Agenda

- Brief Update Since ICANN 57
  - Registrar Compliance Update
  - Registry Compliance Update
  - Contractual Compliance Audit Update

- Questions & Answers

- Appendix for your reference
  - Continuous Improvement Updates
  - WHOIS Accuracy Reporting System
  - Policy Update
  - Performance Measurement & Reporting
  - Additional Audit Slides
RAA Lessons Learned Summary

1. **Transfer Policy**
   Transfer of registrations between Registrars and Registrants

2. **Domain Renewal Reminders**
   Sending timely reminders to registered name holder

3. **Registrar Data Escrow Obligations**
   Terms, Format and Schedule

4. **Uniform Dispute Resolution Policy Requirements**
   Lock and Verification requirements UDRP Rule 4(b)
## Registrar Complaint Types in Detail

<table>
<thead>
<tr>
<th>Registrar Complaints</th>
<th>Quantity</th>
<th>Closed before 1st inquiry / notice</th>
<th>ICANN Issue</th>
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<tbody>
<tr>
<td></td>
<td>ICANN 57</td>
<td>ICANN 58</td>
<td>ICANN 57</td>
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<tr>
<td>WHOIS INACCURACY</td>
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<td>individual submission</td>
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<td>WHOIS FORMAT</td>
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<td>WHOIS UNAVAILABLE</td>
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<tr>
<td>ABUSE</td>
<td>377</td>
<td>195</td>
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<td>DOMAIN DELETION</td>
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<td>DATA ESCROW</td>
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<td>UDRP</td>
<td>153</td>
<td>80</td>
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<td>126</td>
<td>143</td>
<td>103</td>
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<td>REGISTRAR INFO SPEC</td>
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<tr>
<td>REGISTRAR CONTACT</td>
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<td>30</td>
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<tr>
<td>PRIVACY/PROXY</td>
<td>44</td>
<td>28</td>
<td>32</td>
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<tr>
<td>REGISTRAR OTHER</td>
<td>36</td>
<td>15</td>
<td>19</td>
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<tr>
<td>FAILURE TO NOTIFY</td>
<td>28</td>
<td>8</td>
<td>25</td>
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<td>DNSSEC, IDN, IPV6</td>
<td>17</td>
<td>7</td>
<td>13</td>
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<tr>
<td>RESELLER AGREEMENT</td>
<td>1</td>
<td>3</td>
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<tr>
<td>FEES</td>
<td>1</td>
<td>5</td>
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<tr>
<td>Total</td>
<td>27,283</td>
<td>16,157</td>
<td>14,473</td>
</tr>
</tbody>
</table>
Registrar Complaint Types & Top Closure Reasons (Oct 2016 – Jan 2017)

Whois Inaccuracy*

- Incomplete or broad - Rr: 9.8%
- Data changed: 10.2%
- Complainant's own domain name: 15.1%
- Requested evidence not provided: 18.9%
- Domain suspended or canceled: 46.1%

Transfer

- Requested evidence not provided: 57.8%
- Transfer completed: 15.5%
- Auth-code provided/Domain unlocked: 7.3%
- Complainant not Transfer Contact: 7.7%
- Duplicate complaint (open): 11.7%

* Does not include “Whois ARS” – see appendix for these closure reasons

Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.
Registrar Complaint Types & Top Closure Reasons (Oct 2016 – Jan 2017)

Domain Renewal

- Requested evidence not provided 60.7%
- Domain renewed with same Registrant 15.6%
- Domain renewed without same Registrant 10.3%
- Duplicate complaint (open) 8.8%
- Registrar Compliant - ERRP 8.8%
- RNH states Registrar complaint 4.6%

Whois Format

- Rr corrected format 49.3%
- Spam 17.2%
- Invalid TLD 12.8%
- Format compliant at submission 11.9%
- Customer service 8.8%

Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.
Registrar Complaint Types & Top Closure Reasons (Oct 2016 – Jan 2017)

