

WHOIS Review

Executive Summaries for Recommendations 1 - 16

Fully Implemented as of September 2016



WHOIS Recommendation 1 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 1 Implementation

Strategic Priority

Recommendation fully implemented as of 30 June 2015

Implementation 1 Timeline



Strategic Priority

Recommendation 1 Implementation Description

It is recommended that WHOIS, in all its aspects, should be a strategic priority for ICANN the organization. It should form the basis of staff incentivization and published organizational objectives.

To support WHOIS as a strategic priority, the ICANN board should create a committee that includes the CEO. The committee should be responsible for advancing the strategic priorities required to ensure the following:

- Implementation of this report's recommendations;
- Fulfillment of data accuracy objectives over time;
- Follow up on relevant reports (e.g. NORC data accuracy study);
- Reporting on progress on all aspects of WHOIS (policy development, compliance, and advances in the protocol / liaison with SSAC and IETF);
- Monitoring effectiveness of senior staff performance and the extent to which ICANN Compliance function is effective in delivering WHOIS outcomes, and taking appropriate action to remedy any gaps (see Recommendation 4 for more discussion of compliance).

Advancement of the WHOIS strategic priority objectives should be a major factor in staff incentivization programs for ICANN staff participating in the committee, including the CEO. Regular (at least annual) updates on progress against targets should be given to the Community within ICANN's regular reporting channels, and should cover all aspects of WHOIS including protocol, policy development, studies and their follow up.

Status of Deliverables

	Responsible	Due Date
WHOIS included in Five Year Strategic Plan as part of Strategic Objective 2.1, and funded in the FY16 Operating Plan and Budget	Staff	✓
CEO oversaw improvements to WHOIS obligations in contracts, including, adoption of 2013 Registrar Accreditation Agreement (RAA) and the base New gTLD Registry Agreement	Staff	✓
WHOIS Accuracy Reporting System transitioned from Pilot to implementation and on-going operations	Staff	✓
Staff incentivized through ICANN's compensation system, as WHOIS projects are identified in both WorkFront and the Halogen management system	Staff	✓
CEO's compensation tied to performance against the strategic objectives of ICANN as laid out in the Strategic Plan, which includes references to WHOIS	Staff	✓
Board receives CEO updates, on a trimester basis, on the status of ICANN's key organizational activities, including WHOIS improvements	Staff	✓
Organizational Effectiveness Committee (formerly the Structural Improvements Committee) renamed by the Board on 28 July 2015 to be responsible for review and oversight of policies relating to ICANN's ongoing organizational review process mandated by Article IV, Section 4 of ICANN's Bylaws	Staff	✓

- Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

WHOIS Recommendation 1 Implementation

Strategic Priority

Recommendation fully implemented as of 30 June 2015

Project Status

1a. WHOIS as a strategic priority

WHOIS included in [Five Year Strategic Plan](#) as part of Strategic Objective 2.1, and funded in the [FY16 Operating Plan and Budget](#);

- 5-Year Strategic Plan Page 11, Section 2.1: [Header] Foster and Coordinate a healthy, secure, and resilient identifier ecosystem
 - [Key Success Factor]- Globally accepted, reliable, secure, and trusted services to facilitate access to, and update of, identifier registration data.
 - FY16 Operating Plan and Budget (pages 39-43) allocates USD1.4 million for WHOIS core functions/service & improvements that includes implementation of AoC WHOIS Review Team Recommendations.
 - CEO oversaw improvements to WHOIS obligations in contracts, including, adoption of 2013 Registrar Accreditation Agreement (RAA) and the base New gTLD Registry Agreement;
 - [Allen Grogan appointed as the new ICANN Chief Contract Compliance Officer](#) to oversee Contract Compliance and Consumer Safeguards enhancements, including WHOIS.
- WHOIS Accuracy Reporting System transitioned from Pilot to implementation and on-going operations

1b. ICANN Staff incentivization

- Staff is incentivized through ICANN's compensation system, as WHOIS projects are identified in both WorkFront and the Halogen management system.
- The CEO's compensation is tied to performance against the strategic objectives of ICANN as laid out in the Strategic Plan, which includes references to WHOIS.
- [Conclusion](#) of 2013 Registrar Accreditation Agreement WHOIS Accuracy Program Specification Review (16 November 2015) notes that the specification will be subject to an additional review in approximately one year. This future review will have the added benefit of being informed by the data compiled via the [WHOIS Accuracy Reporting System initiative](#).

1c. Board involvement in WHOIS improvements

- Board receives CEO updates, on a trimester basis, on the status of ICANN's key organizational activities, including WHOIS improvements.
- [Organizational Effectiveness Committee](#) (formerly Structural Improvements Committee) renamed by the Board 28 July 2015 to be responsible for review and oversight of policies relating to ICANN's ongoing organizational review process mandated by Article IV, Section 4 of ICANN's Bylaws.

1d. Public Status of Implementation

- Public closely apprised of the implementation progress through regular updates, announcements on icann.org, blog posts, updates at ICANN meetings, the new WHOIS website, and webinars.

Implementation Notes

This recommendation is complete.

