

Security, Stability, and Resiliency of the DNS Review (SSR)
SSR2 Review Team Questions to ICANN Contractual Compliance

Email to jamie.hedlund@icann.org from Jennifer Bryce on 4 March 2019

Topic: OCTO, open data initiative, and GDPR

Q: Specifically, to what extent and how has the work of OCTO and Compliance been affected by the coming into force of GDPR? Please provide details.

Contractual Compliance Response:

Contractual Compliance has adjusted the review of complaints to account for the changes in registration data made as a result of GDPR and the Temporary Specification for gTLD Registration Data. For any complaint review that requires unredacted registration data, ICANN requests specific data from the contracted party; it is an additional step in the review of the complaint. In some cases, complaints can be resolved without access to non-public registration data. In other cases in which this data is necessary and the contracted party declines to provide it, compliance will take enforcement action against the contracted party.

Information regarding the number of complaints received by ICANN Contractual Compliance from May 2018 that are related to changes made as a result of GDPR and the Temporary Specification is published in the ICANN 64 Prep Week presentation of 27 February 2019 at <https://www.icann.org/en/system/files/files/presentation-compliance-27feb19-en.pdf>.

Topic: DAAR

Q. Is there any enforcement activity based on DAAR reports? Is there documentation about such action, is there a permanent link?

Contractual Compliance Response:

DAAR data is used to assist the ICANN organization's Contractual Compliance department in obtaining additional information relating to Domain Name System (DNS) abuse for an accredited registrar or TLD registry operator. Please refer to the ICANN Contractual Compliance Audit Program FAQs at <https://www.icann.org/resources/pages/faqs-2012-10-31-en> for more information regarding its use.

Q. Is ICANN providing validated data to the community on abuse and contractual compliance? What is ICANN doing to foster a community of researchers and other parties who are dealing with these issues?

Contractual Compliance Response:

ICANN Contractual Compliance enforcement of abuse-related requirements is captured in published data regarding its complaints, including those related to registrar abuse report handling, registry operator abuse contact data and registry operator public interest commitments, at <https://features.icann.org/compliance>. The same approach and process is applied to all complaints, regardless of whether the complaining party is a researcher or otherwise. See <https://www.icann.org/resources/pages/approach-processes-2012-02-25-en> for details regarding this approach.

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Email to maguy.serad@icann.org from Jennifer Bryce on 5 February 2019

Previous answer provided by ICANN org “*Contractual Compliance has a standard Approach and Process (<https://www.icann.org/resources/pages/approach-processes-2012-02-25-en>) that applies across the registrar, registry and audit program. Contractual Compliance monitors complaints to identify patterns and systemic issues of noncompliance within and across the complaint types and the contracted parties. This effort is useful in identifying trends of issues and most importantly in identifying opportunities to conduct outreach or additional proactive monitoring. For example, based on trends identified by Contractual Compliance (including review of WHOIS inaccuracy complaints submitted by the public and generated as a result of the WHOIS ARS), Contractual Compliance launched a WHOIS Inquiry effort in 2016 that focused on registrars in China and Korea. These inquiries focused on issues with the 2013 RAA WHOIS Accuracy Specification Program (WAPS) requirements. These efforts continued for registrars in China, United States and other regions. Please refer to the annual update published at this link: <https://www.icann.org/en/system/files/files/annual-2016-31jan17-en.pdf>. Outreach efforts are ongoing; please refer to Outreach page (<https://www.icann.org/resources/compliance-reporting-performance>) for more information.*”

1. What are the other regions referred to in the answer?

Contractual Compliance Response:

Please refer to the published compliance reports and the Outreach page for a complete list of the different activities across different years. To list a few in 2018, compliance conducted outreach in APAC region (China, Korea), EMEA (Germany and Turkey), NA and Africa.

2. Can you report on your methodology for the ICANN Contractual Compliance Performance Reports? Is there documentation with version control, is there a permanent link?

