Contractual Compliance

Program Update
12 March 2012

COSTA RICA

11-16 March 2012

Agenda

Program Update

- ❑ Contractual Relationship Overview
- ❑ Vision – Mission- Approach
- ❑ Organization
- ❑ Culture of Compliance
- ❑ Three year plan
- ❑ Compliance Data Update

ICANN Organization Structure
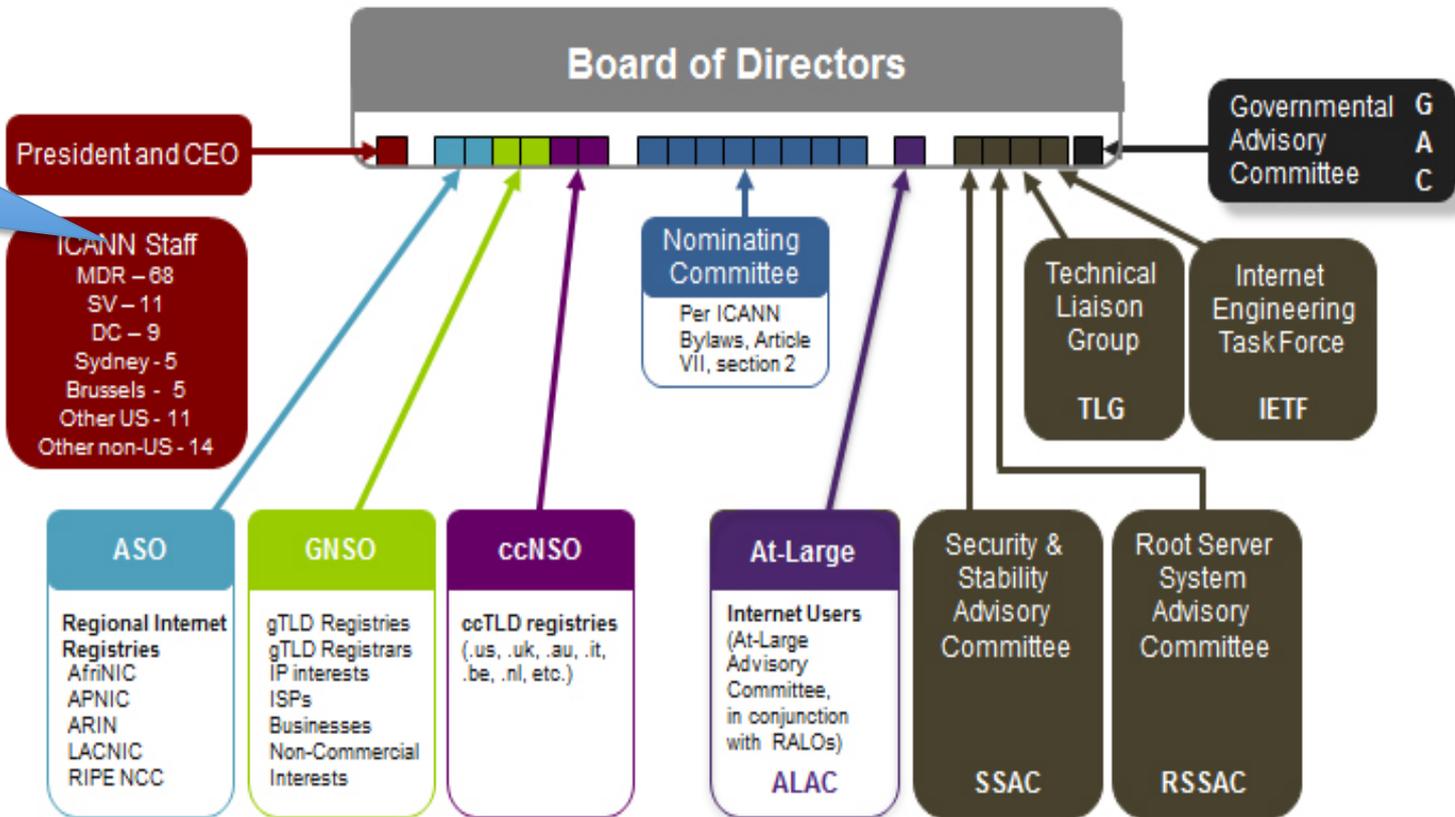
Contractual Relationship Overview

