ICANN
ICANN | 53
Buenos Aires
21-25 JUNE 2015
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AL CONGRESO
DE 1816

Contractual Compliance Update to IPC

ICANN 53 | 23 June 2015

Agenda

Update Since ICANN 52

- **Update related to Registrars & RAA Compliance efforts**
- **Update related to Registries & RA Compliance efforts**

- Questions and Answers

Update related to Registrars & RAA Compliance efforts since ICANN 52

RAA Lessons Learned Summary & Guidelines

1

Whois Accuracy Program Specification
Distinguishing between verification and validation

2

Abuse Reports Requirements
Establishing investigative processes

3

Domain Renewal Requirements
Sending timely reminders to registered name holder

4

General UDRP Issue
Verifying with UDRP providers and preventing improper transfer

5

Inter-Registrar Transfer
Using the correct Forms of Authorization (FOAs)

1. Whois Inaccuracy Notices and WAPS

- ICANN looking for one of three results to Whois inaccuracy complaint:
  - Whois updated within 15 days of notifying RNH – registrar provided documentation of validation of updates and verification (including affirmative response or manual verification)
  - No response from RNH within 15 days of notifying RNH – domain suspended until registrar has verified information
  - Whois verified as accurate (no change) within 15 days of notifying RNH – registrar provided documentation of verification
- ICANN may also request evidence of WAPS fulfillment under Section 1

2. Abuse Reports - ICANN Complaint Processing

- ICANN confirms that reporter sent abuse report to registrar abuse contact before sending complaint to registrar

- ICANN could request the:
  - Steps taken to investigate and respond to abuse report
  - Time taken to respond to abuse report
  - Correspondence with complainant and registrant
  - Link to website's abuse contact email and handling procedure
  - Location of dedicated abuse email and telephone for law-enforcement reports
  - Whois abuse contacts, email and phone

- Examples of steps registrars took to investigate and respond to abuse reports:
  - Contacting registrant
  - Asking for and obtaining evidence or licenses
  - Providing hosting provider info to complainant
  - Performing Whois verification
  - Performing transfer upon request of registrant
  - Suspending domain

2. Abuse Reports – Resolve Codes

- Abuse contact info published on registrar website
- Added required abuse information in Whois output
- Abuse report handling procedures published on registrar website

- Registrar suspended or canceled domain

- Registrar demonstrated that it maintained abuse records

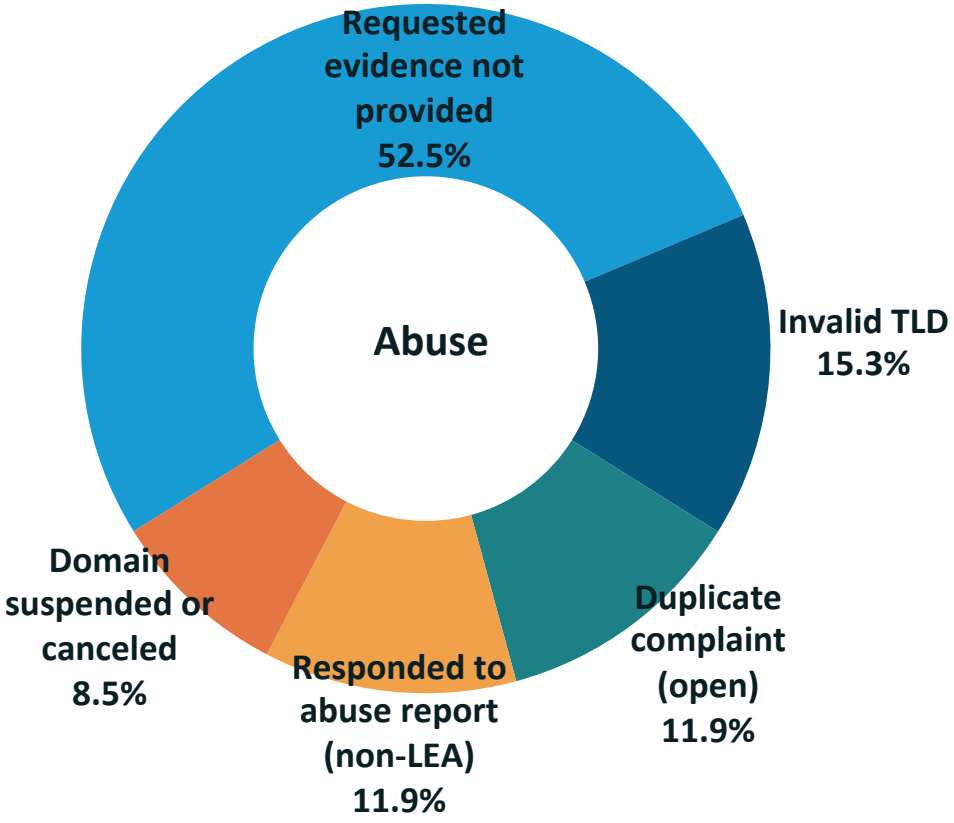
- Registrar responded to abuse report (non-LEA), including:
  - Communicating report to registrant
  - Registrant provides copy of government license
  - Reporter removed from email distribution list (spam complaint)
  - Website content in complaint removed
- Registrar responded to LEA illegal activity reports

- Registrar documented valid non-action, including
  - Registrar previously responded to complaint
  - Invalid abuse complaint

- Registrar now monitoring abuse email address/phone

- Registrar showed email/phone already published

Abuse Complaint Type & Top Closure Reasons (January – May 2015)



Whois Accuracy Reporting System

Whois ARS Contractual Compliance Pilot Overview

Goal of Compliance Pilot:

- To test the proof of concept of using Whois ARS data to generate and forward valid Whois inaccuracy and Whois format complaints to registrars

Summary of Events from January – April 2015:

- Telephone and email inaccuracy reports sent to contractual compliance
- Conducted Initial review and validation of the data and collaborated with the Whois ARS ICANN and vendors
- Uploaded the data into the complaint processing system
- Began processing complaints
- Stopped processing to address data issues based on registrar feedback
- Resumed complaint processing
- Closed complaints in system if data was incomplete or did not meet the contractual criteria

Update related to Registries & RA Compliance efforts since ICANN 52

RA Lessons Learned Summary & Guidelines

1

Abuse Contact Data
Required elements to be published

2

Zone File Access Requirements (CZDS)
Reasons for denial of access

3

Controlled Interruption (CI)
Complying with Name Collision Assessment Letter(s)

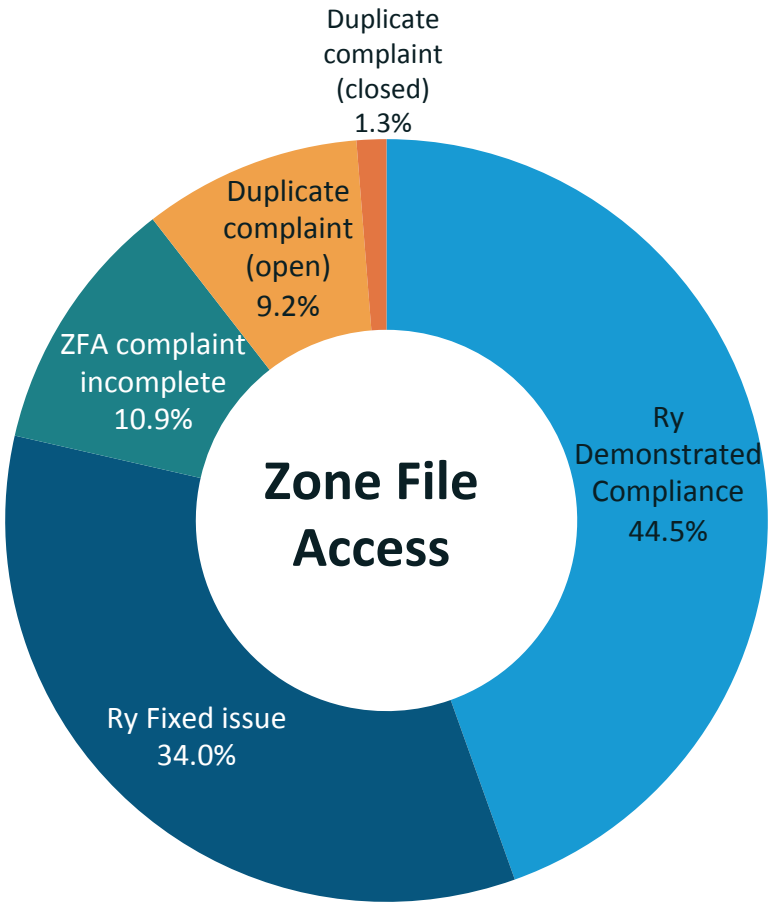
4

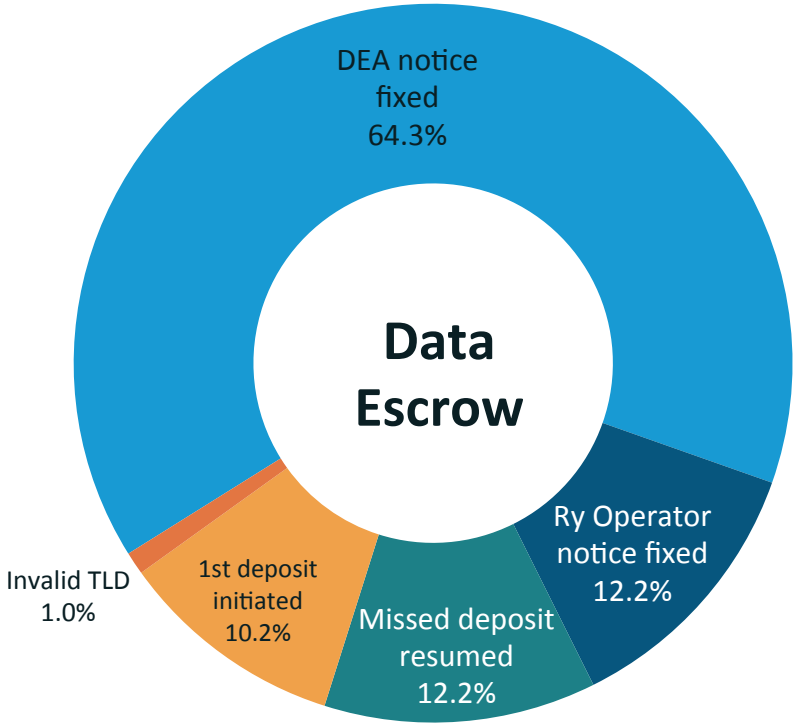
Uniform Rapid Suspension (URS)
Complying with lock and suspension requirements

