

# Internet Corporation for Assigned Names & Numbers Contractual Compliance Update

October – December 2015

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

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### ***General Update***

In October 2015, ICANN Contractual Compliance participated in ICANN's 54<sup>th</sup> Public Meeting in Dublin, Ireland. The presentations can be found on the outreach page at: <https://www.icann.org/resources/compliance/outreach>.

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### ***Contractual Compliance Initiatives and Improvements***

#### **System Update**

During this period, the Contractual Compliance complaint processing system improvements included:

1. Additional template and closure code modifications in an effort to bring clarity on the complaint resolution.
2. Compliance system updates to allow for the WHOIS Accuracy Reporting System (ARS) import utility to create compliance tickets based on the updated WHOIS ARS report format.
3. Template automation to reduce manual efforts by staff.

#### **Participation in ICANN Policy Development Process**

The team continued to participate in a variety of ICANN policy efforts, including the Privacy & Proxy Services Accreditation Issues (PPSAI) Working Group, Inter-Registrar Transfer Policy (IRTP) Parts C and D, the Translation and Transliteration of Contact Information PDP Working Group, the Protection of IGO and INGO Identifiers in all gTLDs, Rights Protection Mechanisms Review and New gTLD Subsequent Procedures.

#### **Registrar Update**

##### **WHOIS Quality Review (WHOIS QR) Update**

The Contractual Compliance team resumed WHOIS quality review monitoring efforts. The

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<sup>1</sup> 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.

team reviewed WHOIS inaccuracy complaints to ensure continued compliance with contractual obligations, which resulted in one notice of breach.

### **WHOIS Accuracy Reporting System (ARS) Update**

The Contractual Compliance team supported Phases One and Two of the WHOIS ARS efforts during this period. As previously reported, Phase One tested syntactical conformity for WHOIS data. The team reviewed the results from Phase One, and where appropriate, forwarded to registrars to resolve the WHOIS inaccuracy and/or the WHOIS format issues.

Phase Two tested operability. The team helped review the results and draft the report for Phase Two, which can be found at this link: <https://www.icann.org/news/announcement-2015-12-23-en>. Complaints from the Phase Two results are anticipated in early 2016. WHOIS ARS metrics for Phases One and Two will be reported in the monthly dashboard found at this link: <https://features.icann.org/compliance>.

## **Registry Update**

### **Service Level Agreement (SLA) Communication Process**

Contractual Compliance continued to collaborate with other ICANN departments and registry operators to develop a process for communicating SLA monitoring alerts to registry operators. A series of alerts will be automatically generated by ICANN's Technical Services monitoring platform for SLA violations. It will also serve as the basis for automated technical alerts and semi-automated compliance notices sent to registry operators, based on the various registry contacts provided in the Global Domains Division (GDD) Portal. Implementation of the alerts and notifications will occur at a future date in 2016, to be determined.

### **New Registry Agreement Compliance Monitoring Efforts**

As the calendar year 2015 drew to a close, Contractual Compliance prepared to again monitor registry operator's compliance with 1) the required annual certifications that are due 20 January 2016 and 2) the policy and contractual implementations that are effective 31 January 2016 related to the Additional WHOIS Information Policy (see <https://www.icann.org/resources/pages/policy-awip-2014-07-02-en>) and the Clarifications to the Registry Agreement and the 2013 Registrar Accreditation Agreement (RAA) regarding applicable Registration Data Directory Service (WHOIS) Specifications (see <https://www.icann.org/resources/pages/registry-agreement-raa-rdds-2015-04-27-en>).

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## ***Audit Program Update***

### **Registrar Accreditation Agreement (RAA) Audit Program Update**

The 2013 RAA audit round (launched on 14 September 2015) is now in the audit phase. As of 30 December 2015, the audit team has reviewed over 5,700 documents in ten languages received from 22 countries. The review is still underway. The initial audit reports will be issued to the contracted parties early February 2016.