**Domain Deletion**
- Domain not suspended: 28.9%
- Domain still in DNS: 7.6%
- Invalid TLD: 14.7%
- Duplicate complaint (open): 7.1%
- Requested evidence not provided: 41.7%

**Abuse**
- Responded to abuse report (non-LEA): 28.8%
- Domain suspended or canceled (Abuse): 22.9%
- Invalid TLD: 8.2%
- Duplicate complaint (open): 8.2%
- Requested evidence not provided: 31.8%

*Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.*
Registry Compliance Update
RA Lessons Learned

1. **Zone File Access Requirements (CZDS)**
   Complying with reasons for denial of access

2. **Registry Data Escrow Requirements**
   Complying with Registry Operator and Data Escrow Agent notification obligations

3. **Assignments: Change of Control & MSA**
   Complying with requirements for notification to and approval by ICANN

4. **Bulk Registration Data Access (BRDA) Requirements**
   Complying with BRDA obligations
## Registry Complaint Types in Detail

<table>
<thead>
<tr>
<th>Registry Complaints</th>
<th>Quantity</th>
<th>Closed before 1st inquiry / notice</th>
<th>ICANN Issue</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>ICANN 57</td>
<td>ICANN 58</td>
<td>ICANN 57</td>
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<tr>
<td>ZONE FILE ACCESS</td>
<td>732</td>
<td>197</td>
<td>176</td>
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<tr>
<td>CODE OF CONDUCT</td>
<td>315</td>
<td>32</td>
<td>9</td>
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<tr>
<td>MONTHLY REPORT</td>
<td>140</td>
<td>30</td>
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<tr>
<td>REGISTRY OTHER</td>
<td>86</td>
<td>54</td>
<td>66</td>
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<tr>
<td>REGISTRY DATA ESCROW</td>
<td>81</td>
<td>66</td>
<td>0</td>
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<tr>
<td>SLA</td>
<td>40</td>
<td>20</td>
<td>23</td>
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<tr>
<td>ABUSE CONTACT DATA</td>
<td>40</td>
<td>31</td>
<td>40</td>
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<tr>
<td>RESERVED NAMES/CONTROLLED INTERRUPTION</td>
<td>40</td>
<td>18</td>
<td>21</td>
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<tr>
<td>SLA ALERTS</td>
<td>31</td>
<td>48</td>
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<tr>
<td>RR-DRP</td>
<td>27</td>
<td>6</td>
<td>27</td>
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<tr>
<td>REGISTRY FEES</td>
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<tr>
<td>BRDA</td>
<td>13</td>
<td>37</td>
<td>0</td>
</tr>
<tr>
<td>PIC</td>
<td>9</td>
<td>4</td>
<td>6</td>
</tr>
<tr>
<td>URS</td>
<td>7</td>
<td>2</td>
<td>6</td>
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<tr>
<td>BULK ZFA</td>
<td>2</td>
<td>4</td>
<td>0</td>
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<td>CLAIMS SERVICES</td>
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<tr>
<td>SUNRISE</td>
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<td>0</td>
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<td>MISCONDUCT</td>
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<td>0</td>
</tr>
<tr>
<td>BANKRUPTCY</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>1,579</td>
<td>558</td>
<td>377</td>
</tr>
</tbody>
</table>
Registry Complaint Types & Top Closure Reasons (Oct 2016 – Jan 2017)

**Zone File Access**
- Invalid TLD: 1.4%
- Duplicate complaint (open): 10.4%
- ZFA request approved: 13.2%
- Ry Fixed issue: 17.5%
- Ry Demonstrated Compliance: 57.5%

**Data Escrow**
- DEA notice fixed: 40.7%
- Ry Operator notice fixed: 46.3%
- 1st deposit initiated: 1.9%
- Invalid deposit fixed: 11.1%
- Ry Fixed issue: 17.5%

Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.
Registry Complaint Types & Top Closure Reasons (Oct 2016 – Jan 2017)

Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.
Contractual Compliance Audit Activities Update

