#ICANN50

London ICANN FIFTY
22-26 June 2014

#ICANN50
Agenda

• General Update
  • Quality process to periodically confirm compliance for suspended domains related to Whois Inaccuracy complaints
  • Compliance Checks
  • Risk and Audit Update
• 2013 RAA Discussion and Clarification
• Audit Program
• Question Answer Session
Contractual Compliance – Mar 2014 – May 2014
Registrar Complaint Types

Complaint Distribution

- WHOIS INACCURACY: 80.7%
- TRANSFER: 12.8%
- RENEWAL/REDENTION: 1.4%
- ABUSE: 0.4%
- WHOIS FORMAT: 0.4%
- DOMAIN DELETION: 0.6%
- FEES: 0.2%
- UDRP: 0.5%
- DATA ESCROW: 0.4%
- CUSTOMER SERVICE UNAVAILABLE: 0.3%
- Misc: 0.6%
- REGISTRAR CONTACT: 0.2%

Enforcements

- Volume Breach: 15
- Volume Termination: 0

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

Registrar Complaints

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

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## Contractual Compliance – Mar 2014 – May 2014

### Complaints per Notification Cycle

<table>
<thead>
<tr>
<th>Complaint Summary</th>
<th>Mar - May Total Complaints Processed</th>
<th>Mar – May Complaints Closed</th>
<th>Mar – May Complaints Remaining Open</th>
<th>Complaints Remaining Open After May 31</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>18,333</td>
<td>11,561</td>
<td>6,772</td>
<td>1,926</td>
</tr>
</tbody>
</table>

**Closure Rate 63%**

- **Closed Before 1st Notice Sent**: -4,592
- **Closed Before 2nd Notice Sent**: -5,555
- **Closed Before 3rd Notice Sent**: -1,221
- **1st Notice Sent**: 6,785
- **2nd Notice Sent**: 1,638
- **3rd Notice Sent**: 210

**25% complaints closed before sending to Registrar**

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# Registrar/Registry Compliance Check

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

* May involve both Registrars and Registry Operators checks
2013 RAA Lessons Learned

• 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
2013 RAA: CEO Certification
Section 3.15

Date certificate is signed → __________, 20___

Pursuant to Section 3.16 of Registrar Accreditation Agreement (the "Agreement"), dated ________, 20___, by and between the Internet Corporation for Assigned Names and Numbers, a California non-profit, public benefit corporation ("ICANN"), and [Registrar Name], a [Organization type and jurisdiction] ("Registrar"), the undersigned certifies, in his/her capacity as an officer of the Registrar and not in his/her individual capacity, on behalf of __________ as follows:

The undersigned is the __________________________ (must be one of the following: Chief Executive Officer, President, Chief Operating Officer, Chief Financial Officer, or the functional equivalent thereof) of Registrar.

Registrar has in place processes and procedures intended to establish, maintain, review, test, and modify registrar policies and procedures reasonably designed to achieve compliance with the Agreement.

To the best of the undersigned’s knowledge and belief, Registrar has performed and complied with all covenants, agreements, obligations and conditions contained in the Agreement that are required to be performed or complied with by it for the calendar year 20___.

The undersigned signs this certificate as of the date indicated under the title.

[REGISTRAR]

By: _________________________

Name:

Title:

← Date RAA signed
← Year certificate applies to
← Registrar name

Officer title

Officer signature
Most common Whois formatting problems (keys):

1. Extra fields/wording (e.g., links to registrar's website, sales information)
2. Legal disclaimer before registrant information
3. Fields out of order
4. Required fields missing
5. Incorrect spacing (e.g., extra blank lines between fields or more than one space after the colon)
6. Not conforming to mappings specified in RFCs listed in Section 1.5
2013 RAA: Whois Format (Values)
Registration Data Directory Service (Whois) Specification

Most common Whois formatting problems (values):
1. Missing country code (RFC 5733)
2. Duplicate country code
3. Registrar requires value for key that is inapplicable to territory (e.g., postal code)
Whois Inaccuracy
Section 3.7.8 & Whois Accuracy Program Specification

- Registrars are required to take reasonable steps to investigate and correct Whois data inaccuracy claims
- ICANN requests:
  - The correspondence with the registrant, including dates and times and means of inquiries (To/From), telephone number, e-mail addresses, and postal addresses used
  - Verification/validation under Whois Accuracy Program Specification of 2013 RAA
  - 2 parallel Validation/Verification tracks for Whois inaccuracy
Common Registrar Issues
Whois Accuracy Program Specification

• Registrar’s receipt of ICANN notice starts 15-calendar days

• If registrar has information suggesting Whois data is incorrect, it must contact Registered Name Holder (“RNH”) to verify or re-verify email address of RNH and if different, Account Holder (“AH”)

• Registrar must demonstrate affirmative response from RNH to verify

• If registrar does not receive affirmative response from RNH within 15 days, domain must be suspended or registrar must provide proof of manual verification

