Contractual Compliance

Registry Stakeholder Group
13-14 March 2012

Agenda

- ❑ Operational Update

- ❑ Activities Updates

- ❑ Questions & Answers

Operational Update

- Efficiency (doing the thing right?)
  - Standardize all communication
  - Standardize Process
  - Standardize request for information
  - Follow-up and Follow-thru
- Effectiveness (doing the right thing?)
  - Analyze high volume of complaints
  - Validation

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Three-Year Plan

1. **Strengthen program and operation** (Core Operation)
2. **Establish performance measures and improve reporting** (Transparency and Accountability)

2013

2012

Transformation Phase

Grow staff in number and expertise

Standardize operations

Rollout internal collaboration tool

Plan and develop global metrics

2011

Future Phase

Continuous Improvement

Consolidate Contractual Compliance Systems

Rollout Annual Audits

Assessment Phase

Stabilize operations

Assess people, processes and tools

Develop improvement plan

Begin implementation of plan

Compliance Organization

- 12 members (**4 NEW** members since ICANN Meeting #42)
- English, French, Arabic, Mandarin, Spanish, Urdu and Hindi
- Organization
    - Head of Compliance (1)
    - Registrar and Registry Compliance (9)
    - Risk and Audit Management (1)
    - Performance Measurement and Reporting (1)

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Contractual Compliance Model

Culture of Compliance

1. Bottom-up
2. Multi-stakeholder

Pilot Phase

FORMAL RESOLUTION

INFORMAL RESOLUTION
Inquiries & Warnings

**PREVENTATIVE ACTIVITIES**
Monitor, Audit, Education & Outreach

Annual Self-assessment
Industry Best Practice

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Overall Compliance Process

PREVENTATIVE Monitor, Audit, Educate & Outreach	ENFORCEMENT

Intake

INFORMAL RESOLUTION	FORMAL RESOLUTION

1	2	3		

| 1st Inquiry or Notice **email** | 2nd Inquiry or Notice **Email** **Phone call** | Final Inquiry or Notice **Email** **Phone call** **Fax** | Breach Notice | Suspension Termination Non-renewal |

Publish on website

Good Standing → | **NOT in Good Standing** →
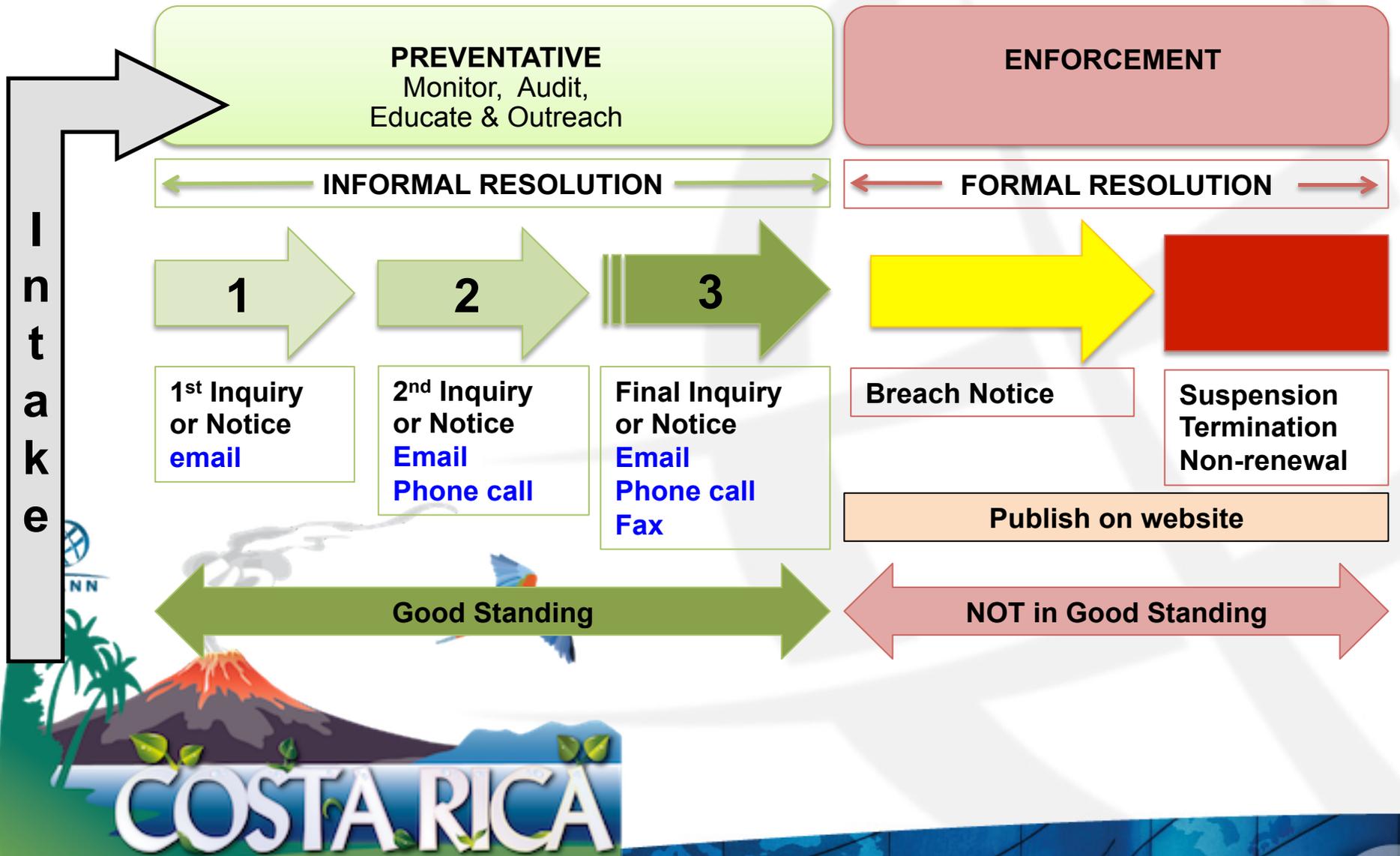
Registrar Suspension Process