Registry Agreement

Registry

Registry-Registrar Agreement (RRA)

Reseller

Reseller Agreement
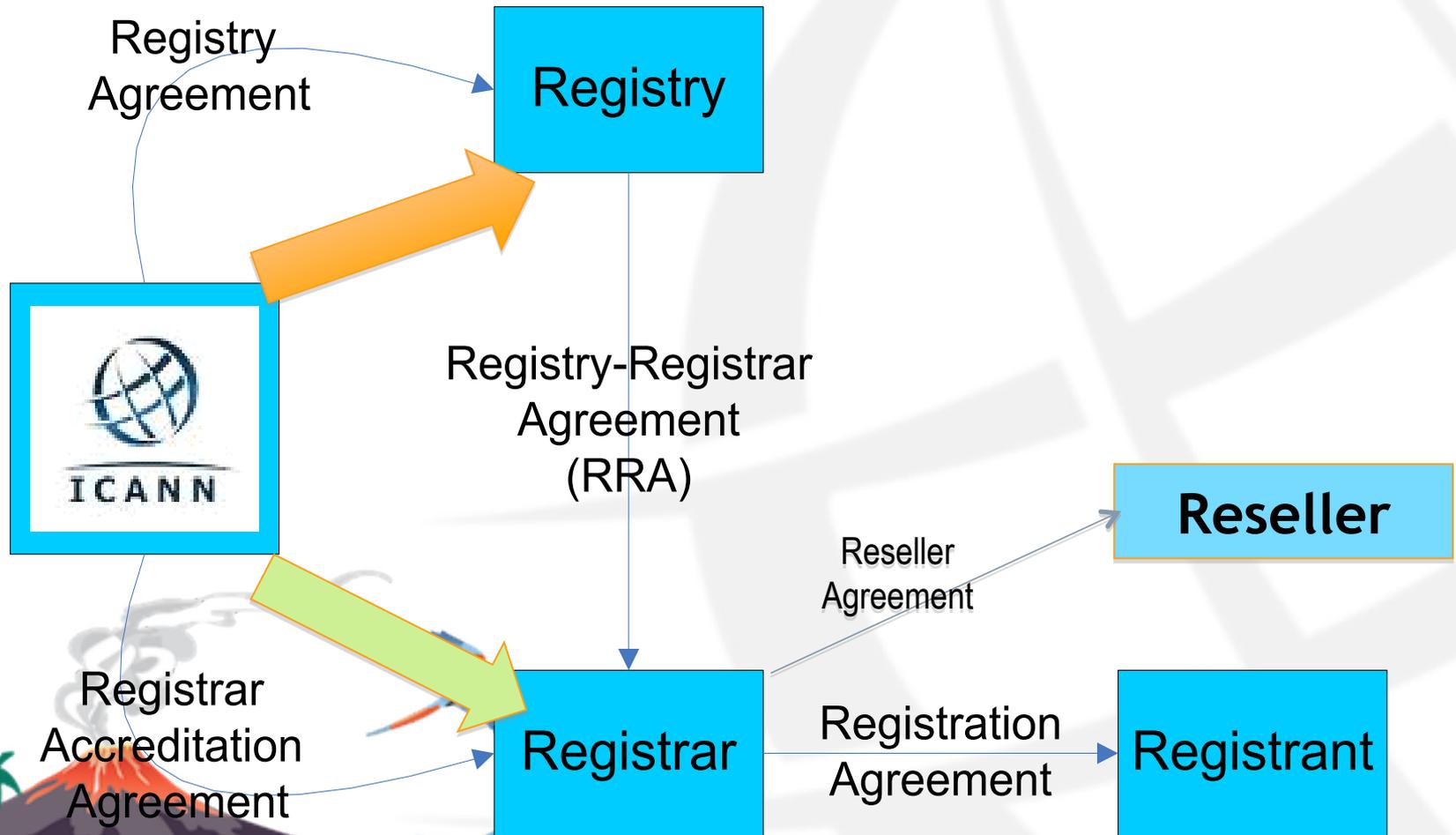
Registrar Accreditation Agreement (RAA)