5

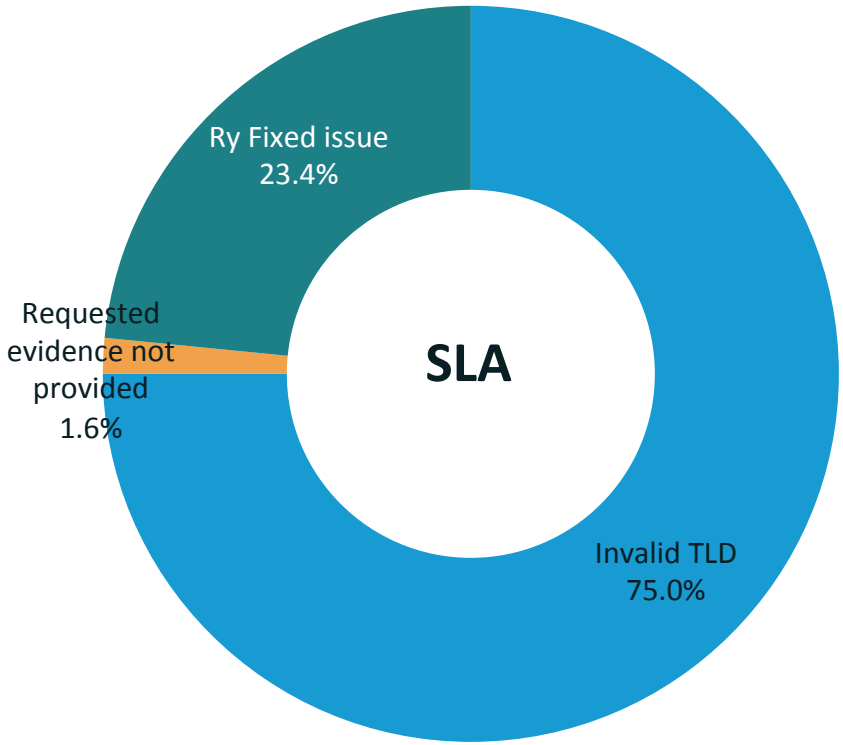
List of Registered Domain Names (LORDN)
Clarifications on uploading LORDN files to the Trademark Database

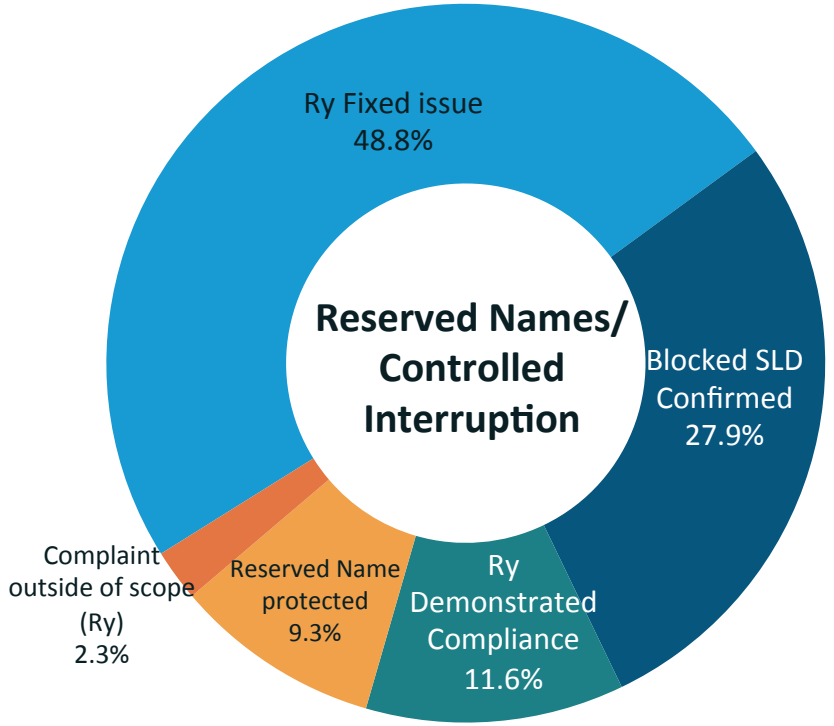
Registry Complaint Types & Top Closure Reasons (January – May 2015)





Registry Complaint Types & Top Closure Reasons (January – May 2015)





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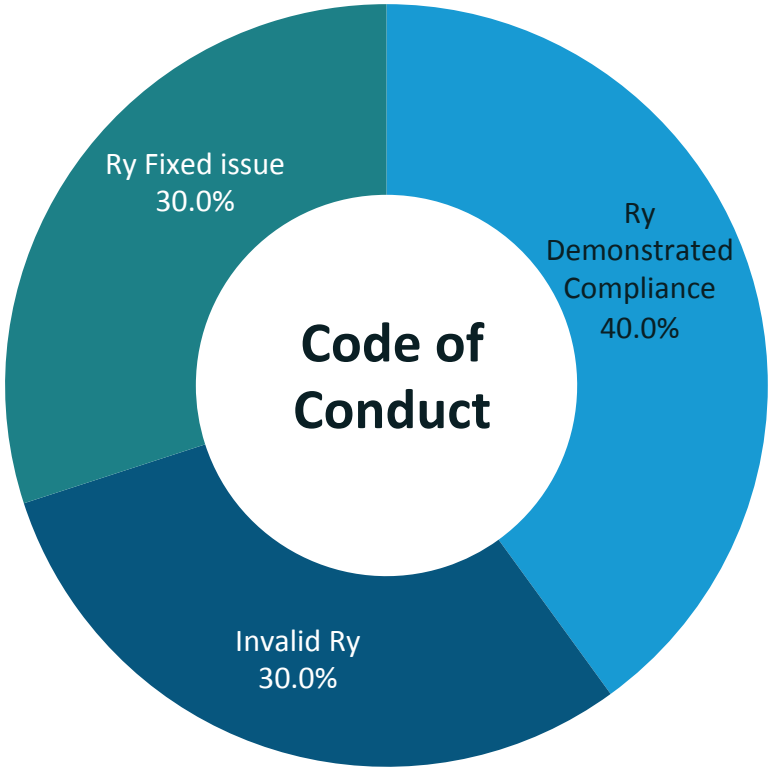
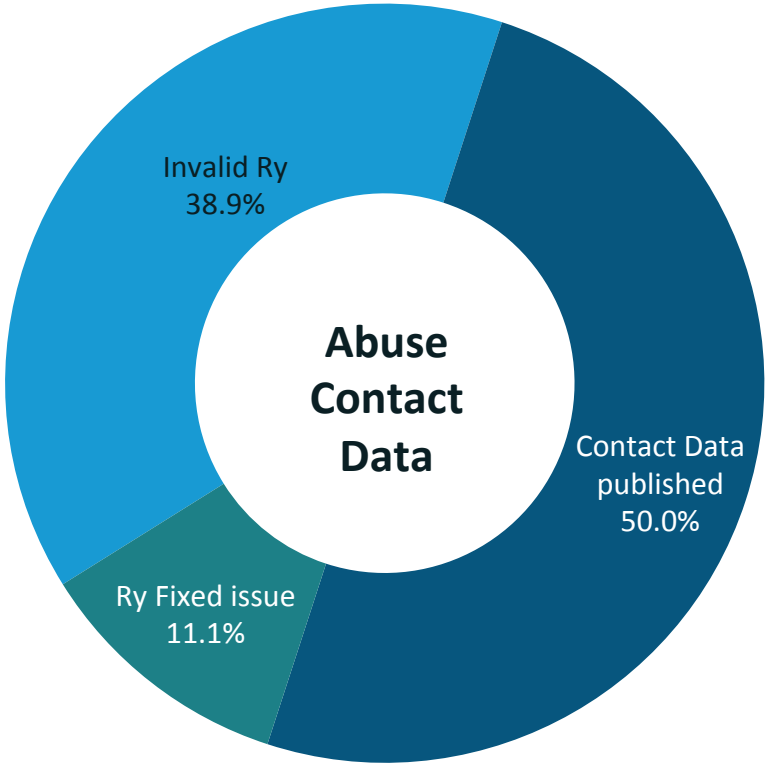




Questions & Answers

Send compliance questions

To: compliance@icann.org
Subject line: Contractual Compliance Program Update

The ICANN 53 presentations are available at:

- The outreach page at this link
https://www.icann.org/resources/compliance/outreach

- The ICANN 53 Schedule page at this link
http://buenosaires53.icann.org/en/schedule-full
for access to meeting objective, audio and material by meeting.

Appendix

- Audit Activities Update
- Metrics
- Policy Efforts and Update

Audit Activities since ICANN 52

- **Year-three Audit Program launched October 2014 and completed May 2015**
  - 316 Registrars originally selected
  - Five Registrars rolled over from Year-two
  - Five "legacy" Registry Operators
  - Two Registrars terminated due to inability to provide requested documentation
  - Five Registrars terminated prior to the commencement of the audit
  - The audit report will be published in July 2015

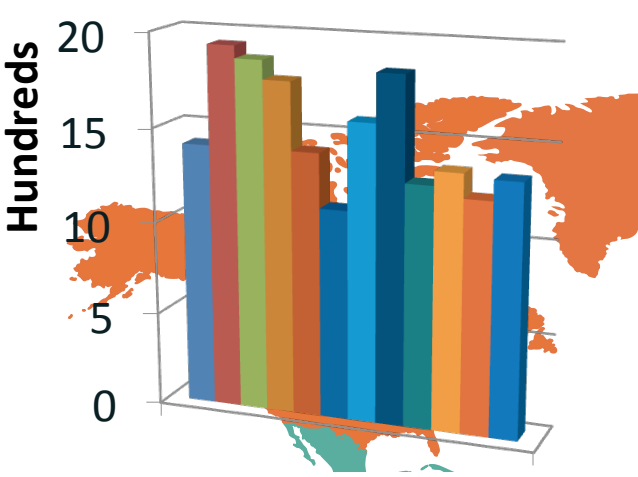
- **New Registry Agreement Audit Program**
  - Launched another round in March 2015
  - 11 Registries selected
  - Scheduled to complete July 2015

