

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

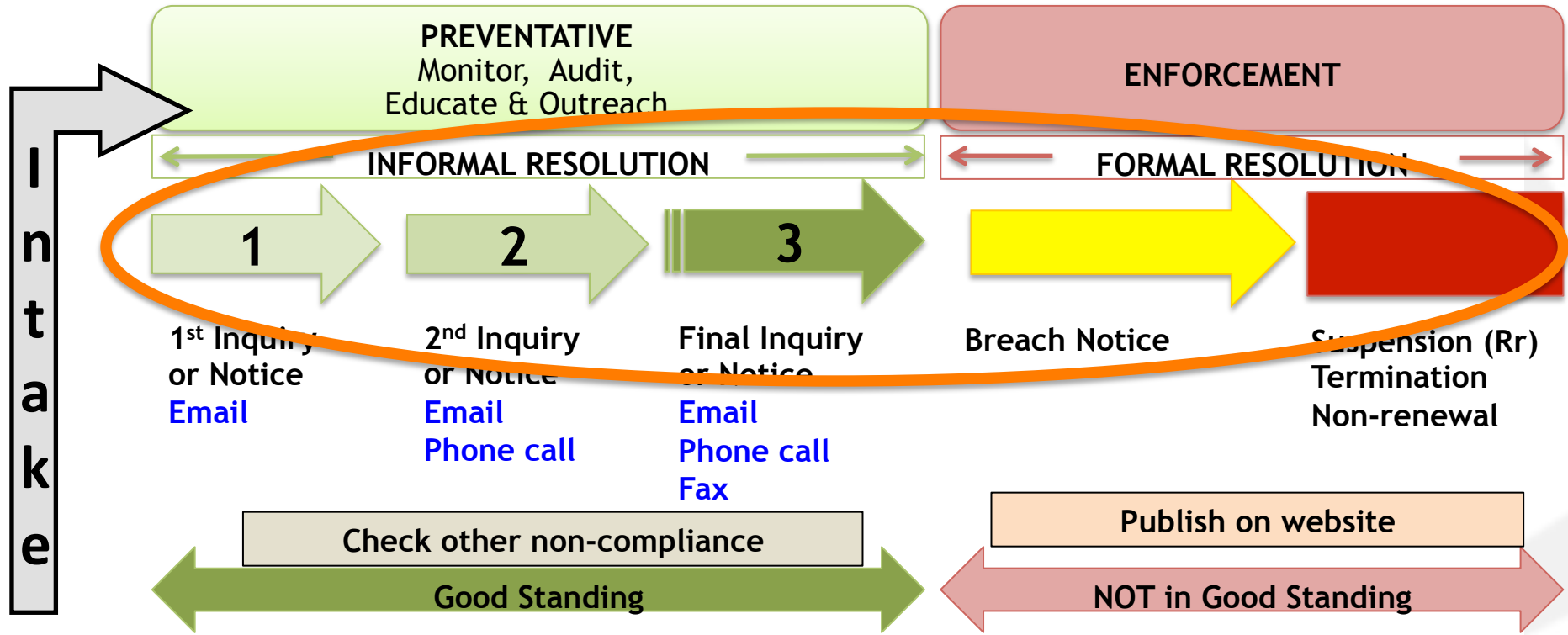
Grow staff in number and expertise
Standardize operations
Plan and develop
- Systems enhancements/process
- Global metrics
- Audit strategy
- Annual Compliance Report
New gTLD readiness