Registrar

Registration Agreement

Registrant

Our 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.
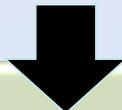
Contractual Compliance's Mission

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
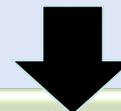
Contractual Compliance's Approach

Prevention through collaboration

Transparency through communication

Enforcement

Compliance Organization

- 12 members (**4 NEW** members since ICANN Meeting #42)
- English, French, Arabic, Mandarin, Spanish, Urdu and Hindi
- <u>Organization</u>
  - Head of Compliance (1)
  - Registrar and Registry Compliance (9)
  - Risk and Audit Management (1)
  - Performance Measurement and Reporting (1)

COSTA RICA

11-16 March 2012

Contractual Compliance Model and Process

Culture of Compliance

1. Bottom-up
2. multi-stakeholder

FORMAL RESOLUTION

INFORMAL RESOLUTION
Inquiries & Warnings

PREVENTATIVE ACTIVITES
Monitoring Audits
Education & Outreach

**SELF-Assessment (NEW)**
Industry Best Practice

Enforcement

Prevention

Non-Renewal, Suspension, Termination

Breach

Final Inquiry

2nd Inquiry

1st Inquiry

Process

Overall Compliance Process

C-ticket

W-ticket

UDRP

Email

Intake

PREVENTATIVE
Monitor, Audit, Educate & Outreach

ENFORCEMENT

← INFORMAL RESOLUTION →

← FORMAL RESOLUTION →

1

2

3

1st Inquiry or Notice
email

2nd Inquiry or Notice
Email
Phone call

Final Inquiry or Notice
Email
Phone call
Fax

Breach Notice

Suspension
Termination
Non-renewal

Publish on website

