



ICANN | 52

Singapore

8-12 FEBRUARY 2015





Contractual Compliance Update ICANN 52 | February 2015

Agenda

- ⦿ Update Since ICANN 51
- ⦿ Lessons Learned Summary
- ⦿ Policy Efforts
- ⦿ Performance Reporting
- ⦿ Questions and Answers

A world map where the continents are defined by a complex network of white dots and lines, resembling a global network or data flow. The background is a solid teal color.

Update Since ICANN 51

Audit Activities since ICANN 51

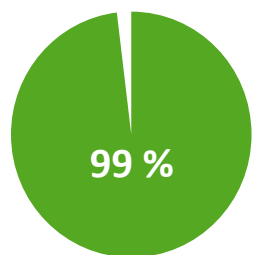
- ⦿ Year-three Audit Program launched in October 2014
 - ⦿ 316 Registrars originally selected for audit including 5 Registrars rolled over from Year-two
 - ⦿ 4 Registrars terminated prior to the commencement of the audit
 - ⦿ 5 “legacy” Registry Operators included in audited
- ⦿ New Registry Agreement Audit Program launched August 2014; completed December 2014; report published in February 2015
- ⦿ 2014 Contractual Compliance Annual Report to be published in February 2015
- ⦿ Reports can be found at:
<https://www.icann.org/resources/pages/compliance-reports-2014-2015-01-30-en>

Quality Efforts Update since ICANN 51

- ⦿ [Complaint processing quality assurance](#) – A quality process to periodically review consistency and accuracy of complaint processing
- ⦿ [WHOIS Inaccuracy Quality Review](#) – A quality process to periodically review and confirm compliance for suspended domains related to Whois Inaccuracy complaints
- ⦿ [Remediation Quality Review](#) – A quality process to ensure continued compliance after contracted party completes remediation to resolve informal or formal compliance matter

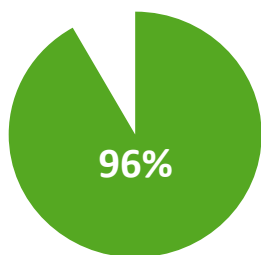
Public Interest Commitments Monitoring Results since ICANN 51

- 264 gTLDs monitored on Specification 11 of the New Registry Agreement
- Any noted deficiencies have been addressed via the informal resolution process
- No PICDRPs have yet been initiated



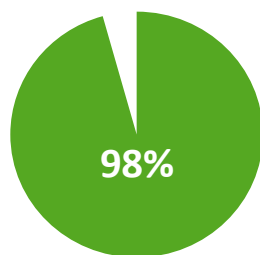
Section 3(a):

RRA with
PIC3(a)
Mandatory
Provision



Section 3(b):

Conducting
Security Threats
Technical
Analyses at the
time of Inquiry



Section 3(c):

Registration
Policies
published on
TLD's website



Section 3(d):

Generic TLDs not
limiting
Registrations



Section 4 GAC-1
(as applicable):

RRA with GAC-1
Mandatory
Provision



**Selected
Voluntary
PICs:**

WHOIS Audits
Processes with
LEA & Govt.

2013 RAA: Abuse Reports Requirements

Section 3.18.1

- Registrars must:
 - Take reasonable and prompt steps to investigate and
 - Respond appropriately to ANY reports of abuse
- Reasonable steps may include:
 - Contacting the RNH of the domain(s)
- Appropriately varies depending on the facts and circumstances
- Whois data verification by itself is insufficient
- Court order is not required for registrar to investigate absent a specific local law or regulation provided to ICANN

VS

Section 3.18.2

- Registrar must have dedicated abuse email and phone number in Whois output
- Reports of Illegal Activity must be reviewed within 24 hours by an individual who is empowered to take necessary and appropriate actions
- Reports can be from any applicable jurisdiction once reporter is designated by registrar's local government as an authority

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

Abuse Reports – ICANN Complaint Processing

- ⦿ Reasons for abuse complaint closure:
 - ⦿ Reasonable and prompt steps to investigate and respond appropriately to the report of abuse (section 3.18.1)
 - ⦿ Review law enforcement report within 24 hours (section 3.18.2)
 - ⦿ Abuse contact info or procedures published on website and in Whois
 - ⦿ Abuse records maintained
 - ⦿ Now monitoring abuse contacts
 - ⦿ Domain suspended/canceled

The background of the slide is a solid orange color. Overlaid on this is a stylized world map. The map is constructed from a network of small white dots (nodes) connected by thin white lines (edges). The nodes are more densely packed in some areas, particularly in North America and Europe, and more sparse in others, like Africa and South America. The overall effect is a digital, interconnected representation of the world's continents.