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



Turn Around Time in Business days



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



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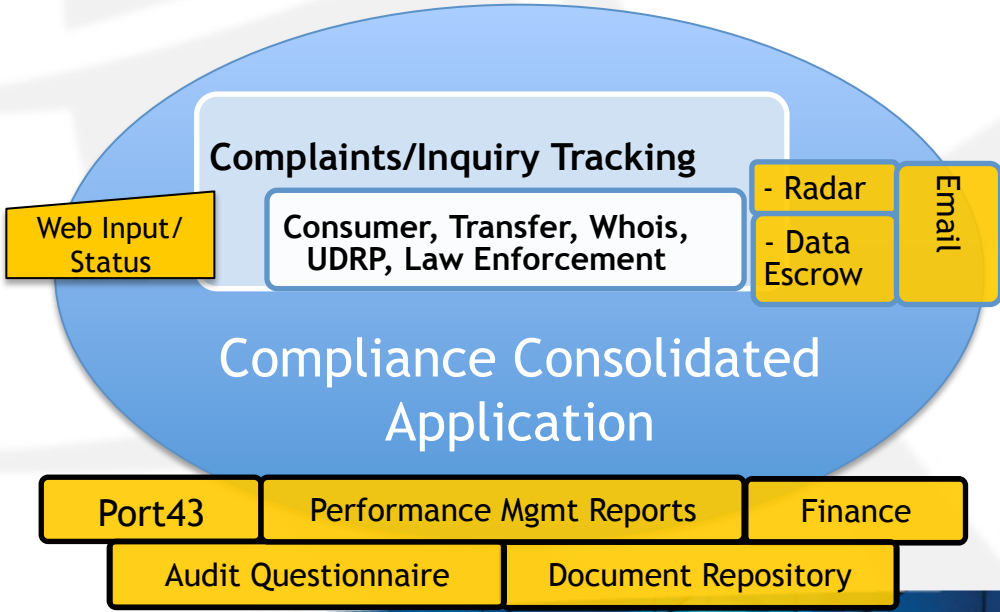
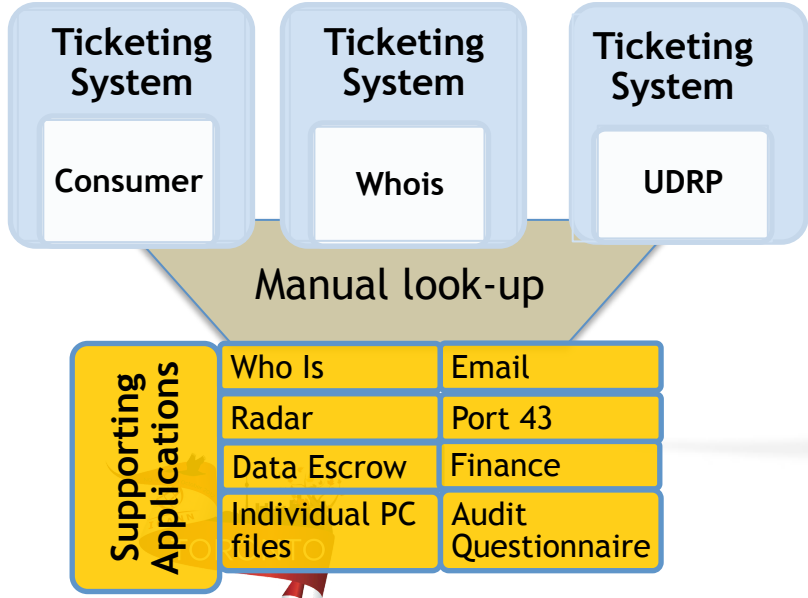
One Compliance Management Tool

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



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

[Home](#)

[Registrars](#)

[Whois](#)

[FAQ](#)

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](#)

[Inaccurate Whois Information](#)

[Spam or Viruses](#)

[IP Address Issues](#)

[Content on a Website](#)

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](#)

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Proposed Complaint Input Approach

To improve User Experience

Contractual Compliance

Organize
By topic,

Guidance
(FAQ)

Submit or
Look-up
complaint

| Help With? | Learn More | Take Action |
|--------------------------|------------|--------------------------|
| Domain Names | LEARN > | Domain Name > |
| Domain Transfer Problems | LEARN > | Transfer Complaint URL > |
| Registrars | LEARN > | Registrars > |
| Spam or Viruses | LEARN > | |
| WHOIS Service | LEARN > | Whois > |
| WHOIS Inaccuracy | LEARN > | Whois Complaint URL > |

Complaint Type

Link to FAQ or Explanation

Link to submit Complaint or Lookup



Standardize Operations

Internal Collaboration Tool



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Registrar/ Registry docs

Compliance templates, process, validation procedures, etc.

Systems - Process



Bridge Gap Solution

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Efficiency & Effectiveness

- Scalability
- Proactive complaint Management
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Metrics Data Analytics