- Registrar Audit
- Registrar Data Escrow Proactive Monitoring
- Registry Audit

Link to the ICANN Contractual Compliance Audit Page:

https://www.icann.org/resources/pages/audits-2012-02-25-en
### Audit Program Milestones

<table>
<thead>
<tr>
<th>Pre-Audit Notification</th>
<th>Request for Information (RFI) Phase</th>
<th>Audit Phase</th>
<th>(Initial) Report Phase</th>
<th>Remediation</th>
<th>(Final) Report Issued</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1st Notice</td>
<td>2nd Notice</td>
<td>3rd Notice</td>
<td>Begin</td>
<td>End</td>
</tr>
</tbody>
</table>
Registrar Audit Selection Criteria

- Never audited or audited longest time ago compared to other registrars
- Accreditation changed from 2009 RAA to 2013 RAA
- Registrars with recurring issues that were previously remediated
- Responsiveness to compliance requests (number of 2nd/3rd Notices sent per number of valid complaints received)
- Received Notice of Breach in last 12 months
- Failed to make valid data escrow deposit multiple times during prior month
- Registrars subject of ICANN community concerns, as reflected in media reports, blogs or inquiry/reports from community members or other contracted parties
2013 RAA: Audit Population

- 55 Registrars received Request for Information (RFI) in October 2016
  - 2 Registrars have been postponed to next audit round
  - 1 Registrar has been terminated due to non-response to RFI

- Selection criteria for selected Registrars:
  - Received partially remediated report in previous audit round
  - ICANN Community Concerns
  - Not audited since 2012 audit round

- Selected Registrars represented 24 countries: Australia, Austria, Brazil, Canada, China, Denmark, Germany, Hungary, India, Israel, Italy, Korea (South), Morocco, Netherlands, Norway, Panama, Russian Federation, Singapore, Spain, Sweden, Turkey, United Kingdom, United States and Vietnam

- ICANN received and reviewed over 6,200 documents in 13 languages: Chinese, Danish, Dutch, English, French, German, Hungarian, Italian, Korean, Russian, Spanish, Turkish and Vietnamese

- ICANN continues to work closely to determine sufficiency of information and/or documentation provided
## Top 5 Audit Deficiencies Highlights

<table>
<thead>
<tr>
<th>Rank</th>
<th>2013 RAA provision(s)</th>
<th>2013 RAA Obligation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3.7.7.1 to 3.7.7.12</td>
<td>Registrar shall require all Registered Name Holders to enter into an electronic or paper registration agreement with Registrar including at least the provisions set forth in Subsections 3.7.7.1 through 3.7.7.12</td>
</tr>
<tr>
<td>2</td>
<td>3.18</td>
<td>Registrar shall maintain an abuse contact to receive reports of abuse involving Registered Names sponsored by Registrar, including reports of Illegal Activity. Registrar shall publish an email address to receive such reports on the home page of Registrar's website (or in another standardized place that may be designated by ICANN from time to time). Registrar shall take reasonable and prompt steps to investigate and respond appropriately to any reports of abuse</td>
</tr>
<tr>
<td>3</td>
<td>3.3.1 to 3.3.5 / Registration Data Directory Service (Whois) Specification</td>
<td>Until ICANN requires a different protocol, Registrar will operate a WHOIS service available via port 43 in accordance with RFC 3912, and a web-based Directory Service providing free public query-based access to at least the elements set forth in Section 3.3.1.1 through 3.3.1.8 of the Registrar Accreditation Agreement in the format set forth in Section 1.4 of this Specification. ICANN reserves the right to specify alternative formats and protocols, and upon such specification, the Registrar will implement such alternative specification as soon as reasonably practicable.</td>
</tr>
</tbody>
</table>

*A deficiency is defined as an initial finding noted in the audit report that is validated by auditee*
### Top 5 Audit Deficiencies Highlights (continued)

