Implementation Report on the WHOIS Improvements

Implementation Status of the <i>Board</i> Approved¹ WHOIS Review Team Final Report Recommendations As of 8 October 2014				0	or or or
	Topic	Summary of Implementation a	ctivities		Milestones & Due Dates
	WHOIS - Strategic Priority				
1.a	WHOIS as a strategic priority	WHOIS emphasized Strategic Plan and funded in the FY14 Budget New five year Strategic Plan under development to identify ICANN's key strategic initiatives			V Strategic Plan 2012-2015 approved 6 May 2012 V FY 14 Budget to be approved by the Board by Aug 2013 V New 5 Year Strategy Plan process launched April 2013 V Draft of Proposed 5 Year Strategy Plan posted for public comment 29 Oct 2013 ◊ Final 5 Year Strategy Plan to be approved by ICANN Board − October 2014
		Expanded Compliance Team und	der CEO		V Announcement of Vice President of Contractual Compliance reporting to the CEO- 14 Sept 2012
		Strategic Initiatives Team addre	ssing WHOIS		v Vice President of Strategic Initiatives responsible for WHOIS - 15 Nov 2012
		WHOIS Highlighted in Toronto C	CEO Opening Speech		√ President's Opening Session- <u>Fadi Charts the Course</u> 15 Oct 2012
		ICANN's Adoption of the WHOIS	RT recommendation	S	V <u>Board resolution</u> on 8 Nov 2012 <u>Action Plan</u>
		CEO overseeing improvements in contracts, including: O Adoption of new 2013 Accreditation Agreeme compliance & WHOIS re	Registrar ent includes many	;	V <u>Board resolution</u> adopts <u>new 2013 RAA</u> - 27 June 2013 V <u>Implementation</u> of new RAA commenced - 27 June 2013 V <u>Advisory</u> published on new WHOIS Format and Fields

Adoption of New gTLD Registry Agreement

requires registrars to use 2013 RAA and incorporates many WHOIS improvements

2013 RAA to be transitioned in existing

registry agreements

registry agreements through renewals of

√ Transition Period – certain WHOIS obligations under

v Registrars signed new 2013 RAA (2013 - 2018); The list of Registrars on the 2013 RAA available here
v Board's New gTLD Program Committee adopts new

the 2013 RAA, such as validation effective 1/1/14

Registry Agreement - 2 July 2013

.info - 22 Aug 2013

signed 22 Aug 2013

√ New gTLD Registries signed new registry

agreements. List of registries available here. V ICANN's renewal Agreements with .ORG, .INFO and .BIZ to require its registrars to transition to 2013 RAA

√ ICANN Board approved renewals of .org, .biz and

√ New registry agreements for .org, .biz and .info

¹ This Summary highlights ICANN's progress measured against the <u>Action Plan</u> approved by the ICANN Board in its <u>8</u> <u>November 2012 meeting</u>. In some instances, the <u>Action Plan</u> adopts an alternative approach to implementing the recommendations from those proposed in the <u>WHOIS Review Team Final Report</u>.

1.b	ICANN Staff incentivization	Staff is incentivized through ICANN's compensation system, as WHOIS projects are identified in both At- Task and the management system	V WHOIS Related Projects in at-task published in myicann.org in July 2013
		CEO compensation is based on the overall goals and objectives of the entire organization and set forth in At-Task	V Updates to <u>projects</u> listed in myicann.org to take place periodically to provide transparency on project status
1.c	Board involvement in WHOIS improvements	Board receives updates with regard to WHOIS related activities and implementation	V Compliance presented the 3-year plan at ICANN board retreat − 7 Feb 2012 V Board's financial approval of the Compliance Dept.'s audit program - 3 October 2012 V gTLD Whois Update during the board workshop − 1 Feb 2013 V Updates on WHOIS Compliance and Expert Working Group (EWG) progress at Board workshop in Sept 2013 V Board Informational Paper on Status of WHOIS Implementation for Buenos Aires Meeting- Nov 2013 V Board receives CEO updates on a trimester basis on the status of ICANN's key organizational activities, including WHOIS improvements V Board responds to GAC questions regarding WHOIS and New gTLDS − Sept 2014
1.d	Public Status of Implementation	The public is kept closely apprised of implementation progress through regular updates, announcements on icann.org, blog posts, updates at ICANN meetings, and webinars	 ✓ Pre-Beijing Policy Update webinar – 21 March 2013 ✓ Blog on WHOIS Implementation- 27 March 2013 ✓ ICANN Beijing Sessions: • RAA and New GTLD Agreement – 8 April 2013 • Update on Restful WHOIS – 10 April 2013 • Compliance Update 10 April 2013 • Blog on publication of single WHOIS policy page – 15 April 2013 ✓ Webinar on WHOIS Implementation Update – 24 April 2013 ✓ Webinar on Proposed Final 2013 RAA – 6 May 2013 ✓ Webinar on Proposed Final 2013 RAA – 6 May 2013 ✓ Webinar on Proposed Final 2013 RAA – 6 May 2013 ✓ Webinar on Proposed Final 2013 RAA – 27 Jun 3 2013 ✓ ICANN Belated Projects in at-task published in myicann.org in July 2013 ✓ ICANN Durban Sessions: • Compliance Update webinar – 27 Jun 3 2013 ✓ ICANN Blog Regarding Registrar Outreach on New 2013 RAA events 19 Sept 2013 posted ✓ ICANN Buenos Aires Sessions: • Improving WHOIS, an Update 21 Nov 2013 • Contractual Compliance Program Update 20 Nov 2013 ✓ Status of Improvements published in new WHOIS Website Beta ✓ ICANN Blog on WHOIS Primer and Global Look-Up Tool 24 Jan 2014 ✓ ICANN Blog on a Model for Exploring WHOIS Accuracy 3 Mar 2014 ✓ Public Comment Forum on Draft Implementation Plan for WHOIS Online Accuracy Reporting System 11 Mar 2014 ✓ Announcement on Additional WHOIS Information Policy (AWIP) 2 July 2014

