Contractual Compliance Systems & Metric Reporting Update

17 October 2012
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
    - Systems enhancements/process
    - Global metrics
    - Audit strategy
    - Annual Compliance Report
- New gTLD readiness

2013

Future Phase
- Continuous Improvement
  - Operations
  - Plan for internal audit
- Consolidate Contractual Compliance Systems
- Rollout Annual Audits
- New gTLD readiness (cont.)
General Approach & Turn Around-Time

In the Preventative stage, Monitor, Audit, Educate & Outreach are performed.

In the Informal Resolution stage:
1. 1st Inquiry or Notice Email
2. 2nd Inquiry or Notice Email, Phone call
3. Final Inquiry or Notice Email, Phone call, Fax

Check other non-compliance to maintain Good Standing.

In the Formal Resolution stage:
- Breach Notice
- Suspension (Rr) Termination Non-renewal

In the Enforcement stage:
- Publish on website
- NOT in Good Standing

Turn Around Time in Business days:
- 5 general
- 15 WDPRS
- 5
- 5
- 15
- case by case
Agenda

- Efforts to Standardize Operations
- Performance Measurement & Reporting Demo
Standardize Operations

**Internal Collaboration Tool**
- Centralized repository
- Registrar/Registry docs
- Compliance templates, process, validation procedures, etc.

**Systems - Process**
- Bridge Gap Solution
- Increased Efficiency & Tracking
- Update current systems to align business process

**ONE Compliance Management Tool**
- Improve user experience:
  - interface
  - follow-up/thru
  - Multiple complaints
- Efficiency & Effectiveness
  - Scalability
  - Proactive complaint Management
  - New gTLD & Registry

**Metrics Data Analytics**
- Data Mining
- Trending & Analytics
- Complaint Management
- Metrics, KPI and Dashboard
Standarize Operations

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One Compliance Management Tool

**Current**

1. Separate ticketing systems
   - ✔ Common process
2. Limited workflow
3. Limited automation
4. Many sources for managing & reporting

**Future**

1. ONE complaint management system
   - ✔ Common process
2. Automated workflow
3. Exception based complaint administration
   - Interface with supporting applications
   - Automated pull and look-up validation
4. ONE source for managing and reporting

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**Supporting Applications**
- Who Is
- Radar
- Data Escrow
- Individual PC files

**Ticketing Systems**
- Consumer
- Whois
- UDRP

**Manual look-up**

**Complaints/Inquiry Tracking**
- Consumer, Transfer, Whois, UDRP, Law Enforcement

**Compliance Consolidated Application**
- Port43
- Performance Mgmt Reports
- Finance
- Audit Questionnaire
- Document Repository
Improve User experience & Scalability

Phased approach to deliver:
1. Single complaint management solution
2. Improve user experience to submit complaints
3. Add option to file multiple complaints per report
4. Add Registry complaint categories
5. Add new gTLD complaint categories
6. ...
7. Long term vision....Provide access to complainants and contracted parties for status check and tracking
Current Complaint Input Tool

InterNIC—Public Information Regarding Internet Domain Name Registration Services

Do you have a complaint or dispute?

Your Registrar or Domain Name:

- Domain Name Transfer Dispute
- Unsolicited Renewal or Transfer Solicitation
- Your Registrar is Not on the Accredited List
- Unauthorized Transfer of Your Domain Name
- Trademark Infringement
- Registrar Services Dispute
  - Failure to answer phones or respond to email messages
  - Financial Transaction Issues
- Uniform Domain Name Dispute Resolution (UDRP) Intake Report System

Information about Registrars

- Search Accredited Registrar Directory
  - Alphabetical List
  - List by Location
  - List by Language Supported
- Have a Problem with a Registrar?
  - Complaint Form
  - Helpful Hints

Information about Whois

- Search Whois
- Report Inaccurate Whois Listing

FAQs and Information

- FAQs (ICANN)
- Domain Transfer FAQs
- Explanation of Domain Name System
- Glossary of Terms