WHOIS Recommendation 2 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 2 Implementation

Single WHOIS Policy

Recommendation fully implemented as of 30 June 2015

Implementation 2 Timeline



WHOIS Policy

Status of Deliverables

	Responsible	Due Date
Single Page contains links to all WHOIS related agreements and consensus policies; publish "easy to read" primer	Staff	✓
Review Team recommended a single WHOIS policy, which was NOT implemented based on board direction captured in the Action Plan	Staff	✓

Recommendation 2 Implementation Description

The ICANN Board should oversee the creation of a single WHOIS policy document, and reference it in subsequent versions of agreements with Contracted Parties. In doing so, ICANN should clearly document the current gTLD WHOIS policy as set out in the gTLD Registry and Registrar contracts and GNSO Consensus Policies and Procedure.



- Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted



WHOIS Recommendation 2 Implementation

Single WHOIS Policy

Recommendation fully implemented as of 30 June 2015

Project Status

[Single Page](#) contains links to all WHOIS related agreements and consensus policies.

Overall “easy to read” Primer published in January 2014 describes the WHOIS service.

Review Team recommended a single WHOIS policy, which was NOT implemented based on board direction captured in the [Action Plan](#), “Board Action - The Board directs the CEO to create and maintain a single public source that compiles current gTLD WHOIS requirements for gTLD registries, registrars and registrants (including consensus policies and contractual conditions.... These presently available conditions and policies should be publicly available from one source.”

Implementation Notes

This recommendation is complete.



WHOIS Recommendation 3 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 3 Implementation

Outreach

Recommendation fully implemented as of 30 June 2015

Implementation 3 Timeline



Outreach

Status of Deliverables

	Responsible	Due Date
Include requirements link in 2013 RAA to Registrant Benefits & Responsibilities Document , written in simple language to educate registrants on obligations related to WHOIS	Staff	✓
Conduct global outreach to registrars to educate them on 2013 RAA requirements	Staff	✓
Conduct outreach in Asia Pacific, highlighting WHOIS obligations in native languages	Staff	✓
Launch WHOIS microsite ; publish in six languages	Staff	✓
Produce and implement a Communications Plan that attempts to reach both internal and external communities, and collects metrics related to access to the WHOIS microsite in multiple languages	Staff	✓
Social media effort underway linked to key milestones in the WHOIS Program; Communications Department uses tools to examine the impact of social media	Staff	✓

Recommendation 3 Implementation Description

ICANN should ensure that WHOIS policy issues are accompanied by cross-community outreach, including outreach to the communities outside of ICANN with a specific interest in the issues, and an ongoing program for consumer awareness.



- ✓ Complete
- Planned/In Process
- Behind schedule, expected to recover within original plan
- Behind schedule, original plan to be adjusted

WHOIS Recommendation 3 Implementation

Outreach

Recommendation fully implemented as of 30 June 2015

Project Status

- 2013 RAA includes requirements to link to [Registrant Benefits & Responsibilities Document](#), written in simple language to educate registrants on obligations related to WHOIS.
- ICANN Staff conducted global outreach to registrars to educate them on 2013 RAA requirements.
- ICANN Contractual Compliance Staff conducted outreach in Asia Pacific, highlighting WHOIS obligations in native languages.
- Launched the new [WHOIS microsite](#). Published in six languages, the WHOIS microsite is a one-stop-shop for those seeking information about WHOIS.
- Staff produced and has implemented a Communications Plan that attempts to reach both internal and external communities, and has been collecting metrics related to access to the WHOIS microsite in multiple languages.
- ICANN also has an active social media effort underway linked to the key milestones in the WHOIS Program. The Communications Department uses tools to examine the impact of the social media.

Implementation Notes

This recommendation is complete.

WHOIS Recommendation 4 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 4 Implementation

Compliance

Recommendation fully implemented as of 30 June 2015

Implementation 4 Timeline



Compliance
Management

Status of Deliverables

	Responsible	Due Date
Implement new Compliance complaint handling systems and procedures	Staff	✓
Provide greater visibility on WHOIS-related metrics and improvements to Compliance processes and results	Staff	✓
Conduct outreach in Asia Pacific, highlighting WHOIS obligations in native languages	Staff	✓
Publish organizational chart on ICANN website to provide information regarding the contractual compliance reporting structure; see https://www.icann.org/en/system/files/files/management-org-02mar15-en.pdf	Staff	✓
Publish information about budgeted funds and actual expenditures for contractual compliance; provide summary of the contractual compliance budget in the Contractual Compliance Annual Report	Staff	✓

Recommendation 4 Implementation Description

ICANN should act to ensure that its compliance function is managed in accordance with best practice principles, including that:

a. There should be full transparency regarding the resourcing and structure of its compliance function. To help achieve this ICANN should, at a minimum, publish annual reports that detail the following relevant to ICANN's compliance activities: staffing levels; budgeted funds; actual expenditure; performance against published targets; and organizational structure (including the full lines of reporting and accountability).

b. There should be clear and appropriate lines of reporting and accountability, to allow compliance activities to be pursued pro-actively and independently of other interests. To help achieve this, ICANN should appoint a senior executive whose sole responsibility would be to oversee and manage ICANN's compliance function. This senior executive should report directly and solely to a sub-committee of the ICANN Board. This sub-committee should include Board members with a range of relevant skills, and should include the CEO. The sub-committee should not include any representatives from the regulated industry, or any other Board members who could have conflicts of interest in this area.

c. ICANN should provide all necessary resources to ensure that the compliance team has the processes and technological tools it needs to efficiently and pro-actively manage and scale its compliance activities. The Review Team notes that this will be particularly important in light of the new gTLD program, and all relevant compliance processes and tools should be reviewed and improved, and new tools developed where necessary, in advance of any new gTLDs becoming operational.