_	Single WHOIS Policy	Single Page contains links to all WHOIS related agreements and consensus policies Overall "easy to read" Digest of WHOIS service	V Announcement on WHOIS Service Clarifications 12 September 2014 V Series of webinars have been completed and are planned for future updates V All Things WHOIS Session at the LA Meeting – 13 Oct 2014 V Single Page completed April 2013 V Blog announcement informed the public of its publication 15 April 2013 V Publication of WHOIS Primer on new WHOIS Informational Website 24 Jan 2014
	Outreach – ICANN should ensure that WHOIS policy issues are accompanied by cross-community outreach	New 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 conducting global outreach to registrars to educate them on new 2013 RAA requirements	V New Registrant Benefits & Responsibilities Document part of new 2013 RAA – 27 June 2013, made available by Registrars and Resellers to registrants and posted in the new WHOIS Informational Website. V Activities related to implementation for new WHOIS obligations under the 2013 RAA: • Durban Presentation to GNSO 13 July 2013 • Advisory published on the New WHOIS Format and Fields required -31 July 2013 V Additional Registrar outreach activities include: • An in-person two-day educational outreach session, geared toward registrars operational staff, held in Los Angeles on 22-23 August 2013, and steamed live, via Adobe Connect • An in-person two-day educational outreach session, in Xiamen, China, on 26-27 August 2013. This session was conducted in English and Chinese (via live translation) • An in-person two-day educational outreach session held in Berlin in 23-24 September 2013 • An in-person educational one educational outreach session, held in Buenos Aires, Argentina, following the November 2013 ICANN meeting (at the same venue, with real time Spanish and Portuguese translation services) • A dedicated 2013 RAA registrar support email address and ticketing system created • Extensive updates to the formerly, 2009 RAA Registrar Training Program content to apply to 2013 RAA • A series of webinars addressing some of the newer, and more complex, areas of the new agreement. • A process and form for registrars to request a waiver of data retention obligations due to conflicts with local privacy laws (as set forth in the Data Retention Specification) Ongoing collaboration with a registrar working group to identify feasible tools for registrar validation of Whois data • Updates to the Registrar Data Escrow arrangement with Iron Mountain to take into account the new requirement to escrow the underlying customer

