








Implementation Report on the WHOIS Improvements

Implementation Status of the <i>Board Approved</i> ¹ WHOIS Review Team Final Report Recommendations As of 8 February 2015		Key: Complete ✓ or  In Progress ○ or  In Planning ◇ or 	
	Topic	Summary of Implementation Activities	Milestones & Due Dates ²
	WHOIS - Strategic Priority		
1.a 	WHOIS as a strategic priority	<p>WHOIS emphasized in Strategic Plan as part of Strategic Objective 2.1 and funded in the FY15 Operating Plan and Budget.</p> <p>WHOIS Program supervised by Strategic Initiatives Team and implemented through a cross-departmental effort.</p> <p>CEO oversaw improvements to WHOIS obligations in contracts, including:</p> <ul style="list-style-type: none"> • Adoption of new 2013 Registrar Accreditation Agreement, which includes many Compliance and WHOIS related enhancements; • Adoption of New gTLD Registry Agreement requiring registrars to use 2013 RAA and incorporate many WHOIS improvements; and • Transition of 2013 RAA into existing registry agreements via renewals of registry agreements. 	<p>✓ Final 5 Year Strategic Plan approved by ICANN Board – 16 Oct 2014.</p> <p>✓ Allen Grogan appointed as the new ICANN Chief Contract Compliance Officer to oversee Contract Compliance and Consumer Safeguards enhancements, including WHOIS. – 10 Oct 2014.</p> <p>✓ Registrars signed new 2013 RAA (2013 - 2018); List of Registrars on the 2013 RAA available here.</p> <p>✓ New gTLD Registries now sign new registry agreements. List of registries available here.</p> <p>✓ WHOIS Accuracy Specification of 2013 RAA to be reviewed annually.</p> <p>✓ First review scheduled Early 2015</p> <p>✓ ICANN plans to solicit community feedback beginning in January 2015 and meet with registrars in Singapore in 2015.</p>
1.b 	ICANN Staff incentivization	<p>WHOIS projects identified in both AtTask and the Halogen management system.</p> <p>CEO compensation based on the overall goals and objectives of the entire organization set forth in AtTask.</p>	
1.c 	Board involvement in WHOIS improvements	Board updated, on a trimester basis on the status of WHOIS related activities and implementation.	<p>✓ ICANN Board NGPC Response to GAC London Communiqué – 3 Nov 2014</p> <p>✓ ICANN Board NGPC Response to GAC Los Angeles Communiqué – 22 Jan 2015</p>
1.d 	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.	<p>✓ ICANN Blog on the Debut of the Beta Launch of the WHOIS Website – Phase I – 4 Nov 2013</p> <p>✓ ICANN Buenos Aires Sessions: ✓ Contractual Compliance Program Update – 20 Nov 2013 ✓ Improving WHOIS, an Update – 21 Nov 2013</p> <p>✓ ICANN Singapore Sessions: ✓ Contractual Compliance Program Updates and Q&A Session – 26 Mar 2014</p> <p>✓ ICANN London Sessions: ✓ GAC Meeting: ICANN Overview on WHOIS – 22 June 2014</p>

¹ This Summary highlights ICANN's progress in 2014 measured against the [Action Plan](#) approved by the ICANN Board in its [8 November 2012 meeting](#). In some instances, the [Action Plan](#) adopts an alternative approach to implementing the recommendations from those proposed in the [WHOIS Policy Review Team Final Report](#).

² See [Appendix A of the WHOIS Improvements 2013 Annual Report](#) for previously completed Milestone and Due Dates.