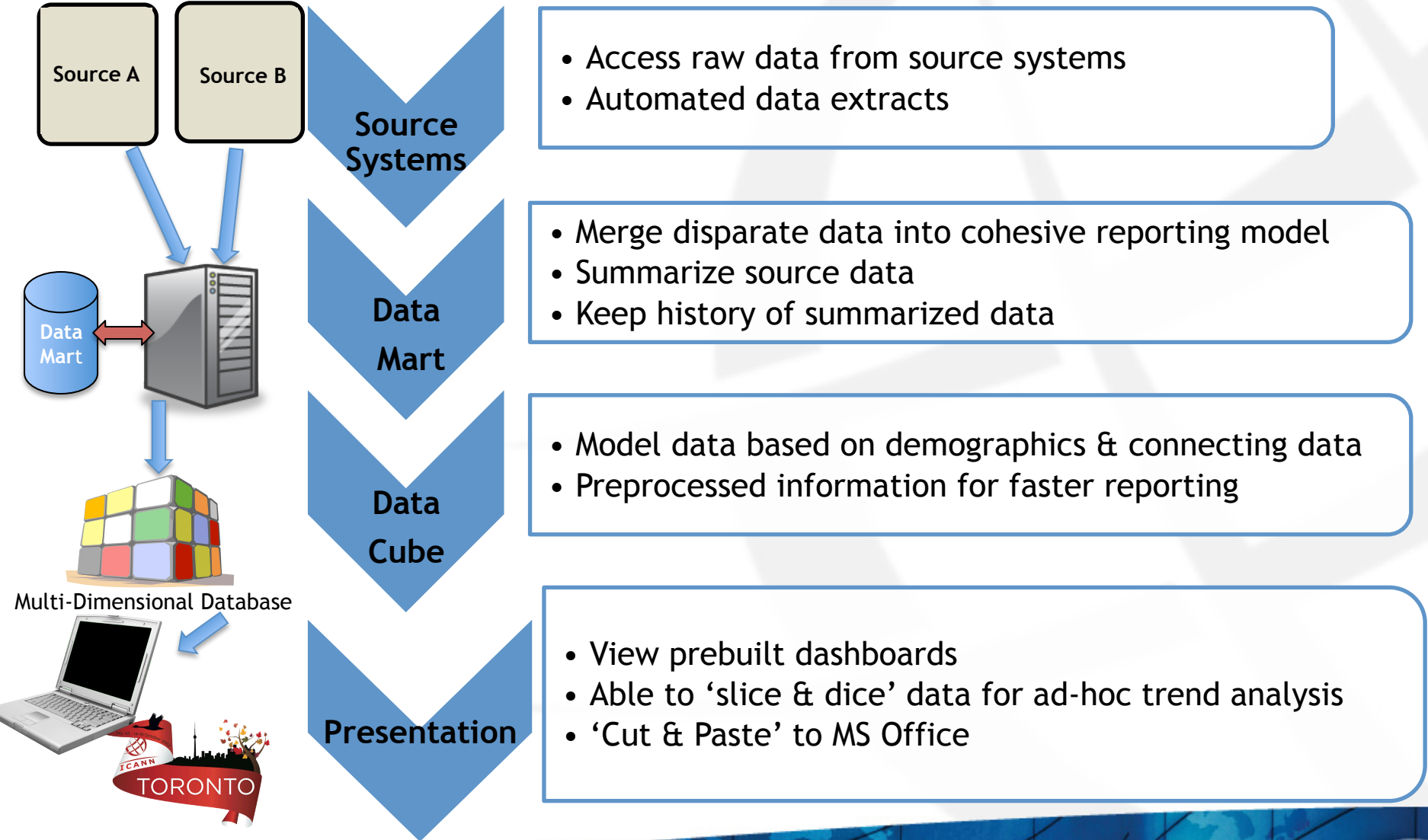
Data Mining Trending & Analytics

Complaint Management

Metrics, KPI and Dashboard

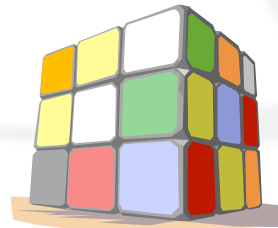


Metric Reporting Process (current)



47 Metrics - 14 Reporting Dimensions

| Metrics | | | Dimensions | |
|-----------------------------|-----------------------------|---------------------------------------|-------------------------|-------------------|
| Complaint Count | Complaints per domain | DNS Avail | Calendar Date | Complainant |
| DNS Name server Performance | DNS Performance | DNS Planned outage | Complaint TLD | Complaint Type |
| DNS Svc Up | Domain Count | Registrar Count | Data Source | Enforcement Cured |
| Registrars with complaints | Registry Count | Turn Around Time 1st, 2nd, 3rd Notice | Enforcement Notices | ICANN Region List |
| TLD Count | Volume 1st, 2nd, 3rd Notice | WHOIS Avail | Registrar Contract Year | Registrar List |
| WHOIS Performance | WHOIS Planned outage Notice | WHOIS Response Time | Registry List | Staff |
| WHOIS Svc Up | | | TLD | TLD Round |