			data of Whois prove and privacy sorvices
		ICANN Contractual Compliance Staff conducting outreach in Asia Pacific, highlighting WHOIS obligations in native languages	data of Whois proxy and privacy services V ICANN Blog Regarding Registrar Outreach on New 2013 RAA events 19 Sept 2013 V ICANN Blog on Everything You Need to Know about the 2013 RAA 13 Feb 2014 V ICANN Blog on the Data Retention Requirements 28 Feb 2014 V ICANN Singapore Session on 2013 FAQs 26 Mar2014 V Beijing Outreach to Registrars from Compliance Dept. 6 April 2013 V North America Registrar Meeting held on 22 and 23 August 2013 in Los Angeles, USA V Asia Pacific Registrar Meeting held on 26 and 27 August 2013 in Xiamen, China V European Registrar Meeting held on 23 and 24 September 2013 in Berlin, Germany V Updated Complaints V Additional information available on other
		Communications Team planning outreach activities	Compliance Deptartment is available on the Recent outreach activities website Since November 2013: V Completed system, FAQ, forms and staff training to ensure 2013 RAA Readiness. Please refer to this link for more details. V The 2013 RAA introduced improvements to WHOIS data with stricter validation and verification requirements. For ex. Anytime you register, transfer or change ownership of a domain name, the registrar must validate all of the Whois data and verify the email address or phone number. V Implementation of Communications Plan to
		tied to the launch of the new WHOIS Website Beta	commence with the WHOIS Website Beta launch
4	Contractual Compliance managed in accordance with best practice principles	Vice President of Contractual Compliance (Maguy Serad) appointed to report directly to the CEO New Compliance complaint handling systems & procedures implemented Greater visibility on WHOIS related metrics and	V Announcement of Vice President of Compliance reporting to the CEO- 14 Sept 2012 V Migrated internic.org complaints to icann.org - June 2013 V Completed automation of complaints process - June 2013 V Implemented the "multiple complaint" submission process at the request of the community. VLaunched Whois Inaccuracy bulk Complaints submission process and tool on 1 November 2013. V Added Pulse Survey in complaint closure email to both the contracted parties and the reporter (complainant). V Launched a WHOIS inaccuracy quality check on already resolved inaccuracy issues by periodically reviewing to confirm on-going compliance. V Monthly Compliance Updates published on
		improvements to Compliance processes and results	icann.org V Monthly reporting of compliance related metrics

through myicann.org **VICANN Durban 47 Session on Contractual** Compliance Update highlighted WHOIS results V Updated Complaints submission processes to address new 2013 RAA requirements – 31 Oct 2013 √ Completed updates and additions to the complaint submission forms and FAQs for the 2013 RAA and the new Registry Agreement - link to: https://www.icann.org/resources/pages/complaints-2013-03-22-en V Compliance 2012 Annual Report published − 3 February 2013 √ Published the Compliance 2013 Annual Report published in February 2014 √ Compliance Update Session in Singapore 24 Mar √ Launch a Three Year Audit Program: New 3 year Compliance Program to focus on key √ Launched Year 2 Audit program registrar/registry obligations, including WHOIS √ Completed Year 1 Audit √ 2012 Compliance Year One Audit Report Published New Registry Agreement Audit Program 25 June 2013 √ Completed Year 2 Audit Program May 2014 √ 2013 Compliance Year Two Audit Report to be published end of June O Three Year Audit Program to be completed by May 2015 √ Completed plan and details for new Registry Agreement Audit program (New gTLD scope) V Conducted 3 Audit outreach activities with registries. -√ Updates underway to Audit page to reflect new program and additional FAQ √ Program to launch after ICANN 50 V Additional Compliance Department recent outreach Compliance Staffing levels have increased substantially and resources allocated to additional √ Current Staff count: 21 Staff members, covering the headcount following languages: Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish, , and Uzbek. V Compliance Staff levels published and updated regularly √ For FY14, the Compliance Department has approval to add one additional head-count, and is planning through these positions to establish global presence in ICANN's hub offices VICANN accomplished the FY14 staffing objective -Singapore and Istanbul hub offices are now staffed with compliance staff. √ Compliance established in the 3 regions; 3 in Istanbul, 2 in Singapore; √ Executive approval for FY15 to add 3 compliance staff in the hubs (1 in Istanbul and 2 in Singapore)