Contractual Compliance Response:

To learn more about the Contractual Compliance reports description and definition, please refer to this link <https://features.icann.org/compliance/dashboard/archives#definition>. Once the performance reports are published for a particular time period (i.e., monthly, quarterly or annually), they are not changed and have permanent links on the webpage at <https://features.icann.org/compliance/dashboard/report-list>. There are a limited number of reports that are published on a rolling basis and for which past data is removed from the website. These include the reports listed under the rolling 13-month header at <https://features.icann.org/compliance>.

3. How are indicators chosen, and how do you account for regional differences (e.g. number of registries in different regions)? Is there documentation with version control, is there a permanent link?

Contractual Compliance Response:

Contractual Compliance reporting of metrics and participation in outreach activities with contracted parties are determined based on the community concerns, systemic issues and volume of complaints, and at times, based on contract and/or policy changes and implementations. The regional metrics generated by ICANN Contractual Compliance refers to the ICANN regions. See prior response regarding version control and links.

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4. Is there a compliance function in GDD?

Contractual Compliance Response:

No, there is no compliance function in ICANN's Global Domains Division.

5. For example, is there contractual enforcement if access to data is denied?

Contractual Compliance Response:

ICANN's Global Domains Division, as well as other ICANN departments, may refer matters implicating contractual obligations to the ICANN Contractual Compliance team for review and follow up with the ICANN contracted parties, as needed.

6. As of Oct 2017, no action had been taken in relation to 32 RSPs which have reached emergency thresholds in 2017. Is this correct? Please provide updates on action taken (if any) in relation to RSPs that have reached emergency thresholds before and since October 2017.

Contractual Compliance Response:

Registry operators are required to meet the obligations of the registry agreement (RA), including the five critical registry technical functions which are subject to emergency thresholds in Specification 10 of the RA (RDDS, DNS, DNSSEC, EPP and Data Escrow). ICANN Contractual Compliance enforces Specification 10 of the RA directly with the registry operators, as Registry Service Providers (RSPs) are not ICANN contracted parties and, therefore, out of ICANN's contractual authority for enforcement of RA obligations. Registry operators are subject to Service Level Agreement monitoring and, for RDDS, DNS and DNSSEC failures, will receive automated compliance Escalated Notices when certain downtime thresholds are met, as well as compliance notices when data escrow failures occur. Upon resolution of the downtime, ICANN Contractual Compliance follows up with the registry operator for additional information and preventative actions. Registry operators often provide information from their RSPs in support of their responses. Failure to remediate noncompliance for these functions can result in a notice of breach being issued against the registry operator and transition of the top-level domain to an emergency back-end registry operator.

Topic: Leadership: Give ICANN compliance a "big stick" to lead abuse remediation initiatives and take action

1. Please provide a list of when ICANN used compliance procedures to address SSR issues in contracted parties?

Contractual Compliance Response:

ICANN Contractual Compliance uses the ICANN Contractual Compliance Approach and Process to process third party complaints and conduct proactive monitoring and audits related to registrar and registry operator security, stability and resiliency issues, including those related to DNS abuse, WHOIS accuracy, WHOIS service and format issues, data escrow, other critical registry technical functions and reserved names and names collision occurrence management. Information and metrics regarding these activities can be found on the ICANN Contractual Compliance pages of icann.org.

2. What are the procedures around compliance enforcement, can you point us towards your procedures and approach?

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Contractual Compliance Response:

Information on the ICANN Contractual Compliance Approach and Process, including enforcement (or formal resolution) is at <https://www.icann.org/resources/pages/approach-processes-2012-02-25-en>.

Topic: Proactive anti-abuse by registrars and registries

- 1. Is ICANN providing avenues for coordination? Can you point to documentation?**

Contractual Compliance Response:

ICANN provides avenues for registry and registrar voluntary and proactive anti-abuse measures through its international meetings and outreach activities. ICANN's Consumer Safeguards and Security, Stability and Resiliency teams conduct activities and outreach targeted at informing contracted parties about opportunities for proactive anti-abuse measures. ICANN also facilitated the community's drafting of the advisory, New gTLD Registry Agreement Specification 11 3(b) at <https://www.icann.org/resources/pages/advisory-registry-agreement-spec-11-3b-2017-06-08-en>

- 2. Is there any (internal) reporting of preventative / proactive anti-abuse activities? Can you point the team to relevant resources?**

Contractual Compliance Response:

ICANN Contractual Compliance reporting is limited to its functions (see responses above for links to [icann.org](https://www.icann.org)). Blogs and reporting by the ICANN Consumer Safeguards and Security, Stability and Resiliency teams can be found on [icann.org](https://www.icann.org).

