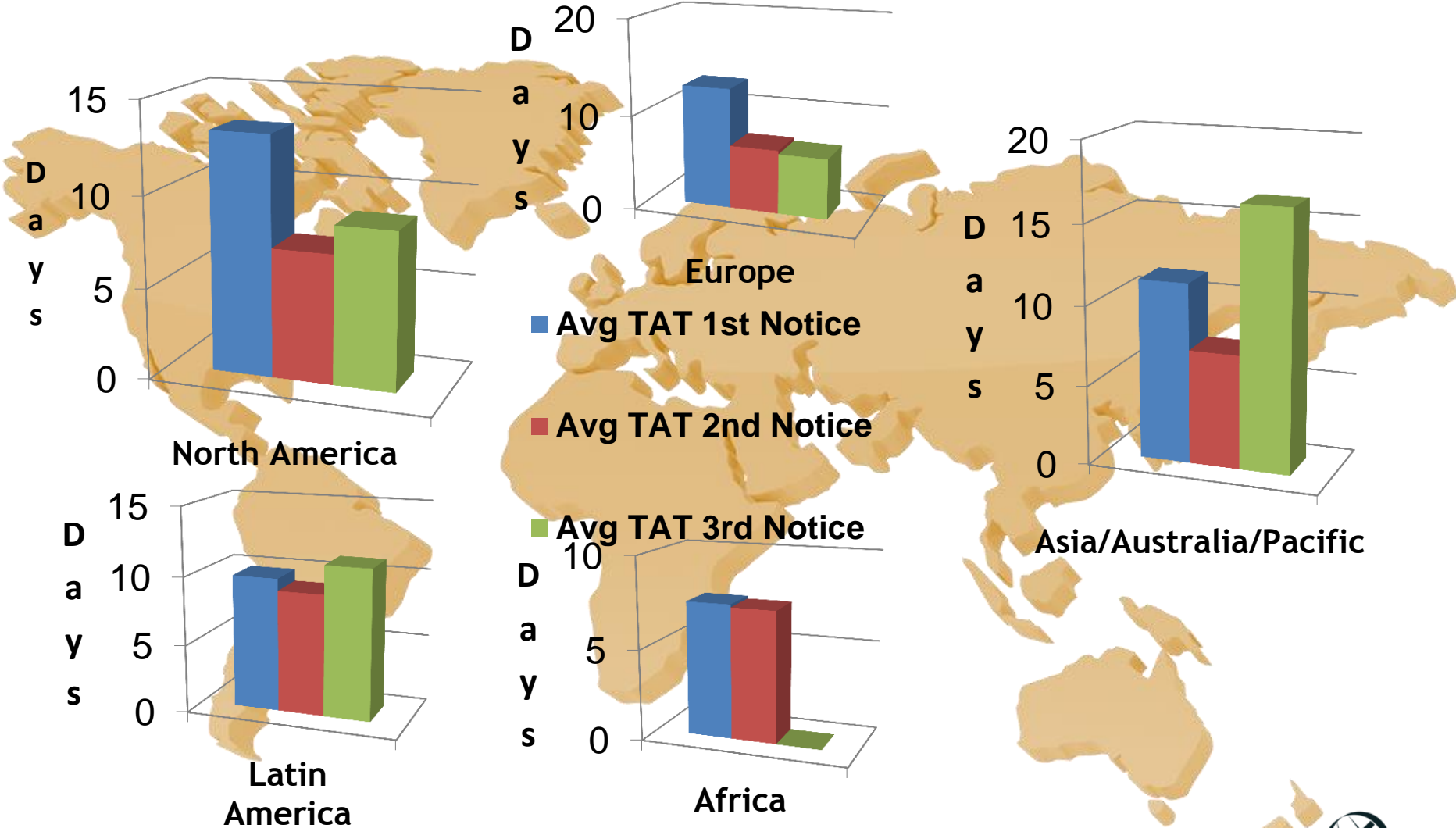
TAT = Average Turn Around Time, in Business Days

Whois Inaccuracy Metrics
Jul 2013 – May 2014

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Contractual Compliance – Jul 2013 – May 2014 Whois Inaccuracy Volumes – Individual vs. Bulk

Chart legend:
- Whois Inaccuracy w/o Bulk (yellow)
- New Bulk Whois Inaccuracy (blue)
- Individual Closed b4 1st Notice (red line)
- Bulk Closed b4 1st Notice (black line)

Data labels (Individual Closed b4 1st Notice / Bulk Closed b4 1st Notice):

Month	Individual	Bulk
Jul-13	526	0
Aug-13	414	120
Sep-13	313	3
Oct-13	341	0
Nov-13	444	0
Dec-13	534	0
Jan-14	756	11
Feb-14	946	3
Mar-14	950	55
Apr-14	1107	158
May-14	1050	39

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Year-2 Audit Program Timeline

2012-2015 Audit Process Flow

	Week 1 to Week 12	Week 13 to Week 15	Week 16 to Week 28	Week 29 to Week 31
Planning Phase	Start → Create Audit Scope → Build Audit Schedule-(2 Wks)			
Organizing Phase	Develop Metrics Goals / Establish Roles	Assign Resources (1 Wk)		
Pre-Audit Notification Phase		Send 2 Weeks Notification to Rg/Ry		
Audit Phase			1) Request sent for Information-RFI (1-2-3 Process) 2) Collect and Collate Data (3 Weeks) 3) Conduct Audit (6-8 Weeks)- Q&A (2 Weeks)-by CC	
Reporting Phase				Reporting -Results -Statistics
Remediation Phase				Remediation -Work w/ Rg/Ry → Stop

Year Two Audit Program Timeline

Planning	Pre-Audit Notification	Request for Info (RFI)			Audit Phase		Reporting Phase		Remediation
		1st Notice	2nd Notice	3rd Notice	Begin	End	Begin	End	
18 Sep – 11 Oct 2013	1-Oct-13	14-Oct-13	4-Nov-13	11-Nov-13	2-Dec-13	7-Mar-14	11-Mar-14	25-Mar-14	11 Mar – 30 May 2014