

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

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General Update

ICANN Contractual Compliance joined ICANN's Global Domains Division, ICANN accredited Registries and Registrars in a three day summit in Santa Monica, California for the GDD Industry Summit 9-11 September 2015. The summit's agenda and recordings of the sessions can be found <https://www.icann.org/gddsummit>.

Contractual Compliance Initiatives and Improvements

System Update

In the third quarter of 2015, the Contractual Compliance system improvements were based on feedback from the reporters, the contracted parties and the different policy updates in progress. Below a brief description of the improvements:

1. Modified the closure notice to include a brief summary for the closure reason of a complaint in an effort to bring clarity on the resolution
2. Updated the Uniform Domain Name Dispute Resolution Policy (UDRP) complaint web form and templates to align with update to Rules for UDRP effective 31 July 2015
3. Software update to address a security vulnerability and feature improvements in the system

Participation in ICANN Policy Development Process

The team participated in a variety of ICANN policy efforts, including implementation of Inter-Registrar Transfer Policy (IRTP) Parts C and D, the 2013 RAA Whois Accuracy Program Specification Review, Thick Whois

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.

implementation and the following Working Groups: Privacy & Proxy Services Accreditation, Protection of IGO and INGO Identifiers in all gTLDs and IGO-INGO Access to Curative Rights Protection Mechanisms.

Contractual Compliance Online Learning

ICANN launched a video on “Getting to Know Contractual Compliance” in an effort to briefly explain how ICANN’s Contractual Compliance can help with domain name registration issues. In addition to the 2 minute video, ICANN put together a chart on “What is a Contractual Compliance Complaint” to bring clarity on the complaint scope and key players. They are available in eight languages, Arabic, English, French, Japanese, Korean, Mandarin, Russian and Spanish and can be found <https://www.icann.org/resources/pages/compliance-2012-02-25-en>.

Please click on this link

<https://features.icann.org/plan/portfolio/5480de6f0015c8b8118fbf7fe1782d55> to learn more about the Contractual Compliance Initiatives and Improvements.

Registrar Update

Whois Accuracy Reporting System (ARS) Activities

During this quarter, ICANN efforts were focused on the Whois ARS Phase 1, which is limited to syntax validation. This phase included review of data, reporting and participating in an informational webinar. The webinar is published at (<http://whois.icann.org/en/file/whois-ars-phase-1-report-webinar-powerpoint>). The Whois ARS Phase 1 Report is published at this link (<http://whois.icann.org/en/file/whoisars-phase1-report>). Per report, 70% of the 10,000 sampled domain names passed all syntax tests for all contact types (Registrant, Administrative, Technical) and contact modes (email address, telephone number, postal address). Contractual Compliance will review the remaining domain names and where appropriate forward to registrars to resolve the Whois inaccuracy and Whois format issues. ICANN is in the process of updating the compliance system to allow for the Whois ARS import utility, to create compliance tickets based on the updated Whois ARS report format. Processing of the complaints is expected to begin mid-October 2015.

Compliance also worked with the Whois ARS team to ensure Whois ARS Phase 2 (which will test operability) aligns with the Registrar Accreditation Agreement (RAA) and ICANN process.

Registry Update

New Registry Agreement Compliance

During this quarter, ICANN continued to monitor registry operators’ compliance with the obligations of the new Registry Agreement (RA) through internal monitoring efforts, processing of complaints and monitoring of external sources, such as industry blogs.

gTLD Registry Advisory for non-compliant Repository Object Identifiers

On 26 August 2015, ICANN published a gTLD Registry Advisory regarding the correction of non-compliant ROIDs

(<https://www.icann.org/resources/pages/correction-non-compliant-roids-2015-08-26-en>). The advisory provides registry operators using non-compliant Repository Object Identifiers (ROIDs) with the requirements to correct such ROIDs, while reducing impact on third parties. Per the RA, the use of ROIDs is required in the Registration Data Directory Service (RDDS) output, data escrow, Bulk Registration Data Access (BRDA), Extensible Provisioning Protocol (EPP) and Trademark Database List of Registered Domain Names (LORDN) files. Starting on 2 November 2015, ICANN will report warnings for deviations to the registry in an effort to alert registry operators of non-compliant ROIDs that will need to conform to the advisory's requirements. Strict enforcement for deviations will start on 31 January 2016.

Continued Operations Instrument (COI) Amendment Service Announced

On 15 September 2015, ICANN launched the Continued Operations Instrument (COI) Amendment Service (<https://www.icann.org/news/announcement-3-2015-09-15-en>). Specification 8 of the Registry Agreement states that Registry Operators shall have a COI that provides for sufficient financial resources to cover the five critical registry functions. Should a COI be insufficiently funded, ICANN will ask the Registry Operator to use the amendment service to update its COI within 60 days. A webinar (<https://www.icann.org/resources/pages/coi-2015-09-28-en>) regarding the service was conducted on 30 September 2015.

