ICANN|57
HYDERABAD

Update to IPC

Contractual Compliance | ICANN 57 | 7 November 2016

Update Since ICANN 55

Actively preparing for ICANN enterprise solution (system/portal)

On-going Contractual Compliance Audit activities for registrars and registries

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

Improved Compliance dashboard Reporting

Actively engaging with contracted parties

- ⊙ On site outreach sessions in Seoul, Korea and China with contracted parties
- ⊙ 3rd Notice Project - To improve registrar compliance and resolution rate.
- ⊙ WHOIS Review Project – To test compliance with the 2013 RAA requirement to verify and validate WHOIS information.
- ⊙ Remediation Validation Project - To test and validate past remediation.

Questions & Answers

Send compliance questions

To: compliance@icann.org

Subject line: ICANN 57 IPC 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

- Policy Updates

- Registrar and Registry Metrics

- Compliance Audit Update

ICANN

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
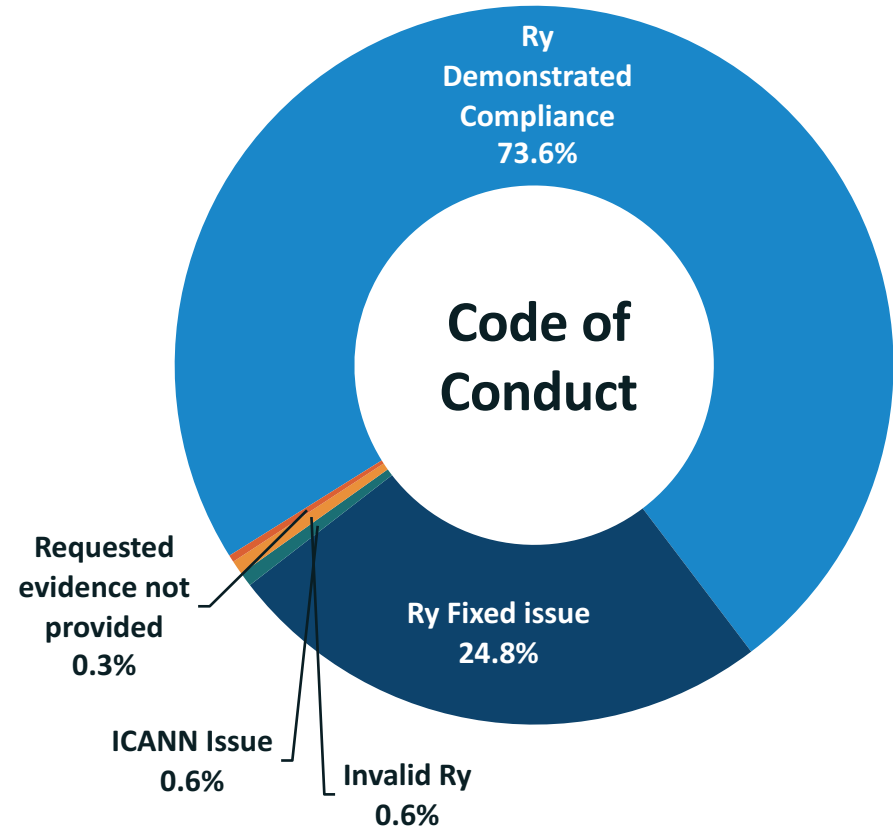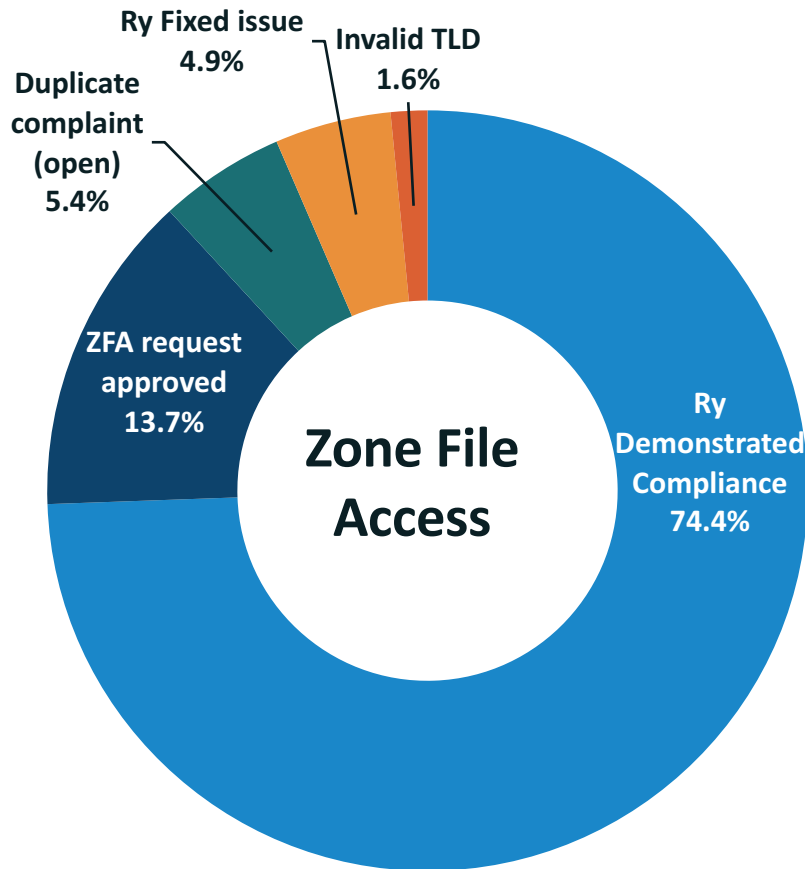
- ⊙ Competition, Trust and Choice Review

