

Amsterdam

Registry/Registrar Meeting



Contractual Compliance Update

2013 EU Regional Meeting

Thursday, 24 January 2013

Agenda

- **General Update**
- **Year 1 - Audit Update**



Standardize Operations - on plan

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

Complaint Application Update

Phased Approach to rollout & migration:

- Whois Inaccuracy (target of 31 Jan 2013)
- Enforcement processing
- Transfer
- Missed Escrow Deposits
- UDRP
- Etc.

Changes for Registrars

- Single 'From' email address for complaints
 - Email to Registrar stating complaint closed
 - Pulse survey on 10% of closed complaints
- ☐ Request five Registrars to test new complaint processing solution

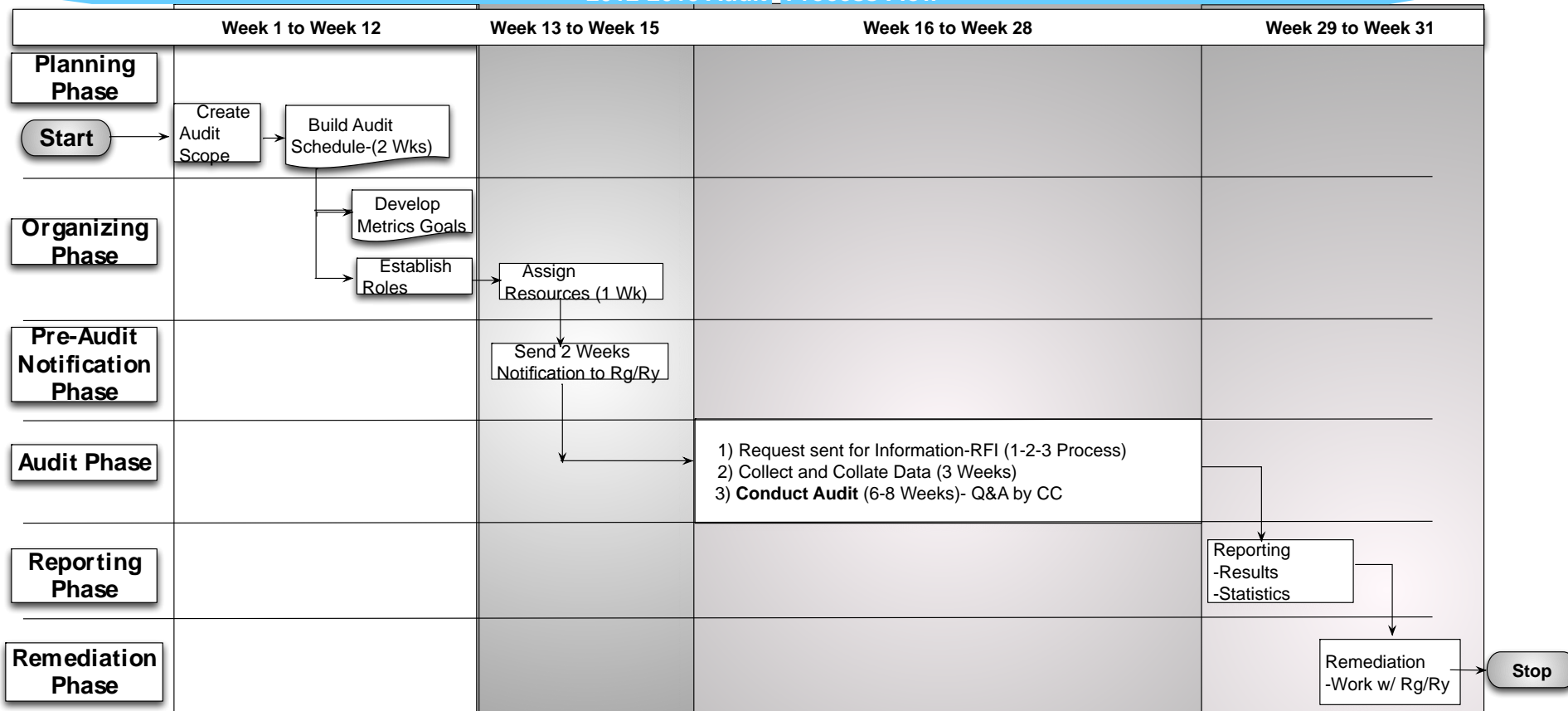
Agenda

- General Update
- Year 1 - Audit Update



Overall Audit Timeline

2012-2015 Audit | Process Flow



