

<http://www.icann.org/en/resources/compliance>

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General Update

Systems Update

In December 2014, the Contractual Compliance complaint processing system was enhanced to: (1) access new gTLD registry data automatically; (2) allow staff to automatically send closure notices for registry complaints; and (3) update resolve codes across complaint types. These improvements will help increase efficiency and improve ICANN's reporting to stakeholders regarding closed complaints.

The team undertook another effort to review and update existing procedures and templates to incorporate the requirements related to the [Additional Whois Information Policy](#) (AWIP) and the amended rules for the [Uniform Domain Name Dispute Resolution Policy \(UDRP\)](#). The Additional Whois Information Policy requires ICANN-accredited registrars and gTLD registries to include their Whois output information to help Whois users better identify a registration's sponsoring registrar and understand the status codes by registries and registrars as follows:

1. Registrars and registries that include domain name registration statuses in Whois output must:¹
 - a. Only refer to the statuses by their respective EPP status codes;
 - b. Provide a link or URL next to each EPP status code that directs to an ICANN web page describing and defining the respective EPP status code. A list of URLs is available at <https://www.icann.org/resources/pages/epp-status-codes-list-2014-06-18-en>; and
 - c. Include in their Whois output the following message: "For more information on Whois status codes, please visit <https://icann.org/epp>"*

¹ This update is provided for information purposes only. Please do not rely on the information contained within this update to make conclusions or business decisions.

*Please note that the longer form of the above link that was previously included in section 1(c), i.e.,

<https://www.icann.org/resources/pages/epp-status-codes-2014-06-16-en> is also compliant under the AWIP.

2. Registrars shall not remove the links and message described above when providing Whois data from its own or another registrar or registry's Whois service.
3. Registries must include the ICANN-issued Globally Unique Registrar Identification number (GURID, commonly known as the IANA ID) in their Whois output in the form of: Sponsoring Registrar IANA ID: 99999

The amended rules for the UDRP, which take effect 31 July 2015, consist of 17 recommendations intended to clarify and standardize the process for Locking of a Domain Name subject to UDRP proceedings thus reducing the risk of cyber flight during a UDRP proceeding.

Registrar Update

Update to WHOIS Inaccuracy Compliance Template

Contractual Compliance updated the Whois inaccuracy templates in December 2014 to request in the first notice that registrars provide documentation demonstrating that they performed the validation and verification within 15 days as required under the Whois Accuracy Program Specification of the 2013 Registrar Accreditation Agreement (RAA). This is required for all domain names registered, transferred in, or with a change to registrant after 1 January 2014 (or if later, the effective date of the registrar's RAA). Prior to this change, Contractual Compliance only requested this information through a follow up notice if the registrar did not provide this information.

WHOIS Accuracy Reporting System

ICANN Contractual Compliance participated in the review of the final draft of the WHOIS Accuracy Pilot Study Report, and began initial efforts to review and test the data provided from the Whois Accuracy Reporting System (ARS).

The Whois ARS is a framework for conducting repeatable assessments of WHOIS accuracy over time and publicly reporting the findings. The Pilot Study is a precursor to the ARS, designed with the intention of isolating and testing key components of the system. Results from the Pilot Study will be used to inform the design of the ARS. Preliminary results of the Pilot Study will be presented at ICANN 52, with a full report expected in March 2015.

Registry Update

ICANN continued to proactively manage contractual compliance areas related to data escrow deposits, controlled interruption under the name-collision assessments, sunrise and claims obligations, publication of registration data,

upholding service level agreements and reserved names. In addition, ICANN managed complaints related to equal access to registry services and systems under the code of conduct, Uniform Rapid Suspension System (URS) for a registry's failure to lock the domain name within 24 hours of the notification by the URS service provider and access to zone file via the Centralized Zone File Services.

Annual Certification Readiness

ICANN continued its effort in preparation for the receipt of the required annual certifications. As previously communicated, by 20 January 2015, Registry operators as applicable must submit the required certifications and the results of the internal reviews conducted in the following areas:

1. Compliance with the code of conduct (Specification 9, Section 3);
2. Meeting the requirements to be exempted from application of the code of conduct (Specification 9); and
3. Meeting the requirements to be considered a .brand TLD (Specification 13, section 7).

Once the certificates are uploaded onto the GDD portal, the Contractual Compliance team will first confirm receipt of certificate and then review its content.