APAC Regional Update

The Contractual Compliance team conducted a webinar targeted at APAC Registrars on 13 August 2015. The objective of the webinar was to discuss common recurring challenges faced by APAC Registrars in recent months, including the UDRP and abuse complaint handling. The webinar material can be found at this

link: <https://community.icann.org/display/GSEAPAC/APAC+Webinars>.

Contractual Compliance, together with Registrar Services, also conducted outreach in Seoul, Korea on 20 August 2015. Approximately 20 Korean contracted parties met with ICANN's Seoul representatives and APAC staff. It was an opportunity for the contracted parties to collaborate and gain a better understanding on the processing of UDRP and abuse complaints and to learn more about the compliance audit program.

Audit Program Update

New Registry Agreement Audit Update

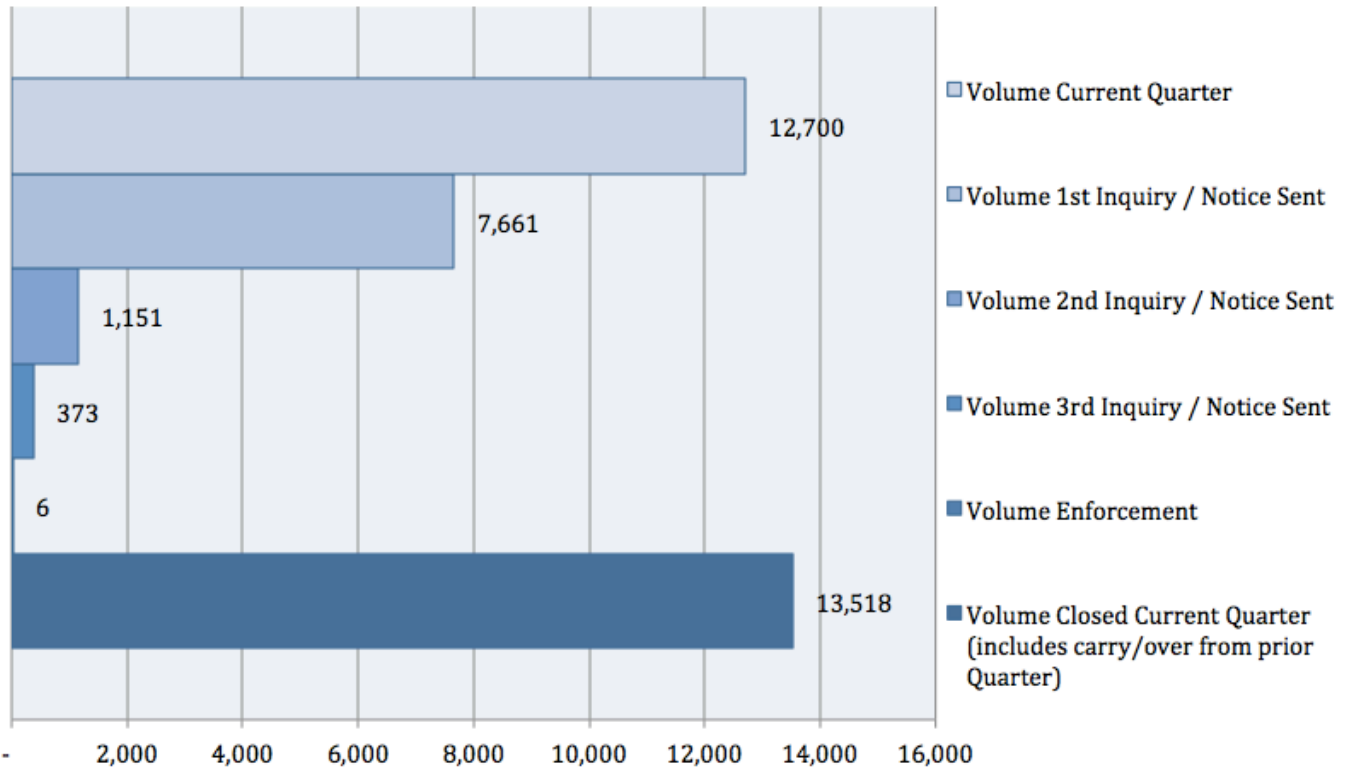
The New Registry Agreement Audit Program round that was launched in March 2015 has been completed. Ten of eleven gTLD Registry Operators addressed the initial findings and implemented corrective actions. One gTLD Registry Operator, as of the end of the third quarter 2015, is in the remediation phase continuing to resolve remaining issues while reporting its progress to ICANN. Please refer to the March 2015 New Registry Audit Report at this link: <https://www.icann.org/resources/pages/compliance-reports-2015-04-15-en>.