			<ul style="list-style-type: none"> √ Contractual Compliance Program Updates and Q&A Session – 25 June 2014 √ ICANN Los Angeles Sessions: <ul style="list-style-type: none"> √ GAC Meeting: WHOIS – 12 Oct 2014 √ All Things WHOIS - Now and in the Future – 13 Oct 2014 √ ICANN Singapore Sessions: <ul style="list-style-type: none"> √ All Things WHOIS – 9 Feb 2015 √ GAC Meeting: WHOIS – 10 Feb 2015 √ Status of Improvements published on new WHOIS Website √ 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 √ Draft Implementation Plan for the WHOIS Online Accuracy and Reporting System published – 11 Mar 2014 √ Public Comment Forum on Draft Implementation Plan for WHOIS Online Accuracy Reporting System – 11 Mar 2014 <ul style="list-style-type: none"> √ Public Comment Forum on Draft Implementation Plan for WHOIS Online Accuracy Reporting System – 11 Mar 2014, closed 22 April 2014 √ Staff Report published – 1 Mar 2014 √ ICANN Blog on Introducing the Beta Launch of the New ICANN WHOIS Lookup Tool – 9 Apr 2014 √ Announcement on Additional WHOIS Information Policy (AWIP) – 2 July 2014 √ Announcement on WHOIS Service Clarifications – 12 September 2014 √ ICANN Blog on What's Up with WHOIS – 10 Oct 2014 √ Series of webinars have been completed and are planned for future updates. <ul style="list-style-type: none"> √ ICANN's Quarterly Stakeholder Calls cover key operational developments, including WHOIS – Nov 2014 √ ICANN Blog on WHOIS: A Year in Review 15 Dec 2014 √ Initial Report from PDP Working Group on Translation and Transliteration of contact information published - 15 Dec 2014 <ul style="list-style-type: none"> √ Public Comment on Initial Report from PDP Working Group on Translation and Transliteration of contact information – 16 Dec 2014, closed 1 Feb 2015 <ul style="list-style-type: none"> ○ Staff Report due - 22 Feb 2015 √ GNSO Translation and Transliteration of Contact Information PDP Webinar – 9 Jan 2015
2	Single WHOIS Policy	A Single Page containing links to all WHOIS related agreements and consensus policies developed.	<ul style="list-style-type: none"> √ Publication of an “easy to read” WHOIS Primer on the WHOIS microsite – 24 Jan 2014 √ Continued updates of the WHOIS Primer and the Knowledge Center.
3	Outreach: ICANN should ensure that WHOIS policy issues are accompanied by cross-community outreach	<p>Requirements that link to Registrant Benefits & Responsibilities Document, written in simple language to educate registrants on obligations related to WHOIS, included in the 2013 RAA.</p> <p>ICANN Staff conducted global outreach to registrars to educate them on new 2013 RAA requirements.</p>	<ul style="list-style-type: none"> √ ICANN Blog on The 2013 Registrar Accreditation Agreement - What You Need to Know – 13 Feb 2014 √ ICANN Blog on the Update on 2013 RAA and Data Retention Waiver Process – 28 Feb 2014 √ ICANN Singapore Session on 2013 RAA FAQs – 26 Mar 2014 <ul style="list-style-type: none"> √ The 2013 RAA introduced improvements to WHOIS data with stricter validation and verification

