



Compliance update

Contractual Compliance | GDD Summit | 12 May 2017

Agenda

- ⦿ Compliance Data Update
- ⦿ Compliance Process and Approach
- ⦿ Compliance Enforcement Data
- ⦿ Questions & Answers

Compliance Data Update

The image features a world map where the continents are defined by a complex network of white dots and thin white lines. The dots vary in size and are interconnected by a web of lines, creating a digital or network-like appearance. The entire graphic is set against a solid orange background. The text 'Compliance Data Update' is positioned in the upper left quadrant of the map area.

Data Background

Background of effort:

- Request from the Identifier Technology Health Indicators team to provide Contractual Compliance Whois Inaccuracy Complaint statistics
- Goal is to use the data and evaluate the health of the domain name industry
- Summary of the data provided
 - Whois Inaccuracy Complaints total for 6 registrars
 - Date range January 2016 to December 2016
 - List of the gTLDs for the above complaints
 - Reporting on the data will be anonymized
 - The statistics provided relate to the Compliance Process
 - Volume of complaints received
 - Number of valid complaints sent to registrars
 - Sample provided on slide 13
- Contractual Compliance Metrics can be found at this link <https://features.icann.org/compliance>

January 2016 – Dec 2016 Whois Data Breakdown

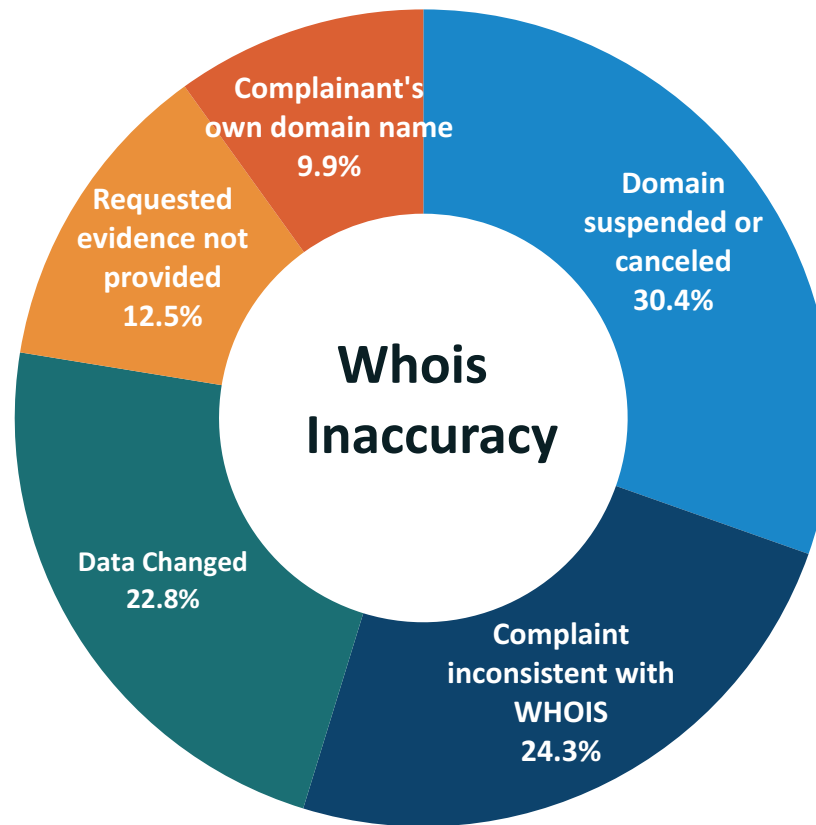
Four Whois Inaccuracy Categories:

1. Whois Bulk Submission – External complaints submitted in bulk by authorized users
2. Whois Accuracy Reporting System – ICANN proactive monitoring effort per Whois Review Team recommendation
3. Whois Quality Review – Internal monitoring to ensure continued compliance.
4. Individual Submissions - External complaints submitted by domain name

	Jan-16		Feb-16		Mar-16		Apr-16		May-16		Jun-16		Jul-16	
	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices
BULK SUBMISSION Total	319	333	395	286	41	22	28	18	47	29	1114	805	545	593
INDIVIDUAL SUBMISSION Total	1766	977	1932	948	2145	1154	1651	738	1675	744	1698	713	1422	650
WHOIS ARS Total														
WHOIS QUALITY REVIEW Total														
Grand Total Whois Inaccuracy	2085	1310	2327	1234	2186	1176	1679	756	1722	773	2812	1518	1967	1243
Grand Total all complaint types	3056	1596	3455	1848	3295	1522	2583	1044	2695	1026	3634	1728	2888	1552