Results of ICANN's Proactive Approach to Public Interest Commitments

ICANN wrapped up the analysis of data related to the proactive monitoring effort of Public Interest Commitments (PICs) found in Specification 11 of the Registry Agreement. The results are as follows:

- Total Number of gTLDs covered in the proactive monitoring = 264
- Percent of gTLDs with language in the Registry-Registrar Agreement per Section 3(a) of Specification 11 = 99%
- Percent of gTLDs conducting security threats analyses per Section 3(b) of Specification 11 = 96%
- Percent of gTLDs with registration policies on websites per Section 3(c) of Specification 11 = 98%
- Percent of gTLDs not limiting registrations per Section 3(d) of Specification 11 = 99%

The deficiencies noted in the proactive monitoring have been addressed via the informal resolution process in collaboration with contracted parties. The remaining deficiencies will be addressed once the gTLD Registries remediation plan is completed.

Background of this proactive effort: As previously communicated, ICANN sent inquiries to the gTLD registries that started or were set to start the General Availability period by 1 October 2014. ICANN sent inquiries to assess the registry operators' readiness regarding compliance with Public Interest Commitments

Change in Contractual Compliance Update Frequency

Beginning January 2015, ICANN's Contractual Compliance Monthly Update will shift to a quarterly update. ICANN encourages the community and stakeholders to refer to the dashboard for the monthly performance metrics found at this link: <https://features.icann.org/compliance>.

Audit Program Update

New Registry Agreement Audit Update

By the end of December 2014, the last remaining registry operator had resolved the last remaining deficiency. Thus, the first round of the New Registry Agreement Audit is completed. ICANN is preparing the Audit report. The report will be published by the end of January 2015.

Year Three Audit Program Update

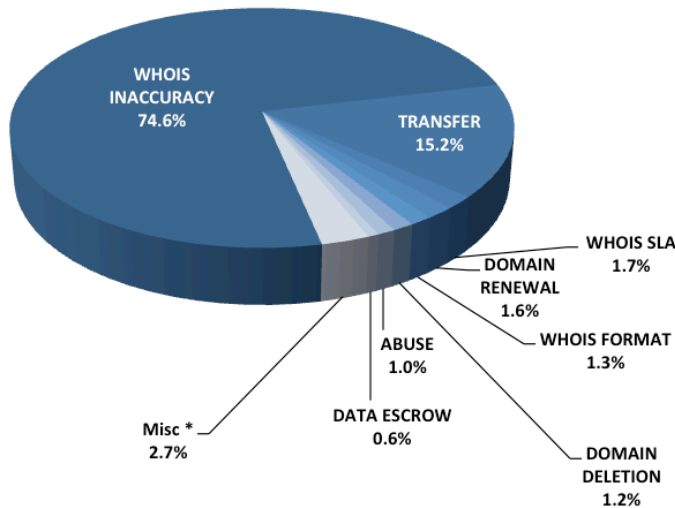
The Program proceeded to the audit phase; the audit team has been reviewing the documentation provided by the auditees. Four registrars received Notices of Breach due to irresponsiveness to an audit request.

Year Three Audit Program Milestone Dates										
Pre-Audit Notification	RFI Notification Phase				Audit Phase		Reporting Phase		Remediation Phase	
	RFI - 1st Notice	RFI - 2nd Notice	RFI - 3rd Notice	RFI - 3rd Notice	Start	End	Start	End	Start	End
06-Oct-14	10/20/2014 *Outreach session(s): 21 and 22 Oct 2014	11-Nov-14	18-Nov-14	24-Nov-14	01-Dec-14	06-Mar-15	09-Mar-14	23-Mar-15	09-Mar-15	29-May-15