← Good Standing →

← NOT in Good Standing →
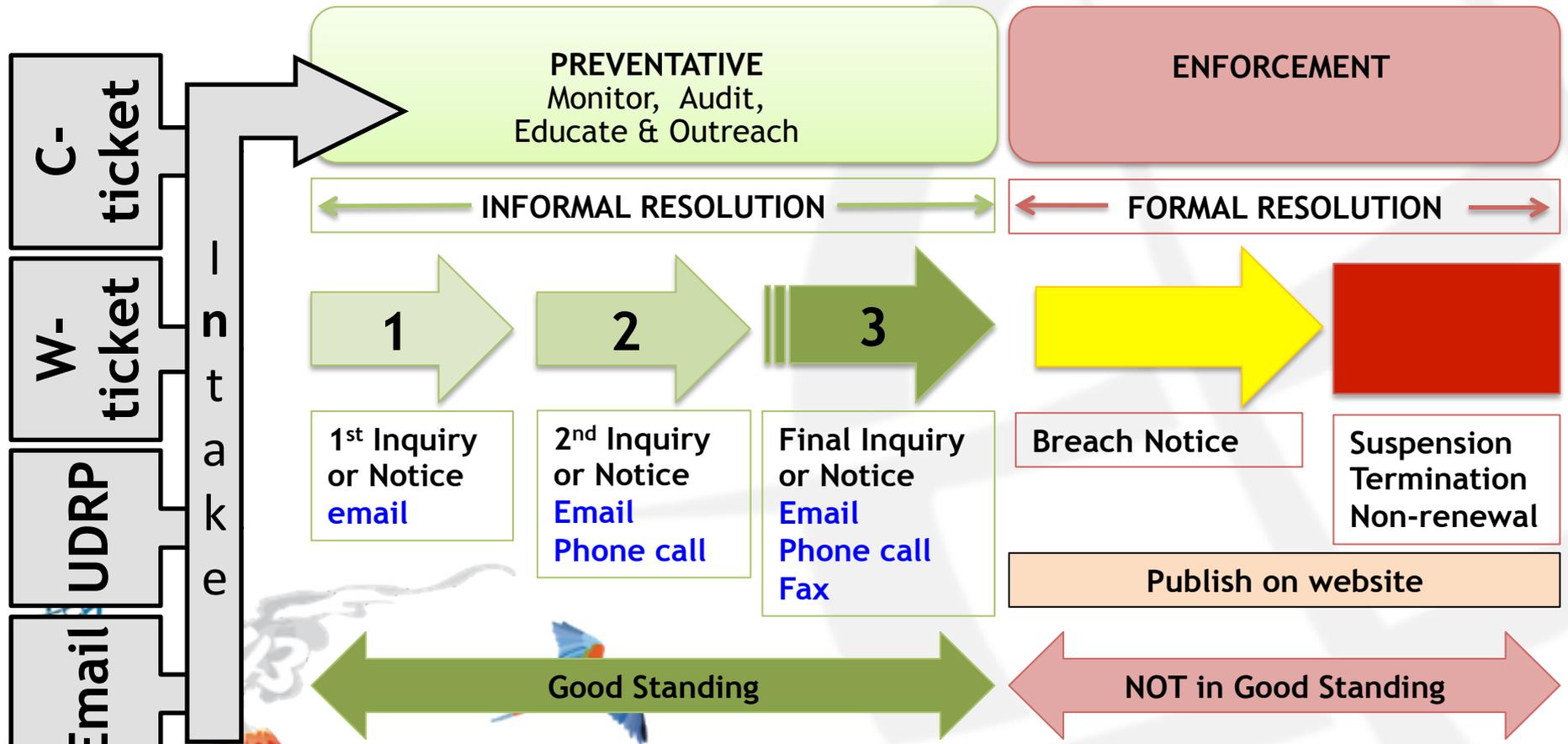
Operational Update

- 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)

2013

2012

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

Assessment Phase

Stabilize operations

Assess people, processes and tools

Develop improvement plan

Begin implementation of plan

ICANN 40
13-18 March
S Francisco

ICANN 41
19-24 June
Singapore

ICANN 42
23-28 October
Senegal

2011 - Assessment Phase

Accomplishments:

✓ **Hired for Performance Measurement and Reporting**

✓ Defined **roles and responsibilities**

✓ **Delivered ONE consistent process across all compliance areas**

✓ **Developed law enforcement referral process to ICANN**

✓ **Completed registrar suspension process**

✓ **Dedicated staff to oversee WHOIS related work**

✓ Resumed outreach activities with ICANN community

COSTA RICA
11-16 March 2012

ICANN 43
11-16 March
Costa Rica

ICANN 44
24-29 June
Czech
Republic

**ICANN 45**
14-19 October
Canada

2012 – Transformation Phase

- ❑ **Grow Staff and Mature the organization to the next level**

- ❑ Improve <u>**QUALITY**</u> **then speed** in complaints handling

- ❑ **Define and implement metrics based on available data**

- ❑ Plan for a consolidated Compliance system

- ❑ Assess **reporting** and implement improvements

- ❑ **Design and implement registry and registrar audits**

- ❑ Develop ICANN referral process to LEA

COSTA RICA

11-16 March 2012

Why it matters?

Imagine life without the Internet?