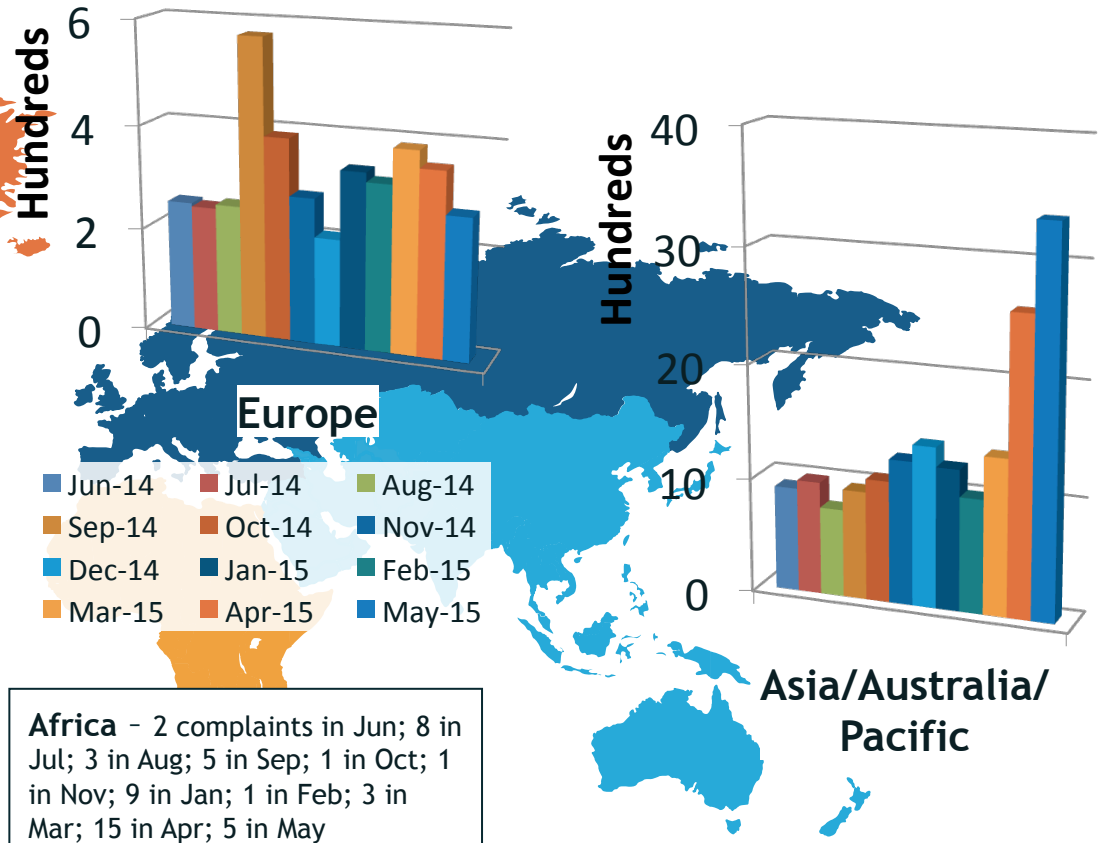
- **Preparing for 2013 RAA and future rounds of the new RA audits**

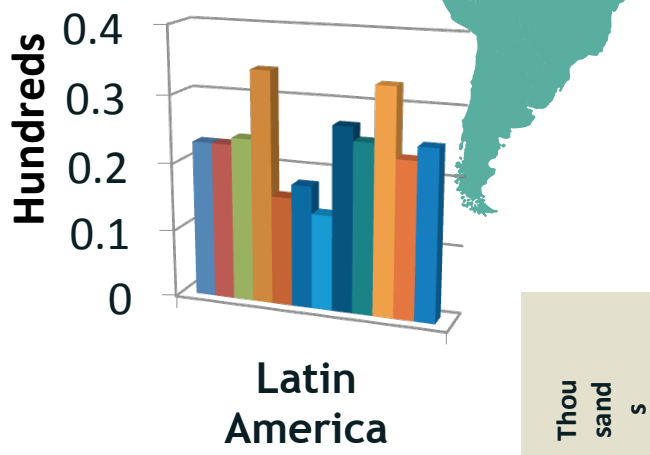
- Link to the ICANN Contractual Compliance Audit Page: https://www.icann.org/resources/pages/audits-2012-02-25-en

Metrics

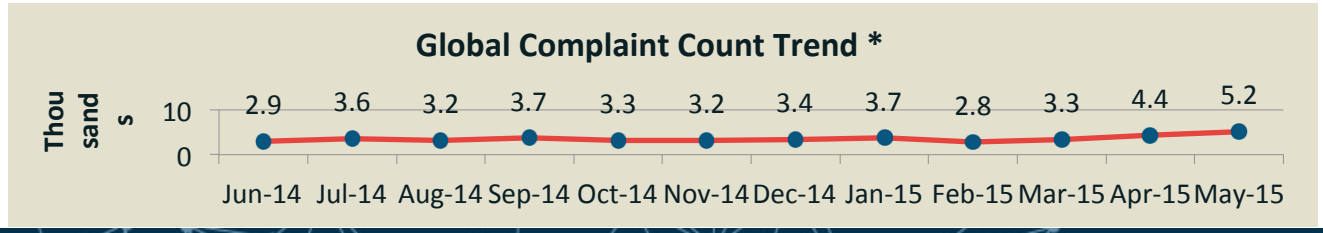
Global Complaint Trend June 2014 – May 2015





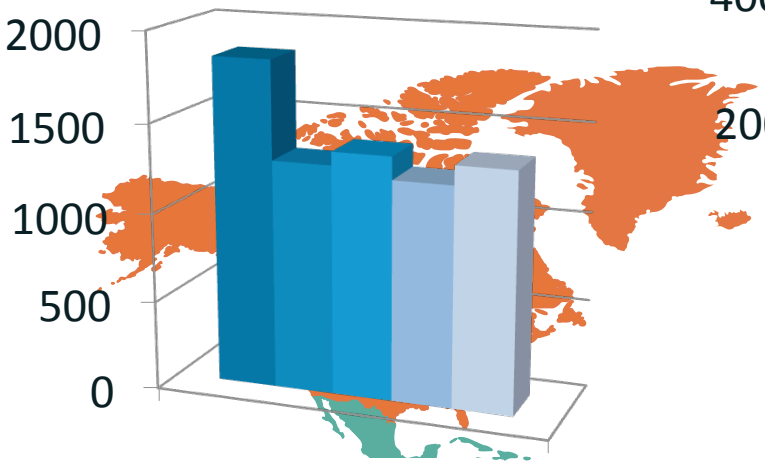


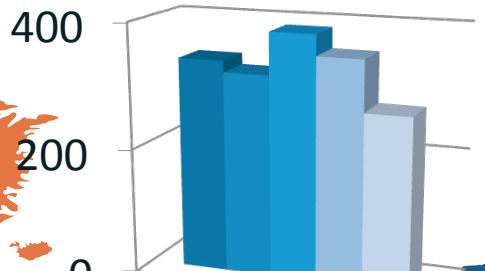
Africa – 2 complaints in Jun; 8 in Jul; 3 in Aug; 5 in Sep; 1 in Oct; 1 in Nov; 9 in Jan; 1 in Feb; 3 in Mar; 15 in Apr; 5 in May

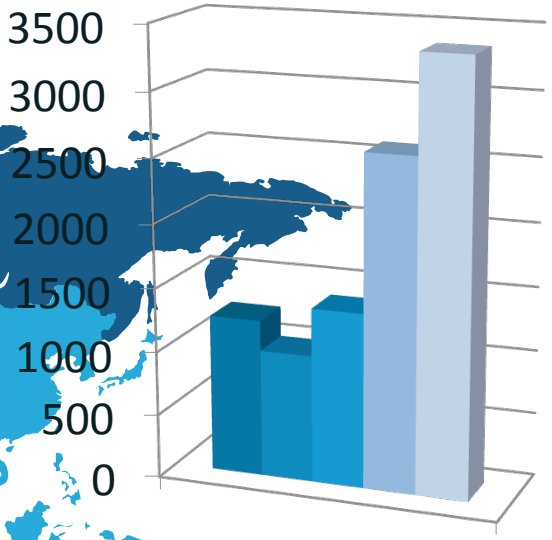


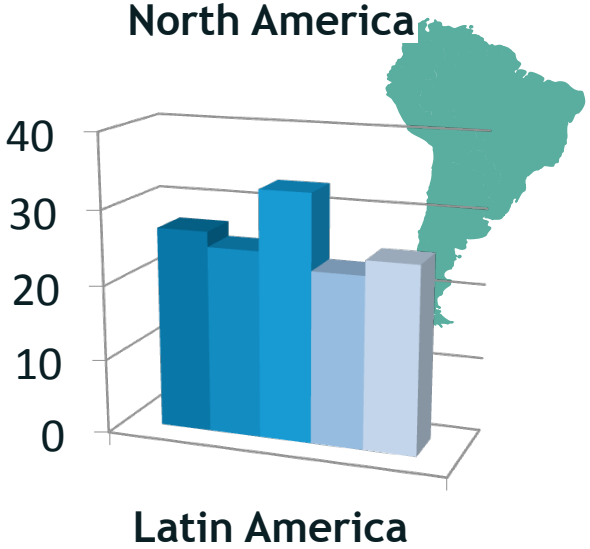
* Includes tickets with no assigned geography

Global Complaint Trend January – May 2015









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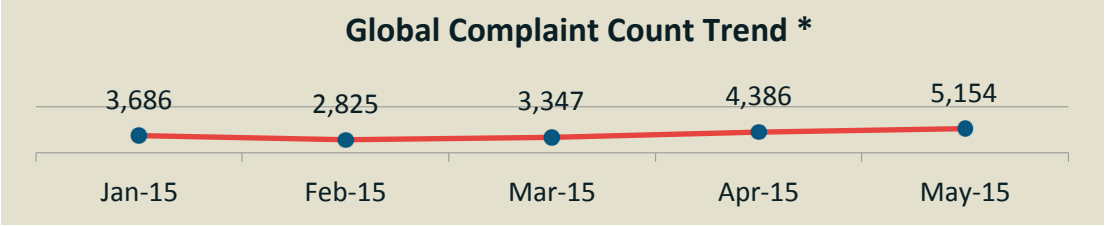

