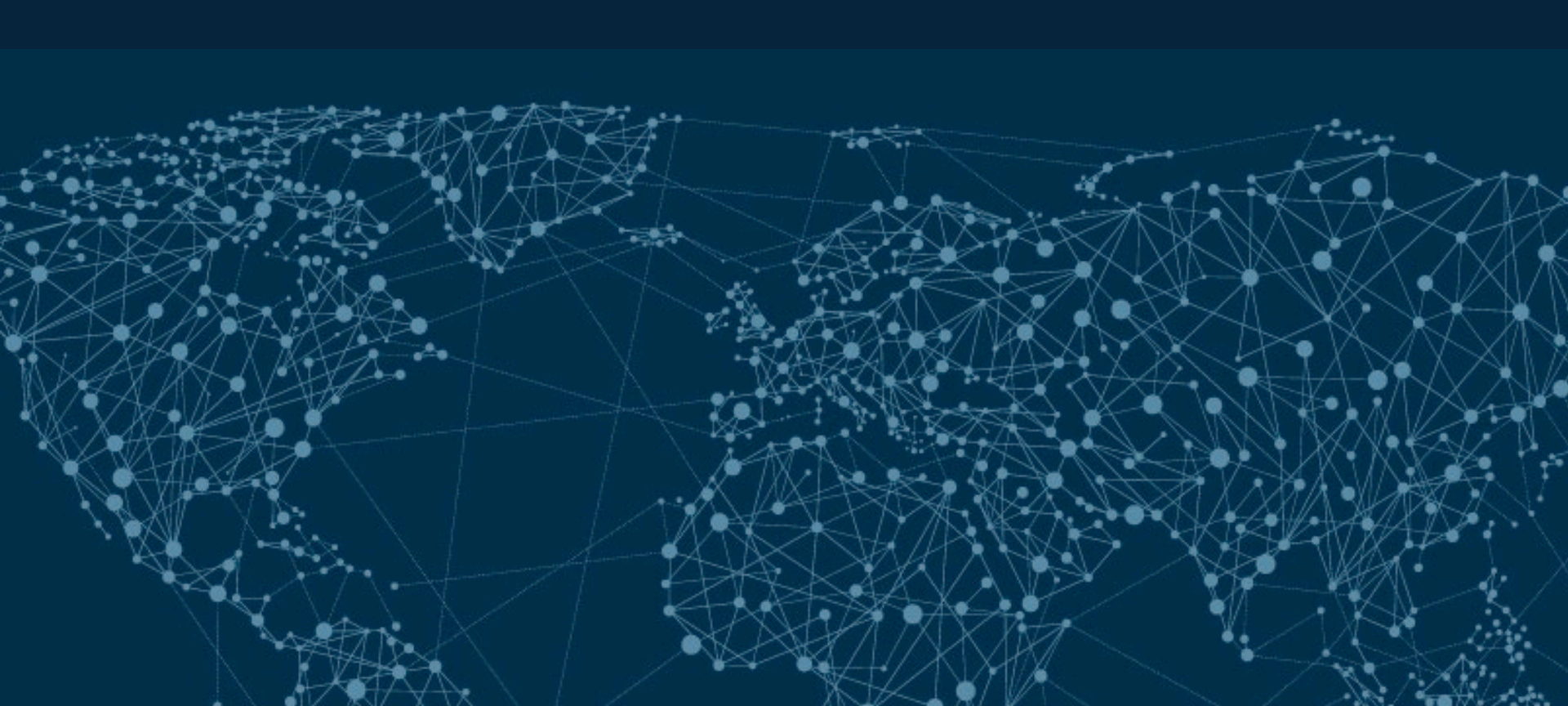


A photograph of the Charminar in Hyderabad, India, at night. The monument is illuminated with warm yellow lights, highlighting its intricate architectural details, including the two prominent minarets and the central archway. The sky is a deep blue, and the foreground shows blurred lights from a busy street. The text 'I CANN|57 HYDERABAD' is overlaid in white on the right side of the image.

I CANN|57 HYDERABAD



Registrar Outreach

Contractual Compliance | ICANN 57 | 4 November 2016

Agenda

- ⦿ Brief Update Since ICANN 55
 - ⦿ RAA Lessons Learned Summary
 - ⦿ Transfer Policy Compliance Update
 - ⦿ Compliance Certification Requirements Reminder
 - ⦿ Registrar Collected Compliance Issues October 2016
- ⦿ Questions & Answers
- ⦿ Additional Slides Provided in Appendix for Reference:
 - ⦿ Continuous Improvement Update
 - ⦿ WHOIS ARS Compliance Effort Update
 - ⦿ Registrar Metrics Update
 - ⦿ Audit Activities Update

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 white dots of varying sizes, connected by thin white lines. The dots are more densely packed in some areas, particularly in North America and Europe, and more sparse in others. The overall effect is a digital, interconnected representation of the world's continents.

Registrar Accreditation Agreement Lessons Learned Summary

RAA Lessons Learned Summary

1

Registrar Data Escrow Obligations

Terms, Format and Schedule

2

Domain Renewal Reminders

Sending timely reminders to registered name holder

3

Inter-Registrar Transfer Requirements

Transfer of registrations between Registrars

4

Uniform Dispute Resolution Policy Requirements

Lock and Verification requirements UDRP Rule 4(b)

1. Data Escrow Obligations

Terms, Format and Schedule

- Registrar Data Escrow Specification
<https://www.icann.org/en/system/files/files/rde-specs-09nov07-en.pdf>
- Data escrow format requirements are applicable to all registrars
 - Match domain's public WHOIS - format and content
 - Include privacy/proxy service customer information as required by 2013 RAA
- Deposit schedule will vary depending on registrar's quarterly gTLD transaction volume as determined by ICANN (daily or weekly)
- Registrars may elect to escrow data with ICANN's designated escrow agent (Iron Mountain) or an ICANN-approved Third Party Provider (TPP)
- Seven data escrow providers now approved:
<https://www.icann.org/resources/pages/registrar-data-escrow-2015-12-01-en>

1. Data Escrow Obligations (continued)

Common errors with data escrow deposits

- ⦿ Data in deposit does not match WHOIS lookup or port 43 WHOIS blocked
- ⦿ 2013 RAA: deposit must contain P/P and underlying customer data
- ⦿ Incomplete header row (missing ICANN required fields)
- ⦿ Deposit file is empty or only contains a header row
- ⦿ Deposit file name is incorrect
- ⦿ Handle file (if required) is missing from the deposit
- ⦿ Not comma de-limited
- ⦿ Full file and Handle file contains no header row

