Webinar Information

Dial-in Numbers: http://tinyurl.com/kbhryl9
Conference ID: 645 127 3995

Q&A Session after the presentation:
• Questions submitted to ICANN prior to the webinar given priority
• Questions will be answered as time permits

Recordings & slides available after the webinar:
https://www.icann.org/resources/pages/outreach-2012-02-25-en
Agenda

• Introduction to Contractual Compliance
• Contractual Compliance Statistics
• Lessons Learned
• Questions & Answers
Contractual Compliance
Global Staffing Model

<table>
<thead>
<tr>
<th>Location</th>
<th>Full Time Equivalent(s):</th>
<th>Open Positions:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Los Angeles</td>
<td>15</td>
<td>1</td>
</tr>
<tr>
<td>Singapore</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>Istanbul</td>
<td>3</td>
<td>1</td>
</tr>
</tbody>
</table>

Scalability Through Contractors: 2 Full Time Equivalents Currently

- 21 Staff members strong
- Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish and Uzbek
- Link to staff page: [https://www.icann.org/resources/pages/staff-2012-02-25-en](https://www.icann.org/resources/pages/staff-2012-02-25-en)
Compliance Operations Scorecard – AP Only

Running Balance – March – June 2014

Complaint Distribution

- WHOIS INACCURACY 72.8%
- TRANSFER 22.7%
- CUSTOMER SERVICE 0.3%
- WHOIS UNAVAILABLE 0.4%
- ABUSE 0.4%
- DATA ESCROW 0.4%
- Misc 0.9%
- UDRP 0.5%
- WHOIS FORMAT 0.6%

Register/Registry TAT – Mar-14 - June-14 (in days)

<table>
<thead>
<tr>
<th>TAT Type</th>
<th>Average TAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Notice</td>
<td>11.7</td>
</tr>
<tr>
<td>2nd Notice</td>
<td>6.2</td>
</tr>
<tr>
<td>3rd Notice</td>
<td>28.8</td>
</tr>
</tbody>
</table>

CC Staff TAT – Mar-14 - June-14

<table>
<thead>
<tr>
<th>TAT Type</th>
<th>Average TAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open-1st Notice</td>
<td>1.3</td>
</tr>
<tr>
<td>2nd WIP</td>
<td>3.9</td>
</tr>
<tr>
<td>3rd WIP</td>
<td>3.2</td>
</tr>
<tr>
<td>Received-Closed</td>
<td>13.6</td>
</tr>
</tbody>
</table>

Registrar/Registry TAT – Mar-14 - June-14 (in days)

<table>
<thead>
<tr>
<th>TAT Type</th>
<th>Average TAT</th>
</tr>
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<td>6.2</td>
</tr>
<tr>
<td>3rd Notice</td>
<td>28.8</td>
</tr>
</tbody>
</table>

Complaints Closed

- Volume Closed Before 1st Notice: 1,560
- Volume Closed Before 2nd Notice: 3,300
- Volume Closed Before 3rd Notice: 719
- Volume Closed Before Enforcement WIP: 61
- Volume Closed After Enforcement: 9

Total Closed: 5,649

Complaints Open ( Carryover)

- Volume Open Before 1st Notice Sent: 759
- Volume Open in 1st Notice Sent: 1,857
- Volume Open in 2nd Notice Sent: 455
- Volume Open in 3rd Notice Sent: 297
- Volume Open After Enforcement All: 10

Total Remaining Open ( Carryover): 3,378

Enforcements

- Volume Breach: 7
- Volume Termination: 0

TAT = Turn-around time
WIP = Work in progress
Complaint Types and Phases - AP
Mar 2014 - June 2014