Lessons Learned Summary

RAA Lessons Learned Summary

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)

RA Lessons Learned Summary

1

Code of Conduct Annual Certifications

Clarifications on who submits and what to submit

2

Abuse Contact Data

Required elements to be published

3

Zone File Access Requirements (CZDS)

Reasons for denial of access

4

Controlled Interruption

Complying with Name Collision Assessment Letter(s)

5

Improper Allocation / Earmarking

Allocating domain names before Sunrise registrations



Policy Efforts and Updates

Policy and Working Group Efforts

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

- ⦿ 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 ARS pilot

Policy and Working Group Efforts

Actively contributing to the following Working Groups

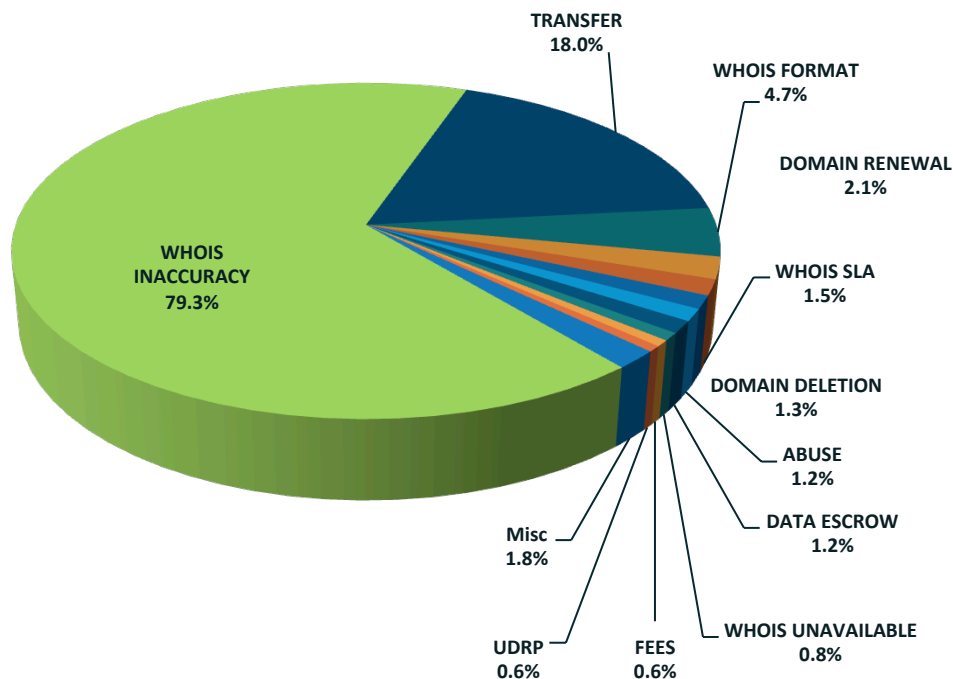
- ⦿ Public Interest Commitments Security Framework
- ⦿ Registration Data Directory Service (Advisory on Whois Clarifications)

The background of the slide is a teal color. Overlaid on this is a stylized world map. The map is formed by a network of white dots of varying sizes, connected by thin white lines. The dots are more densely packed in some areas, particularly in North America and Europe, and more sparse in others. The overall effect is a digital, interconnected representation of the world's geography.

Performance Reporting

Registrar Complaint Type Volume: (Oct – Dec 2014)

Complaint Distribution



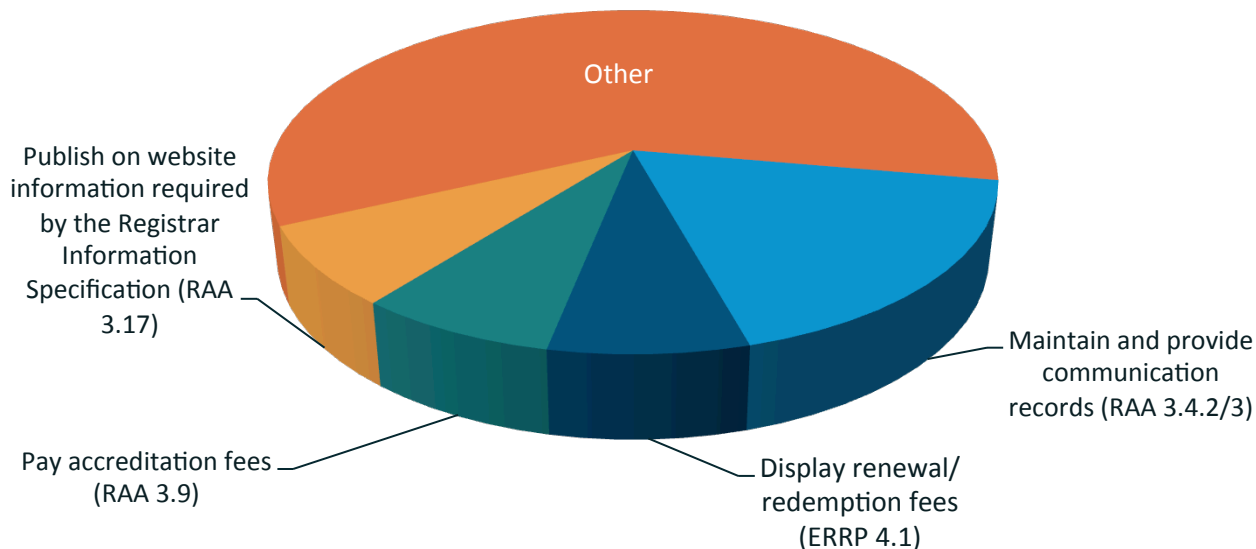
Registrar TAT	(in days)
Avg TAT 1st Notice	10.3
Avg TAT 2nd Notice	6.7
Avg TAT 3rd Notice	14.2

