

Contractual Compliance

Registrar Stakeholder Group

13-14 March 2012



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11-16 March 2012

Agenda

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

A graphic illustration of a Costa Rican landscape. It includes a volcano with smoke rising from it, palm trees, a colorful parrot in flight, and the word "COSTA RICA" in large, white, 3D-style letters. The background is a blue and green gradient.

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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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Three-Year Plan

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

2011

Assessment Phase

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

2012

Transformation Phase

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

2013

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



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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



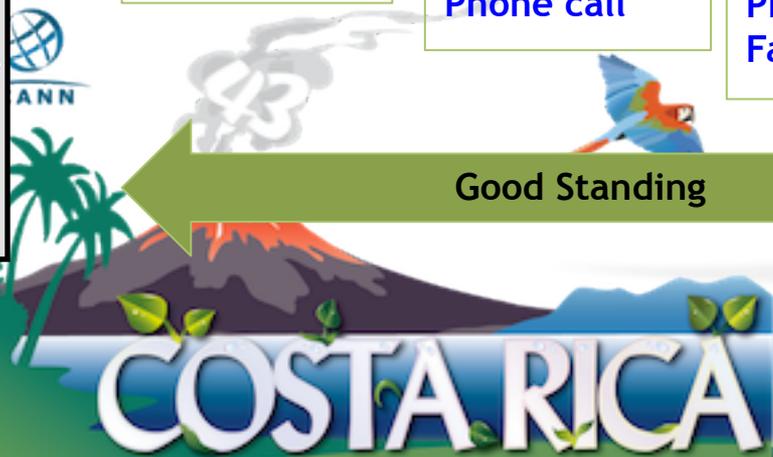
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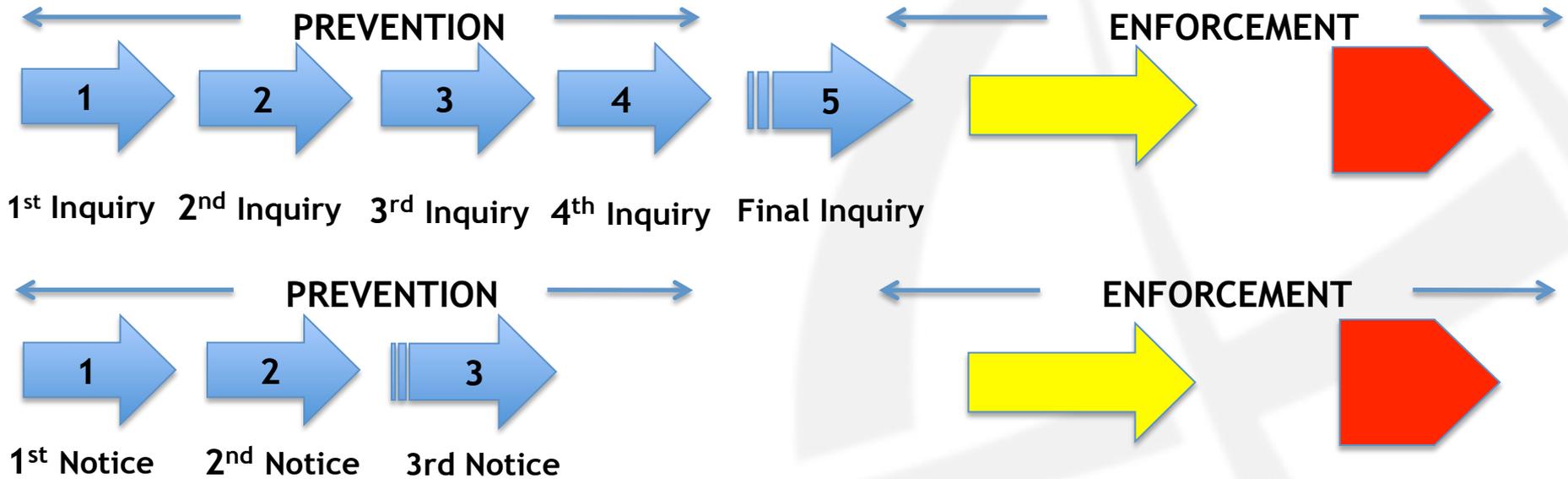
Overall Compliance Process



