

I C A N N

COMMUNITY FORUM

58

COPENHAGEN

11-16 March 2017





Registry Outreach

Contractual Compliance | ICANN 58 | 12 March 2017

Agenda

- ⦿ Brief Update Since ICANN 57
 - ⦿ Registry Agreement Lessons Learned
 - ⦿ Update on Annual Compliance Certification Effort
- ⦿ Questions & Answers
- ⦿ Additional slides in appendix:
 - ⦿ Policy updates
 - ⦿ Registry Metrics
 - ⦿ New Registry Agreement Audit Update

RA Lessons Learned

1

Zone File Access Requirements (CZDS)

Complying with reasons for denial of access

2

Registry Data Escrow Requirements

Complying with Registry Operator and Data Escrow Agent notification obligations

3

Assignments: Change of Control & MSA

Complying with requirements for notification to and approval by ICANN

4

Bulk Registration Data Access (BRDA) Requirements

Complying with BRDA obligations

1. Zone File Access Requirements (CZDS)

Replying to Requests & Reasons for Denial under Specification 4

- ⦿ Agreement is not explicit on when gTLD must reply to requests for access
 - ⦿ Be reasonable, open and transparent
 - ⦿ Establish, publish and adhere to policy that informs requestors by when to reasonably expect a response
 - ⦿ ICANN inquiry forwards user complaints about pending requests
- ⦿ Reasons for denying access under Specification 4:
 - ⦿ Failure to satisfy credentialing requirements of Section 2.1.2
 - ⦿ Incorrect or illegitimate credentialing requirements of Section 2.1.2
 - ⦿ Reasonable belief requestor will violate terms of Section 2.1.5

2. Registry Data Escrow Requirements

Complying with Registry Operator and Data Escrow Agent notification obligations

- ⦿ Daily deposits by Registry Operator
 - ⦿ Sunday: full deposits to Data Escrow Agent by 23:59 UTC
 - ⦿ Full deposit consists of entire set of registry database objects as defined
 - ⦿ Monday-Saturday: differential deposits by 23:59 UTC (or full deposit)
 - ⦿ Differential deposit includes all registry database objects created, deleted or updated since previous full or differential deposit
- ⦿ Registry Reporting Interface (RRI):
 - ⦿ Registry Operator must ensure Data Escrow Agent sends daily status notifications to ICANN per Specification 2, Part B, Section 7
 - ⦿ Registry Operators also sends daily notification of deposit to ICANN per Specification 2, Part A, Section 7

3. Assignments: Change of Control & MSA

Complying with requirements for notification to and approval by ICANN

- ⦿ Section 7.5 of the Registry Agreement
- ⦿ Assignment: direct or indirect change of registry operator or material subcontracting arrangement (MSA) related to Critical Function (including redundancies for those functions)
 - ⦿ MSA Critical Function defined in Specification 10: DNS Service, DNSSEC, EPP, RDDS and Data Escrow
- ⦿ Advance notice to ICANN
- ⦿ Approval from ICANN required prior to some changes
- ⦿ Additional Information, including how-to guides and required forms
<https://www.icann.org/resources/assignments>

4. Bulk Registration Data Access Requirements

Complying with BRDA obligations

- ⦿ Specification 4, Section 3 of Registry Agreement
- ⦿ Registry Operators must provide ICANN weekly bulk access to registration data upon delegation of top-level domain
- ⦿ Access required at 00:00:00 UTC on day of week specified by ICANN during onboarding via Onboarding Information Request (ONBIR)
- ⦿ Data includes data committed as of 00:00:00 UTC on day prior to designated access day

Annual Compliance Certification Effort

2016 Annual Compliance Certification Effort

- ⦿ Review of applicable gTLDs' obligation to submit 2016 Annual Certification of Compliance with:
 - ⦿ Specification 9 Code of Conduct (approximately 197 gTLDs)
 - ⦿ Code of Conduct Exemption (approximately 66 gTLDs)
 - ⦿ Specification 13 (approximately 471 gTLDs)
- ⦿ Approximately 90 Registry Operators received Compliance Inquiry regarding missing or incomplete certification(s)
 - ⦿ Inquiries processed in Code of Conduct complaint type department (increased metrics January – March 2017)

Questions & Answers



Send compliance questions

To: compliance@icann.org

Subject line: ICANN 58 Registry Outreach Session

The ICANN 58 presentations are available at:

- The ICANN Contractual Compliance Outreach page at this link

<https://www.icann.org/resources/compliance/outreach>

- The ICANN 58 Schedule page at this link <https://icann582017.sched.org/>

Appendix

- Policy Updates
- Registry Metrics
- New Registry Agreement Audit Update
- Visit <https://www.icann.org/resources/pages/gtld-2012-02-25-en> for more information about:
 - Process Guidelines & Clarifications
 - Contractual Obligations Guidelines

