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ICANN**FIFTY**

22-26 JUNE 2014

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Contractual Compliance

GNSO Council Meeting

Wednesday, Jun 25 2014

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Objective

To provide an update to the GNSO council on the Contractual Compliance efforts regarding [20130516-1](#) Address the Final Issue Report on the Uniformity of Reporting.

Per agenda item: ICANN's Contractual Compliance team will present the past activities and results of the Contractual Compliance three-year plan and future efforts to evolve the contractual compliance function in regards to metrics collection and reporting.

Compliance back in April 2011…

- Seven Contractual Compliance Staff
- Three Ticketing Systems + emails + Excel Sheets + …
- 9% automation
- 10 Complaint Types
- No Process; No Metrics; Limited communication
- Presented at GNSO meeting on 12 April 2012
- Destination is to fulfill [Contractual Compliance Vision](#)

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Accomplishments

- Global staffing Model – [Global Model](#)
- ONE Compliance Process
- 71% automation of Compliance Process
- 40 Complaint Types
- [Consolidation](#) of systems, Improved User Experience
- Readiness for 2013 RAA and the new Registry Agreement
- Improved transparency and accountability through [Reporting and Metrics](#)
- Completed Year-2 of the Three-Year [Audit Program](#)

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Compliance Initiatives

- Monitor and Enforce 2013 RAA and the new Registry Agreement

- Publish Year-2 Audit Program Report

- Continuous improvement on process, system and people

- Integration with other ICANN front-end and back-end systems

- Launch the new Registry Audit Program

- Implement and Report on Consumer Trust and Consumer Choice metrics

- Enhance Registry Reporting

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Thank You

Please send general questions:
To: **Compliance@icann.org**
Subject line: **ICANN50 GNSO Session**

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Supporting Slides

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Vision, Mission and Approach

ICANN's Vision

One World. One Internet.

↓

Contractual Compliance's Vision

To be a **"trusted"** Contractual Compliance service provider

ICANN's Mission

To coordinate, at the overall level, the global Internet's systems of unique identifiers, and in particular to ensure the stable and secure operation of the Internet's unique identifier systems.

↓

Contractual Compliance's Mission

To preserve the security, stability and resiliency of the Domain Name System and to promote consumer trust

ICANN's Approach

Open and Transparent

Equitable Treatment

↓

Contractual Compliance's Approach

Prevention through collaboration

Transparency through communication

Enforcement

Top

Contractual Compliance Global Staffing Model

Los Angeles	Singapore	Istanbul
Full Time Equivalent(s): 16 Open Positions: 0	Full Time Equivalent(s): 2 Open Positions: 2	Full Time Equivalent(s): 3 Open Positions: 1

Scalability Through Contractors: 2 Full Time Equivalents Currently

- 21 Staff members strong

- Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish and Uzbek

- Link to staff page: https://www.icann.org/resources/pages/staff-2012-02-25-en

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Contractual Compliance Global Model and Approach

Culture of Compliance

1. Bottom-up
2. Multi-stakeholder
3. Fact-based Decision Making

FORMAL RESOLUTION
Enforcement
PUBLISHED

NOT in Good Standing

INFORMAL RESOLUTION
Inquiries & Notices
(1-2-3 Process)

Good Standing

Proactive Approach
Monitoring, Audits, Education & Outreach

Formal

Non-Renewal, Suspension, Termination

Breach

Informal

3rd Inquiry or Notice

2nd Inquiry or Notice

1st Inquiry or Notice

Process

Published at: http://www.icann.org/en/resources/compliance/approach-processes

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Top

Improved User Experience and Learn More Feature

Completed
Submission
forms

Completed
Learn More in 6
UN languages
URL is
http://www.ican
n.org/en/resour
ces/compliance/
complaints

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Readiness for the 2013 RAA and the New Registry Agreement

	Previous	Additional Registrar Complaints	Additional Registry Complaints
Public Complaints	1. Domain Renewal/ Redemption +ERRP 2. Registrar Contact 3. Registry 4. Transfer 5. UDRP 6. WHOIS Inaccuracy 7. WHOIS Unavailable	1. Domain deletion non-response WHOIS inquiry 2. Abuse Contact Data 3. Customer Service Handling 4. Failure to Support DNSSEC, IDN, IPv6 5. Privacy/Proxy Registration Program 6. WHOIS SLA	1. Dispute Resolution Processes PIC, RR, URS, TMPD 5. Registry Complaint (Service Performance + Other) 6. Sunrise Processes & Procedures 7. Abuse Contact Data 8. Wildcard Prohibition (Domain Redirect) 9. Code of Conduct (Registry Operator) 10. Claims Services (Trademark) 11. Zone File Access 12. Reserved and Blocked Second Level Domain (SLD) Names
ICANN Cases	8. Data Escrow 9. Fees 10. Other	7. WHOIS Format 8. CEO Certification 9. Registrar Info Specification 10. Reseller Agreement 11. Failure Notify ICANN Bankruptcy, Security Breach, Conviction, non-display of trademark notice	13. DNS Zone File Transfer (EBERO) 14. Data Escrow 15. Continued Operations Instrument (COI) 16. Registry Fees 17. Registry Monthly Report 18. Registry SLA Monitoring 19. Failure Notify ICANN of Bankruptcy

Top

Contractual Compliance Community Report

Transparency & Accountability

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

- Monthly Updates found at: http://www.icann.org/en/resources/compliance/update

- Reporting in 6 UN languages

- Compliance Metrics found at: https://features.icann.org/compliance

- About ICANN Contractual Compliance: http://www.icann.org/en/compliance/

Contractual Compliance Metrics

- Regional view

- Enforcement view

- Complaint Management Reporting (operation)

Contractual Compliance – Mar 2014 – May 2014 Global Complaint Trend

North America (Hundreds): 14, 15, 16, 17

Europe (Hundreds): 0, 5, 10, 15

Asia/Australia/Pacific (Hundreds): 0, 5, 10, 15, 20

Latin America (Hundreds): 0, 1, 2

Legend:
- Mar-14
- Apr-14
- May-14
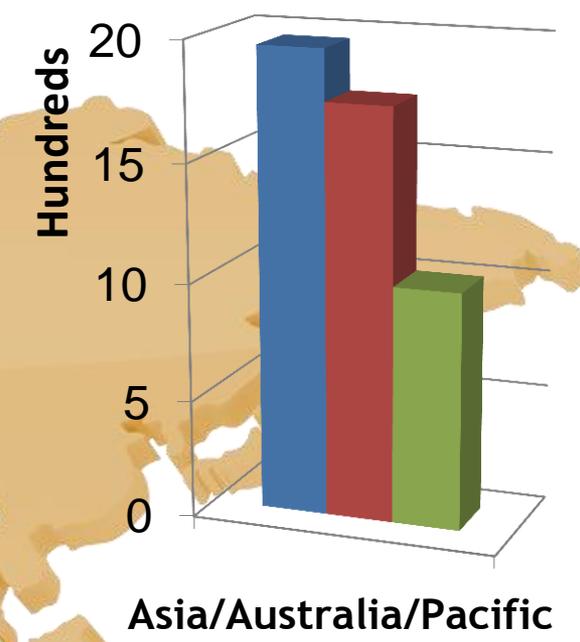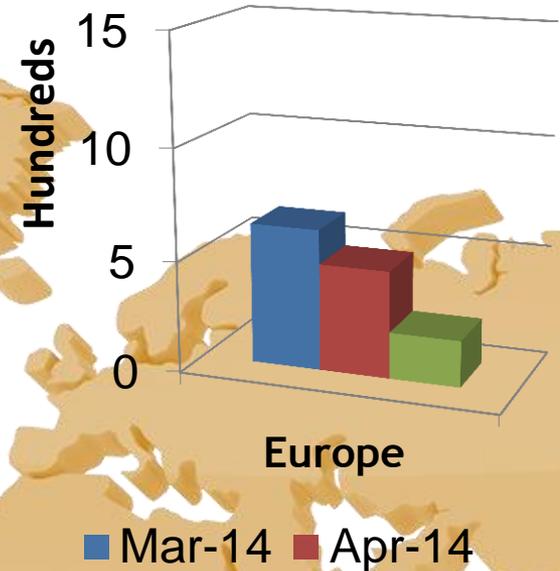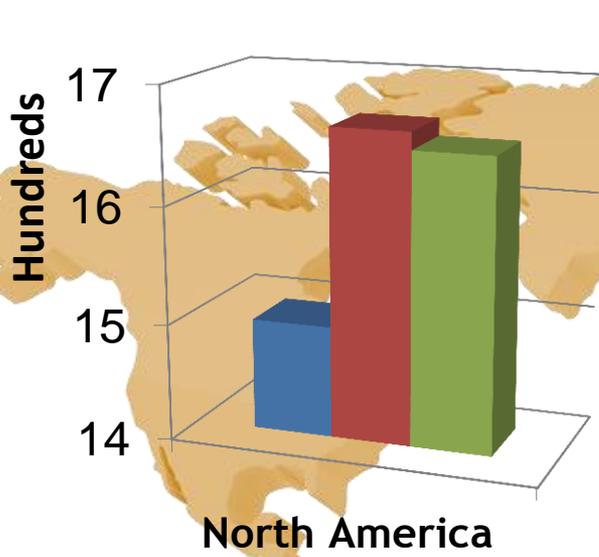
Africa - 2 complaints in Mar
1 complaint in Apr

Global Complaint Count Trend *

* Includes complaints from 'unknown' geography

Thousands: 2, 4, 6

Mar-14: 4.5
Apr-14: 4.6
May-14: 3.3

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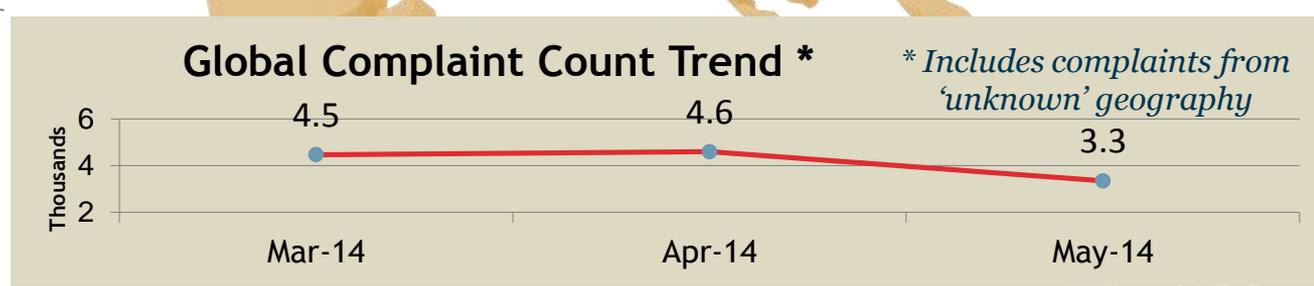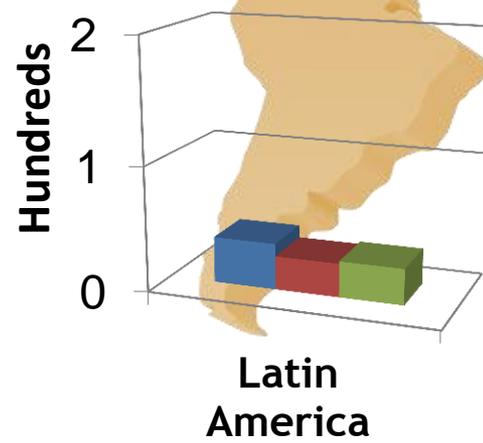
Contractual Compliance – Mar 2014 – May 2014 Complaints per Domain Volume

N. America

103.6M	4,776	.005%
868	356	41.0%

Europe

24.0M	1,289	.005%
171	121	70.8%

Asia/A/P

25.0M	4,699	.019%
184	142	77.2%

Latin America

1.2M	93	.008%
24	23	95.8%

Africa

17,544	3	.017%
7	6	85.7%

LEGEND

November 2013 Domain Volume/Million	# Complaints	% Complaints per Domain Volume
# registrars per region	# registrar w/ Complaints	% registrars with complaints per region

Note: "# registrars per region" data may contain some obsolete registrars but is retained for reporting history

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Contractual Compliance – Mar 2014 – May 2014 Enforcement Activity
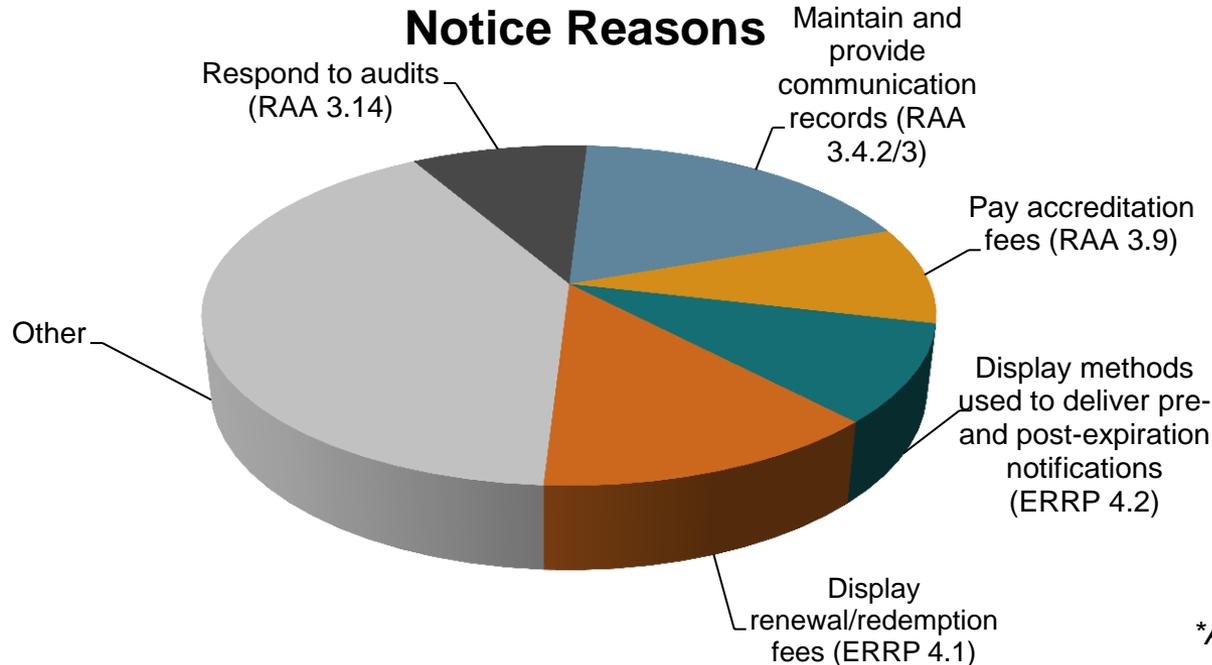
Notice Reasons

Notices	Qty
Breach	15
Suspension	0
Termination	0

Breach Notice Reason*	Qty*
Failure Notice Reasons	54
➤Cured	16
➤Not Cured	38

A singe Breach may contain multiple Notices Reasons.