	Aug-16		Sep-16		Oct-16		Nov-16		Dec-16		Total Complaints	Total 1st Notices
	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices	Complaints	1st Notices		
BULK SUBMISSION Total	334	428	240	354	85	84	9	9	136	88	3293	3049
INDIVIDUAL SUBMISSION Total	1676	878	1733	805	1487	630	1655	678	1592	478	20432	9393
WHOIS ARS Total			3005	965	1001	560	608	73	3944	729	8558	2327
WHOIS QUALITY REVIEW Total	3	3	2	2	3	3	1	3	0	1	9	12
Grand Total Whois Inaccuracy	2013	1309	4980	2126	2576	1277	2273	763	5672	1296	32292	14781
Grand Total all complaint types	2978	1685	5755	2375	3209	1459	3058	971	6550	1490	43156	18296

Registrar Whois Inaccuracy Closure Reasons (Oct 2016 – Jan 2017)



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

The background of the slide is a solid orange color. Overlaid on this is a stylized world map. The map is formed by a network of small white dots connected by thin white lines, creating a mesh-like structure that outlines the continents. The text 'Compliance Process' is centered horizontally and vertically over the map.

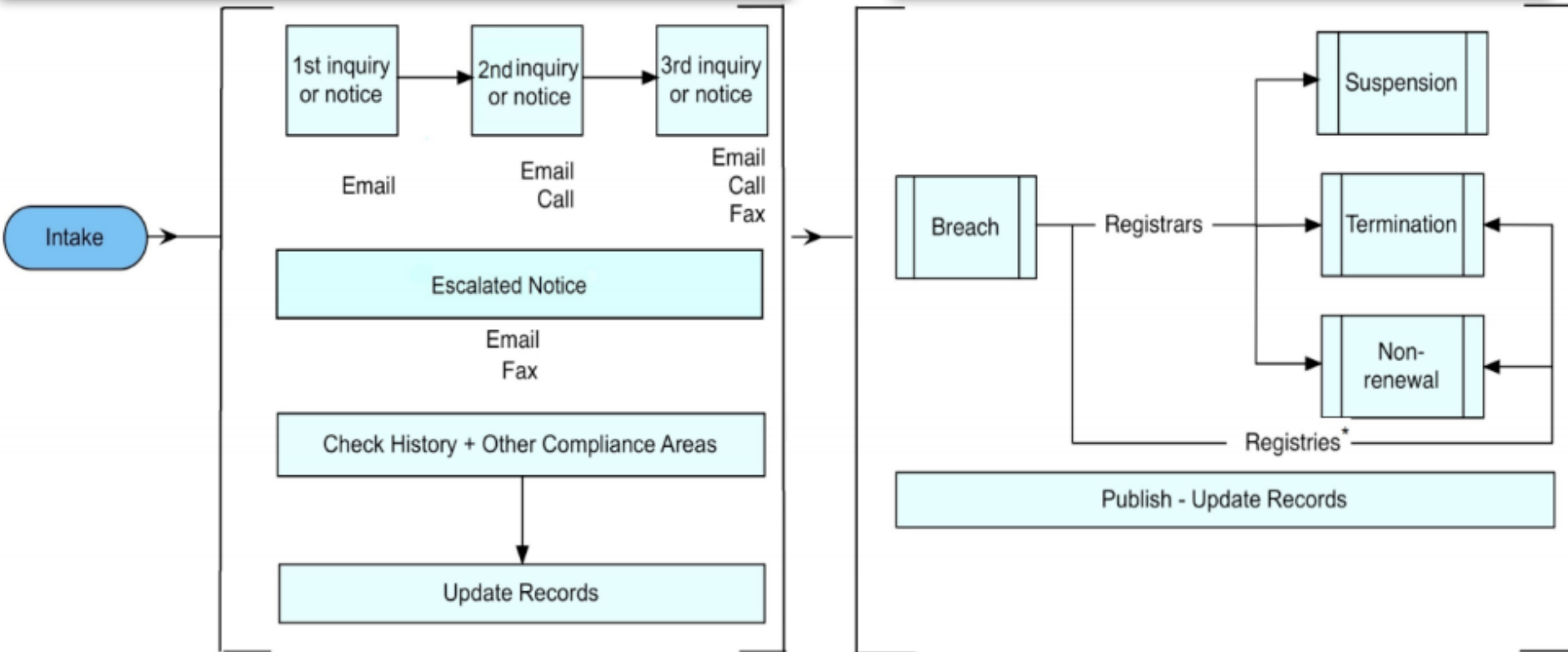
Compliance Process

Contractual Compliance Approach & Process

OVERALL COMPLIANCE APPROACH

PREVENTION STAGE (Informal Resolution)

ENFORCEMENT STAGE (Formal Resolution)



Whois Inaccuracy Complaint Review Process

Registrars are contractually required by the 2013 RAA to conduct verification, validation and confirmation of the accuracy of Whois information.

Summary of the review process:

- ICANN receives and reviews complaints for completeness and scope
- Follow up with reporter if unclear on the inaccuracy reported
- Send an inquiry or a notice to a registrar based on the non-compliance issue and data provided
- Registrar takes the appropriate action where applicable and responds to ICANN

