

A photograph of the Charminar in Hyderabad, India, at night. The monument is illuminated with warm yellow lights, highlighting its intricate architectural details, including its four tall minarets and multiple levels of arches. The sky is a deep, dark blue. In the foreground, there are blurred lights from a street, suggesting a busy urban environment. The overall mood is serene and majestic.

ICANN|57 HYDERABAD



Contractual Compliance Update

Contractual Compliance | ICANN 57 | 5 November 2016

Agenda

- ⦿ Brief Update Since ICANN 55
 - ⦿ Registrar Compliance Update
 - ⦿ Registry Compliance Update
 - ⦿ Contractual Compliance Audit Activities Update
 - ⦿ Performance Measurement & Reporting
- ⦿ Questions & Answers

The background of the slide is a solid orange 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 continents.

Registrar Compliance Update

RAA Lessons Learned Summary

1

Registrar Data Escrow Obligations

Terms, Format and Schedule

2

Domain Renewal Reminders

Sending timely reminders to registered name holder

3

Inter-Registrar Transfer Requirements

Transfer of registrations between Registrars

4

Uniform Dispute Resolution Policy Requirements

Lock and Verification requirements UDRP Rule 4(b)

Continuous Improvement Summary

- ⦿ On site outreach sessions in Seoul, Korea and China with contracted parties
<https://www.icann.org/resources/compliance/outreach>
- ⦿ 3rd Notice Project - To improve registrar compliance and resolution rate.
- ⦿ Remediation Validation Project - To test and validate past remediation.
- ⦿ Korean and Chinese registrars WHOIS Review Project – To test compliance with the 2013 RAA requirement to verify and validate WHOIS information.

Contractual Compliance Social Media Campaign (4-9 October 2016)

Campaigns promoted new infographics on Transfer Complaints and WHOIS Inaccuracy Complaints



Twitter Campaign targeted eight languages including Arabic, Chinese, English, French, Japanese, Korean, Russian and Spanish

- ◉ Received a total of 81,677 link clicks
- ◉ 99% of those link clicks were through the Paid Campaign



Facebook Campaign targeted eight languages including Arabic, Chinese, English, French, Japanese, Korean, Russian and Spanish

- ◉ Received a total of 1,777 link clicks
- ◉ 67% of those link clicks were through the Paid Campaign



Total Number of Social Media Link
Clicks = **83,454 Clicks**

Registrar Complaint Types in Detail

Registrar Complaints	Quantity		Closed before 1st inquiry / notice		ICANN Issue	
	ICANN 55	ICANN 57	ICANN 55	ICANN 57	ICANN 55	ICANN 57
WHOIS INACCURACY	10,399	19,686	3,974	9,232	3	2
QUALITY REVIEW	1	5	0	0	0	0
Bulk Submission	3,223	2,744	455	225	0	0
individual submission	7,175	13,932	3,519	7,542	3	1
WHOIS ARS	0	3,005	0	1,465	0	1
TRANSFER	2,345	3,825	1,567	2,813	0	0
WHOIS FORMAT	352	735	214	537	3	0
DOMAIN RENEWAL	260	603	149	390	0	0
DOMAIN DELETION	172	370	162	380	0	0
ABUSE	158	377	121	280	0	0
WHOIS UNAVAILABLE	130	399	66	258	1	1
DATA ESCROW	97	310	0	41	0	9
WHOIS SLA	79	126	70	103	0	0
CUSTOMER SERVICE	59	173	41	142	0	0
REGISTRAR INFO SPEC	57	91	25	78	0	0
UDRP	55	153	22	68	0	0
REGISTRAR CONTACT	53	78	27	62	0	0
DNSSEC, IDN, IPV6	11	17	8	13	0	0
REGISTRAR OTHER	10	36	5	19	0	0
FAILURE TO NOTIFY	8	28	7	25	0	0
PRIVACY/PROXY	6	44	4	32	0	0
RESELLER AGREEMENT	1	1	0	0	0	0
FEES	0	1	0	0	0	0
CEO CERTIFICATION	0	230	0	0	0	0
Total	14,252	27,283	6,462	14,473	7	12

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

Registry Compliance Update

RA Lessons Learned

1

Zone File Access Requirements (CZDS)

Complying with reasons for denial of access

2

Assignments: Change of Control & MSA

Complying with requirements for notification to and approval by ICANN

3

Service Level Agreement (SLA) Monitoring

Complying with DNS/DNSSEC and RDDS SLAs

4

Monthly Reporting

Complying with monthly reporting obligations

Registry Complaint Types in Detail

Registry Complaints	Quantity		Closed before 1st inquiry / notice		ICANN Issue	
	ICANN 55	ICANN 57	ICANN 55	ICANN 57	ICANN 55	ICANN 57
ZONE FILE ACCESS	293	732	74	176	0	2
REGISTRY DATA ESCROW	262	81	145	0	0	0
MONTHLY REPORT	105	140	2	1	0	1
SLA	93	40	22	23	0	1
REGISTRY OTHER	24	86	11	66	0	2
ABUSE CONTACT DATA	22	40	23	40	0	0
BULK ZFA	19	2	0	0	0	0
RESERVED NAMES/CONTROLLED INTERRUPTION	14	40	9	21	0	1
BRDA	10	13	0	0	0	0
PIC	6	9	5	6	0	0
RR-DRP	5	27	5	27	0	0
CODE OF CONDUCT	3	315	4	9	0	2
URS	3	7	2	6	0	0
CLAIMS SERVICES	3	1	3	1	0	0
SUNRISE	2	0	0	0	0	0
REGISTRY FEES	0	14	0	0	0	0
MISCONDUCT	0	0	0	0	0	0
BANKRUPTCY	0	0	0	0	0	0
WILDCARD PROHIBITION	0	1	0	0	0	0
SLA ALERTS	0	31	0	1	0	0
Total	864	1,579	305	377	0	9

Contractual Compliance Audit Activities Update

Link to the ICANN Contractual Compliance Audit Page:

<https://www.icann.org/resources/pages/audits-2012-02-25-en>

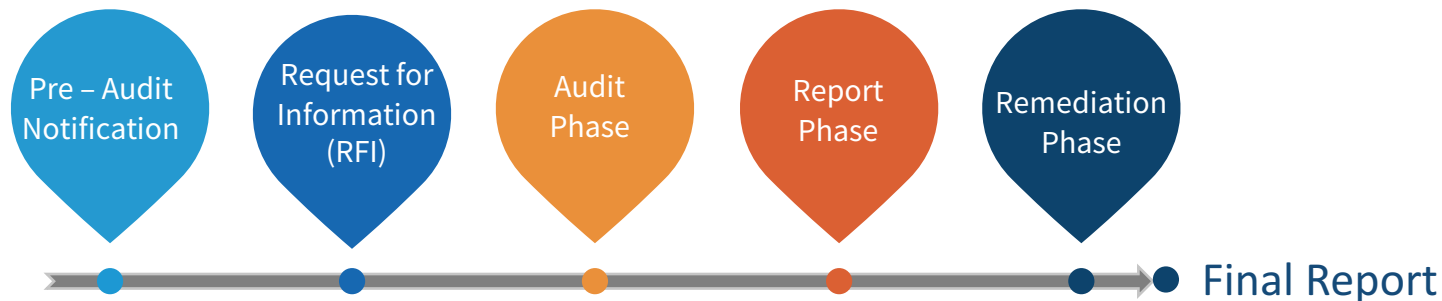
ICANN Audit History

Audit Start Year	Compliance Program	Audit Start Date	Audit End Date	Original Audit Population	# of Countries Represented	Auditees Excluded*	Auditees Terminated During Audit Phase	Final Audit Population
2012	Registrar Audit	11/13/2012	5/8/2013	317	36	131	0	186
	Legacy TLD Audit			6	4	1	0	5
2013	Registrar Audit	10/1/2013	4/30/2014	322	39	170	2	152
	Legacy TLD Audit			6	2	0	0	6
2014	Registrar Audit	10/6/2014	5/30/2015	316	38	188	5	128
	Legacy TLD Audit			5	4	0	0	5
	New RA Audit	6/30/2014	10/31/2014	14	4	0	0	14
2015	Registrar Audit	8/31/2015	5/25/2016	67	23	2	0	65
	New RA Audit	3/9/2015	7/29/2015	11	8	0	0	11
2016	Registrar Audit	5/17/2016	10/14/2016	123	7	108	1	15
	New RA Audit	1/13/2016	6/27/2016	10	9	0	0	10

* “Auditees excluded” include the following scenarios:

- Selected Registrars that operate as a family were allowed to report under one Registrar
- Selected Auditees are postponed for special circumstances
- Selected Auditees are terminated prior to Audit Phase

Contractual Compliance Audit Phases



- **Pre-Audit Notification** is sent to all contracted parties informing them about upcoming audit, audit start date and scope of audit.
- **Request for Information** Notification is sent to auditees and includes list of required documents. Negative confirmations sent to all contracted parties not under audit.
- **Audit Phase:** Documentation and data are collected and reviewed by ICANN audit team.
- **Report Phase:** Audit reports are issued by ICANN audit team and sent to each auditee.
- **Remediation Phase:** Auditees that received reports with initial finding(s) work and collaborate with ICANN audit team to address finding(s).
- **Final Report:** Final audit reports are issued upon completion of audit and successful remediation of any noted deficiencies.