Registrator Complaints

<table>
<thead>
<tr>
<th>Type</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABUSE</td>
<td>24</td>
</tr>
<tr>
<td>CEO CERTIFICATION</td>
<td>3</td>
</tr>
<tr>
<td>CUSTOMER SERVICE</td>
<td>15</td>
</tr>
<tr>
<td>DATA ESCROW</td>
<td>20</td>
</tr>
<tr>
<td>DNSSEC, IDN, IPV6</td>
<td>1</td>
</tr>
<tr>
<td>DOMAIN DELETION</td>
<td>11</td>
</tr>
<tr>
<td>DOMAIN RENEWAL</td>
<td>37</td>
</tr>
<tr>
<td>FEES</td>
<td>9</td>
</tr>
<tr>
<td>PRIVACY/PROXY</td>
<td>6</td>
</tr>
<tr>
<td>REGISTRATOR CONTACT</td>
<td>3</td>
</tr>
<tr>
<td>REGISTRATOR INFO SPEC</td>
<td>4</td>
</tr>
<tr>
<td>REGISTRATOR OTHER</td>
<td>3</td>
</tr>
<tr>
<td>TRANSFER</td>
<td>1273</td>
</tr>
<tr>
<td>UDRP</td>
<td>29</td>
</tr>
<tr>
<td>WHOIS FORMAT</td>
<td>36</td>
</tr>
<tr>
<td>WHOIS INACCURACY</td>
<td>4080</td>
</tr>
<tr>
<td>WHOIS QUALITY REVIEW</td>
<td>4</td>
</tr>
<tr>
<td>WHOIS SLA</td>
<td>3</td>
</tr>
<tr>
<td>WHOIS UNAVAILABLE</td>
<td>25</td>
</tr>
</tbody>
</table>

Total Complaints: 5,586
Total Complaints Closed: 5,623
Complaint Types and Phases - AP Mar 2014 - June 2014

Complaint Distribution

- BULK REGISTRATION DATA ACCESS: 12.5%
- CODE OF CONDUCT: 18.8%
- DATA ESCROW: 18.8%
- REGISTRY OTHER: 18.8%
- RESERVED/SLD NAMES: 12.5%
- RR-DRP: 12.5%
- URS: 6.3%

Registry TAT (in days)

- Avg TAT 1st Notice: 6.6
- Avg TAT 2nd Notice: 3.3
- Avg TAT 3rd Notice: n/a

Enforcements

- Volume Breach: 0
- Volume Termination: 0

REGISTRY Complaints

<table>
<thead>
<tr>
<th>Type</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>BULK REGISTRATION DATA ACCESS</td>
<td>2</td>
</tr>
<tr>
<td>CODE OF CONDUCT</td>
<td>3</td>
</tr>
<tr>
<td>DATA ESCROW</td>
<td>3</td>
</tr>
<tr>
<td>REGISTRY OTHER</td>
<td>3</td>
</tr>
<tr>
<td>RESERVED/SLD NAMES</td>
<td>2</td>
</tr>
<tr>
<td>RR-DRP</td>
<td>2</td>
</tr>
<tr>
<td>URS</td>
<td>1</td>
</tr>
<tr>
<td>Total Complaints Processed</td>
<td>16</td>
</tr>
<tr>
<td>Total Complaints Closed</td>
<td>26</td>
</tr>
</tbody>
</table>
Lessons Learned:

• Communicating with ICANN

• Registrar –
  - Whois Accuracy: Verification & Validation
  - Transfers: Form Of Authorization (FOA) and process
  - Renewals: Renewal notices

• Registry –
  - Zone File Access: Delayed response / Invalid denial
  - Monthly Reports: Transactions and activity reports are required
  - Data Escrow: Registry operator’s notification to ICANN
Communicating with ICANN

• Whitelist emails from ICANN.org
• Check if your mail servers are blocking emails from ICANN Contractual Compliance
• Reply to Compliance notices ASAP. Let Compliance know what you are doing
• Do not change the subject line in any way when responding to compliance notices
• Please make sure attachments are less than 4MB
Registrar Lessons Learned
Whois Inaccuracy (Verification)

Verification vs. Validation under 2013 RAA Section 3.7.8 & Whois Accuracy Program Specification

Verification: to confirm or correct information

• Affirmative response verification: receiving email from registrant email address listed in Whois data

• Manual verification: phone call contacting RNH may be enough depending on complaint (ICANN requires time, date, details of call)
Registrar Lessons Learned
Whois Inaccuracy (Validation)