Multi-Dimensional Database

Prototype Demo Overview

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

One World

One Internet



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

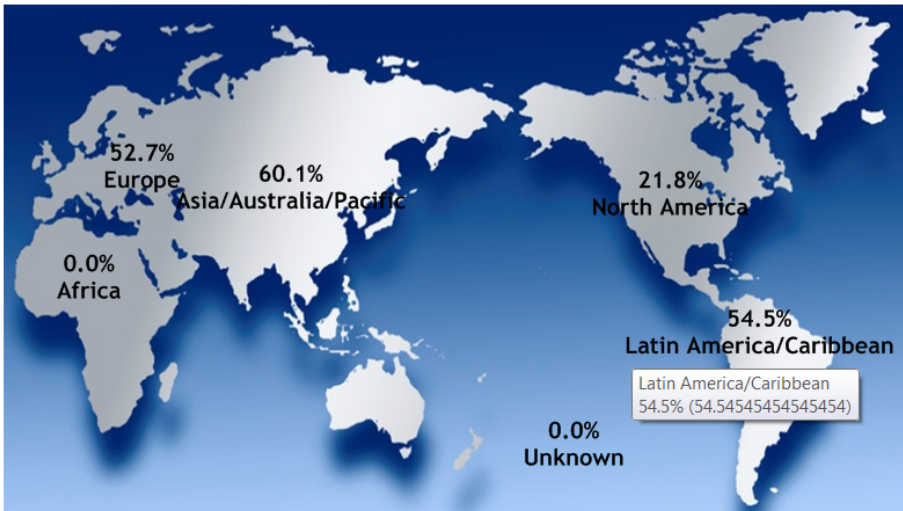


Compliance Metric Reporting Demo



ICANN Contractual Compliance Dashboard

Percent Registrars with Complaints for 2012 YTD



Registrar List

Registry List

Global Domain Count

Registrar

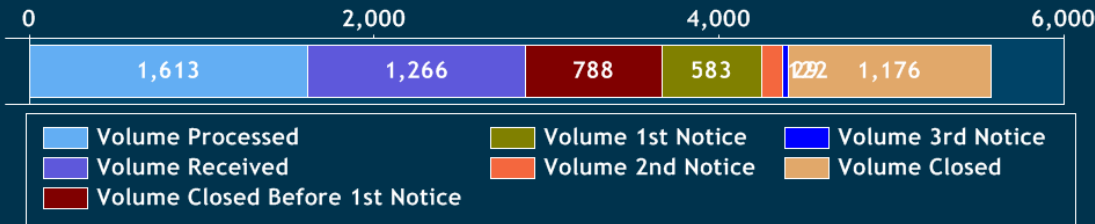
Global Complaint Counts by TLD

Registry

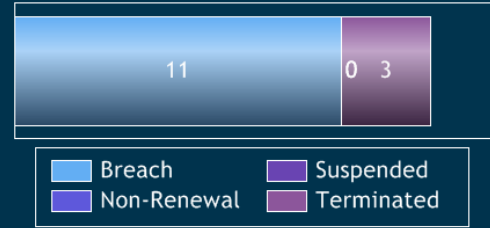
Complaint Count 2012 YTD

| |
|--------------------|
| Prevention: 19,171 |
| Enforcement: 14 |

Complaints per Notification Cycle - September 2012



Enforcement 2012 YTD

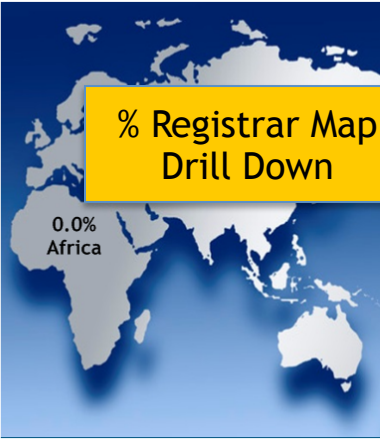


Compliance Metric Reporting Demo



ICANN Contractual Compliance Dashboard

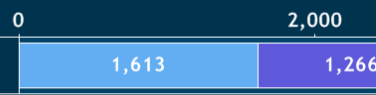
Percent Registrars with



% Registrar Map Drill Down