Formal Notices	#
Volume Breach	14
Volume Non-Renewal	0
Volume Suspension	1
Volume Termination	2

REGISTRAR Complaints	Quantity
ABUSE	106
CUSTOMER SERVICE	36
DATA ESCROW	106
DNSSEC, IDN, IPV6	16
DOMAIN DELETION	116
DOMAIN RENEWAL	192
FAILURE TO NOTIFY	3
FEES	54
PRIVACY/PROXY	8
REGISTRAR CONTACT	23
REGISTRAR INFO SPEC	18
REGISTRAR OTHER	7
RESELLER AGREEMENT	24
TRANSFER	1647
UDRP	51
WHOIS FORMAT	429
WHOIS INACCURACY	6083
WHOIS QUALITY REVIEW	28
WHOIS SLA	138
Total Complaints Processed	9,157
Total Complaints Closed	7,832

Registrar Formal Notice Activity: (Oct – Dec 2014)

Notice Reasons

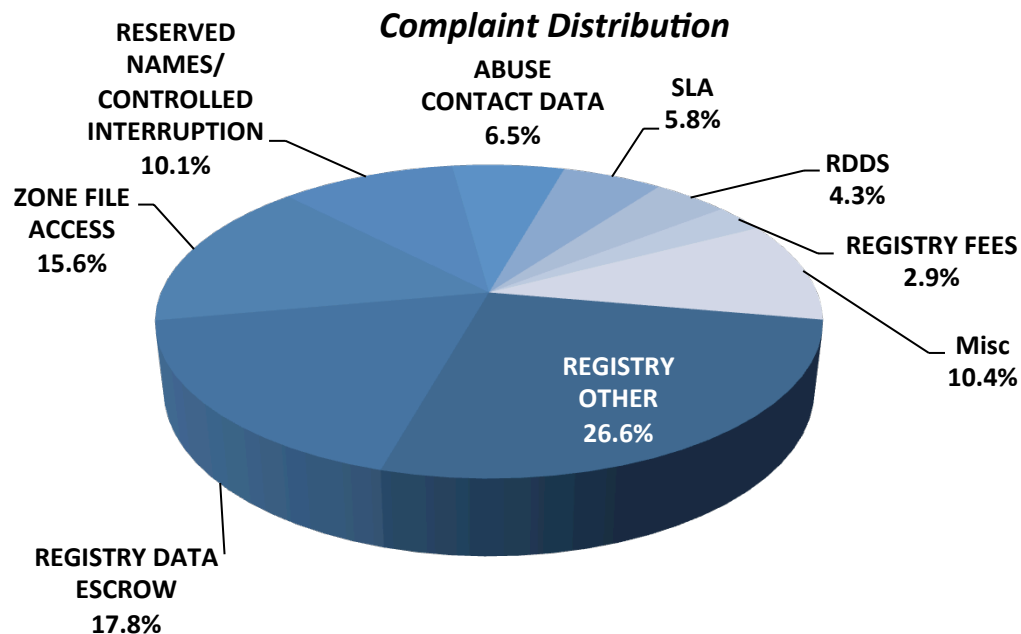


Notices	Qty
Breach	14
Non-Renewal	0
Suspension	1
Termination	2

Breach Notice Reason*	Qty*
Failure Notice Reasons	114
• Cured	45
• Not Cured	69

Formal Notice Reasons	Percent
Maintain and provide communication records (RAA 3.4.2/3)	18
Display renewal/redemption fees (ERRP 4.1)	7
Pay accreditation fees (RAA 3.9)	7
Publish on website information required by the Registrar Information Specification (RAA 3.17)	7
Other	60

Registry Complaint Type Volume: (Oct – Dec 2014)



Registry TAT	(in days)
Avg TAT 1st Notice	6.4
Avg TAT 2nd Notice	7.1
Avg TAT 3rd Notice	11.0

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

REGISTRY Complaints	Qty
ABUSE CONTACT DATA	45
BANKRUPTCY	2
BULK ZFA	7
CLAIMS SERVICES	4
CODE OF CONDUCT	2
COI	1
MISCONDUCT	1
MONTHLY REPORT	9
PIC	17
PIC-DRP	7
RDDES	30
REGISTRY DATA ESCROW	123
REGISTRY FEES	20
REGISTRY OTHER	184
RESERVED NAMES/CONTROLLED INTERRUPTION	70
RR-DRP	18
SLA	40
SUNRISE	1
URS	3
ZONE FILE ACCESS	108
Total Complaints Processed	689
Total Complaints Closed	914

Questions & Answers



Send compliance questions

To: compliance@icann.org

Subject line: ICANN 52 Compliance Update Session