General Criteria for Audit Selection

- ⦿ Contracted parties who have not been previously audited
- ⦿ Contracted parties with highest numbers of 3rd Notices per number of domains under management calculated over past 12 months
- ⦿ Contracted parties who had received Notice of Breach in last 12 months
- ⦿ Contracted parties with highest number of failed data escrow deposits
- ⦿ Contracted parties with low responsiveness to ICANN's requests
- ⦿ ICANN community concerns – from media, blogs or other contracted parties

Registrar Contractual Compliance Audit October 2016

Audit Program Milestones								
Pre-Audit Notification	Request for Information (RFI) Phase			Audit Phase		Initial Report	Remediation Phase	
Date sent	1 st Notice	2 nd Notice	3 rd Notice	Begin	End*	Date Issued*	Start - End*	
26 Sep 2016	4 Oct 2016	25 Oct 2016	1 Nov 2016	8 Nov 2016	20 Dec 2016	21 Dec 2016	21 Dec 2016 - 25 Jan 2017	
For Registrars located in China, ICANN granted an extra week due to National Holidays during the week when RFI was sent								
26 Sep 2016	4 Oct 2016	1 Nov 2016	8 Nov 2016	15 Nov 2016	20 Dec 2016	21 Dec 2016	21 Dec 2016	25 Jan 2017

* Audit and Remediation Phases may be completed, and reports sent out, prior to dates shown.

During Request for Information and Audit Phases, ICANN will follow 1-2-3 notification process (15 business days, 5 business days, 5 business days).

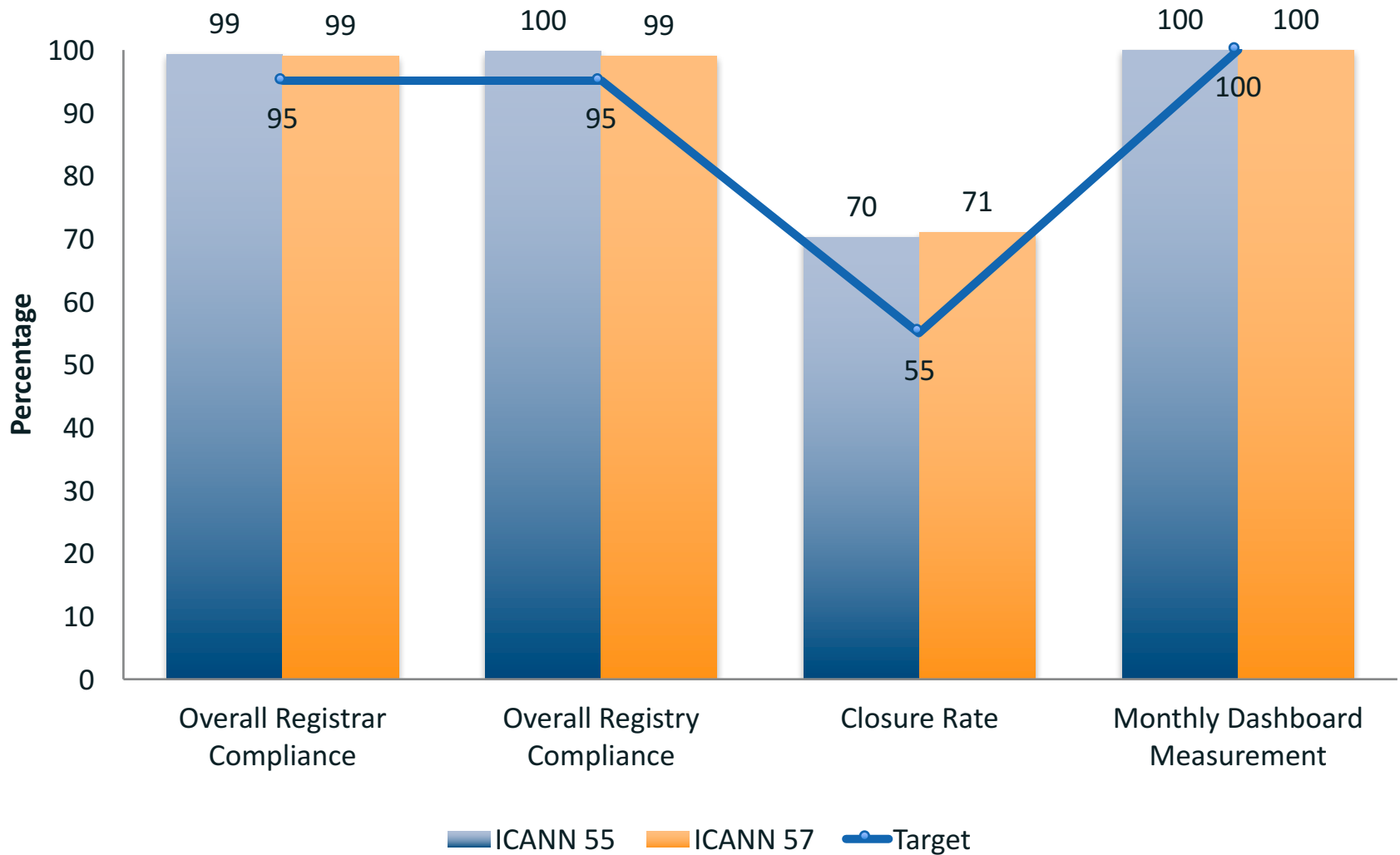
For more information on notification process please see:

<http://www.icann.org/en/resources/compliance/approach-processes/overall-19jun13-en.pdf>

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Performance Measurement & Reporting

Contractual Compliance KPI



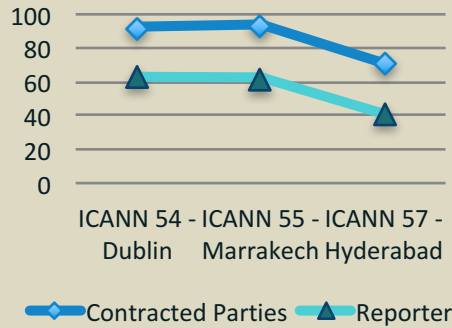
For more information, please visit: <https://www.icann.org/progress>