• If registrar does not receive affirmative response from AH, must provide proof of manual verification; suspension not required
Common Registrar Issues
Whois Accuracy Program Specification

ICANN looking for one of three results:

1. Whois updated (within 15 days of inquiry sent to RNH)
   - Registrar provides validation of format of updates and verification (affirmative responses or proof of manual verification) of updates

2. No Response from RNH within 15 calendar days
   - domain suspended/terminated until registrar has verified information

3. Registrar verified Whois information correct (within 15 days of inquiry sent to RNH) and registrar has provided documentation of verification
Common Registrar Issues

• The 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 QA**: Periodic post-suspension review of domains to ensure suspension continues or Whois was updated – if updated ICANN will request verification/validation
Whois Inaccuracy (Verification)

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)

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
Common Registrar Issues

- Confusing Sections 3.18.1 and 3.18.2
  - 3.18.1: anyone can file an abuse report
  - 3.18.2: law enforcement, consumer protection, quasi-govt.
- Registrar must investigate reports
  - Investigative process can vary depending on report
- Court order NOT required to investigate
- No jurisdictional limitations to investigate: law enforcement entities designated by registrar’s local government (3.18.2) or any jurisdiction (3.18.1)
- Home page must link to process and email address
Privacy/Proxy Services
Section 3.4.1.5 and Specification on Privacy and Proxy Registrations

• 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
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.
Proposed Implementation of Revised UDRP Rules

• Announcement of 6 month implementation deadline for changes anticipated in November/December 2014

• Lock defined: measures to prevent modification to the registrant and registrar information by UDRP Respondent

• Registrar must lock domain subject to UDRP within 2 business days of request for verification from Provider
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
Agenda

• General Update
  • Quality process to periodically confirm compliance for suspended domains related to Whois Inaccuracy complaints
  • Compliance Checks
  • Risk and Audit Update
• 2013 RAA Discussion and Clarification
• Audit Program
• Question Answer Session
## Year-2 Audit Program Sample

<table>
<thead>
<tr>
<th>Registrars</th>
<th>#</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Selected Registrars</strong></td>
<td>322</td>
</tr>
<tr>
<td>Including Y1 Rollovers</td>
<td>5</td>
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</table>

<table>
<thead>
<tr>
<th>Country</th>
<th>Registrars</th>
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</thead>
<tbody>
<tr>
<td>United States</td>
<td>191</td>
</tr>
<tr>
<td>India</td>
<td>24</td>
</tr>
<tr>
<td>Canada</td>
<td>11</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>10</td>
</tr>
<tr>
<td>Germany</td>
<td>8</td>
</tr>
<tr>
<td>China</td>
<td>10</td>
</tr>
<tr>
<td>Korea (South)</td>
<td>6</td>
</tr>
<tr>
<td>Japan</td>
<td>5</td>
</tr>
<tr>
<td>Spain</td>
<td>5</td>
</tr>
<tr>
<td>Australia</td>
<td>4</td>
</tr>
<tr>
<td>Italy</td>
<td>4</td>
</tr>
<tr>
<td>France</td>
<td>5</td>
</tr>
<tr>
<td>Mexico</td>
<td>3</td>
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<tr>
<td>Brazil</td>
<td>3</td>
</tr>
<tr>
<td>Sweden</td>
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</tr>
<tr>
<td>Netherlands</td>
<td>2</td>
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<tr>
<td>Belgium</td>
<td>2</td>
</tr>
<tr>
<td>Lithuania</td>
<td>2</td>
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<tr>
<td>Russian Federation</td>
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<tr>
<td>Israel</td>
<td>2</td>
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<table>
<thead>
<tr>
<th>Country</th>
<th>Registrars</th>
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<tbody>
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<td>Thailand</td>
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</tr>
<tr>
<td>Finland</td>
<td>1</td>
</tr>
<tr>
<td>Czech Republic</td>
<td>1</td>
</tr>
<tr>
<td>Cayman Islands</td>
<td>1</td>
</tr>
<tr>
<td>Austria</td>
<td>1</td>
</tr>
<tr>
<td>Taiwan</td>
<td>1</td>
</tr>
<tr>
<td>Ghana</td>
<td>1</td>
</tr>
<tr>
<td>Hong Kong</td>
<td>2</td>
</tr>
<tr>
<td>Ireland</td>
<td>1</td>
</tr>
<tr>
<td>Argentina</td>
<td>1</td>
</tr>
<tr>
<td>Singapore</td>
<td>1</td>
</tr>
<tr>
<td>Viet Nam</td>
<td>1</td>
</tr>
<tr>
<td>Kuwait</td>
<td>1</td>
</tr>
<tr>
<td>Latvia</td>
<td>1</td>
</tr>
<tr>
<td>Liechtenstein</td>
<td>1</td>
</tr>
<tr>
<td>Malaysia</td>
<td>1</td>
</tr>
<tr>
<td>Panama</td>
<td>1</td>
</tr>
<tr>
<td>Philippines</td>
<td>1</td>
</tr>
<tr>
<td>Indonesia</td>
<td>1</td>
</tr>
</tbody>
</table>