***Planning:** 13 Aug. 2012 to 30 Aug. 2012

***Organizing:** 30 Aug. 2012 to 30 Oct. 2012

***Organizing (resources):** 5 Nov. 2012 to 9 Nov. 2012

***Pre-Audit Notice:** 12 Nov. 2012 to 23 Nov. 2012

***RFI:** 26 Nov. 2012 to 7 Jan. 2013

***Audit (includes collection):** 7 Jan. 2013 to 29 Mar. 2013

***Questions/Answers:** 1 April 2013 to 12 April 2013

***Report Results:**

Approximately 15 April 2013 to 19 April 2013

***Remediation Efforts:** 22 April 2013 to TBD

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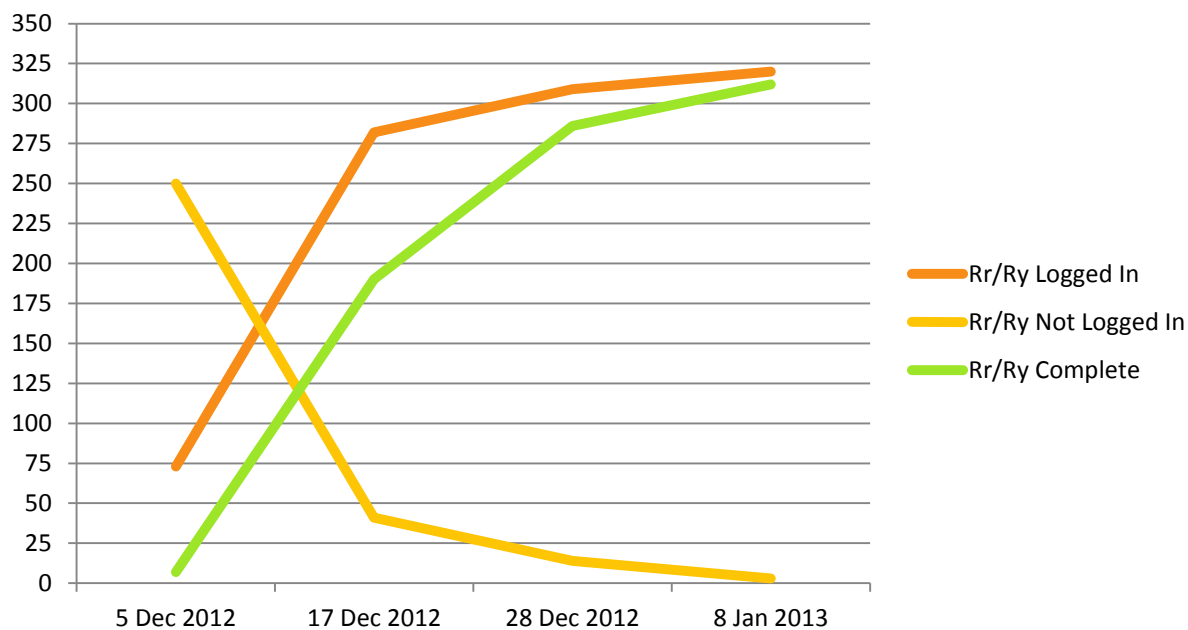


Audit Communications to Date

- Pre-Audit Notice emailed on 13 November 2012
- 1st (Nov. 26), 2nd (Dec. 17) and 3rd (Dec. 28) notices both emailed and faxed to 317 Registrars, 6 Registries
- Reminder sent to 317 Registrars and 6 Registries on 4 December, 2012
- Frequently Asked Questions (FAQ) sent to all Registrars on 10 December 2012
- Newsletter Update

RFI Statistics (Year 1)