Details on the process and review can be found at this link

<https://www.icann.org/en/system/files/files/registrar-compliance-program-03nov16-en.pdf>

Whois Inaccuracy Complaint Review Process

To demonstrate compliance, a 2013 RAA registrar must:

- Contact the Registered Name Holder (RNH).
- Verify the RNH email address with an affirmative response.
- Provide the results of the registrar's investigation.
- Validate the format of the WHOIS information.
- Suspend domain within 15 days if unable to verify.
- Upon closure of a complaint, a resolution code is assigned to the complaint detailing the outcome of the review. Such codes can be used to track these complaints.

The background of the slide is a solid orange color. Overlaid on this is a stylized world map. The map is constructed from a network of small white dots connected by thin white lines, creating a mesh-like structure that follows the general outline of the continents. The dots are of varying sizes and are more densely packed in some areas, particularly in North America and Europe. The overall effect is a modern, digital representation of global connectivity.

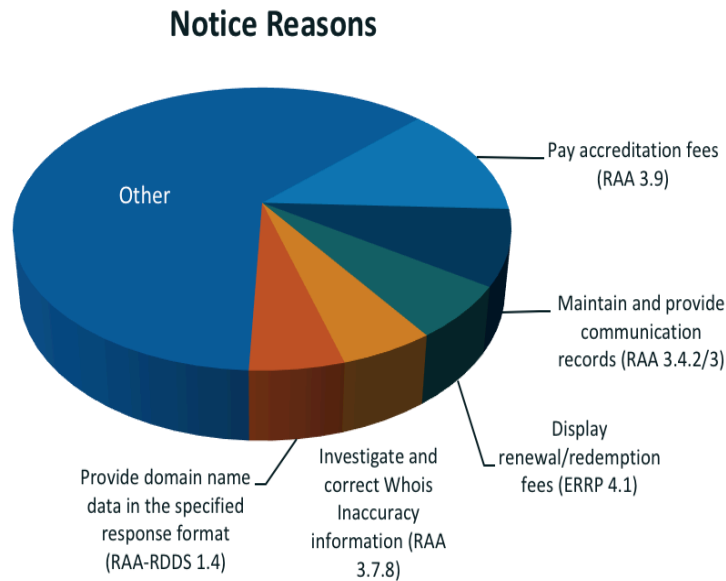
Compliance Enforcement Statistics

ICANN Enforcement of WHOIS Verification, Validation and Accuracy Requirements

For Enforcement list of Registrars - <https://features.icann.org/compliance/enforcement-notices>

For additional details by Registrar please refer to the Notice Page at <https://www.icann.org/compliance/notices>

Formal Notice Activity – Year 2016



Notices	Qty
Breach	25
Contract Non-Renewal	0
Suspension	4
Termination	4

Breach Notice Reason*	Qty*
Failure Notice Reasons	119
• Cured	74
• Not Cured	45

*A single Breach may contain multiple Notices Reasons.