	Data Accuracy		
5	WHOIS	See answers to #3 & 10.	See answers to #3 & 10.
	requirements for accurate data widely and pro- actively	Staff developed a WHOIS Informational Website to Provide historical record of WHOIS Consolidate WHOIS policy documentation	∨ FY14 Budget request includes funds for development of WHOIS Informational Website & WHOIS Search Portal ∨ Completed requirements gathering for WHOIS
	communicated	 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 Provide a Knowledge Center where key WHOIS related documents can be located 	Informational Website – July 2013 V Development of WHOIS Information Website – July – Oct 2013 V Beta Launch for WHOIS Informational Website – (Oct 2013) V Public launch of WHOIS Informational Website – (Nov 4 2013) V Public Launch of foreign translations of WHOIS Information Website (4 Nov 2013) V Communications Plan kick-off for roll-out of WHOIS Informational Website (Nov 2013)
6	ICANN should take appropriate measures to reduce the number of WHOIS registrations that fall into the accuracy groups "Substantial Failure and Full Failure"	To address this recommendation, the Board directed the CEO to: 1) Proactively identify potentially inaccurate gTLD data registration information in gTLD registry and registrar services, explore using automated tools, and forward potentially inaccurate records to gTLD registrars for action; and 2) Publicly report on the resulting actions to encourage improved accuracy. In implementing the Board's direction, ICANN is developing online WHOIS search and data accuracy reporting functionality to be part on the new WHOIS portal, as described below in #7 & 11.	See answers to #7 & 11 below for information on the statistics on accuracy to be gathered in connection with the new WHOIS Search Portal
7	Annual WHOIS accuracy reports	Staff developing a WHOIS Accuracy Sampling and Reporting System using the methodology of the NORC Study.	V Completion of preliminary assessment of implementing a statistical analysis program (2013) V Evaluation of costs associated with telephone validation, using businesses in the identify verification businesses (15 September 2013)
8	ICANN should	To accomplish the requested analysis, Staff's work is focusing on: 1. Statistical methodology 2. Access to WHOIS records 3. Parser to automate contact data extraction 4. Automated address verification 5. Call center to call all sampled records.	V Review proposals from outside vendors to conduct statistical reporting Oct/Nov 2013 V Select vendor & contract for Draft Design of Experiment Jan 2014 V ICANN Blog on a Model for Exploring WHOIS Accuracy 3 Mar 2014 V Public Comment Forum on Draft Implementation Plan for WHOIS Online Accuracy Reporting System 11 Mar 2014, closed 22 April 2014 V Published RFP based on Final Implementation Plan for WHOIS Online Accuracy Reporting System 30 April 2014 V Select and contract with vendors responding to RFP following the London meeting V Publish preliminary accuracy report by October 2014, and regular updates ◊ Development of systems to gather the data needed to perform the statistical analysis (date TBD) See answers to #1.a above.
	ensure that there is a clear, unambiguous and	New 2013 RAA includes additional enforcement provisions and sanctions applicable to registrars,	and anomers to make above.

	enforceable chain	registrants, and resellers with regards to WHOIS.	
	of contractual agreements	New gTLD Registry Agreements include enhanced WHOIS obligations	
		Renewals of existing GTLDs to include enhanced WHOIS obligations	
9	Compliance Metrics: Impact of the annual WHOIS Data Reminder Policy (WDRP)	The Board's Resolution addressing the WHOIS Review Team Recommendations offered alternative approach to achieving the intended result of this recommendation.	See answers to #5 - 7 above.
10	Data Access – Privacy and Proxy Services – ICANN should initiate processes to regulate and	Adopted 2013 Registrar Accreditation Agreement, includes many new obligations related to privacy/proxy providers, and commits ICANN to create a privacy/proxy accreditation program	V Board resolution adopts new 2013 RAA - 27 June 2013 V Implementation of new RAA commenced- 27 June 2013 V Transition Period – certain WHOIS obligations, such as validation effective 1/1/14
	oversee privacy and proxy service providers	GNSO PDP to be commenced shortly to examine policy issues related to privacy/proxy services	v Transition Period – <u>Interim Specification on</u> <u>privacy/proxy services</u> in effect until 1/1/17 to allow for the privacy/proxy accreditation program to be developed and the PDP to be concluded v <u>Staff Report on the Conclusion of the RAA</u> <u>negotiations</u> 16 Sep 2013
		Consensus policy, if produced out of the PDP would become binding upon contracted parties, when adopted by Board	V GNSO PDP on Privacy/Proxy Services commenced Oct 2013 V Charter for PDP on Privacy/Proxy Services to be approved by GNSO 31 Oct 2013 ◊ PDP Initial Report release estimate (Jan 2015) ◊ PDP Final Report - estimate May 2015 ◊ GNSO approval of PDP recommendation – estimate June 2015
		Staff Implementation work to develop the operational aspects of the Privacy/Proxy Accreditation Program to be conducted in parallel with GNSO PDP	♦ Board Approval of PDP recommendations - estimate July 2015 ♦ ICANN Staff analysis of the operational aspects of the Privacy/Proxy Accreditation Program ♦ ICANN Staff Initial Recommendations on Accreditation Framework Report to be published for public comment/consultation ▼ Staff planning to present its preliminary set of Privacy/Proxy Service Accreditation Program implementation alternatives to the Privacy Proxy Service Accreditation Issues Working Group in October 2014 (at ICANN 51) for feedback.
11	Data Access – Common Interface. Overhaul of the Internic Service.	WHOIS Inaccuracy complaints migrated by the Compliance Dept. and automated ICANN is currently working on a comprehensive WHOIS Portal, with development to occur in two phases to overhaul the Internic service:	V Migrated internic.org <u>complaints to icann.org</u> June 2013 V Completed automation of <u>complaints process</u> June 2013 V WHOIS Informational Website (Phase I) scoped July 2013 V Beta Launch of <u>WHOIS Informational Website</u> (Phase
		Phase 1- Launch of WHOIS Informational Website (see description above in #5) Phase 2- Launch of WHOIS Online Search Portal to	l) 4 Nov 2013 √ Communications Plan kicked off for Phase I (4 Nov 2013)
		offer a place where people could initiate a search of global WHOIS records	v Scoping of WHOIS Search Portal (Phase II) - Sept/Oct 2013