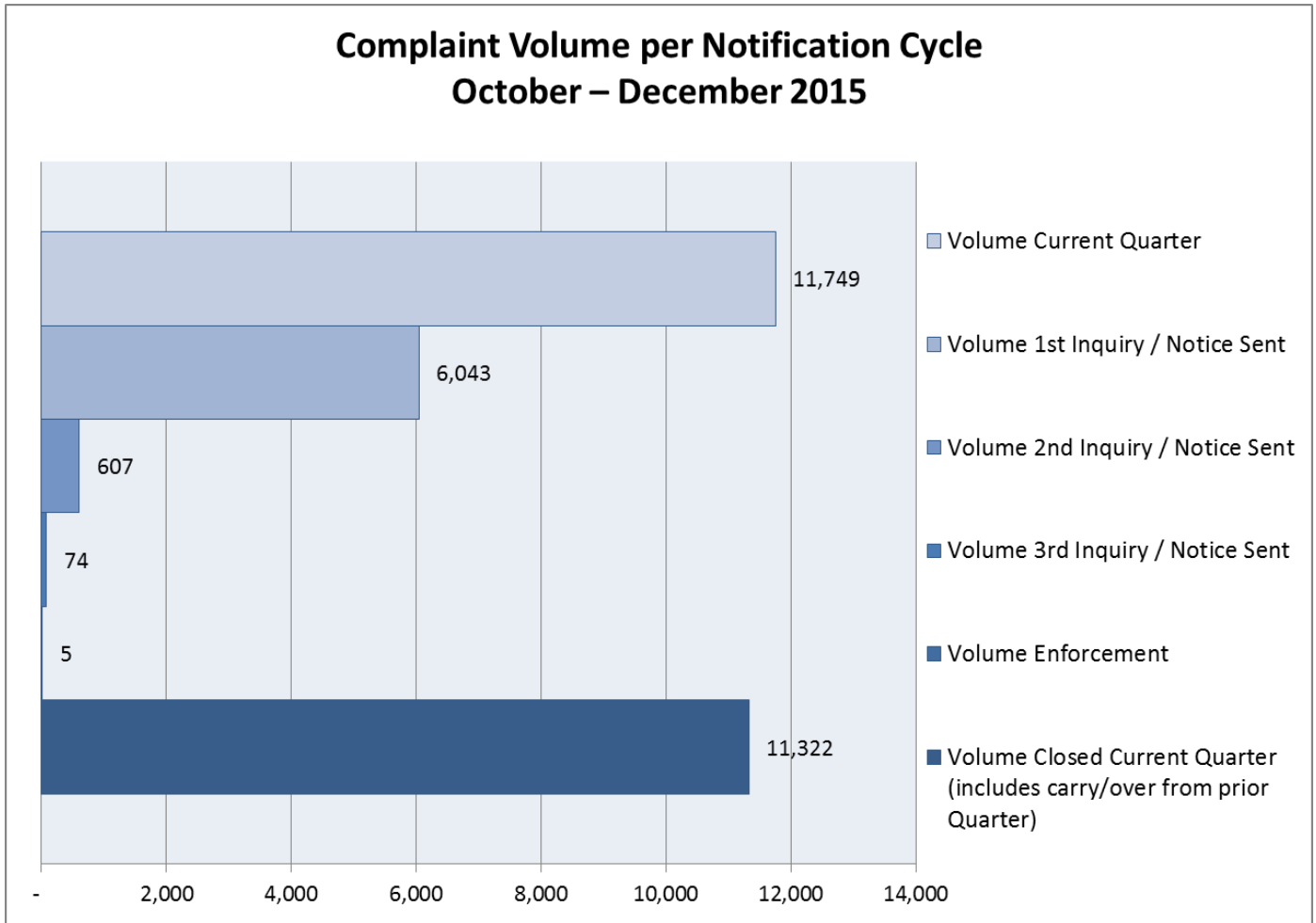
### **APAC Region - Audit Outreach**

Contractual Compliance conducted audit webinars on 30 November 2015. The webinars were targeted at APAC registries and registrars. Approximately 80 participants from the Asia Pacific region attended the webinars, with attendees from countries such as Australia, China

and Vietnam. It was an opportunity for the contracted parties to learn more about the compliance audit program, address common audit questions and learn about the structure of the audit report. On 1 and 2 December 2015, APAC contracted parties also took the opportunity to have one-on-one meetings with the audit team to ask more detailed questions regarding the audit program and processes.