Policy Updates

Policy and Working Group Efforts

Actively contributing to registry-related policies and Working Groups

- ⦿ Competition, Trust and Choice Review
- ⦿ Rights Protection Mechanism Review
- ⦿ New gTLD Subsequent Procedures
- ⦿ Clarification of Public Interest Commitments Specification 11, Section 3b Advisory and Security Framework
- ⦿ IGO-INGO: Curative Rights Protections and Protection of Identifiers
- ⦿ Thick WHOIS & Registration Data Access Protocol (RDAP)

Policy and Registry Agreement Updates

Registry-related policies and agreement updates in process since ICANN 57

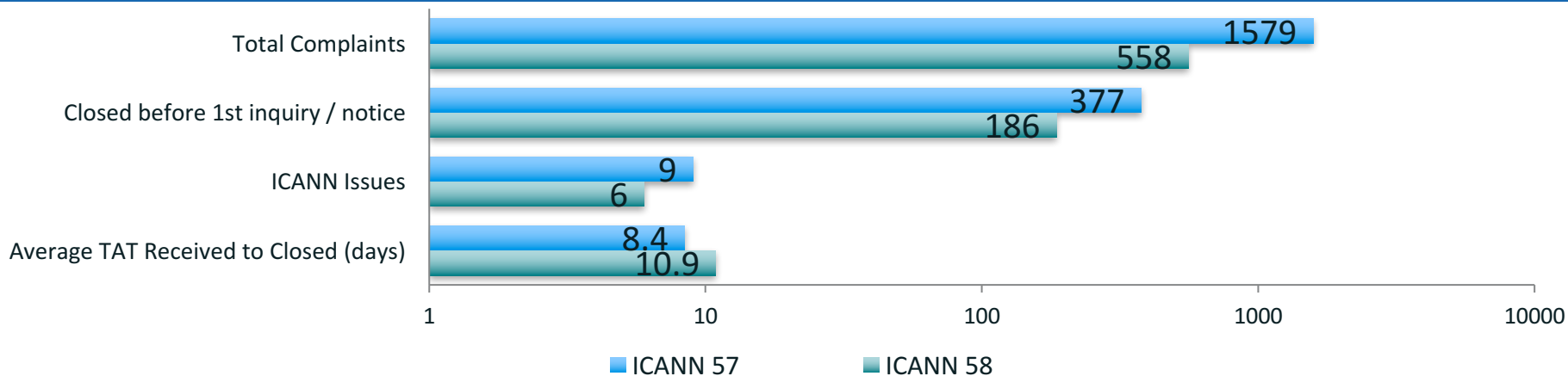
- ⦿ Proposed amendments to base New gTLD Registry Agreement – Registry Operator voting period closes 10 April 2017
- ⦿ Registry Registration Data Directory Services (RDDS) Consistent Labeling and Display Policy (CL&D) published; effective 1 August 2017
<https://www.icann.org/resources/pages/rdds-labeling-policy-2017-02-01-en>
- ⦿ Thick Whois Transition Policy for .com, .net and .job published with milestones for Registry Operators and Registrars
<https://www.icann.org/resources/pages/thick-whois-transition-policy-2017-02-01-en>
 - ⦿ All new domain registrations must be submitted as Thick by 1 May 2018
 - ⦿ All relevant registration data for existing domains must be migrated to Thick by 1 February 2019