Suspension Criteria (refer to section 2.1 in 2009 RAA)

- ICANN may suspend a registrar's ability to create new registrations or initiate inbound transfers for up to 12 months if:

  ➢ ICANN has given notice of breach and the impacted registrar has not timely cured the breach, or

  ➢ A registrar has been repeatedly and willfully in breach of the RAA at least three times in any 12 month period

Suspension Process

Frequently Asked Questions Link

Suspension Periods:

1. x business days up to 12 month

2. Suspend until termination

   - Not cured and/or No or little effort

3. Suspend pending cure

   - Work underway to cure and/or Work not completed

Registry Support for Suspensions

- Timely implementation of blocking mechanisms to prevent new domain name registrations and inbound transfers

- Maintain communication with ICANN during the suspension period to report any problems or concerns

- Timely disengagement of blocking mechanisms
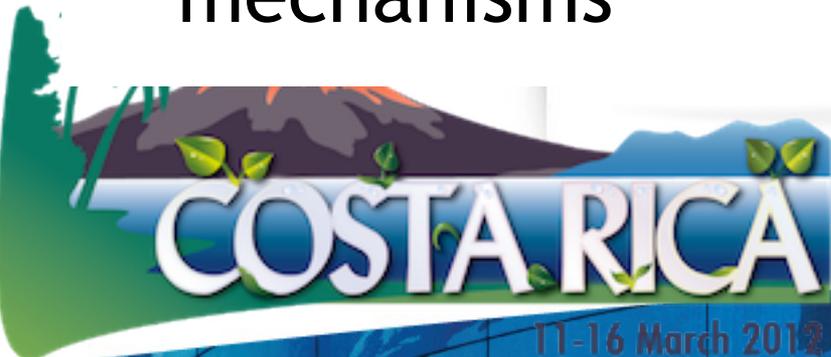
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Agenda

❑Operational Update

❑Activities Updates

   ❑Trimester Data

   ❑Self-Assessment Pilot

❑Questions & Answers

Registry Operator Compliance

January – December 2011

- 100% reported compliance with:
    - Domain Name System availability
    - Whois availability
    - Equal registrar access to the Shared Registration System
- No complaints received regarding denial of bulk access to zone file
- All registries submitted monthly transactions reports

