Contractual Compliance

Registrar Stakeholder Group

13 March 2012
Agenda

- Staff Update
- Process Update
- Trimester Complaints Update
- WHOIS Data Reminder Policy Audit Update
- Self-Assessment Pilot Update
- Registrar Outreach Update
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)
Three-Year Plan

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

Assessment Phase
- Stabilize operations
- Assess people, processes and tools
- Develop improvement plan
- Begin implementation of plan

Transformation Phase
- Grow staff in number and expertise
- Standardize operations
- Rollout internal collaboration tool
- Plan and develop global metrics

Future Phase
- Continuous Improvement
- Consolidate Contractual Compliance Systems
- Rollout Annual Audits
Contractual Compliance Model

Culture of Compliance
1. Bottom-up
2. Multi-stakeholder

- **FORMAL RESOLUTION**
- **INFORMAL RESOLUTION**
  - Inquiries & Warnings
- **PREVENTATIVE ACTIVITIES**
  - Monitor, Audit, Education & Outreach
- **Annual Self-assessment**
  - Industry Best Practice

Pilot Phase
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
Overall Compliance Process

- **PREVENTATIVE**
  - Monitor, Audit, Educate & Outreach

- **ENFORCEMENT**
  - Breach Notice
  - Suspension
  - Termination
  - Non-renewal

**INFORMAL RESOLUTION**
1. **1st Inquiry or Notice**
   - Email
2. **2nd Inquiry or Notice**
   - Email
   - Phone call
3. **Final Inquiry or Notice**
   - Email
   - Phone call
   - Fax

**FORMAL RESOLUTION**

**Good Standing**

**NOT in Good Standing**

11-16 March 2012
The WDPRS Process Cycle: Current vs. Proposed

- **Currently** registrars are only required to show proof if they have not responded after 3 ICANN inquiries.
- **Revised** - First notice will require registrars to provide proof of reasonable steps (including actual documentation).
Suspension Process

Suspension Criteria (refer to section 2.1 in 2009 RAA)

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
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Compliance issues across the globe

16,741 Complaints Received
Oct 2011 - Feb 2012

39% 34% 23%
2% 1% 1%
1% Unknown
## Compliance Activities - T2

### 16,778 Complaints Received in T2

<table>
<thead>
<tr>
<th>Prevention</th>
<th>All Complaints Received by Type</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Customer Service</td>
<td>4,279</td>
</tr>
<tr>
<td></td>
<td>Data Escrow Audit</td>
<td>420</td>
</tr>
<tr>
<td></td>
<td>Data Escrow Miss</td>
<td>45</td>
</tr>
<tr>
<td></td>
<td>Transfer</td>
<td>2,184</td>
</tr>
<tr>
<td></td>
<td>UDRP</td>
<td>221</td>
</tr>
<tr>
<td></td>
<td>WHOIS Access</td>
<td>29</td>
</tr>
<tr>
<td></td>
<td>WHOIS Inaccuracy</td>
<td>9,597</td>
</tr>
<tr>
<td></td>
<td>Law Enforcement</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Total Complaints</td>
<td>16,778</td>
</tr>
</tbody>
</table>

| Enforcement | Breach        | 2 |
|             | Suspension    | 1 |
|             | Terminated/Non-Renewal | 0 |
Registrar Demographics - Complaint Volume vs. Domain volume & registrars- T2

### Legend

<table>
<thead>
<tr>
<th>Region</th>
<th>Oct 2011 Domain Volume/Million</th>
<th># Complaints</th>
<th>% Complaints per Domain Volume</th>
<th># registrars per region</th>
<th># registrar w/ Complaints</th>
<th>% Unique registrars with complaints per region</th>
</tr>
</thead>
<tbody>
<tr>
<td>North America</td>
<td>95.6M</td>
<td>3,939</td>
<td>.004%</td>
<td>683</td>
<td>117</td>
<td>17.1%</td>
</tr>
<tr>
<td>South America</td>
<td>.4M</td>
<td>11</td>
<td>.003%</td>
<td>10</td>
<td>3</td>
<td>30%</td>
</tr>
<tr>
<td>Europe</td>
<td>20.3M</td>
<td>2,689</td>
<td>.013%</td>
<td>131</td>
<td>62</td>
<td>47.3%</td>
</tr>
<tr>
<td>Asia</td>
<td>15M</td>
<td>2,411</td>
<td>.016%</td>
<td>164</td>
<td>62</td>
<td>37.8%</td>
</tr>
<tr>
<td>Oceania</td>
<td>6.5M</td>
<td>176</td>
<td>.003%</td>
<td>17</td>
<td>12</td>
<td>70.6%</td>
</tr>
</tbody>
</table>

Please refer to slide #25 for explanation
## Top 5 Registrars Transfers - T2

<table>
<thead>
<tr>
<th>Quantity</th>
<th>IANA #</th>
<th>&amp; Registrar Name</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>454</td>
<td>120</td>
<td>Xin Net Technology Corporation</td>
<td>China</td>
</tr>
<tr>
<td>234</td>
<td>1316</td>
<td>35 Technology Co., Ltd.</td>
<td>China</td>
</tr>
<tr>
<td>134</td>
<td>420</td>
<td>HiChina Zhicheng Technology Limited</td>
<td>China</td>
</tr>
<tr>
<td>98</td>
<td>471</td>
<td>Bizcn.com, Inc.</td>
<td>China</td>
</tr>
<tr>
<td>86</td>
<td>146</td>
<td>GoDaddy.com, LLC</td>
<td>United States</td>
</tr>
</tbody>
</table>