Running Balance Scorecard

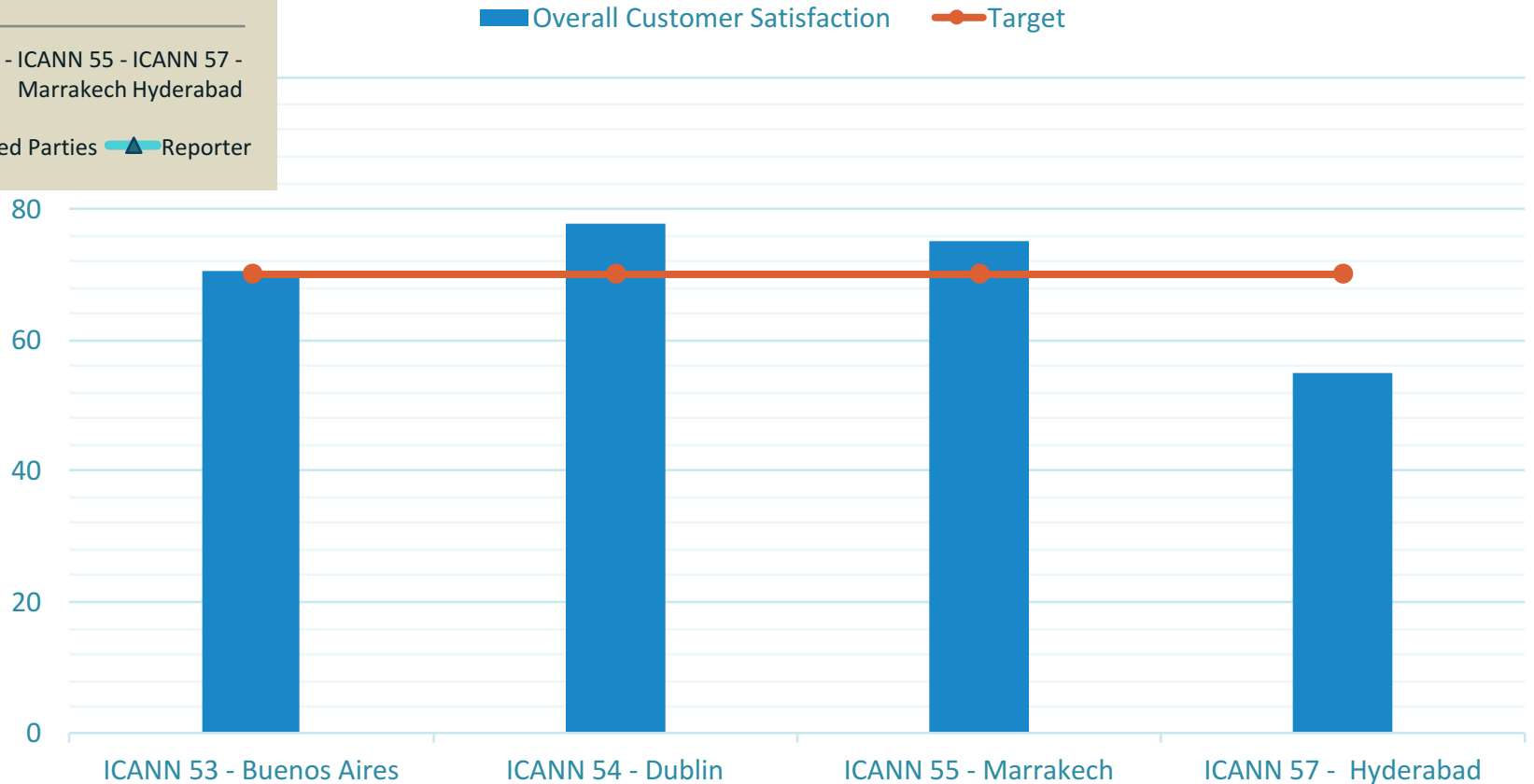
	ICANN 55 [Oct15 - Jan16]	ICANN 57 [Feb16 - Sep16]
	New Complaints	New Complaints
REGISTRAR	14,252	27,283
REGISTRY	864	1,579
Total New Complaints	15,116	28,862
Total Prior Month(s) Carryover	6,562	11,146
Total Complaints	21,678	40,008
	Complaints Closed	Complaints Closed
Volume Closed Before 1st Notice	6,767	14,850
Volume Closed Before 2nd Notice	7,712	11,702
Volume Closed Before 3rd Notice	693	1,456
Volume Closed Before Enforcement	80	225
Volume Closed After Enforcement*	16	75
Total Closed	15,268	28,308
	Complaints Open (Carryover)	Complaints Open (Carryover)
Volume Open Before 1st Notice Sent	2,458	4447
Volume Open in 1st Notice Sent	3,754	6240
Volume Open in 2nd Notice Sent	165	728
Volume Open in 3rd Notice Sent	23	247
Volume Open After Enforcement	10	38
Total Remaining Open (sum of each month)	6,410	11,700
Carryover at end of period	1,557	2,165
	Formal Notices	Formal Notices
Volume Breach	4	16
Volume Contract Non-Renewal	0	0
Volume Suspension	0	2
Volume Termination	1	2

*A single breach may contain multiple complaints

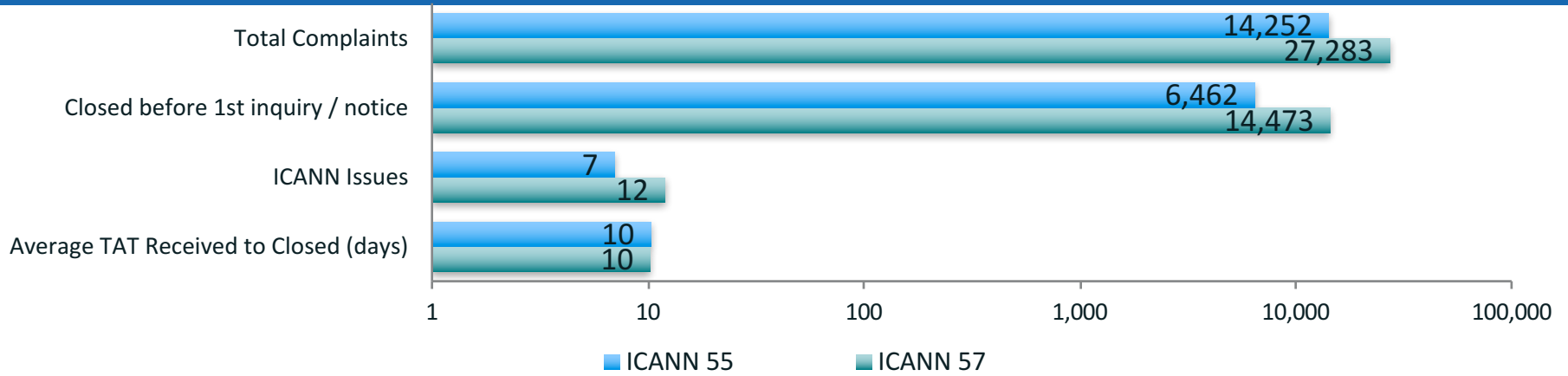
Customer Satisfaction Survey



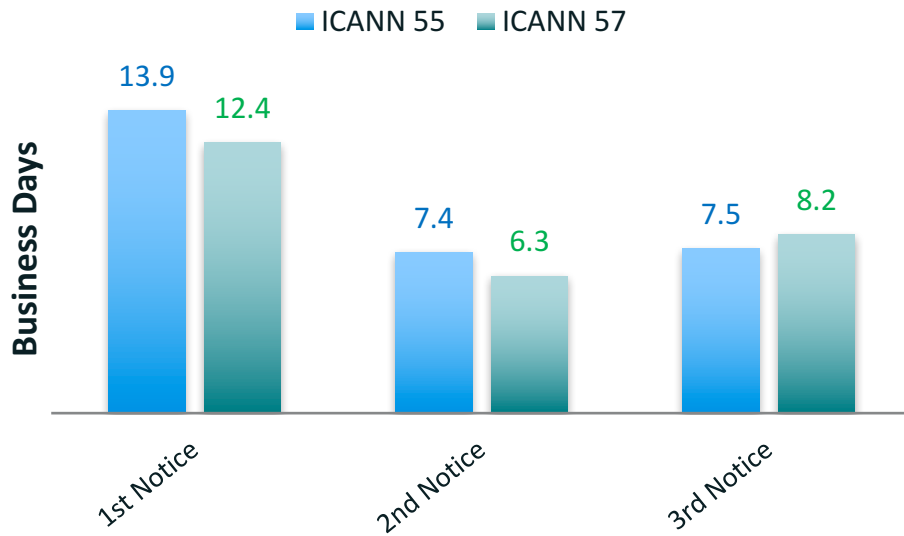
What is Your Overall Satisfaction with Our Services?