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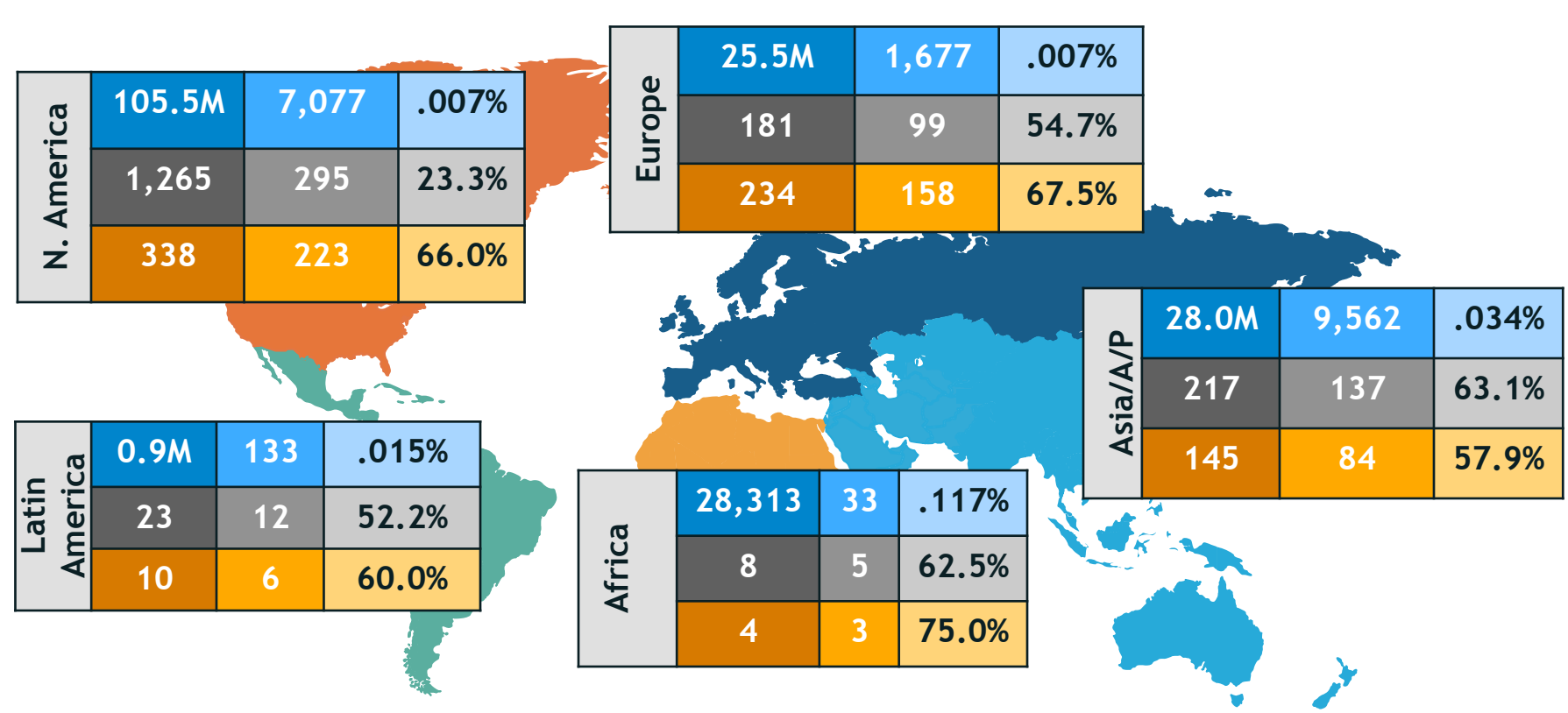
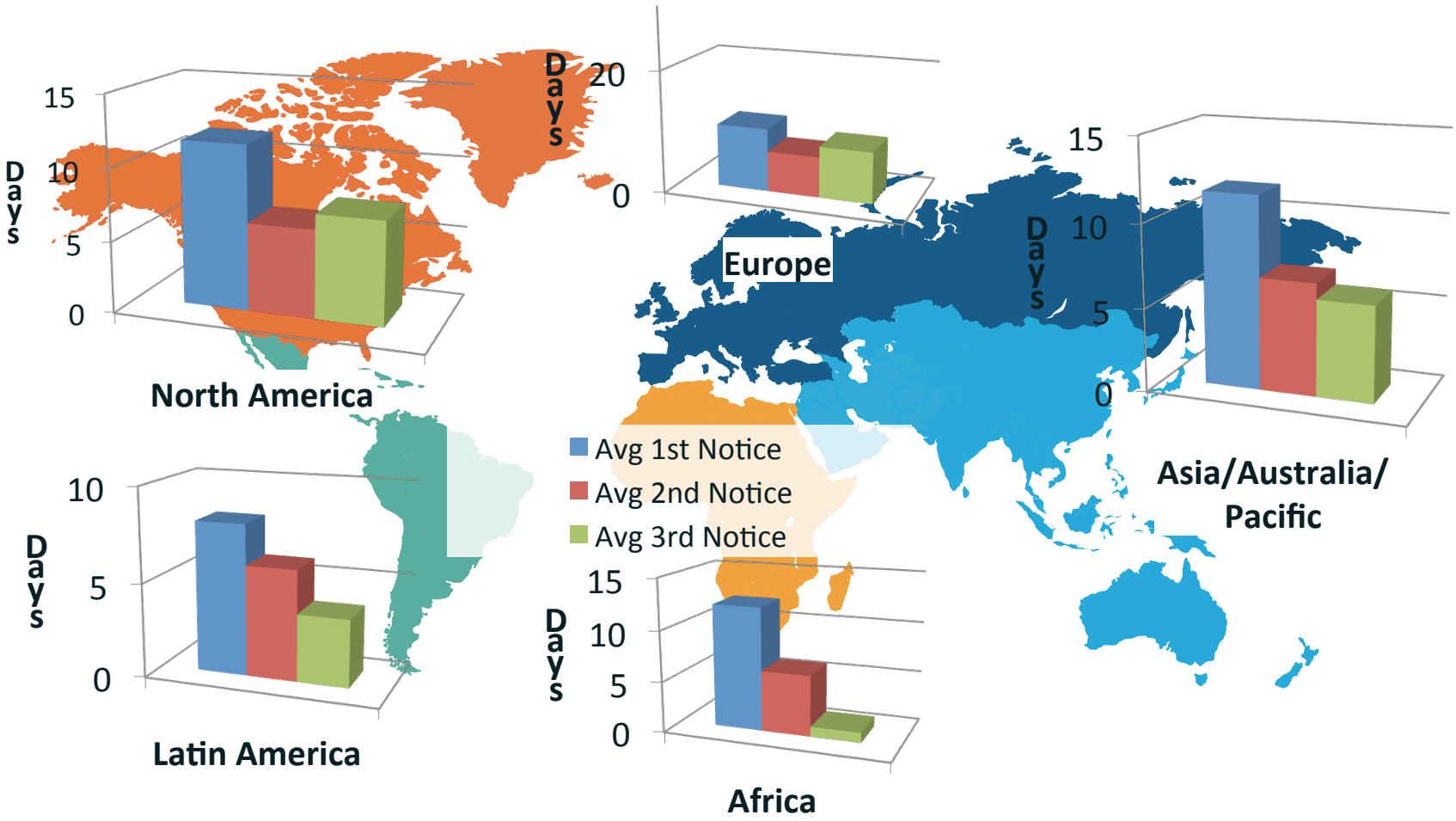
Regional Registrar & Registry Complaints (January – May 2015)



N. America	105.5M	7,077	.007%
	1,265	295	23.3%
	338	223	66.0%
Europe	25.5M	1,677	.007%
	181	99	54.7%
	234	158	67.5%
Asia/A/P	28.0M	9,562	.034%
	217	137	63.1%
	145	84	57.9%
Latin America	0.9M	133	.015%
	23	12	52.2%
	10	6	60.0%
Africa	28,313	33	.117%
	8	5	62.5%
	4	3	75.0%

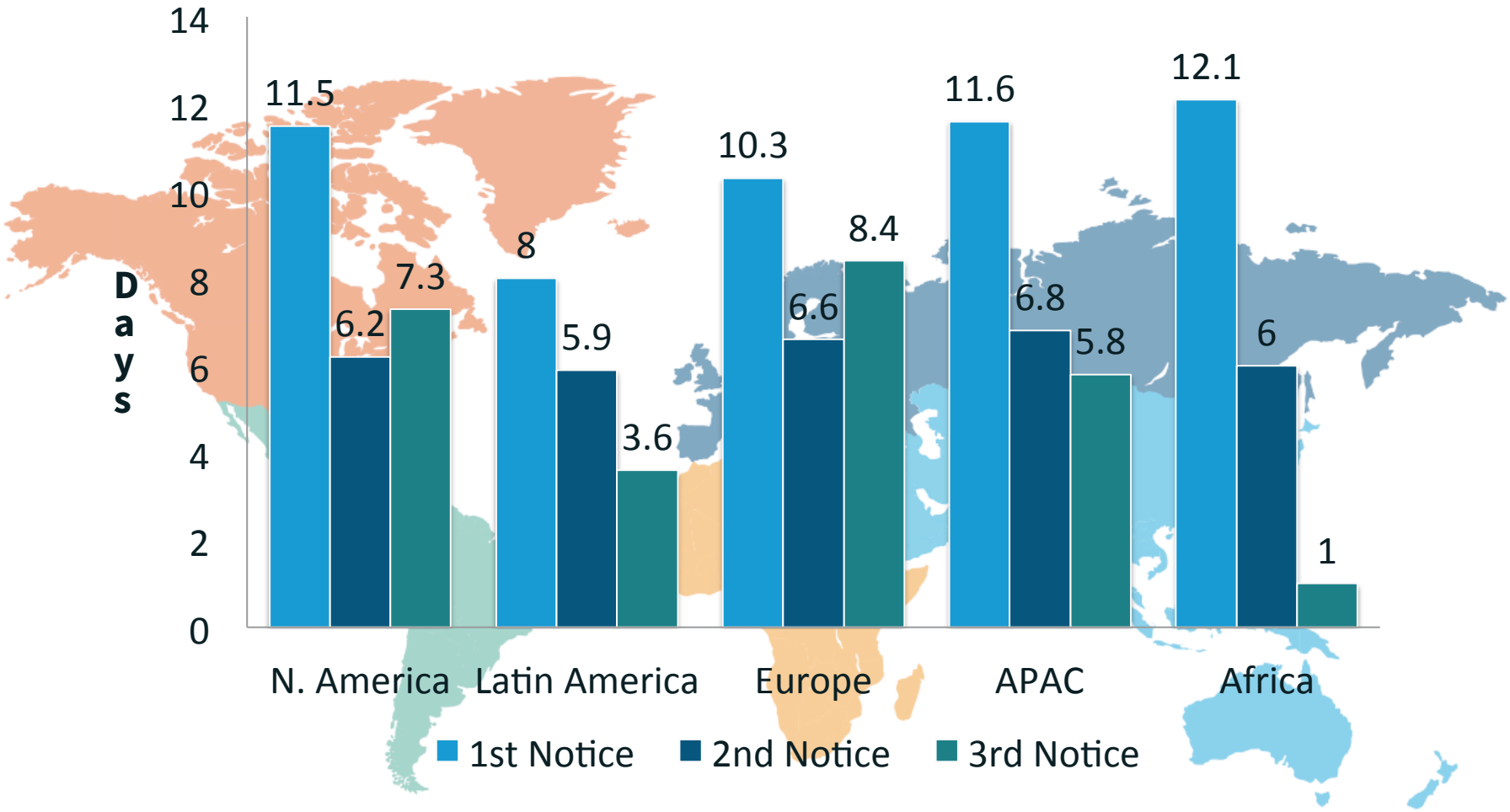
LEGEND			
	Domain Volume (as of Feb 2015)	# Complaints	% Complaints per Domain Volume
	# registrars per region	# registrars w/ Complaints	% registrars with complaints per region
	# registries per region	# registries w/ Complaints	% registries with complaints per region

Regional Registrar & Registry Turnaround Time (January – May 2015)