Complaints Handling and Enforcement Summary

Registrar - Volume Received Current Month December 2014

Complaint Distribution

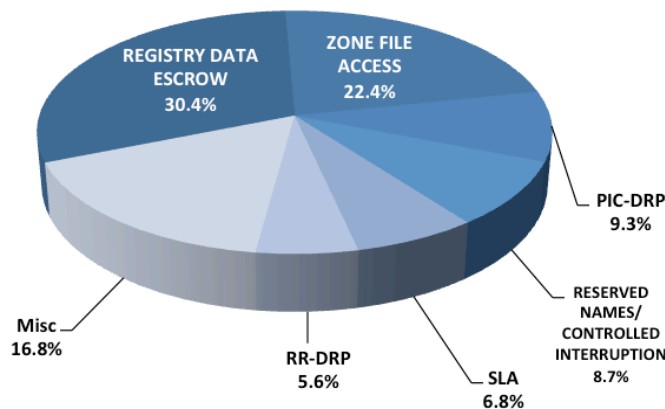


Complaints

Type	Quantity
ABUSE	33
CUST SRV (LEGACY)	3
CUSTOMER SERVICE	14
DATA ESCROW	20
DNSSEC, IDN, IPV6	3
DOMAIN DELETION	39
DOMAIN RENEWAL	52
FAILURE TO NOTIFY	1
PRIVACY/PROXY	1
REGISTRAR CONTACT	14
REGISTRAR INFO SPEC	5
REGISTRAR OTHER	4
RESELLER AGREEMENT	1
TRANSFER	492
UDRP	16
WHOIS FORMAT	42
WHOIS INACCURACY	2409
WHOIS QUALITY REVIEW	7
WHOIS SLA	55
WHOIS UNAVAILABLE	19
Total Complaints Processed	3,230
Total Complaints Closed	2,478