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 Timeline

**2012-2015 Audit Process Flow**

**Planning Phase**
- Start: Create Audit Scope
- Build Audit Schedule (2 Wks)
- Develop Metrics Goals
- Establish Roles
- Assign Resources (1 Wk)

**Organizing Phase**
- Pre-Audit Notification Phase: Send 2 Weeks Notification to Rg/Ry
- 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

**Audit Phase**
- Reporting Phase
- Remediation Phase: Remediation Work w/ Rg/Ry
- Reporting - Results - Statistics

**Year Two Audit Program Timeline**

<table>
<thead>
<tr>
<th>Planning</th>
<th>Pre-Audit Notification</th>
<th>Request for Info (RFI)</th>
<th>Audit Phase</th>
<th>Reporting Phase</th>
<th>Remediation</th>
</tr>
</thead>
</table>

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Year-2 Audit Program Results by end of Audit Phase

Registrar Deficiency Profiles

- 33% of Registrars with 7 to 8 Deficiency Areas
- 30% of Registrars with 3 to 4 Deficiency Areas
- 22% of Registrars with 1 to 2 Deficiency Areas
- 11% with No Deficiencies
- 4% with 5 to 6 Deficiency Areas
Top initial deficiencies noted after audit phase

Year 1 vs Year 2

- 5.11 Update Primary Contact Information in RADAR
  - Year 2: 49%
  - Year 1: 28%

- 4.3.1 Consensus Policies
  - Year 2: 84%
  - Year 1: 53%

- 3.16 Registrar contact details on registrars website
  - Year 2: 40%
  - Year 1: 22%

- 3.12 Reseller agreement (mandatory provisions)
  - Year 2: 32%
  - Year 1: 25%

- 3.10 Insurance
  - Year 2: 26%
  - Year 1: 15%

- 3.7.5.3 to 3.7.5.6 EDDP-Domain name renewal, provision of applicable information to registrants
  - Year 2: 8%
  - Year 1: 7%

- 3.4.2 Retention of Registration Data
  - Year 2: 59%
  - Year 1: 56%

- 3.3.1 to 3.3.5 Whois- Port43/Web, Corresponding Data Elements
  - Year 2: 51%
  - Year 1: 68%
Audit Program phases statistics

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

Please send general questions:
To: Compliance@icann.org
Subject line: ICANN50 Compliance Registrar Outreach Session
## Contractual Compliance – Mar 2014 – May 2014

### Complaint Type & Closure Reasons – Top 3

<table>
<thead>
<tr>
<th>Complaint Type</th>
<th>Mar-14</th>
<th>Apr-14</th>
<th>May-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renewal/Redemption</td>
<td>42</td>
<td>36</td>
<td>16</td>
</tr>
<tr>
<td>Transfer</td>
<td>259</td>
<td>254</td>
<td>241</td>
</tr>
<tr>
<td>Whois Inaccuracy</td>
<td>1005</td>
<td>1265</td>
<td>1089</td>
</tr>
</tbody>
</table>

### Closed Complaint Types before 1st Notice

- **Renewal/Redemption**
  - Mar-14: 42
  - Apr-14: 36
  - May-14: 16
- **Transfer**
  - Mar-14: 259
  - Apr-14: 254
  - May-14: 241
- **Whois Inaccuracy**
  - Mar-14: 1005
  - Apr-14: 1265
  - May-14: 1089

### Closed Complaint Reasons before 1st Notice

<table>
<thead>
<tr>
<th>Closure Reason</th>
<th>Mar-14</th>
<th>Apr-14</th>
<th>May-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complainant not Transfer Contact</td>
<td>21</td>
<td>20</td>
<td>28</td>
</tr>
<tr>
<td>Non-response from Reporter</td>
<td>44</td>
<td>45</td>
<td>51</td>
</tr>
<tr>
<td>Duplicate complaint</td>
<td>140</td>
<td>139</td>
<td>57</td>
</tr>
</tbody>
</table>

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

Domain Renewal: Closure Reasons

- Customer service not in RAA: 37.7%
- Domain renewed with same Registrant: 20.3%
- Duplicate complaint: 29.0%
- Non-RAA: resellers/web-hosting: 13.0%
Contractual Compliance – July 2013 – May 2014
Complaint Types & Top 5 Closure Reasons - Registrar

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

Whois Unavailable: Closure Reasons
- Service restored: 66.7%
- Invalid complaint: 19.7%
- Incomplete or broad: 9.1%
- Duplicate complaint: 4.5%
- Report not confirmed: 7.5%
Contractual Compliance – July 2013 – May 2014
Complaint Types & Top 5 Closure Reasons - Registrar

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

**Transfer: Closure Reasons**
- Complainant not Transfer Contact: 13.8%
- Transfer completed: 19.3%
- Duplicate of pending: 19.4%
- Auth-code provided/Domain unlocked: 29.2%
- Duplicate complaint: 18.3%

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