Intake



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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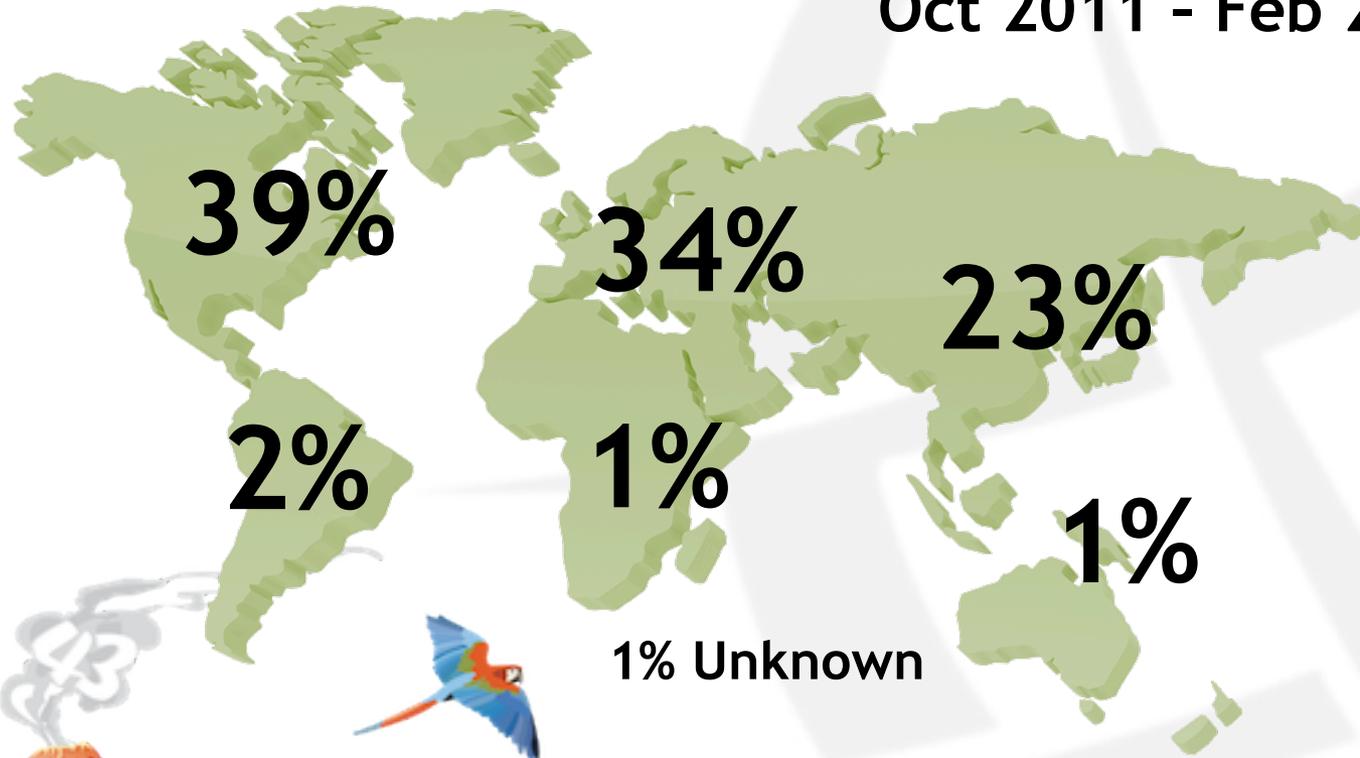
A colorful graphic for Costa Rica. It features a volcano with smoke rising from it, palm trees, a blue sky with a colorful parrot flying, and a blue body of water. The word "COSTA RICA" is written in large, white, 3D-style letters across the bottom of the graphic.