Enforcement Notice Reasons	%
Maintain and provide communication records (RAA 3.4.2/3)	18.5
Display renewal/redemption fees (ERRP 4.1)	13.0
Respond to audits (RAA 3.14)	9.2
Pay accreditation fees (RAA 3.9)	9.2
Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)	9.2
Other	40.7

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Contractual Compliance – Mar 2014 – May 2014 Complaints per Notification Cycle

Closure Rate 63%

Complaint Summary	Mar - May Total Complaints Processed	Mar – May Complaints Closed	Mar – May Complaints Remaining Open	Complaints Remaining Open After May 31
	18,333	11,561	6,772	1,926
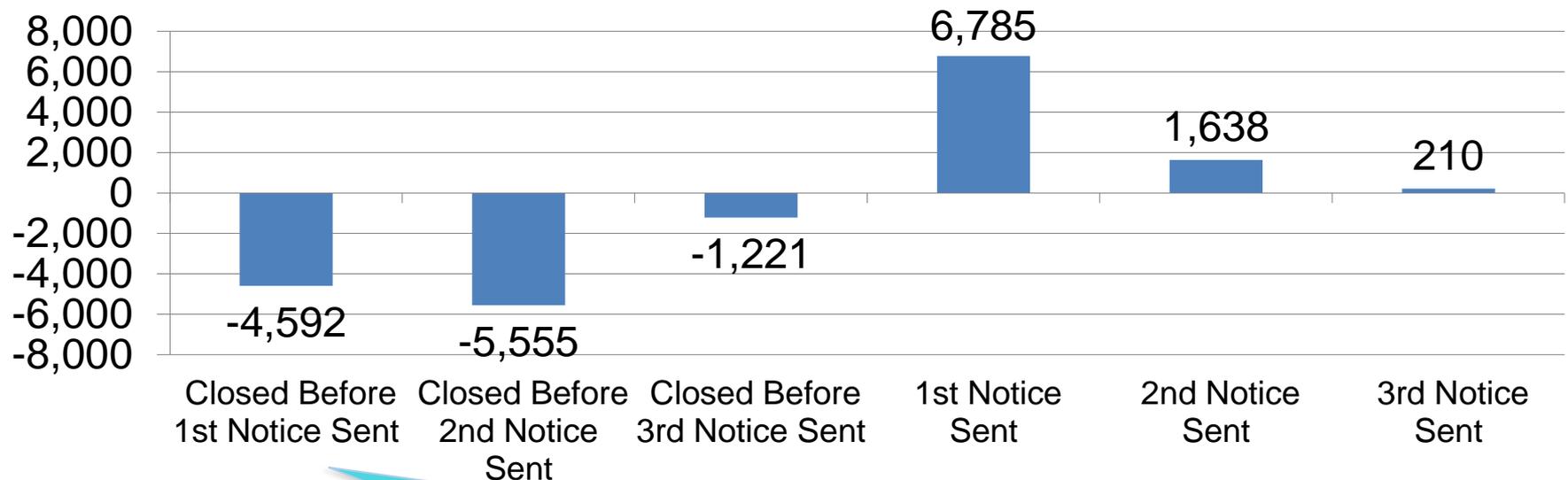
25% complaints closed before sending to Registrar

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Contractual Compliance – Mar 2014 – May 2014 Complaint Type & Closure Reasons – Top 3

Complaint Type

Closed Complaint Types before 1st Notice

	Mar-14	Apr-14	May-14
■ Renewal/Redemption	42	36	16
■ Transfer	259	254	241
■ Whois Inaccuracy	1005	1265	1089

Closure Reason

Closed Complaint Reasons before 1st Notice

	Mar-14	Apr-14	May-14
■ Complainant not Transfer Contact	21	20	28
■ Non-response from Reporter	44	45	51
■ Duplicate complaint	140	139	57

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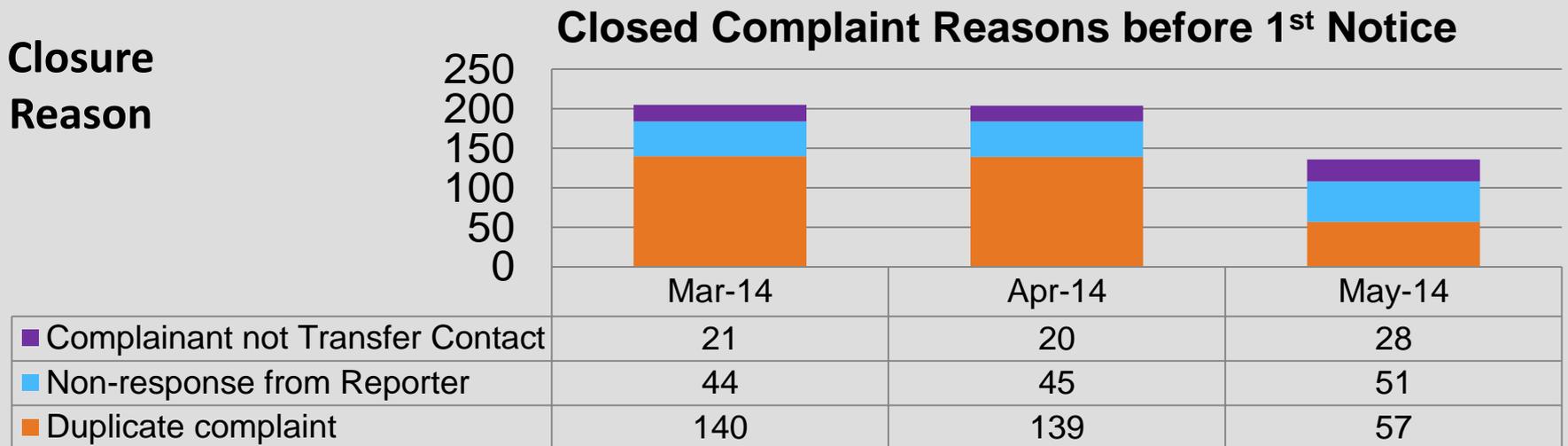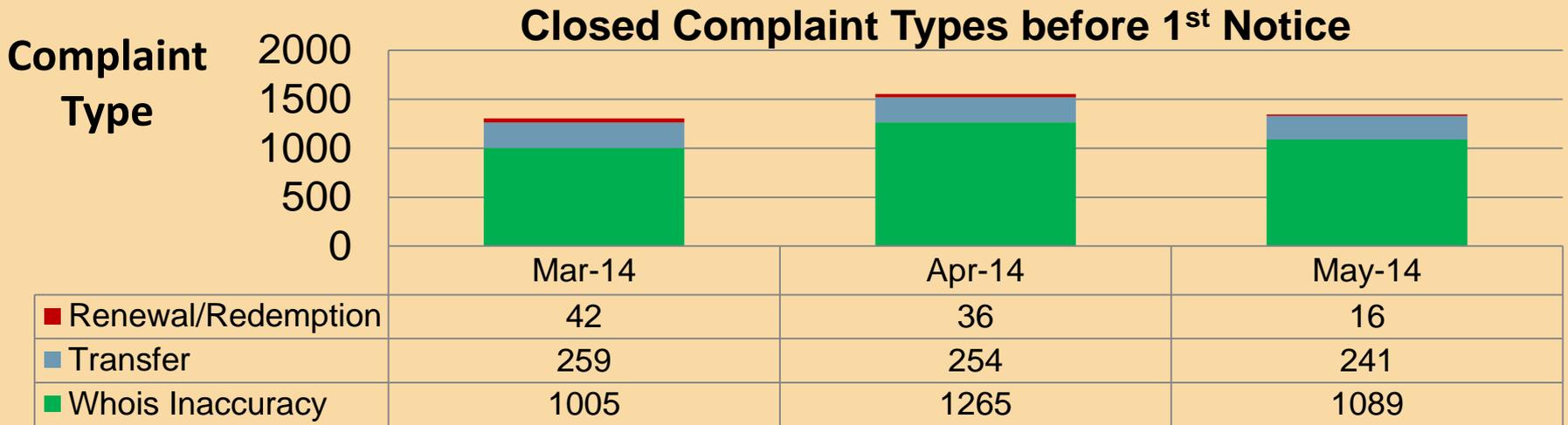
Contractual Compliance – Mar 2014 – May 2014 Operations Scorecard Running Balance

Complaint Distribution

Pie chart labels:
- TRANSFER 12.6%
- WHOIS FORMAT 1.5%
- RENEWAL/REDEMPTION 1.3%
- DOMAIN DELETION 0.6%
- UDRP 0.5%
- DATA ESCROW 0.4%
- ABUSE 0.4%
- CUSTOMER SERVICE 0.3%
- RESERVED/SLD NAMES - RY 0.4%
- WHOIS UNAVAILABLE 0.4%
- Misc 2.3%
- WHOIS INACCURACY 79.3%
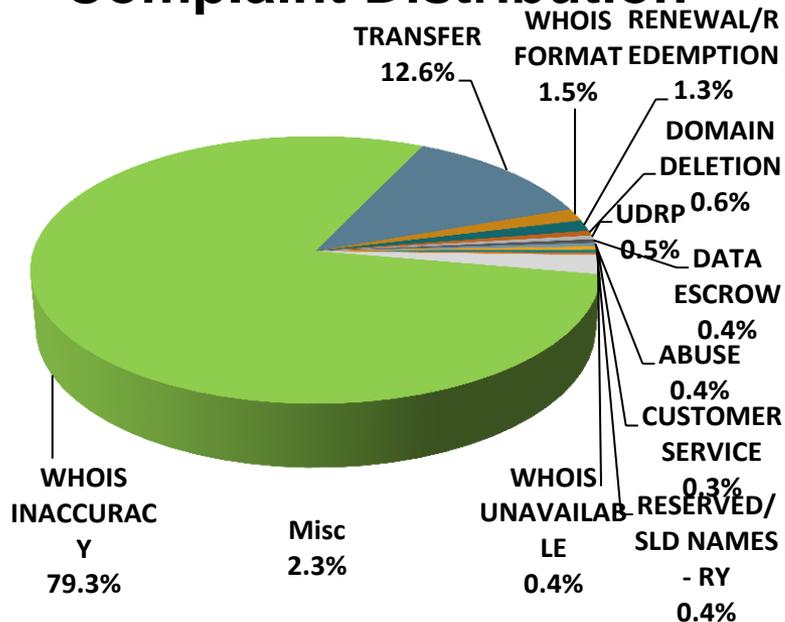
Registrar/Registry TAT – Mar-14 - May-14	(in days)
Avg TAT 1st Notice	12.5
Avg TAT 2nd Notice	5.5
Avg TAT 3rd Notice	11.2
CC Staff TAT - Mar-14 - May-14 (in days)	
Avg TAT Open-1st Notice	1.4
Avg TAT 2nd WIP	3.2
Avg TAT 3rd WIP	3.0
Avg TAT Received-Closed	11.5

	New Complaints	Sub-total
REGISTRAR	12,183	
REGISTRY	218	
Total New Complaints Received		**12,401**
Total Prior Months Carryover		**5,932**
Total Complaints Received		**18,333**
Complaints Closed		
Volume Closed Before 1st Notice	4,592	
Volume Closed Before 2nd Notice	5,555	
Volume Closed Before 3rd Notice	1,221	
Volume Closed Before Enforcement WIP	127	
Volume Closed After Enforcement*	66	
Total Closed		**11,561**
Complaints Open (Carryover)		
Volume Open Before 1st Notice Sent	2,148	
Volume Open in 1st Notice Sent	3,590	
Volume Open in 2nd Notice Sent	652	
Volume Open in 3rd Notice Sent	358	
Volume Open After Enforcement All	24	
Total Remaining Open (Carryover)		**6,772**
Carryover- at end of period	**1,926**	**1,926**
Enforcements		
Volume Breach	15	
Volume Termination	0	