TAT = Average Turnaround Time, in Business Days

Regional Registrar and Registry Turn Around Time



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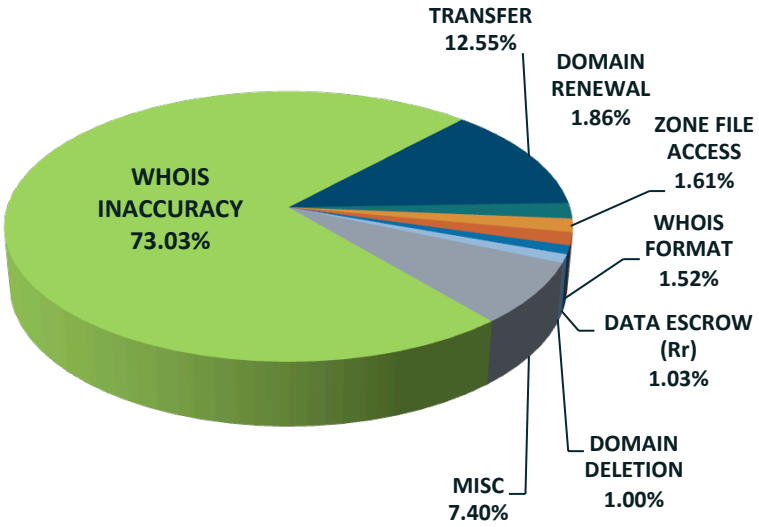
Running Balance Scorecard (January – May 2015)

Complaint Distribution

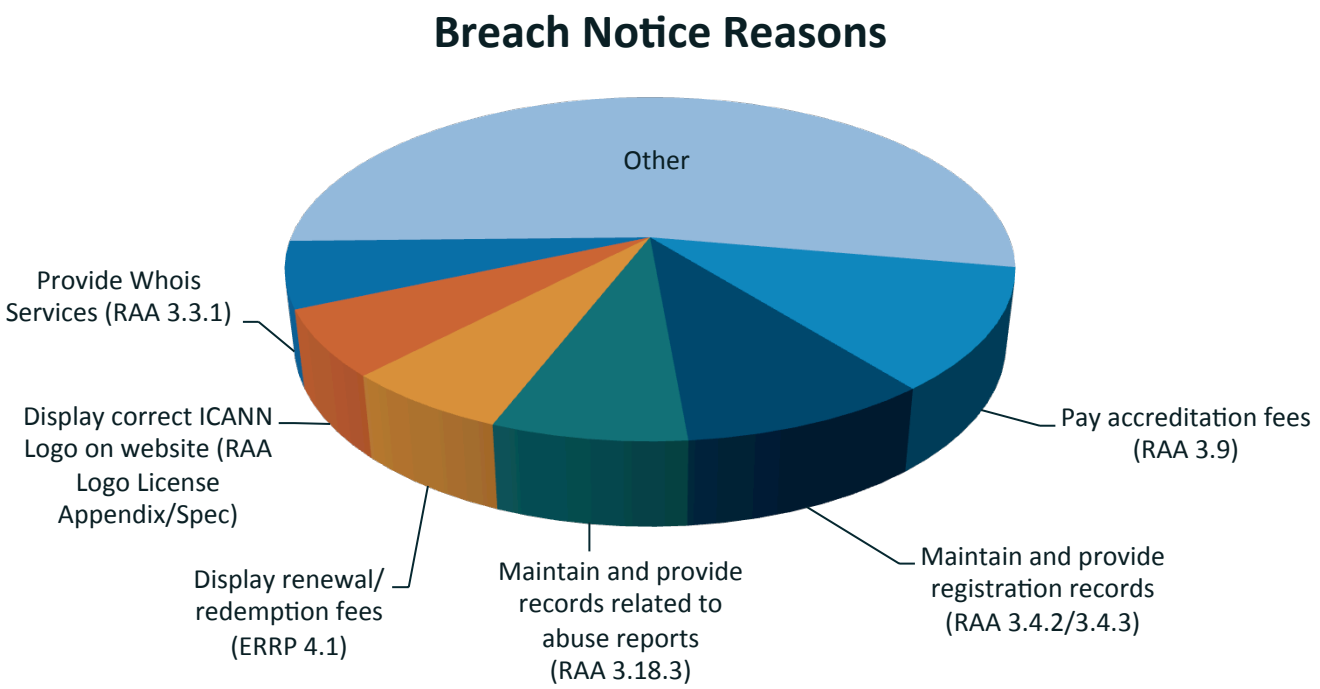


Registrar/Registry Turnaround Time	(in days)
Avg TAT 1st Notice	11.6
Avg TAT 2nd Notice	6.5
Avg TAT 3rd Notice	7.2
CC Staff Turnaround Time	**(in days)**
Avg TAT Open-1st Notice	1.4
Avg TAT 2nd Notice	3.0
Avg TAT 3rd Notice	3.3
Avg TAT Received-Closed	10.5

	New Complaints	Sub-total
REGISTRAR	18,490	
REGISTRY	927	
Total New Complaints Received		**19,417**
Total Prior Month Carryover		**8,500**
Total Complaints Received		**27,917**
	Complaints Closed	
Volume Closed Before 1st Notice	8,142	
Volume Closed Before 2nd Notice	9,267	
Volume Closed Before 3rd Notice	1,090	
Volume Closed Before Enforcement	177	
Volume Closed After Enforcement*	72	
Total Closed		**18,748**
	Complaints Open (Carryover)	
Volume Open Before 1st Notice Sent	3,060	
Volume Open in 1st Notice Sent	5,417	
Volume Open in 2nd Notice Sent	525	
Volume Open in 3rd Notice Sent	120	
Volume Open After Enforcement	47	
Total Remaining Open (Carryover)		**9,169**
Carryover at end of period	**2,717**	**2,717**
	Formal Notices	
Volume Breach	21	
Volume Contract Non-Renewal	0	
Volume Suspension	4	
Volume Termination	4	

*A single breach may contain multiple complaints

Formal Notice Activity (January – May 2015)

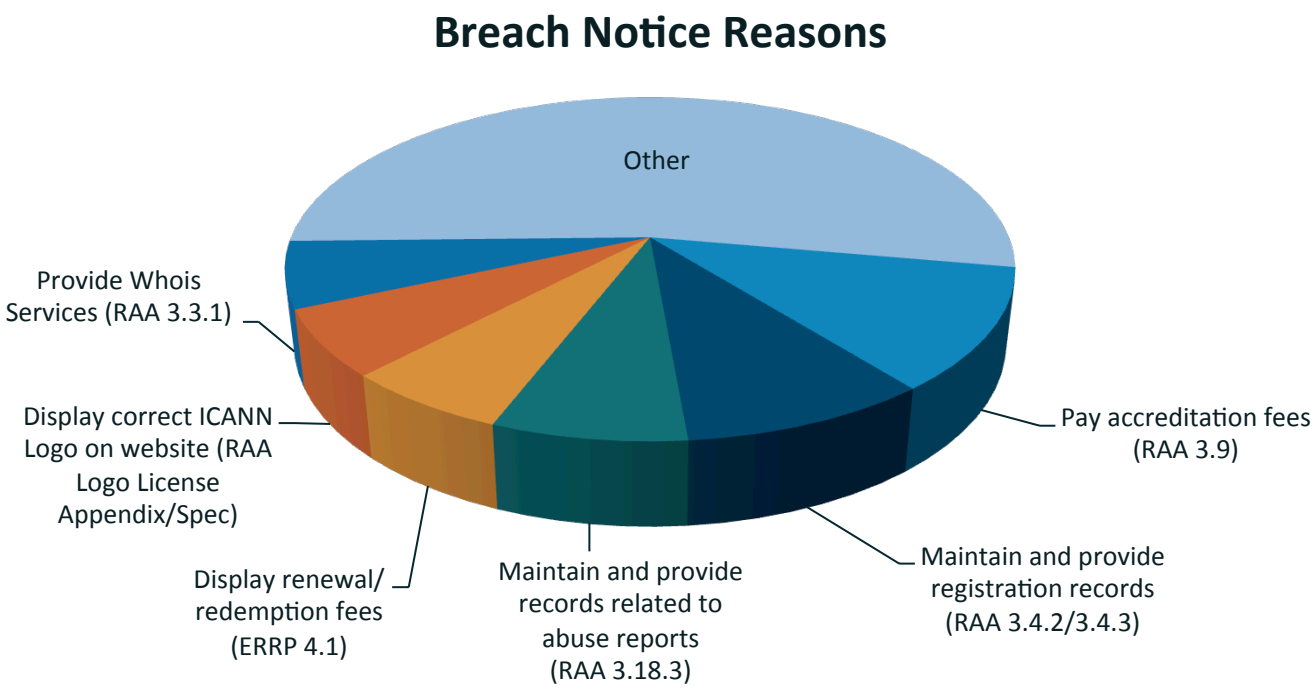


Notices	Qty
Breach	21
Non-Renewal	0
Suspension	4
Termination	4

Breach Notice Reason	Qty
Breach Notice Reasons	191
• Cured	98
• Not Cured	93

Formal Notice Reasons	Distribution
Pay accreditation fees (RAA 3.9)	11 %
Maintain and provide registration records (RAA 3.4.2/3.4.3)	9 %
Maintain and provide records related to abuse reports (RAA 3.18.3)	7 %
Display renewal/redemption fees (ERRP 4.1)	6 %
Display correct ICANN Logo on website (RAA Logo License Appendix/Specification)	6 %
Provide Whois Services (RAA 3.3.1)	6 %
Other	53 %

Formal Notice Activity (Jan – May 2015)



Notices	Qty
Breach	21
Non-Renewal	0
Suspension	4
Termination	4

Breach Notice Reason	Qty
Breach Notice Reasons	191
• Cured (as of May 31st)	152
• Not Cured (as of May 31st)	39