Registry Metrics

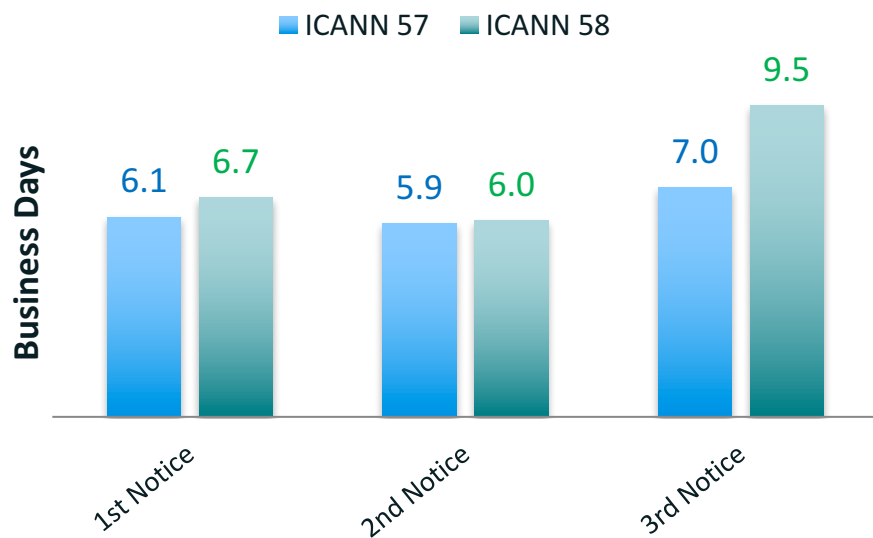
Registry Complaint Types in Detail

Registry Complaints	Quantity		Closed before 1st inquiry / notice		ICANN Issue	
	ICANN 57	ICANN 58	ICANN 57	ICANN 58	ICANN 57	ICANN 58
ZONE FILE ACCESS	732	197	176	64	2	0
CODE OF CONDUCT	315	32	9	2	2	0
MONTHLY REPORT	140	30	1	0	1	0
REGISTRY OTHER	86	54	66	46	2	0
REGISTRY DATA ESCROW	81	66	0	0	0	0
SLA	40	20	23	19	1	0
ABUSE CONTACT DATA	40	31	40	30	0	0
RESERVED NAMES/CONTROLLED INTERRUPTION	40	18	21	11	1	0
SLA ALERTS	31	48	1	0	0	2
RR-DRP	27	6	27	6	0	0
REGISTRY FEES	14	4	0	0	0	0
BRDA	13	37	0	0	0	4
PIC	9	4	6	3	0	0
URS	7	2	6	0	0	0
BULK ZFA	2	4	0	0	0	0
CLAIMS SERVICES	1	3	1	3	0	0
WILDCARD PROHIBITION	1	0	0	0	0	0
SUNRISE	0	2	0	2	0	0
MISCONDUCT	0	0	0	0	0	0
BANKRUPTCY	0	0	0	0	0	0
Total	1,579	558	377	186	9	6

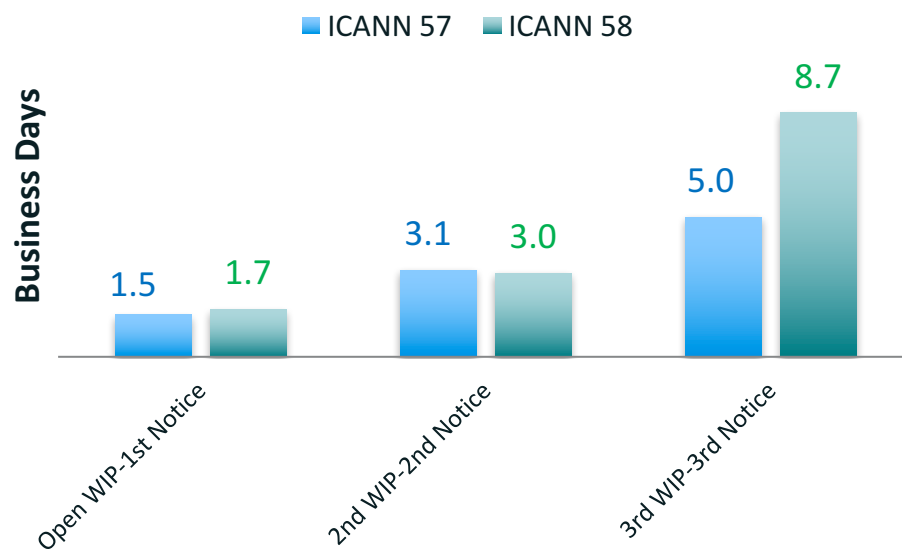
Registry Complaint Volume & Turnaround Time



Registry Average Turn Around Time (TAT)



Staff Average Turn Around Time (TAT)



New Registry Agreement Audit Update

New Registry Agreement: Audit Timeline (current round – January 2017)

Audit Program Milestones

Pre-Audit Notification	Request for Information (RFI) Phase			Audit Phase		(Initial) Report Phase	Remediation	(Final) Report Issued
	1st Notice	2nd Notice	3rd Notice	Begin	End	Date Issued	Start/End	Tentative Issue Date
9 Jan 2017	23 Jan 2017	13 Feb 2017	20 Feb 2017	27 Feb 2017	5 May 2017	8 May 2017	May 2017/ June 2017	16 June 2017

New Registry Agreement: Audit Population and Statistics (current round -January 2017)

- ⦿ 20 Registry Operators were selected based on following criteria:
 - ⦿ Registry Service Provider (RSP) requested inclusion
 - ⦿ Registry Operators using Registry Service Providers whose performance has not been reviewed via audits of other Registry Operators
 - ⦿ TLD was subject to Category 1 Safeguards
 - ⦿ TLD has either gained or lost highest number of domains in 2016
- ⦿ Selected Registry Operators represent 9 countries: China, Ireland, Japan, New Zealand, Taiwan, Thailand, United: Arab Emirates, United Kingdom and United States
- ⦿ To date, ICANN Contractual Compliance has received, and is currently reviewing, over 950 documents in 3 languages: Chinese, English, and Japanese

Registry Audit Selection Criteria (current round – January 2017)

- ⦿ Registry Operators using Registry Service Providers whose performance has not been reviewed via audits of other Registry Operators
- ⦿ Responsiveness to compliance requests (number of 2nd/3rd Notices sent per number of valid complaints received)
- ⦿ Registry Operators subject of ICANN community concerns, as reflected in media reports, blogs or inquiry/reports from community members or other contracted parties