2. Domain Renewal Requirements

Sending timely reminders to registered name holder - ERRP

- ⦿ Renewal reminders must be sent at required times to registered name holder (RNH)
 - ⦿ Approximately 1 month (26-35 days) and 1 week (4-10 days) prior to expiration and within 5 days after expiration
 - ⦿ Required even if registration is on auto-renew
 - ⦿ Must be communicated at least in language of registration agreement, and in a way not requiring affirmative action to receive notice
 - ⦿ Can be sent to other email addresses *in addition to* RNH email address
 - ⦿ Can be sent at other intervals *in addition to* those prescribed by ERRP
- ⦿ For at least last eight consecutive days after expiration that registration is renewable, DNS resolution path must be interrupted
 - ⦿ If traffic is re-directed to a parking page, it must say name expired and include renewal instructions
 - ⦿ If RAE renews name, DNS resolution path must be restored as soon as commercially reasonable

2. Domain Renewal Requirements (continued)

Common errors with renewals

- ⦿ Failure to send renewal reminders at required intervals
- ⦿ Failure to timely disrupt DNS
- ⦿ Reseller failing to send renewal reminders on behalf of registrars
- ⦿ Sending renewal reminders to incorrect contact
- ⦿ Registrar not specifying date/time zone notice was sent (time zone differential) when providing records to ICANN

3. Inter-Registrar Transfer Requirements

Transfer of registrations between registrars

- ⦿ Registrars must use standardized Form Of Authorization (Sections 2 and 3 of IRTP)
 - ⦿ Gaining registrar FOA: <https://www.icann.org/resources/pages/foa-auth-2004-07-12-en>
 - ⦿ Affirmative response required from Transfer Contact before sending command to registry
 - ⦿ Losing registrar FOA: <https://www.icann.org/resources/pages/foa-conf-2004-07-12-en>
 - ⦿ FOA must be in English; additional languages are permitted
- ⦿ AuthInfo code must be used to identify RNH only, be unique to each domain, and records may be requested to demonstrate compliance
- ⦿ Additional information on changes to Transfer Policy in Policy Update Section

3. Inter-Registrar Transfer Requirements (continued)

Common errors with transfers

- ⦿ Failure to provide AuthInfo Code within 5 days of request or provide facilities for registrant to obtain AuthInfo Code
- ⦿ Failure to remove “ClientTransferProhibited” within 5 days of request or provide facilities for registrar to remove the lock
- ⦿ Sending Form of Authorization (FOA) to non-Transfer Contact
- ⦿ FOA not complying with standard FOA

4. UDRP Rule Requirements

Lock and Verification requirements UDRP Rule 4(b)

- ⦿ Within two business days of receiving Provider's verification request, registrar shall provide information requested in verification request and confirm Lock of domain has been applied
- ⦿ Lock is set of measures registrar applies to domain, which prevents any modification to registrant and registrar information by Respondent, but does not affect resolution or renewal of domain
- ⦿ Expedited processing of UDRP Lock complaints:
 - ⦿ Complaints are submitted by UDRP providers
 - ⦿ One calendar day notice deadline

4. UDRP Rule Requirements (continued)

Common errors with UDRP Rules

- ⦿ Failure to timely respond to verification requests from UDRP Providers
- ⦿ Failure to lock domain subject to UDRP
- ⦿ Allowing domain to expire or be deleted during UDRP dispute without providing Complainant option to renew or restore under same commercial terms as Registrant
- ⦿ Failure to timely implement UDRP Decision
- ⦿ Failure to communicate UDRP Decision and implementation date to all parties (including ICANN)

- 
- **Transfer Policy Compliance Update**
 - **Compliance Certification Reminder**

Transfer Policy Compliance Update

Effective 1 December 2016

<https://www.icann.org/resources/pages/transfer-policy-2015-09-24-en>

- ⦿ Introduces a Change of Registrant (COR) procedure for Material Changes that requires registrars to:
 - ⦿ Obtain express consent from both Prior Registrant and New Registrant through secure mechanism
 - ⦿ Process COR within one day of receiving consent
 - ⦿ Notify both Registrants of COR per policy
 - ⦿ Impose 60-day inter-registrar transfer lock following COR
 - ⦿ Registrants may opt out of lock prior to any COR request
- ⦿ Material Change is a non-typographical correction

Transfer Policy (continued)

Effective 1 December 2016

- ⦿ Changes to inter-registrar transfer process:
 - ⦿ Registrars must deny a transfer request:
 - ⦿ Notification of pending UDRP, URS or TDRP proceedings
 - ⦿ Receipt of court order by court of competent jurisdiction
 - ⦿ Due to 60-day lock following a Change of Registrant (COR)
 - ⦿ FOA used by gaining registrars shall expire:
 - ⦿ After 60 days from FOA being issued (unless registrar provides automatic renewal and registrant expressly agrees)
 - ⦿ Domain expires before transfer is completed
 - ⦿ COR is completed
 - ⦿ Inter-registrar transfer is completed

Transfer Policy (continued)

Compliance Impact

New scenarios within contractual scope:

- ⦿ Change of Registrant (COR) request within same registrar
 - ⦿ COR request and inter-registrar transfer request
 - ⦿ COR within one registrar and subsequent transfer to a different registrar
 - ⦿ Transfer from one registrar to another and subsequent COR
-
- ⦿ ICANN may request information and records relating to five new mandatory reasons for denying inter-registrar transfer:
 - ⦿ Registrar informed of pending UDRP
 - ⦿ Court order of court of competent jurisdiction
 - ⦿ Pending Transfer Dispute Resolution Policy (TDRP) proceeding
 - ⦿ Registrar informed of pending URS proceeding or suspension
 - ⦿ 60-day lock following COR (and registrant did not opt out)

Transfer Policy (continued)

Compliance Impact (continued)

- ⦿ Additional information and records ICANN may request to determine compliance:
 - ⦿ Records relating to communication and acceptance of COR (including dates/times)
 - ⦿ Details regarding secure mechanism for transmission of COR
 - ⦿ Records relating to New Registrant, Prior Registrant and Designated Agent
 - ⦿ Consent by Registrant to use Designated Agent
 - ⦿ Consent by Registrant to opt out of 60-day lock after COR
 - ⦿ WHOIS information before and after COR
 - ⦿ Reauthorization of expired FOA
 - ⦿ Details regarding telephone FOA confirmation (date, time, telephone numbers and specific person)
 - ⦿ New Losing Registrar's FOA (see <https://www.icann.org/resources/pages/foa-registrar-transfer-confirmation-2016-06-01-en>)

Compliance Certificate Requirements - Reminder

When to submit and what fields to complete

- ⦿ Annually complete and return to ICANN within twenty days following end of each calendar year
- ⦿ Certificate certifying compliance with terms and conditions of 2013 RAA
- ⦿ Must be executed by president, chief executive officer, chief financial officer or chief operating officer (or their equivalents)
- ⦿ Calendar year should be entered at top of form for year which compliance is being certified (for form submitted by 20 January 2017, the year certified will be 2016)
- ⦿ Format is specified in 2013 RAA and at <https://www.icann.org/resources/pages/registrar-compliance-certificate-2015-12-09-en>

A world map where the continents are defined by a network of white dots of varying sizes connected by thin white lines. The background is a solid teal color. The text is centered over the map.