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*A single breach may contains multiple complaints

Contractual Compliance – Mar 2014 – May 2014 Registrar Complaint Types

Complaint Distribution

REGISTRAR Complaints	Quantity
ABUSE	53
CEO CERTIFICATION	10
CUSTOMER SERVICE	33
DATA ESCROW	54
DNSSEC, IDN, IPV6	1
DOMAIN DELETION	75
FAILURE TO NOTIFY	10
FEES	22
PRIVACY/PROXY	16
REGISTRAR CONTACT	21
REGISTRAR INFO SPEC	16
REGISTRAR OTHER	8
RENEWAL/REDEMPTION	167
RESELLER AGREEMENT	3
TRANSFER	1,558
UDRP	59
WHOIS FORMAT	189
WHOIS INACCURACY	9,828
WHOIS SLA	9
WHOIS UNAVAILABLE	51
Total Complaints Processed	12,183
Total Complaints Closed	11,364

Registrar TAT	(in days)
Avg TAT 1st Notice	12.6
Avg TAT 2nd Notice	5.6
Avg TAT 3rd Notice	11.2

Enforcements	
Volume Breach	15
Volume Termination	0

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Contractual Compliance – Mar 2014 – May 2014 Registry Complaint Types

Complaint Distribution

MONTHLY REPORT 6.9%
BULK REGISTRATION DATA ACCESS 6.4%
REGISTRY OTHER 9.6%
RR-DRP 5.5%
SUNRISE 4.6%
CODE OF CONDUCT 10.1%
Misc 8.3%
ZONE FILE ACCESS 12.4%
RESERVED/SLD NAMES 23.9%
DATA ESCROW 12.4%

REGISTRY Complaints	Qty
ABUSE CONTACT DATA	4
BULK REGISTRATION DATA ACCESS	14
BULK ZFA	1
CLAIMS SERVICES	3
CODE OF CONDUCT	22
DATA ESCROW	27
MONTHLY REPORT	15
PIC-DRP	2
REGISTRY OTHER*	21
RESERVED/SLD NAMES	52
RR-DRP	12
SLA	2
SUNRISE	10
URS	4
WILDCARD PROHIBITION	2
ZONE FILE ACCESS	27
Total Complaints Processed	**218**
Total Complaints Closed	**197**

Registry TAT	(in days)
Avg TAT 1st Notice	6.6
Avg TAT 2nd Notice	2.9
Avg TAT 3rd Notice	n/a

Enforcements	
Volume Breach	0
Volume Termination	0

* 'Registry Other' breakdown:	Qty
Customer Service	3
Pricing	3
Invalid Registrar	1
Publish Data	1
Miscellaneous	13
TOTAL	21

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Pulse Survey (Customer Satisfaction Survey)

The objective of the survey is to seek feedback, to measure the satisfaction level, and to determine specific areas for improvement in the complaint submission and management process

- Registrar / Registry Survey

- Reporter Survey

Pulse Survey Results – Closed Complaints Mar 2014 – May 2014

- Pulse Survey asks five customer satisfaction questions
- Pulse Survey URL link included in all Closure notification emails to Complaint Reporters & Registrar/Registry

- Reporter
  - Response rate: 10%
  - 72% answered favorably
- Registrar
  - Response rate: 1.2%
  - 88% answered favorably

Overall, how do you rate the complaint experience?

	Very Easy	Moderately Easy	Not at all Easy
Reporter	42%	30%	20%
Registrar/Registry	36%	52%	12%

■ Very Easy ■ Moderately Easy ■ Not at all Easy
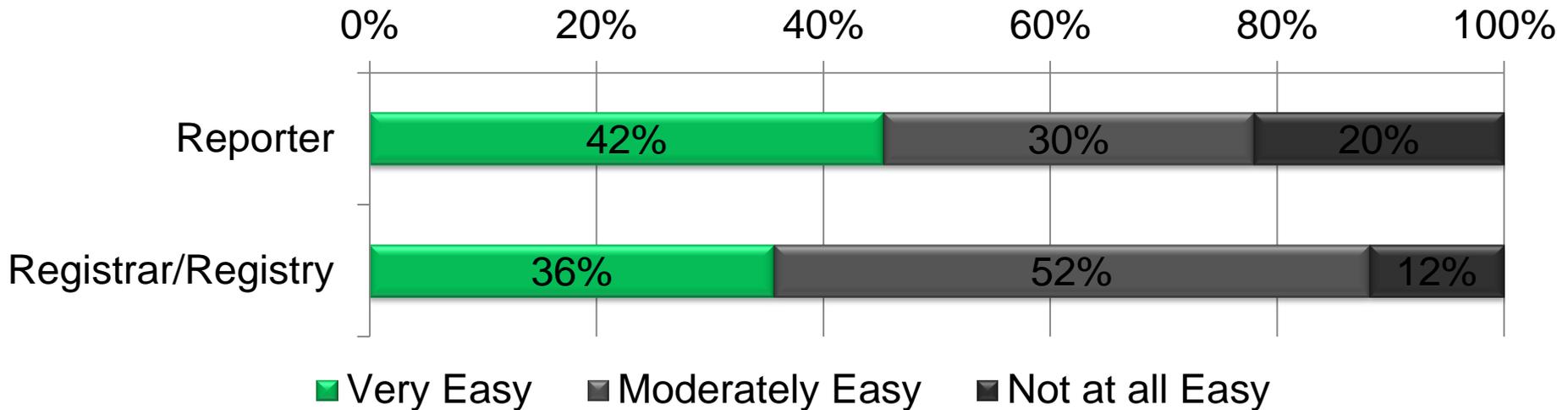
Risk and Audit Program

✓ **Three-Year Audit Program**

➢ **Year-2 of the Three-Year Audit Program**

- launched 14 October 2013
- Selected one third (1/3) of the Registrars and Registries
- Five rollover registrars from Year-1
- Excluded the Year-1 audited list

❑ **New Registry Audit Program**

- Audit Program scope developed
- Conducted three outreach sessions with Registries

✓ **Internal Audit**

- Conducted in July 2013 to assess compliance with the process and procedures
- 45 total controls were in scope
- 8 findings were identified and corrected by the September 2013

FY 14 YTD Metrics
July 2013 – May 2014

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Contractual Compliance – July 2013 – May 2014 Global Complaint Trend

North America

Europe

- Jul-13
- Sep-13
- Nov-13
- Jan-14
- Mar-14
- May-14
- Aug-13
- Oct-13
- Dec-13
- Feb-14
- Apr-14
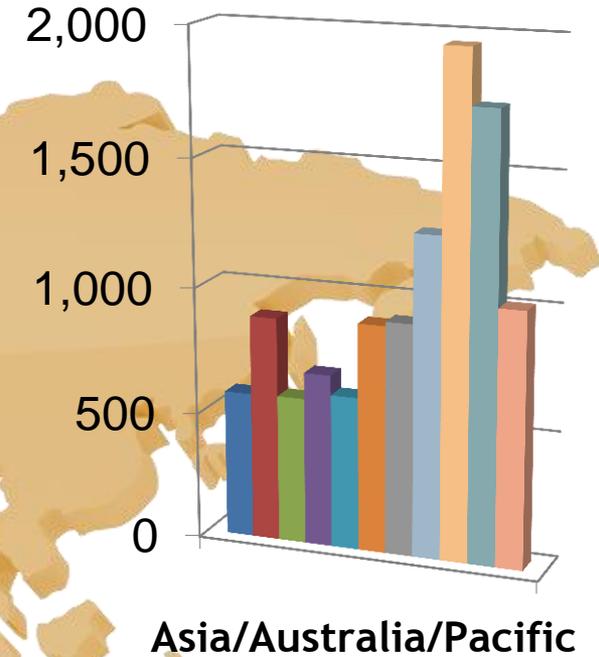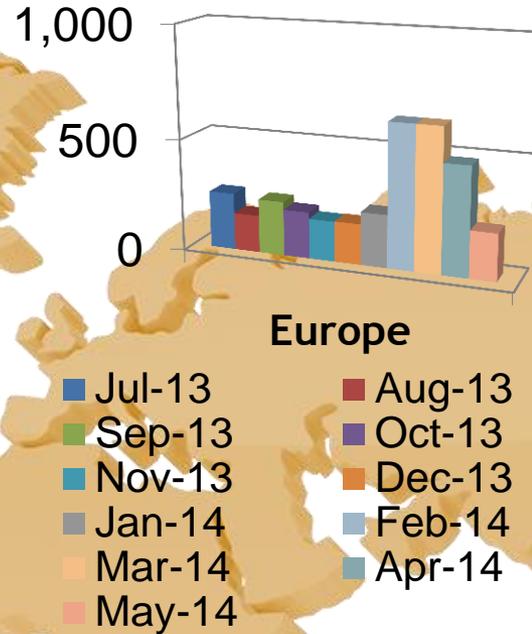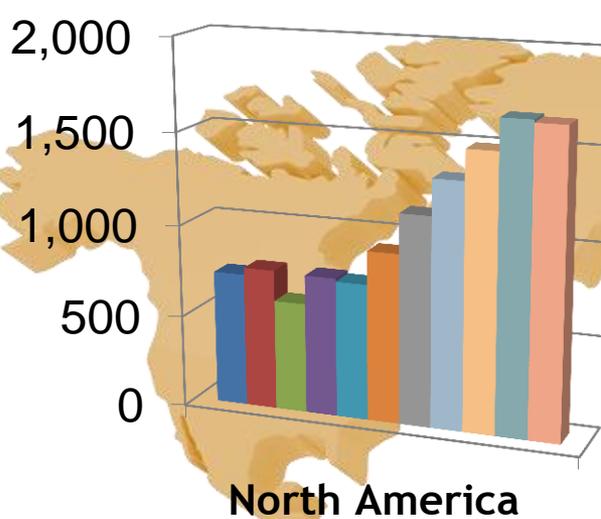
Africa – 4 complaints in Oct; 1 in Jan; 4 in May; 2 in Mar; 1 in Apr

Asia/Australia/Pacific

Latin America

Global Complaint Count Trend *

* Includes complaints from 'unknown' geography

Jul-13: 1,761
Aug-13: 1,968
Sep-13: 1,530
Oct-13: 1,805
Nov-13: 1,735
Dec-13: 2,280
Jan-14: 2,701
Feb-14: 3,516
Mar-14: 4,465
Apr-14: 4,595
May-14: 3,341

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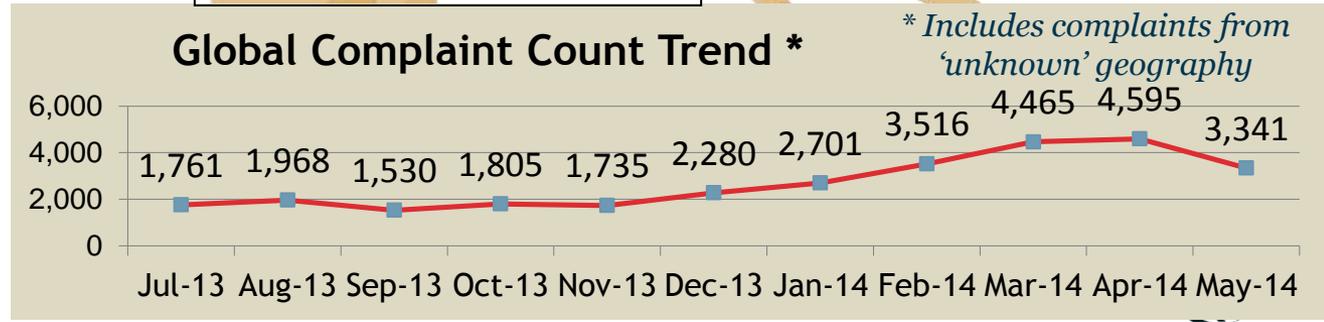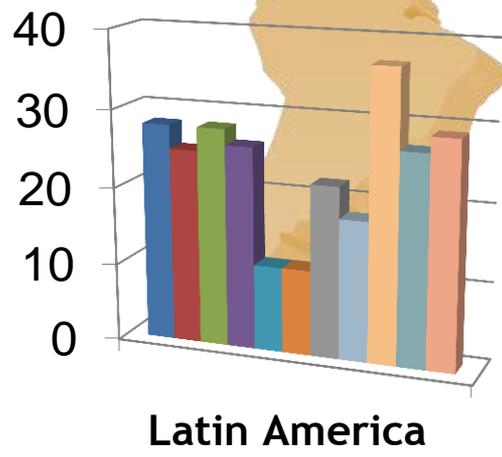
Contractual Compliance – July 2013 – May 2014 Complaints per Domain Volume

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103.6M	11,653	.011%
868	356	41.0%

Europe

24.0M	3,340	.014%
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Asia/A/P

25.0M	11,085	.044%
184	142	77.2%

Latin America

1.2M	262	.023%
24	23	95.8%

Africa

17,544	12	.068%
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LEGEND

November 2013 Domain Volume/Million	# Complaints	% Complaints per Domain Volume
# registrars per region	# registrar w/ Complaints	% registrars with complaints per region