Inaccurate Whois Information

Spam or Viruses

IP Address Issues

Content on a Website

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**Proposed Complaint Input Approach**

To improve User Experience

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**Contractual Compliance**

<table>
<thead>
<tr>
<th>Help With?</th>
<th>Learn More</th>
<th>Take Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domain Names</td>
<td>LEARN &gt;</td>
<td>Domain Name &gt;</td>
</tr>
<tr>
<td>Domain Transfer Problems</td>
<td>LEARN &gt;</td>
<td>Transfer Complaint URL &gt;</td>
</tr>
<tr>
<td>Registrars</td>
<td>LEARN &gt;</td>
<td>Registrars &gt;</td>
</tr>
<tr>
<td>Spam or Viruses</td>
<td>LEARN &gt;</td>
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<tr>
<td>WHOIS Service</td>
<td>LEARN &gt;</td>
<td>Whois &gt;</td>
</tr>
<tr>
<td>WHOIS Inaccuracy</td>
<td>LEARN &gt;</td>
<td>Whois Complaint URL &gt;</td>
</tr>
</tbody>
</table>

---

**Organize By topic,**

**Guidance (FAQ)**

**Submit or Look-up complaint**

---

**Complaint Type**

**Link to FAQ or Explanation**

**Link to submit Complaint or Lookup**

---

**Proposed Complaint Input Approach**

To improve User Experience

---

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<table>
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</tr>
<tr>
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<td>LEARN &gt;</td>
<td></td>
</tr>
<tr>
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<td>LEARN &gt;</td>
<td>Whois &gt;</td>
</tr>
<tr>
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**Metrics Data Analytics**
- Data Mining
- Trending & Analytics
- Complaint Management
- Metrics, KPI and Dashboard
Metric Reporting Process (current)

Source Systems
- Access raw data from source systems
- Automated data extracts

Data Mart
- Merge disparate data into cohesive reporting model
- Summarize source data
- Keep history of summarized data

Data Cube
- Model data based on demographics & connecting data
- Preprocessed information for faster reporting

Presentation
- View prebuilt dashboards
- Able to ‘slice & dice’ data for ad-hoc trend analysis
- ‘Cut & Paste’ to MS Office
# 47 Metrics - 14 Reporting Dimensions

<table>
<thead>
<tr>
<th>Metrics</th>
<th>Dimensions</th>
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<tbody>
<tr>
<td>Complaint Count</td>
<td>Calendar Date</td>
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<tr>
<td>DNS Name server Performance</td>
<td>Complaint Type</td>
</tr>
<tr>
<td>DNS Svc Up</td>
<td>Data Source</td>
</tr>
<tr>
<td>Registrars with complaints</td>
<td>Enforcement Cured</td>
</tr>
<tr>
<td>TLD Count</td>
<td>Enforcement Notices</td>
</tr>
<tr>
<td>WHOIS Performance</td>
<td>ICANN Region List</td>
</tr>
<tr>
<td>WHOIS Svc Up</td>
<td>Registrar Contract Year</td>
</tr>
</tbody>
</table>

**Metrics**

- Complaint Count
- DNS Name server Performance
- DNS Svc Up
- Registrars with complaints
- TLD Count
- WHOIS Performance
- WHOIS Svc Up

**Dimensions**

- Calendar Date
- Complaint Type
- Data Source
- Enforcement Notices
- Registrar Contract Year
- Registrar List
- Registry List
- Staff
- TLD
- TLD Round
What to watch for:
• Homepage - global dashboard public
• Registrar Dashboard (ICANN only)
• Registry Dashboard (ICANN only)

• Ability to display data in various formats
• Drill down capability for detailed information
• Actionable metrics linked back to source data
Contractual Compliance Metric Reporting

DEMO
Additional Resources

• Learn more about ICANN Compliance
  http://www.icann.org/en/resources/compliance

• Please send questions to Compliance@icann.org
  Subject line: [ICANN45 Meeting] Performance Measurement & Tools Outreach Session
Thank You
Contractual Compliance Metric Reporting

Demo Handout
Non-specific Registrar/Registry data
Compliance Metric Reporting Demo