	5 Dec 2012		17 Dec 2012		28 Dec 2012		8 Jan 2013	
Rr/Ry Logged In	73	23%	282	87%	309	96%	320	99%
Rr/Ry Not Logged In	250	77%	41	13%	14	4%	3	1%
Rr/Ry Complete	7	2%	190	59%	286	89%	312	97%
Rr/Ry Documents Uploaded	592		11,776		17,840		20,423	

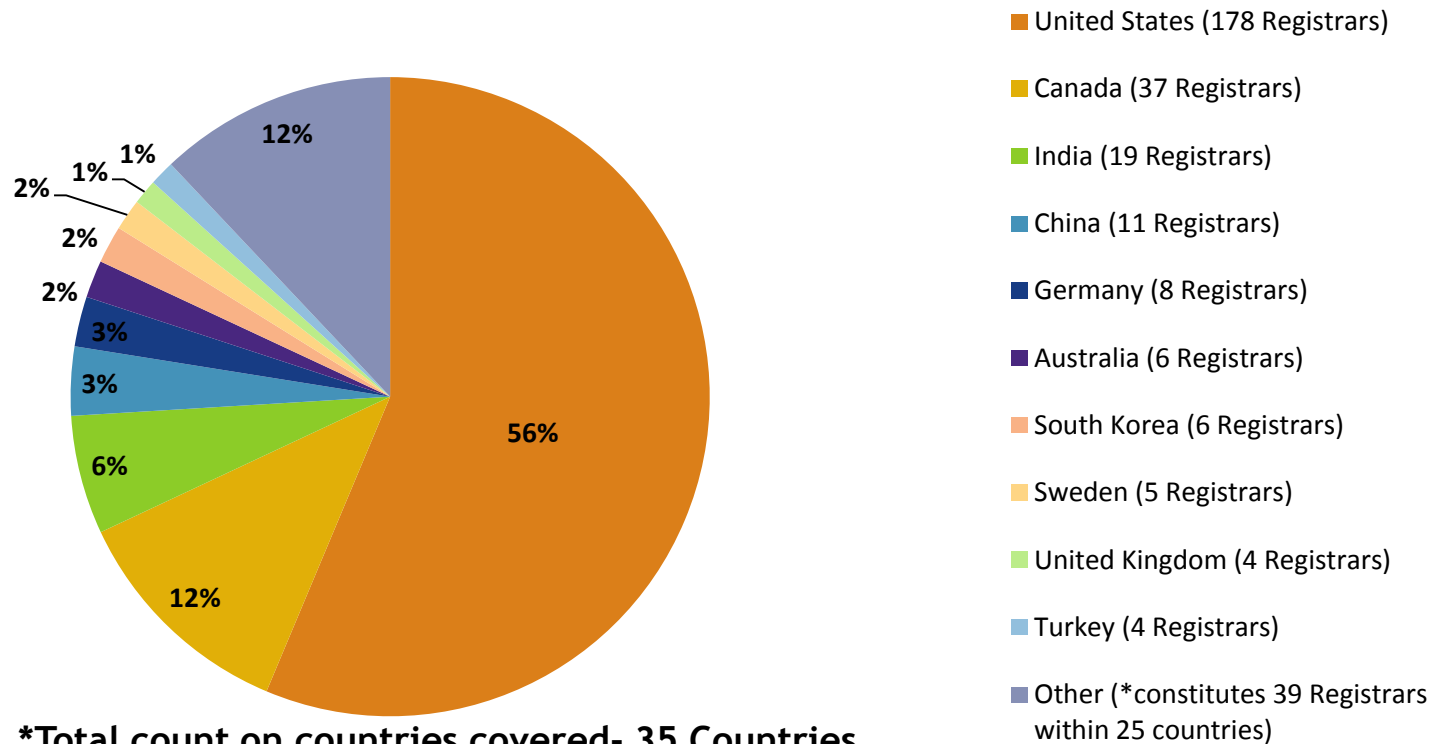


Countries represented (Year 1)

Registries: 4 US TLDs, 1 Asia, 1 UK

Registrars:

Audit Year 1 – Top 10 Selected Registrar Countries



Breach Letters (Year 1)