Validation: ensure formatting is consistent with standards

- “Standards” includes RFC 5322 (email), ITU-T E. 164 (telephone), UPU Postal or S42 addressing templates (postal addresses) or equivalents for territory or country
  - Not websites or map applications (unless relying on standards)
  - Not something obtained from the RNH

- The obligations to verify, validate and investigate alleged Whois inaccuracies under RAA Section 3.7.8 are not interchangeable
Registrar Lessons Learned

Transfers

• Registrars shall use the standardized Form Of Authorization per Inter Registrar Transfer Policy (IRTP) Section 2 and 3:

• Gaining registrars
  https://www.icann.org/resources/pages/foa-auth-2004-07-12-en

• Losing registrars
  https://www.icann.org/resources/pages/foa-conf-2004-07-12-en
Registrar Lessons Learned

Transfers

• FOA must be sent in English.
• Registrar may choose to send it also in another language. Registrar is responsible for the accuracy and completeness of the translation.
• Gaining registrar needs affirmative response from a Transfer Contact to proceed and send the transfer command to the registry.
• The losing registrar does not need affirmative response, and the default action is allowing the transfer to proceed.
Registrar Lessons Learned

Renewals

Obligations of registrars under the Expired Registration Recovery Policy (ERRP):

- Registrar must send 3 renewal reminders when a domain name expires.
  - 1 month prior to expiration
  - 1 week prior to expiration, and
  - within 5 days after expiration

- Fees for renewal or redemption must be displayed on the registrar’s website, including a link in the registration agreement.
Registry Lessons Learned
Zone File Access

Specification 4, Section 2 of the Registry Agreement

• Act upon requests for zone file access via CZDS

• Issue
  • Registry taking too long to respond

• Guidance
  • Be open and transparent:
  • Establish, publish and adhere to a policy that informs end-users by when they should reasonably expect a response
Registry: Lessons Learned
Zone File Access

Specification 4, Section 2.1 - 2.3 of the Registry Agreement

• Reasons to deny or revoke access to zone files

• Issue
  ◦ Registry denying access because not yet in sunrise
  ◦ Registry denying access until requestor proves lawful purposes

• Guidance
  ◦ Neither is a valid reason to deny access – Three reasons per RA:
    ◦ failure to satisfy credentialing requirements of §2.1.2
    ◦ not providing correct or legitimate credentialing requirements of §2.1.2
    ◦ reasonable belief that requestor will violate terms of §2.1.2
Registry Lessons Learned
Monthly Reports

Specification 3, Section 1 and 2 of the Registry Agreement

• Issue
  ◦ Registry only sending one report

• Guidance
  ◦ both reports required (transactions and activity report)
Registry Lessons Learned
Data Escrow

Specification 2 Part A Section 7 of the Registry Agreement

• Daily deposits and two daily notifications to ICANN:
  o one from the Registry Operator; and
  o another from the Escrow Agent

• Issue
  o ICANN not receiving the notification corresponding to the Registry Operator

• Guidance
  o Ensure both notifications are received daily by ICANN
Resources

- Sign up for ICANN APAC Newsletter by writing to: apachub@icann.org
- Link to Contractual Compliance page: https://www.icann.org/resources/pages/compliance-2012-02-25-en
- Sign up for Compliance Newsletter at: https://www.icann.org/resources/pages/sign-up-2012-02-25-en
- Send questions to compliance@icann.org
Questions & Answers

Questions will be answered as time permits

- Participants will be limited to 1 question and 1 brief follow up response

Adobe Connect questions

- Send your question via the Chat pod in this format: “<Question> Type your question”

Phone questions

- Unmute your phone manually or Dial *6 (star six) to mute or unmute the line.

Recordings & slides available after the webinar
https://www.icann.org/resources/pages/outreach-2012-02-25-en

Post-webinar survey
https://www.surveymonkey.com/s/8BJ3XKS
Q&A
Registry Roadshow Workshop

Join us!

ICANN will be holding a three-day, interactive workshop for registries in a city near you! Remote access will be available, but interaction will be limited. We highly recommend onsite participation.

For more information visit http://bit.ly/RRWcommunitywiki

Los Angeles
9-11 September 2014

Tokyo
24-26 September 2014

Istanbul
19-21 November 2014
Thank you