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted



WHOIS Recommendation 4 Implementation

Compliance

Recommendation fully implemented as of 30 June 2015

Project Status

New Compliance complaint handling systems & procedures implemented, including:

- Launched 3 Year Registrar Audit Program (ending 2015), with 2 out of 3 years [completed](#).
- Completed updates and additions to the [complaint submission forms](#) and FAQs, including the addition of bulk WHOIS inaccuracy submission procedures.
- Completed plan and details for new Registry Agreement Audit program (New gTLD scope) and conducted 3 Audit [outreach activities](#) with registries.
- Increase in global Compliance Staff, with coverage in the following languages: Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish, and Uzbek. Compliance Staff levels [published](#) and updated regularly.

Greater visibility on WHOIS-related metrics and improvements to Compliance processes and results, including:

- [Compliance Performance Reports](#) now available on icann.org.
- [Internet Corporation for Assigned Names & Numbers Contractual Compliance Update - Quarterly Report](#), June 2015

There is an organizational chart publicly posted on the ICANN website that provides information regarding the contractual compliance reporting structure. See <https://www.icann.org/en/system/files/files/management-org-02mar15-en.pdf>

Information about budgeted funds and actual expenditures for contractual compliance can be found in the ICANN Operating Plan and Budget. ICANN also provides a summary of the contractual compliance budget in the Contractual Compliance [Annual Report](#).

Implementation Notes

This recommendation is complete.

WHOIS Recommendation 5 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 5 Implementation

Data Accuracy

Recommendation fully implemented as of 30 June 2015

Implementation 5 Timeline



Accurate Data

Status of Deliverables

	Responsible	Due Date
Develop WHOIS Informational microsite to provide a Knowledge Center where key WHOIS related documents can be located	Staff	✓
Increase usage of the WHOIS microsite	Staff	✓
Ensure Registrars publish and/or provide a link on their website(s) to the Registrants' Benefits and Responsibilities Specification	Staff	✓

Recommendation 5 Implementation Description

ICANN should ensure that the requirements for accurate WHOIS data are widely and pro-actively communicated, including to current and prospective Registrants, and should use all means available to progress WHOIS accuracy, including any internationalized WHOIS data, as an organizational objective. As part of this effort, ICANN should ensure that its Registrant Rights and Responsibilities document is pro-actively and prominently circulated to all new and renewing registrants.



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted

WHOIS Recommendation 5 Implementation

Data Accuracy

Recommendation fully implemented as of 30 June 2015

Project Status

Staff developed a [WHOIS Informational microsite](#) to:

- Provide historical record of WHOIS;
- Consolidate WHOIS policy documentation;
- Provide mechanisms to teach people how to use WHOIS;
- Provide mechanisms for people to submit complaints as they relate to WHOIS data;
- Direct people to the appropriate channels to become engaged in the community on WHOIS related topics;
- Educate registrants on WHOIS, their rights and responsibilities; and
- Provide a [Knowledge Center](#) where key WHOIS related documents can be located.

Usage of the WHOIS microsite has grown over the entirety of the site's life, page views have grown to a total of: 2,355,561.

In addition, over the past 12 months, the site has grown from roughly 800 visitors a day to roughly 10,000 visitors a day.

The 2013 RAA obligates each Registrar to publish on its website(s) and/or provide a link to the Registrants' Benefits and Responsibilities Specification. ICANN's Contractual Compliance Team confirmed that it checks to determine whether registrars are publishing this information and follows up to bring the registrar into compliance if it is not doing so.

Implementation Notes

This recommendation is complete.



WHOIS Recommendation 6 Implementation

Recommendation fully implemented as of 31 March 2016

WHOIS Recommendation 6 Implementation

Data Accuracy

Recommendation fully implemented as of 31 March 2016

Implementation 6 Timeline



Risk Management

Status of Deliverables

	Responsible	Due Date
<ul style="list-style-type: none">•Proactively identify inaccurate gTLD WHOIS information in gTLD registry and registrar services,•Explore using automated tools,•Forward inaccurate records to gTLD registrars for action•Publicly report on the resulting actions to encourage improved accuracy <p><i>(See #7 & 11 for additional implementation details)</i></p>	Staff	✓
Launch Accuracy Reporting System Phase I Pilot	Staff	✓
Launch Accuracy Reporting System Phase II Pilot	Staff	✓
Launch of Accuracy Reporting System	Staff	✓
Phase 2 Cycle 2 (Syntax + Operability Accuracy) Report	Staff	✓

Recommendation 6 Implementation Description

ICANN should take appropriate measures to reduce the number of WHOIS registrations that fall into the accuracy groups Substantial Failure and Full Failure (as defined by the NORC Data Accuracy Study, 2009/10) by 50% within 12 months and by 50% again over the following 12 months.