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Complaints across the globe

16,741 Complaints Received
Oct 2011 - Feb 2012



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Compliance Activities - T2

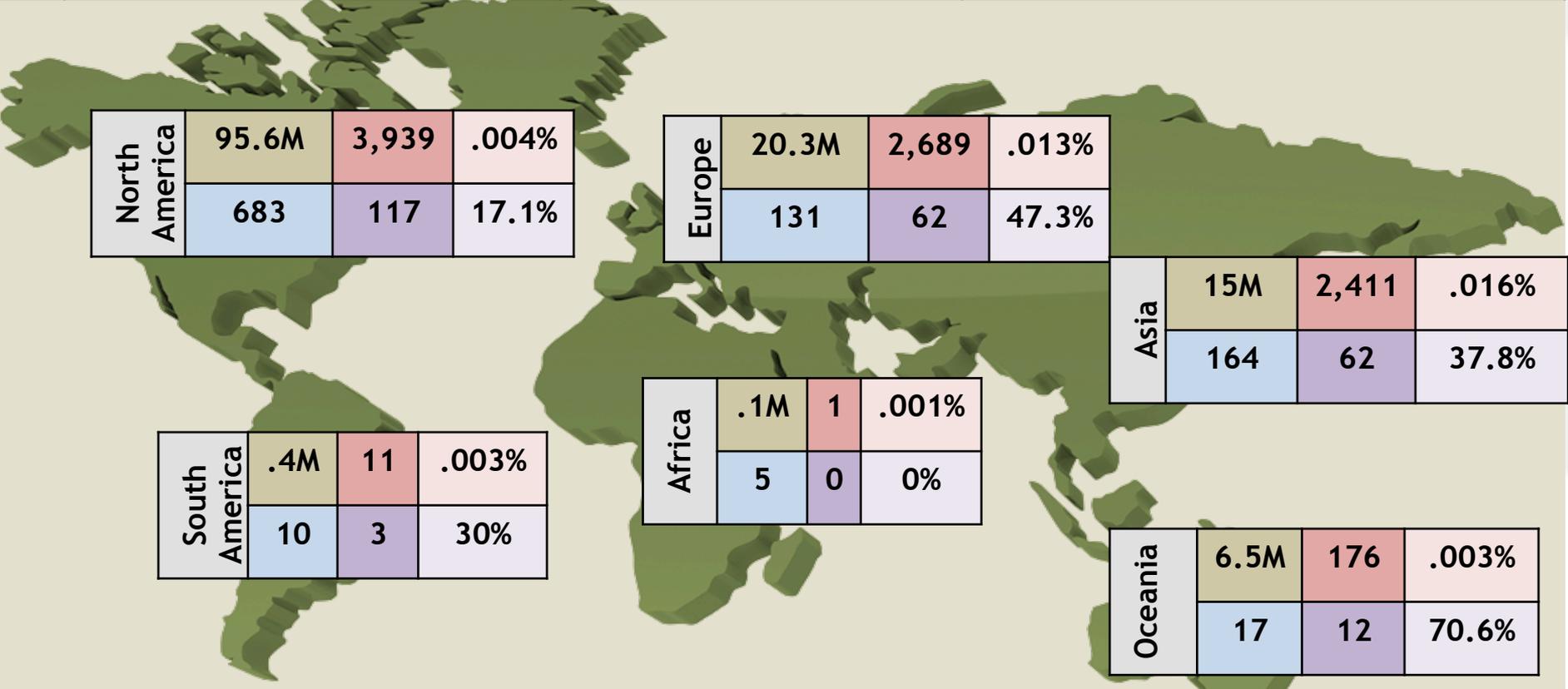
**16,778
Complaints
Received in T2**

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