11 Jan 2013 - 1 Feb 2013

As of 18 January 2013

IANA	Registrar	Cure Date
282	Central Registrar, Inc. DBA Domainmonger.com	N/A
439	USA Webhost, Inc.	15 January 2013
475	R. Lee Chambers Company LLC d/b/a DomainsToBeSeen.com	N/A
1039	Cheapies.com Inc.	N/A
1155	Power Brand Center Corp.	N/A
1405	Internet NAYANA Inc.	17 January 2013
1421	Lime Labs LLC	N/A
1428	Homestead Limited dba Namevault.com	N/A
1509	Korea Electronic Certification Authority, Inc. (Crosscert, Inc.)	17 January 2013
1586	Mat Bao Trading & Service Company Limited d/b/a Mat Bao	15 January 2013

Request for Information Phase Overall Survey Results

Communications

- 56% were informed via Pre-Audit Notification prior to Notice 1
- 50.8% stated that the RFI Instructions were Moderately to Extremely Clear and Easy to understand
- 74.6% stated that the amount of communications during the RFI process were Moderately to Extremely Appropriate

Request for Information Phase-Overall Survey Results

Process

- 88.9% stated that it takes quite a bit of effort to a tremendous amount of effort to gather the data
- 92.6% stated that staff were moderately to extremely responsive to your questions
- 90.8% stated that ICANN was moderately to extremely adherent to following the process

Request for Information Phase-Overall Survey Results

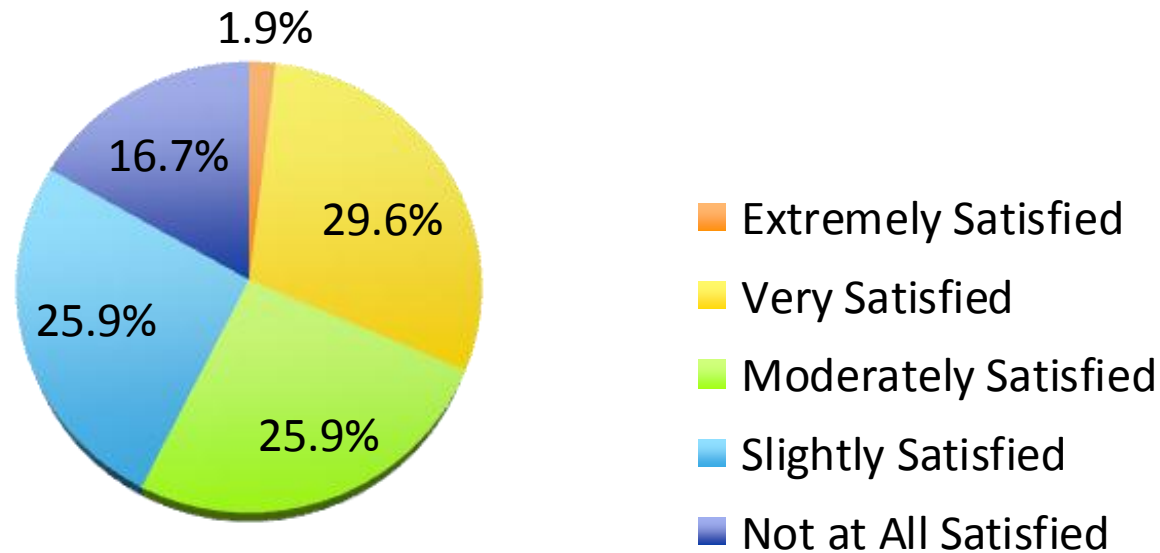
Tool

- 68.5% stated that the tool is moderately simple to not simple at all.
- 77.8% desire the ability to upload a zip file for the data transfer process

Request for Information Phase- Overall Survey Conclusion

Overall Audit Satisfaction

Tool, Communication, Process



RFI Survey Response Rate: 33.3%

Comments from RFI Survey (Year 1)

Satisfactory Comments

- *“Overall, we found it to be (so far) a relatively good experience”*
- *“Drag and Drop or Zip File: Both of these options would be GREAT!”*
- *“Response time was great. Our rep was very responsive”*
- *“Although we had a lot of questions, compliance staff was extremely responsive and helpful.”*

Unsatisfactory Comments

- *“Moderate” largely due to the online tool, and requiring a fair bit of clarification around what ICANN required/didn't require as part of the audit.*
- *“Takes too much time and resources to perform.”*
- *“The file upload tool interface was confusing and not user friendly.”*

Note: A RFI Survey Outreach Session will be scheduled in early February. Outreach invite will be sent to all participants in Year 1.