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

Complaints per No

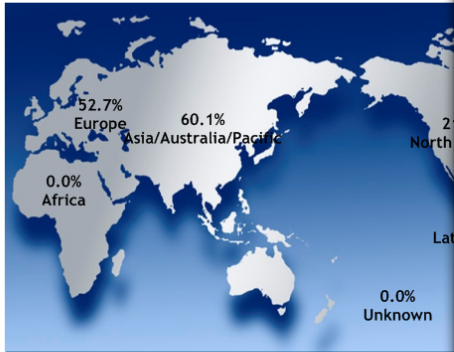


Compliance Metric Reporting Demo

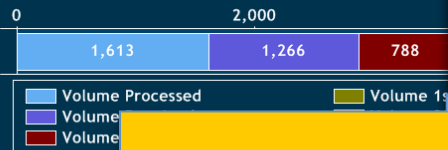


ICANN Contractual Compliance Dashboard

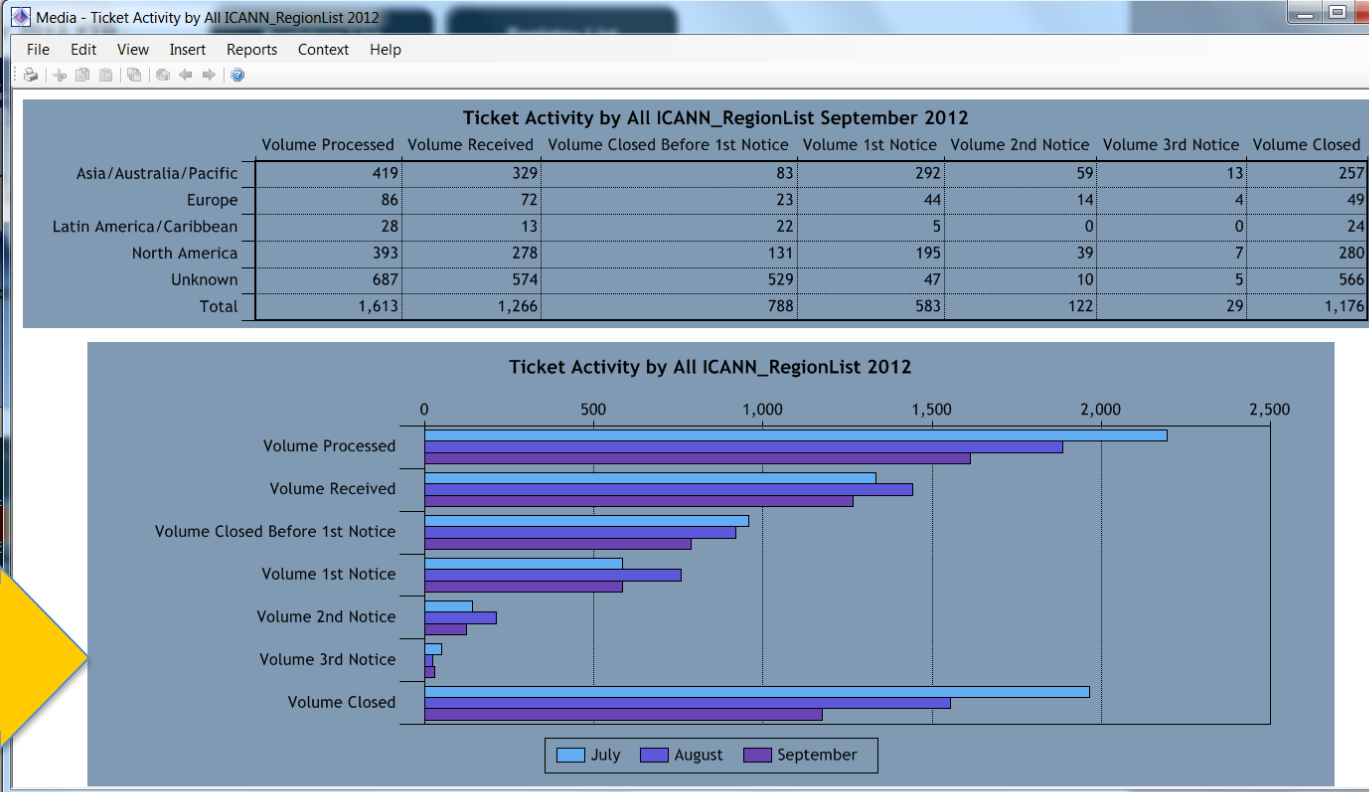
Percent Registrars with Complaints for



Complaints per Notification Cycle



Notification Cycle Drill Down



Compliance Metric Reporting Demo

Media - Compliance_Tickets_vAB-ICANN_Toronto_T1.dsh of June and July and August and September

File Edit View Insert Reports Rules Context Tools Help

ICANN Contractual Compliance Dashboard

Enforcement Count Trend 2012

| | June | July | August | September | Total |
|--------------|----------|----------|----------|-----------|-----------|
| Breach | 1 | 6 | 2 | 2 | 11 |
| Non-Renewal | N/A | N/A | N/A | N/A | 0 |
| Suspended | N/A | N/A | N/A | N/A | 0 |
| Terminated | 1 | N/A | 2 | N/A | 3 |
| Total | 2 | 6 | 4 | 2 | 14 |