Please refer to slide #25 for explanation

Top 5 Registrars Transfers - T2

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



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**

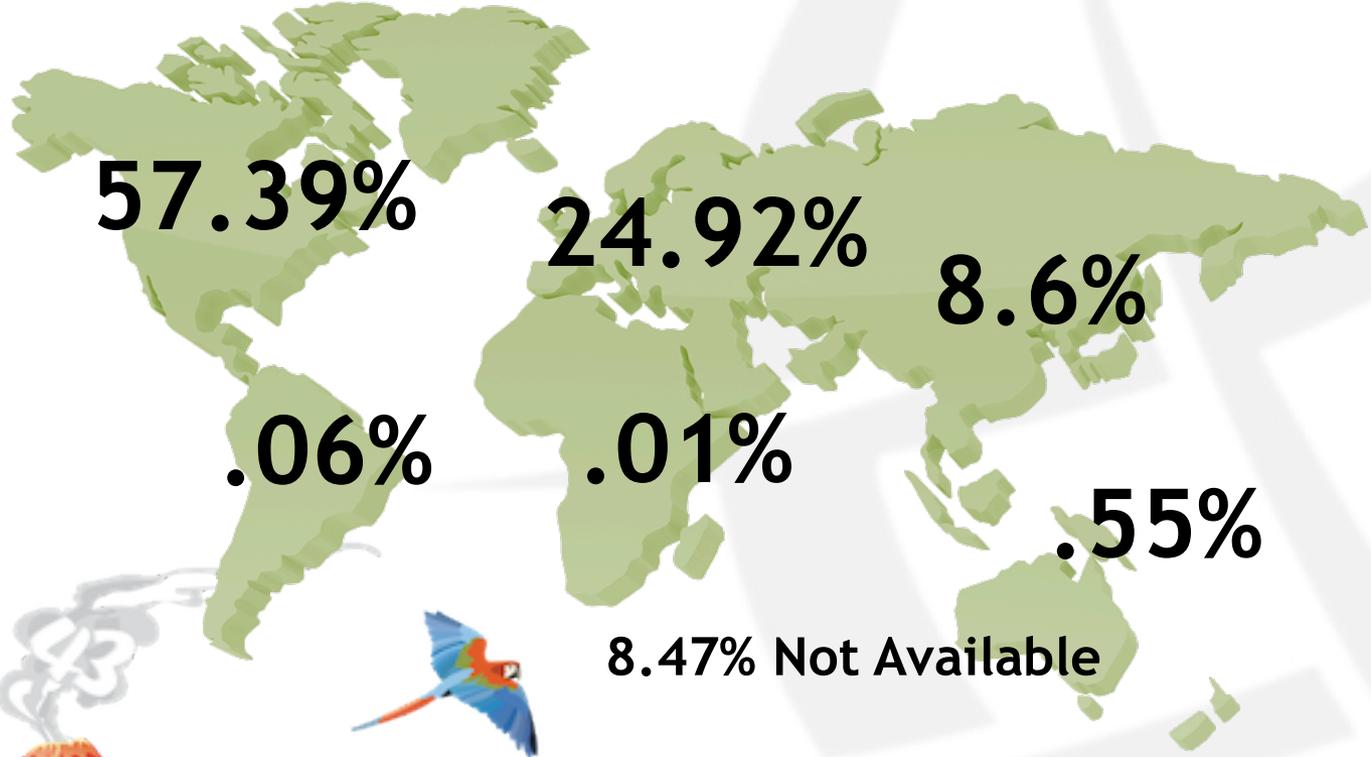


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WHOIS Inaccuracy Demographics - T2