**Transfers**

*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

<table>
<thead>
<tr>
<th>Complaint Volume</th>
<th>Domain Volume</th>
<th>IANA</th>
<th>Registrar</th>
</tr>
</thead>
<tbody>
<tr>
<td>1276</td>
<td>11,719,854</td>
<td>48</td>
<td>eNom, Inc.</td>
</tr>
<tr>
<td>883</td>
<td>41,892</td>
<td>1436</td>
<td>Center of Ukrainian Internet Names (UKRNAMES)</td>
</tr>
<tr>
<td>507</td>
<td>44,370,126</td>
<td>146</td>
<td>GoDaddy.com, Inc.</td>
</tr>
<tr>
<td>287</td>
<td>3,970,051</td>
<td>113</td>
<td>CSL Computer Service Langenbach GmbH d/b/a joker.com</td>
</tr>
<tr>
<td>253</td>
<td>6,233,422</td>
<td>2</td>
<td>Network Solutions, LLC</td>
</tr>
<tr>
<td>253</td>
<td>9078796</td>
<td>69</td>
<td>Tucows.com Co.</td>
</tr>
<tr>
<td>248</td>
<td>97,792</td>
<td>1005</td>
<td>NetEarth One Inc. d/b/a NetEarth</td>
</tr>
<tr>
<td>241</td>
<td>13,353</td>
<td>1004</td>
<td>Netlynx Inc.</td>
</tr>
<tr>
<td>240</td>
<td>305,352</td>
<td>1469</td>
<td>Jiangsu Bangning Science &amp; technology Co. Ltd.</td>
</tr>
<tr>
<td>225</td>
<td>1,625,068</td>
<td>120</td>
<td>Xin Net Technology Corporation</td>
</tr>
</tbody>
</table>

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**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
WHOIS Inaccuracy Complaints - T2

Note: Filed in T2
Closed based on the process not T2

9,597 WHOIS Inaccuracy Complaints

6,445 Closed Based On

- Domain Expired
- Domain Deleted
- Data Updated
- Domain Transferred
- Invalid Report
- Privacy/Proxy Error
- Registrar Verified
- Suspended Domain
Agenda

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WDRP 2011 Audit Response Rate

<table>
<thead>
<tr>
<th>WDRP Audit Response Rate Trend</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
</tr>
<tr>
<td>99%</td>
</tr>
</tbody>
</table>

Next Steps
• Send 3rd notice via fax for missing responses
• Determine candidates for Enforcement steps

*Excused - anniversary date not met

1000 Invites sent

*Excused - anniversary date not met
2011 WDRP Audit Answers

**Question 4** Tools/Processes to Maintain Contacts

- Undeliverable Reminder = Deletion: 1.2%
- None of Above: 5.0%
- Manually Verified: 8.2%
- Automated Verification: 9.8%
- Willful Inaccurate = Delete: 17.0%
- No Response >15 days = Deletion: 24.6%
- Regularly Verify: 34.2%
Registrar RAA Self-Assessment Pilot Update & Feedback

**Pilot purpose** - To evaluate audit tools, questions, data collection, time required for compliance assessment.
14 questions on RAA/policy + 1 open question

**Next Steps**
- Pilot completed on 20 February 2012
- Feedback received on 23 Feb 2012
- Evaluate feedback and responses
- Determine timeline
- Communications - tbd
- Launch date - tbd

**Scale**

<table>
<thead>
<tr>
<th>Question</th>
<th>Extremely easy</th>
<th>Slightly easy</th>
<th>Very easy</th>
<th>Not at all easy</th>
<th>Moderately easy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1 - Instruction easy to complete?</td>
<td>17%</td>
<td>83%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q2 - Questions easy to understand?</td>
<td>83%</td>
<td>17%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q3 - Number of questions appropriate?</td>
<td>83%</td>
<td>17%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q4 - Time to complete?</td>
<td>&lt; 1 Hour</td>
<td>&lt; 2 Hours</td>
<td>&gt; 4 Hours</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q5 - Questionnaire tool easy to use?</td>
<td>83%</td>
<td>17%</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Compliance Outreach Survey Results

<table>
<thead>
<tr>
<th>18% Response Rate</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outreach Survey Questions</td>
<td></td>
</tr>
<tr>
<td>Question 1 - Informal Outreach Session?</td>
<td>51%</td>
</tr>
<tr>
<td>Question 2 - Attend ICANN Meeting</td>
<td>57%</td>
</tr>
<tr>
<td>Question 3 - Join via conference call</td>
<td>63%</td>
</tr>
</tbody>
</table>

Global Response Breakdown

Question 4
Outreach Topics of Interest

- WHOIS: 4.24
- General: 3.99
- Transfer: 3.8
- UDRP: 3.69
- Intake: 3.46
- Data Escrow: 2.37

11-16 March 2013
Questions & Feedback

Please send your feedback to Compliance@icann.org

Subject [ICANN 43 Costa Rica Compliance Feedback]
Thank You
• 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.