Registrar Collected Compliance Issues October 2016

Registrar Collected Compliance Issues Oct 2016

- ⦿ Compliance Tickets and Process Issues
- ⦿ Registrant Data Escrow Issues
- ⦿ Transparency on Audit Process

Registrar Collected Compliance Issues Oct 2016

Results of ICANN review

- ⦿ System limitations:
 - ⦿ Compliance Contact will be in ICANN's Salesforce.com platform
 - ⦿ Complaint processing system missing/misformatted attachments
 - ⦿ Closure notice missing resolve code wording
 - ⦿ ICANN is exploring possible short term fixes
- ⦿ Opportunities for template and communication improvements:
 - ⦿ Request what and why information is requested
 - ⦿ Communication updates to request registrars to specify attachment file names and explanation of attachment contents
 - ⦿ Reduce or modify follow ups (include explanation for follow up)
 - ⦿ Updates to communications regarding resellers
 - ⦿ Provide ICANN with any pertinent information, including if complaint contains false or fake information
- ⦿ Escalation of issues may be sent to compliance@icann.org

ICANN Audit Information Confidentiality & Security

The following measures are implemented to maintain security of audit site

- ✓ Unique user IDs and complex passwords
- ✓ User access provisioning and de-provisioning
- ✓ Antivirus measures
- ✓ Firewalls, intrusion detection sensors and event monitoring
- ✓ Demilitarized zone for Internet facing applications
- ✓ Physical and environmental controls
- ✓ Encryption of communications across public networks and Internet using MoveIT tool



- Documentation is reviewed by audit team
- Audit site security rating is “A” based on <https://www.ssllabs.com/> test
- KPMG's contractual agreement with ICANN includes confidentiality obligations requiring KPMG to protect data

Registrar Stakeholder Group – Transparency On Audit Process

- ⦿ Audit Selection Criteria Remains:
 - ⦿ Not previously or recently audited
 - ⦿ Highest number of 3rd notices per number of domain names under management
 - ⦿ Calculated over past 12 months
 - ⦿ Received Notice of Breach in last 12 months
 - ⦿ Highest number of failed data escrow deposits
 - ⦿ Low responsiveness to ICANN's requests
 - ⦿ Consistently waiting to respond until final deadline or responding partially
 - ⦿ ICANN Community Concerns – for example media/blogs, contracted parties
- ⦿ Audit Communications
 - ⦿ All contracted parties receive pre-audit notification to alert audit is occurring
 - ⦿ Based on feedback at Los Angeles GDD Summit, notifications are also sent to those not included in audit



Send compliance questions

To: compliance@icann.org

Subject line: ICANN 57 Registrar Outreach Session

The ICANN 57 presentations are available at:

- The ICANN Contractual Compliance outreach page at this link

<https://www.icann.org/resources/compliance/outreach>

- The ICANN 57 Schedule page at this link <https://icann572016.sched.org/>

Appendix

- Continuous Improvements Update
- Whois ARS Compliance Effort Update
- Registrar Metrics
- Audit Activities Update
- Visit <https://www.icann.org/resources/pages/registrar-2012-02-25-en> for information about:
 - Process Guidelines
 - RAA Guidelines

A world map where the continents are defined by a complex network of white dots and thin white lines, resembling a social network or a data visualization. The background is a solid teal color.

Continuous Improvement Update

Continuous Improvement Updates

- ◉ 3rd Notice Outreach Pilot
 - ◉ To improve registrar compliance and resolution rate
 - ◉ Eight registrars selected (six participated)
 - ◉ Positive feedback from participating registrars
 - ◉ ICANN will monitor 3rd notice volume until end of December 2016
- ◉ Remediation Validation Pilot
 - ◉ To test and validate past remediation efforts
 - ◉ 20 registrars with prior audit findings June 2015 - June 2016
 - ◉ No new instances of noncompliance

Continuous Improvement Updates (continued)

- ⦿ Registrar Outreach in Korea and China
 - <https://www.icann.org/resources/compliance/outreach>
 - ⦿ WHOIS Accuracy Specification Program
 - ⦿ WHOIS Format
 - ⦿ Uniform Domain Name Dispute Resolution Policy
 - ⦿ Contractual Compliance approach and process
- ⦿ WHOIS Verification Projects in Korea and China
 - ⦿ To test registrars' compliance with the 2013 RAA requirements to verify and validate WHOIS information
 - ⦿ In progress

A world map where the continents are defined by a complex network of white dots and thin white lines, resembling a network or data visualization. The background is a solid teal color.

WHOIS ARS Compliance Effort Update

WHOIS ARS Compliance Update Since ICANN 55

- ◉ WARS main page: <https://whois.icann.org/en/whoisars>
- ◉ WHOIS inaccuracy complaints - tested operational accuracy of addresses, telephone numbers, and email addresses of registrant, admin and tech contacts in WHOIS data
 - ◉ Phase 2, Cycle 1
 - ◉ 2,689 WHOIS inaccuracy tickets
 - ◉ 1,378 forwarded to registrars
 - ◉ 2 tickets still in remediation
 - ◉ Phase 2, Cycle 2
 - ◉ 4,005 WHOIS inaccuracy tickets
 - ◉ 964 forwarded to registrars
 - ◉ 2,202 remain to be processed
- ◉ WHOIS format complaints - Syntax failure
 - ◉ Combined results from Phase 2, Cycles 1 and 2
 - ◉ 1,127 domains across 15 registrars
 - ◉ Fourteen of fifteen registrars have completed remediation

WHOIS ARS Compliance Update (continued)