Complaints by Registrar Location



WHOIS Inaccuracy Complaints - T2

Note: Filed in T2

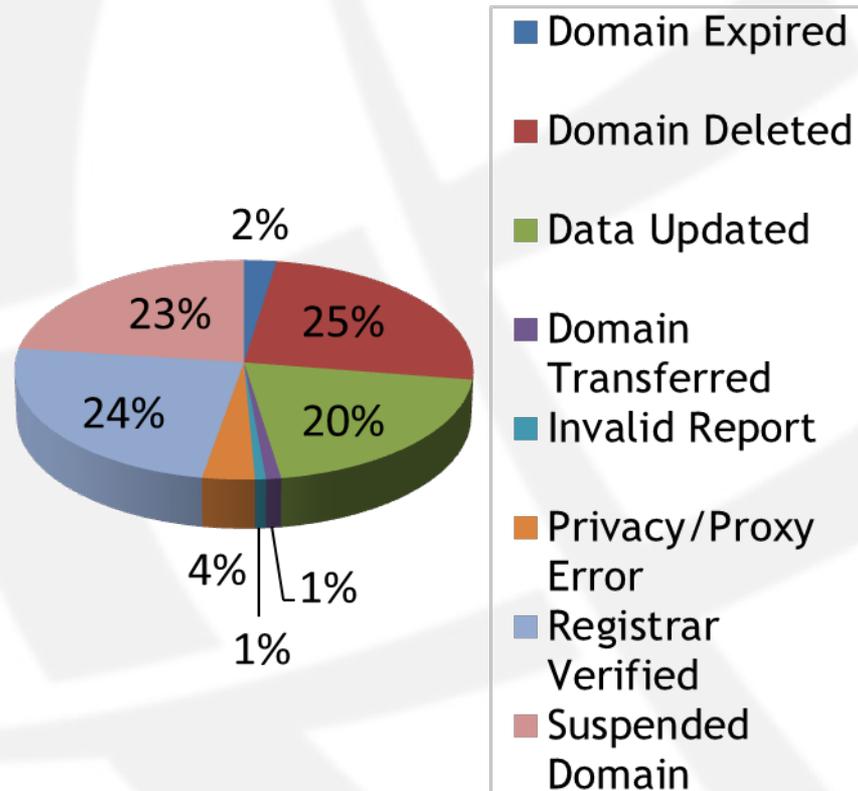
Closed based on the process not T2

9,597 WHOIS Inaccuracy Complaints

■ Closed ■ Filed



6,445 Closed Based On



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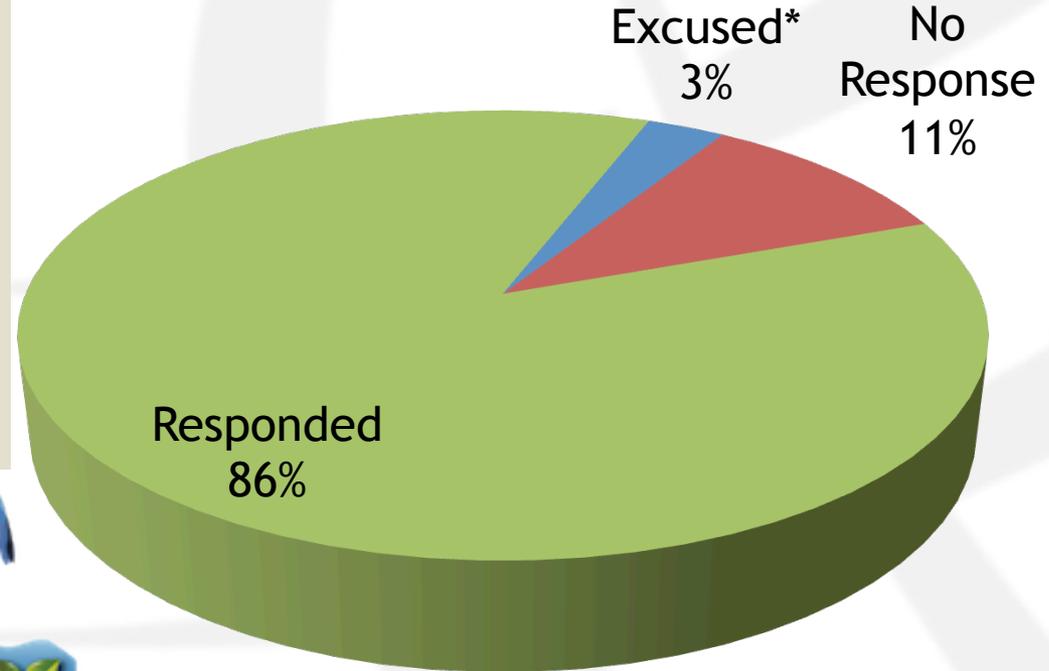
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WDRP 2011 Audit Response Rate