RFI Phase - Lessons Learned (Year 1)

What Worked:

- ✓ Pre-Audit Notification outlining the process
- ✓ Release of Audit Notices on time and on schedule
- ✓ The secure upload environment
- ✓ Unique assignment of user credentials
- ✓ Additional communication methods (i.e. email and fax for all 3 notices)
- ✓ Frequently Asked Questions
- ✓ Reminder Notices throughout the process
- ✓ Response time and engagement with contracted parties
- ✓ Ability to be address Registrar Families Model

RFI Phase - Lessons Learned (Year 1)

What can be improved:

- Provide document examples or samples on RFI
- Explore non-Excel options for RFI format
- Explore options for data upload capabilities (for example: drag & drop files, multi-file upload, zip file w/ folder structure)
- Include dates in the notifications, rather than a reference to Pre-Audit Notification
- Combine user credentials for Registrar families (grouping)

Report Types

“Public” Reports

➤ List of Registrars/Registries

➤ Statistics Reports:

- RFI Phase Completion %, Audit Phase Completion %
- Pass vs. Non-Pass Percentage per Provision
- Breach Notices

“Non-Public” Reports

➤ Audit Report results to every registrar and registry at Audit Phase completion

Audit Phase - 8 January to 12 April

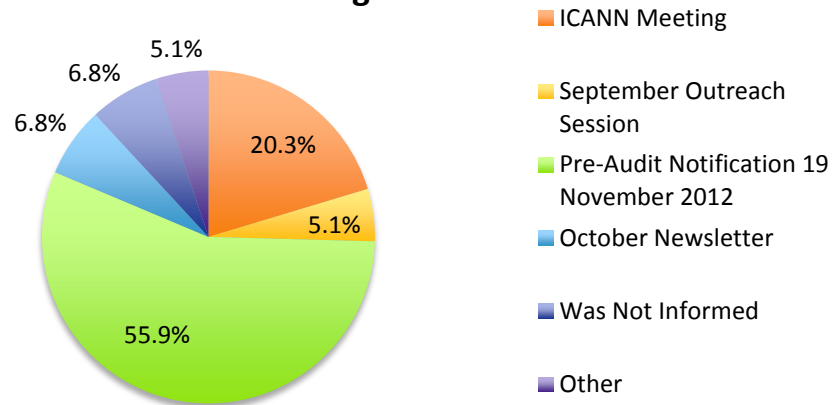
- Review all uploaded documents (about 20,000) collected from 317 Registrars, as well as data files from the Registries
- Issue an Audit Report directly to each contracted party
 - No Deficiencies, No Further Action Required
 - With Deficiencies, Will require Remediation Plan (will follow 1-2-3 Notice Process)
- Audit Phase Survey



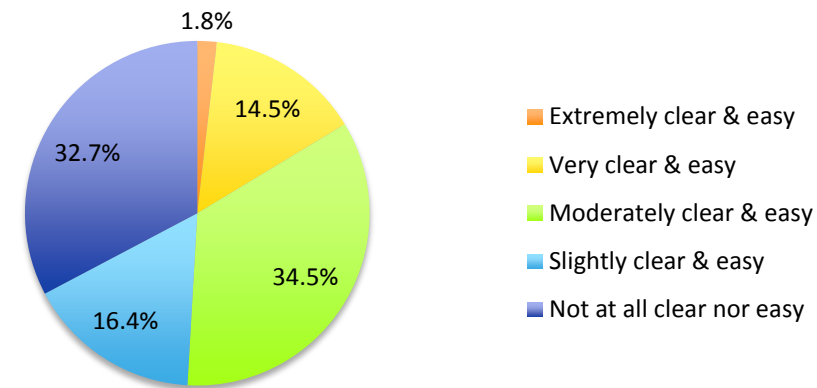
Thank You

Appendix - RFI Survey Results

How did you first hear about the ICANN Audit Program?