- ⦿ Sample of the top closure reasons and volume for Phase 2 Cycle 1:
 - ⦿ Domain suspended or canceled (989)
 - ⦿ WHOIS data at ticket creation different from sampled WHOIS data (569)
 - ⦿ Domain not registered when ticket processed (413)
 - ⦿ WHOIS data changed or updated (393)
 - ⦿ Registrar verified sampled WHOIS data is correct (158)
- ⦿ Sample of top closure reasons and volume for Phase 2 Cycle 2 (some complaints closed with multiple reasons):
 - ⦿ WHOIS data at ticket creation different from sampled WHOIS data (859)
 - ⦿ Domain suspended or canceled (289)
 - ⦿ Domain not registered when ticket processed (217)
 - ⦿ WHOIS format issue identified for 2013 Grandfathered Domain (144)
 - ⦿ WHOIS data changed or updated (90)

WHOIS ARS Compliance Scope & Approach

- ◉ Compliance coordinates with WHOIS ARS team to ensure testing aligns with RAA and provides processing feedback to improve WHOIS ARS
- ◉ Complaints created from WHOIS ARS are processed as WHOIS inaccuracy or WHOIS format complaints, following published Contractual Compliance Approach and Process <https://www.icann.org/resources/pages/approach-processes-2012-02-25-en>
- ◉ ICANN issued 4 notices of breach for Phase 2 Cycles 1 and 2 tickets
- ◉ WHOIS ARS Phase 2 Cycle 2 completion expected around 30 November 2016
- ◉ WHOIS ARS Phase 2 Cycle 3 complaints processing expected to begin November 2016
- ◉ ICANN will continue to give priority to complaints submitted by community

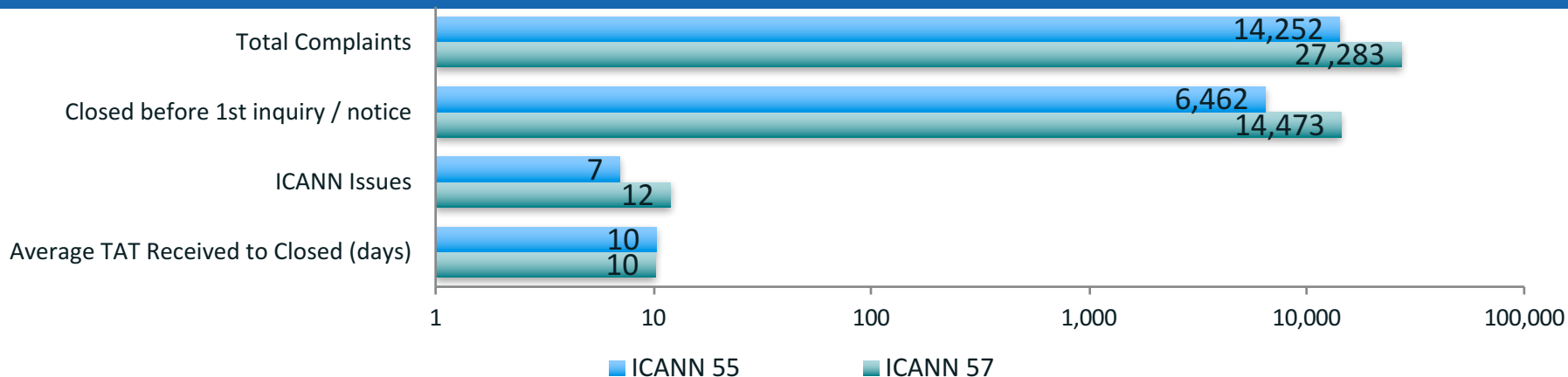
A world map where the continents are defined by a complex network of white nodes and connecting lines, set against a solid teal background. The nodes vary in size, and the lines represent connections between them, creating a digital or network-like representation of the world's geography.

Registrar Metrics

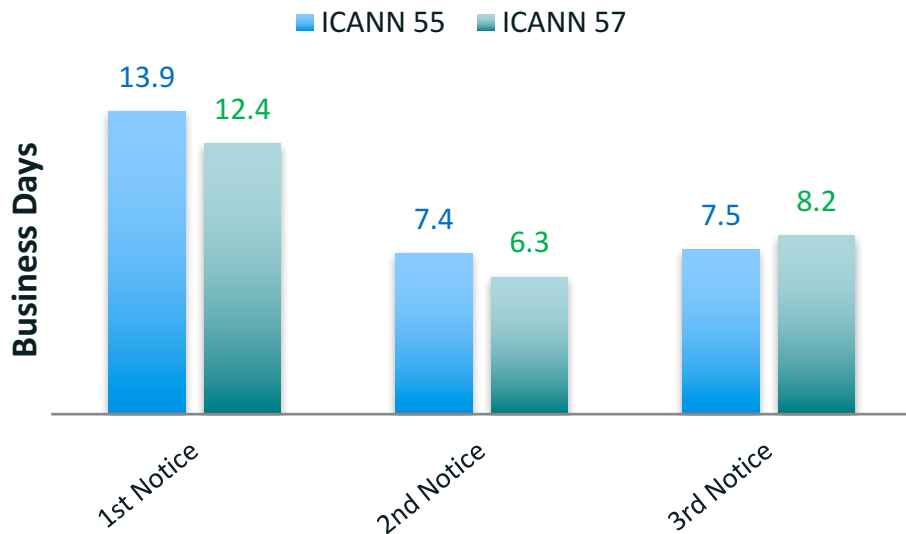
Registrar Complaint Types in Detail

Registrar Complaints	Quantity		Closed before 1st inquiry / notice		ICANN Issue	
	ICANN 55	ICANN 57	ICANN 55	ICANN 57	ICANN 55	ICANN 57
WHOIS INACCURACY	10,399	19,686	3,974	9,232	3	2
QUALITY REVIEW	1	5	0	0	0	0
Bulk Submission	3,223	2,744	455	225	0	0
individual submission	7,175	13,932	3,519	7,542	3	1
WHOIS ARS	0	3,005	0	1,465	0	1
TRANSFER	2,345	3,825	1,567	2,813	0	0
WHOIS FORMAT	352	735	214	537	3	0
DOMAIN RENEWAL	260	603	149	390	0	0
DOMAIN DELETION	172	370	162	380	0	0
ABUSE	158	377	121	280	0	0
WHOIS UNAVAILABLE	130	399	66	258	1	1
DATA ESCROW	97	310	0	41	0	9
WHOIS SLA	79	126	70	103	0	0
CUSTOMER SERVICE	59	173	41	142	0	0
REGISTRAR INFO SPEC	57	91	25	78	0	0
UDRP	55	153	22	68	0	0
REGISTRAR CONTACT	53	78	27	62	0	0
DNSSEC, IDN, IPV6	11	17	8	13	0	0
REGISTRAR OTHER	10	36	5	19	0	0
FAILURE TO NOTIFY	8	28	7	25	0	0
PRIVACY/PROXY	6	44	4	32	0	0
RESELLER AGREEMENT	1	1	0	0	0	0
FEES	0	1	0	0	0	0
CEO CERTIFICATION	0	230	0	0	0	0
Total	14,252	27,283	6,462	14,473	7	12