ICANN Contractual Compliance Dashboard

Percent Registrars with Complaints for 2012 YTD

Complaints per Notification Cycle - September 2012

<table>
<thead>
<tr>
<th>Volume Processed</th>
<th>Volume Received</th>
<th>Volume Closed Before 1st Notice</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Enforcement 2012 YTD

<table>
<thead>
<tr>
<th>Breach</th>
<th>Non-Renewal</th>
<th>Suspended</th>
<th>Terminated</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Prevention: 19,171
Enforcement: 14
<table>
<thead>
<tr>
<th>Registrar</th>
<th>Registrar Count (last month)</th>
<th>Registrars with Complaints</th>
<th>Percent of Registrars with Complaints</th>
<th>Domain Count (public)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anguilla</td>
<td>1.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>Austria</td>
<td>5.0</td>
<td>2.0</td>
<td>40.0</td>
<td>65,783.0</td>
</tr>
<tr>
<td>Belgium</td>
<td>3.0</td>
<td>0.0</td>
<td>0.0</td>
<td>31,637.0</td>
</tr>
<tr>
<td>Cayman Islands</td>
<td>4.0</td>
<td>4.0</td>
<td>100.0</td>
<td>434,179.0</td>
</tr>
<tr>
<td>Czech Republic</td>
<td>1.0</td>
<td>1.0</td>
<td>100.0</td>
<td>35,048.0</td>
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<tr>
<td>Denmark</td>
<td>4.0</td>
<td>1.0</td>
<td>25.0</td>
<td>1,044,154.0</td>
</tr>
<tr>
<td>Finland</td>
<td>1.0</td>
<td>0.0</td>
<td>0.0</td>
<td>4,556.0</td>
</tr>
<tr>
<td>France</td>
<td>18.0</td>
<td>10.0</td>
<td>55.6</td>
<td>2,772,315.0</td>
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<tr>
<td>Germany</td>
<td>23.0</td>
<td>14.0</td>
<td>60.9</td>
<td>12,149,271.0</td>
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<tr>
<td>Gibraltar</td>
<td>1.0</td>
<td>1.0</td>
<td>100.0</td>
<td>365,743.0</td>
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<tr>
<td>Hungary</td>
<td>2.0</td>
<td>2.0</td>
<td>100.0</td>
<td>6,146.0</td>
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<tr>
<td>Ireland</td>
<td>1.0</td>
<td>1.0</td>
<td>100.0</td>
<td>45,730.0</td>
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<tr>
<td>Italy</td>
<td>9.0</td>
<td>2.0</td>
<td>22.2</td>
<td>671,057.0</td>
</tr>
<tr>
<td>Latvia</td>
<td>1.0</td>
<td>1.0</td>
<td>100.0</td>
<td>5,299.0</td>
</tr>
<tr>
<td>Liechtenstein</td>
<td>1.0</td>
<td>0.0</td>
<td>0.0</td>
<td>1,770.0</td>
</tr>
<tr>
<td>Lithuania</td>
<td>2.0</td>
<td>0.0</td>
<td>0.0</td>
<td>962.0</td>
</tr>
<tr>
<td>Luxembourg</td>
<td>1.0</td>
<td>1.0</td>
<td>100.0</td>
<td>165,919.0</td>
</tr>
<tr>
<td>Monaco</td>
<td>1.0</td>
<td>1.0</td>
<td>100.0</td>
<td>191,958.0</td>
</tr>
<tr>
<td>Netherlands</td>
<td>9.0</td>
<td>2.0</td>
<td>22.2</td>
<td>181,950.0</td>
</tr>
</tbody>
</table>
Compliance Metric Reporting Demo