Cured
Not cured
Terminated

Registry List

Registrar

Registry

Enforcement Notice Status by Registrar 2012 YTD

| | 0101 Internet, Inc 816. | Ynot Domains Corp. 924. | Xin Net Technology... | Vishesh Infotronics Ltd.... | Tucows.com Co. 69. | Server Plan Srl 1460. | Planet Online Corp. 815. | Pacnames Ltd. 103. | Net 4 India Limited 1007. | Name For Name, Inc. 1103. | InTrust Domains, Inc. 653. | Infocom Network Ltd. 1484. | eName Technology/... | DomainAllies.com, Inc. 709. | Asadal, Inc. 632. | Alice's Registry, Inc. 275. | Alatron Biltsim... | AB Connect SARL 1378. | |
|--|-------------------------|-------------------------|-----------------------|-----------------------------|--------------------|-----------------------|--------------------------|--------------------|---------------------------|---------------------------|----------------------------|----------------------------|----------------------|-----------------------------|-------------------|-----------------------------|--------------------|-----------------------|--|
| Communicate contact data changes (RAA 5.11) | | | | | | | | | | | | | | | | | | | |
| Escrow registration data (RAA 3.6) | | | | | | | | | | | | | | | | | | | |
| Link to ICANN's registrar rights & responsibilities website (RAA 3.15) | | | | | | | | | | | | | | | | | | | |
| Maintain registration data (RAA 3.4) | | | | | | | | | | | | | | | | | | | |
| Pay accreditation fees (RAA 3.9) | | | | | | | | | | | | | | | | | | | |
| Provide AuthInfo code (IRTP 5) | | | | | | | | | | | | | | | | | | | |
| Provide communication records (RAA 3.4.3) | | | | | | | | | | | | | | | | | | | |
| Provide evidence relied on for transfer (IRTP 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 3.7.5.5/6) | | | | | | | | | | | | | | | | | | | |
| Respond to audits (RAA 3.14) | | | | | | | | | | | | | | | | | | | |
| Additional concern-conduct re. UDRP and UDRP Rules | | | | | | | | | | | | | | | | | | | |
| Maintain and provide communication records (RAA 3.4.2/3) | | | | | | | | | | | | | | | | | | | |