Registrar Complaints across the globe

16,741 Complaints Received
Oct 2011 – Feb 2012

39%

34%

23%

2%

1%

1%

1% Unknown

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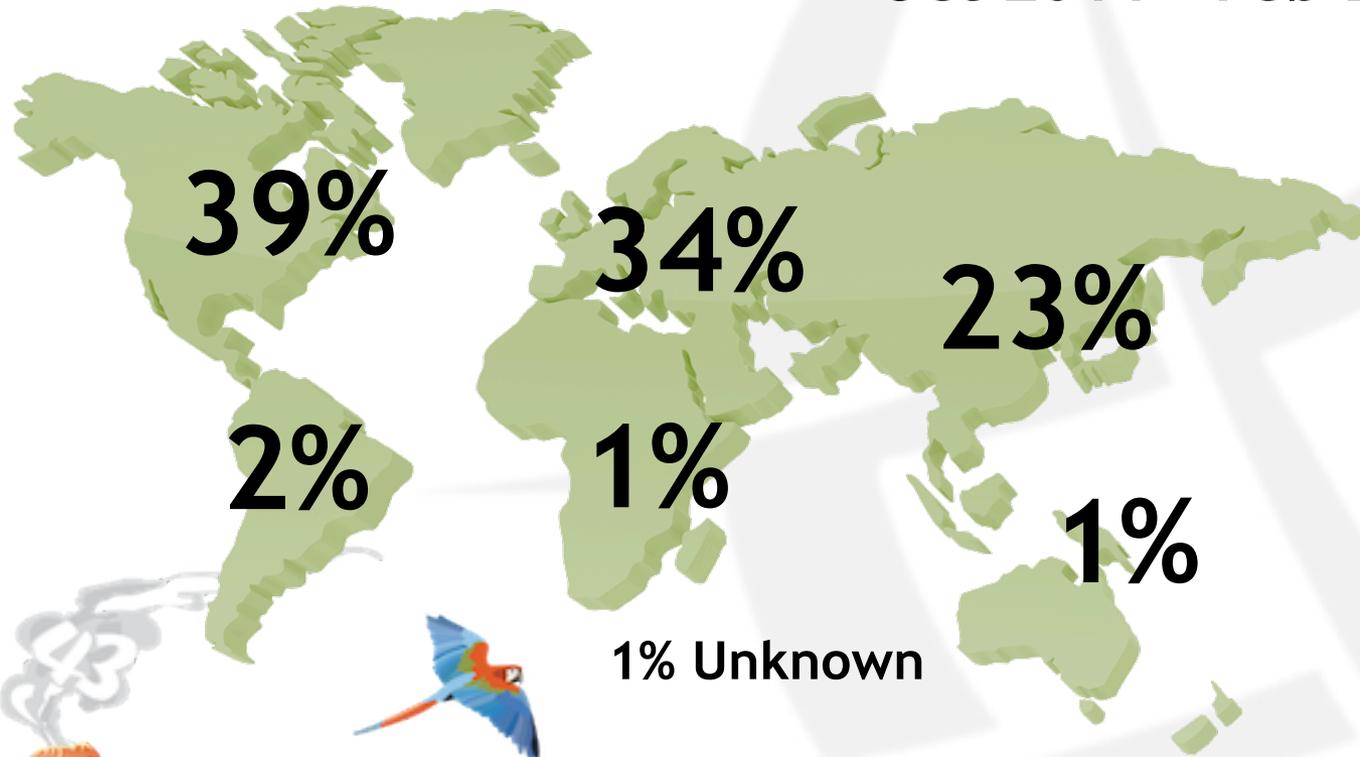
Registrar Compliance Activities – T2

16,778 Complaints Received in T2

Oct 2011 – Feb 2012	All Complaints Received by Type	Quantity
Prevention	Customer Service	4,279
	Data Escrow Audit	420
	Data Escrow Miss	45
	Transfer	2,184
	UDRP	221
	WHOIS Access	29
	WHOIS Inaccuracy	9,597
	Law Enforcement	3
	Total Complaints	16,778
Enforcement	Breach	2
	Suspension	1
	Terminated/Non-Renewal	0

Registrar Demographics – Complaint Volume vs. Domain volume & registrars– T2

LEGEND	Oct 2011 Domain Volume/Million	# Complaints	% Complaints per Domain Volume
	# registrars per region	# registrar w/ Complaints	% Unique registrars with complaints per region