Topic GDPR Question Regarding Actionable DAAR Information

Q: Is there a plan to make the information from DAAR actionable by registries and registrars?

Contractual Compliance Response:

As stated in the Frequently Asked Questions on DAAR at this link - <https://www.icann.org/octo-ssr/daar-faqs>, the data collected by this system could serve as a platform for studying daily or historical registration or abuse activities and for reporting activity and to assist the ICANN organization's Contractual Compliance department in obtaining additional information relating to Domain Name System (DNS) abuse for an accredited registrar or TLD registry operator.

GDPR Question Regarding Correlation Between Business Models and Abuse

Q: To what extent are there correlations between certain types of contracted party business models and certain types of abuse? Please provide details

Contractual Compliance Response:

ICANN Contractual Compliance is not able to respond to this question as we do not have nor collect business model information.

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Email to maguy.serad@icann.org from Jennifer Bryce on **6 November 2018**

Questions related to WHOIS

- 1. For the new gTLDs and registrars that have the highest inaccuracy rates – what processes do you follow, what actions do you take to address? (See SADAG, DAAR)**
- 2. For example, does Compliance treat registrars with higher accuracy rates to greater scrutiny & compliance activity? If not, why?**

Contractual Compliance Response:

Contractual Compliance has a standard [Approach and Process](#) that applies across the registrar, registry and audit program.

Contractual Compliance monitors complaints to identify patterns and systemic issues of noncompliance within and across the complaint types and the contracted parties. This effort is useful in identifying trends of issues and most importantly in identifying opportunities to conduct outreach or additional proactive monitoring.

For example, based on trends identified by Contractual Compliance (including review of WHOIS inaccuracy complaints submitted by the public and generated as a result of the WHOIS ARS), Contractual Compliance launched a WHOIS Inquiry effort in 2016 that focused on registrars in China and Korea. These inquiries focused on issues with the 2013 RAA WHOIS Accuracy Specification Program (WAPS) requirements. These efforts continued for registrars in China, United States and other regions. Please refer to the annual update published at this link

<https://www.icann.org/en/system/files/files/annual-2016-31jan17-en.pdf> . Outreach efforts are ongoing; please refer to [Outreach page](#) for more information.

- 3. What trends is Compliance seeing in the Periodic Reporting-- are accuracy rates going up or down?**
- 4. If the rates are going down-- how does Compliance change its activities to determine the root cause?**

Contractual Compliance Response:

Contractual Compliance has observed a reduction in WHOIS Inaccuracy complaints being filed over the course of 2018 <https://features.icann.org/compliance/prevention-stats>. This could be due to limited access to WHOIS data. The General Data Protection Regulation (GDPR) and the Temporary Specification for gTLD Registration Data has limited the amount of Whois data that is published.

Contractual Compliance has adjusted the review of complaints to account for the changes in registration data. For any complaint review that requires unredacted registration data, ICANN requests specific data from contracted party; it is an additional step in the review of the complaint. The Expedited Policy Development Process (EPDP) work that is currently ongoing will be key to future Whois data reviews and analysis.

Please note the volume of received complaints only represent the number of complaints that were reported and does not mean that all complaints are valid. For example for the month of October 2018, ICANN received 1255 WHOIS Inaccuracy complaints, closed 962 before sending to the registrar and processed 293. Please refer to the quarterly Registrar Closed Complaints by Closure Code to learn more about the reasons. Generally speaking, most are closed before sending to a registrar for reasons like, duplicate complaint, domain name is suspended already,

- 5. What contract changes would Compliance like to see to enhance its ability to respond to complaints of inaccurate WHOIS?**

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Contractual Compliance Response:

Contractual Compliance does not see a need to change the Registrar Accreditation Agreement to respond to complaints of inaccurate WHOIS. Additionally, the [Registration Data Access Protocol](#) work is underway and should address among other things, standardization, access and security. Contractual Compliance will respond to any complaints of inaccurate WHOIS according to the then-effective agreements and policies.