<table>
<thead>
<tr>
<th>Deficiency Rank</th>
<th>2013 RAA Provision(s)</th>
<th>2013 RAA Obligation</th>
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</thead>
<tbody>
<tr>
<td>4</td>
<td>3.16</td>
<td>ICANN has published an educational webpage summarizing the terms of the Registrar Accreditation Agreement and related Consensus Policies (as of the date of this Agreement, located at: <a href="http://www.icann.org/en/registrars/registrant-rights-responsibilities-en.htm">http://www.icann.org/en/registrars/registrant-rights-responsibilities-en.htm</a>. Registrar shall provide a link to such webpage on any website it may operate for domain name registration or renewal.</td>
</tr>
<tr>
<td>5</td>
<td>3.17 / Registrar Information Specification</td>
<td>Registrar shall provide to ICANN the information specified in the Registrar Information Specification (RIS), which shall be maintained in accordance with Section 3.17 of the Agreement. Including: <strong>Updated Primary contact name: Title, Address, Phone number, Fax number, Email Address</strong></td>
</tr>
</tbody>
</table>
Registrar Data Escrow Proactive Monitoring

- Data Escrow Agent conducts manual review of deposits as requested by ICANN in cases where:
  - Registrar receives 3rd or Escalated Notice (potential for breach/termination that requires bulk transfer of domains)
  - Number of domains escrowed differs from number of domains under Registrar’s management, as reported by Registry Operator
- Since ICANN 57, approximately 80 data escrow manual reviews requested and performed by Iron Mountain
- ICANN is in ongoing discussions with other data escrow agents approved by ICANN regarding ability to perform similar manual reviews; some confirmed ability and some performed one review for test purposes
Registrar Data Escrow Proactive Monitoring

Iron Mountain informs ICANN when a review results in failure

- Most frequent causes of failures are:
  - Header formatted incorrectly: usually missing required elements or header names are not clear (Sections 4.1.2 and 4.1.13-4.1.14 of Specification)
  - File name formatted/named incorrectly: must be formatted according to naming conventions in Sections 4.1.21.1-4.1.21.5 of Specification
  - For Privacy/Proxy services - contact information for beneficial user is escrowed, but not public facing Privacy/Proxy provider information
  - Registrant contact information is incomplete (missing values)
  - Missing data for top-level domains
    - Some Registrars did not escrow any data for new gTLD domains
  - No domains appear in the deposit
## New Registry Agreement: Audit Timeline (current round)

### Audit Program Milestones

<table>
<thead>
<tr>
<th>Pre-Audit Notification</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>1st Notice</td>
<td>2nd Notice</td>
<td>3rd Notice</td>
<td>Begin</td>
<td>End</td>
</tr>
</tbody>
</table>
Registry Audit Selection Criteria

- Registry Operators using Registry Service Providers whose performance has not been reviewed via audits of other Registry Operators.

- Responsiveness to compliance requests (number of 2nd/3rd Notices sent per number of valid complaints received).

- Registry Operators subject of ICANN community concerns, as reflected in media reports, blogs or inquiry/reports from community members or other contracted parties.
New Registry Agreement: Audit Population and Statistics

- 20 Registry Operators were selected based on following criteria:
  - Registry Service Provider (RSP) requested inclusion
  - Registry Operators using Registry Service Providers whose performance has not been reviewed via audits of other Registry Operators
  - TLD was subject to Category 1 Safeguards
  - TLD has either gained or lost highest number of domains in 2016

- Selected Registry Operators represent 9 countries: China, Ireland, Japan, New Zealand, Taiwan, Thailand, United Arab Emirates, United Kingdom and United States

- To date, ICANN Contractual Compliance has received, and is currently reviewing, over 950 documents in 3 languages: Chinese, English, and Japanese
Questions & Answers

Send compliance questions
To: compliance@icann.org
Subject line: ICANN 58 Program Update Session

The ICANN 58 presentations are available at:

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

- The ICANN 58 Schedule page at this link https://icann582017.sched.org/

Appendix
- Continuous Improvement Updates
- WHOIS Accuracy Reporting System
- Policy Update
- Performance Measurement & Reporting
- Additional Audit Slides
Continuous Improvement Updates