Root level domain

Top level domain

net   edu   org   gov   com

Second level domain

ntchosting

Subdomain of **ntchosting.com**

consulting

www   blog   forum

www   ftp
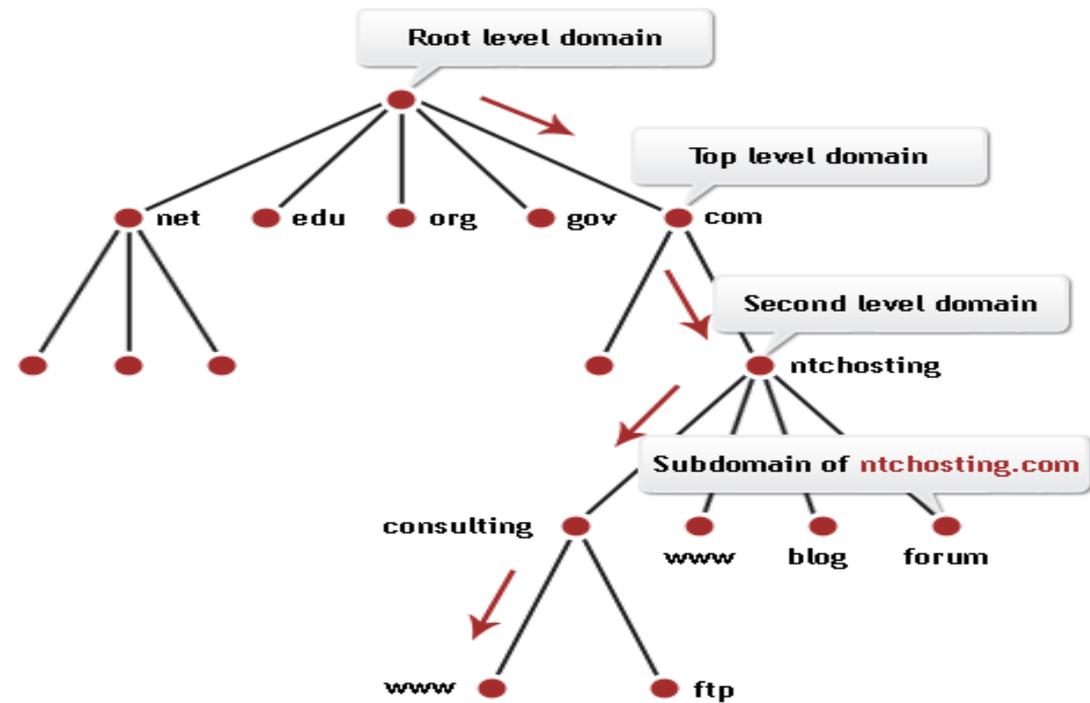
Everyone is affected

11-16 March 2012

Domain Registration Issues

- Trademark disputes

- WHOIS inaccuracies

- Transfer issues

- Reseller issues

- Registration restrictions

<u>Please note</u>: RAA does not address issues arising from domain aftermarket activities

Domain Use Issues

Generally are dealt with by law enforcement or consumer protection agencies

Examples:

- Website content
- Spam
- Phishing
- Malware
- Cybercrime

11-16 March 2012

COSTA RICA

Compliance Data
Oct 2011 – Feb 2012

Registry Compliance & Locations

Registry operators reported 100% compliance regarding:
- ✓ DNS 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