- 6. Does ICANN Compliance treat WHOIS complaints differently if the complaint is coupled with allegations of DNS abuse. Why not?**
- 7. Could ICANN Compliance have a different process for responding to WHOIS complaints when coupled with DNS abuse and cybercrime allegations?**

Contractual Compliance Response:

Contractual Compliance reviews all complaints from a holistic perspective to determine whether multiple issues may be in scope of the ICANN agreements and policies and need to be addressed by a contracted party. Where appropriate, the contracted party is requested to address multiple issues in a single compliance ticket, and if not (e.g., where different contractual timelines are applicable to each issue), the issues will be addressed separately. However, the standard Contractual Compliance Approach and Process is applied to all compliance matters regardless of topic.

- 8. How does ICANN Compliance interpret 3.18: Registrar shall take reasonable and prompt steps to investigate and respond appropriately to any reports of abuse.**
- 9. What are "reasonable steps" and have there been any instances where Compliance has found that the Registrar did not take reasonable steps?**
- 10. Did Compliance seek community input into how to interpret 3.18?**
- 11. What changes would Compliance suggest to enhance its ability to take action under 3.18?**

Contractual Compliance Response:

Contractual Compliance monitors compliance with Section 3.18 of the 2013 RAA through processing abuse complaints submitted through the Registrar Standards Complaint Form (<https://forms.icann.org/en/resources/compliance/complaints/registrars/standards-complaint-form>) and by conducting the Registrar Audit Program which includes the obligations of Sections 3.18.1, 3.18.2 and 3.18.3 of the 2013 RAA.

For abuse complaints, ICANN collects evidence from the reporter and confirms that the reporter sent abuse report(s) to the registrar's abuse contact email address before sending the complaint to registrar. Once confirmed, ICANN could request the registrar to provide:

1. A description of the steps taken to investigate and respond to abuse report
2. The amount of time taken to respond to abuse report
3. All correspondence with complainant and registrant
4. The link to website's abuse contact email and handling procedure
5. The location of dedicated abuse email and telephone for law-enforcement reports
6. The registrar's WHOIS abuse contacts, email address and phone number
7. Examples of steps registrars have taken to investigate and respond to abuse reports include:
 1. Contacting the registrant ☐
 2. Requesting and obtaining evidence or licenses ☐
 3. Providing hosting provider information to complainant ☐
 4. Performing Whois verification ☐

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5. [Performing transfer upon request of registrant](#)
6. [Suspending domain](#)

Several blogs have been published on this topic; please refer to the [ICANN Contractual Compliance Reports & Blogs](#) page dating back to 2015. For more details on the abuse handling and resolution, please refer to slides 19 - 24 in the [Registrar Compliance Program](#) material.

Contractual Compliance does not seek community input into contract interpretation.

Contractual Compliance has taken action to enforce Section 3.18. The challenge and delays in enforcing in most cases have been where reporters did not provide sufficient information in their abuse report to the registrar, including information regarding alleged violations of laws/regulations in one or more applicable jurisdictions.

- 12. Is Compliance auditing the requirement under the RAA to: Validate that all postal address fields are consistent across fields (for example: street exists in city, city exists in state/province, city matches postal code) where such information is technically and commercially feasible for the applicable country or territory.**

Contractual Compliance Response:

Cross-validation is not included in the scope of an audit because it is not an effective provision per Section 6 of the Transition Addendum to Registrar Accreditation Agreement in the 2013 RAA.