**Complaints Handling and Enforcement Summary**

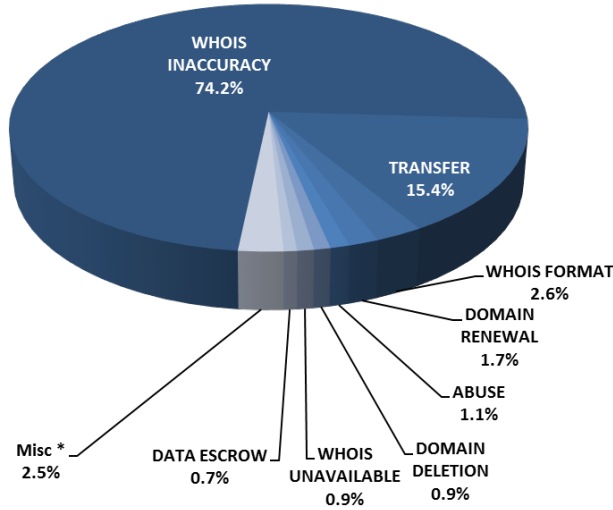
The table below shows the complaint volume as complaints advance through the overall contractual compliance Informal & Formal processes.



- **Volume Current Quarter** = tickets submitted in current quarter
- **Volume Closed before 1st Inquiry / Notice Sent** = number tickets closed before 1st Inquiry / Notice was sent in current quarter
- **Volume 1st Inquiry / Notice Sent** = number tickets where 1st Inquiry / Notice was sent in current quarter
- **Volume 2nd Inquiry / Notice Sent** = number tickets where 2nd Inquiry / Notice was sent in current quarter
- **Volume 3rd Inquiry / Notice Sent** = number tickets where 3rd Inquiry / Notice was sent in current quarter
- **Volume Enforcement** = number enforcements notices sent in current quarter
- **Volume Closed** = number tickets closed in current quarter

**Registrar - Volume Current Quarter** **Oct - Dec 2015**

**Complaint Distribution**



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

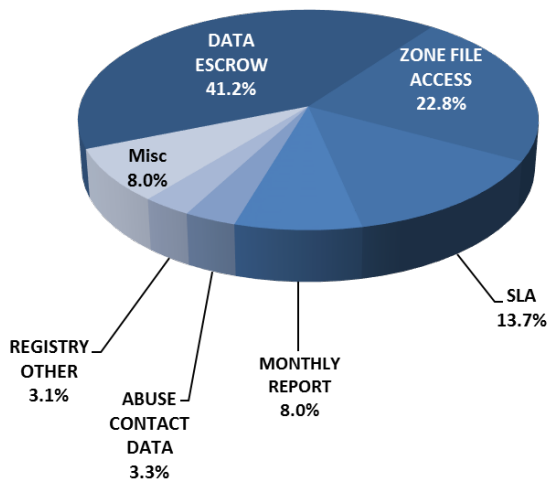
**Complaints**

Type	Quantity	Closed before 1 <sup>st</sup> Inquiry / Notice
ABUSE	120	84
CUSTOMER SERVICE	45	33
DATA ESCROW	82	0
DNSSEC, IDN, IPV6	10	8
DOMAIN DELETION	102	99
DOMAIN RENEWAL	187	107
FAILURE TO NOTIFY	6	5
PRIVACY/PROXY	5	3
REGISTRAR CONTACT	41	20
REGISTRAR INFO SPEC	47	19
REGISTRAR OTHER	9	5
RESELLER AGREEMENT	1	0
TRANSFER	1719	1011
UDRP	43	15
WHOIS FORMAT	293	168
WHOIS INACCURACY	8313	2923
WHOIS QUALITY REVIEW	1	0
WHOIS SLA	70	64
WHOIS UNAVAILABLE	102	53
<b>Total Complaints Processed</b>		<b>11,196</b>
<b>Total Complaints Closed</b>		<b>10,794</b>
<b>Total Closed before 1<sup>st</sup> Inquiry / Notice</b>		<b>4,617</b>