Registrar Accreditation Agreement Audit Program Update

A new Registrar Audit round was launched on 14 September 2015. The objective is to confirm Registrars' compliance with the 2013 RAA. The RFI (Request For Information) data collection phase is currently in-progress. Details regarding the goal, scope and timeline, please refer to the outreach at this link <https://www.icann.org/en/system/files/files/compliance-registrar-audit-21sep15-en.pdf>.

Complaints Handling and Enforcement Summary

**Complaint Volume per Notification Cycle
July - September 2015**

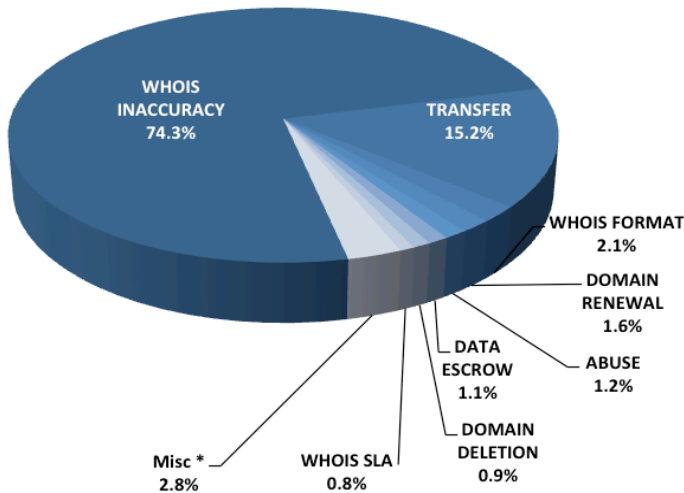


- **Volume Current Quarter** = tickets submitted in current quarter
- **Volume Closed before 1st Inquiry / Notice Sent** = number tickets closed before 1st Inquiry / Notice was sent in current quarter
- **Volume 1st Inquiry / Notice Sent** = number tickets where 1st Inquiry / Notice was sent in current 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 enforcement notices sent in current quarter
- **Volume Closed** = number tickets closed in current quarter

Registrar - Volume Current Quarter

Jul-Sep 2015

Complaint Distribution



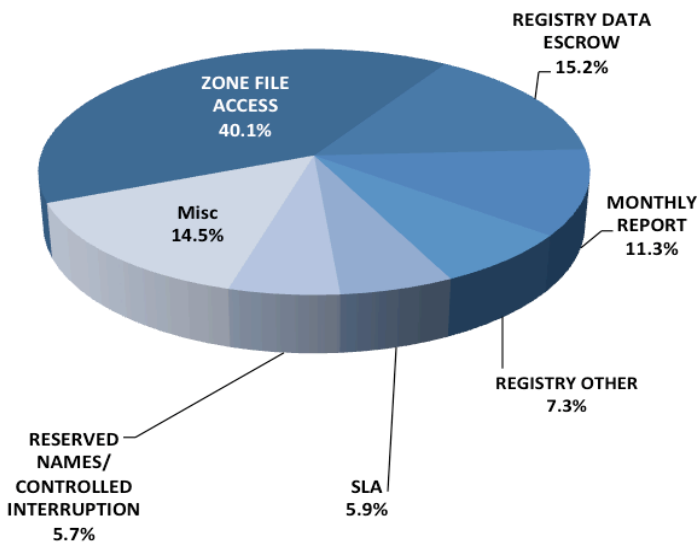
Complaints

Type	Quantity	Closed before 1 st Inquiry / Notice
ABUSE	146	80
CUSTOMER SERVICE	42	43
DATA ESCROW	130	0
DNSSEC, IDN, IPV6	1	1
DOMAIN DELETION	112	108
DOMAIN RENEWAL	200	84
FAILURE TO NOTIFY	2	3
FEES	13	12
PRIVACY/PROXY	11	10
REGISTRAR CONTACT	34	10
REGISTRAR INFO SPEC	41	23
REGISTRAR OTHER	15	2
RESELLER AGREEMENT	1	0
TRANSFER	1840	1167
UDRP	64	41
WHOIS FORMAT	250	231
WHOIS INACCURACY	9023	3221
WHOIS QUALITY REVIEW	37	0
WHOIS SLA	94	96
WHOIS UNAVAILABLE	85	29
Total Complaints Processed		12,141
Total Complaints Closed		13,036
Total Closed before 1st Inquiry / Notice		5,161