- 13. Is ICANN Compliance auditing the escrow deposits to confirm that the submission matches the total registrations of that registrar, and spot checking for accuracy or that it matches what appears in WHOIS?**

Contractual Compliance Response:

Contractual Compliance conducts proactive monitoring of registrar data escrow deposits. At ICANN's request, data escrow agents conduct manual reviews of escrow deposits when a registrar receives a 3rd or Escalated Notice (i.e., there is a potential for breach/termination that requires bulk transfer of domains). Manual reviews include comparing deposited domain registration data with publicly available WHOIS information, ensuring that they match.

Contractual Compliance compares the number of domains escrowed with the number of domains under the registrar's management, as reported by registry operators. In cases where the numbers are different, ICANN will send inquiries to registrars seeking additional information regarding the discrepancy.

- 14. Has ICANN Compliance considered having an "emergency response" submission for egregious instances of DNS Abuse?**

Contractual Compliance Response:

No. The ICANN agreements and policies as currently defined do not authorize ICANN to require registries or registrars to take a specific action in response to DNS abuse (e.g., suspend or delete potentially abusive domain names), let alone on an expedited basis.

- 15. Is ICANN experiencing "rate limiting" in accessing WHOIS for either compliance purposes or for the WHOIS ARS?**

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16. Does ICANN need unrestricted access to WHOIS to be able to do its compliance activities, WHOIS lookups, and WHOIS ARS

Contractual Compliance Response:

In situations where “rate limiting” occurs, Contractual Compliance works with the registrars to allow ICANN access to the WHOIS data.

Restricted access to WHOIS limits Contractual Compliance’s ability to perform its function. For example in complaint types like Domain Renewals and Transfers where a registrant is affected, Contractual Compliance may not be able to confirm the identity of the registrant when processing complaints. As explained in the response to questions #3 and #4 above, Contractual Compliance has adjusted the review of complaints to account for the changes in registration data and is requesting the specific data to address issues, where necessary.

17. Does ICANN audit the SLAs for WHOIS availability? How often?

Contractual Compliance Response:

The Contractual Compliance audit plan does include a test for registry and registrar WHOIS unavailability. The frequency of an audit of a contracted party varies based on the systemic issues and the audit scope and criteria. Additionally, Contractual Compliance routinely monitors and sends compliance notices to registrars with WHOIS service unavailability. ICANN org also routinely monitors registry operator WHOIS service availability under the requirements of the registry agreement and failures meeting certain defined thresholds will trigger an automated compliance notice.

18. Which entities can submit bulk WHOIS compliance complaints? Please explain the requirements/restrictions involved in being able to submit bulk complaints.

Contractual Compliance Response:

Anyone interested in the bulk WHOIS submission can submit a request to be a bulk submitter.

To inquire about access to the bulk Whois inaccuracy complaint tool, please email compliance@icann.org with subject: Inquiry about Whois Bulk Submission.

Detailed instructions will be provided to the requester. Testing ensures the requester’s bulk submission files meet the required format. In addition, requestors are presented with a terms of use document that they have to review and agree to before they are able to submit any complaints.

19. Is an NDA required to obtain information on which registrars have the highest WHOIS inaccuracy rates currently?

Contractual Compliance Response:

Data regarding which registrars have the highest rates of Whois inaccuracy does not exist within Contractual Compliance. Contractual Compliance has data on which registrars have been subject to the most reports of potential inaccuracy submitted to ICANN; of those, some are not valid; some are resolved (so there is no longer an inaccuracy).

Contractual Compliance does not publish complaint volume data specific to registrars and registries. There is a 13-month rolling report providing data about the percent of registrars with complaints by [region and country](#).

Access to ICANN Contractual Compliance data specific to contracted parties would require an ICANN org review of the request in relation to the SSR2 scope, and given the sensitivity of data and potential competition concerns a consideration of who on the review team might have interests that would

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exclude them from accessing the data. Such a request will require an NDA as well as a notice to registrars.