Note: "# registrars per region" data may contain some obsolete registrars but is retained for reporting history

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Contractual Compliance – July 2013 – May 2014 Enforcement Activity
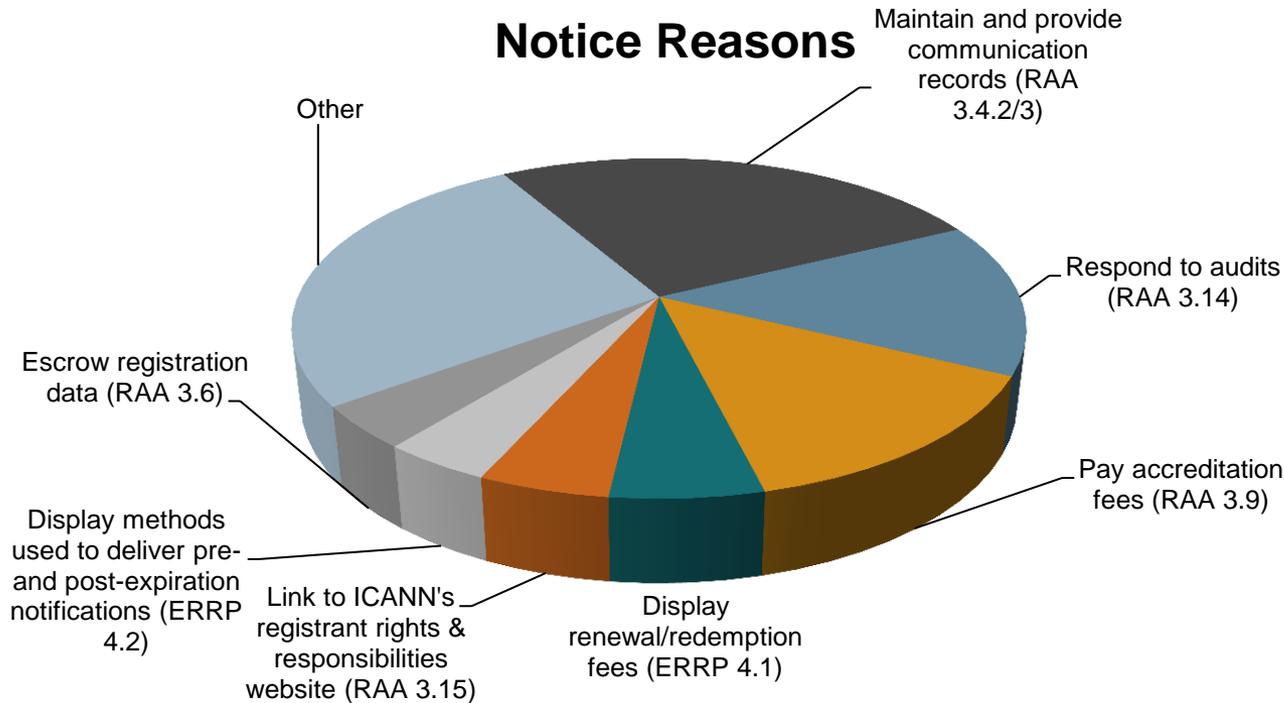
Notice Reasons

Notices	Qty
Breach	38
Suspension	2
Termination	6

Breach Notice Reason*	Qty*
Failure Notice Reasons	131
• Cured	49
• Not Cured	82

A singe Breach may contain multiple Notice Reasons.

Enforcement Notice Reasons	%
Maintain and provide communication records (RAA 3.4.2/3)	26.0
Respond to audits (RAA 3.14)	14.6
Pay accreditation fees (RAA 3.9)	13.8
Display renewal/redemption fees (ERRP 4.1)	5.7
Link to ICANN's registrant rights & responsibilities website (RAA 3.15)	4.9
Display methods used to deliver pre- and post-expiration notifications (ERRP 4.2)	4.1
Escrow registration data (RAA 3.6)	4.1
Other	26.8

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Complaint Volume Trends July 2013 – May 2014
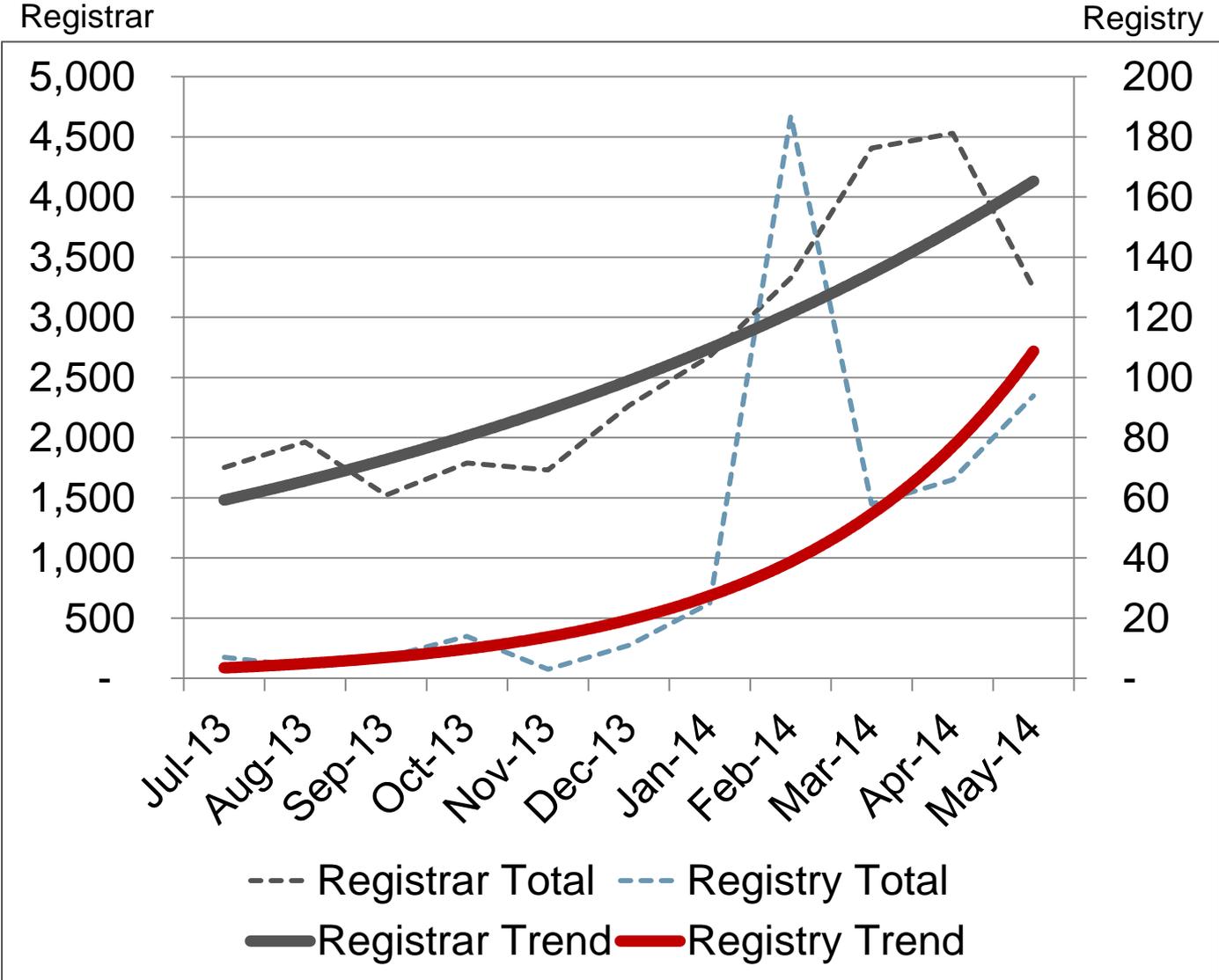
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Contractual Compliance – Jul 2013 – May 2014 ICANN.Org and MyICANN.Org Web Page Views

New Complaint Volume & ICANN.ORG FAQ Web Page Views

2013 RAA & Registry FAQs Added

Month	Complaints Received	FAQ Web Page Views
Jul-13	1,761	3,763
Aug-13	1,968	3,181
Sep-13	1,530	3,629
Oct-13	1,805	4,678
Nov-13	1,735	4,936
Dec-13	2,280	4,504
14-Jan	2,701	14,317
14-Feb	3,516	24,528
Mar-14	4,465	24,195
Apr-14	4,595	22,553
May-14	3,341	14,435

YTD Total
124,719
29,697

Legend: ● Complaints Received   ● FAQ Web Page Views

MyICANN.ORG Compliance Metrics Web Page Views

Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	Jan-14	Feb-14	Mar-14	Apr-14	May-14
336	588	424	446	381	304	432	380	496	651	444
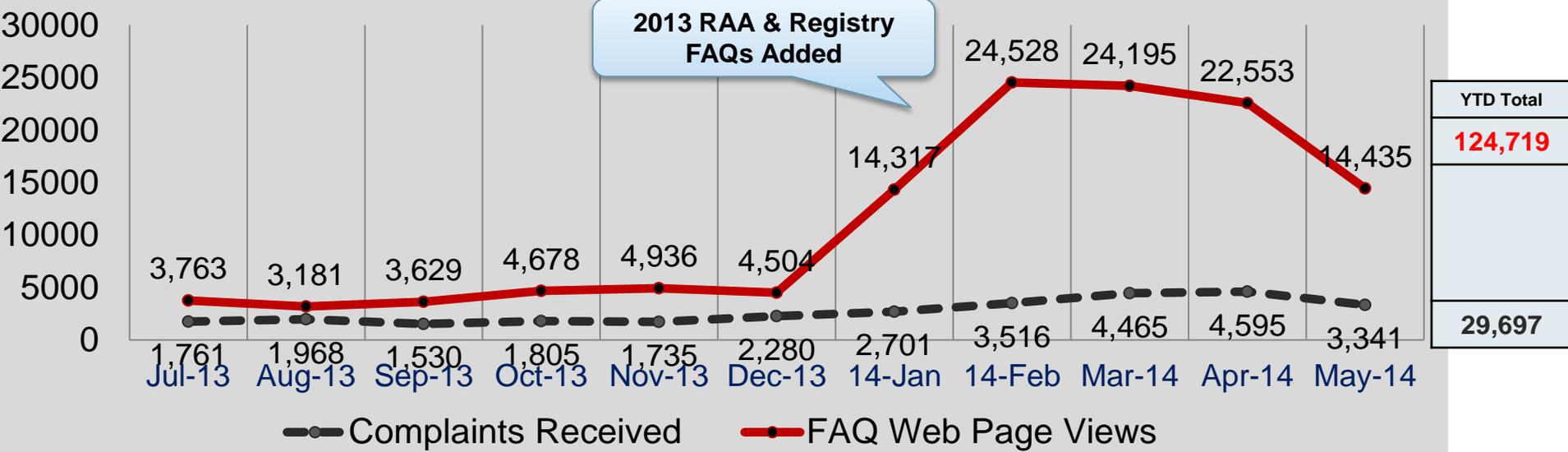
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Contractual Compliance – Jul 2013 – May 2014 Complaints per Notification Cycle

Complaint Summary	Jul – May Total Complaints Processed	Jul - May Complaints Closed	Jul - May Complaints Remaining Open	Complaints Remaining Open After May 31
	41.547	26,719	14,828	1,926

July 2013 – May 2014

Closure Rate 64%

16,367

3,301

429

0

-2,551

-11,495

-12,273

Closed Before 1st Notice Sent | Closed Before 2nd Notice Sent | Closed Before 3rd Notice Sent | 1st Notice Sent | 2nd Notice Sent | 3rd Notice Sent
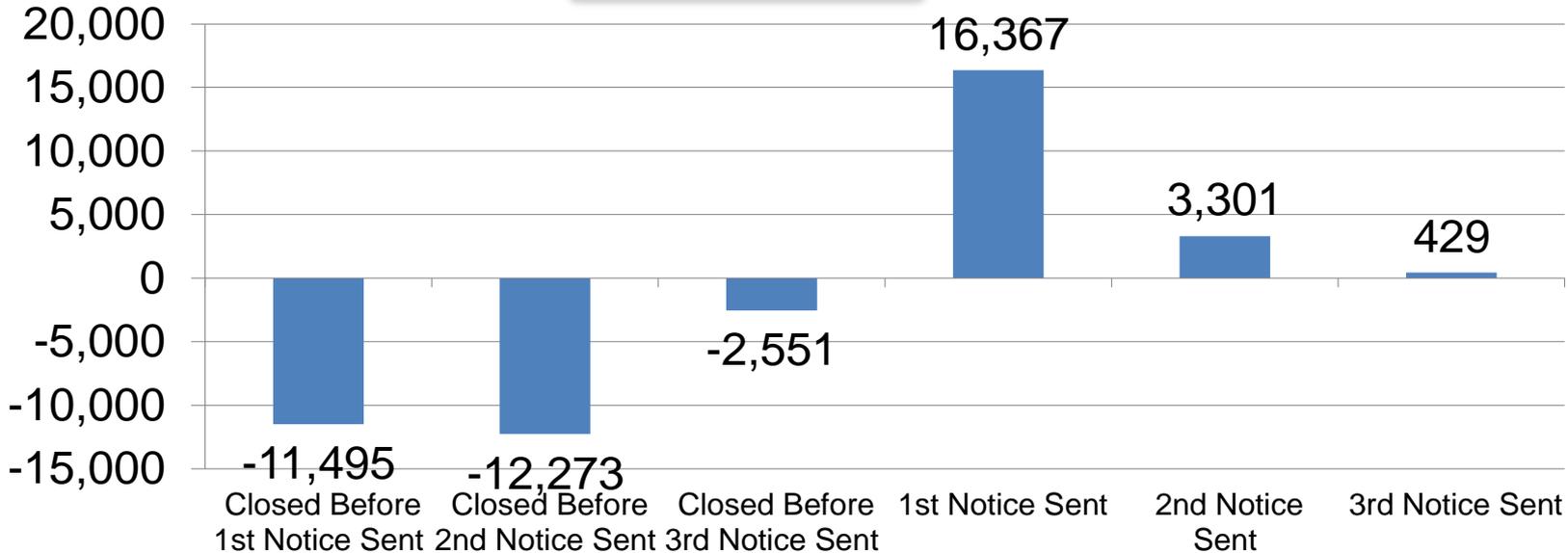
28% complaints closed before sending to Registrar

