

ICANN Contractual Compliance Proforma – DNS Security Threats November 2018 Registry Audit Request For Information (RFI)*



INSTRUCTIONS:

If you have any questions, please email ICANN at complianceaudit@icann.org.

For any documentation provided, please comply with local laws, if applicable, and redact any data deemed private (e.g. Personally Identifiable Information).

Request Index	Information Request
1	Does your Registry Operator periodically conduct a technical analysis (security threats) outlined in Specification 11, 3b?
a	If you answered "Yes" to Question 1, please provide 5 (five) most recent technical analysis reports (Excel or .csv formats are preferable). If you answered "No", please ignore Questions 1a-1h and proceed to Question 2.
b	If you provided technical analysis reports, please indicate what time period each report covers (unless it is already indicated in the report).
c	If you answered "Yes" to Question 1, what is the scope (e.g. types of threats) of your technical analysis?
d	If you answered "Yes" to Question 1, how frequently is the technical analysis performed?
e	Unless it is disclosed in the technical analysis report, please explain how different types of security threats are identified.
f	Unless it is disclosed in the technical analysis report, please explain how different types of security threats are addressed.

	<p>g Are you reporting issues identified in the technical analysis to registrars?</p> <p>If yes:</p> <ul style="list-style-type: none"> - What communication methods are used? - Are these communications consistently retained? - If retained, please provide an example of such communication. <p>If no:</p> <ul style="list-style-type: none"> - Explain why issues are not reported to registrars.
	<p>h Regardless of whether or not issues from the technical analysis are reported to registrars, do you share technical analysis reports with any other parties?</p> <p>If yes:</p> <ul style="list-style-type: none"> - Who are the reports shared with? - When are the reports shared? - How are the reports shared? <p>If no:</p> <ul style="list-style-type: none"> - Why are reports not shared with other parties?
2	<p><i>(If you responded to questions 1a-1h, please ignore questions 2a-2g).</i></p> <p>Do you perform any abuse/security threats monitoring related to your top-level domain (TLD)?</p>
	<p>a If you answered "No", please explain: 1) why monitoring is not performed, 2) whether you plan to start such monitoring in the future, and 3) what approach you'd choose.</p>
	<p>b If you answered "Yes" to Question 2, what is the scope (e.g. types of threats) of your monitoring?</p>
	<p>c If you answered "Yes" to Question 2, is this a continuous monitoring? If not continuous, please indicate the frequency of this monitoring.</p>

d	Do you keep (or can you reproduce) the records resulted from your monitoring?
e	If you answered "Yes" to Question 2d, please provide the most recent report that contains these records.
f	<p>Are you reporting issues identified to registrars?</p> <p>If yes:</p> <ul style="list-style-type: none"> - What communication methods are used? - Are these communications consistently retained? - If retained, please provide an example. <p>If no:</p> <ul style="list-style-type: none"> - Explain why issues are not reported to Registrars
g	<p>Regardless of whether or not issues are reported to registrars, do you share the results of your monitoring with any other parties?</p> <p>If yes:</p> <ul style="list-style-type: none"> - Who are the reports shared with? - When are the reports shared? - How are the reports shared? <p>If no:</p> <ul style="list-style-type: none"> - Why are reports not shared with other parties?
3	In addition to above, does your registry operator take any other actions to address abuse?
a	If you answered "Yes" to Question 3, please describe all actions taken and how frequently each action is performed.
4	Has your registry operator ever received any reports from law enforcement and governmental and quasi-governmental agencies ("LEAs") of illegal conduct in connection with the use of your TLD?

	a If you answered "Yes" to Question 4, how many reports have been received?
	b If you answered "Yes" to Question 4: 1. Please provide a few examples of reports received. 2. For each report provided, please provide the following: a) All communications and records related to the handling of the report. b) An explanation of how the report was handled.
	c How long does the registry operator retain these reports?
5	Has your registry operator received any abuse reports from entities or individuals other than LEAs ("non-LEAs")?
	a If you answered "Yes" to Question 5, how many reports have been received?
	b If you answered "Yes" to Question 5: 1. Please provide a few examples of reports received. 2. For each report provided, please provide the following: a) All communications and records related to the handling of the report. b) An explanation of how the report was handled.
	c How long does the registry operator retain these reports?
6	1. Do you monitor community blogs, articles, reports, etc related to abuse concerns in your TLD? If yes, please provide an example. 2. Have you performed any action(s) to address these concern(s)? 3. If yes, for each action performed, please provide the following: a) An explanation of the action performed. b) All communications and records related to the action performed.

7	Have you implemented any additional Rights Protection Mechanisms (RPM) that discourage or prevent the registration of domain names that violate or abuse another party's legal rights? If yes, please describe what has been implemented.
	a If you answered "Yes" to Question 7, have you updated your Registry-Registrar Agreements (RAA), including all RPMs required by Appendix 8 and any additional RPMs developed?
8	Have you developed an Anti-Abuse policy? If yes, please provide the link where this policy is posted.
	a Have you ever taken action on domain names that violated this policy or infringed upon the legal rights of others in your TLD? If yes, provide an example and record of actions taken.
9	Is your generic top-level domain (gTLD) a .Brand gTLD?
10	Is your gTLD a community-based gTLD? If yes, please respond to questions 10a-10d below.
	a Please describe the eligibility criteria for, and processes to evaluate a registrar's qualifications to register domain names.
	b Please briefly describe the steps taken (if any) to create a working relationship with the relevant regulatory bodies or industry self-regulating bodies.
	c Please briefly describe how you enforce the Registry-Registrar Agreement provision requiring a representation that the registrant possesses any necessary authorizations, charters, licenses and/or other related credentials for participation in the sector associated with your registry TLD string.
	d Please briefly describe how you plan to handle complaints expressing doubt with regard to the authenticity of licenses or credentials.

* This is provided for information purposes only. Please do not rely on it to make conclusions or business decisions.