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted

WHOIS Recommendation 6 Implementation

Data Accuracy

Recommendation fully implemented as of 31 March 2016

Project Status

To address this recommendation, the Board directed the CEO to:

1. Proactively identify inaccurate gTLD WHOIS information in gTLD registry and registrar services,
2. explore using automated tools,
3. and forward inaccurate records to gTLD registrars for action; and
4. Publicly report on the resulting actions to encourage improved accuracy.

See answers to #7 & 11 for information on the statistics on accuracy to be gathered in connection with the new [WHOIS Search Portal](#)

In 2015 Staff launched the Accuracy Reporting System to conduct bi-annual studies in collaboration with NORC. The project is being operationalized in phases, based on the stages of WHOIS Accuracy verification described in [SSAC 058](#) (Syntax, Operational, and Identity).

√ Publication of [Final Pilot Study Report](#) – 23 Dec 2014.

√ [Staff Report](#) of public comments published – 3 Apr 2015

√ Modifications to operationalize the Accuracy Reporting System – Apr – Jun 2015

√ Accuracy Reporting System - Phase I (Syntactic validation) [Report Published](#) – August 2015

√ ARS – [Phase II \(Syntactic + Operational\) Criteria published](#) September 2015

√ [WHOIS ARS Testing Criteria - UPDATED](#)

√ [Conclusion](#) of 2013 Registrar Accreditation Agreement WhoIs Accuracy Program Specification Review in November 2015

√ [WHOIS ARS Phase 2 Cycle 1 Report: Syntax and Operability Accuracy](#) published 23 December 2015

Implementation Notes

This recommendation has been completed.

See answers to Rec #7 & 11 for information on the statistics on accuracy to be gathered in connection with the new [WHOIS Search Portal](#)

WHOIS Recommendation 7 Implementation

Recommendation fully implemented as of 31 March 2016

WHOIS Recommendation 7 Implementation

Data Accuracy

Recommendation fully implemented as of 31 March 2016

Implementation 7 Timeline



Accurate Reporting

Status of Deliverables

	Responsible	Due Date
Implement WHOIS Accuracy Reporting System (ARS)	Staff	✓
Conduct Pilot Accuracy Study in collaboration with NORC to test the proposed methodology using commercial validation services to test the syntactical and operational accuracy of the email, telephone numbers and postal addresses using actual data	Staff	✓
Launch of Accuracy Reporting System - Phase I (Syntactic validation)	Staff	✓
Launch of Accuracy Reporting System - Phase II (Operational validation)	Staff	✓

Recommendation 7 Implementation Description

ICANN shall produce and publish an accuracy report focused on measured reduction in WHOIS registrations that fall into the accuracy groups Substantial Failure and Full Failure, on an annual basis.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

WHOIS Recommendation 7 Implementation

Data Accuracy

Recommendation fully implemented as of 31 March 2016

Project Status

Staff is implementing the WHOIS Accuracy Reporting System (ARS).

•Staff conducted a Pilot Accuracy Study in collaboration with NORC to test the proposed methodology using commercial validation services to test the syntactical and operational accuracy of the email, telephone numbers and postal addresses using actual data.

Approximately 100,000 WHOIS records were examined during the Pilot.

- Published [Pilot Study for the WHOIS Accuracy Reporting System: Preliminary Findings](#) in Oct 2014.
- The [Pilot Study Report](#) published in Dec. 2014 for public comment.
- [Report](#) of Public Comments on Pilot Study published in April 2015
- Phased approach to Implementation of ARS initiated. Phase 1 (Syntax) & Phase 2 (Operational) have been launched. Phase 3 Identity Validation requires further consultation with the community before proceeding with implementation.

•ARS

- Accuracy Reporting System - Phase I (Syntactic validation) [Report Published](#) – Aug 2015
- ARS – [Phase II \(Syntactic + Operational\) Criteria published](#) September 2015
- [WHOIS ARS Testing Criteria - UPDATED](#)
- ARS – Phase II (Syntactic + Operational validation) Report expected December 2015
- Accuracy Reporting System transitioned from a pilot project to an ongoing activity in 2015
- [Conclusion](#) of 2013 Registrar Accreditation Agreement WHOIS Accuracy Program Specification Review (16 November 2015) notes that the specification will be subject to an additional review in approximately one year. This future review will have the added benefit of being informed by the data compiled via the [Whois Accuracy Reporting System initiative](#).
- [Webinar](#) held 6 January 2016 on [ARS Phase 2 Report](#).
- If needed – ARS Identity validation paper will be developed

Implementation Notes

This recommendation has been completed with the launch of [ARS as an on-going project](#). Additional reports may be prepared as issues arise

WHOIS Recommendation 8 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 8 Implementation

Data Accuracy

Recommendation fully implemented as of 30 June 2015

Implementation 8 Timeline



Contractual
Agreements

Status of Deliverables

	Responsible	Due Date
Include additional enforcement provisions and sanctions applicable to registrars, registrants, and resellers with regards to WHOIS in 2013 RAA	Staff	✓
Include enhanced WHOIS obligations in new gTLD Registry Agreements	Staff	✓
Include enhanced WHOIS obligations in renewals of existing gTLDs	Staff	✓
First review of WHOIS Accuracy Specification - Jan 2015	Staff	✓

