

Contractual Compliance



Registry Stakeholder Group

9 April 2013

Agenda

- **General Updates**
- **Q&A**

Registries - Update

*Enhanced
Monthly
Report
Review
and
Data Escrow
Submission*

Monthly Report - Enhanced review process yielded greater visibility of data

- (a) Timeliness of Submissions
- (b) Completeness of Data
- (c) Integrity of data

Data Escrow - Enhanced visibility of submission issues and timeliness

ALL follow the informal 1-2-3 process

Consolidated Complaint System Update

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

Improved User Experience

- ✓ Moved complaint submission from Internic.net to ICANN.ORG
- ✓ Whois Inaccuracy rolled out 25 March 2013
- ✓ User Friendly & Easier Navigation
- ✓ Added site navigation based on complaint types
- ✓ Frequently Asked Questions and Guidance will be in 6 UN languages
- ✓ Filing a complaint in English
- ✓ Improved email correspondence to the complaint reporter and the Registrar/Registry
- ✓ Added a follow-up Continuous Improvement Pulse Survey for the reporter and contracted parties

Consolidated Complaint System Update

Rollout Plan for Consolidated Compliance System

By ICANN 47 - July 2013

- Move remaining complaint forms from Internic to ICANN.ORG
- Complete migration into consolidated complaint application
- Add capability to submit multiple complaints for same complaint type
- Finalize & implement Bulk Complaint into new system

By ICANN 48 - Nov 2013

- Prioritize & Define new Registry complaint
- Improve metric reporting application
- Migrate compliance functions into ICANN Enterprise CRM



Contractual Compliance Reporting

*Improved
Transparency*

Compliance Reporting:

- ✓ Publish Annual Report found at:
<http://www.icann.org/en/resources/compliance/reports>
- ✓ Publish Monthly Updates found at:
<http://www.icann.org/en/resources/compliance/reports>
- ✓ Reporting in 6 UN languages

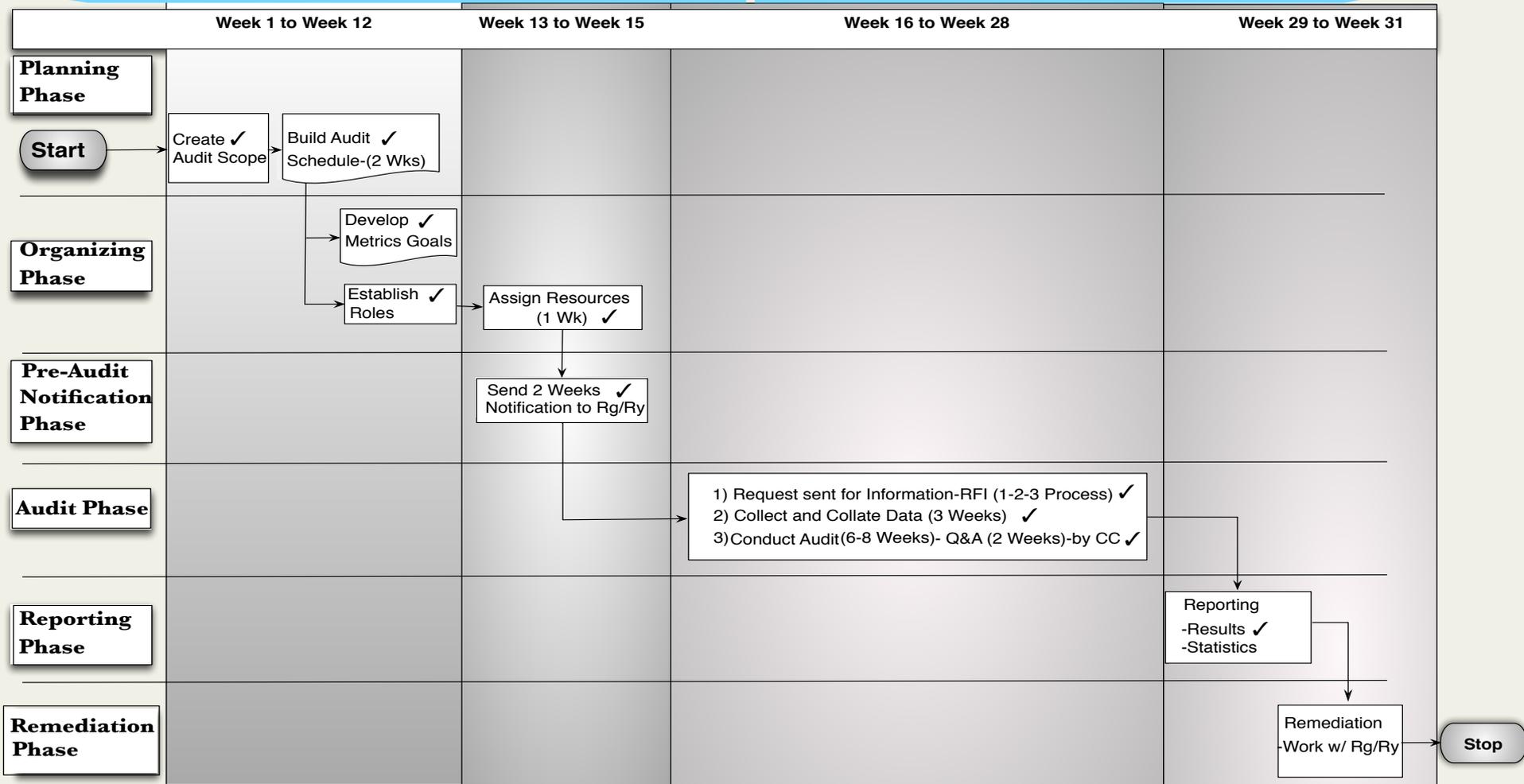
Compliance Global Metrics:

- ✓ Online Access to Compliance Metrics on MyICANN found at:
<https://www.myicann.org/>



Overview of Phases

2012-2015 Audit Process Flow



***Planning:**
13 Aug. 2012 to 30 Aug. 2012

***Organizing:**
30 Aug. 2012 to 30 Oct. 2012

***Organizing (resources):**
5 Nov. 2012 to 9 Nov. 2012

***Pre-Audit Notice:**
12 Nov. 2012 to 23 Nov. 2012

***RFI:** 26 Nov. 2012 to 4 Jan. 2012

***Audit (includes collection):** 7 Jan. 2013 to 29 Mar. 2013

***Questions/Answers:** 1 April 2013 to 12 April 2013

***Report Results:**
Approximately 15 April 2013 to 19 April 2013

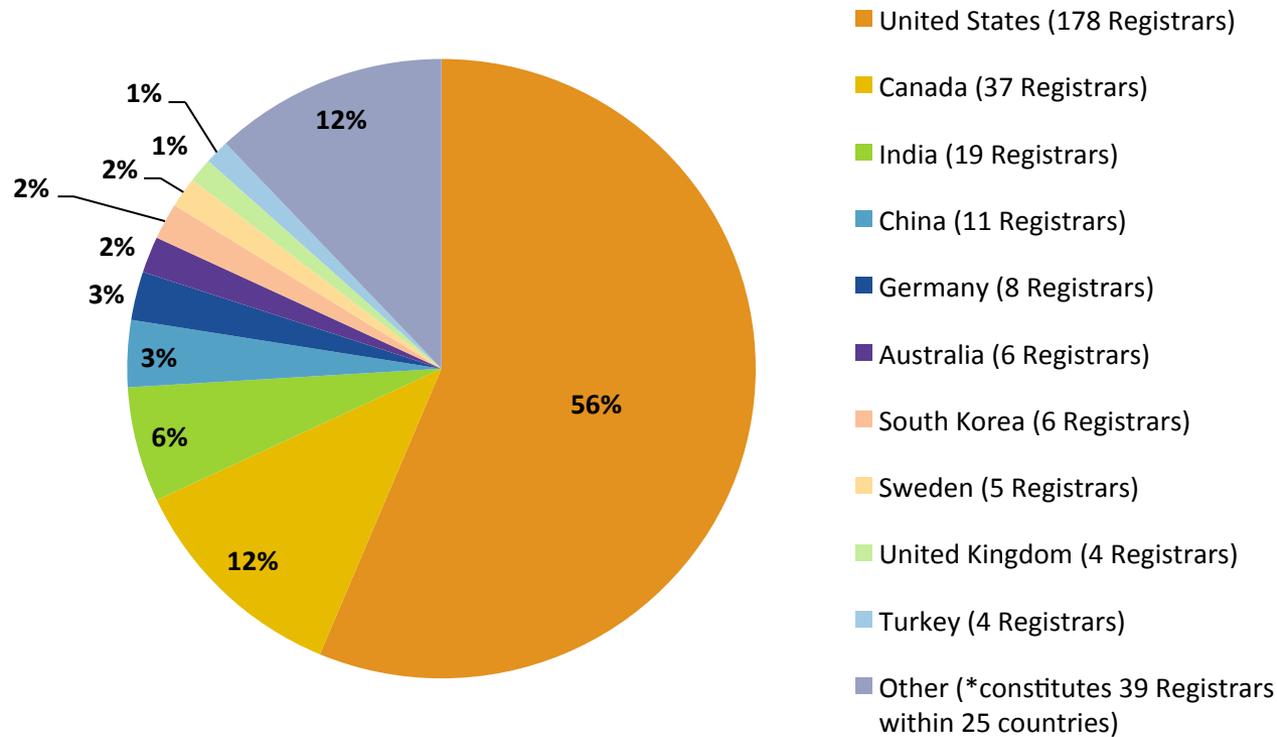
Remediation Efforts: 22 April 2013 to TBD (to be determined)