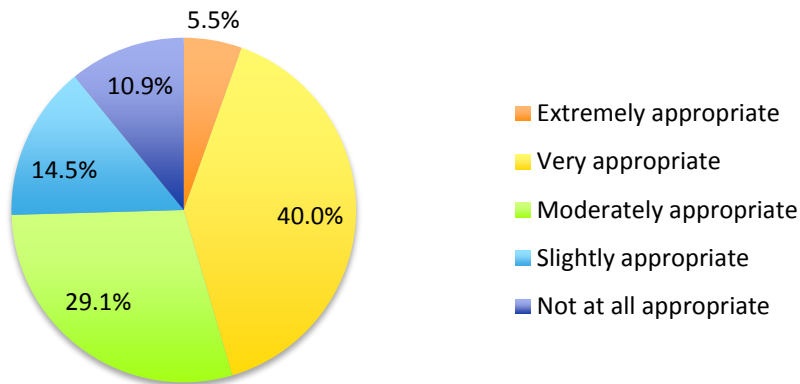


Were the Request for Information instructions provided clear and easy to understand?

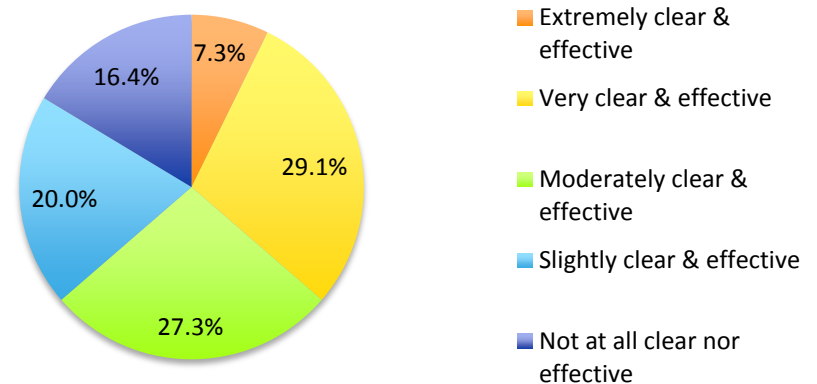


Appendix - RFI Survey Results

Was the amount of communications received during the RFI process appropriate?

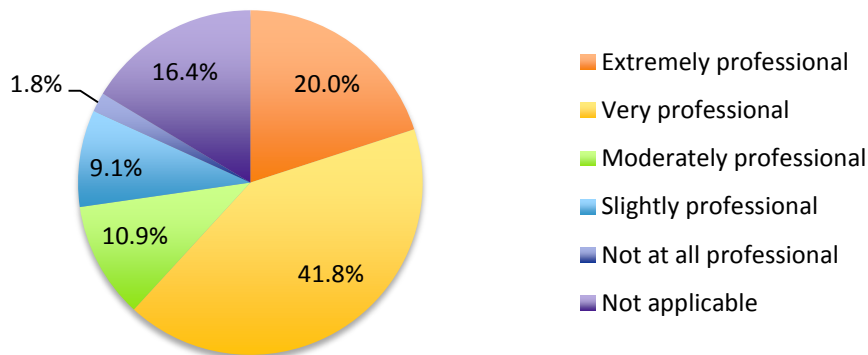


How clear and effective were communications about expectations and deadlines?

