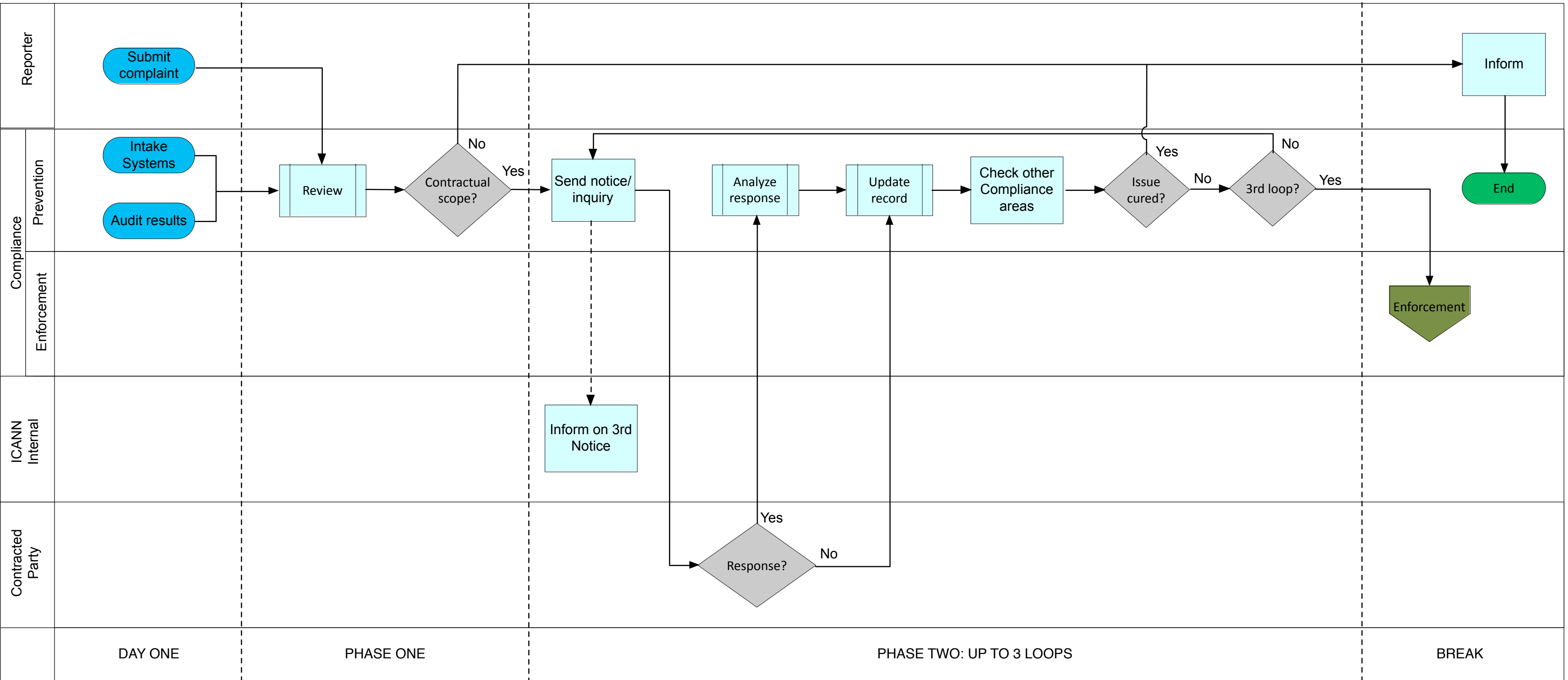


Informal Resolution Process



First loop: Email
 Second loop: Email + Call
 Third loop: Email + Call + Fax

Informal Resolution Process – General Guidelines

The informal resolution process allows ICANN Contractual Compliance to work closely with registrars and registries to resolve contractual compliance matters before pursuing formal remedies available under the agreements.

ICANN contractual compliance complaints come from different sources:

- External reporters
- Contractual Compliance proactive monitoring activities
- ICANN organization and Public Technical Identifiers (PTI)

The ICANN organization and PTI internal referrals are generated from:

- Finance Department: past due fees
- Global Domains Division (GDD) Technical Services team: service level and other technical monitoring
- Security, Stability and Resiliency (SSR) team: issues related to Domain Name System (DNS) abuse
- Global Support Center (GSC): customer service referrals
- Public Technical Identifiers (PTI): customer service referrals

To encourage open dialogue and resolution, the details of all informal resolution processes are confidential. All referrals follow the [Contractual Compliance Approach and Process](#).

General steps (“ICANN” refers to “ICANN Contractual Compliance”):

1. ICANN reviews all complaints it receives, regardless of the source, to ensure that the complaints are within the scope of the relevant ICANN agreement and consensus policies.
2. If needed, ICANN follows up with the reporter for additional information.
3. ICANN informs the reporter that it has sent the complaint to the contracted party.
4. ICANN works with registrars and registries to resolve contractual compliance matters via 1-2-3 inquiry/notice or an escalated notice.
5. ICANN reviews responses from contracted parties and as needed, consults with other departments in the ICANN organization and PTI.
6. If the complaint reaches the 3rd notice – or escalated notice – ICANN:
 - a. Informs internal groups of potential enforcement escalation.
 - b. Conducts full compliance check to identify other non-compliance areas.
 - c. Conducts data escrow audit.

- d. Refers matter to Enforcement team.
- 7. Once resolved, ICANN informs both the reporter and the contracted party via a closure notice.

For more information about the approach or process, see the [Frequently Asked Questions](#).