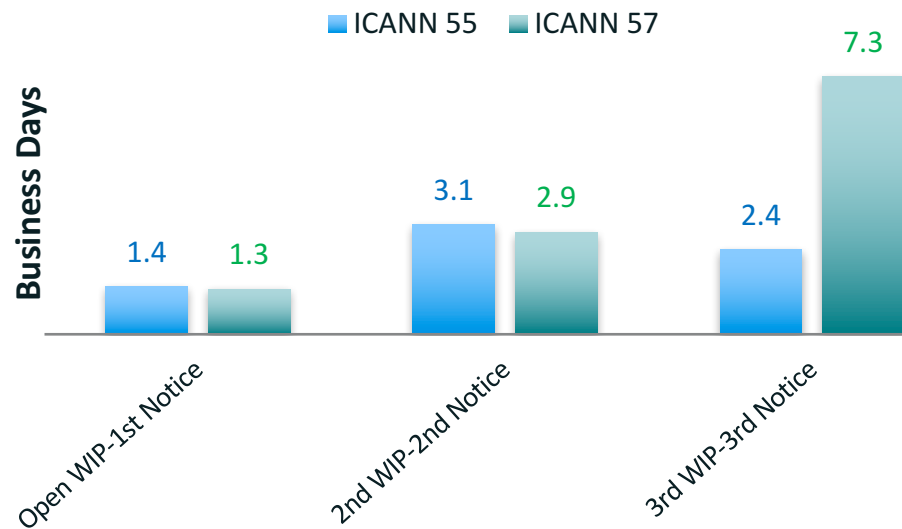
Registrar Complaint Volume & Turnaround Time



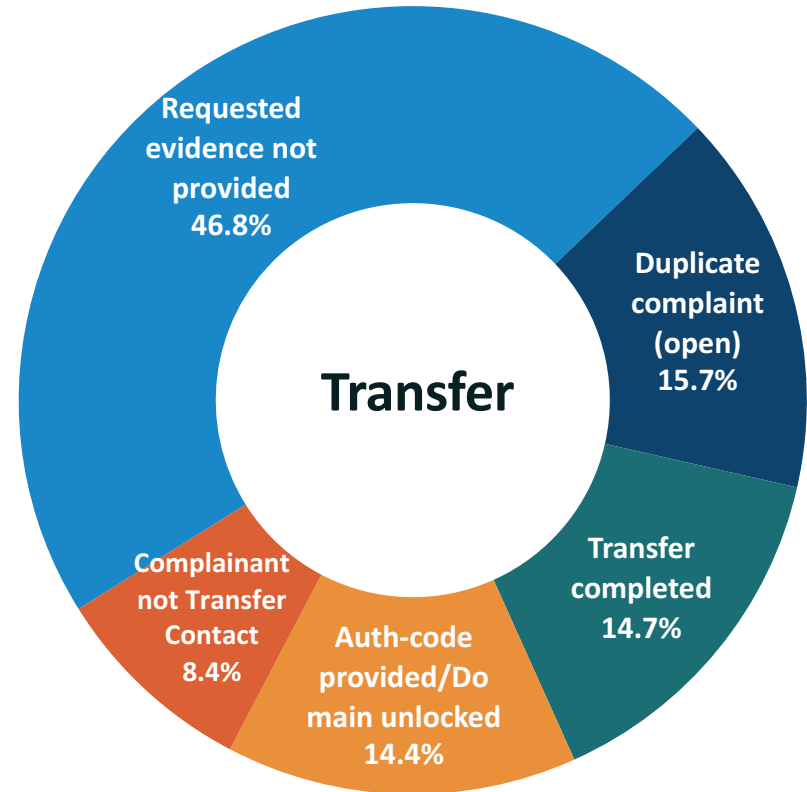
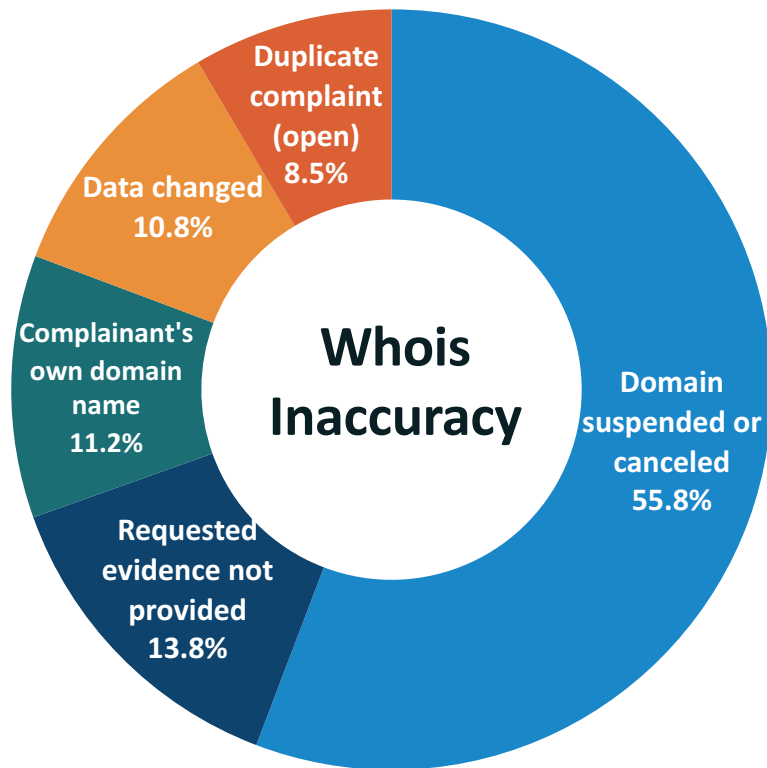
Registrar Average Turn Around Time (TAT)



Staff Average Turn Around Time (TAT)