10

7

1

Sep – Nov 2011

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

North America

95.6M	3,939	.004%
683	117	17.1%

Europe

20.3M	2,689	.013%
131	62	47.3%

Asia

15M	2,411	.016%
164	62	37.8%

Africa

.1M	1	.001%
5	0	0%

South America

.4M	11	.003%
10	3	30%

Oceania

6.5M	176	.003%
17	12	70.6%
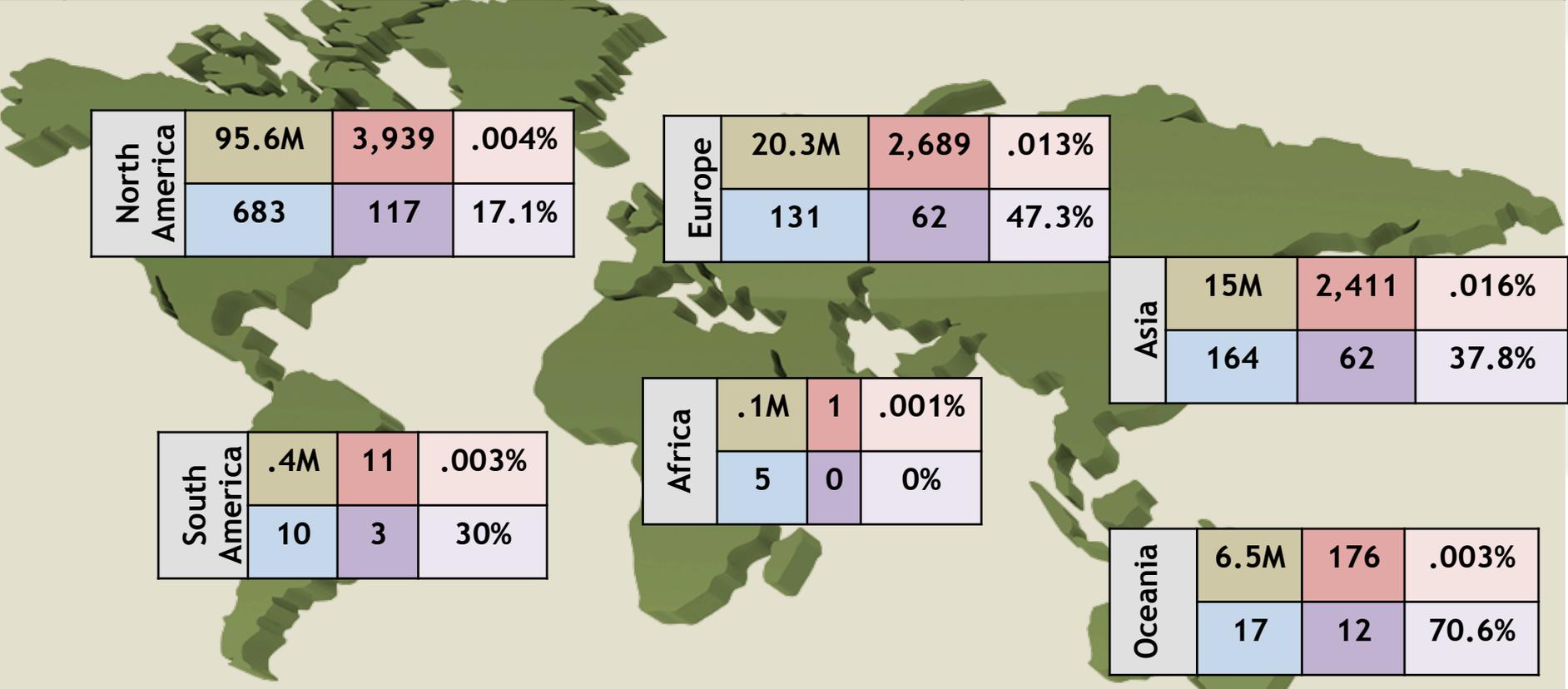
Please refer to slide #21 for explanation

Questions & Feedback

Please send your feedback to
Compliance@icann.org

Subject
[ICANN 43 Costa Rica Compliance Feedback]

Thank You

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 20.5 million domains sponsored by 166 registrars. There were .011% complaints for all Asia domains and 30.12% of 166 registrars has complaints filed against them.
- **Europe** had 20.3 million domains sponsored by 130 registrars. There were .012% complaints for all Europe domains and 30% of 130 registrars has complaints filed against them.
- **North America** had 96.5 million domains sponsored by 682 registrars. There were .006% complaints for all North America domains and 9.82% of 682 registrars has complaints filed against them.
- **Oceania** had .4 million domains sponsored by 17 registrars. There were .022% complaints for all Oceania domains and 52.94% of 17 registrars has complaints filed against them.
- **South America** had .3 million domains sponsored by 10 registrars. There were .004% complaints for all South America domains and 10% of 10 registrars has complaints filed against them.