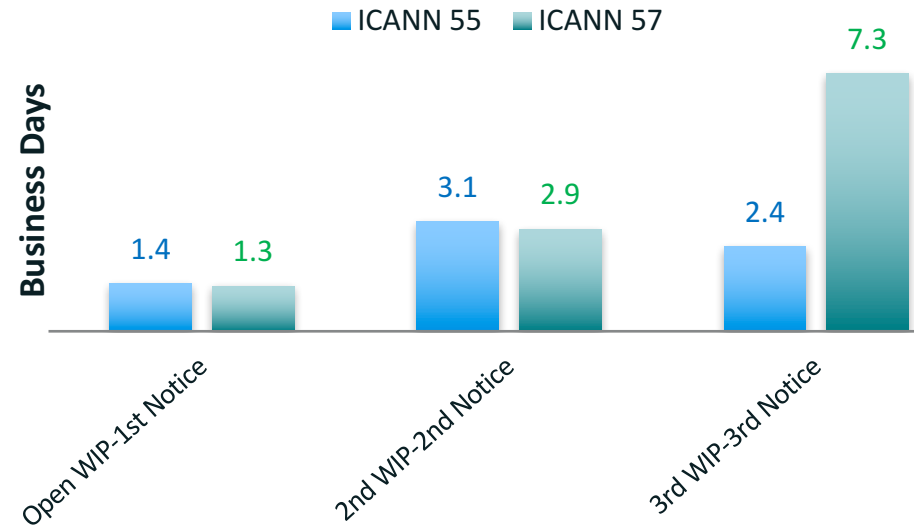
Registrar Complaint Volume & Turnaround Time



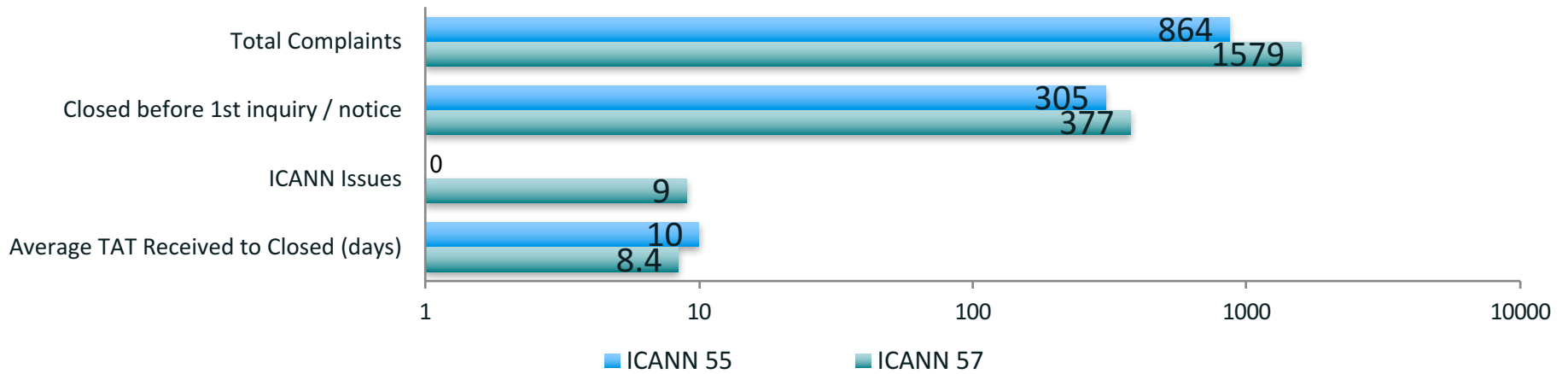
Registrar Average Turn Around Time (TAT)



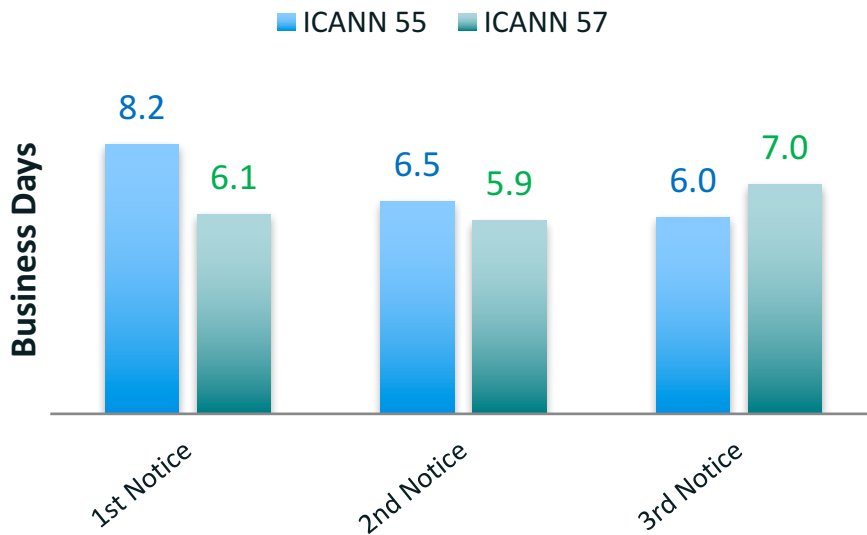
Staff Average Turn Around Time (TAT)



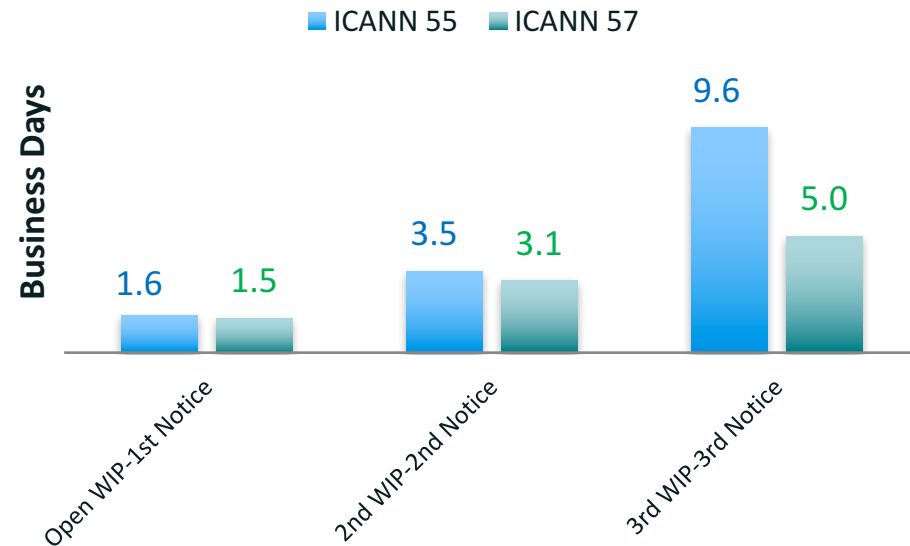
Registry Complaint Volume & Turnaround Time



Registry Average Turn Around Time (TAT)



Staff Average Turn Around Time (TAT)



Questions & Answers



Send compliance questions

To: compliance@icann.org

Subject line: ICANN 57 Contractual Compliance Update Session

The ICANN 57 presentations are available at:

- The ICANN Contractual Compliance Outreach page at this link

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

- The ICANN 57 Schedule page at this link <https://icann572016.sched.org/>

Appendix

- WHOIS Accuracy Reporting System
- Registrar-Related Policy, Working Group and Implementation Review Update
- Registry-Related Policy, Working Group and Implementation Review Update
- Additional Metrics Data Points

WHOIS ARS Compliance Update Since ICANN 55

- ◉ WARS main page: <https://whois.icann.org/en/whoisars>
- ◉ WHOIS inaccuracy complaints - tested operational accuracy of addresses, telephone numbers, and email addresses of registrant, admin and tech contacts in WHOIS data
 - ◉ Phase 2, Cycle 1
 - ◉ 2,689 WHOIS inaccuracy tickets
 - ◉ 1,378 forwarded to registrars
 - ◉ 2 tickets still in remediation
 - ◉ Phase 2, Cycle 2
 - ◉ 4,005 WHOIS inaccuracy tickets
 - ◉ 964 forwarded to registrars
 - ◉ 2,202 remain to be processed
- ◉ WHOIS format complaints - Syntax failure
 - ◉ Combined results from Phase 2, Cycles 1 and 2
 - ◉ 1,127 domains across 15 registrars
 - ◉ Fourteen of fifteen registrars have completed remediation