CZDS

- 20. Please provide data on CZDS performance and information on compliance actions regarding CZDS, including Rgy failures to provide daily data, rate limiting, denial of access by Registries, compliance actions/results from actions, pending improvements**

Contractual Compliance Response:

Data regarding complaints received by Contractual Compliance regarding zone file access via the Centralized Zone Data Service (CZDS) is available in the Zone File Access complaints portion of the [Metrics and Dashboards](#) section in Contractual Compliance Performance Measurement & Reporting under the Registry data. There are additional metrics under the Bulk Zone File category of the same section, which relates to a registry operator's provision of bulk zone file access to ICANN. ICANN provides different levels of reporting:

- *Monthly Dashboard - for example link to [October](#) dashboard*
- *Quarterly Reports - for example link to [Jul - Sept](#) Report which contains different reports to address this question:
 - *the Registry Complaints per Compliance Approach & Process;*
 - *Registry Closed Complaints by Closure Code**
- *Annual Report - summary of volume of complaints across the compliance process within a complaint type.*

Regarding CZDS complaints - ICANN receives complaints about either lack of registry response to requests or denial/revocation of access. Regarding bulk zone file access to ICANN - ICANN monitors this daily for exceptions. Contractual Compliance action is to follow-up with the registry to facilitate resolution of any issue and where applicable enforce the registry agreement obligations.

EBERO

- 21. Please provide information on compliance action relating to EBERO**

Contractual Compliance Response:

Details regarding the triggers and process for an emergency transition of a registry are set forth in Section 2.13 of the registry agreement and the transition process at <https://www.icann.org/resources/pages/transition-processes-2013-04-22-en> . As with any contractual obligation, Contractual Compliance enforces the critical registry functions and the emergency thresholds in Section 6 of Specification 10 of the registry agreement, which can lead to such transition. There has been no compliance action against an Emergency Back End Registry Operator to date.

- 22. Please provide information on data escrow providers' contractual obligations/requirements and actions taken by ICANN Org. to monitor and ensure compliance with these obligations**

Contractual Compliance Response:

Contractual Compliance data escrow ongoing activities are to ensure registry operators are complying with data escrow provisions of registry agreement per Section 2.3 and Specification 2 and that Registrars are complying with the Registrar Data Escrow Specification <https://www.icann.org/en/system/files/files/rde-specs-09nov07-en.pdf> .

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The data escrow providers' contractual obligations/requirements are monitored by the Global Domains Division team to ensure compliance with their obligations (vendor management role).

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Email to compliance@icann.org from Brian Atchison on **1 October 2018**

Several years ago, an Implementation Advisory Group recommended about 70 metrics to assess for the Competition, Consumer Choice, and Trust Review. One of those metrics (1.13) was the “number of reported data security breaches.”

Do you have data on this? And is it publishable? We’re looking into this because the SSR Review Team has asked us to provide details on the data gathered for this metric.

Contractual Compliance Response:

Section 3.20 of the 2013 RAA requires registrars to give ICANN notice within seven days of any unauthorized access to or disclosure of registrant account information or registration data (among other things). The notice shall include a detailed description of the type of unauthorized access, how it occurred, the number of registrants affected and any action taken by the registrar in response. Although registrars are encouraged to provide ICANN Contractual Compliance with such notice (see <https://www.icann.org/resources/pages/bankruptcy-breaches-2014-01-29-en>) to avoid a potential compliance escalation, registrar may also provide such notification to ICANN org via other means.

In January 2015, ICANN Contractual Compliance collected data for the Competition, Consumer Trust and Consumer Choice Review team (metric 1.13) regarding the number of security breaches reported to it by registrars under Section 3.20 of the 2013 Registrar Accreditation Agreement (RAA) through the end of 2014. In consideration of the above request, ICANN Contractual Compliance has updated that data through the end of 2017:

*2012: 0
2013: 2
2014: 1
2015: 1
2016: 0
2017: 0*

Additionally, as of this response, ICANN has received one registrar security breach notification in 2018.

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Email to maguy.serad@icann.org from Jennifer Bryce on **13 September 2018**

Recommendation 10: ICANN should continue its efforts to step up contract compliance enforcement and provide adequate resources for this function. ICANN also should develop and implement a more structured process for monitoring compliance issues and investigations.