Recommendation 8 Implementation Description

ICANN should ensure that there is a clear, unambiguous and enforceable chain of contractual agreements with registries, registrars, and registrants to require the provision and maintenance of accurate WHOIS data. As part of these agreements, ICANN should ensure that clear, enforceable and graduated sanctions apply to registries, registrars and registrants that do not comply with its WHOIS policies. These sanctions should include de-registration and/or de-accreditation as appropriate in cases of serious or serial non-compliance.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted



WHOIS Recommendation 8 Implementation

Data Accuracy

Recommendation fully implemented as of 30 June 2015

Project Status

- 2013 RAA includes additional enforcement provisions and sanctions applicable to registrars, registrants, and resellers with regards to WHOIS.
- New gTLD Registry Agreements include enhanced WHOIS obligations.
- Renewals of existing GTLDs to include enhanced WHOIS obligations.
- [First review of WHOIS Accuracy Specification - Jan 2015](#)
- See answers to #1.a above.

Implementation Notes

This recommendation is complete.



WHOIS Recommendation 9 Implementation

Recommendation fully implemented as of 31 March 2016

WHOIS Recommendation 9 Implementation

Data Accuracy

Recommendation fully implemented as of 31 March 2016

Implementation 9 Timeline



Compliance
Management

Status of Deliverables

	Responsible	Due Date
The Board action with respect to this recommendation proposed an alternative approach because the WRT recommendation as stated was not feasible. The alternative relies on the accuracy reports to be generated through the WHOIS Accuracy Reporting System (ARS) under development to develop metrics to track changes in accuracy rates. <i>(See Rec.5-7 for details)</i>	Staff	✓
Launch Accuracy Reporting System - Phase I (Syntactic validation)	Staff	✓
Launch Accuracy Reporting System - Phase II (Operational validation)	Staff	✓
Transitioning Accuracy Reporting System from pilot to an ongoing project activity	Staff	✓

Recommendation 9 Implementation Description

The ICANN Board should ensure that the Compliance Team develop, in consultation with relevant contracted parties, metrics to track the impact of the annual WHOIS Data reminder Policy (WDRP) notices to registrants. Such metrics should be used to develop and public performance targets, to improve data accuracy over time. If this is unfeasible with the current system, the Board should ensure that an alternative, effective policy is developed (in accordance with ICANN's existing processes) and implemented in consultation with registrars that achieves the objective of improving data quality, in a measurable way.



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted



WHOIS Recommendation 9 Implementation

Data Accuracy

Recommendation fully implemented as of 31 March 2016

Project Status

The Board action with respect to this recommendation proposed an alternative approach because the WRT recommendation as stated was not feasible. The alternative relies on the accuracy reports to be generated through the WHOIS Accuracy Reporting System (ARS) under development to develop metrics to track changes in accuracy rates.

In addition the following ICANN informational resources are available for WDRP compliance:

- √ [Whois Data Reminder Policy](#)
- √ [WDRP FAQs For Domain Name Registrants](#)
- √ [Implementation of the Whois Data Reminder Policy \(WDRP\)](#)
- √ [WHOIS Data Reminder Policy \(WDRP\) | ICANN Learn](#)

Contractual Compliance [New Registry Agreement Compliance Monitoring Efforts Clarifications](#) to the Registry Agreement and the 2013 Registrar Accreditation Agreement (RAA) regarding applicable Registration Data Directory Service (WHOIS) Specifications

See additional status answers in Rec. #5-7

Implementation Notes

This recommendation has been completed.

WHOIS Recommendation 10 Implementation

Recommendation fully implemented as of 30 September 2016

WHOIS Recommendation 10 Implementation

Data Access -- Privacy and Proxy Services

Recommendation fully implemented as of 30 September 2016

Implementation 10 Timeline



Process
Management

Status of Deliverables

	Responsible	Due Date
Include obligations related to privacy/proxy providers and create a privacy/proxy accreditation program in 2013 RAA	Staff	✓
Examine policy issues related to privacy/proxy services	Staff	✓
Privacy & Proxy Services Accreditation Issues (PPSA) PDP _____	Staff	✓
GNSO Approval of PDP Final Report	Staff	✓
Board Approval of Final Report Recommendations	Staff	✓
Implementation Plan Developed	Staff	✓

Recommendation 10 Implementation Description

ICANN should initiate processes to regulate and oversee privacy and proxy service providers. ICANN should develop these processes in consultation with all interested stakeholders. This work should take note of the studies of existing practices used by proxy/privacy service providers now taking place within the GNSO.

The Review Team considers that one possible approach to achieving this would be to establish, through the appropriate means, an accreditation system for all proxy/privacy service providers. As part of this process, ICANN should consider the merits (if any) of establishing or maintaining a distinction between privacy and proxy services.