2 YTD
19,171
Percent: 14

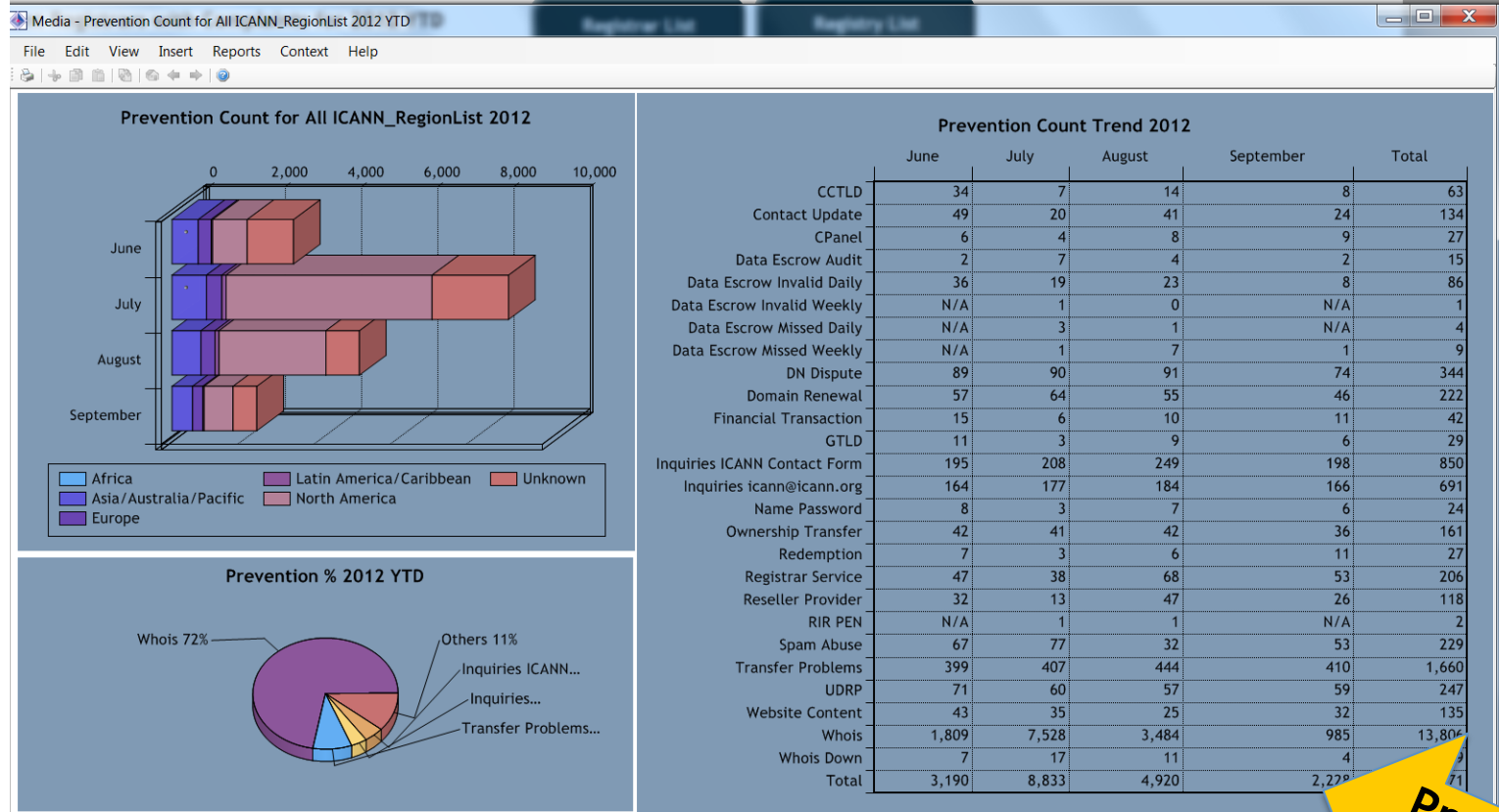
Enforcement Drill Down

Enforcement 2012 YTD

0 3

Breach
Non-Renewal
Suspended
Terminated

Compliance Metric Reporting Demo



Prevention Drill Down



Compliance Metric Reporting Demo



ICANN Contractual Compliance Dashboard

Percent Registrars with Complaints for 2012 YTD



Registrar List

Registry List

Global Domain Count

Registrar

Global Domain Drill Down

All ICANN_RegionList by TLD Domain (cc)

| | aero | biz | coop | info | museum | name | pro | asia | cat | post | tel | travel | xxx | com | org | net | Total | | |
|-------------------------|-------|-----------|--------|-----------|--------|---------|---------|---------|--------|---------|-----------|--------|---------|--------|------------|-------------|-----------|------------|-------------|
| North America | 2,612 | 1,441,053 | 426 | 5,922,768 | 0 | 110,062 | 96,503 | 71,510 | | 756,352 | 0 | 64,388 | 16,704 | 94,110 | 72,921,285 | 7,172,006 | 9,798,623 | 98,508,280 | |
| Europe | 5,134 | 523,737 | 14,126 | 1,363,204 | 439 | 72,069 | 59,666 | 63,240 | 53,425 | 1,838 | 137,252 | 0 | 123,308 | 4,756 | 25,914 | 15,159,703 | 1,761,926 | 2,713,998 | 22,083,735 |
| Asia/Australia/Pacific | 4 | 333,828 | 197 | 833,132 | 0 | 46,475 | 1,599 | 64,012 | 113 | 155 | 135,146 | 0 | 61,044 | 2,376 | 16,617 | 16,994,493 | 1,001,339 | 2,431,379 | 21,921,909 |
| Latin America/Caribbean | 0 | 7,988 | 0 | 13,235 | 0 | 1,390 | 0 | 505 | 0 | 0 | 1,549 | 0 | 1,432 | 0 | 1,636 | 926,683 | 52,254 | 172,512 | 1,179,184 |
| Africa | 0 | 23 | 0 | 26 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1,700 | 182 | 310 | 2,241 |
| Total | 7,750 | 2,306,629 | 14,749 | 8,132,365 | 439 | 229,996 | 157,768 | 199,267 | 53,647 | 41,762 | 1,030,299 | 0 | 250,172 | 23,836 | 138,277 | 106,003,864 | 9,987,707 | 15,116,822 | 143,695,349 |

Volume Closed Before 1st Notice Non-Renewal Terminated

Compliance Metric Reporting Demo

Media - REGISTRAR Dashboard

File Edit View Insert Reports Context Help



ICANN Contractual Compliance Registrar Dashboard

Complaints per Domain % 2012 YTD



| Region | Complaints per Domain % |
|-------------------------|-------------------------|
| Africa | 0.000% |
| Europe | 0.006% |
| Asia/Australia/Pacific | 0.013% |
| North America | 0.010% |
| Latin America/Caribbean | 0.025% |
| N/A Unknown | N/A |

Registrar Scorecard

Registrars by RAA Contract Year

Complaints by RAA Contract Year

Complaints by TLD

Complaint Count

| |
|--------------------|
| Prevention: 19,171 |
| Enforcement: 14 |

Complaint Trending

Registrar TAT & Volume

Registrar Complaint Count by TLD

Top 25 Lists

WHOIS Access (Port 43)



