

# Contractual Compliance Update

## Registry Focus Session

27 June 2012



# Agenda

One World  
One Internet



- **Three Year Plan Update**
- **Compliance Update**



# Three-Year Plan

**Strengthen program and operations** (Core Operations)

**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  
Plan and develop

- Global metrics
- Audit strategy
- System enhancements/process
- Annual Compliance Report

**New gTLD readiness**

2013

## Future Phase

Continuous Improvement  
Consolidate Contractual Compliance Systems  
Rollout Annual Audits

# Contractual Compliance Dept

- 12 members currently
- Arabic, English, French, Hindi, Mandarin, Spanish, Urdu
- Organization
  - Head of Compliance (1)
  - Registrar and Registry Compliance (9)
  - Risk and Audit Management (1)
  - Performance Measurement and Reporting (1)
- 1 new member in July 2012
- 2 open positions



# Registry Compliance & Locations

March - May 2012

- All registries submitted monthly transactions reports
- Registries reported 100% compliance regarding:
  - ✓ DNS Availability
  - ✓ WHOIS Availability
  - ✓ Equal registrar access to the Shared Registration System
  - ✓ No complaints regarding denial of bulk access to zone file
- 2 compliance inquiries in “preventive” phase



# New gTLD Compliance Readiness Plan

## Staff Readiness 2012

- Dedicating resources to build knowledge on new gTLD Agreement
- Train other staff members
- Hire additional staff

## Operational Readiness

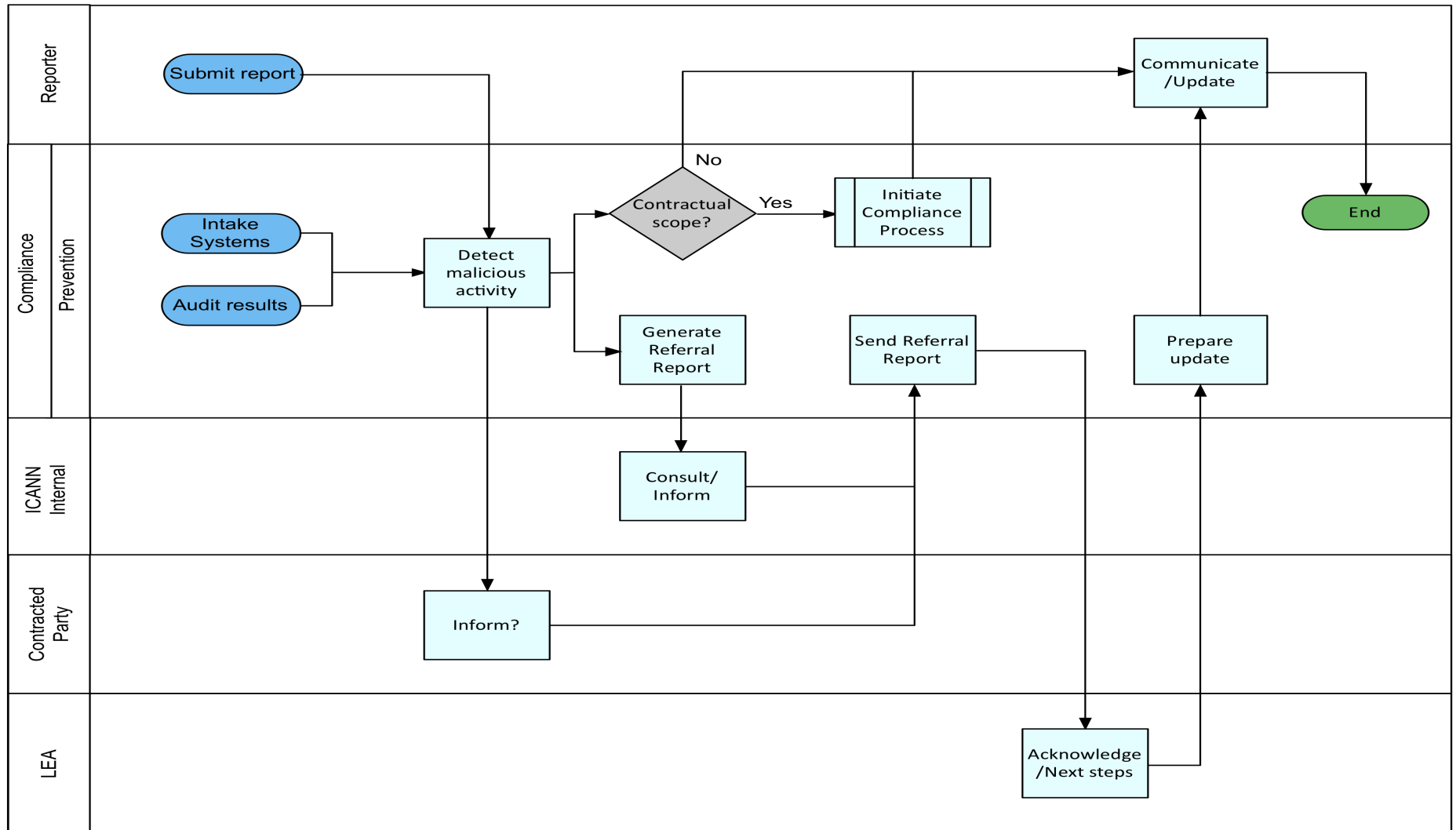
- Enhance the complaint system to capture additional types and metrics
- Review and assess operational needs and changes
- Prepare standard communication templates
- Design an audit strategy
- Plan Outreach activities

# ICANN Referrals to Law Enforcement Agencies

- Referrals will be made on a case-by-case basis
- **Criteria for referral if:**
  - ✓ The matter has caused, and if not addressed or rectified, will likely continue to cause substantial harm to registrants or Internet users.
  - ✓ The matter is likely to be a violation of applicable laws or regulations.
  - ✓ The referral will not cause ICANN to violate the terms of the agreements it has with contracted parties or any applicable laws or regulations.

# ICANN Referrals to Law Enforcement Agencies

## DRAFT - Brainstorming Activity





- Link to Form -  
[DRAFT FORM - ICANN Referral to Law Enforcement Agencies](#)



# Questions & Feedback

Please send your feedback to  
[Compliance@icann.org](mailto:Compliance@icann.org)

Subject  
[ICANN44 Meeting]



# Appendix

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# Compliance Plan Update

Short Term: March - August 2012

## Enhance current ticketing applications

- ✓ **Consumer Ticketing** updated with notification cycle
  - ❑ **WHOIS ticketing software** changes planned for July 2012 production release
  - ❑ **UDRP Process-Template** changes implemented June 2012
- ✓ **Document Management System** Deployed & staff trained
- ✓ **Business Intelligence & Reporting Tool** Prototype built, under review for technical & business value

## Define & implement a consolidated compliance system

- ✓ **3 feasibility studies** conducted

Defined Compliance Audit Strategy and Approach