- ⊙ 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)

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

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

Zone File Access

- Ry Fixed issue 4.9%
- Invalid TLD 1.6%
- Duplicate complaint (open) 5.4%
- ZFA request approved 13.7%
- Ry Demonstrated Compliance 74.4%

Code of Conduct

- Ry Demonstrated Compliance 73.6%
- Ry Fixed issue 24.8%
- Requested evidence not provided 0.3%
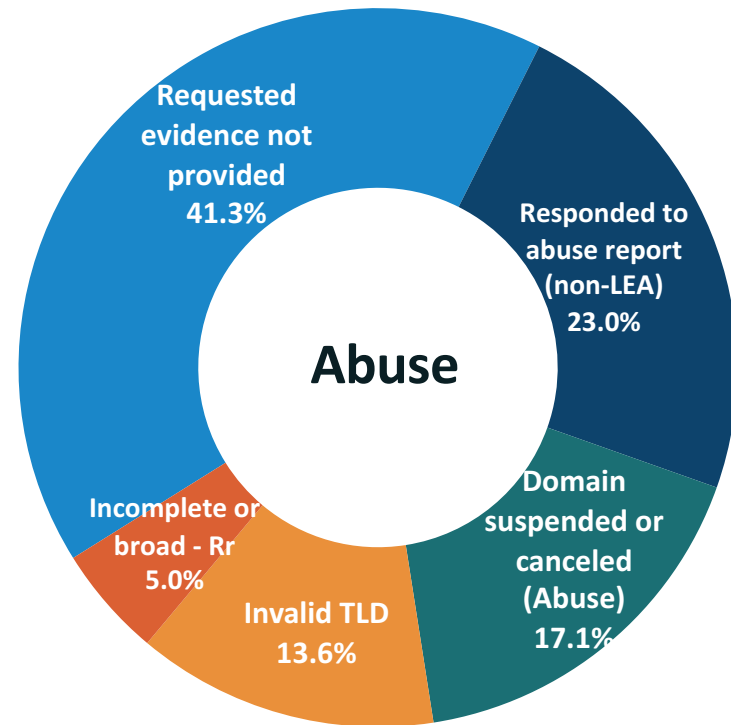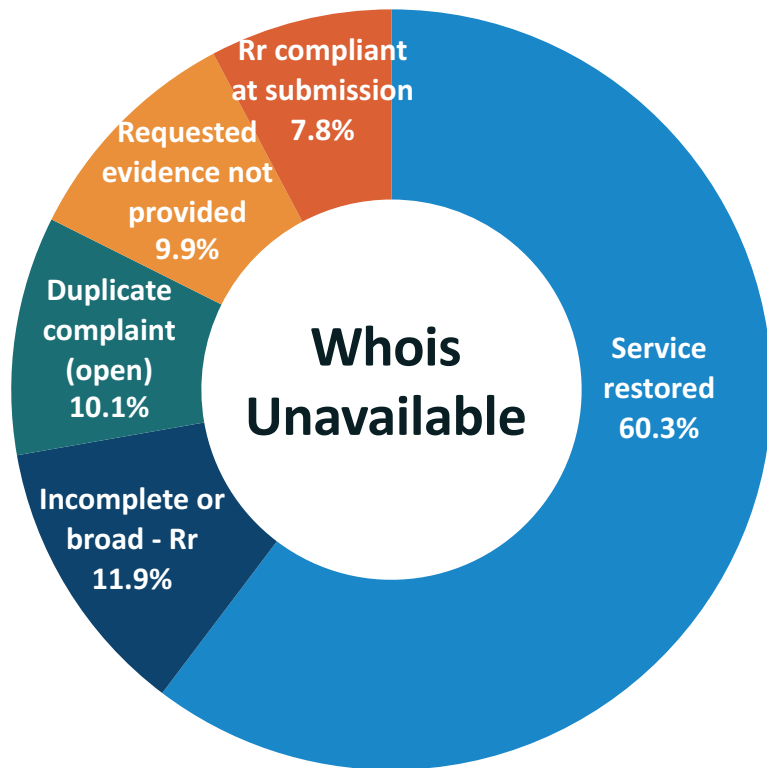- ICANN Issue 0.6%
- Invalid Ry 0.6%