WDRP Audit Response Rate Trend		
2009	2010	2011
99%	99%	86%

Next Steps

- Send 3rd notice via fax for missing responses
- Determine candidates for Enforcement steps



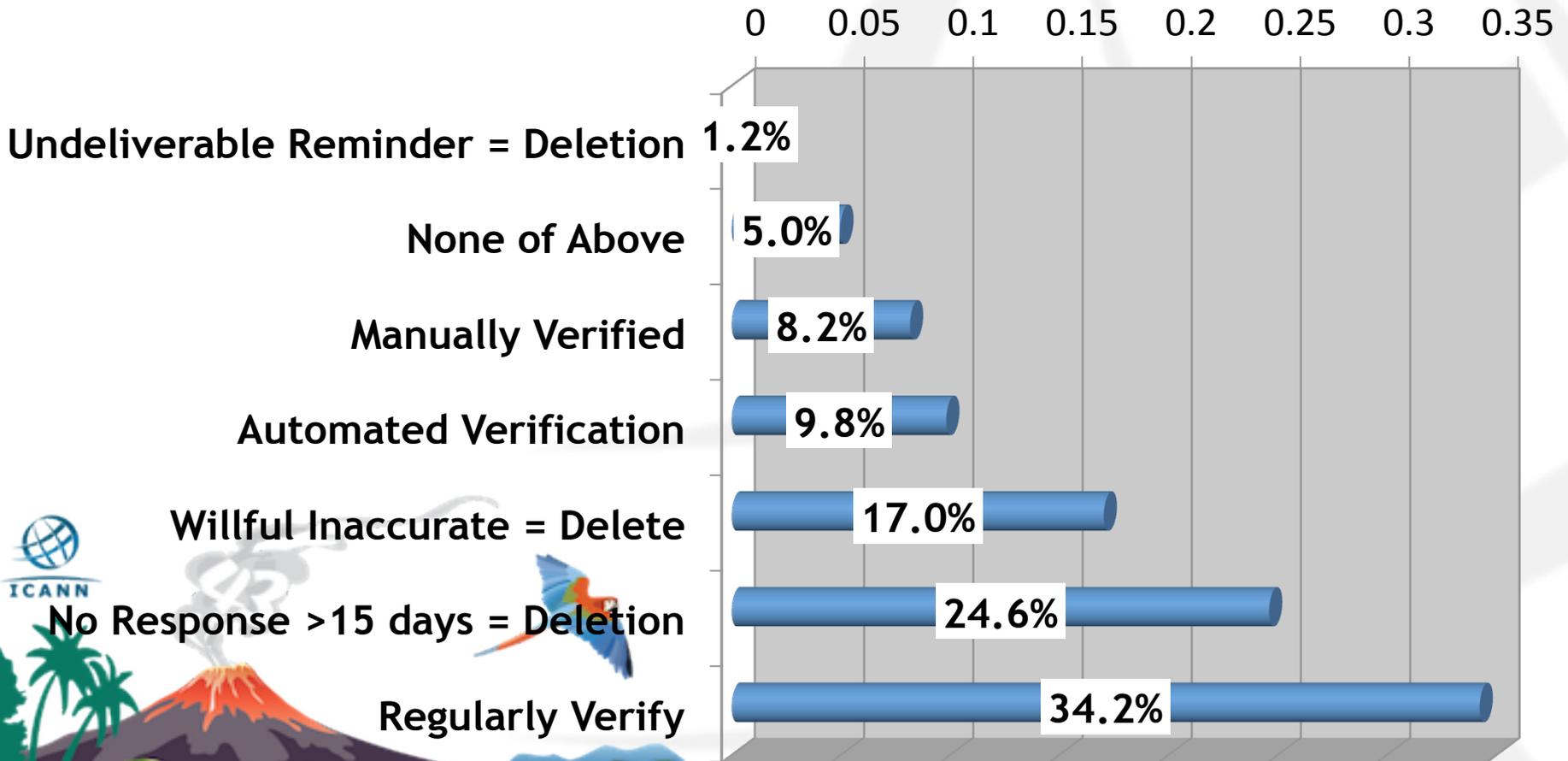
*Excused - anniversary date not met

1000 Invites sent

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2011 WDRP Audit Answers

Question 4 Tools/Processes to Maintain Contacts



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Willful Inaccurate = Delete

No Response >15 days = Deletion

Regularly Verify

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Registrar RAA Self-Assessment Pilot

