Objective: To provide the GNSO Council an overview of the report submitted on 16 March 2012

ICANN Contractual Compliance’s Report on Meta Issue:

Uniformity of Reporting

12 April 2012
Agenda

- Report Request Background
- Report Content
  - Report Structure
  - Overview of Tools
  - Overview of Process
  - Application Improvement Plan
- Compliance data and policy development
Report Request Background

The report was requested by the GNSO Council pursuant to Resolution 20111006-2 (http://gnso.icann.org/resolutions/#20111006-2) regarding the recommendation by the Registration Abuse Policies Working Group concerning the Meta Issue: Uniformity of Reporting
Report Structure

• Existing systems to report and track violations and/or complaints
• Improvements / changes made since the RAPWG Report
• Improvements / changes foreseen in the near future
• Gaps and any improvements that might be desirable but not foreseen at this stage
Overview of Tools

Current

- Separate ticketing systems
- Limited workflow
- 9% automated
- Manual ticket administration, tracking, email counting, etc
- Manual data collection for reporting
- Manual reference validation

Future

- ONE Registrar/Registry complaint System
- Common process & automated workflow
- Exception based complaint administration
- Incorporate w/ CRM solution
- Interface with supporting applications
- Automated pull and look-up validation
- ONE consistent data source for managing and reporting
Overview of process approach

**INFORMAL RESOLUTION**

1. 1st Inquiry or Notice email
   - Check other Non-Compliance

2. 2nd Inquiry or Notice email
   - Phone call

3. 3rd Inquiry or Notice email
   - Phone call
   - Fax

**PREVENTATIVE**
- Monitor
- Audit
- Educate & Outreach

**ENFORCEMENT**

- Breach Notice
- Suspension (Rr) Termination
  - Non-renewal

**FORMAL RESOLUTION**

- Publish & Update website

**Good Standing**

**NOT in Good Standing**
Compliance Application Improvement Plan

**Short Term** (Now to August 2012)
- Enhance current ticketing applications
- Improve document management
- System integration of standardized business process
- Investigate and provide a reporting tool for metric data analytics

**Mid-Term** (2012-2013)
- Define & implement a consolidated Compliance system
- Develop and gradually rollout a Compliance dashboard
- Define and deliver Compliance risk and audit strategy

**Long Term** (2013 and beyond)
- Expand the new consolidated system to provide additional functionality
Compliance data and policy development

In summary:
• Not all complaints are valid
• Not all valid complaints lead to contract violations or enforcement actions
• Most compliance issues are resolved informally, without the need for escalated actions
• Complaints received by ICANN do not capture all the abuses or issues covered in the RAPWG’s final report
• Data derived from those complaint intake systems is limited
• Other sources of data should be explored if there is community support for developing a uniform reporting system
Questions and Feedback

• Please send your feedback to Compliance@icann.org