

I C A N N

COMMUNITY FORUM

61

SAN JUAN

10-15 March 2018



Registry Outreach

ICANN Contractual Compliance



ICANN 61

Due to ICANN61 schedule conflict, this session was not on the schedule

Agenda

- ⦿ Brief Update Since ICANN 60
 - ⦿ Registry Compliance Update
 - ⦿ Performance Measurement & Reporting Update
 - ⦿ Contractual Compliance Audit Update
- ⦿ Questions & Answers
- ⦿ Appendix for your reference
 - ⦿ Policy Update
 - ⦿ Additional Audit Slides

Registry Compliance Update

RA Compliance Update

1

Protection of IGO/INGO Identifiers in All gTLDs Policy
Implementation of New Consensus Policy

2

Specification 11, Section 3b Security Threat Technical Analysis and Reporting – Common Practices

Common practices by Registry Operators regarding identification of and reporting of security threats, as observed by ICANN

3

ICANN Approval Prior to Implementation

Complying with requirements for notification to and approval by ICANN of new or changed services, changes of control or MSA prior to implementation

1. Protection of IGO/INGO Identifiers in All gTLDs

Implementation of New Consensus Policy

- ⦿ For protection of specific names of intergovernmental organizations (IGOs) and international nongovernmental organizations (INGOs) identifiers
- ⦿ Relates only to identifiers approved by ICANN Board (published lists at <https://www.icann.org/sites/default/files/packages/reserved-names/ReservedNames.xml>)
 - ⦿ Provides for exception procedure for registration of IGOs and requires claims notices for second level INGOs identifiers
 - ⦿ Excludes identifiers pending Board approval or completion of GNSO policy process, such as IGO acronyms list
- ⦿ Contracted parties must implement requirements:
 - ⦿ by 1 August 2018 for IGOs identifiers related to IGOs, International Olympic Committee and Red Cross/Red Crescent Movement
 - ⦿ for INGOs identifiers, 12 months from release of INGO Claims System Specification (currently under development by ICANN org)

2. Security Threat Reports Common Practices

Specification 11, Section 3b Security Threat Technical Analysis and Reporting – Common Practices Observed by ICANN

- ⦿ Analyses performed by external party or internally by Registry Operator / Registry Service Provider
- ⦿ Statistical reports most commonly include:
 - ⦿ Number of domain names reviewed during analysis
 - ⦿ List of domain names with potential threats
 - ⦿ Type of the threat identified - malware, botnets
 - ⦿ Type of actions taken in response to threats
 - ⦿ Status (open/pending/closed) and statistics on actions taken
 - ⦿ Additional details on threats such as IP address, geographic location and registrant information
 - ⦿ Trends and alerts
- ⦿ Most common periodicity is daily reporting
- ⦿ Reports are shared with registrars to address domains with identified threats

3. ICANN Approval Prior To Implementation

Complying with requirements for notification to and approval by ICANN

- ⦿ Sections 2.1 and 7.5 of the Registry Agreement
 - ⦿ Advance notice to ICANN
 - ⦿ Approval from ICANN required prior to implementation
 - ⦿ Collaborate with ICANN and Registry Engagement Manager
- ⦿ Approved/Additional Services require evaluation for security, stability and competition issues via Registry Services Evaluation Policy (RSEP)
- ⦿ Change of Control: direct or indirect change of Registry Operator or material subcontracting arrangement (MSA) related to Critical Function (including redundancies for those functions)
 - ⦿ MSA Critical Function defined in Specification 10: DNS Service, DNSSEC, EPP, RDDS and Data Escrow
- ⦿ Additional information, including how-to guides, are published on icann.org

Performance Measurement & Reporting Update

Enhancing Transparency in Reporting

Enhanced Monthly Reporting

- ◉ Additional metrics on complaints related to the Governmental Advisory Committee (GAC) Category 1 Safeguards and Complaint Type:
 - ◉ GAC Category 1 Safeguards categories: Children, Environmental, Health and Fitness, Financial, Charity, Education, Intellectual Property, Professional Services, Corporate Identifiers, Generic Geographic Terms, Health and Fitness, Gambling, Charity, Education, Professional Services, Corporate Identifiers, Bullying/Harassment and Governmental Functions
- ◉ Monthly dashboards and Learn More on additional metrics published at <https://features.icann.org/compliance/dashboard/report-list>

Enhancing Transparency in Reporting (cont'd)

New Quarterly Reporting

- ⦿ Registrar Closed Complaints by Closure Code and Registry Closed Complaints by Closure Code have been added beginning with 2017 Quarter Four
- ⦿ Reports include closed complaints grouped by:
 - ⦿ **Resolved** = the reporter's complaint has been resolved or the contracted party has reviewed the complaint, responded to ICANN and/or demonstrated compliance
 - ⦿ **Out of Scope** = the complaint cannot be addressed by ICANN because it is invalid or out of scope of ICANN's agreements/policies; or does not meet the minimum threshold for processing
 - ⦿ **ICANN Issue** = the complaint should not have been sent to contracted party due to ICANN error; or internal ICANN process needs to be completed before the Compliance process can continue
 - ⦿ A fourth category - **Other** - represents complaints previously closed which have been reopened and are currently active
- ⦿ Reports are published at <https://features.icann.org/compliance/dashboard/report-list>

Contractual Compliance Audit Update

Registry Audit

Registry Operator Audit Update

Registry Agreement Audit since ICANN 60

- ⦿ September 2017 audit:
 - ⦿ Completed February 2018; report being finalized for publication
 - ⦿ 8 Registry Operators from 3 countries, covering 10 top-level domains
 - ⦿ Included top-level domains subject to Category 1 safeguards (i.e., consumer protection, sensitive strings, and regulated markets)
 - ⦿ Reports sent January - March 2018:
 - ⦿ 4 Registry Operators, covering 5 top-level domains received reports without findings
 - ⦿ 5 Registry Operators, covering 5 top-level domains received final partially remediated reports
 - ⦿ These registry operators will be retested in future audit
- ⦿ March 2018 audit:
 - ⦿ In progress – request for information phase
 - ⦿ 5 Registry Operators from 4 countries, covering 20 top-level domains
 - ⦿ Includes top-level domains not subject to prior audit

Questions & Answers



Send compliance questions

To: compliance@icann.org

Subject line: ICANN 61 Registry Outreach Session

The ICANN 61 presentations are available at:

- The ICANN Contractual Compliance outreach page at this link <https://www.icann.org/resources/compliance/outreach>
- The ICANN 61 Schedule page at this link <https://schedule.icann.org/>

Appendix

Policy Efforts

Additional Audit Slides

Policy Efforts

Policy and Working Group Efforts – Registry

Actively contributing to Registry-related policies, Working Groups and Implementation Review Teams

- ⦿ Competition, Trust and Choice Review
- ⦿ Rights Protection Mechanism Review
- ⦿ New gTLD Subsequent Procedures
- ⦿ Thick WHOIS & Registration Data Access Protocol (RDAP)
 - ⦿ RDAP Pilot information at <https://community.icann.org/display/RP/RDAP+Pilot>
- ⦿ Security, Stability and Resiliency Review Team
- ⦿ Internationalized Domain Name guidelines

Additional Audit

Contractual Compliance Audit Phases



- **Pre-Audit Notification** is sent to contracted parties in scope of audit round (auditees) 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.

Contractual Compliance Audit Program Materials

<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