The goal of this process should be to provide clear, consistent and enforceable requirements for the operation of these services consistent with national laws, and to strike an appropriate balance between stakeholders with competing but legitimate interests. At a minimum, this would include privacy, data protection, law enforcement, the industry around law enforcement and the human rights community.

ICANN could, for example, use a mix of incentives and graduated sanctions to encourage proxy/privacy service providers to become accredited, and to ensure that registrars do not knowingly accept registrations from unaccredited providers.

ICANN could develop a graduated and enforceable series of penalties for proxy/privacy service providers who violate the requirements, with a clear path to de-accreditation for repeat, serial or otherwise serious breaches.

In considering the process to regulate and oversee privacy/proxy service providers, consideration should be given to the following objectives:

- Clearly labeling WHOIS entries to indicate that registrations have been made by a privacy or proxy service;
- Providing full WHOIS contact details for the privacy/proxy service provider, which are contactable and responsive;
- Adopting agreed standardized relay and reveal processes and timeframes; (these should be clearly published, and pro-actively advised to potential users of these services so they can make informed choices based on their individual circumstances);
- Registrars should disclose their relationship with any proxy/privacy service provider;
- Maintaining dedicated abuse points of contact for each provider;
- Conducting periodic due diligence checks on customer contact information;
- Maintaining the privacy and integrity of registrations in the event that major problems arise with a privacy/proxy provider;
- Providing clear and unambiguous guidance on the rights and responsibilities of registered name holders, and how those should be managed in the privacy/proxy environment.



Complete Planned/In Process
Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted



WHOIS Recommendation 10 Implementation

Data Access -- Privacy and Proxy Services

Recommendation fully implemented as of 30 September 2016

Project Status

- The 2013 RAA, includes many new obligations related to privacy/proxy providers and commits ICANN to create a privacy/proxy accreditation program.
- A GNSO PDP has commenced in October 2013 to examine policy issues related to privacy/proxy services.
- A consensus policy, if produced out of the PDP, would become binding upon contracted parties when adopted by Board.
- Staff Implementation work to develop the operational aspects of the Privacy/Proxy Accreditation Program to be conducted in parallel with GNSO PDP.
 - ICANN Staff Accreditation Framework Considerations document shared with Working Group (via published list) in October 2014
 - [Initial Report](#) published for [Public Comment](#)- May 2015
- Privacy & Proxy Services Accreditation Issues (PPSA) PDP [Final Report](#) December 2015.
- [Report](#) of Public Comments on IAG Initial Report and Proposed Revisions to the ICANN Procedure for WHOIS Conflicts with Privacy Laws published 21 January 2016.
- On 21 January 2016 the [GNSO Council approved](#) all the consensus recommendations from the Working Group as contained in the Final Report.
- The [Board considered](#) the GNSO's Accreditation of Privacy and Proxy Services Final Report recommendations at its 15 May 2016 meeting, and deferred their consideration until after the Helsinki Meeting to be responsive to the GAC's Marrakech Communiqué.
- The Board [resolution](#) on 9 August 2016 adopted all the final recommendations of the Privacy & Proxy Services Accreditation Issues PDP Working Group.
- Implementation plans have been developed based on the Board resolution, with a wiki page and [a project plan](#) in place.

Implementation Notes

This recommendation has been completed.

WHOIS Recommendation 11 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 11 Implementation

Data Access – Common Interface

Recommendation fully implemented as of 30 June 2015

Implementation 11 Timeline



Internic Service

Status of Deliverables

	Responsible	Due Date
Develop WHOIS Portal	Staff	✓
Upgrades to include overhaul of Internic Service	Staff	✓

Recommendation 11 Implementation Description

It is recommended that the Internic Service is overhauled to provide enhanced usability for consumers, including the display of full registrant data for all gTLD domain names (whether those gTLDs operate thin or thick WHOIS Services) in order to create a one stop shop, from a trusted provider, for consumers and other users of WHOIS Services.

In making this finding and recommendation, we are not proposing a change in the location where data is held, ownership of the data, nor do we see a policy development process as necessary or desirable. We are proposing an operational improvement to an existing service, the Internic. This should include enhanced promotion of the service, to increase user awareness.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

WHOIS Recommendation 11 Implementation

Data Access – Common Interface

Recommendation fully implemented as of 30 June 2015

Project Status

ICANN has developed a comprehensive WHOIS Portal, the development of which occurred in two phases:

Phase 1- Launch of [WHOIS Microsite](#) (see description above in #5) (2013); and

Phase 2- Launch of WHOIS Search tool on the [WHOIS Microsite](#) to offer a place where people could initiate a search of global WHOIS records (2014).

This lookup an easy to use one-stop look-up service was developed to replace the old Internic service WHOIS searches. As of June 30, 2015, there have been approximately 978,900 WHOIS search results delivered using this tool.

Future upgrades to include overhaul of Internic Service. The outstanding development to overhaul INTERNIC service is intended to make the remaining functionality offered through INTERNIC more user friendly (DNS server info, Registrar contact details, etc.) and is expected to be concluded by Jan-March 2016.