ICANN Contractual Compliance Dashboard

Ticket Activity by All ICANN_ReginList September 2012

<table>
<thead>
<tr>
<th>Region</th>
<th>Volume Processed</th>
<th>Volume Received</th>
<th>Volume Closed Before 1st Notice</th>
<th>Volume 1st Notice</th>
<th>Volume 2nd Notice</th>
<th>Volume 3rd Notice</th>
<th>Volume Closed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asia/Australia/Pacific</td>
<td>419</td>
<td>329</td>
<td>83</td>
<td>292</td>
<td>59</td>
<td>13</td>
<td>257</td>
</tr>
<tr>
<td>Europe</td>
<td>86</td>
<td>72</td>
<td>23</td>
<td>44</td>
<td>14</td>
<td>4</td>
<td>49</td>
</tr>
<tr>
<td>Latin America/Caribbean</td>
<td>28</td>
<td>13</td>
<td>12</td>
<td>5</td>
<td>0</td>
<td>0</td>
<td>34</td>
</tr>
<tr>
<td>North America</td>
<td>393</td>
<td>278</td>
<td>131</td>
<td>195</td>
<td>39</td>
<td>7</td>
<td>280</td>
</tr>
<tr>
<td>Unknown</td>
<td>687</td>
<td>574</td>
<td>529</td>
<td>47</td>
<td>10</td>
<td>5</td>
<td>566</td>
</tr>
<tr>
<td>Total</td>
<td>1,613</td>
<td>1,266</td>
<td>788</td>
<td>583</td>
<td>122</td>
<td>29</td>
<td>1,176</td>
</tr>
</tbody>
</table>

Notification Cycle Drill Down
Compliance Metric Reporting Demo

ICANN Contractual Compliance Dashboard

### Enforcement Count Trend 2012

<table>
<thead>
<tr>
<th>Breach</th>
<th>June</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>6</td>
<td>2</td>
<td>2</td>
<td>11</td>
</tr>
<tr>
<td>Non-Renewal</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>0</td>
</tr>
<tr>
<td>Suspended</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>0</td>
</tr>
<tr>
<td>Terminated</td>
<td>1</td>
<td>N/A</td>
<td>2</td>
<td>N/A</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>2</td>
<td>6</td>
<td>4</td>
<td>2</td>
<td>14</td>
</tr>
</tbody>
</table>

### Enforcement Notice Status by Registrar 2012 YTD

- Communicate contact data changes (RAA 5.11)
- Escrow registration data (RAA 3.6)
- Link to ICANN's registrant rights & responsibilities website (RAA 3.15)
- Maintain registration data (RAA 3.4)
- Pay accreditation fees (RAA 3.9)
- Provide AuthInfo code (EFTP 5)
- Provide communication records (RAA 3.4.3)
- Provide evidence relied on for transfer (EFTP 4)
- Provide Registrar Services (RAA 3.1)
- Provide Whois Services (RAA 3.3.1)
- Publish contact data (RAA 3.16)
- Publish deletion, recovery and auto-renewal policies (RAA 3.7.5.16)
- Respond to audits (RAA 3.14)
- Additional concern-conduct re. UDRP and UDRP Rules
- Maintain and provide communication records (RAA 3.4.2/3)
Compliance Metric Reporting Demo
**ICANN Contractual Compliance Dashboard**

Percent Registrars with Complaints for 2012 YTD

<table>
<thead>
<tr>
<th>Region</th>
<th>Total</th>
<th>com</th>
<th>org</th>
<th>net</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>North America</td>
<td>2,612</td>
<td>756,352</td>
<td>94,110</td>
<td>72,921,285</td>
<td>98,508,280</td>
</tr>
<tr>
<td>Europe</td>
<td>5,134</td>
<td>123,308</td>
<td>4,756</td>
<td>25,914</td>
<td>22,083,735</td>
</tr>
<tr>
<td>Asia/Australia/Pacific</td>
<td>4</td>
<td>61,044</td>
<td>2,376</td>
<td>16,617</td>
<td>21,921,909</td>
</tr>
<tr>
<td>Latin America/Caribbean</td>
<td>0</td>
<td>1,432</td>
<td>1,636</td>
<td>926,683</td>
<td>1,179,184</td>
</tr>
<tr>
<td>Africa</td>
<td>0</td>
<td>1,700</td>
<td>182</td>
<td>310</td>
<td>2,241</td>
</tr>
<tr>
<td>Total</td>
<td>7,750</td>
<td>250,172</td>
<td>23,836</td>
<td>138,277</td>
<td>143,695,349</td>
</tr>
</tbody>
</table>