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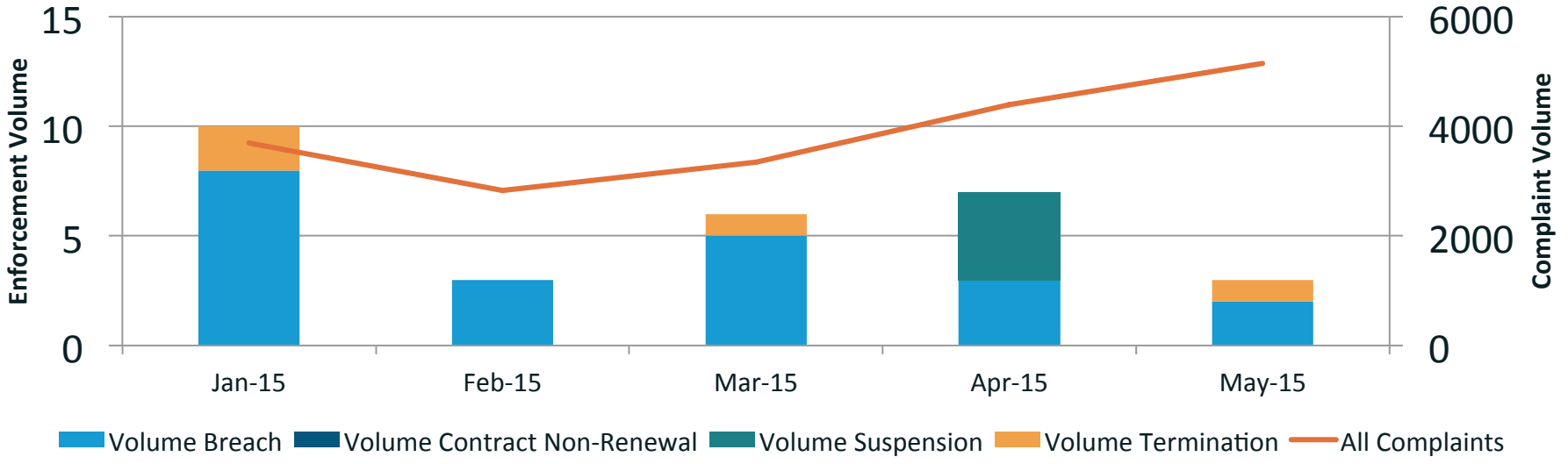
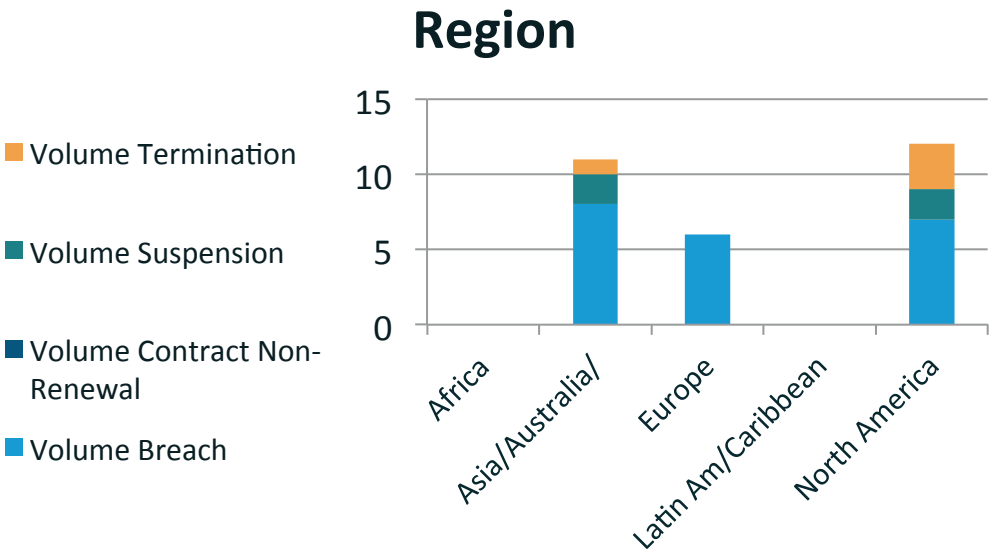
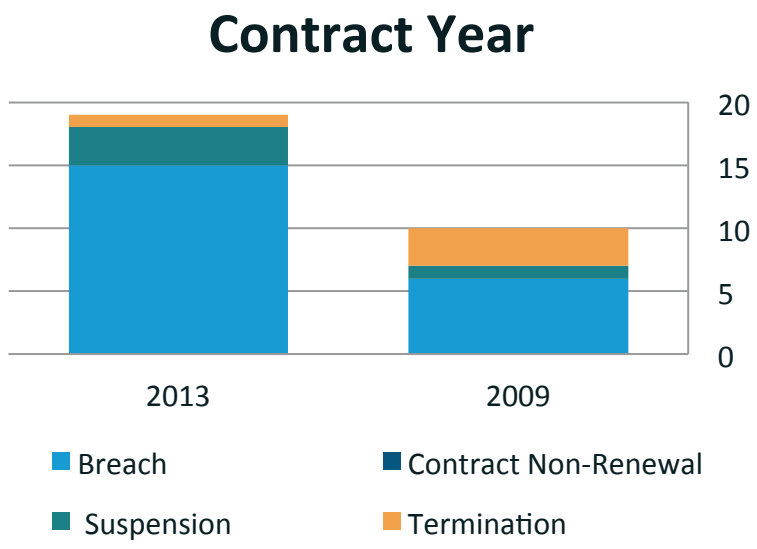
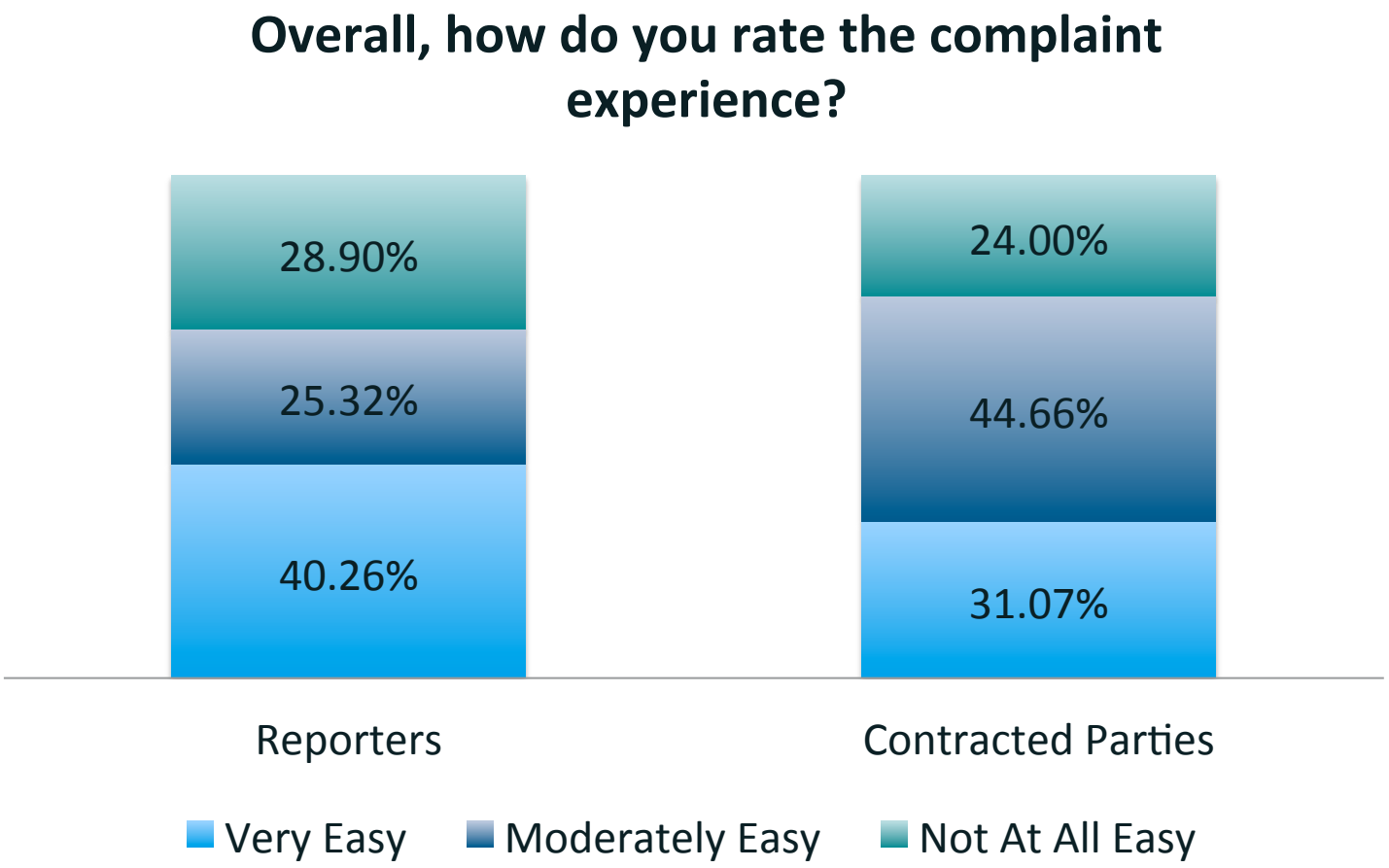
Formal Notice Trends (January – May 2015)



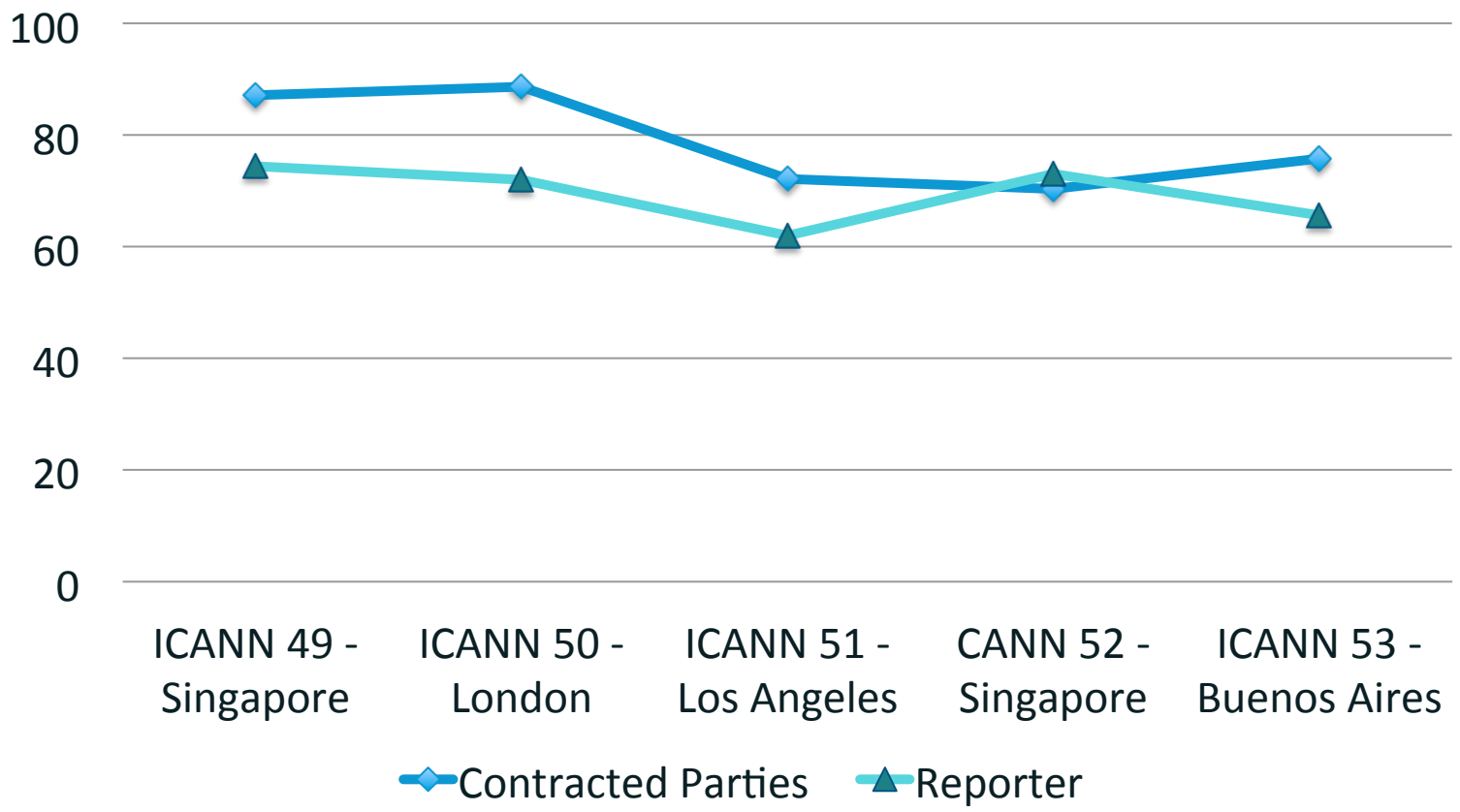




Pulse Survey Results (January – May 2015)