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

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

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

Whois Unavailable
- Rr compliant at submission 7.8%
- Requested evidence not provided 9.9%
- Duplicate complaint (open) 10.1%
- Incomplete or broad - Rr 11.9%
- Service restored 60.3%

Abuse
- Requested evidence not provided 41.3%
- Responded to abuse report (non-LEA) 23.0%
- Domain suspended or canceled (Abuse) 17.1%
- Invalid TLD 13.6%
- Incomplete or broad - Rr 5.0%

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

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
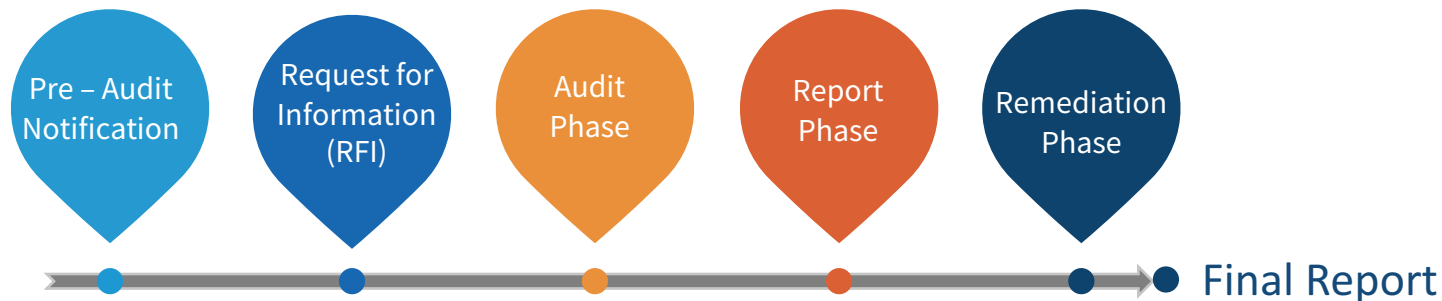
- ➤ **Pre-Audit Notification** is sent to all contracted parties informing them about upcoming audit, audit start date and scope of audit.
- ➤ **Request for Information** Notification is sent to auditees and includes list of required documents. Negative confirmations sent to all contracted parties not 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	**1st Notice**	**2nd Notice**	**3rd 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