- 1. Please provide a summary of the number of complaints and enforcement actions against registries and registrars taken by contractual compliance on the basis of SSR obligations in the past 5 years.**

Contractual Compliance Response to question #1:

ICANN has a dedicated public page for Contractual Compliance Reporting. This page provides three types of data to the ICANN Community. The first section, referred to as Metrics and Dashboards, provides monthly, quarterly and annual data. The second section, referred to as Contractual Compliance Metrics for a rolling 13-month period, provides ten different types of reports for a period of 13-month. The third section, referred to as Additional Contractual Compliance related data, provides links to the metrics and data specifically requested by different working groups or review teams.

A summary of the number of complaints and enforcement actions against registries and registrars, including the number of complaints by complaint type can be found at <https://features.icann.org/compliance/dashboard/report-list>.

As for enforcement, there are multiple reports to refer to:

- a) In the Metrics and Dashboards section, there are two reports to provide enforcement data; a report that presents data about the [Formal Resolution Process broken out by enforcement reason](#) and another that shows the data from a [Compliance Approach & Process](#) perspective for registrar and another for registry related complaints. Same reports can also be found in the Annual Report section.*
- b) in the 13-month rolling section, there is a [Formal Notices](#) report that lists enforcement actions by a contracted party and the enforcement reasons for both registrars and registries*

- 2. To what extent does ICANN measure the incidence and impact of registration abuse and/or malicious conduct by contracted parties?**

Contractual Compliance Response to question #2:

ICANN Contractual Compliance reports on the total number of registrar abuse report complaints received and processed. In late 2017, compliance reporting included the subject matter category in its monthly metrics; for example - the abuse complaint type now provides the subject of registrar related Domain Name System (DNS) abuse complaints such as spam, pharming, phishing, malware, and botnets in addition to counterfeiting, pharmaceutical, fraudulent and deceptive practices, trademark or copyright infringement, and registrar abuse contact.

ICANN Contractual Compliance also proactively monitors compliance with the abuse-related obligations of the Registrar Accreditation Agreement and Registry Agreement through audits. At the closure of every audit round, ICANN published an audit report on the [Reports & Blogs Page](#). ICANN org is developing use of the information from the [Domain Abuse Activity Reporting](#) (DAAR) project for studying and reporting on domain name registration and security threat (domain abuse) behavior across registrars and registry operators.

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Recommendation 11: ICANN should finalize and implement measures of success for new gTLDs and IDN fast track that expressly relate to its SSR-related program objectives, including measurements for the effectiveness of mechanisms to mitigate domain name abuse.

- 3. The [SSR1 Report](#) refers to Specification 11 as applying to all new gTLD registries. Please provide reports on the number and type of security threats reported by registries under their Specification 11 obligations. Please give details of enforcement action(s) taken by ICANN's contractual compliance department in relation to Specification 11.**

Contractual Compliance Response to question #3:

Details regarding ICANN Contractual Compliance's enforcement of registry operator security threat reporting obligations under Specification 11 have previously been published in response to requests for similar information from the new gTLD Subsequent Procedures Policy Development Process Working Group at

<https://community.icann.org/download/attachments/58735937/New%20gTLD%20Subsequent%20Procedures%20Request%20for%20Data%20%28PIC%29.docx?version=1&modificationDate=1502819042000&api=v2>.

To date, ICANN has issued two breach notices related to Specification 11. Both were on the basis of noncompliance with Section 3(c), regarding transparent operation of the subject top-level domain.

Details regarding these notices are published at

https://www.icann.org/uploads/compliance_notice/attachment/911/serad-to-westerdal-16mar17.pdf and

https://www.icann.org/uploads/compliance_notice/attachment/1049/serad-to-allain-11jul18.pdf.

No enforcement actions have been issued to date on the basis of Specification 11 3(b), regarding security threat reporting.

Additionally, ICANN Contractual Compliance has recently conducted a registry audit which focused on registry operator compliance with Specification 11 security threat reporting obligations. An audit report regarding this audit round is estimated to be published by the end of October 2018 at the audit reports page, which can be linked to from

<https://www.icann.org/resources/pages/audits-2012-02-25-en>.