Pulse Survey Results Trend



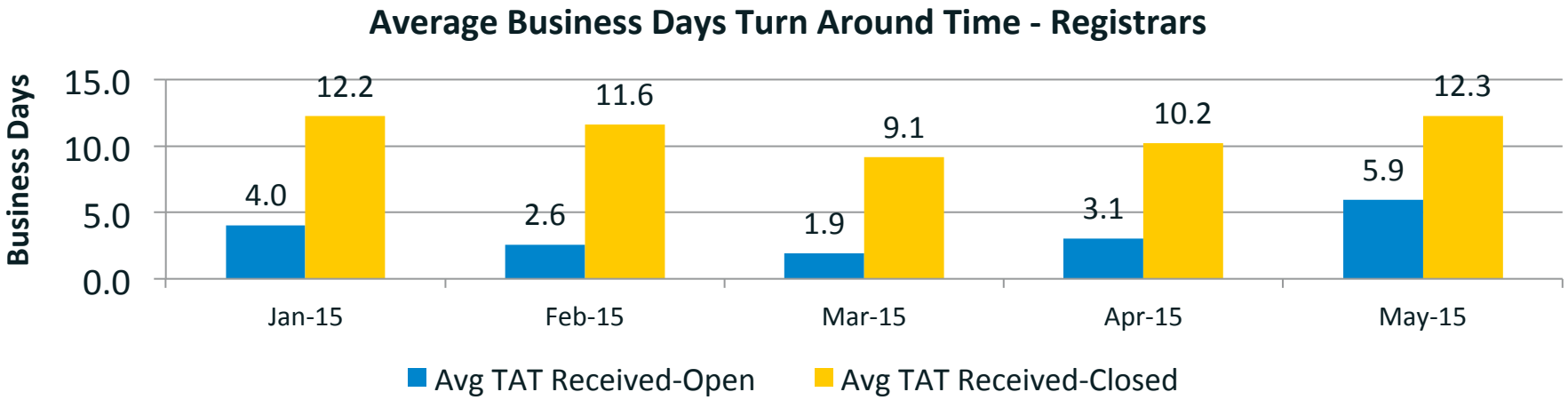
Registrar Complaint Type Volume (January – May 2015)

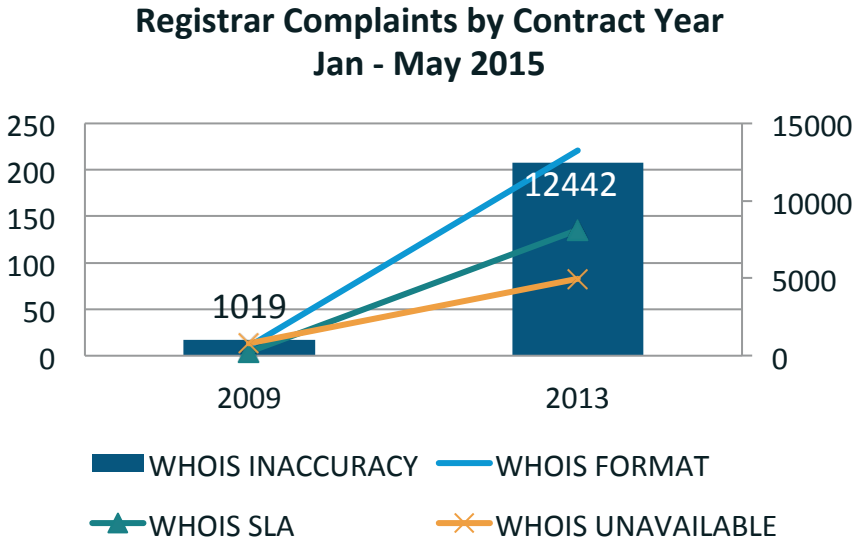
Registrar Complaints	Quantity Received	Closed before 1st inquiry / notice	ICANN Issue
WHOIS INACCURACY	14,182	5,514	2
TRANSFER	2,436	1,253	0
DOMAIN RENEWAL	362	161	0
WHOIS FORMAT	295	248	0
DATA ESCROW	200	0	3
DOMAIN DELETION	194	188	0
WHOIS SLA	175	186	0
ABUSE	142	84	1
WHOIS UNAVAILABLE	102	59	0
UDRP	81	59	0
FEES	75	2	0
CUSTOMER SERVICE	68	60	0
REGISTRAR CONTACT	40	17	0
REGISTRAR INFO SPEC	39	25	0
CEO CERTIFICATION	34	1	0
REGISTRAR OTHER	27	6	0
PRIVACY/PROXY	12	9	0
RESELLER AGREEMENT	8	0	0
WHOIS QUALITY REVIEW	7	0	0
FAILURE TO NOTIFY	6	6	0
DNSSEC, IDN, IPV6	5	6	0
Total	18,490	7,884	6

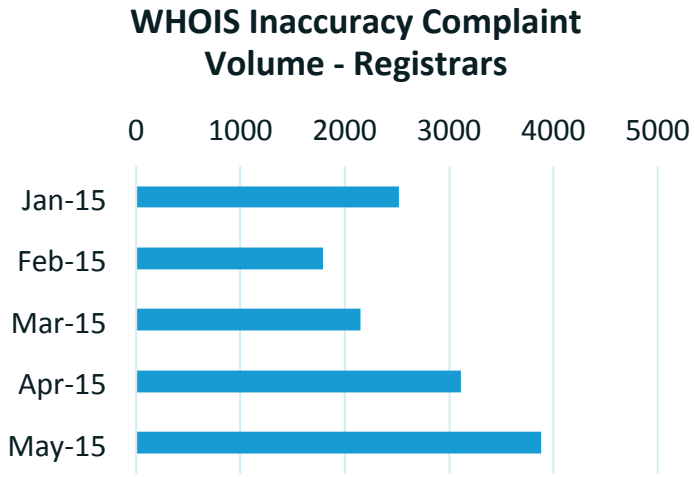
Formal Notices	Volume
Volume Breach	21
Volume Non-Renewal	0
Volume Suspension	4
Volume Termination	4

Registrar Turn Around Time (TAT)	(in days)
Avg TAT 1st Notice	12.0
Avg TAT 2nd Notice	6.6
Avg TAT 3rd Notice	7.1