Complaint processing system improvements:

- **Transfer Policy**
  - Updates to Transfer Complaint Form
  - New and updated transfer templates and resolve codes

- Revisions to resolve codes to improve clarity

- Improvements for sending and receiving communications

- Updates to closure notices to contracted parties and reporters
Continuous Improvement Updates

Proactive Initiatives in 2016

- **3rd Notice Continuous Improvement outreach** to improve registrar compliance by reducing or eliminating 3rd notices. 3rd notices are the final stage before a notice of breach. The preliminary findings show a reduction and for some, zero 3rd notices.

- **Whois verification review outreach** focused on the APAC region to ensure compliance with the 2013 RAA requirement to verify and validate Whois information. Registrars that could not demonstrate initial compliance collaborated with the team to update systems and processes to ensure future compliance.

- **Audit remediation validation review** to ensure continued compliance by contracted parties on previously remediated issues between June 2015 and June 2016. The review confirmed continued compliance.
WHOIS ARS Compliance Effort Update
WHOIS ARS Compliance Update Since ICANN 57

- WARS main page: [https://whois.icann.org/en/whoisars](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 2
    - 4,001 WHOIS inaccuracy tickets
    - 1,521 forwarded to registrars
    - All tickets closed
  - Phase 2, Cycle 3
    - 4,544 WHOIS inaccuracy tickets
    - 1,891 forwarded to registrars
    - 246 in process
    - 4,308 tickets closed

- WHOIS format complaints - Syntax failure
  - Addressed along with WHOIS inaccuracy issues
  - Phase 2, Cycle 4 data to be part of selection criteria for registrar audit
Sample of top closure reasons and volume for Phase 2, Cycle 2:

- WHOIS data at ticket creation different from sampled WHOIS data (1,501)
- Domain suspended or canceled (1,260)
- WHOIS data changed or updated (317)
- Domain not registered when ticket processed (317)
- WHOIS format issue identified for 2013 Grandfathered Domain (249)

Sample of top closure reasons and volume for Phase 2, Cycle 3

- WHOIS data at ticket creation different from sampled WHOIS data (1,616)
- Domain suspended or canceled (1,267)
- WHOIS format issue identified for 2013 Grandfathered Domain (381)
- WHOIS data changed or updated (367)
- Domain not registered when ticket processed (201)

Note: some complaints closed with multiple reasons
WHOIS ARS Compliance Scope & Approach

- Compliance coordinates with WHOIS ARS team to ensure testing aligns with RAA and provides processing feedback to improve WHOIS ARS.

- Complaints created from WHOIS ARS are processed as WHOIS inaccuracy or WHOIS format complaints, following published Contractual Compliance Approach and Process [https://www.icann.org/resources/pages/approach-processes-2012-02-25-en](https://www.icann.org/resources/pages/approach-processes-2012-02-25-en).

- No notices of breach for WHOIS ARS Phase 2 Cycle 3.

- WHOIS ARS Phase 2 Cycle 3 processing began November 2016; expected to be completed in March 2017.

- WHOIS ARS Phase 2 Cycle 4 complaints expected around May 2017.

- Compliance and registrar feedback provided to WHOIS ARS team.

- ICANN will continue to give priority to complaints submitted by community.
Policy Updates
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)
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-related policies and agreement updates in process since ICANN 57

- Proposed amendments to base New gTLD Registry Agreement – Registry Operator voting period closes 10 April 2017

- Registry Registration Data Directory Services (RDDS) Consistent Labeling and Display Policy (CL&D) published; effective 1 August 2017

- Thick Whois Transition Policy for .com, .net and .job published with milestones for Registry Operators and Registrars
  - All new domain registrations must be submitted as Thick by 1 May 2018
  - All relevant registration data for existing domains must be migrated to Thick by 1 February 2019
Performance Measurement & Reporting
Customer Satisfaction Survey

What is Your Overall Satisfaction with Our Services?