WHOIS ARS Compliance Update (continued)

- ⦿ Sample of the top closure reasons and volume for Phase 2 Cycle 1:
 - ⦿ Domain suspended or canceled (989)
 - ⦿ WHOIS data at ticket creation different from sampled WHOIS data (569)
 - ⦿ Domain not registered when ticket processed (413)
 - ⦿ WHOIS data changed or updated (393)
 - ⦿ Registrar verified sampled WHOIS data is correct (158)
- ⦿ Sample of top closure reasons and volume for Phase 2 Cycle 2 (some complaints closed with multiple reasons):
 - ⦿ WHOIS data at ticket creation different from sampled WHOIS data (859)
 - ⦿ Domain suspended or canceled (289)
 - ⦿ Domain not registered when ticket processed (217)
 - ⦿ WHOIS format issue identified for 2013 Grandfathered Domain (144)
 - ⦿ WHOIS data changed or updated (90)

Policy and Working Group Efforts - Registrar

Actively contributing to registrar-related policies, Working Groups, and Implementation Review Teams

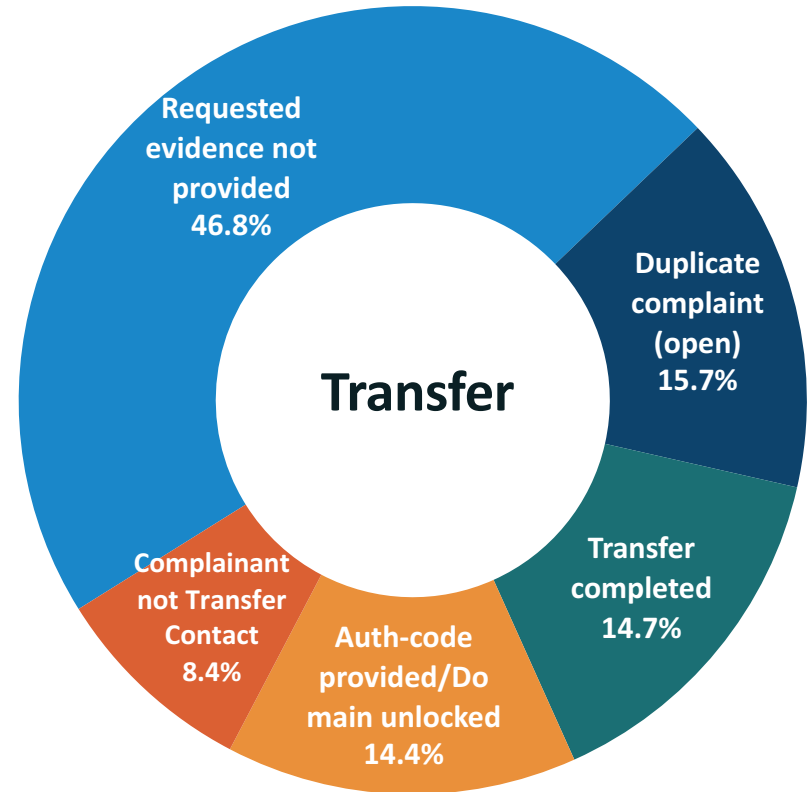
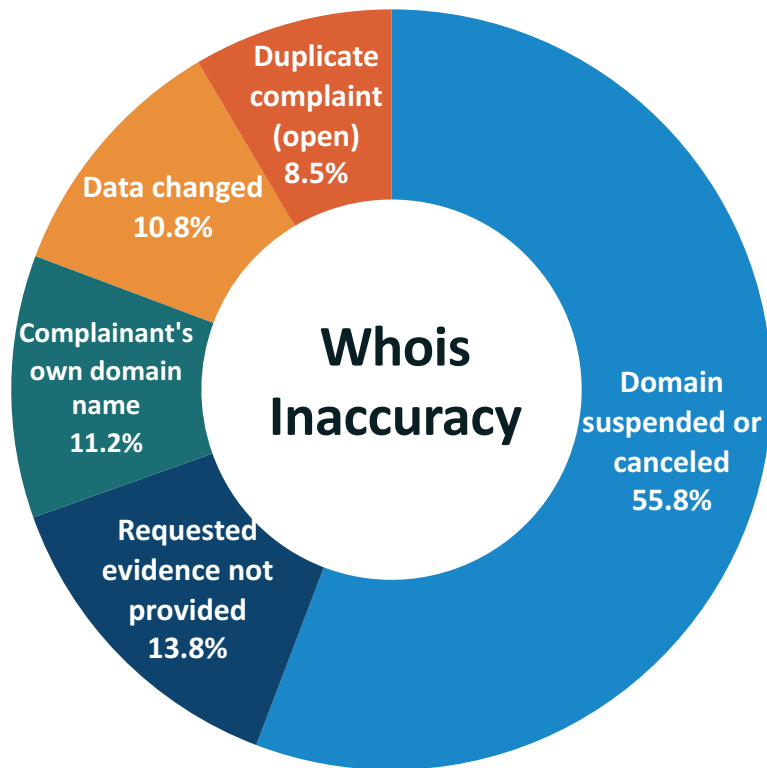
- ⦿ Translation and Transliteration of Contact Information
- ⦿ Privacy and Proxy Services Accreditation Issues
- ⦿ Thick WHOIS & Registration Data Access Protocol (RDAP)
- ⦿ Transfer Policy (effective 1 December 2016)
<https://www.icann.org/resources/pages/transfer-policy-2015-09-24-en>

Policy and Working Group Efforts - Registry

Actively contributing to registry-related policies and Working Groups

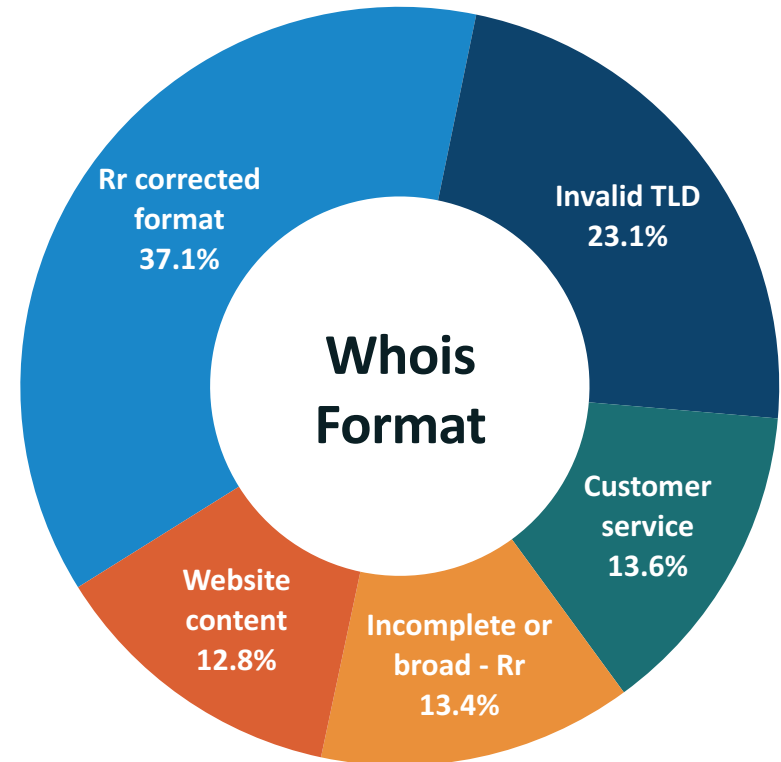
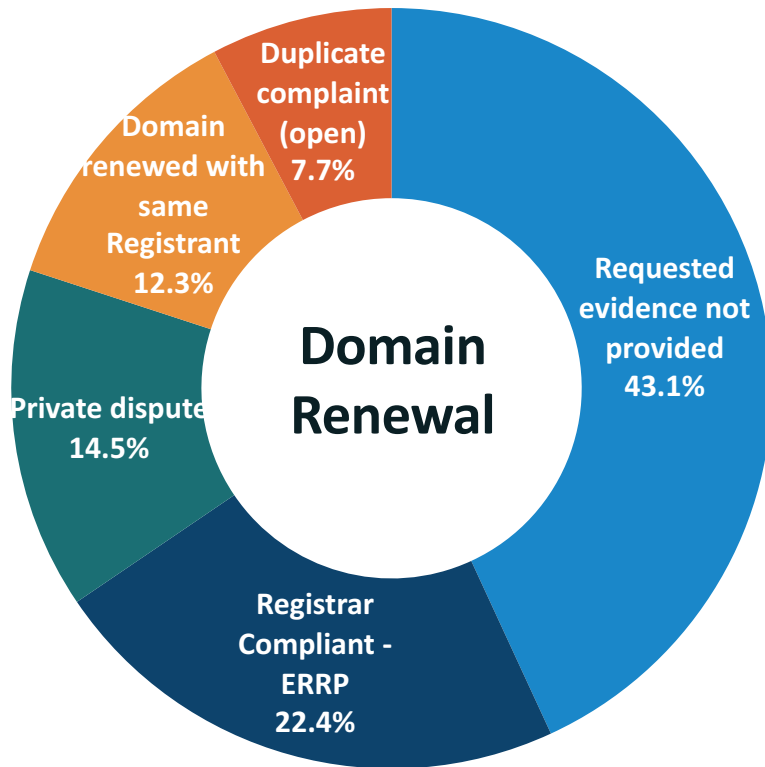
- ⦿ Competition, Trust and Choice Review
- ⦿ Rights Protection Mechanism Review
- ⦿ New gTLD Subsequent Procedures
- ⦿ Clarification of Public Interest Commitments Specification 11, Section 3b Advisory and Security Framework
- ⦿ IGO-INGO: Curative Rights Protections and Protection of Identifiers
- ⦿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