Countries Represented (Year 1)

Registries: 4 US TLDs, 1 Asia, 1 UK

Registrars:

Audit Year 1 – Top 10 Selected Registrar Countries



Language	# of Rg
1 Mandarin Chinese	12
2 Cantonese	1
3 Korean	6
4 French	6
5 German	6
6 Spanish	5
7 Swedish	5
8 Dutch	4
9 Turkish	4
10 Italian	3
11 Ukrainian	2
12 Hungarian	2
13 Polish	2
14 Russian	2
15 Japanese	2
16 Danish	2
17 Arabic	2
18 Hebrew	1
19 Portuguese	1
20 Vietnamese	1
21 Norwegian	1
Total Registrars	70

*Total count on countries covered- 35 Countries



Registry Observations

Reviewed and issued 5 TLD Audit Reports

+ Key observations:

- + Domain Data elements within the Data Escrow File did not match the Whois Port 43 query (i.e. expiration date missing)
- + Missing data in Host, Registrar and Domain Elements per the Data Escrow Specifications
- + Values for the domain element within the Data Escrow File were not present (i.e. Registrant state, Admin/Tech state)
- + Name servers do not match between the zone and escrow files

Next Steps: to collaborate with Registries to address individual observations noted within their respective reports.

Reporting Phase (Year 1)

“Public” Reports to be published by June 2013

- + List of Registrars/Registries
- + Statistics Reports (see Remediation section):
 - + RFI Phase Completion %, Audit Phase Completion %
 - + % Registrars with Deficiency (per provision)
 - + Breach Notice

“Non-Public” Reports

- + Audit Report results to every registrar and registry at Audit Phase completion

Wednesday Outreach Sessions Room

Room: Function Auditorium

11:00 - 12:30 Contractual Compliance Update

Additional Resources

- Learn more about ICANN Compliance

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

Thank You & Questions?

Please send questions to Compliance@icann.org
Subject line: ICANN46 Registry Stakeholder Group

Registry Compliance Obligations

- Timely Provide Monthly Reports
- Compare SLA requirements with actual performance measures in Monthly Reports
 - DNS Availability/Performance
 - Whois Availability/Performance/Outages
 - SRS Availability/Performance/Outages
- Escrow Registry Data
- Provide Whois service web and Port 43 access
- Provide Bulk Zone File Access
- Comply with Reserved Names Requirements
- Pay Required Fees

ICANN Contractual Compliance New Complaint Navigation, FAQ & Whois Inaccuracy Form

- Moved complaint submittal from Internic to ICANN.ORG
- Reorganized Complaint Navigation
- Improved Frequently Asked Question (FAQ) content
- Add Take Action column to search data or submit complaint
- Expands for remaining compliance complaints

Internet Corporation for Assigned Names and Numbers

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FAQs
Notices
Operating Plan
Outreach
Staff
Registries
Policy
TLD Acceptance

Contacting ICANN Regarding Contractual Compliance Complaint

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Submit a Complaint

Please refer to the table below to address the most common complaints ICANN receives on accredited registrars that may be in violation of the Registrar Accreditation Agreement (RAA) and/or the consensus policies.

"Learn More" links to Frequently Asked Questions on common topics. The "Take Action" column links to the appropriate form to file a complaint or lookup data.

Some complaints are outside of ICANN's scope and authority; for example, unsolicited commercial email, or spam. For this type of complaint, a referral is provided.

Help With?	Learn More	Take Action
Whois Complaints	About Whois Complaints	
Whois Inaccuracy	About Whois Inaccuracy	Whois Inaccuracy Form
Registrar Compliance	About RAA Complaints	Internic Problem Report
Registry Compliance	About Registry Compliance	email to compliance@icann.org
ccTLD Compliance	About ccTLD Compliance	

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