North America

95.6M	3,939	.004%
683	117	17.1%

Europe

20.3M	2,689	.013%
131	62	47.3%

Asia

15M	2,411	.016%
164	62	37.8%

Africa

.1M	1	.001%
5	0	0%

South America

.4M	11	.003%
10	3	30%

Oceania

6.5M	176	.003%
17	12	70.6%
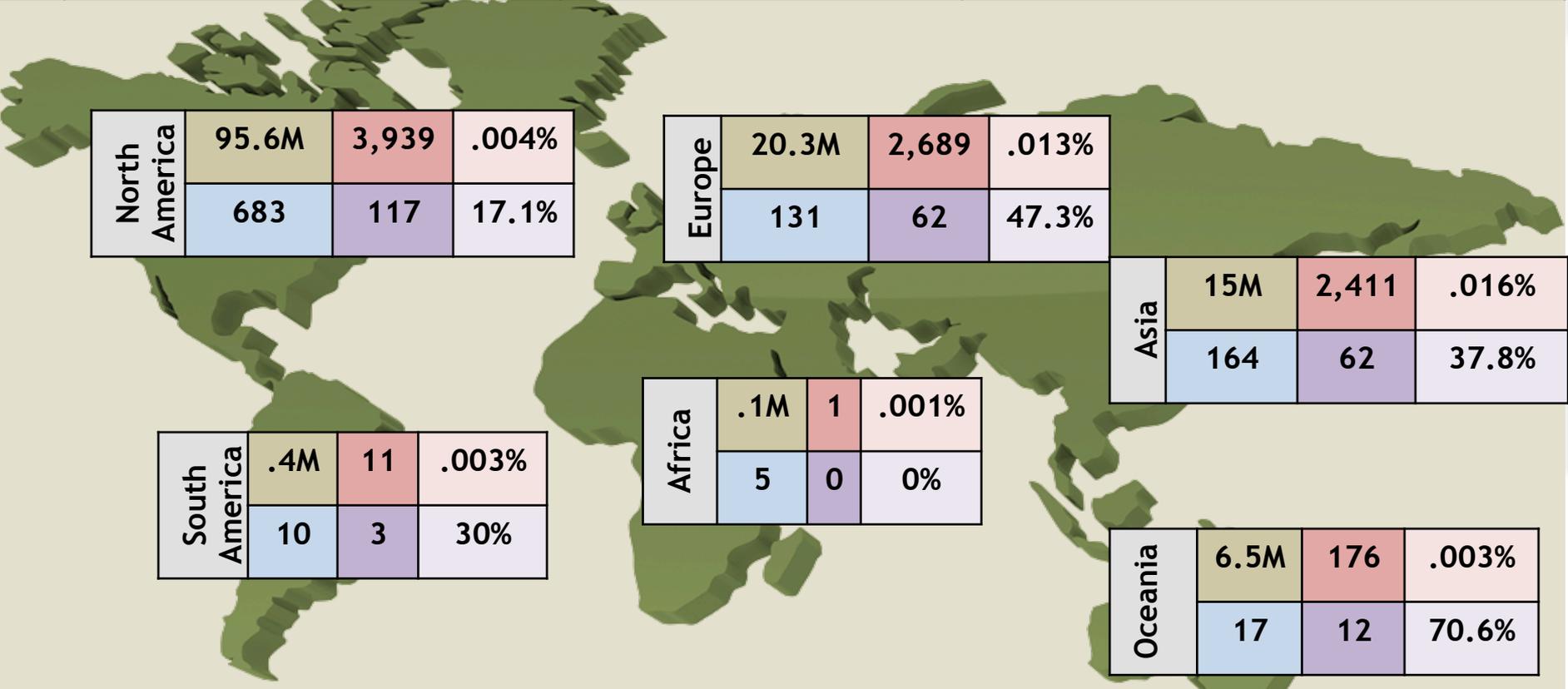
Please refer to slide #22 for explanation

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Top 5 Registrars Transfers - T2

Transfers			
Quantity	IANA #	& Registrar Name	Location
454			
234			
134			
98			
86			

ICANN INTERNAL USE ONLY
Efforts underway on data collection and analysis

Objectives:
To address "LOW HANGING fruit"
To initiate proactive approach to complaints
To identify root causes and address them
To trend and report back

Top 10 Registrars
WHOIS complaint volume – T2

Complaint Volume	Domain Volume	IANA	Registrar
1276			
883			
507			
287			
253			
253			
248			
241			
240			
225			

ICANN INTERNAL USE ONLY
Efforts underway on data collection and analysis

Objectives:
To address "LOW HANGING fruit"
To initiate proactive approach to complaints
To identify root causes and address them
To trend and report back