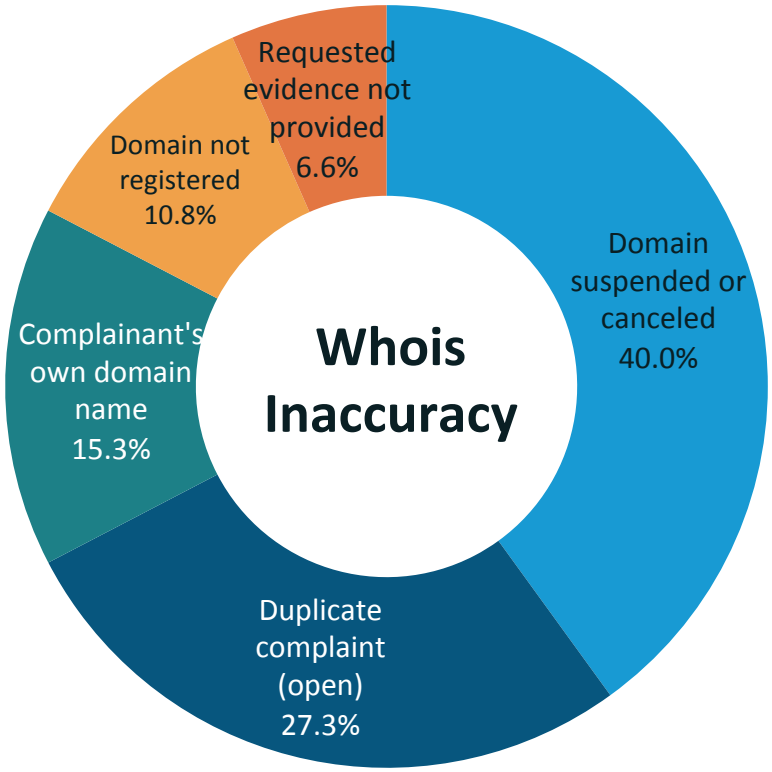
WHOIS Inaccuracy Quality Review Results

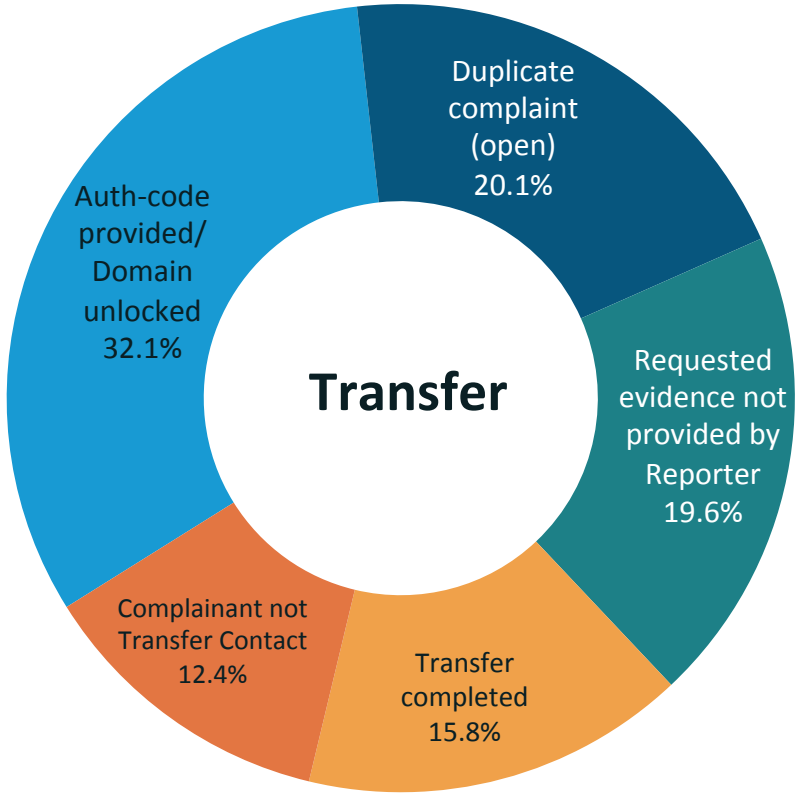




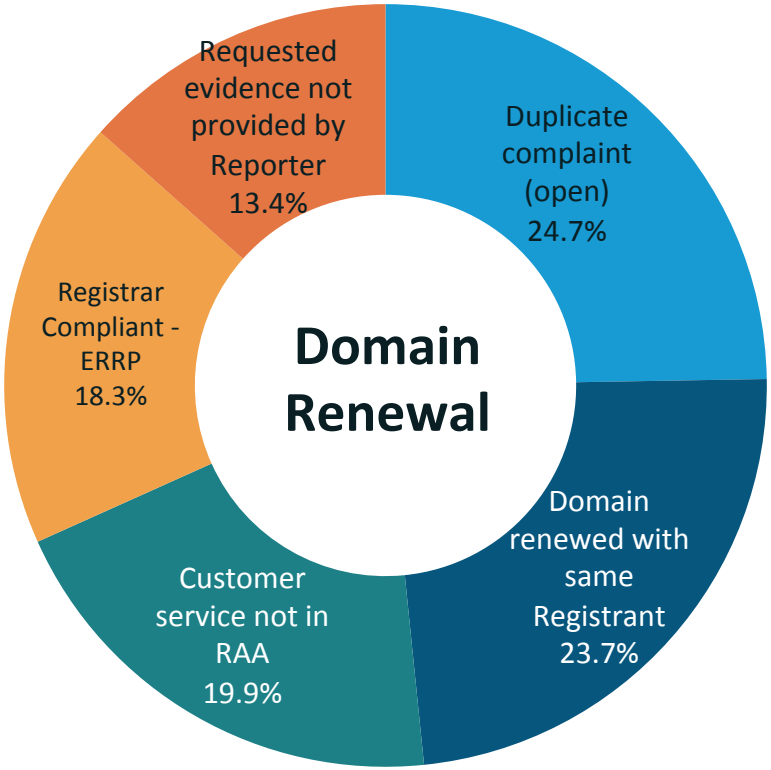


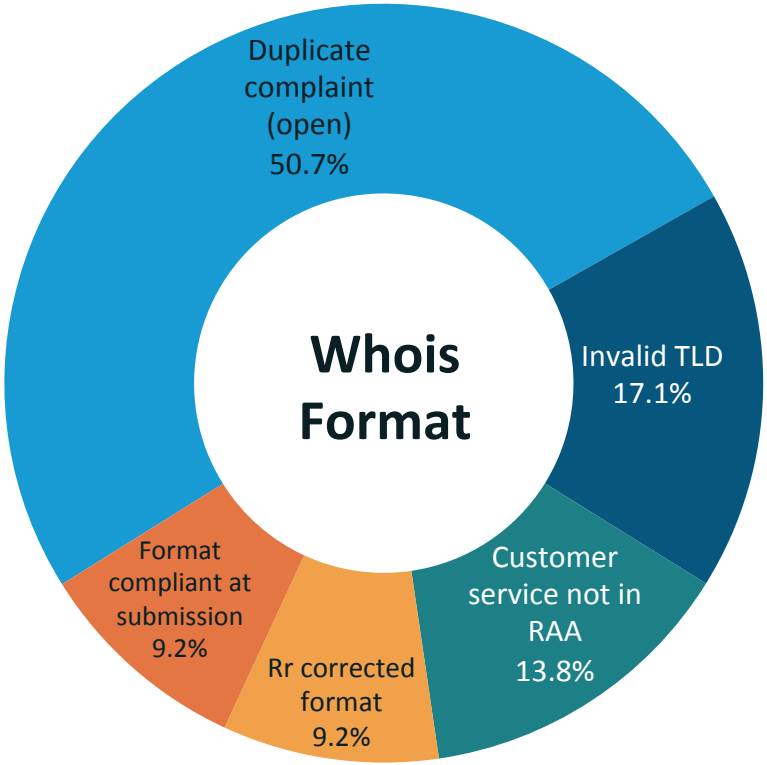
Registrar Complaint Types & Top Closure Reasons (January – May 2015)





Registrar Complaint Types & Top Closure Reasons (January – May 2015)





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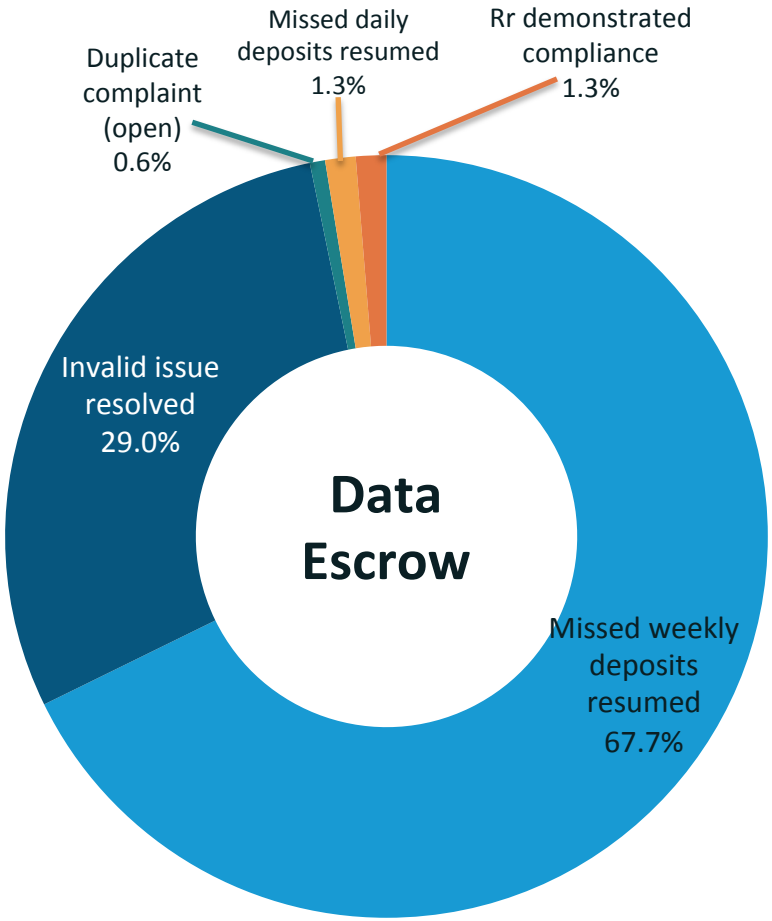

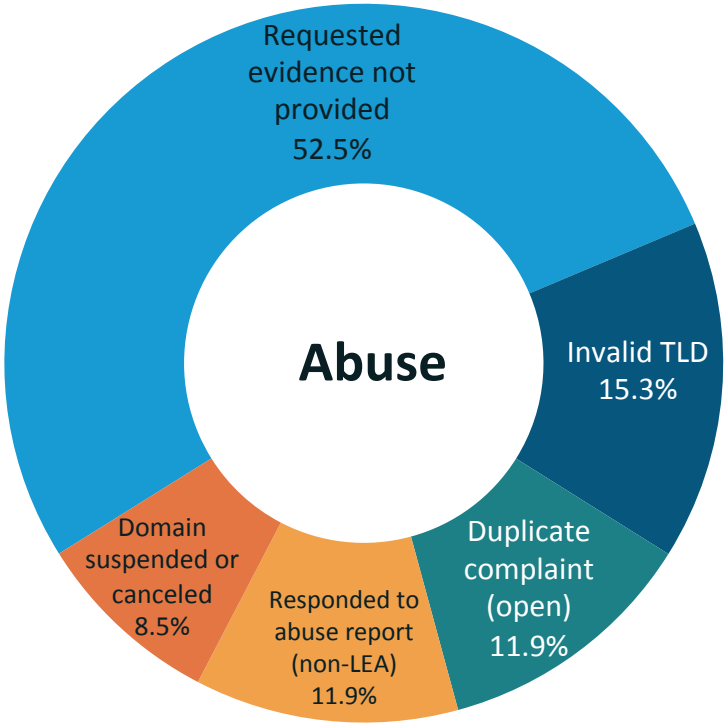

Registry Complaint Type Volume (January – May 2015)

Registry Complaints	Quantity Received	Closed before 1st inquiry / notice	ICANN Issue
ZONE FILE ACCESS	312	70	0
REGISTRY DATA ESCROW	133	2	3
SLA	101	51	0
REGISTRY OTHER	73	41	1
RESERVED NAMES/CONTROLLED INTERRUPTION	61	33	0
CODE OF CONDUCT	56	8	0
REGISTRY FEES	51	1	0
MONTHLY REPORT	33	2	0
ABUSE CONTACT DATA	24	8	0
BRDA	23	1	0
URS	20	15	0
BULK ZFA	15	1	1
RR-DRP	9	10	0
PIC	7	7	0
SUNRISE	7	6	0
MISCONDUCT	1	0	0
CLAIMS SERVICES	1	1	0
BANKRUPTCY	0	2	0
Total	927	259	5

Formal Notices	Volume
Volume Breach	0
Volume Non-Renewal	0
Volume Suspension	0
Volume Termination	0

Registry Turn Around Time (TAT)	(in days)
Avg TAT 1st Notice	6.4
Avg TAT 2nd Notice	6.1
Avg TAT 3rd Notice	8.0

Policy Efforts and Updates

Policy and Working Group Efforts

Provide compliance statistical data and trends to guide policy changes and ongoing implementation strategies

Actively contributing to the following Registry Related Working Groups

- Contribute to IRTP parts C and D working group efforts
- Support implementation of UDRP Rules revisions
- Participate in Thick Whois (registry) implementation and clarifications
- Whois Accuracy Reporting System

Actively contributing to the following Registry Related Working Groups

- Public Interest Commitments Security Framework
- Registration Data Directory Service
  - Effective 31 January 2016: Advisory on Whois Clarifications & Additional Whois Information Policy (AWIP)

Update to Additional Whois Information Policy

31 January 2016 effective date for AWIP requirements

- Registrars must:
  - Only refer to registration statuses in Whois by EPP status codes
  - Include a link for each EPP status code in Whois to ICANN webpage explaining each code
  - Include this message in Whois output: “For more information on Whois statues, please visit: https://www.icann.org/resources/pages/epp-status-codes-2014-06-16-en .”

Update to Registration Data Directory Service (Whois) Specification

31 January 2016 effective date for Whois Clarifications

Examples of Important Clarifications

- For optional fields where no data exists in a contracted party's Registration System (SRS), the contracted party MUST implement either of: 1) the key (i.e., the string to the left of the colon) MUST be shown with no information in the value section (i.e., right-hand side of the colon) of the field; or 2) no field MUST be shown. If data exist for a given optional field, the key and the value with the data MUST be shown.

- The value section of the "Reseller" field SHOULD be shown, but MAY be left blank or the whole field MAY not be shown at all. If shown, the value of the field MUST be the name of organization, in case the Reseller for the name is a legal entity, or a natural person name otherwise.

- The below fields MAY appear immediately before the last field ("URL of the ICANN WHOIS Data Problem Reporting System") instead of following the "Registrar IANA ID" field:
  Registrar Abuse Contact Email
  Registrar Abuse Contact Phone

Policy and Working Group Efforts

Actively contributing to the following Registry Related Working Groups

- Public Interest Commitments Security Framework
- Registration Data Directory Service
  - Effective 31 January 2016: Advisory on Whois Clarifications & Additional Whois Information Policy (AWIP)