**Registry - Volume Current Quarter**

**Oct - Dec 2015**

**Complaint Distribution**



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

**Complaints**

Type	Quantity	Closed before 1 <sup>st</sup> Inquiry / Notice
ABUSE CONTACT DATA	18	20
BRDA	10	0
BULK ZFA	6	0
CLAIMS SERVICES	2	2
CODE OF CONDUCT	1	4
MONTHLY REPORT	44	0
PIC	5	4
REGISTRY DATA ESCROW	228	145
REGISTRY OTHER	17	9
RESERVED NAMES/CONTROLLED INTERRUPTION	12	8
RR-DRP	4	4
SLA	76	17
SUNRISE	2	0
URS	2	1
ZONE FILE ACCESS	126	34
<b>Total Complaints Processed</b>		<b>553</b>
<b>Total Complaints Closed</b>		<b>528</b>
<b>Total Closed before 1<sup>st</sup> Inquiry / Notice</b>		<b>248</b>

ENFORCEMENT ACTIVITY for December					
SENT DATE	DUE DATE	REGISTRAR	NOTICE TYPE	STATUS	FAILURE NOTICE BASIS
NONE	NONE	NONE	NONE	NONE	NONE
ENFORCEMENT ACTIVITIES from PRIOR MONTHS					
SENT DATE	DUE DATE	REGISTRAR	NOTICE TYPE	STATUS	FAILURE NOTICE BASIS
24-Sep-15	15-Oct-15	Gesloten Domain N.V.	Breach	Data and Documents Under Review by ICANN; Cure Period Extended Until 16 November 2015; Cure Period Extended Until 3 December 2015; Cure Period Extended Until 17 December 2015	Provide Whois Services (RAA 3.3.1) Publish on website name and position of officers (RAA 3.17/RIS 17) 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)
30-Oct-15	20-Nov-15	Hosteur SARL	Breach	Data and Documents Under Review by ICANN; Cure Period Extended Until 2 December 2015; Data and Documents Under Review by ICANN; Cure Period Extended Until 16 December 2015  Cure Period Extended Until 7 January 2016	Maintain and provide communication records (RAA 3.4.2/3) Validate and verify Whois contact information (RAA/WAPS 1, 2, 4) Provide domain name data in the specified response format (RAA-RDDS 1.4) Display correct ICANN Logo on website (RAA Logo License Appendix) Pay accreditation fees (RAA 3.9)
9-Nov-15	30-Nov-15	35 Technology Co., Ltd.	Breach	Data and Documents Under Review by ICANN; Cure Period Extended Until 30 December 2015	Maintain and provide communication records (RAA 3.4.2/3) Validate and verify Whois contact information (RAA/WAPS 1, 2, 4) 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) Pay accreditation fees (RAA 3.9)
16-Nov-15	7-Dec-15	Registration Technologies, Inc.	Breach	Breaches Cured	Maintain and provide communication records (RAA 3.4.2/3) Allow RNH to transfer domain name (IRTP 1) or provide valid reason for denial (IRTP 3) Provide domain name data in the specified response format (RAA-RDDS 1.4) 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)

					Publish on website description of procedures for the receipt and tracking of abuse reports (RAA 3.18.3)
					Publish on website name and position of officers (RAA 3.17 and RIS)
					Pay accreditation fees (RAA 3.9)
24-Nov-15		Premium Registrations Sweden AB	<i>Termination</i>		Cure any RAA breach within 15 working days (5.3.4 RAA)

Please refer to <https://features.icann.org/compliance> for up-to-date information.