Registry - Volume Current Quarter

Jul-Sep 2015

Complaint Distribution



Complaints

Type	Quantity	Closed before 1 st Inquiry / Notice
ABUSE CONTACT DATA	11	8
BRDA	9	0
BULK ZFA	6	0
CLAIMS SERVICES	1	1
CODE OF CONDUCT	5	2
MONTHLY REPORT	63	1
PIC	6	6
REGISTRY DATA ESCROW	85	0
REGISTRY FEES	27	1
REGISTRY OTHER	41	13
RESERVED NAMES/ CONTROLLED INTERRUPTION	32	16
RR-DRP	12	12
SLA	33	5
URS	3	3
WILDCARD PROHIBITION	1	1
ZONE FILE ACCESS	224	58
Total Complaints Processed		559
Total Complaints Closed		482
Total Closed before 1st Inquiry / Notice		127

ENFORCEMENT ACTIVITY for SEPTEMBER

SENT DATE	DUE DATE	REGISTRAR	NOTICE TYPE	STATUS	FAILURE NOTICE BASIS
1-Sep-15	22-Sep-15	Arsys Internet, S.L. dba NICLINE.COM	Breach	Data and Documents Under Review by ICANN; Cure Period Extended Until 30 September 2015; Data and Documents Under Review by ICANN; Cure Period Extended Until 9 October 2015; Cure Period Extended Until 19 October 2015	Maintain and provide communication records (RAA 3.4.2/3)
					Take reasonable steps to investigate claimed Whois inaccuracies (RAA 3.7.8)
					Validate and verify Whois contact information (RAA/WAPS 2 & 4)
					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)
Provide domain name data in the specified response format (RAA-RDDS 1.4)					
23-Sep-15		Catalog.com	Suspension	<i>Effective: from 13 October 2015 to 11 January 2016</i>	Cure breaches of the RAA within 21 days (5.5.4 RAA)
23-Sep-15		DropLabel.com, Inc.	Termination	<i>Effective: 23 October 2015</i>	Cure breaches of the RAA within 21 days (5.5.4 RAA)
24-Sep-15	15-Oct-15	Gesloten Domain N.V.	Breach		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)

ENFORCEMENT ACTIVITIES from PRIOR MONTHS

SENT DATE	DUE DATE	REGISTRAR	NOTICE TYPE	STATUS	FAILURE NOTICE BASIS
2-Jun-15	23-Jun-15	Catalog.com	Breach	Cure Period Extended Until 26 June 2015; Cure Period Extended Until 7 July 2015; Cure Period Extended Until 29 July 2015; Cure Period Extended Until 12 August 2015; Data and Documents Under Review by ICANN; Cure Period Extended Until 25 August 2015; Cure Period Extended Until 4 September 2015; Escalated to Suspension	Maintain and provide communication records (RAA 3.4.2/3)
					Validate and verify Whois contact information (RAA/WAPS 1, 2, 4)
					Display link to ICANN's Registrant Educational Information (RAA 3.16)
					Publish on website name and position of officers (RAA 3.17/RIS 17)
					Publish on website correspondence address (RAA 3.17/RIS 7)
					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)
Provide Whois Services (RAA 3.3.1)					

					<p>Publish on website link to Registrants' Benefits and Responsibilities Specification (RAA 3.7.10)</p> <p>Display renewal/redemption fees (ERRP 4.1)</p> <p>Display correct ICANN Logo on website (RAA Logo License Appendix)</p>
4-Jun-15	25-Jun-15	Internet Solutions (Pty) Ltd.	Breach	Cure Period Extended Until 9 July 2015; Cure Period Extended Until 22 July 2015; Data and Documents Under Review by ICANN; Cure Period Extended Until 5 August 2015; Data and Documents Under Review by ICANN; Cure Period Extended Until 12 August 2015; Cure Period Extended Until 21 August 2015; Breaches Cured	<p>Pay accreditation fees (RAA 3.9)</p> <p>Display renewal/redemption fees (ERRP 4.1)</p> <p>Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)</p> <p>Publish on website auto-renew and deletion policy (RAA 3.7.5.5)</p>
8-Jun-15	29-Jun-15	Virtucom Networks S.A.	Breach	Cure Period Extended Until 9 July 2015; Cure Period Extended Until 22 July 2015; Cure Period Extended Until 30 July 2015; Data and Documents Under Review by ICANN; Breaches Cured	<p>Pay accreditation fees (RAA 3.9)</p> <p>Display renewal/redemption fees (ERRP 4.1)</p> <p>Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)</p> <p>Publish on website auto-renew and deletion policy (RAA 3.7.5.5)</p>
7-Jul-15		Name 2 Host, Inc. dba name2host.com	Termination	Effective date: 6 August 2015	Cure any RAA breach within 15 working days (5.3.4 RAA)
30-Jul-15		USA Intra Corp.	Termination	Effective date: 20 August 2015	Cure any RAA breach within 15 working days (5.3.4 RAA)

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