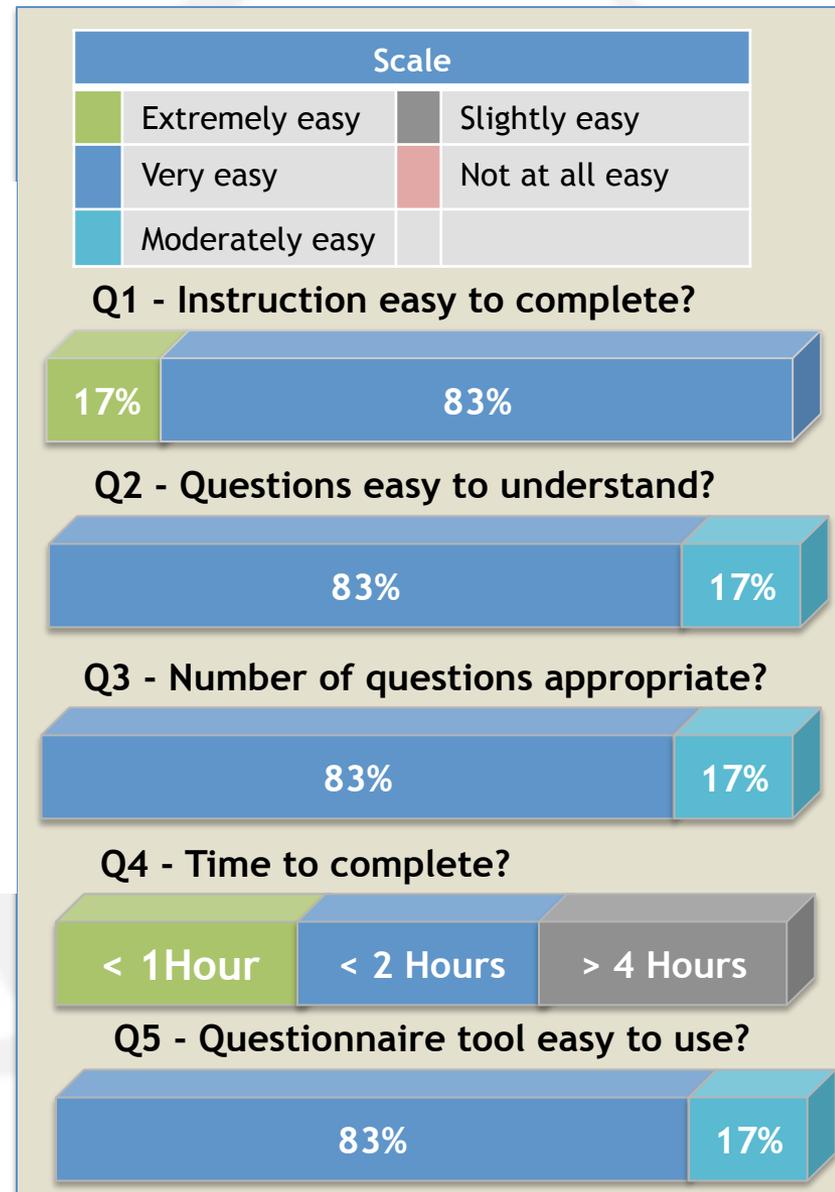
Update & Feedback

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



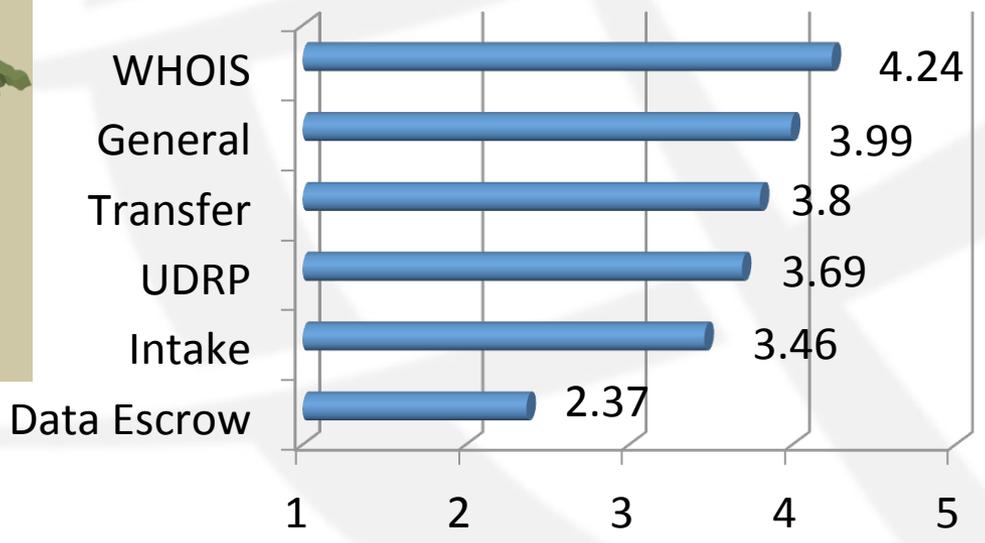
Compliance Outreach Survey Results

18% Response Rate Outreach Survey Questions	Results
	Yes
Question 1 - Informal Outreach Session?	51%
Question 2 - Attend ICANN Meeting	57%
Question 3 - Join via conference call	63%

Global Response Breakdown



Question 4 Outreach Topics of Interest



Questions & Feedback