- Overall Customer Satisfaction
- Target

ICANN 54 - Dublin
ICANN 55 - Marrakech
ICANN 57 - Hyderabad
ICANN 58 - Copenhagen

Contracted Parties  Reporter
Registry Complaint Volume & Turnaround Time

Total Complaints
Closed before 1st inquiry / notice
ICANN Issues
Average TAT Received to Closed (days)

Registry Average Turn Around Time (TAT)

Staff Average Turn Around Time (TAT)
Global Complaint Trend Feb 2016 – Jan 2017

North America

Europe

APAC

Latin America

Africa – 9 in Feb-16; 3 in Mar-16; 4 in Apr-16; 8 in May-16; 6 in Jun-16; 2 in Jul-16; 3 in Aug-16; 10 in Sep-16; 7 in Oct-16; 1 in Nov-16; 14 in Dec-16; 4 in Jan-17

Global Complaint Count Trend *

* Includes complaints with unknown geography
Global Complaint Trend ICANN 57 vs. ICANN 58

North America  |  Europe  |  APAC  |  Africa  |  Latin America


Thousands

- North America: 12.3, 7.2
- Europe: 3.4, 2.1
- APAC: 9.9, 3.9
- Africa: 0.05, 0.03
- Latin America: 0.27, 0.23
Registrar & Registry Complaints by Region (Oct 2016 – Jan 2017)

<table>
<thead>
<tr>
<th>Region</th>
<th>Domain Volume (as of Oct 2016)</th>
<th># Complaints</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td># registrars per region</td>
<td># registrars w/ Complaints</td>
</tr>
<tr>
<td>N. America</td>
<td>112.7M</td>
<td>7,241</td>
</tr>
<tr>
<td>Latin America</td>
<td>0.9M</td>
<td>235</td>
</tr>
<tr>
<td>Europe</td>
<td>33.2M</td>
<td>2,072</td>
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<td>APAC</td>
<td>46.6M</td>
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<tr>
<td>Africa</td>
<td>46,669</td>
<td>26</td>
</tr>
</tbody>
</table>

LEGEND:
- Domain Volume (as of Oct 2016)
- # Complainants
- % 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
Regional Registrar Turnaround Time (Oct 2016 – Jan 2017)

Turnaround Time in Business Days

<table>
<thead>
<tr>
<th>Region</th>
<th>1st Notice TAT</th>
<th>2nd Notice TAT</th>
<th>3rd Notice TAT</th>
<th>Average TAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>North America</td>
<td>11.3</td>
<td>6.6</td>
<td>25.3</td>
<td>14.4</td>
</tr>
<tr>
<td>Europe</td>
<td>13.9</td>
<td>12.3</td>
<td>6.0</td>
<td>10.7</td>
</tr>
<tr>
<td>APAC</td>
<td>12.1</td>
<td>9.6</td>
<td>12.1</td>
<td>11.3</td>
</tr>
<tr>
<td>Africa</td>
<td>7.5</td>
<td>6.3</td>
<td>13.3</td>
<td>9.0</td>
</tr>
<tr>
<td>Latin America</td>
<td>14.9</td>
<td>5.1</td>
<td>7.0</td>
<td>9.0</td>
</tr>
</tbody>
</table>

Turnaround Time in Business Days

1. Notice TAT
2. 2nd Notice TAT
3. 3rd Notice TAT
4. Average TAT

Regional Registrar Turnaround Time (Oct 2016 – Jan 2017)
### Regional Registry Turnaround Time (Oct 2016 – Jan 2017)

<table>
<thead>
<tr>
<th>Region</th>
<th>1st Notice TAT</th>
<th>2nd Notice TAT</th>
<th>3rd Notice TAT</th>
<th>Average TAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>North America</td>
<td>6.5</td>
<td>10.3</td>
<td>5.0</td>
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<td>Europe</td>
<td>7.1</td>
<td>5.6</td>
<td>6.3</td>
<td>6.3</td>
</tr>
<tr>
<td>APAC</td>
<td>6.1</td>
<td>6.0</td>
<td>13.3</td>
<td>8.5</td>
</tr>
<tr>
<td>Africa</td>
<td>8.7</td>
<td>6.5</td>
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<td>7.7</td>
<td>6.5</td>
<td>6.0</td>
<td>6.7</td>
</tr>
</tbody>
</table>