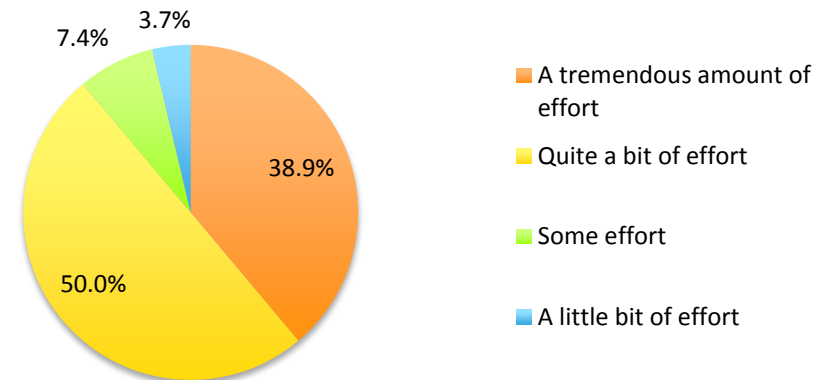


Appendix - RFI Survey Results

Please rate the professionalism of ICANN staff in answering your inquiries.

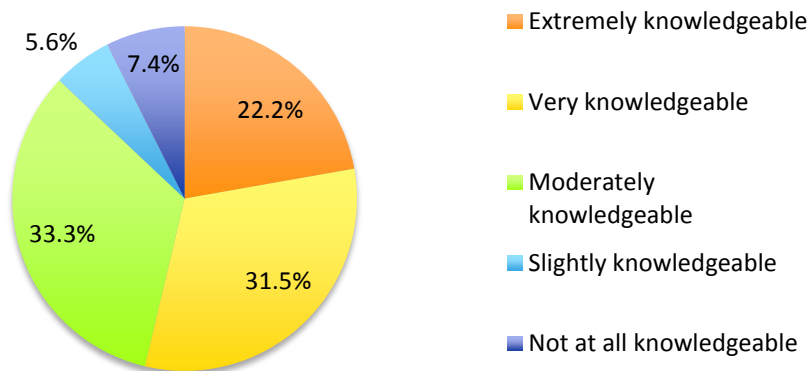


Please indicate the level of effort your organization expended in gathering and providing RFI data to ICANN.

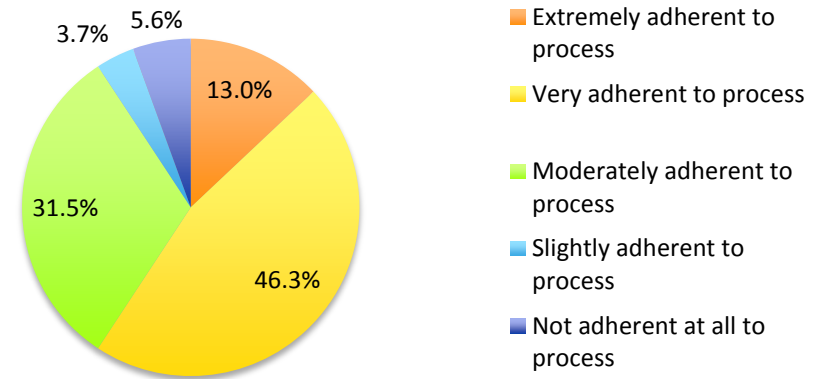


Appendix - RFI Survey Results

Were ICANN staff knowledgeable when answering your inquiries?

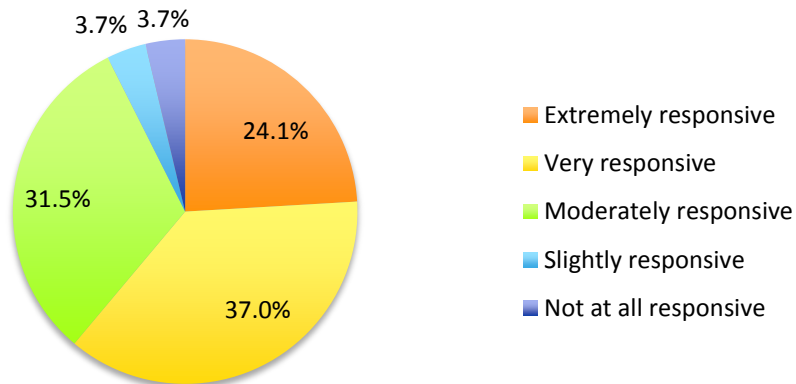


Did ICANN adhere to the process per communications from ICANN for the RFI phase of the audit program?



Appendix - RFI Survey Results

How responsive was ICANN staff to your questions?



Was the audit tool used to submit documents simple to use?

