November 2018 Registry Audit Round Webinar

ICANN Contractual Compliance

November 2018

Contractual Compliance Audit Program Update

- February 2017: [Six Weeks in Contractual Compliance and Consumer Safeguards](#) blog marked launch of active role in combatting DNS infrastructure abuse and increased transparency for compliance in light of ICANN Community concerns

- Enhance transparency and granularity of reporting in the monthly, quarterly and annual metrics

- Audit plans updated with expanded questions and testing to address DNS abuse
  - Requests focus on process, procedures and handling of DNS abuse
  - Testing focuses on review of security threat reports

- At launch of audit round, [publish list of auditees](#)

- March 2018 ICANN Compliance launched full registry audit using updated plan
  - 20 new gTLDs were in scope of this audit round
  - Audit round completed 1 October 2018
  - Audit Report has been published

November 2018 Audit Program Round

Audit Objective

- To assess Registry Operators' handling of Domain Name System (DNS) abuse and security threats

Audit Criteria:

- All generic top-level domains (gTLDs)
  - excluding gTLDs which completed the March 2018 Registry Audit round
  - excluding gTLDs subject to the Emergency Back-End Registry Operator (EBERO) Program

Audit Scope:

- gTLDs with Public Interest Commitments in Registry Agreement under Specification 11
- Registration policies that may impact the potential for abusive registrations
- Understand Registry Operators' DNS abuse handling procedures in absence of required commitments or policies

Note: All questions and requests for data in Request For Information (RFI) require response from Registry Operators.

March 2018 Audit Round Observations

Good practices
- Security threats analysis conducted frequently and retention of reports
- Reports included abusive domains identified in publicly available abuse reports
- Evidence of actions taken on abusive domains
    - Inform registrars
    - Domain suspension and deletion
    - Communications provided

Observations noted:
- Incomplete analysis and reports
- No standardized / documented abuse handling procedures
- No action taken on some identified threats

November 2018 Audit Round – Audit phases

Audit phases:
- Pre-audit notification (sent 10 October 2018)
- Outreach webinars (conducted 5-6 November 2018)
- Request for Information (6 November 2018)
- ICANN Review / Audit phase (27 November 2018)
- ICANN Initial Reporting to Registry Operators (December 2018 – February 2019)
- Remediation phase (if required, February – April 2019)
- Final reporting, including published consolidated audit report (May 2019)

Note: During Request for Information and Remediation phases, ICANN follows 1-2-3 notification process (15-5-5 business days). For more information on notification process see:
https://www.icann.org/resources/pages/approach-processes-2012-02-25-en

Audit Survey Tools

Previous Approach

- Excel file-based Request For Information format

- No clear method for contracted party to indicate completion

New Approach

- Web-based Request For Information including file upload capabilities

- Each gTLD will be given a customized link

- Allows auditees to exit and return to continue (content is automatically saved)

- Contracted party can indicate completion

Engage with ICANN

Thank You and Questions
Send Questions to: Complianceaudit@icann.org
<u>Subject line</u>: November 2018 audit round webinar

Webinar recordings and audit program information will be available at:

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

- The ICANN Contractual Compliance Audit Program at this link
https://www.icann.org/resources/pages/audits-2012-02-25-en