√ Publication of Implementation Plan for WHOIS Search Portal Jan 2013

√ Beta Launch of [WHOIS Informational Website](#) (Phase I) – 4 Nov 2013

√ Communications Plan kicked off for Phase I – 4 Nov 2013

√ Beta Launch for WHOIS Search Portal (Phase II) – – Singapore Meeting 2014

√ Communications Plan kicked off for Phase II Beta – 12 Mar 2014

√ Formal Launch of WHOIS Search Portal (Phase II)

◇ Future upgrades to include an overhaul of the Internic Service.

Implementation Notes

This recommendation is complete.

WHOIS Recommendation 12 Implementation

Recommendation fully implemented as of 31 March 2016

WHOIS Recommendation 12 Implementation

Internationalized Domain Names

Recommendation fully implemented as of 31 March 2016

Implementation 12 Timeline



Internationalized
Domain Name

Recommendation 12 Implementation Description

ICANN should task a working group within six months of publication of this report, to determine appropriate internationalized domain name registration data requirements and evaluate available solutions (including solutions being implemented by ccTLDs). At a minimum, the data requirements should apply to all new gTLDs, and the working group should consider ways to encourage consistency of approach across the gTLD and (on a voluntary basis) ccTLD space. The working group should report within a year of being tasked.

Status of Deliverables

	Responsible	Due Date
Evaluate technical protocols and develop a new protocol known as the Registration Directory Access Protocol (RDAP)	Staff	✓
Work on IRD requirements	Staff	✓
Final Report of IRD Team	Staff	✓
Board Approval of IRD recommendations	Board/Staff	✓
Implementation Plan to be developed	Staff	(TBD)



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

WHOIS Recommendation 12 Implementation

Internationalized Domain Names

Recommendation fully implemented as of 31 March 2016

Project Status

- The IETF WEIRDS Working Group has concluded its evaluation of technical protocols and has developed a new protocol known as the Registration Directory Access Protocol (RDAP). Once adopted by the IETF, the new gTLD Registry Agreement and the New 2013 RAA include commitments to adopt the new protocols.
- ICANN has tasked a team to work on the IRD requirements; the final product will be dependent upon the conclusion of the GNSO PDP on translation/transliteration described in #13 below.
- [Interim Report of IRD Team](#) – Apr 2014
- ICANN conducted a [Study to Evaluate Solutions for the Submission and Display of Internationalized Contact Data](#) – 2 June 2014
- IETF published new protocol in March 2015
- [Final Report](#) of the Expert Working Group on IRD published 23 September 2015
- Board Approval of IRD recommendations – est. February 2016
- Implementation Plan to be developed – (TBD) 2016

IRD Team analysis under way

- Draft Final Report of IRD Team published for [Public Comment](#) – 9 Mar 2015
- Public Comment Summary – 5 May 2015
- [Final Report](#) of the Expert Working Group on IRD published 23 September 2015
- Board [Approval](#) of IRD recommendations Resolution 2016.03.10.05 – 2016.03.10.07 – 10 March 2016
 - Resolved (2016.03.10.06), the Board requests that the GNSO Council review the broader policy implications of the IRD Final Report [PDF, 268 KB] as they relate to other GNSO policy development work on WHOIS issues, and, at a minimum, forward the IRD Final Report [PDF, 268 KB] as an input to the GNSO PDP on the Next Generation Registration Directory Services to Replace WHOIS that is currently underway.
- Implementation Plan to be developed upon Board approval – (TBD) 2016

Implementation Notes

This recommendation has been completed

WHOIS Recommendation 13 Implementation

Recommendation fully implemented as of 31 December 2015

WHOIS Recommendation 13 Implementation

Internationalized Domain Names

Recommendation fully implemented as of 31 December 2015

Implementation 13 Timeline



Translation or
Transliteration

Recommendation 13 Implementation Description

The final data model, including (any) requirements for the translation or transliteration of the registration data, should be incorporated in the relevant Registrar and Registry agreements within 6 months of adoption of the working group's recommendations by the ICANN Board. If these recommendations are not finalized in time for the next revision of such agreements, explicit placeholders for this purpose should be put in place in the agreements for the new gTLD program at this time, and in the existing agreements when they come up for renewal.

Status of Deliverables

	Responsible	Due Date
Issue Translation/Transliteration explored as a policy matter	Staff	✓
Conclusion of this aspect of the implementation is dependent upon the speed in which the PDP can be completed once the working group is formed.	Staff	✓
PDP Translation & Transliteration of gTLD Contact Data recommendations approved by the Board	Staff	✓
RDAP implementation will occur as new and renewed registry agreement	Staff	✓



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted

WHOIS Recommendation 13 Implementation

Internationalized Domain Names

Recommendation fully implemented as of 31 December 2015

Project Status

Issue of Translation/Transliteration is being explored as a policy matter within the GNSO Council. Consensus policy, if produced out of the PDP, when adopted by Board, would become binding upon the contracted parties.

- [Initial Report](#) published for [public comment](#) that closes on 1 Feb, 2015

This output of this PDP work is required to inform the rest of the IRD related implementation work being supervised by Staff (# 12 – 14).

Conclusion of this aspect of the implementation is dependent upon the speed in which the PDP can be completed once the working group is formed.

