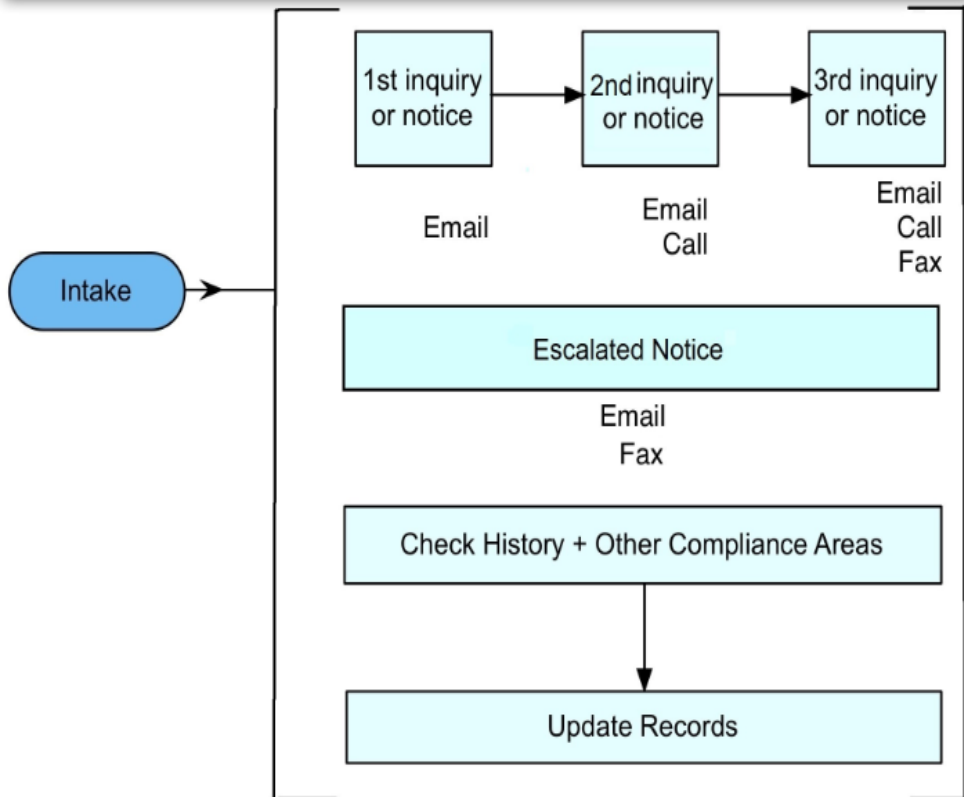
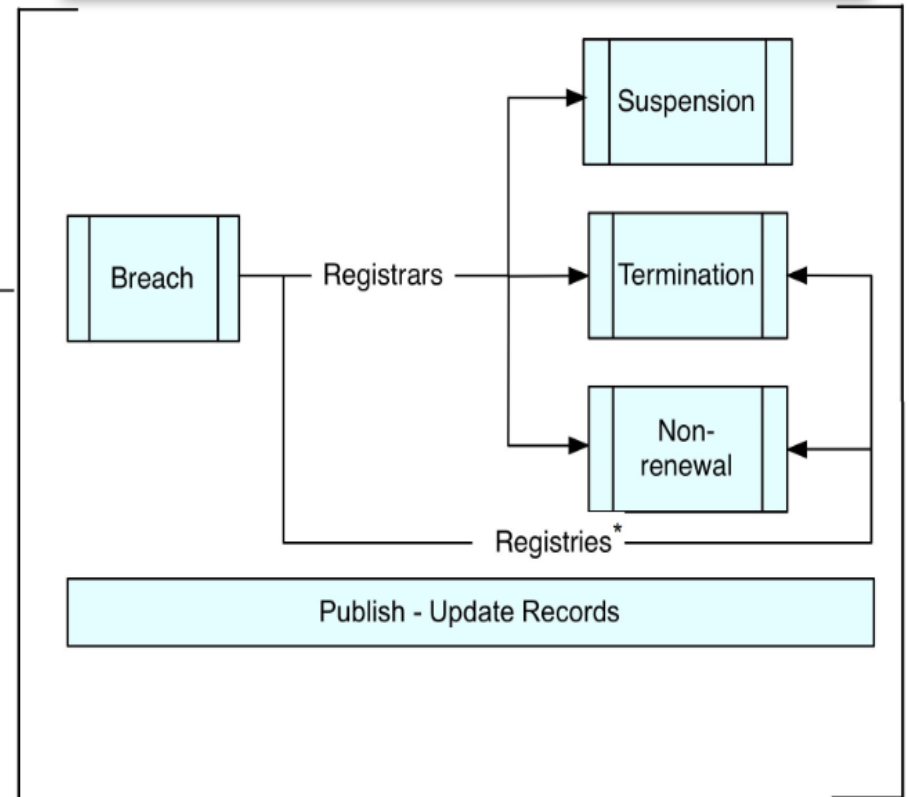


OVERALL COMPLIANCE APPROACH

PREVENTION STAGE (Informal Resolution)



ENFORCEMENT STAGE (Formal Resolution)



General Guidance to Overall Compliance Approach

An **Inquiry** may be sent for (i) Information gathering, (ii) there is no known compliance violation, or (iii) proactive compliance monitoring effort. Non-response to inquiry may result in a notice.

A **Notice** may be sent regarding an alleged area of noncompliance

An **Escalated Notice** applies to compliance matters that require immediate resolution or are a repeated matter of a recently cured breach.

Informal Resolution Process Clarification:

1. Follow up inquiry or notice vs. advancing to next phase:
 - ICANN will generally send a follow up for:
 - Insufficient response received before due date and time remains
 - Insufficient response received and ICANN delay in responding
 - Extension requested by contracted party
 - Clarification needed from contracted party (rather than additional information)
 - ICANN will advance to next phase for:
 - No response from contracted party
 - Insufficient response received on due date
2. To avoid advancing to next notice:
 - Respond to compliance inquiries and notices no later than the deadline
 - As early as possible to allow for collaboration on insufficient responses
3. Inquiry or Notice Deadlines are generated on UTC time
 - Due dates advance at 00:00 UTC
 - Staff processing 5 x 24 across 3 global hubs
 - Notices sent same day may have with different deadlines

* For registry enforcement mechanisms outside of Compliance process, please refer to relevant registry agreement.