Closed Before 1st Notice = # tickets received AND closed without any notice being sent to a registrar

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Complaint Impact due to 2013 RAA Renewals

- Complaint Volume five months before & after contract renewal date reviewed
- Complaints compared are: Transfer, UDRP, Whois Format, Whois Inaccuracy, Whois SLA and Whois Unavailable

IMPACT

- **Slight increase in Complaints, after 2013 RAA signed**
- **Will continue to monitor as more Registrars sign 2013 RAA**

Contract Renewal Month	Pre 2013 RAA	Post 2013 RAA
Oct-13	34%	66%
Nov-13	44%	56%
Dec-13	40%	60%
Jan-14	62%	38%

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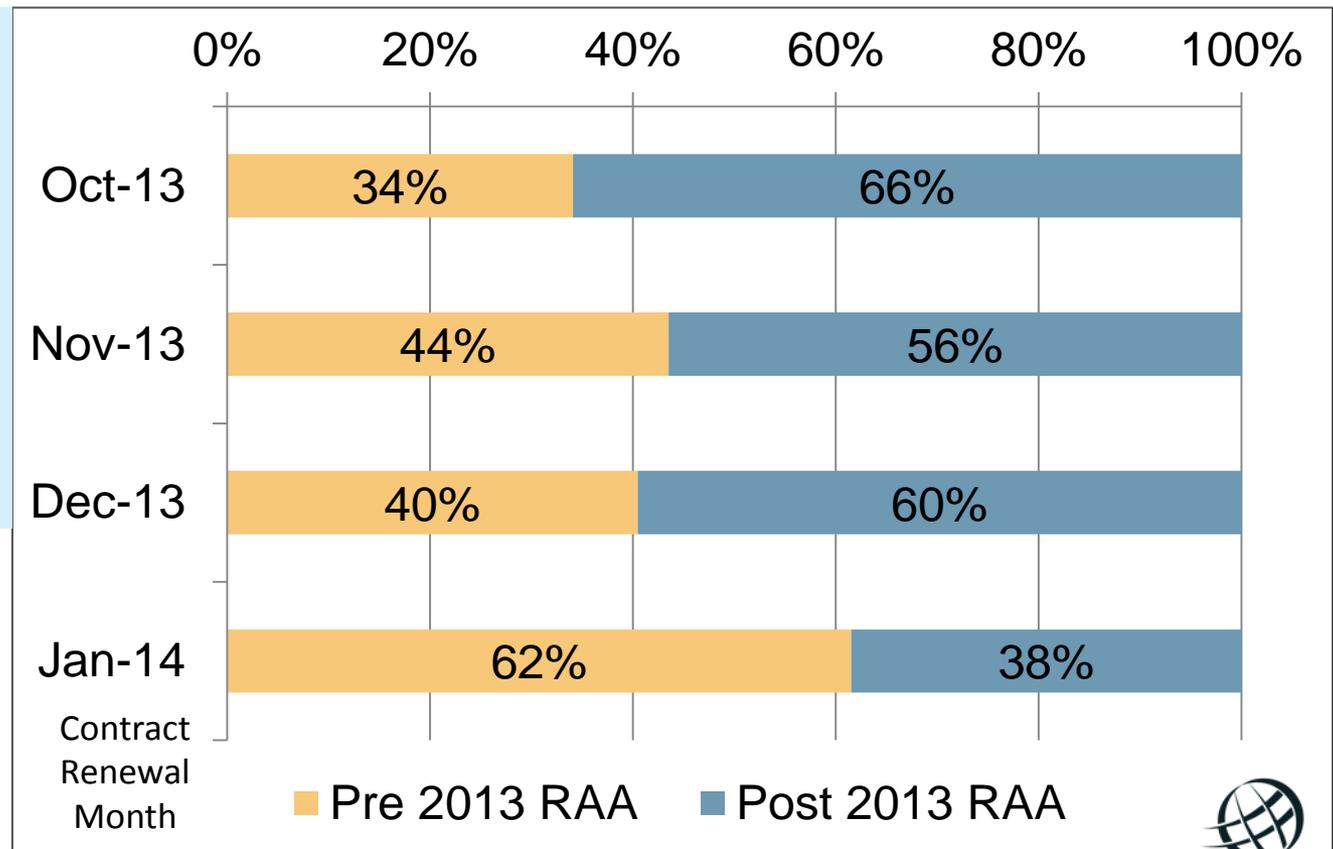
Contractual Compliance – Jul 2013 – May 2014 Operations Scorecard

Complaint Distribution
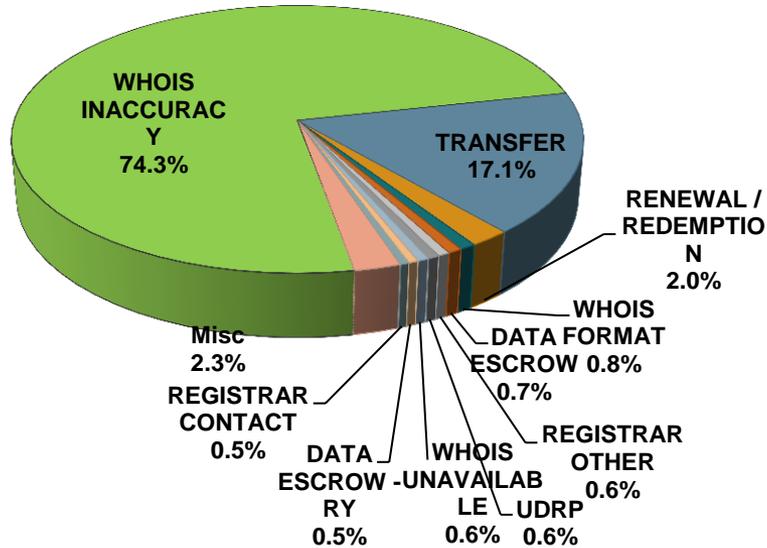
Registrar/Registry TAT - July-13 - May-14	(in days)
Avg TAT 1st Notice	12.1
Avg TAT 2nd Notice	6.9
Avg TAT 3rd Notice	9.0
CC Staff TAT - July-13 - May-14	
Avg TAT Open-1st Notice	1.6
Avg TAT 2nd WIP	2.7
Avg TAT 3rd WIP	5.4
Avg TAT Received-Closed	10.0

|	YTD Complaints	Sub-total
REGISTRAR	29,221	
REGISTRY	476	
Total New Complaints Received		**29,697**
Total Prior Months Carryover		**11,850**
Total Complaints Received		**41,547**
	Complaints Closed	
Volume Closed Before 1st Notice	11,495	
Volume Closed Before 2nd Notice	12,273	
Volume Closed Before 3rd Notice	2,551	
Volume Closed Before Enforcement WIP	273	
Volume Closed After Enforcement	127	
Total Closed		**26,719**
	Complaints Open (Carryover)	
Volume Open Before 1st Notice Sent	4,989	
Volume Open in 1st Notice Sent	7,882	
Volume Open in 2nd Notice Sent	1,313	
Volume Open in 3rd Notice Sent	580	
Volume Open After Enforcement All	64	
Total Remaining Open (Carryover)		**14,828**
Carryover- at end of period	**1,926**	**1,926**
	Enforcements	
Volume Breach	38	
Volume Suspension	2	
Volume Termination	6	

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Contractual Compliance – Jul 2013 – May 2014 Registrar Complaint Types

Complaint Distribution
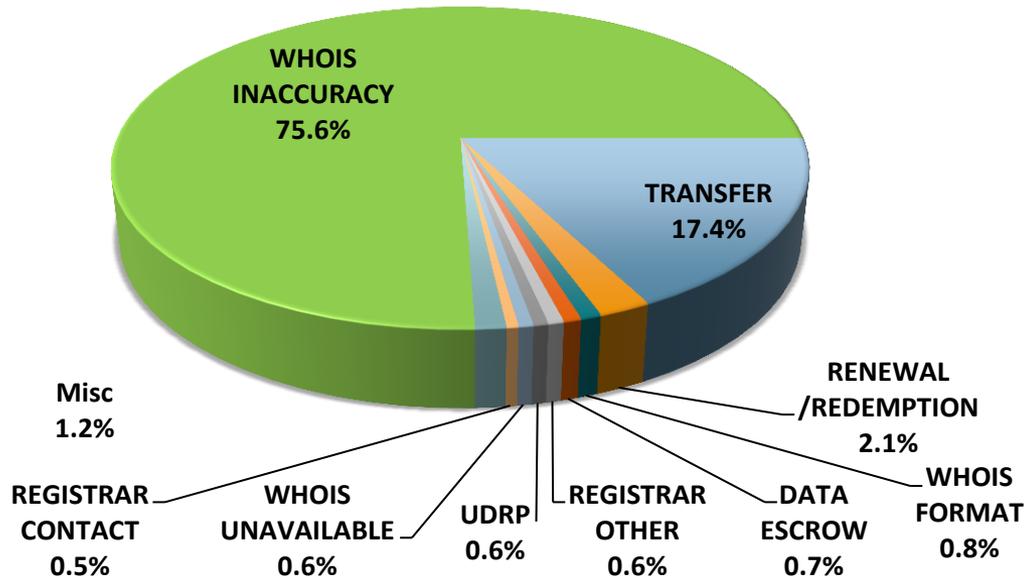
Registrar TAT	(in days)
Avg TAT 1st Notice	12.2
Avg TAT 2nd Notice	6.9
Avg TAT 3rd Notice	9.0

Enforcements	
Volume Breach	38
Volume Suspension	2
Volume Termination	6

REGISTRAR Complaint Type	Quantity
ABUSE	57
CEO CERTIFICATION	10
CUST SRV (LEGACY)	24
CUSTOMER SERVICE	41
DATA ESCROW	205
DNSSEC, IDN, IPV6	1
DOMAIN DELETION	83
FAILURE TO NOTIFY	10
FEES	63
PRIVACY/PROXY	17
REGISTRAR CONTACT	134
REGISTRAR INFO SPEC	31
REGISTRAR OTHER	180
RENEWAL/REDEMPTION	603
RESELLER AGREEMENT	3
TRANSFER	5091
UDRP	170
WHOIS FORMAT	240
WHOIS INACCURACY	22077
WHOIS SLA	12
WHOIS UNAVAILABLE	169
Total Complaints Processed	29,221
Total Complaints Closed	26,574

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Contractual Compliance – Jul 2013 – May 2014
Registry Complaint Types

Complaint Distribution

- REGISTRY OTHER 19.3%
- RESERVED/SLD NAMES 11.6%
- MONTHLY REPORT 9.2%
- CODE OF CONDUCT 5.7%
- ZONE FILE ACCESS 5.7%
- BULK ZFA 4.8%
- SUNRISE 4.2%
- Misc 9.9%
- DATA ESCROW 29.6%

REGISTRY Complaint Type	Qty
ABUSE CONTACT DATA	4
BULK REGISTRATION DATA ACCESS	14
BULK ZFA	23
CLAIMS SERVICES	3
CODE OF CONDUCT	27
DATA ESCROW	141
MONTHLY REPORT	44
PIC-DRP	2
REGISTRY OTHER	92
RESERVED/SLD NAMES	55
RR-DRP	13
SLA	2
SUNRISE	20
URS	7
WILDCARD PROHIBITION	2
ZONE FILE ACCESS	27
Total Complaints Processed	476
Total Complaints Closed	145

Registry TAT	(in days)
Avg TAT 1st Notice	6.1
Avg TAT 2nd Notice	3.4
Avg TAT 3rd Notice	n/a

Enforcements	
Volume Breach	0
Volume Termination	0

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Contractual Compliance – Jul 2013 – May 2014 Complaint Types & Top 5 Closure Reasons - Registrar

