APAC Webinar: Introduction to Contractual Compliance
14 August 2014
Questions & Answers

Q1: What is the need to verify customer contact details manually, on failure of automatic verification, if there is no action to be taken upon failed verification?

A1: Section 2 of the Whois Accuracy Program Specification (WAPS) in the 2013 RAA requires the registrar to receive affirmative responses from the Registered Name Holder and if applicable, the Account Holder. If for the registrant, the registrar must have the registrant verify, and if no response, either suspend or manually verify. For the account holder, the registrar must have the account holder verify, and if no response, the registrar must manually verify. There is no suspension requirement for the account holder, but the registrar is still required to manually verify.

Q2: When can we expect site visit audits from ICANN?

A2: If ICANN needs to conduct site visit audits, as set forth in Section 3.15 of the 2013 RAA, ICANN will provide no less than ten (10) days notice (unless otherwise agreed to by the registrar).

Q3: Can we use Docusign to get transfer approvals from RNH (Registered Name Holder)?

A3: Registrars may use DocuSign to obtain transfer approvals from RNHs, providing that the use of DocuSign complies with Section 2.1.3 of the Inter-Registrar Transfer Policy (IRTP).

Q4: Can registrars send more renewal notices reminders than the listed earlier? Like 60 days 45 days 30 days 15 days 7days 5 days and on expire date?

A4: Per Section 2.1 of the Expired Registration Recovery Policy (ERRP), registrars are required to send three renewal reminders; at one month prior to expiry, one week prior to expiry and within five days after expiry. Nothing in this policy is intended to preclude registrars from sending additional notices, as long as the required reminders are sent at the required times.

Q5: Can we only include Registrant information in the Whois verification email? Should all the contacts (Admin, tech, registrant) be included? How should we process manual verification if

the registrant failed to verify? - I am asking if only the registrant information be included in the verification email.

A5: Per section 1.f of the Whois Accuracy Program Specification of the 2013 RAA, the Registrar shall verify:

      i.   the email address of the Registered Name Holder (and, if different, the Account Holder) by sending an email requiring an affirmative response through a tool-based authentication method such as providing a unique code that must be returned in a manner designated by the Registrar, or

      ii.   the telephone number of the Registered Name Holder (and, if different, the Account Holder) by either (A) calling or sending an SMS to the Registered Name Holder's telephone number providing a unique code that must be returned in a manner designated by the Registrar, or (B) calling the Registered Name Holder's telephone number and requiring the Registered Name Holder to provide a unique code that was sent to the Registered Name Holder via web, email or postal mail.

In either case, if the registrar does not receive an affirmative response from the Registered Name Holder, the registrar shall either verify the applicable contact information manually or suspend the registration, until such time as the registrar has verified the applicable contact information. If the registrar does not receive an affirmative response from the Account Holder, the registrar shall verify the applicable contact information manually, but is not required to suspend any registration.

Q6: According to Specification 4, Section 3 of the registry agreement (RA) requires registry operator to provide ICANN access to thin registration data on a weekly basis. How to provide? Do we need to contact ICANN in advance, or give ICANN a secure link or password or something?

A6: All inquiries related to registry services should be sent to customerservice@icann.org, which will be forwarded to the relevant department and a response will be provided.

Upon signing the registry agreement, the new registry operator starts the onboarding process with ICANN, which entails the exchange of technical and administrative information about critical functions required in the RA, including, but not limited to, how ICANN will access thin data on a weekly basis.

For example, the registry operator will need to provide the following information:

- PGP public key used to sign the BRDA file.

- URI for the SFTP service where ICANN can download de data.

- Day of the week (Monday, Tuesday, Wednesday or Thursday) that ICANN should retrieve the BRDA file from the SFTP BRDA specified above.

Q7: Do we need to save all the sent expired notification emails or we just need to save the sent records?

A7: Section 3.4.2.2 of the 2013 RAA requires registrars to retain all written communications constituting registration applications, confirmations, modifications, or terminations and related correspondence with Registered Name Holders. This includes all notices sent under the Expired Registration Recovery Policy (ERRP). Section 3.4.4 does not require registrars to retain these records for more than two years after the domain registration's deletion or transfer away to a different registrar.

Q8: Do we need to save all EPP records with the registry operators?

A8: Two provisions of the 2013 RAA require registrars to retain the records.   Section 1.1.6 of the Data Retention Specification, requires the registrar to maintain EPP statuses for two years (as the status is one of the required elements in Section 1.5 of the Registration Data Directory Service (Whois) Specification of the 2013 RAA). Also, for thick registries, Section 3.4.2.1 requires all registrars to maintain for two years anything sent to the registries.

Q9: One additional question regarding ERRP, does 60 days meet 1 month prior to expiration?

A9: Registrars are required to send three renewal reminders; at one month prior to expiry, one week prior to expiry and within five days after expiry. Registrars can send as many reminders as they wish as long as the three required reminders are sent. The Notes accompanying the ERRP allows for some limited flexibility in these dates. For example, if the notices required to be sent approximately one month and one week prior to expiration (as described in Section 2.1.1) are transmitted between 26-35 days and between four to ten days prior to expiration, respectively, this would be considered compliant with the policy.

Q10: If a registry hasn't applied the A& SRV record on the name collision listed domain name in time, will ICANN warn the registry break the compliance or send ICANN DNS-Monitor warning letter?

A10: The registries choose when to enter the controlled interruption phase. During the

controlled interruption period, ICANN will monitor whether the registry is meeting the requirements under its Name Collision Occurrence Assessment. Non-compliance with these requirements may trigger a notice from ICANN requesting the cause of the non-compliance, as well as the corrective and preventative actions taken. Please visit http://newgtlds.icann.org/sites/default/files/agreements/name-collision-assessment-04aug14-en.htm for details on the Base Name Collision Occurrence Assessment.

Q11: In a scenario where there are bulk transfers, lets say 500, from one RNH, can we send one FOA for all these domain names? Can we get the bulk approval via email or fax or docusign?

A11: Section 5 of the IRTP states that AuthInfo codes are unique and on a per-domain basis. However, for the FOA, if the transfer contacts for each domain name are the same, a registrar may use the same FOA to obtain the authorization. The registrar will have to list all of the domain names in the FOA. The Standardized FOAs for both gaining and losing registrars state:

Attention: <insert Registered Name Holder or Administrative Contact of Record as listed in the WHOIS>
Re: Transfer of <insert one or more domain names>

Registrars may use other authorization processes that comply with either Sections 2.1.2.1 or 2.1.3 of the IRTP.