Compliance Metric Reporting Demo

Media - REGISTRAR Scorecard - 2012 YTD

File Edit View Insert Reports Context Help

Registrar Scorecard for Registrar Demo Name A

Business Day TAT for Registrar Demo Name A

| | July | August | September | Total |
|------------------------|-----------|-----------|-----------|-----------|
| TAT 1st Notice-2nd WIP | 33 | 6 | 0 | 39 |
| TAT 2nd Notice-3rd WIP | 5 | 5 | 0 | 10 |
| TAT Received-Open | 10 | 5 | 3 | 18 |
| Total | 48 | 16 | 3 | 67 |

Prevention All ICANN_RegionList 2012 YTD

| | biz | com | info | net | unknown | Total |
|---------------|-----|-----|------|-----|---------|-------|
| North America | 1 | 38 | 3 | 3 | 5 | 50 |

Complaint Count Trend 2012

| Month | Count |
|-----------|-------|
| June | 16 |
| July | 18 |
| August | 8 |
| September | 8 |

ALL Complaint Count 2012 YTD

| Category | Percentage |
|----------------------|------------|
| Whois | 68.0% |
| Website... | |
| UDRP | 6.0% |
| Transfer Problems... | |
| DN Dispute | 4.0% |
| Domain... | |
| Ownership... | |
| Spam Abuse | 2.0% |

Enforcement by TLD 2012 YTD

NO DATA

TLD Complaint Count and Domain Count (public)

| TLD | Complaint Count | Domain Count (public) |
|--------------|-----------------|-----------------------|
| aero | 0.000 | 0.000 |
| asia | 0.000 | 0.000 |
| biz | 1.000 | 30,042.000 |
| cat | 0.000 | 0.000 |
| com | 38.000 | 1,926,965.000 |
| coop | 0.000 | 0.000 |
| edu | 0.000 | 0.000 |
| gov | 0.000 | 0.000 |
| info | 3.000 | 30,458.000 |
| int | 0.000 | 0.000 |
| jobs | 0.000 | 0.000 |
| mil | 0.000 | 0.000 |
| mobi | 0.000 | 0.000 |
| museum | 0.000 | 0.000 |
| name | 0.000 | 0.000 |
| net | 3.000 | 213,794.000 |
| org | 0.000 | 194,922.000 |
| post | 0.000 | 0.000 |
| pro | 0.000 | 0.000 |
| tel | 0.000 | 0.000 |
| travel | 0.000 | 0.000 |
| xxx | 0.000 | 0.000 |
| Total | 45.000 | |

Enforcement by TLD 2012 YTD

NO DATA

Domain Count & Complaints Ratio

| Complaint Count | Domain Count (public) | Complaints per Domain |
|-----------------|-----------------------|-----------------------|
| 50.000 | 2,396,181.000 | 0.000 |

Registrar Scorecard Drill Down



Compliance Metric Reporting Demo

ICANN Contractual Compliance Registrar Dashboard

Complaints per Domain % 2012 YTD

| Region | Complaints per Domain % |
|-------------------------|-------------------------|
| Europe | 0.006% |
| Asia/Australia/Pacific | 0.013% |
| North America | 0.010% |
| Latin America/Caribbean | 0.025% |
| Africa | 0.000% |
| N/A Unknown | |

Registrar Scorecard

Registrars by RAA Contract Year

Complaints by RAA Contract Year

Staff TAT & Volume

Complaints by TLD

Complaint Count

| | |
|--------------|--------|
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Complaint Trending

Registrar TAT & Volume

Registrar Complaint Count by TLD

Top 25 Lists

WHOIS Access (Port 43)

Media - Registrar Top 25 Lists

Top 25 Complainants

Top 25 Registrars by TLD Count

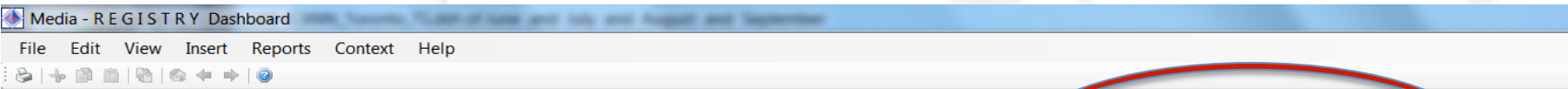
Top 25 Registrars UDRP Complaint Count

Top 25 Registrars Transfer Complaint Count

Top 25 Registrars WHOIS & Demographics



Compliance Metric Reporting Demo



ICANN Contractual Compliance Registry Dashboard



Registry SLA Compliance Scorecard

Overall SLA Compliance

WHOIS Availability - All Registries For June 2012

DNS Availability - All Registries For June 2012



Compliance Metric Reporting Demo