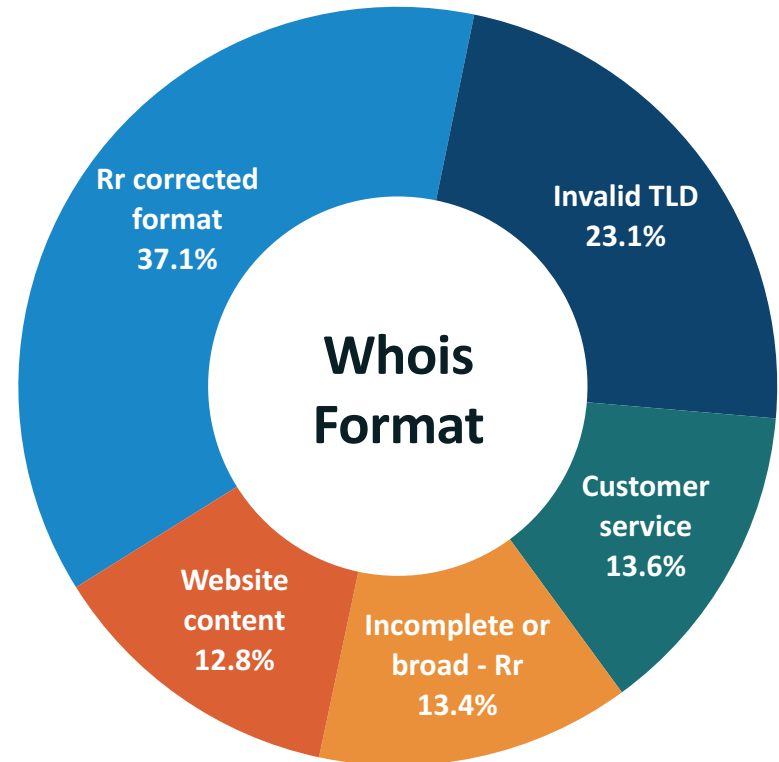
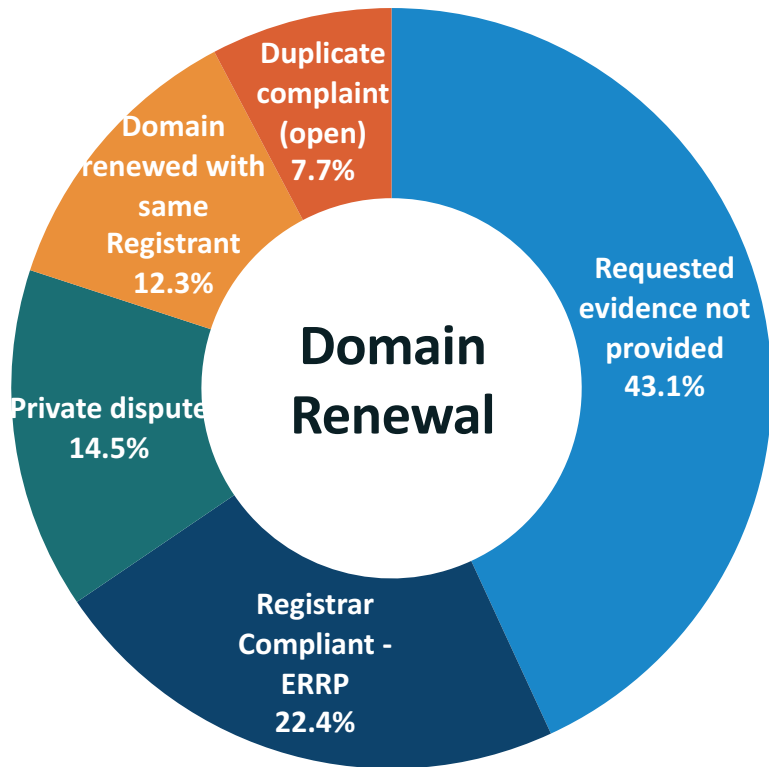


Registrar Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



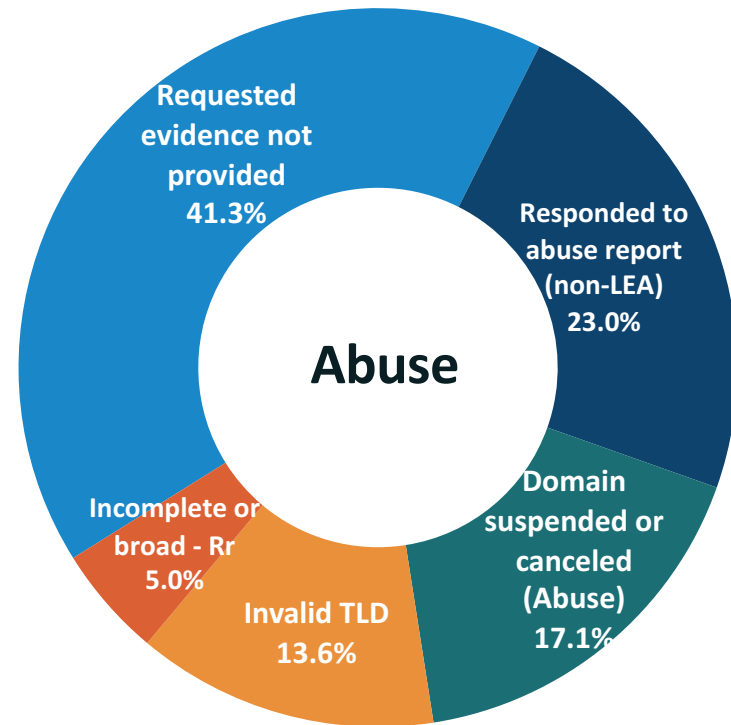
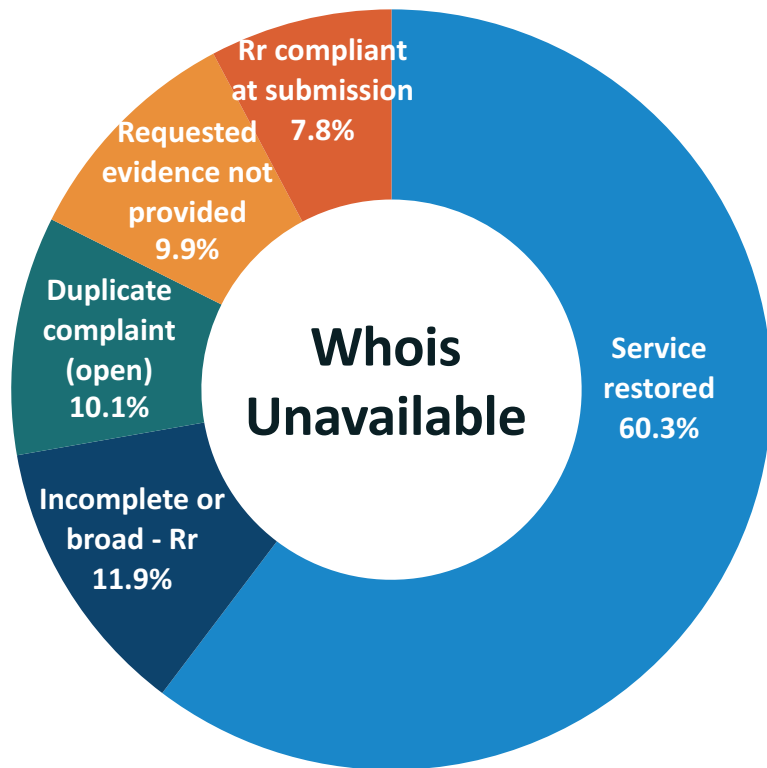
Disclaimer: Due to rounding, percentages may not always appear to add up to 100%.