**Turnaround Time in Business Days**
## Running Balance Scorecard

<table>
<thead>
<tr>
<th></th>
<th>ICANN 57 [Feb16 - Sep16]</th>
<th>ICANN 58 [Oct16 - Jan17]</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>New Complaints</td>
<td>New Complaints</td>
</tr>
<tr>
<td>REGISTRAR</td>
<td>27,283</td>
<td>16,157</td>
</tr>
<tr>
<td>REGISTRY</td>
<td>1,579</td>
<td>558</td>
</tr>
<tr>
<td><strong>Total New Complaints</strong></td>
<td><strong>28,862</strong></td>
<td><strong>16,715</strong></td>
</tr>
<tr>
<td>Total Prior Month(s) Carryover</td>
<td>11,146</td>
<td>8,348</td>
</tr>
<tr>
<td><strong>Total Complaints</strong></td>
<td><strong>40,008</strong></td>
<td><strong>25,063</strong></td>
</tr>
<tr>
<td></td>
<td>Complaints Closed</td>
<td>Complaints Closed</td>
</tr>
<tr>
<td>Volume Closed Before 1st Notice</td>
<td>14,850</td>
<td>9,699</td>
</tr>
<tr>
<td>Volume Closed Before 2nd Notice</td>
<td>11,702</td>
<td>5,728</td>
</tr>
<tr>
<td>Volume Closed Before 3rd Notice</td>
<td>1,456</td>
<td>591</td>
</tr>
<tr>
<td>Volume Closed Before Enforcement</td>
<td>225</td>
<td>79</td>
</tr>
<tr>
<td>Volume Closed After Enforcement*</td>
<td>75</td>
<td>37</td>
</tr>
<tr>
<td><strong>Total Closed</strong></td>
<td><strong>28,308</strong></td>
<td><strong>16,134</strong></td>
</tr>
<tr>
<td></td>
<td>Complaints Open (Carryover)</td>
<td>Complaints Open (Carryover)</td>
</tr>
<tr>
<td>Volume Open Before 1st Notice Sent</td>
<td>4,447</td>
<td>5,130</td>
</tr>
<tr>
<td>Volume Open in 1st Notice Sent</td>
<td>6,240</td>
<td>3,651</td>
</tr>
<tr>
<td>Volume Open in 2nd Notice Sent</td>
<td>728</td>
<td>3,447</td>
</tr>
<tr>
<td>Volume Open in 3rd Notice Sent</td>
<td>247</td>
<td>214</td>
</tr>
<tr>
<td>Volume Open After Enforcement</td>
<td>38</td>
<td>13</td>
</tr>
<tr>
<td><strong>Total Remaining Open (sum of each month)</strong></td>
<td><strong>11,700</strong></td>
<td><strong>12,455</strong></td>
</tr>
<tr>
<td>Carryover at end of period</td>
<td>2,165</td>
<td>2,024</td>
</tr>
<tr>
<td></td>
<td>Formal Notices</td>
<td>Formal Notices</td>
</tr>
<tr>
<td>Volume Breach</td>
<td>16</td>
<td>9</td>
</tr>
<tr>
<td>Volume Contract Non-Renewal</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Volume Suspension</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Volume Termination</td>
<td>2</td>
<td>4</td>
</tr>
</tbody>
</table>

*A single breach may contain multiple complaints*
Additional Audit
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.
https://www.icann.org/resources/pages/audits-2012-02-25-en

- Registry / Registrar audit plans
- Audit Communication Templates
- Audit Program Frequently Asked Questions
- Audit Outreach sessions by calendar year
- Audit Reports by calendar year
- Past Audit Program plans