*Global Domain Drill Down*
Compliance Metric Reporting Demo

Registrar Scorecard for Registrar Demo Name A

<table>
<thead>
<tr>
<th>Business Day TAT for Registrar Demo Name A</th>
<th></th>
<th></th>
<th></th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>July</td>
<td>August</td>
<td>September</td>
<td></td>
</tr>
<tr>
<td>TAT 1st Notice-2nd WIP</td>
<td>33</td>
<td>6</td>
<td>0</td>
<td>39</td>
</tr>
<tr>
<td>TAT 2nd Notice-3rd WIP</td>
<td>5</td>
<td>5</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>TAT Received-Open</td>
<td>10</td>
<td>5</td>
<td>3</td>
<td>18</td>
</tr>
<tr>
<td>Total</td>
<td>48</td>
<td>16</td>
<td>3</td>
<td>67</td>
</tr>
</tbody>
</table>

Prevention All ICANN_RegionList 2012 YTD

<table>
<thead>
<tr>
<th>North America</th>
<th>biz</th>
<th>com</th>
<th>info</th>
<th>net</th>
<th>unknown</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>38</td>
<td>3</td>
<td>3</td>
<td>5</td>
<td>50</td>
</tr>
</tbody>
</table>

TLD Complaint Count and Domain Count (public)

<table>
<thead>
<tr>
<th>Complaint Count</th>
<th>Domain Count (public)</th>
</tr>
</thead>
<tbody>
<tr>
<td>aero</td>
<td>0.000</td>
</tr>
<tr>
<td>asia</td>
<td>0.000</td>
</tr>
<tr>
<td>biz</td>
<td>1.000</td>
</tr>
<tr>
<td>cat</td>
<td>0.000</td>
</tr>
<tr>
<td>com</td>
<td>38.000</td>
</tr>
<tr>
<td>coop</td>
<td>0.000</td>
</tr>
<tr>
<td>edu</td>
<td>0.000</td>
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<tr>
<td>gov</td>
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<tr>
<td>travel</td>
<td>0.000</td>
</tr>
<tr>
<td>xxx</td>
<td>0.000</td>
</tr>
<tr>
<td>Total</td>
<td>45.000</td>
</tr>
</tbody>
</table>

ALL Complaint Count 2012 YTD

<table>
<thead>
<tr>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Whois 68.0%</td>
</tr>
<tr>
<td>DN Dispute 4.0%</td>
</tr>
<tr>
<td>Domain...</td>
</tr>
<tr>
<td>Ownership...</td>
</tr>
<tr>
<td>Transfer Problems...</td>
</tr>
<tr>
<td>Spam Abuse 2.0%</td>
</tr>
</tbody>
</table>

Enforcement by TLD 2012 YTD

NO DATA

Domain Count & Complaints Rate

<table>
<thead>
<tr>
<th>Complaint Count</th>
<th>Domain Count (public)</th>
<th>Complaints per Domain</th>
</tr>
</thead>
<tbody>
<tr>
<td>50.000</td>
<td>2,396,181.000</td>
<td>0.000</td>
</tr>
</tbody>
</table>
Compliance Metric Reporting Demo

Registry Dashboard

Registry Count 2012 YTD

- Europe: 6
- Asia/Australia/Pacific: 1
- North America: 11
- Latin America/Caribbean: 0
- Africa: 0
- Unknown: 0

Registry SLA Compliance Scorecard

Overall SLA Compliance

WHOIS Availability - All Registries For June 2012

DNS Availability - All Registries For June 2012
ICANN Contractual Compliance Registry Dashboard

Whois SLA Drill Down

Missed SLA

WHOIS Availability SLA Compliance June 2012

Registry SLA Compliance Scorecard

Overall SLA Compliance

WHOIS Availability - All Registries For June 2012

DNS Availability - All Registries For June 2012