Agenda

• General Updates
• Q&A
**Registries - Update**

**Enhanced Monthly Report** - Enhanced review process yielded greater visibility of data

(a) Timeliness of Submissions

(b) Completeness of Data

(c) Integrity of data

**Data Escrow Submission** - Enhanced visibility of submission issues and timeliness

ALL follow the informal 1-2-3 process
Consolidated Complaint System Update

http://www.icann.org/en/resources/compliance/complaints

- Moved complaint submission from Internic.net to ICANN.ORG
- Whois Inaccuracy rolled out 25 March 2013
- User Friendly & Easier Navigation
- Added site navigation based on complaint types
- Frequently Asked Questions and Guidance will be in 6 UN languages
- Filing a complaint in English
- Improved email correspondence to the complaint reporter and the Registrar/Registry
- Added a follow-up Continuous Improvement Pulse Survey for the reporter and contracted parties

Improved User Experience
By ICANN 47 - July 2013
• Move remaining complaint forms from Internic to ICANN.ORG
• Complete migration into consolidated complaint application
• Add capability to submit multiple complaints for same complaint type
• Finalize & implement Bulk Complaint into new system

By ICANN 48 - Nov 2013
• Prioritize & Define new Registry complaint
• Improve metric reporting application
• Migrate compliance functions into ICANN Enterprise CRM

Rollout Plan for Consolidated Compliance System
Contractual Compliance Reporting

Compliance Reporting:

✓ Publish Annual Report found at: http://www.icann.org/en/resources/compliance/reports

✓ Publish Monthly Updates found at: http://www.icann.org/en/resources/compliance/reports

✓ Reporting in 6 UN languages

Compliance Global Metrics:

✓ Online Access to Compliance Metrics on MyICANN found at: https://www.mycicann.org/
Overview of Phases

2012-2015 Audit Process Flow

Week 1 to Week 12 | Week 13 to Week 15 | Week 16 to Week 28 | Week 29 to Week 31

Planning Phase

Start

Create ✔ Audit Scope
Build Audit ✔ Schedule-(2 Wks)

Organizing Phase

Develop ✔ Metrics Goals
Establish ✔ Roles
Assign Resources (1 Wk) ✔

Pre-Audit Notification Phase

Send 2 Weeks ✔ Notification to Rg/Ry

Audit Phase

1) Request sent for Information-RFI (1-2-3 Process) ✔
2) Collect and Collate Data (3 Weeks) ✔
3) Conduct Audit(6-8 Weeks)- Q&A (2 Weeks)-by CC ✔

Reporting Phase

Reporting
-Results ✔
-Statistics

Remediation Phase

Remediation
-Work w/ Rg/Ry

Stop

*Organizing (resources): 5 Nov. 2012 to 9 Nov. 2012
*Audit (includes collection): 7 Jan. 2013 to 29 Mar. 2013
*Pre-Audit Notice: 12 Nov. 2012 to 23 Nov. 2012
*Questions/Answers: April 2013 to 12 April 2013
*Report Results: Approximately 15 April 2013 to 19 April 2013
Remediation Efforts: 22 April 2013 to TBD (to be determined)
Countries Represented (Year 1)

Registries: 4 US TLDs, 1 Asia, 1 UK
Registrars:

Audit Year 1 – Top 10 Selected Registrar Countries

- United States (178 Registrars)
- Canada (37 Registrars)
- India (19 Registrars)
- China (11 Registrars)
- Germany (8 Registrars)
- Australia (6 Registrars)
- South Korea (6 Registrars)
- Sweden (5 Registrars)
- United Kingdom (4 Registrars)
- Turkey (4 Registrars)
- Other (*constitutes 39 Registrars within 25 countries)

*Total count on countries covered- 35 Countries

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Total Registrars 70
Registry Observations

Reviewed and issued 5 TLD Audit Reports

+ **Key observations:**

  + Domain Data elements within the Data Escrow File did not match the Whois Port 43 query (i.e. expiration date missing)
  + Missing data in Host, Registrar and Domain Elements per the Data Escrow Specifications
  + Values for the domain element within the Data Escrow File were not present (i.e. Registrant state, Admin/Tech state)
  + Name servers do not match between the zone and escrow files

Next Steps: to collaborate with Registries to address individual observations noted within their respective reports.
Reporting Phase (Year 1)

“Public” Reports to be published by June 2013
+ List of Registrars/Registries
+ Statistics Reports (see Remediation section):
  + RFI Phase Completion %, Audit Phase Completion %
  + % Registrars with Deficiency (per provision)
  + Breach Notice

“Non-Public” Reports
+ Audit Report results to every registrar and registry at Audit Phase completion
Wednesday Outreach Sessions Room

Room: Function Auditorium
11:00 - 12:30 Contractual Compliance Update

Additional Resources

• Learn more about ICANN Compliance
  http://www.icann.org/en/resources/compliance
Thank You & Questions?

Please send questions to Compliance@icann.org
Subject line: ICANN46 Registry Stakeholder Group
Registry Compliance Obligations

- Timely Provide Monthly Reports
- Compare SLA requirements with actual performance measures in Monthly Reports
  - DNS Availability/Performance
  - Whois Availability/Performance/Outages
  - SRS Availability/Performance/Outages
- Escrow Registry Data
- Provide Whois service web and Port 43 access
- Provide Bulk Zone File Access
- Comply with Reserved Names Requirements
- Pay Required Fees
ICANN Contractual Compliance
New Complaint Navigation, FAQ & Whois Inaccuracy Form

- Moved complaint submittal from Internic to ICANN.ORG
- Reorganized Complaint Navigation
- Improved Frequently Asked Question (FAQ) content
- Add Take Action column to search data or submit complaint
- Expands for remaining compliance complaints

http://www.icann.org/en/resources/compliance/complaints