Registry - Volume Received Current Month December 2014

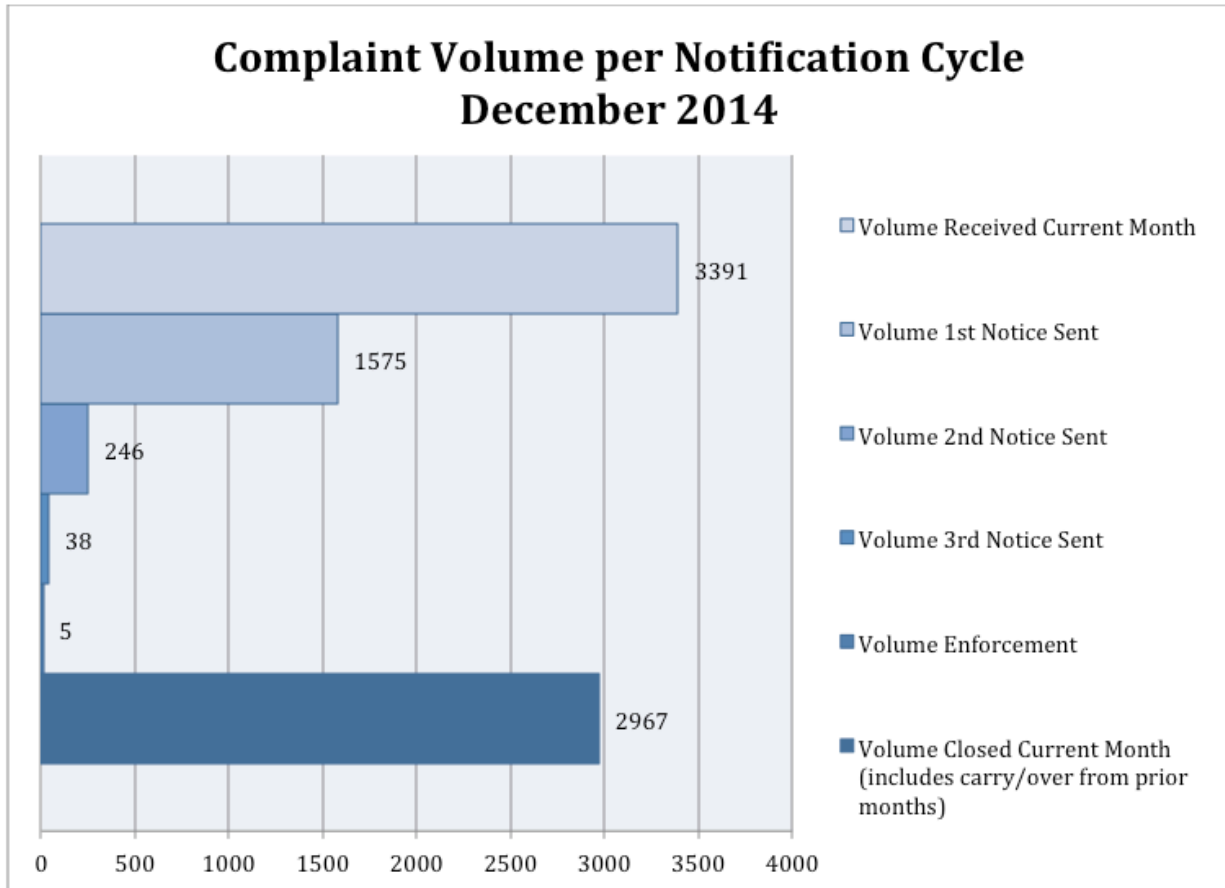
Complaint Distribution



Complaints

Type	Quantity
ABUSE CONTACT DATA	4
BANKRUPTCY	1
BULK ZFA	7
CLAIMS SERVICES	1
COI	1
MISCONDUCT	1
MONTHLY REPORT	7
PIC *	15
RDDS	1
REGISTRY DATA ESCROW	49
REGISTRY FEES	2
RESERVED NAMES/CONTROLLED INTERRUPTION	14
RR-DRP	9
SLA	11
URS	2
Total Complaints Processed	161
Total Complaints Closed	489

*6 out of the 15 PIC are ICANN generated inquiries



- **Volume Received Current Month** = tickets submitted in current month
- **Volume 1st Notice Sent** = number tickets where 1st Notice was sent in current month
- **Volume 2nd Notice Sent** = number tickets where 2nd Notice was sent in current month
- **Volume 3rd Notice Sent** = number tickets where 3rd Notice was sent in current month
- **Volume Enforcement** = number enforcements notices sent in current month
- **Volume Closed** = number tickets closed in current month

ENFORCEMENT ACTIVITY for DECEMBER					
SENT DATE	DUE DATE	REGISTRAR	NOTICE TYPE	STATUS	FAILURE NOTICE BASIS
4-Dec-14	26-Dec-14	PT Ardh Global Indonesia	Breach	Data and Documents Under Review by ICANN	Respond to audits (RAA 3.14)
					Maintain and provide communication records (RAA 3.4.2/3)
4-Dec-14	26-Dec-14	WebZero, Inc.	Breach		Respond to audits (RAA 3.14)
					Maintain and provide communication records (RAA 3.4.2/3)
					Provide Whois Services (RAA 3.3.1)
					Pay accreditation fees (RAA 3.9)
4-Dec-14	26-Dec-14	Black Ice Domains, Inc.	Breach		Respond to audits (RAA 3.14)
					Maintain and provide communication records (RAA 3.4.2/3)
					Pay accreditation fees (RAA 3.9)
4-Dec-14		Black Ice Domains, Inc	Suspension	<i>Suspension period: 19-Dec-14 to 18-Mar-15</i>	Cure any RAA breach within 15 working days (5.3.4 RAA) and Receiving three Notices of Breach within a twelve-month period (2.1 RAA)
10-Dec-14	7-Jan-14	RIDE Co., Ltd.	Breach	Cure Period Extended Until 14 January 2015	Respond to audits (RAA 3.14)
					Maintain and provide communication records (RAA 3.4.2/3)

ENFORCEMENT ACTIVITIES from PRIOR MONTHS					
SENT DATE	DUE DATE	REGISTRAR	NOTICE TYPE	STATUS	FAILURE NOTICE BASIS
3-Sep-14	23-Sep-14	Black Ice Domains	Breach	<i>Escalated to Suspension</i>	Pay accreditation fees (RAA 3.9)
					Display renewal/redemption fees (ERRP 4.1)
					Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)
					Provide Whois Services (RAA 3.3.1)
9-Sep-14	30-Sep-14	PT Ardh Global Indonesia	Breach	Data and Documents Under Review by ICANN; Cure Period Extended Until 31 October 2014; Data and Documents Under Review by ICANN	Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8)
					Maintain and provide communication records (RAA 3.4.2/3)
					Link to ICANN's registrant rights & responsibilities website (RAA 3.15)
					Display renewal/redemption fees (ERRP 4.1)
18-Sep-14	9-Oct-14	Times Internet Limited	Breach	Cure Period Extended Until 11 November 2014; Cure Period Extended Until 19 November 2014; Data and Documents Under Review by ICANN; Breaches cured	Provide Whois Services (RAA 3.3.1)
					Display link to ICANN's Registrant Educational Information (RAA 3.16)
					Publish on website information required by the Registrar Information Specification (RAA 3.17)
					Display renewal/redemption fees (ERRP 4.1)
					Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)
3-Oct-14	24-Oct-14	Internetters Limited	Breach	Cure Period Extended Until 5 November 2014; Data and Documents Under Review by ICANN; Cure Period Extended Until 5 December 2014; Breaches cured	Provide a policy consistent with the requirements of 2.1 of the ERRP
					Send renewal reminderst to RNH (2.1.1 ERRP)
					Interrupt the DNS resolution path from expiration to deletion (2.2 ERRP)
					Maintain and provide communication records (RAA 3.4.2/3)
					Publish on website information required by the Registrar Information Specification (RAA 3.17)