Domain Renewal: Closure Reasons
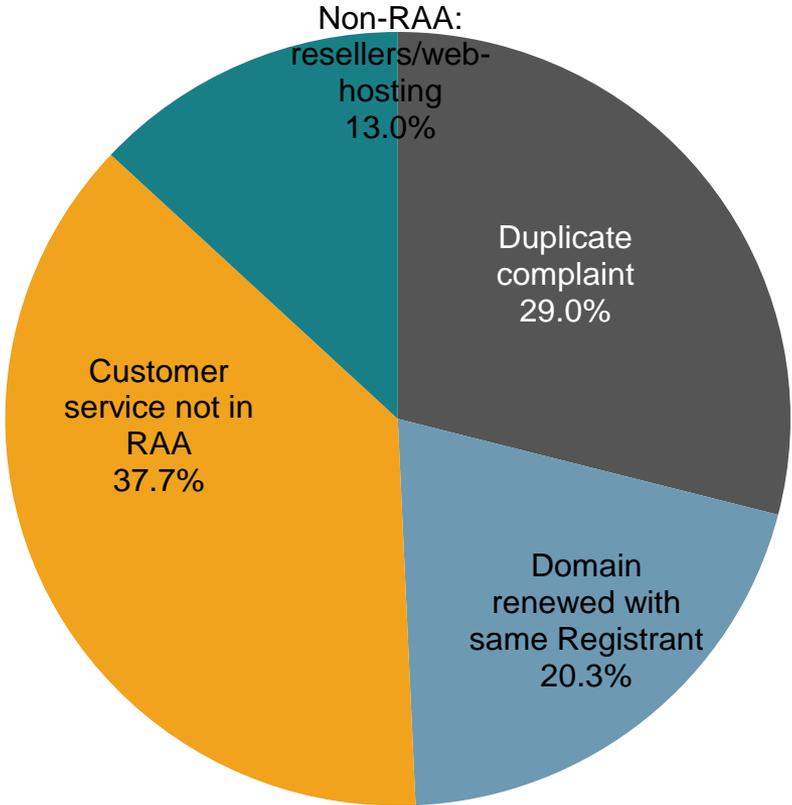
Non-RAA: resellers/web-hosting 13.0%

Duplicate complaint 29.0%

Customer service not in RAA 37.7%

Domain renewed with same Registrant 20.3%

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Contractual Compliance – July 2013 – May 2014 Complaint Types & Top 5 Closure Reasons - Registrar

Whois Inaccuracy: Closure Reasons

- Report not confirmed 7.5%
- Data changed 8.9%
- Duplicate complaint 12.4%
- Invalid complaint 20.3%
- Domain not in DNS 50.9%
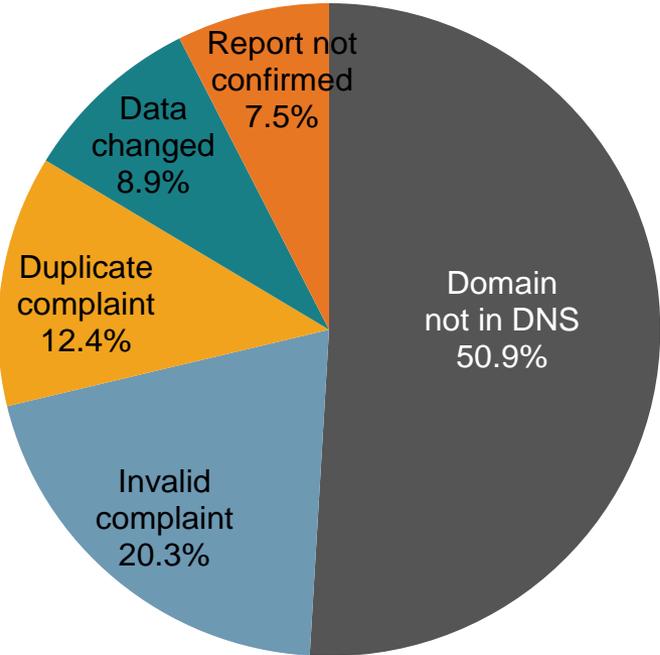
Whois Unavailable: Closure Reasons
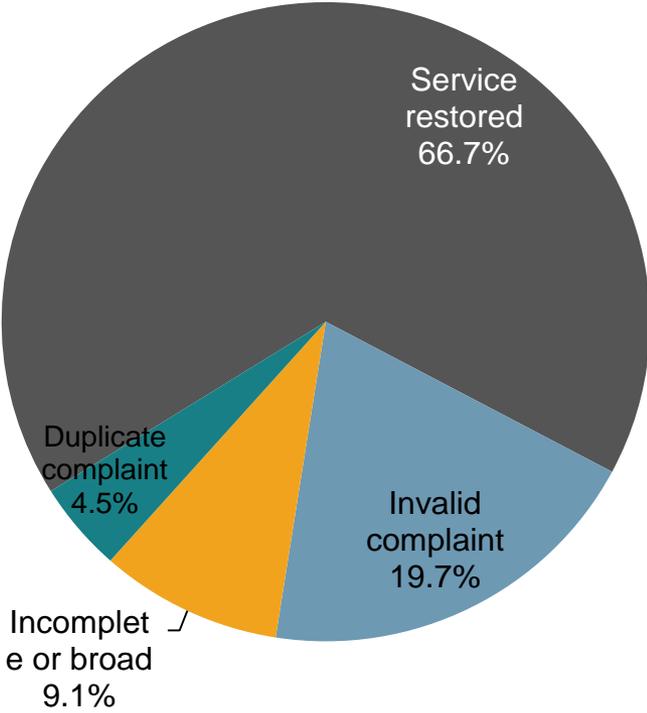
- Service restored 66.7%
- Duplicate complaint 4.5%
- Incomplete or broad 9.1%
- Invalid complaint 19.7%

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Contractual Compliance – July 2013 – May 2014 Complaint Types & Top 5 Closure Reasons - Registrar

UDRP: Closure Reasons

- Registrar compliant 9.7%
- Duplicate complaint 9.7%
- Invalid complaint 16.9%
- Private dispute 21.8%
- No UDRP Proceeding 41.9%
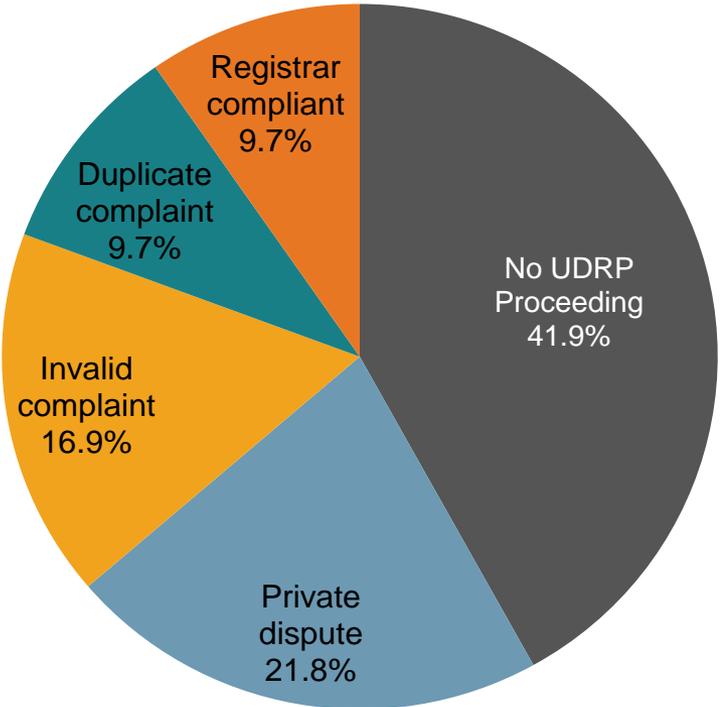
Transfer: Closure Reasons

- Complainant not Transfer Contact 13.8%
- Duplicate of pending 19.4%
- Transfer completed 19.3%
- Duplicate complaint 18.3%
- Auth-code provided/Domain unlocked 29.2%
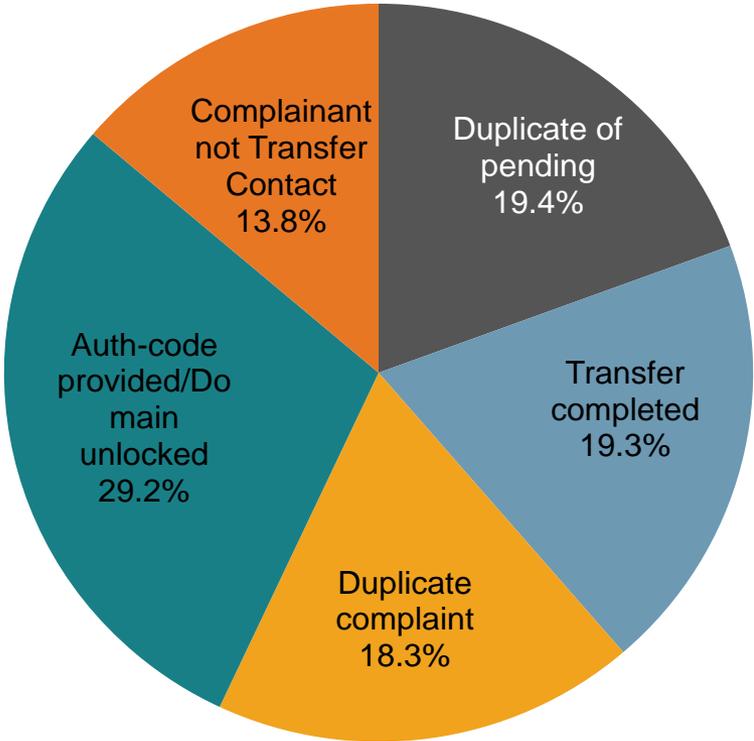
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Contractual Compliance – Jul 2013 – May 2014 Regional Registrar/Registry Turn-Around-Time

North America

Latin America

Europe

■ **Avg TAT 1st Notice**

■ **Avg TAT 2nd Notice**

■ **Avg TAT 3rd Notice**

Africa

Asia/Australia/Pacific
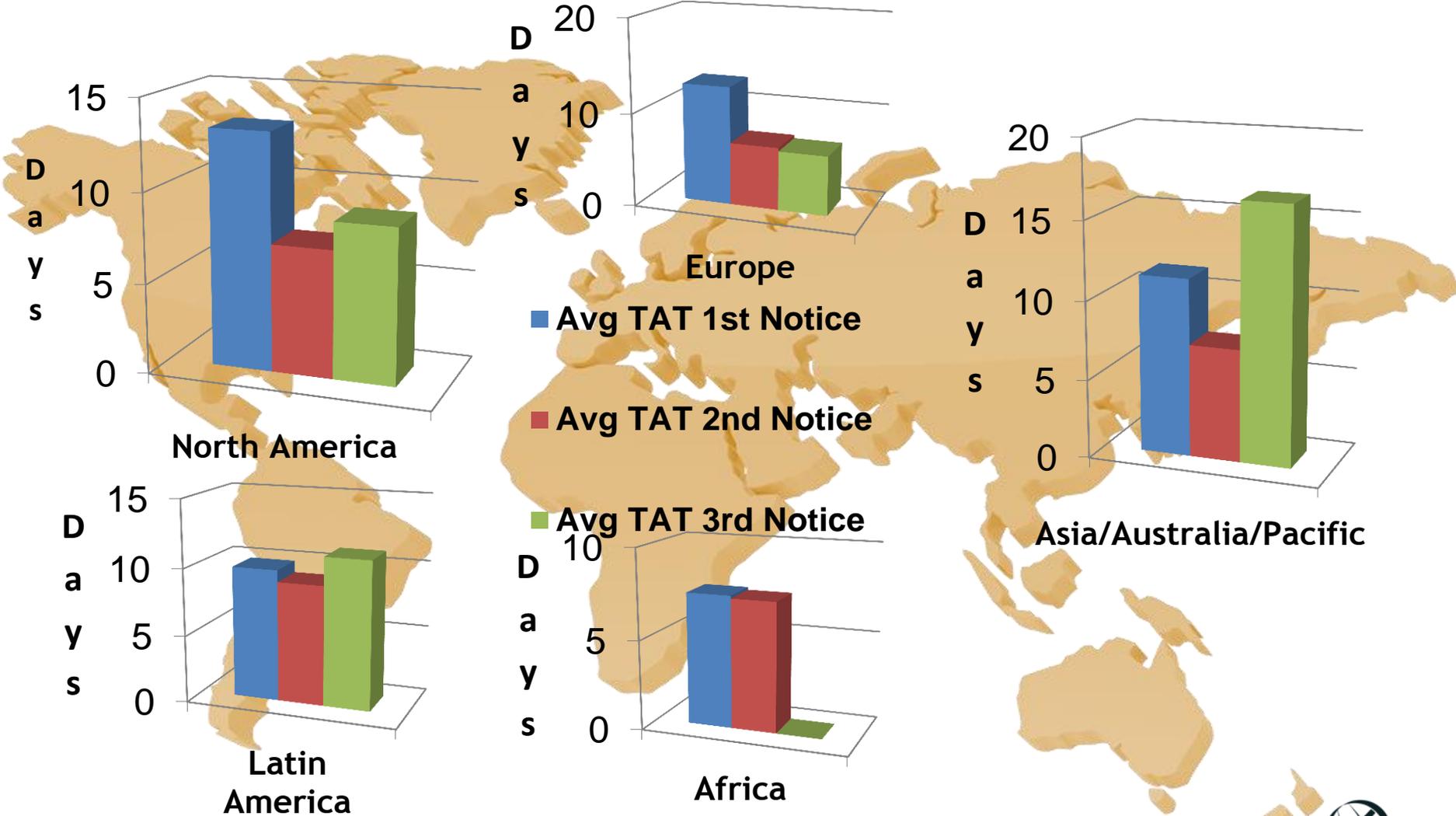
TAT = Average Turn Around Time, in Business Days