Registrar Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



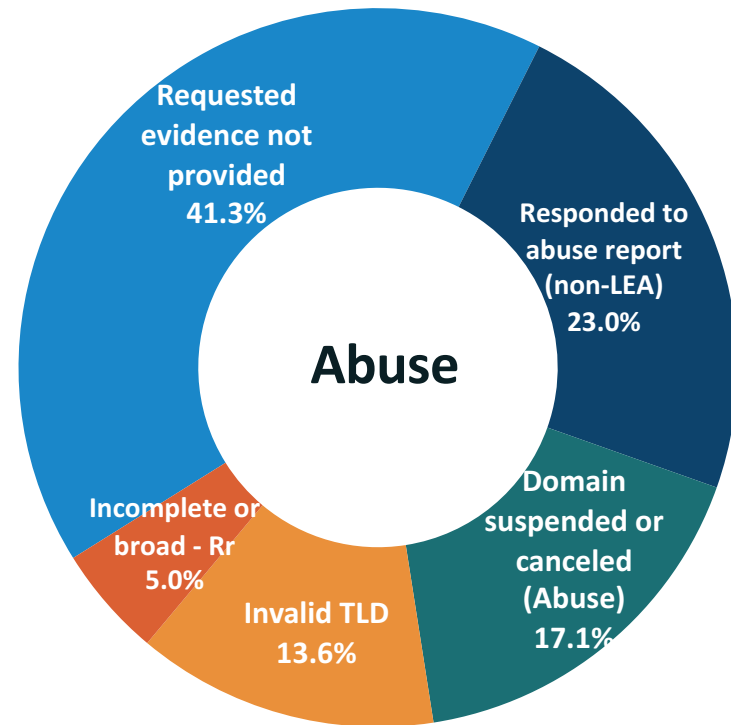
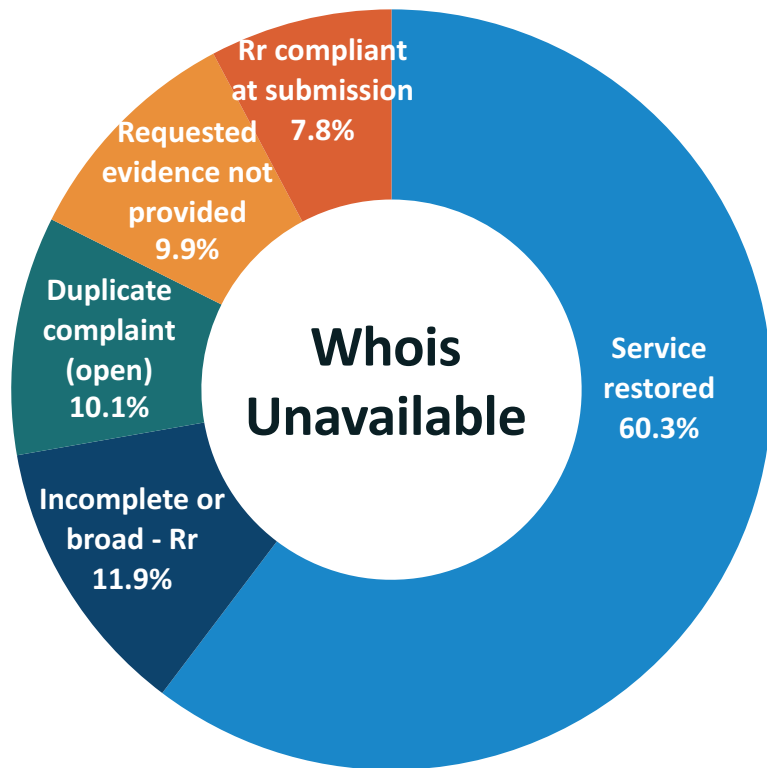
Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.

Registrar Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



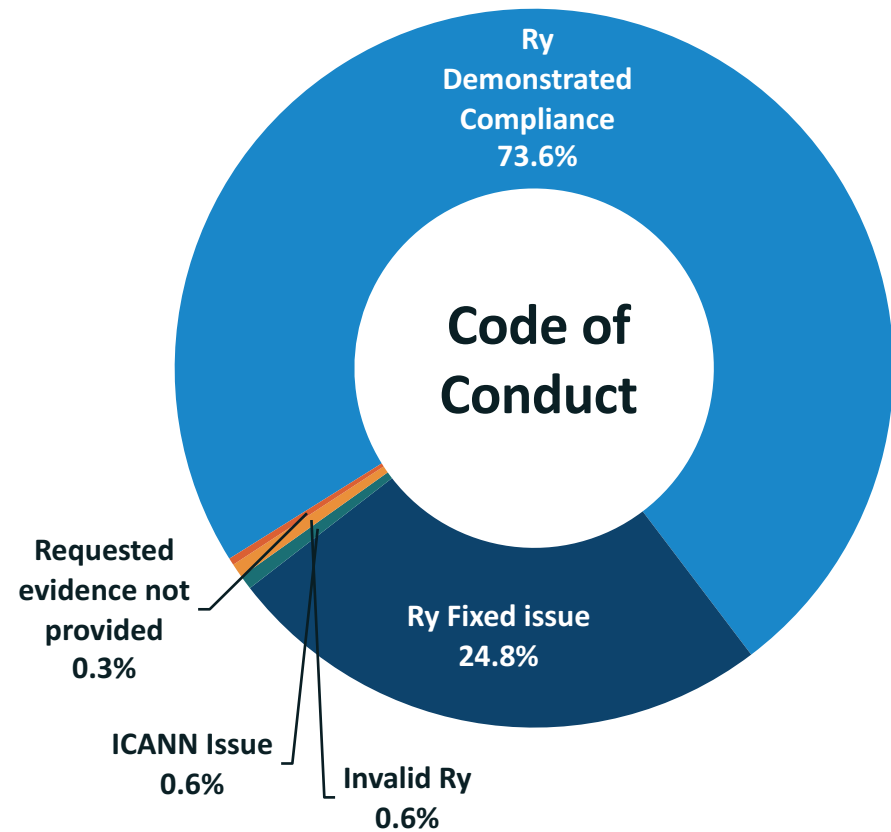
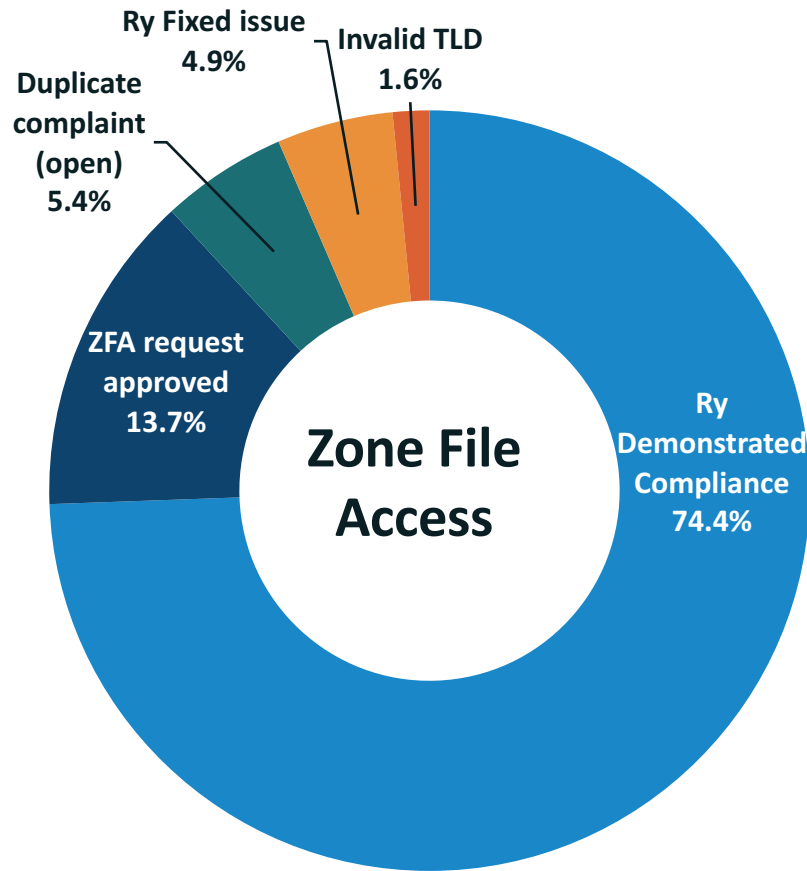
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Registrar Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