- [PDP Final Report](#) – May 2015
- GNSO approval of PDP policy- June 2015
- GNSO Adoption of PDP Working Group Final Report and Recommendations - [Resolution 20150624-3](#) June 2015
- [GNSO Translation and Transliteration of Contact Information Policy Development Process \(PDP\) Recommendations for Board Consideration](#) 31 August 2015
- Board [resolution](#) adopting the GNSO Council Recommendations Translation and Transliteration of Contact Information recommendations. 28 September 2015
- RDAP implementation dependent on new and renewal of registry agreements

Implementation Notes

This recommendation is complete.

WHOIS Recommendation 14 Implementation

Recommendation fully implemented as of 31 March 2016

WHOIS Recommendation 14 Implementation

Internationalized Domain Names

Recommendation fully implemented as of 31 March 2016

Implementation 14 Timeline



Metrics

Recommendation 14 Implementation Description

Metrics should be developed to maintain and measure the accuracy of the internationalized registration data and corresponding data in ASCII, with clearly defined compliance methods and targets, as per the details in Recommendations 5-9 in this document.

Status of Deliverables

	Responsible	Due Date
Identify internationalized WHOIS Records once recommendations #12 and #13 are complete	Staff	✓
Scope requirements once recommendations #12 and #13 are concluded		✓
Develop resources and schedule		✓



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted

WHOIS Recommendation 14 Implementation

Internationalized Domain Names

Recommendation fully implemented as of 31 March 2016

Project Status

Internationalized WHOIS Records to be proactively identified once recommendations #12 and #13 are complete.

•IRD Working Group

- Draft Final Report of IRD Team published for [Public Comment](#) – 9 Mar 2015
- Public Comment Summary – 5 May 2015
- [Final Report](#) of the Expert Working Group on IRD published 23 September 2015
- Board [Approval](#) Resolution 2016.03.10.05 – 2016.03.10.07 – 10 March 2016, the Board requests that the GNSO Council review the broader policy implications of the IRD Final Report [as they relate to other GNSO policy development work on WHOIS issues, and, at a minimum, forward the IRD Final Report as an input to the GNSO PDP on the Next Generation Registration Directory Services to Replace WHOIS that is currently underway.
- Implementation Plan to be developed upon Board approval – (TBD) 2016

•[Initial Report](#) from PDP Working Group on Translation and Transliteration of contact information published 15 Dec 2014

- [Public Comment on Initial Report](#) from PDP Working Group on Translation and Transliteration of contact information – 16 Dec. 2014, closed 1 Feb 2015
- [Staff Report - Summary of Public Comments](#)– 19 Feb 2015
- [GNSO Translation and Transliteration of Contact Information Policy Development Process \(PDP\) Recommendations for Board Consideration](#) 31 August 2015
- Board [resolution](#) adopting the GNSO Council Recommendations Translation and Transliteration of Contact Information recommendations. 28 September 2015
- Implementation dependent on when RDAP is in place, then est. three to six months

Implementation Notes

This recommendation has been completed.

WHOIS Recommendation 15 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 15 Implementation

Detailed and Comprehensive Plan

Recommendation fully implemented as of 30 June 2015

Implementation 15 Timeline



Implementation
Plans

Status of Deliverables

	Responsible	Due Date
Develop and publish Action Plan	Staff	✓

Recommendation 15 Implementation Description

ICANN should provide a detailed and comprehensive plan within 3 months after the submission of the Final WHOIS Review Team report that outlines how ICANN will move forward in implementing these recommendations.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

WHOIS Recommendation 15 Implementation

Detailed and Comprehensive Plan

Recommendation fully implemented as of 30 June 2015

Project Status

ICANN Staff developed and published its proposed [Action Plan](#), which was adopted by the ICANN Board.

Implementation Notes

This recommendation is complete.



WHOIS Recommendation 16 Implementation

Recommendation fully implemented as of 30 June 2015

WHOIS Recommendation 16 Implementation

Annual Status Reports

Recommendation fully implemented as of 30 June 2015

Implementation 16 Timeline



Status Reporting

Status of Deliverables

	Responsible	Due Date
Publish Annual Reports one year after the Board's approval of the WHOIS Policy Review Team Final Report Recommendations, and publishes subsequent Annual Reports on a yearly basis	Staff	✓

Recommendation 16 Implementation Description

ICANN should provide at least annual written status reports on its progress towards implementing the recommendations of this WHOIS Review Team. The first of these reports should be published one year, at the latest, after ICANN publishes the implementation plan mentioned in recommendation 15, above. Each of these reports should contain all relevant information, including all underlying facts, figures and analyses.



Complete
Planned/In Process
Behind schedule, expected to recover within original plan
Behind schedule, original plan to be adjusted

WHOIS Recommendation 16 Implementation

Annual Status Reports

Recommendation fully implemented as of 30 June 2015

Project Status

ICANN published its first [Annual Report](#) one year after the Board's approval of the [WHOIS Policy Review Team Final Report](#) Recommendations, and publishes subsequent ones on a yearly basis.

- [First Annual Report \(2013\)](#) – 4 Nov 2013
- [Second Annual Report \(2014\)](#) – 12 Dec 2014
- [Third Annual Report \(2015\)](#)– Feb. 2016

Implementation Notes

This recommendation is complete.