Whois Inaccuracy Metrics
Jul 2013 – May 2014

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Contractual Compliance – Jul 2013 – May 2014 Whois Inaccuracy Volumes – Individual vs. Bulk

Legend:
- Whois Inaccuracy w/o Bulk (yellow bars)
- New Bulk Whois Inaccuracy (blue bars)
- Individual Closed b4 1st Notice (red line)
- Bulk Closed b4 1st Notice (black line)

Month	Individual Closed b4 1st Notice	Bulk Closed b4 1st Notice
Jul-13	526	0
Aug-13	414	120
Sep-13	313	3
Oct-13	341	0
Nov-13	444	0
Dec-13	534	0
Jan-14	756	11
Feb-14	946	3
Mar-14	950	55
Apr-14	1107	158
May-14	1050	39
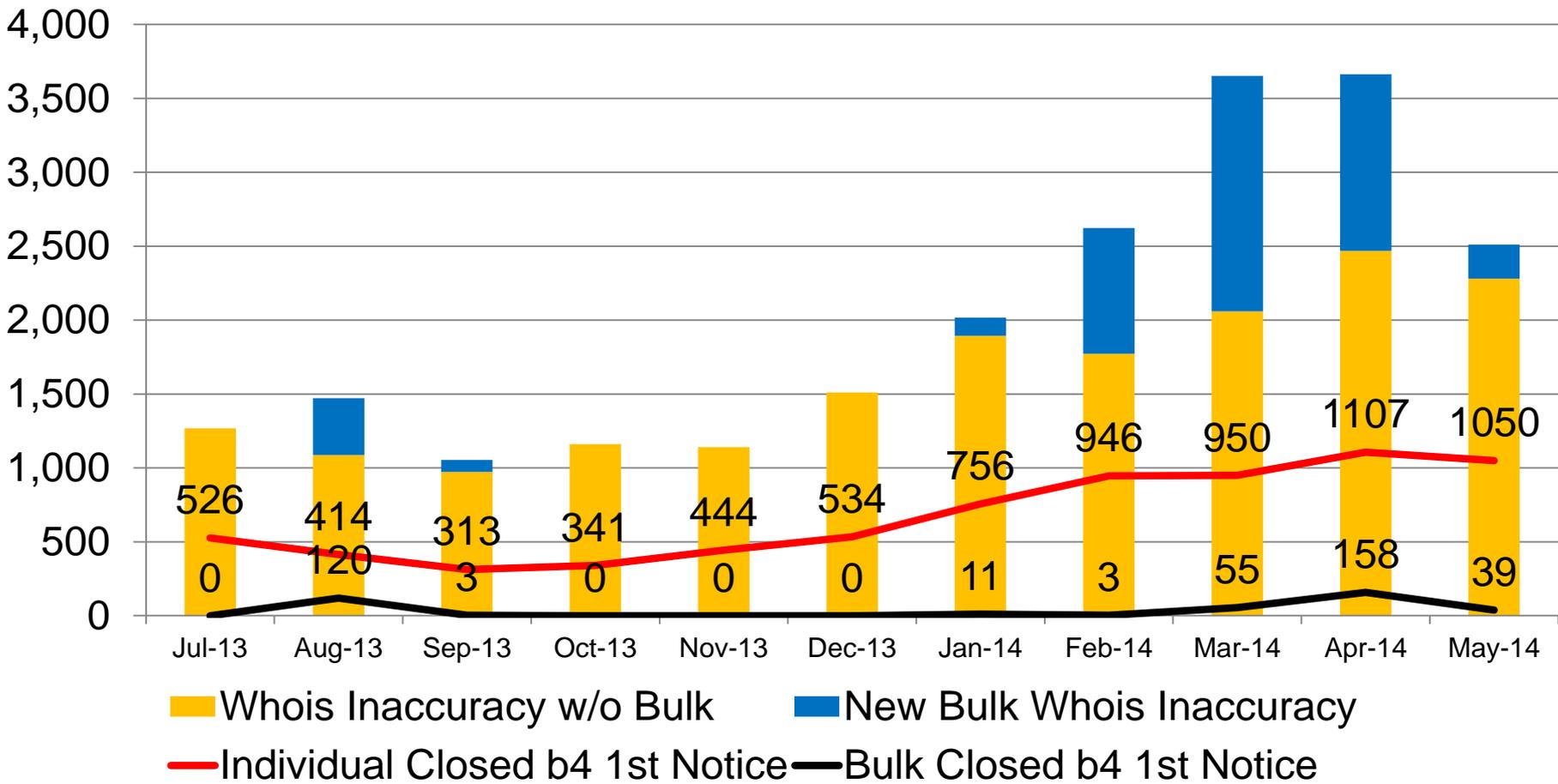
Contractual Compliance
Key Performance Metrics
July 2014 – May 2014

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Contractual Compliance – Governance Metrics

Metric	Target	Actual FY14 YTD (July 2013-May 2014)		
Reporter Customer Satisfaction Survey	≥70%	77.0% Durban 2013	90.0% Buenos Aires 2013	74.5% Singapore 2014	72.0% London 2014
Registrar Audit Results	≥95%	97 Year 1		98.8 Year 2
Registry Audit Results	≥95%	100 Year 1		100 Year 2
Registrar – Data Escrow Compliance	≥95%	98 98.5 98 98.2 97.8 98 97.9 96.8 97.7 95.8 — Jul Au Se Oc No De Ja Fe Ma Ap		
Registrar – Compliance	≥95%	98 98.5 98.1 98.3 98 98.2 98.1 96.8 97 96.2 96.3 — Ju A S O N D Ja F M A M		
Registry (new gTLD's) – Compliance	≥95%	100 Feb-14 99 Mar-14 100 Apr-14 100 May-14		
Compliance Closure Rate	≥55%	72% 69% 73% 67% 60% 56% 60% 63% 60% 65% 64% — Jul-13 Aug-13 Sep-13 Oct-13 Nov-13 Dec-13 Jan-14 Feb-14 Mar-14 Apr-14 May-14		

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Contractual Compliance
Complaint Application & Metrics Update

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Contractual Compliance IT Vision – April 2012

Current

- Separate ticketing applications
- Disjointed process & limited workflow - 9% automated
- Manual ticket administration
- Manual effort to reference Radar, Whois, Data Escrow & Finance information

Ticketing System	Ticketing System	Web portal & database	Email
C-Ticket	W-Ticket	UDRP	General

Manual look-up

Supporting Applications

Who Is	Port 43
Radar	Finance
Data Escrow	Audit Questionnaire
Individual PC files	
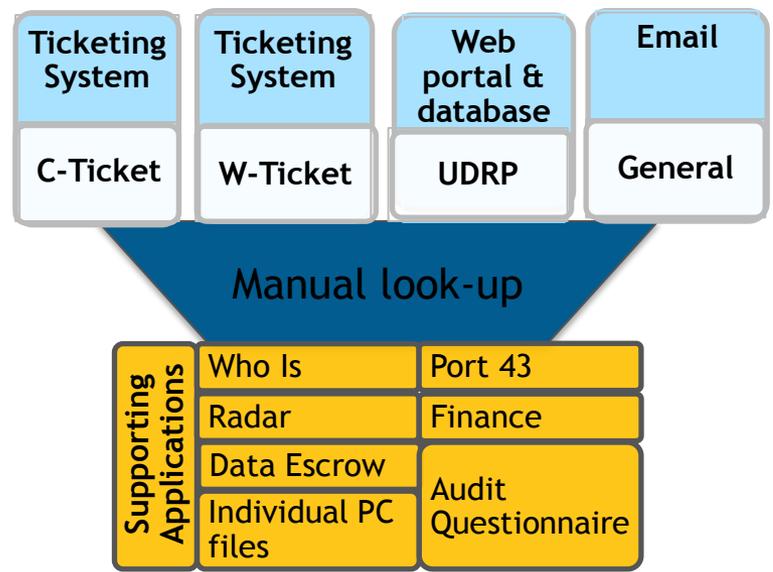
Future

- Integrated Registrar/Registry complaint tracking within consolidated application
- Common process & automated workflow
- Exception based complaint administration
- Radar & data escrow information incorporated into solution
- Automated linkage with supporting applications (Port43, Finance, SharePoint, audit, reports, email)

Web Input/ Status

**Complaint/Inquiry Tracking**

Consumer, Transfer, Whois, UDRP, Law Enforcement

- Radar
- Data Escrow

Email

ICANN Customer Relationship

Port43	Performance Mgmt Reports	Finance
Audit Questionnaire	SharePoint Doc mgmt	

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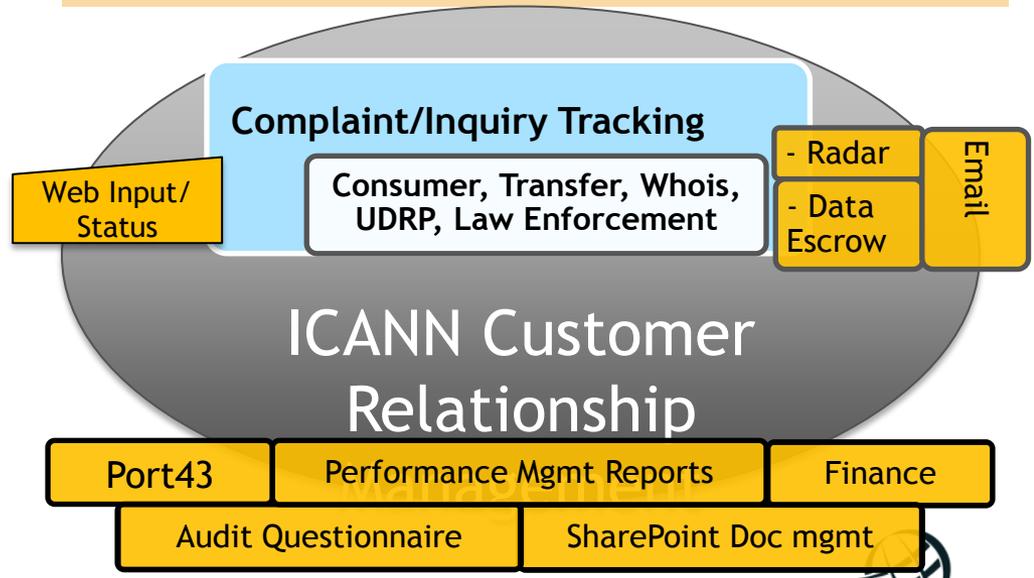
Compliance Application Status – Jun 2014

Plan - 2012	Results	Explanation
Integrated Registrar/ Registry complaint tracking within consolidated application	**Done**	• Migrated original ten complaint types into single application. • Added thirty new complaint types based on 2013 RAA and new Registry contract obligations into same complaint tracking application. • Also moved complaint web input from Internic.net to ICANN.ORG.
Common process & automated workflow	**Done**	• Applied 123 notification process to original ten complaint types. Created Generic Registrar & Registry process for all 40 complaint types. • All follow same 123 notification & Breach/Termination process
Exception based complaint administration	**Done**	• Integrated into process
RADAR & data escrow information incorporated into solution	**Done**	• RADAR, IDN, Audit Log, 400+ standard notice templates, IANA #, TLD ID, Whois Lookup & complaint valid for Registrar/Registry contract incorporated into application. • Automation & integration of Data Escrow for Registrar & Registry in FY15.
Automated linkage with supporting applications	**Done**	• Operational Reports, Audit & Metrics. Metric data captured from complaint application. • 71% work effort automated from 9%. • Finance integration pending Enterprise CRM.
Improve document management	**Done**	• Ten 50+ page procedure guide written for high volume complaint types, Quick Reference documents written for remaining 30 complaint types • Generic business workflow defined • Library management of 400+ correspondence (notices) templates in place

Compliance Metric Process

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

Data Mart
- Merge data into cohesive reporting model
- Summarize source data without keeping raw detail
- Keep history of summarized data

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

Presentation
- View prebuilt dashboards
- Able to 'slice & dice' data for ad-hoc trend analysis
- 'Cut & Paste' to MS Office or web view for presentation

Consolidated Complaint Application

Data Mart

Multi-Dimensional Database

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Compliance Metrics

Dashboards

- Dimension
- Calculated
- Analysis
- Base Measure

Metric Type	Explanation	Example	# Metrics
Base Measure	Actual or Raw value from source system	1,126 Registrars	279
Analysis Rules	Value compared to threshold	95% of target	142
Calculated Measure	Two Base measures calculated together to create a new result	Registrar complaints plus Registry complaints equals Total complaints	119
Dimensions	Information that give the answer meaning or context	1,126 Registrars, 2014 = year	52
Grand Total			592

The quantity and type of metrics gives the ability to analyze different intersections of data via the Dimensions, such as:

Complaint Volume	Turnaround Time Registrar, Registry, ICANN	Complaint Closure Reasons	Geography
Pre & Post 2013 RAA	TLD Round Date (Legacy & new GTLD	Compliance FAQ web views	Bulk Whois Inaccuracy volume

Global Complaint Count by TLD Round

ICANN Contractual Compliance Report for May 2013 - May 2014

Global Complaint Counts by TLD

Complaints by TLD Round

ICANN Regions	2000-round	2004-round	2012-round	pre-icann	unknown*	Total
Africa	0	0	0	2	10	12
Asia/Australia/Pacific	413	46	47	11508	157	12171
Europe	122	4	79	3488	131	3824
Latin America/Caribbean	14	0	0	303	33	350
North America	474	11	133	12439	178	13235
Unknown	138	31	47	1008	3243	4467
Total	1161	92	306	28748	3752	34059

2000-round: TLD grouping consisting of the following TLDs: aero; biz; coop; info; museum; name; pro, **2004-round**: TLD grouping consisting of the following TLDs: asia; cat; jobs; mobi; tel; travel; xxx; post, **2012-round**: see most recent information on the ICANN Registry Listing, **pre-icann**: TLD grouping consisting of the following TLDs: com; edu; gov; int; mil; net; org

unknown: Not all complaints are TLD or Region specific.