Please send your feedback to
Compliance@icann.org

Subject

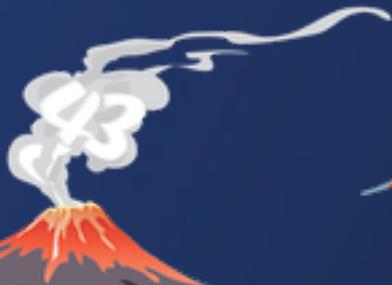
[ICANN 43 Costa Rica Compliance Feedback]



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Thank You

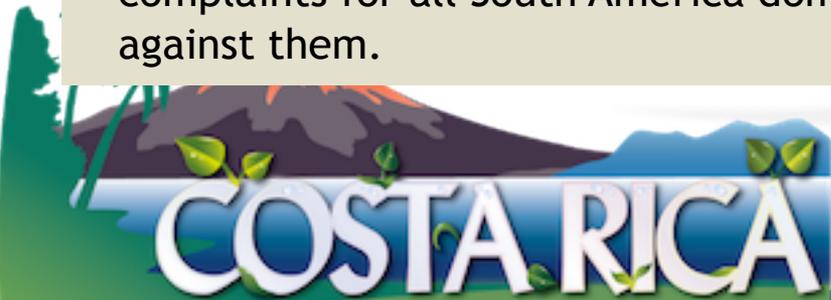


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Registrar Demographics - Complaint Volume vs. Domain volume & registrars-T2

- 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.



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