WHOIS Inaccuracy Demographics – T2

Complaints by Registrar Location

57.39%

24.92%

8.6%

.06%

.01%

.55%

8.47% Not Available
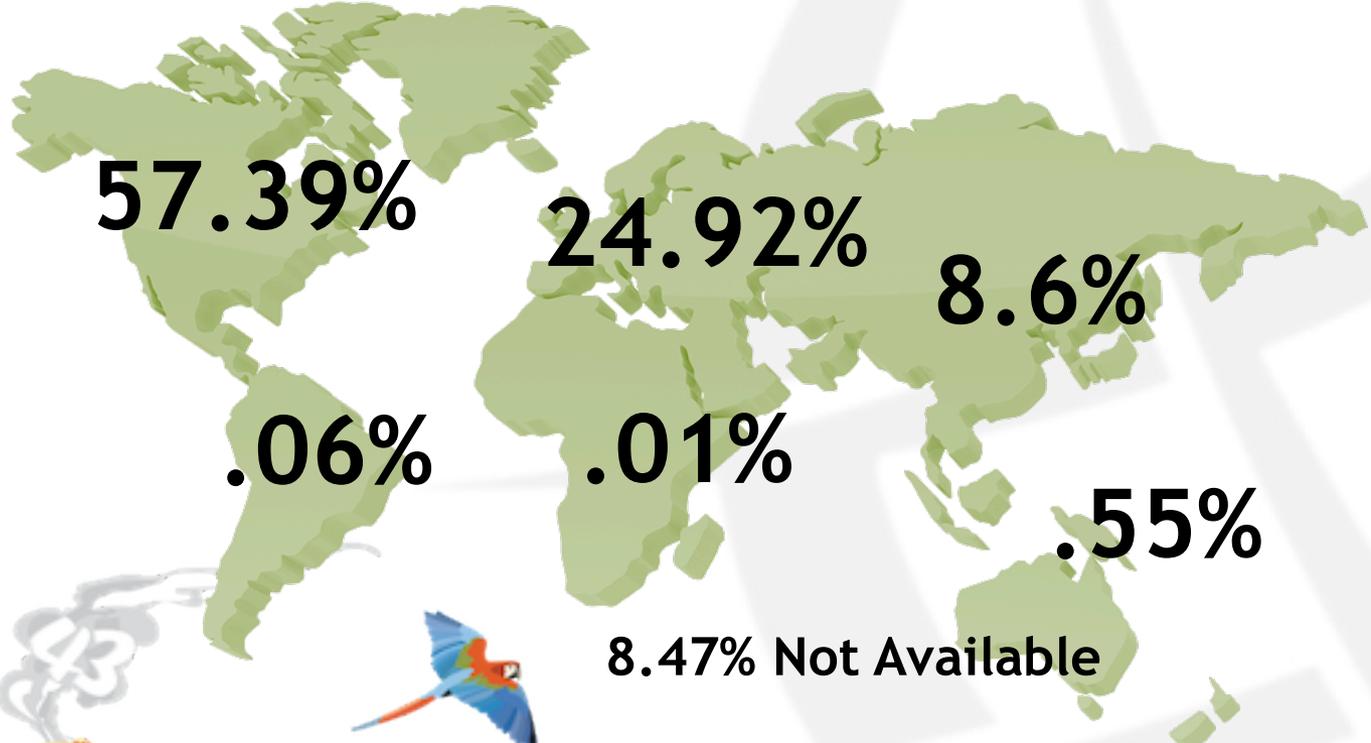
Registry Self-assessment Tool

<u>Objective</u>: To assess compliance with registry agreement provisions

- The self-assessment provides a scalable tool for assessing New gTLD operator compliance.

- Piloting registry self-assessment in 2012

Contents of Registry Self-assessment

Registry agreement obligations to be self-assessed:

- Consensus policies
- Access to Shared Registration Services
- Data escrow
- Monthly reports
- Whois
- Reserved names
- Service Level Agreements
- Charter compliance

Questions & Feedback

Please send your feedback to Compliance@icann.org

Subject
[ICANN 43 Costa Rica Compliance Feedback]

Registrar Demographics – Complaint Volume vs. Domain volume & registrars–T2

- Africa had .1 million domains sponsored by 5 registrars. There were .001% complaints for all Africa domains and zero % of 5 registrars has complaints filed against them.
- Asia had 15 million domains sponsored by 164 registrars. There were .016% complaints for all Asia domains and 37.8% of 164 registrars has complaints filed against them.
- Europe had 20.3 million domains sponsored by 131 registrars. There were .013% complaints for all Europe domains and 47.3% of 131 registrars has complaints filed against them.
- North America had 95.6 million domains sponsored by 683 registrars. There were .004% complaints for all North America domains and 17.1% of 683 registrars has complaints filed against them.
- Oceania had 6.5 million domains sponsored by 17 registrars. There were .003% complaints for all Oceania domains and 70.6% of 17 registrars has complaints filed against them.
- South America had .4 million domains sponsored by 10 registrars. There were .003% complaints for all South America domains and 30% of 10 registrars has complaints filed against them.