Complaint Impact due to 2013 RAA Renewals

- Complaint Volume five months before & after contract renewal date reviewed
- Complaints compared are: Transfer, UDRP, Whois Format, Whois Inaccuracy, Whois SLA and Whois Unavailable

IMPACT

- **Slight increase in Complaints, after 2013 RAA signed**
- **Will continue to monitor as more Registrars sign 2013 RAA**

| Contract Renewal Month	Pre 2013 RAA	Post 2013 RAA
Oct-13	34%	66%
Nov-13	44%	56%
Dec-13	40%	60%
Jan-14	62%	38%

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Contractual Compliance – Jul 2013 – May 2014 ICANN.Org and MyICANN.Org Web Page Views

New Complaint Volume & ICANN.ORG FAQ Web Page Views

2013 RAA & Registry FAQs Added

Month	FAQ Web Page Views	Complaints Received
Jul-13	3,763	1,761
Aug-13	3,181	1,968
Sep-13	3,629	1,530
Oct-13	4,678	1,805
Nov-13	4,936	1,735
Dec-13	4,504	2,280
14-Jan	14,317	2,701
14-Feb	24,528	3,516
Mar-14	24,195	4,465
Apr-14	22,553	4,595
May-14	14,435	3,341

YTD Total	
	124,719
	29,697

Legend: — — Complaints Received   —— FAQ Web Page Views

MyICANN.ORG Compliance Metrics Web Page Views

Month	Views
Jul-13	336
Aug-13	588
Sep-13	424
Oct-13	446
Nov-13	381
Dec-13	304
Jan-14	432
Feb-14	380
Mar-14	496
Apr-14	651
May-14	444

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Closed Before 1st Notice
39.8%

Closed After Enforcement
0.6%

Closed Before Enforcement WIP
1.1%
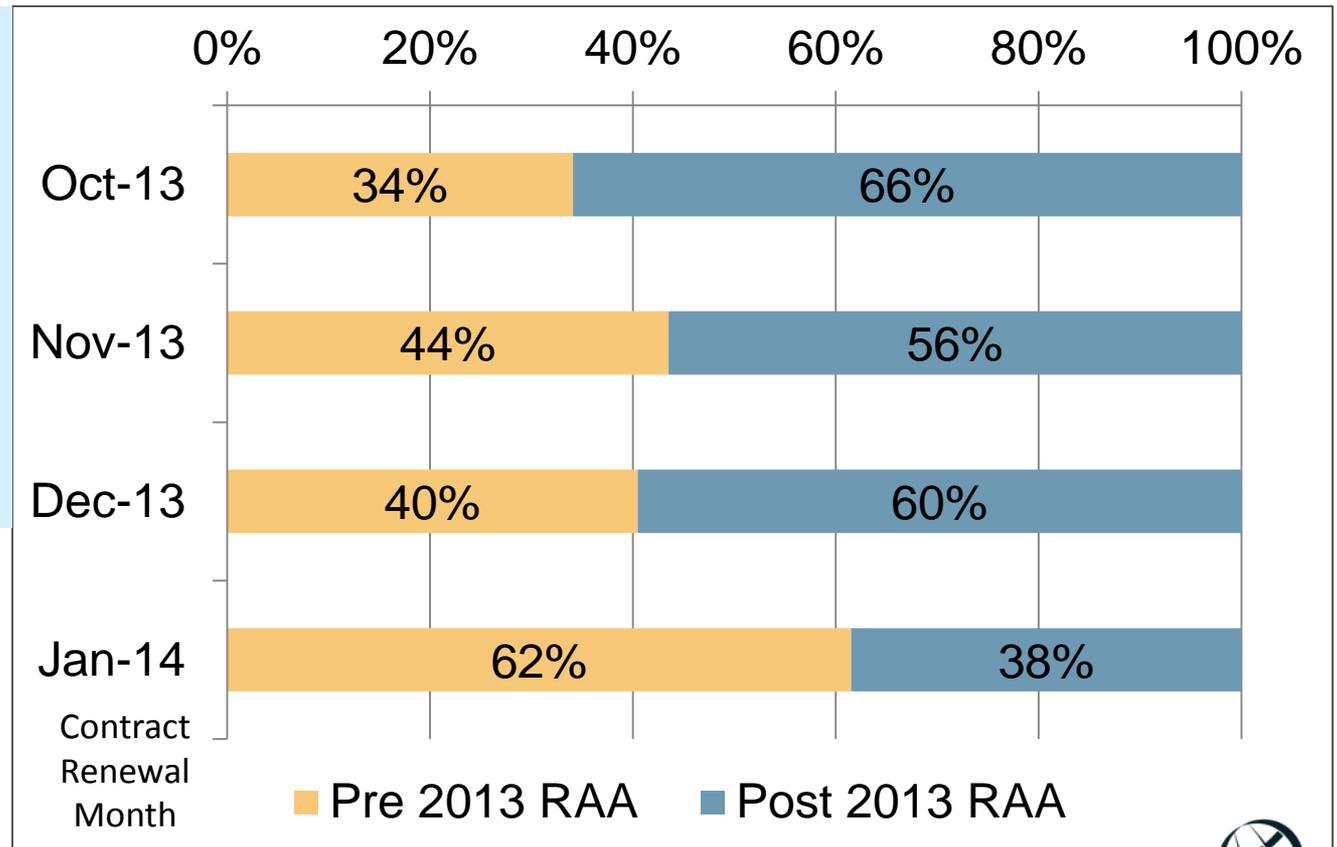
Closed Before 3rd Notice
10.5%

Closed Before 2nd Notice
48.0%
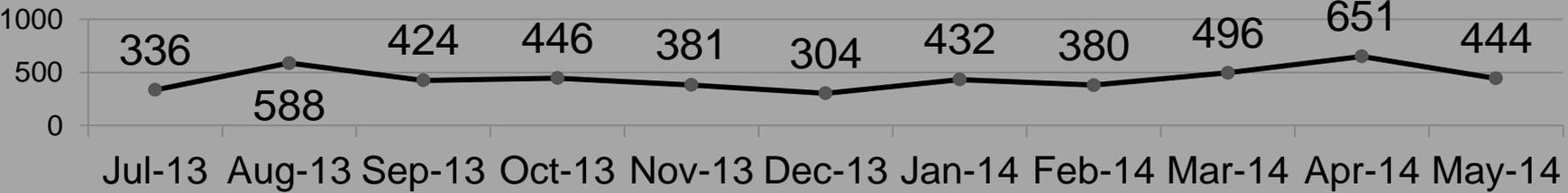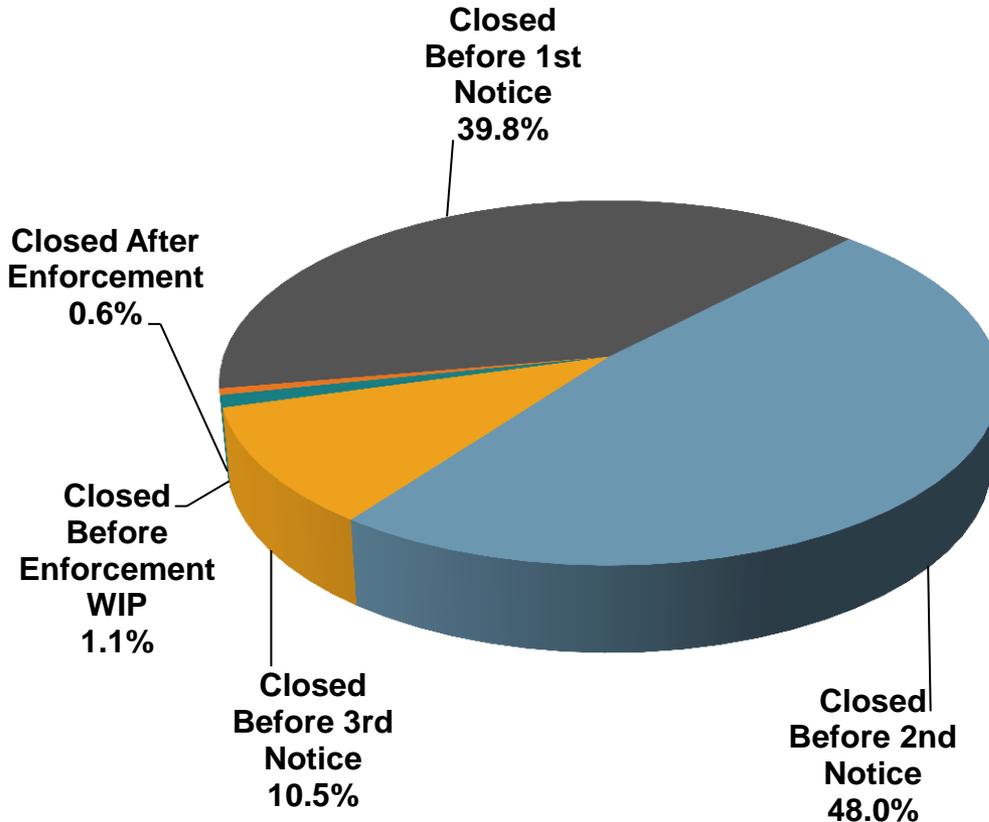
Closed Complaints

Type	Qty
Closed Before 1st Notice	4,577
Closed Before 2nd Notice	5,513
Closed Before 3rd Notice	1,209
Closed Before Enforcement	123
Closed After Enforcement	66
Total Closed	11,488

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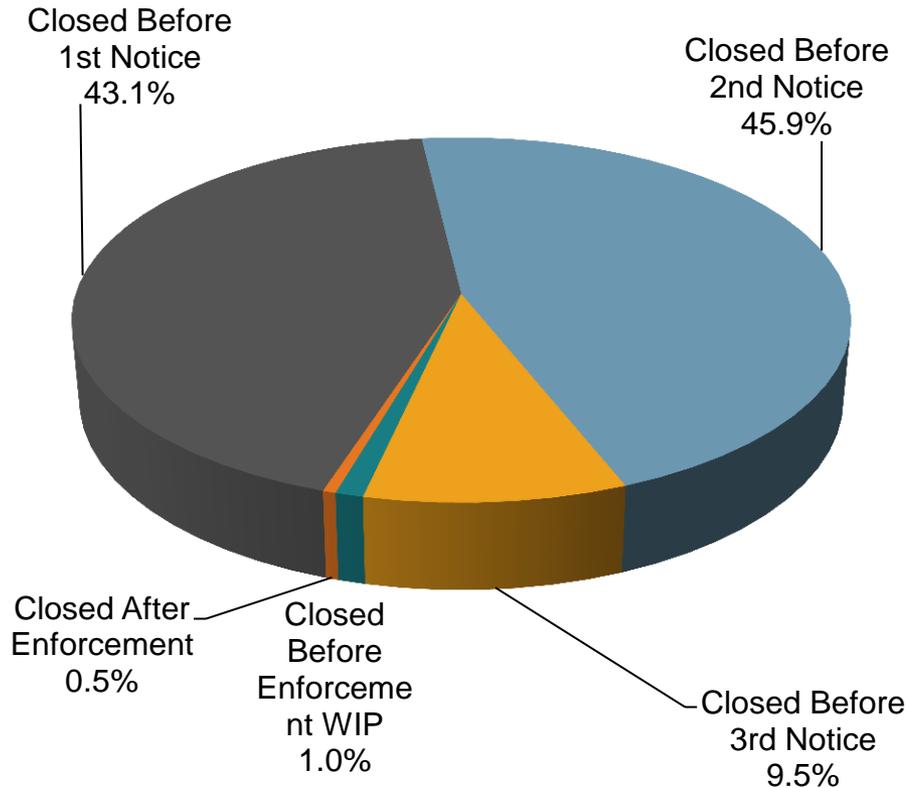
Closed Complaints

Type	Qty
Closed Before 1st Notice	11,459
Closed Before 2nd Notice	12,189
Closed Before 3rd Notice	2,529
Closed Before Enforcement	269
Closed After Enforcement	127
Total Closed	26,573

Closed Before 1st Notice 43.1%

Closed Before 2nd Notice 45.9%

Closed After Enforcement 0.5%

Closed Before Enforcement WIP 1.0%

Closed Before 3rd Notice 9.5%

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Uniformity of Reporting

- 6 October 2011 request for Compliance report

- 18 March 2012 response to GNSO

- 12 April 2012 presentation to GNSO

- 22 March 2013 report released for public comment (none received)

- 2 April 2013 final report submitted

- Resolved: Review at the completion of the three-year plan

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