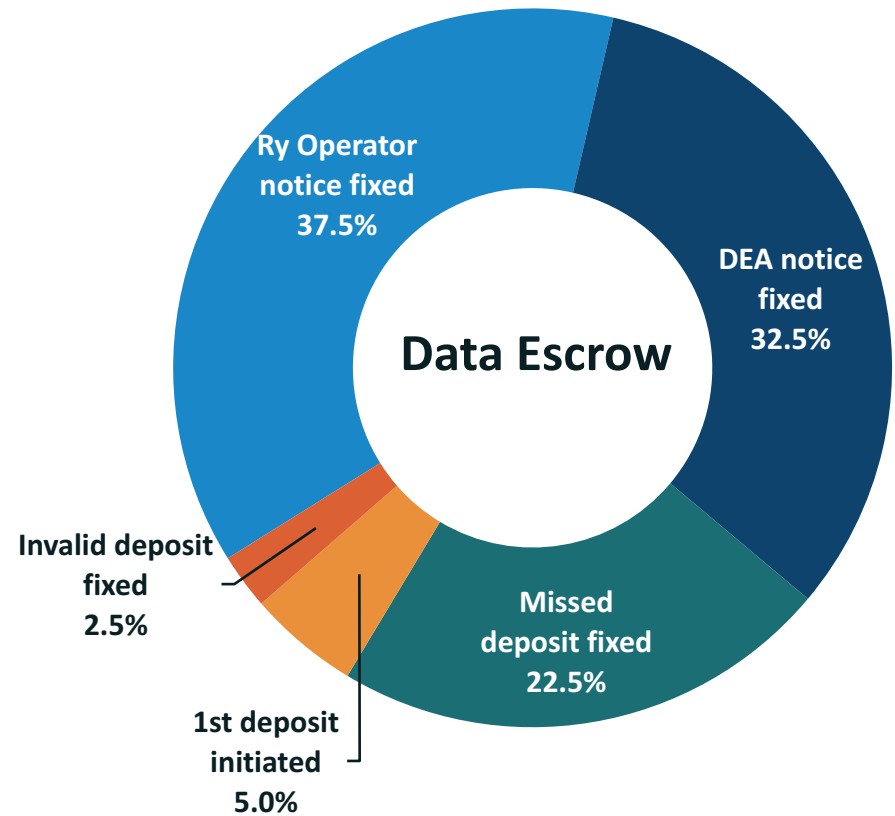
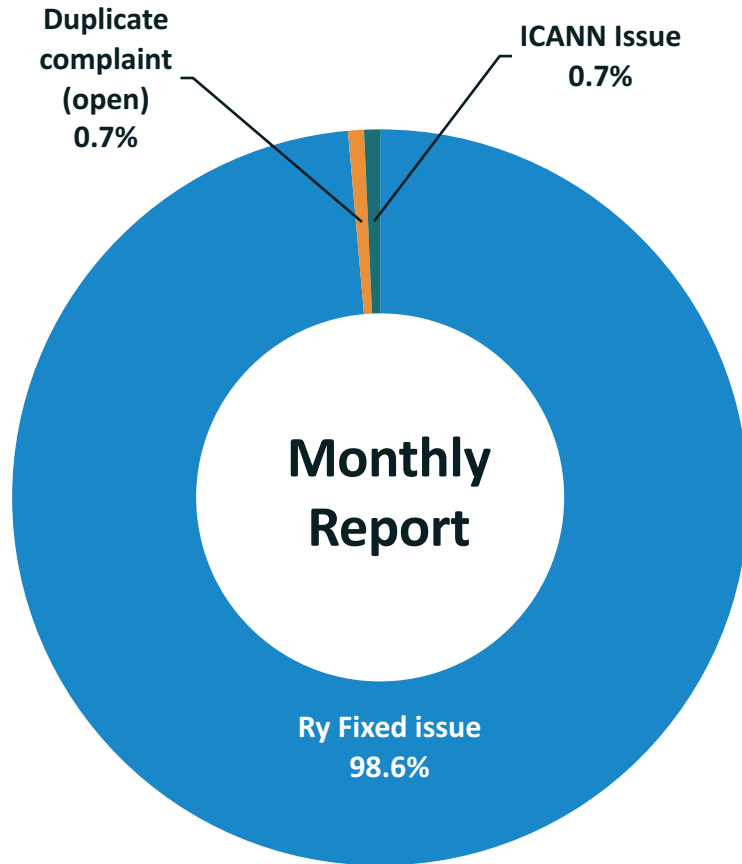
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Registry Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



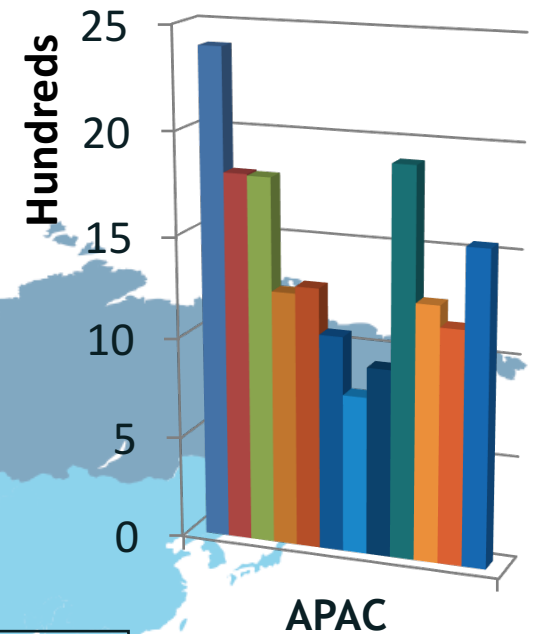
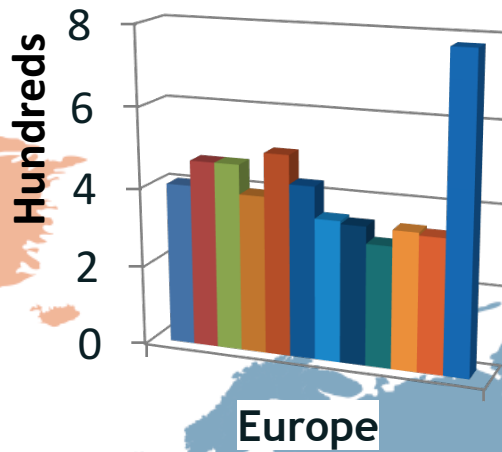
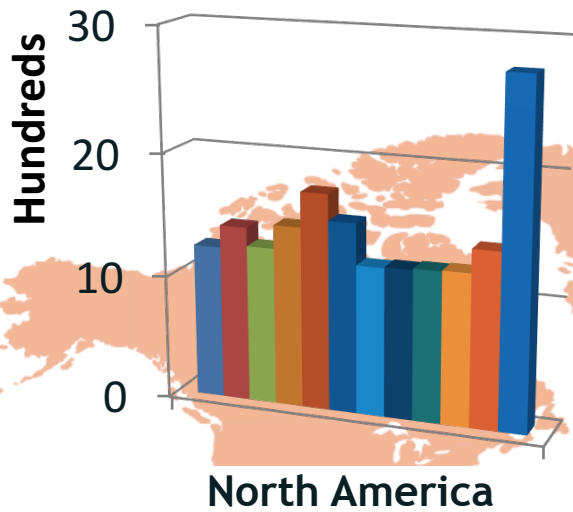
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Registry Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