		Communications Plan to be coordinated with launch of each phase	V Publication of Implementation Plan for WHOIS Search Portal Jan 2013 V Beta Launch for WHOIS Search Portal (Phase II) − (Singapore Meeting 2014) V Communications Plan kicked off for Phase II Beta (12 Mar 2014) V Formal Launch of WHOIS Search Portal (Phase II) -
	Internationalized Domain Names		
12	Determine appropriate Internationalized Domain Name Registration (IRD) data requirements	IETF WEIRDS Working Group currently evaluating technical protocols Once adopted by the IETF, new gTLD Registry Agreement and New 2013 RAA include commitments to adopt new protocols ICANN is also in the process of tasking 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. ICANN is commissioning a Study to Evaluate Available Solutions for the Submission and Display of Internationalized Contact Data	O WEIRDS to finalize new protocol ◇ WEIRDS final solution to be implemented into the contracts estimated December 2014 ✓ Board resolution adopts new 2013 RAA – 27 June 2013 ✓ Implementation of new RAA commenced 27 June 2013 ✓ Board's New gTLD Program Committee adopts new Registry Agreement - 2 July 2013 ✓ ICANN's renewal Agreements with .ORG, .INFO and .BIZ to require its registrars to transition to 2013 RAA ✓ ICANN Board approved renewals of .org, .biz and .info – Aug 2013 ✓ New registry agreements for .org, .biz and .info signed 22 Aug 2013 ✓ Registrars sign new 2013 RAA (2013 - 2018); List of Registrars on the 2013 RAA available here, ✓ New gTLD Registries sign new registry agreements. List of registries available here. ✓ Announcement for IRD Team - 8 July 2013 ✓ IRD Team selected - September 2013 ✓ IRD Team analysis under way ✓ Singapore Session on IRD Status 26 Mar 2014 ✓ Interim Report of IRD Team — Apr 2014 ✓ Initial Model of IRD Team — Apr 2014 ✓ Final Report of IRD Team — Apr 2014 ✓ Final Report of IRD Team ◇ Board Approval of IRD Team — Apr 2014 ✓ Terms of Reference for a Study to Evaluate Available Solutions issued — June 2013 ✓ Responses received & contractors identified ✓ Contractor to commence work- Nov 2013
13	Requirements for translation/ transliteration of internationalized registration data	Issue of Translation/Transliteration is being explored as a policy matter within the GNSO Council Consensus policy, if produced out of the PDP would become binding upon contracted parties, when adopted by Board 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.	V Preliminary Report - published June 2 2014 ◊ Final Report V Preliminary GNSO Issue Report published 8 January 2013 V Final GNSO Issue Report published 21 March 2013 V GNSO approves the commencement of the PDP on translation/transliteration of Registration Data − 13 June 2013 V Charter for PDP WG approved by GNSO 20 Nov 2013 V PDP WG analysis under way o PDP Initial Report ◊ PDP Final Report ◊ GNSO approval of PDP recommendations - estimated Mar 2015 ◊ Board Approval of PDP recommendations - estimated May 2015

14	Metrics on accuracy internationalized registration data	IDN WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete	IDN WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete. O Scoping of requirements once the work in #12 and #13 is concluded - estimated 2015 Resources and schedule to be developed – estimated 2015
15	Comprehensive Implementation Plan for implementing the Final WHOIS Review Team report.	ICANN Staff developed and published its proposed plan, which was adopted by the ICANN Board	v Staff proposed Action Plan delivered in the <u>briefing</u> <u>materials</u> submitted to the Board v <u>Board resolution</u> on 8 Nov 2012 v <u>Action Plan</u> adopted 9 Nov 2012
16	Publication of Annual Reports on Implementation of WHOIS RT Recommendations	ICANN plans to publish first Annual Report one year after the Board's approval of the WHOIS Review Team Final Report recommendations	√ Publication of <u>First Annual Report</u> – 4 Nov 2013