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
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

2011
2012
2013
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)
Culture of Compliance
1. Bottom-up
2. Multi-stakeholder
Overall Compliance Process

PREVENTATIVE
Monitor, Audit, Educate & Outreach

INFORMAL RESOLUTION

1st Inquiry or Notice
email

2nd Inquiry or Notice
Email Phone call

Final Inquiry or Notice
Email Phone call Fax

ENFORCEMENT

FORMAL RESOLUTION

NOT in Good Standing

Breach Notice
Suspension Termination Non-renewal

Publish on website

Good Standing

1 2 3
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
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%
1% Unknown

2%
1%
### Registrar Compliance Activities - T2

#### Oct 2011 - Feb 2012

<table>
<thead>
<tr>
<th>All Complaints Received by Type</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prevention</td>
<td></td>
</tr>
<tr>
<td>Customer Service</td>
<td>4,279</td>
</tr>
<tr>
<td>Data Escrow Audit</td>
<td>420</td>
</tr>
<tr>
<td>Data Escrow Miss</td>
<td>45</td>
</tr>
<tr>
<td>Transfer</td>
<td>2,184</td>
</tr>
<tr>
<td>UDRP</td>
<td>221</td>
</tr>
<tr>
<td>WHOIS Access</td>
<td>29</td>
</tr>
<tr>
<td>WHOIS Inaccuracy</td>
<td>9,597</td>
</tr>
<tr>
<td>Law Enforcement</td>
<td>3</td>
</tr>
<tr>
<td>Total Complaints</td>
<td>16,778</td>
</tr>
<tr>
<td>Enforcement</td>
<td></td>
</tr>
<tr>
<td>Breach</td>
<td>2</td>
</tr>
<tr>
<td>Suspension</td>
<td>1</td>
</tr>
<tr>
<td>Terminated/Non-Renewal</td>
<td>0</td>
</tr>
</tbody>
</table>

**16,778 Complaints Received in T2**
## Registrar Demographics - Complaint Volume vs. Domain volume & registrars - T2

<table>
<thead>
<tr>
<th>Region</th>
<th>Oct 2011 Domain Volume/Million</th>
<th># Complaints</th>
<th>% Complaints per Domain Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td>North America</td>
<td>95.6M</td>
<td>3,939</td>
<td>0.004%</td>
</tr>
<tr>
<td></td>
<td>683</td>
<td>117</td>
<td>17.1%</td>
</tr>
<tr>
<td>South America</td>
<td>.4M</td>
<td>11</td>
<td>0.003%</td>
</tr>
<tr>
<td></td>
<td>10</td>
<td>3</td>
<td>30%</td>
</tr>
<tr>
<td>Europe</td>
<td>20.3M</td>
<td>2,689</td>
<td>0.013%</td>
</tr>
<tr>
<td></td>
<td>131</td>
<td>62</td>
<td>47.3%</td>
</tr>
<tr>
<td>Asia</td>
<td>15M</td>
<td>2,411</td>
<td>0.016%</td>
</tr>
<tr>
<td></td>
<td>164</td>
<td>62</td>
<td>37.8%</td>
</tr>
<tr>
<td>Africa</td>
<td>.1M</td>
<td>1</td>
<td>0.001%</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Oceania</td>
<td>6.5M</td>
<td>176</td>
<td>0.003%</td>
</tr>
<tr>
<td></td>
<td>17</td>
<td>12</td>
<td>70.6%</td>
</tr>
</tbody>
</table>

**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 #22 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></td>
<td>ICANN INTERNAL USE ONLY</td>
<td></td>
</tr>
<tr>
<td>234</td>
<td></td>
<td>Efforts underway on data collection and analysis</td>
<td></td>
</tr>
<tr>
<td>134</td>
<td></td>
<td>Objectives:</td>
<td></td>
</tr>
<tr>
<td>98</td>
<td></td>
<td>To address “LOW HANGING fruit”</td>
<td></td>
</tr>
<tr>
<td>86</td>
<td></td>
<td>To initiate proactive approach to complaints</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>To identify root causes and address them</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>To trend and report back</td>
<td></td>
</tr>
</tbody>
</table>
## 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>241</td>
<td>97,792</td>
<td>1005</td>
<td>NetEarth One Inc. d/b/a NetEarth</td>
</tr>
<tr>
<td>240</td>
<td>13,353</td>
<td>1004</td>
<td>Netlynx Inc.</td>
</tr>
<tr>
<td>225</td>
<td>305,352</td>
<td>1469</td>
<td>Jiangsu Bangning Science &amp; technology Co. Ltd.</td>
</tr>
<tr>
<td>220</td>
<td>1,625,068</td>
<td>120</td>
<td>Xin Net Technology Corporation</td>
</tr>
</tbody>
</table>

**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%
- 0.06%
- 0.01%
- 0.55%
- 8.47% Not Available
Registry Self-assessment Tool

Objective: 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]
• 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.