Formal Notice Reasons	Percent
Pay accreditation fees (RAA 3.9)	13 %
Maintain and provide communication records (RAA 3.4.2/3)	9 %
Display renewal/redemption fees (ERRP 4.1)	6 %
Investigate and correct Whois Inaccuracy information (RAA 3.7.8)	5 %
Provide domain name data in the specified response format (RAA-RDDS 1.4)	5 %
Other* (Appendix B)	62 %

Sample of Whois Inaccuracy Data provided

Registrar	Domain Count (as of Dec 2016)	Jan-16			Feb-16			Mar-16			Apr-16			May-16			Jun-16		
		# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized
Registrar A	39,491			0.0000%															
Registrar B	54,513,649	257	177	0.0005%	284	171	0.0005%	394	250	0.0007%	328	222	0.0006%	280	179	0.0005%	238	126	0.0004%
Registrar C	2,933,243	39	24	0.0013%	39	40	0.0013%	1	1	0.0000%	6	6	0.0002%	3	2	0.0001%	2	2	0.0001%
Registrar D	6,121,995	74	42	0.0012%	97	54	0.0016%	108	57	0.0018%	78	33	0.0013%	69	30	0.0011%	80	26	0.0013%
Registrar E	14,218	1	-	0.0070%	4	2	0.0281%	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%	2	1	0.0141%
Registrar F	9,672,001	164	19	0.0017%	153	33	0.0016%	140	21	0.0014%	102	14	0.0011%	113	13	0.0012%	128	18	0.0013%
gTLD																			
TLD1	2,374,351	7	3	0.0003%	9	5	0.0004%	18	15	0.0008%	8	4	0.0003%	10	4	0.0004%	11	3	0.0005%
TLD2	131,335,259	1,372	800	0.0010%	1,779	981	0.0014%	1,502	857	0.0011%	1,247	603	0.0009%	1,258	606	0.0010%	2,363	1,351	0.0018%
TLD3	16,137,423	412	400	0.0026%	234	172	0.0015%	209	138	0.0013%	123	53	0.0008%	134	61	0.0008%	163	85	0.0010%
TLD4	231,862	-	-	0.0000%	1	1	0.0004%	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%
TLD5	6,750,951	7	2	0.0001%	1	-	0.0000%	37	29	0.0005%	8	8	0.0001%	9	4	0.0001%	21	10	0.0003%

Registrar	Jul-16			Aug-16			Sep-16			Oct-16			Nov-16			Dec-16		
	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized	# of Complaints	# of 1st Notices	Normalized
Registrar A			0.0000%			0.0000%			0.0000%			0.0000%			0.0000%			0.0000%
Registrar B	269	169	0.0005%	345	235	0.0006%	296	192	0.0005%	298	194	0.0005%	381	265	0.0007%	285	161	0.0005%
Registrar C	-	-	0.0000%	3	3	0.0001%	2	1	0.0001%	15	2	0.0005%	4	2	0.0001%	28	27	0.0010%
Registrar D	57	25	0.0009%	82	41	0.0013%	134	96	0.0022%	147	101	0.0024%	92	42	0.0015%	68	37	0.0011%
Registrar E	-	1	0.0000%	1	-	0.0070%			0.0000%	1	-	0.0070%			0.0000%			0.0000%
Registrar F	145	32	0.0015%	146	29	0.0015%	127	28	0.0013%	140	27	0.0014%	137	13	0.0014%	125	11	0.0013%
gTLD																		
TLD1	13	1	0.0005%	20	12	0.0008%	8	3	0.0003%	12	5	0.0005%	12	-	0.0005%	15	3	0.0006%
TLD2	1,416	1,100	0.0011%	1,209	701	0.0009%	1,514	858	0.0012%	1,118	532	0.0009%	1,232	578	0.0009%	1,225	411	0.0009%
TLD3	111	48	0.0007%	393	213	0.0024%	149	194	0.0009%	121	53	0.0007%	117	42	0.0007%	100	29	0.0006%
TLD4	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%	-	-	0.0000%
TLD5	12	12	0.0002%	10	7	0.0001%	5	4	0.0001%	7	3	0.0001%	4	3	0.0001%	4	3	0.0001%



Send compliance questions

To: compliance@icann.org

Subject line: GDD Summit ITHI Update Session

Additional Resources on Reporting and Performance Measurement can be found at this link:

<https://www.icann.org/resources/compliance-reporting-performance>