Registrar Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



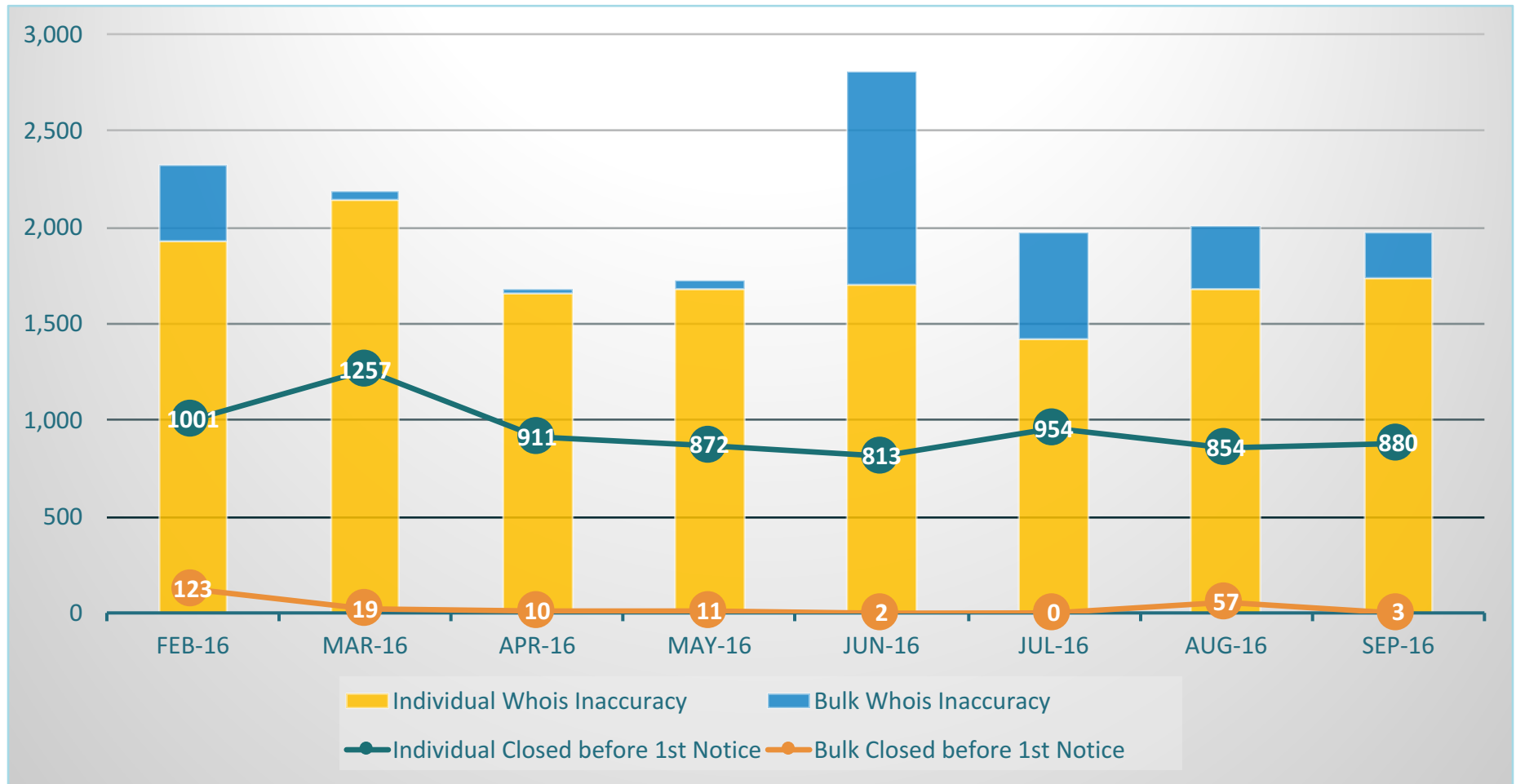
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Registrar Complaint Types & Top Closure Reasons (Feb 2016 – Sep 2016)



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

Whois Inaccuracy Complaints – Individual vs. Bulk (Feb 2016 – Sep 2016)



A world map where the continents are defined by a complex network of white dots and thin white lines, resembling a data network or a molecular structure. The background is a solid teal color.

Registrar Audit

Registrar Audit Timeline – May 2016

Audit Program Milestones

Pre-Audit Notification	Request for Information (RFI) Phase			Audit Phase		Initial Report	Remediation Phase	Final Report
	1 st Notice	2 nd Notice	3 rd Notice	Begin	End	Date Issued	Start - End	Date Issued
2 May 2016	17 May 2016	7 Jun 2016	14 Jun 2016	14 Jun 2016	1 Aug 2016	2 Aug 2016	2 Aug - 6 Sep 2016	Oct 2016

Registrar Audit – May 2016

	RFI Phase	
Registrars selected for the audit		123
Registrars excluded from audit (part of family)		108
	Total Remaining Registrars	15
Initial Report Phase		
Registrars passing all audit tests		0
Registrars requiring follow-up and remediation		15
	Registrar Total	15
Remediation Phase and Final Report Phase		
Registrars completing resolution of initial findings		5
Registrars implementing a remediation plan		9
Registrars with notice of breach for insufficient response		1
	Registrar Total	15