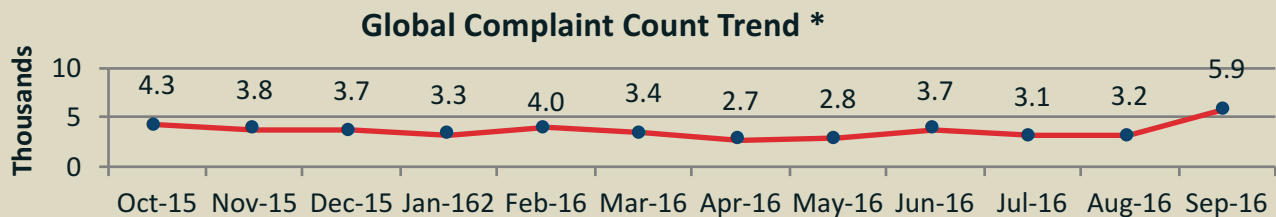
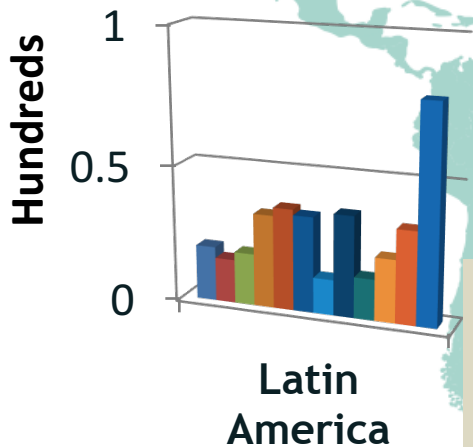
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Global Complaint Trend Oct 2015 – Sep 2016



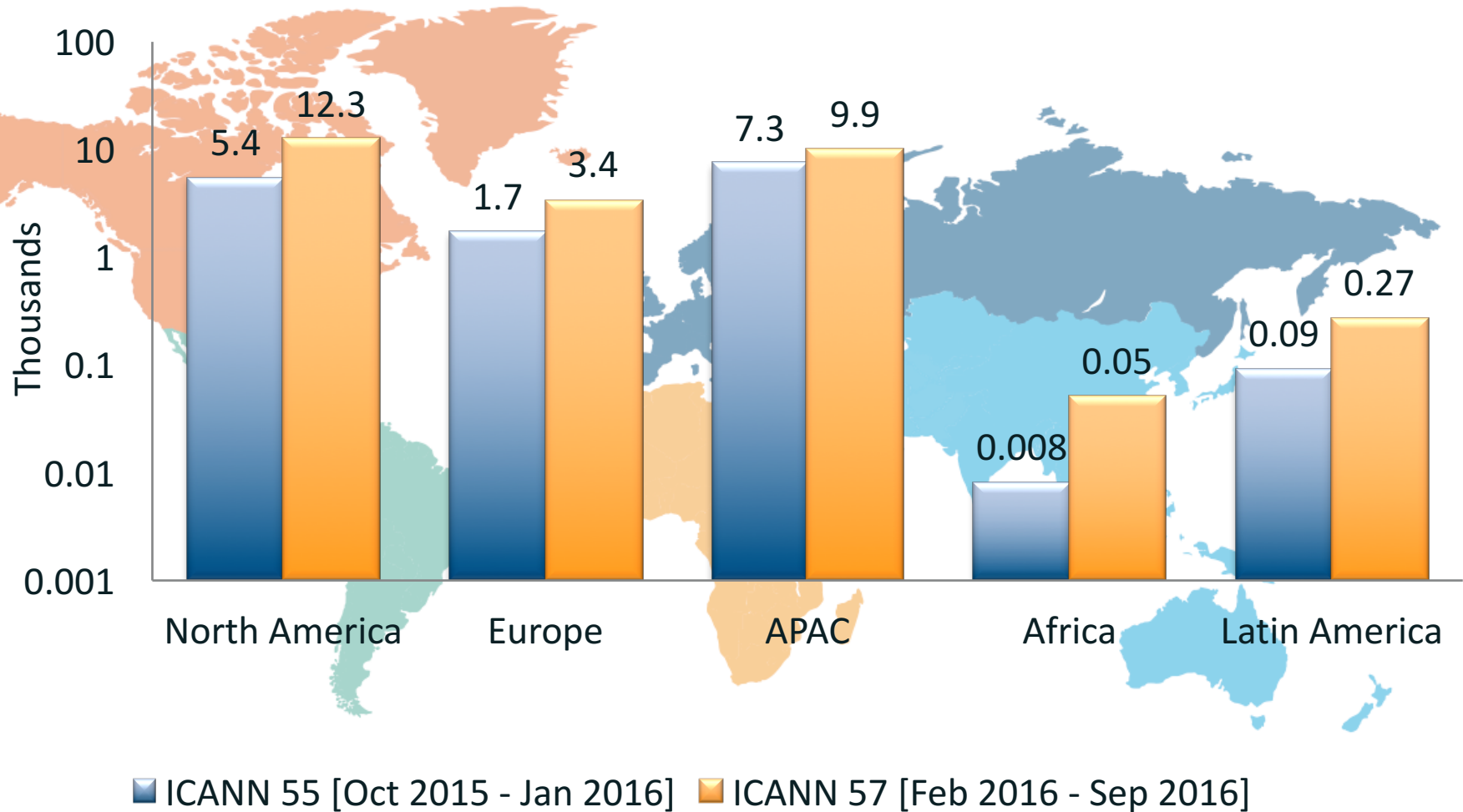
■ Oct-15 ■ Nov-15 ■ Dec-15 ■ Jan-16
■ Feb-16 ■ Mar-16 ■ Apr-16 ■ May-16
■ Jun-16 ■ Jul-16 ■ Aug-16 ■ Sep-16

Africa – 3 in Oct15; 1 in Nov15; 2 in Dec15; 2 in Jan16; 9 in Feb16; 3 in Mar16; 4 in Apr16; 8 in May16; 6 in Jun16; 2 in Jul16; 3 in Aug16; 10 in Sep16



* Includes complaints with unknown geography

Global Complaint Trend ICANN 55 vs. ICANN 57



Registrar & Registry Complaints by Region (Feb 2016 – Sep 2016)

N. America	111.4M	12,344	.011%
	1,842	435	23.6%
	611	202	33.1%

Europe	31.8M	3,397	.011%
	192	135	70.3%
	384	203	52.9%

APAC	45.2M	9,892	.022%
	257	183	71.2%
	210	154	77.3%

Latin America	0.8M	273	.034%
	25	15	60.0%
	18	10	55.6%

Africa	42,888	45	.105%
	11	7	63.6%
	5	3	60.0%

LEGEND	Domain Volume (as of June 2016)	# Complaints	% Complaints per Domain Volume
	# registrars per region	# registrars w/ Complaints	% registrars with complaints per region
	# registries per region	# registries w/ Complaints	% registries with complaints per region