10-Oct-14	31-Oct-14	Todaynic.com, Inc.	Breach	Cure Period Extended Until 13 November 2014; Data and Documents Under Review by ICANN; Cure Period Extended Until 21 November 2014; Data and Documents Under Review by ICANN; Cure Period Extended Until 31 December 2014	Investigate and respond to abuse reports (RAA 3.18)
					Maintain and provide communication records (RAA 3.4.2/3)
					Display link to ICANN’s Registrant Educational Information (RAA 3.16)
					Publish on website information required by the Registrar Information Specification (RAA 3.17)
					Display renewal/redemption fees (ERRP 4.1)
					Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)
					Pay accreditation fees (RAA 3.9)
10-Oct-14	31-Oct-14	FBS Inc.	Breach	Cure Period Extended Until 7 November 2014; Cure Period Extended Until 21 November 2014; Data and Documents Under Review by ICANN; Cure Period Extended Until 12 December 2014; Data and Documents Under Review by ICANN	Maintain and provide communication records (RAA 3.4.2/3)
					Display link to ICANN’s Registrant Educational Information (RAA 3.16)
					Publish on website information required by the Registrar Information Specification (RAA 3.17)
					Publish on website email address for abuse reports (RAA 3.18.1)
					Display correct ICANN Logo on website (RAA Logo License Appendix)
					Pay accreditation fees (RAA 3.9)
31-Oct-14	21-Nov-14	DreamHost, LLC	Breach	Data and Documents Under Review by ICANN; Cure Period Extended Until 31 December 2014	Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8)
					Maintain and provide communication records (RAA 3.4.2/3)
					Validate and verify Whois contact information (Whois Accuracy Program Specification 2 and 4)
					Suspend or terminate a domain name after RNH failed to respond for over 15 days (Whois Accuracy Program Specification 5)
					Provide domain name data in the specified response format (RAA-RDDS 1.4)
					Publish on website information required by the Registrar Information Specification (RAA 3.17)
					Publish on website email address for abuse reports (RAA 3.18.1)
					Provide a policy consistent with the requirements of 2.1 of the ERRP
					Display renewal/redemption fees (ERRP 4.1)
					Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)
					Include privacy/proxy customer contact information in Registration Data Escrow deposits (“P/P Specification 2.5)
6-Nov-14	27-Nov-14	Freeparking Domain Registrars, Inc.	Breach	Data and Documents Under Review by ICANN	Maintain and provide communication records (RAA 3.4.2/3)
					Provide a policy consistent with the requirements of 2.1 of the ERRP
					Display renewal/redemption fees (ERRP 4.1)
14-Nov-14	5-Dec-14	IP Mirror Pte Ltd dba IP MIRROR	Breach	Data and Documents Under Review by ICANN;	Maintain and provide communication records (RAA 3.4.2/3)

				Breaches Cured	Review within 24 hours and take actions in response to abuse reports from designated authorities (RAA 3.18.2) Maintain and provide records related to abuse reports (RAA 3.18.3) Publish on website email address for abuse reports (RAA 3.18.1) Publish on website description of procedures for the receipt and tracking of abuse reports (RAA 3.18.3) Display renewal/redemption fees (ERRP 4.1) Provide a policy consistent with the requirements of 2.1 of the ERRP
14-Nov-14	5-Dec-14	Crazy Domains FZ-LLC	Breach	Data and Documents Under Review by ICANN	Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8) Maintain and provide communication records (RAA 3.4.2/3) Validate and verify Whois contact information (Whois Accuracy Program Specification 4) Publish on website contact information required by the Registrar Information Specification (RAA 3.17) Publish on website name and position of officers (RAA 3.17 and RIS) Display renewal/redemption fees (ERRP 4.1) Display correct ICANN Logo on website (RAA Logo License Appendix) Display link to ICANN's Registrant Educational Information (RAA 3.16)

Please refer to <http://www.icann.org/en/resources/compliance/notices> for up-to-date information on enforcement activities.