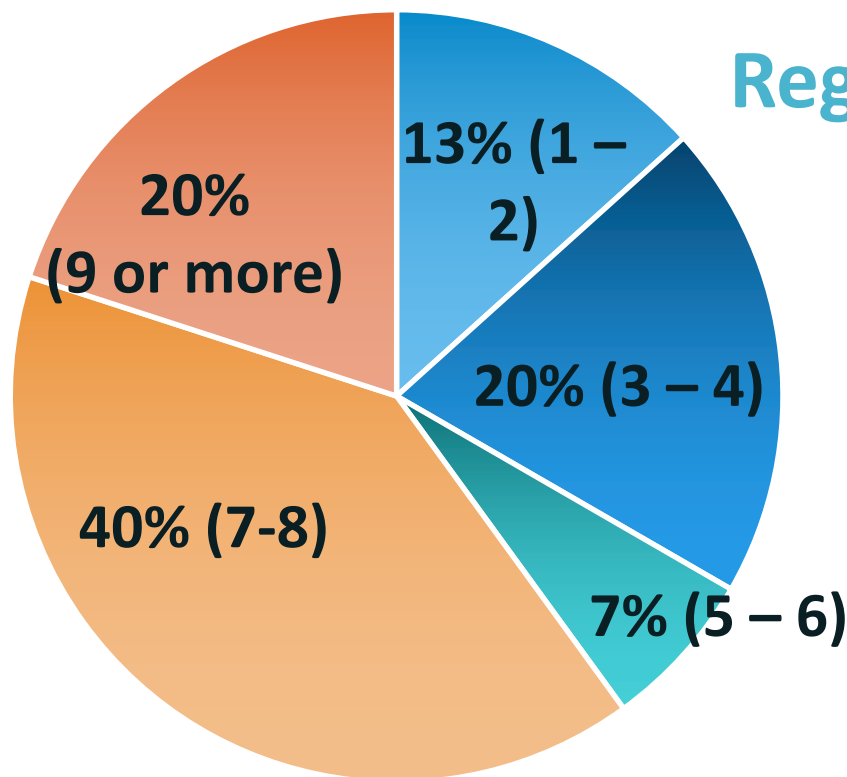
Registrar Audit Deficiencies Noted – May 2016

Description or area where deficiency was noted	Registrars with Deficiencies	Potential Risk/Impact
Whois- Port43/Web, Corresponding Data Elements	67%	Format / content of Public Whois output is not in compliance with RAA requirements
Retention of Registration Data	20%	Registration records are not retained as required by RAA.
EDDP-Domain name renewal, provision of applicable information to registrants	73%	Registrants are not aware of renewal/expiration terms & conditions
Registration Agreement (mandatory provisions are missing)	93%	Registrants are not aware of all terms and conditions of the agreement between Registrant and Registrar
Complaints & Dispute Resolution process	7%	Registrants are not aware of customer service handling processes established by Registrar
Reseller agreement (mandatory provisions are missing)	7%	Resellers are not fully aware of all of their obligations when representing a Registrar
Registrar Training	47%	Registrar is not fully aware of Registrar's rights and responsibilities under RAA
Obligations Related to Proxy and Privacy Services	33%	Registrar is not fully compliant with requirements of the Specification on Privacy and Proxy Registrations
Link to Registrant Educational Information is missing	53%	Registrants are not fully aware of their rights and responsibilities
Registrar contact details on Registrar website is missing or incomplete	27%	Inability to contact a Registrar
Registrar Abuse Contact and Duty to Investigate Abuse Reports	60%	Registrar is not compliant with its responsibilities to receive reports of abuse and respond to such reports

Registrar Audit Deficiencies Noted – May 2016

Description or area where deficiency was noted	Registrars with Deficiencies	Potential Risk/Impact
Issues with DNSSEC	13%	Registrar does not offer / support additional level of security & protection to registrants requesting this service
Notice of Bankruptcy, Convictions and Security Breaches	13%	Registrar is not aware of or fails to comply with its obligation to notify ICANN about these events
Consensus Policies - Inter-Registrar Transfer Policy (IRTP) and Transfer Emergency Action Contact (TEAC)	60%	Registrar does not fully follow IRTP requirements when domain transfers are done; TEAC contact information is not available
Consensus Policies - Expired Registration Recovery Policy (ERRP)	13%	Registrar is not fully compliant with its domain expiration obligations under the RAA and, as a result, Registrants are not aware of renewal/expiration terms and conditions
Consensus Policies - Restored Names Accuracy Policy	7%	Registrar is not fully compliant with its obligations when deleted domains are restored
Consensus Policies - Whois Data Reminder Policy (WDRP)	20%	Registrar is not fully aware of potential changes to Registrant contact information
Incorrect / Outdated Contact Information in RADAR	27%	ICANN is unable to contact Registrar

Registrar Deficiency Profile



- % of Registrars with 1 to 2 Deficiencies
- % of Registrars with 3 to 4 Deficiencies
- % of Registrars with 5 to 6 Deficiencies
- % of Registrars with 7 to 8 Deficiencies



**Registrar Audit Update
(October 2016 in-progress)**

Registrar Audit Plan – October 2016

- ⦿ Goal: Proactively identify potential instances of non-compliance with RAA and manage remediation process to ensure compliance with contractual obligations
- ⦿ Approach: Implement continuous audit program to all contracted parties with a consistent process and methodology
- ⦿ Selection Criteria:
 - ⦿ Last audited in 2012-2013
 - ⦿ Are not part of a registrar family
 - ⦿ On the 2013 or 2009 RAA
 - ⦿ ICANN community concerns and responsiveness to compliance requests

Registrar Contractual Compliance Audit Timeline – October 2016

Audit Program Milestones

Pre-Audit Notification	Request for Information (RFI) Phase			Audit Phase		Initial Report	Remediation Phase	
	1 st Notice	2 nd Notice	3 rd Notice	Begin	End*	Date Issued*	Start – End*	
26 Sep 2016	4 Oct 2016	25 Oct 2016	1 Nov 2016	8 Nov 2016	20 Dec 2016	21 Dec 2016	21 Dec 2016 - 25 Jan 2017	
For Registrars located in China, ICANN granted an extra week due to National Holidays during the week when RFI was sent								
26 Sep 2016	4 Oct 2016	1 Nov 2016	8 Nov 2016	15 Nov 2016	20 Dec 2016	21 Dec 2016	21 Dec 2016	25 Jan 2017

* Audit and Remediation Phases may be completed, and reports sent out, prior to dates shown.

During the Request for Information and Audit Phases, ICANN will follow the 1-2-3 notification process (15 business days, 5 business days, 5 business days).

For more information on notification process please see:

<http://www.icann.org/en/resources/compliance/approach-processes/overall-19jun13-en.pdf>

Registrar Audit Selection Statistics – October 2016

Registrars: 55 (Audit and follow-up re-testing)

Countries Represented: 25