		<p>ICANN Contractual Compliance Staff conducted outreach in Asia/Pacific, highlighting WHOIS obligations in native languages.</p> <p>New WHOIS microsite launched:</p> <ul style="list-style-type: none"> • Published in six languages; and • A one-stop-shop for those seeking information about WHOIS. 	<p>requirements.</p> <p>√ Completed system, FAQ, forms and Staff training to ensure 2013 RAA readiness. Please refer to this link for more details.</p> <p>√ Implementation of a Communications Plan to commence with the WHOIS Website launch</p> <p>√ Frequent updates through social media, such as twitter and Facebook in all UN languages.</p>
4	<p>Contractual Compliance: to managed in accordance with best practice principles</p>	<p>New Compliance complaints handling systems and procedures have been implemented.</p> <p>Greater visibility on WHOIS-related metrics and improvements to Compliance processes and results has been achieved.</p> <p>New 3 year Compliance Program on key registrar/registry obligations, including greater visibility on WHOIS-related metrics and improvements to Compliance processes and results</p> <p>New Registry Agreement Audit Program put in place.</p> <p>Compliance Staffing levels increased substantially and resources were allocated for additional headcount.</p>	<p>√ Launched WHOIS inaccuracy bulk complaints submission process and tool – 1 Nov 2013</p> <p>√ Launched a WHOIS inaccuracy quality check on already resolved inaccuracy issues to confirm ongoing compliance</p> <p>√ Completed updates and additions to the complaint submission forms and FAQs for the 2013 RAA</p> <p>√ Compliance 2013 Annual Report published – Feb 2014</p> <p>√ Compliance Performance Reports now available</p> <p>√ 2013 Compliance Annual Report – 10 Feb 2014</p> <p>√ Launch a Three Year Audit Program (ending 2015):</p> <p>√ Completed Year 1 Audit</p> <p>√ 2013 Compliance Annual Report – Feb 2013</p> <p>√ Completed Year 2 Audit Program – May 2014</p> <p>√ 2013 Compliance Year Two Audit Report – July 2014</p> <p>√ Completed the plan and details for new Registry Agreement Audit program (New gTLD scope)</p> <p>√ Conducted 3 Audit outreach activities with registries.</p> <p>√ Updates to Audit page reflected new program and additional FAQ.</p> <p>√ Additional Compliance Department outreach activities.</p> <p>√ 2014 Contractual Compliance New Registry Agreement Audit Report 30 Jan 2014</p> <p>√ Compliance Staff levels published and updated regularly. Current Staffing covers the following languages: Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish, and Uzbek.</p> <p>√ Compliance established in 3 regions; 4 Staff in Istanbul, 4 Staff in Singapore.</p>
	Data Accuracy		
5	<p>WHOIS requirements for accurate data widely and pro-actively communicated</p>	<p>Staff developed a WHOIS Informational Website to:</p> <ul style="list-style-type: none"> • 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 	<p>See answers to #3.</p> <p>√ Public launch of WHOIS Informational Website – 4 Nov 2013</p> <p>√ Public Launch of foreign translations of WHOIS Information Website – Nov 2013</p> <p>√ Communications Plan kick-off for roll-out of WHOIS Informational Website – Nov 2013</p> <p>√ Usage of the WHOIS microsite has grown since its launch to over 173,000 unique page views.</p>

		<ul style="list-style-type: none"> • Provide a Knowledge Center where key WHOIS related documents can be located. 	
6	ICANN should take appropriate measures to reduce the number of WHOIS registrations that fall into the accuracy groups "Substantial Failure and Full Failure"	<p>To address this recommendation, the Board directed the CEO to:</p> <ul style="list-style-type: none"> • 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 • Publicly report on the resulting actions to encourage improved accuracy. 	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	<p>Staff is developing a WHOIS Accuracy Reporting System based on the methodology used by NORC at the University of Chicago.</p> <p>To accomplish the requested analysis, Staff's work is focusing on:</p> <ul style="list-style-type: none"> • Statistical methodology; • Access to WHOIS records; • Parser to automate contact data extraction; • Automated address verification; and • Call center to call sampled records. <p>Staff conducted a Pilot Accuracy Study in collaboration with NORC to test the proposed methodology using commercial validation services to test the syntactical and operation accuracy of the email, telephone number, and postal addresses using actual data of approximately 100,000 WHOIS records.</p>	<p>√ Selected vendors and contracted for Draft Design of Experiment – Jan 2014.</p> <p>√ ICANN Blog on a Model for Exploring WHOIS Accuracy – 3 Mar 2014.</p> <p>√ Public Comment Forum on Draft Implementation Plan for WHOIS Online Accuracy Reporting System – 11 Mar 2014, closed 22 April 2014.</p> <p>√ Published Request for Proposal based on Final Implementation Plan for WHOIS Online Accuracy Reporting System – 19 May 2014.</p> <p>√ Completed contracting with selected vendors for WHOIS Online Accuracy Reporting System – Aug 2014.</p> <p>√ Published Pilot Study for the WHOIS Accuracy Reporting System: Preliminary Findings – 10 Oct 2014 with regular updates planned.</p> <ul style="list-style-type: none"> √ Community feedback on Pilot Study during ICANN 51 – Oct 2014. <p>√ Publication of Final Pilot Study Report – 23 Dec 2014.</p> <ul style="list-style-type: none"> ○ Public Comment – 23 Dec 2014, closes 27 Feb 2015 ◇ Staff Report due – 20 Mar 2015. <p>◇ IAG to be formed to recommend the process for the follow-up procedure – Early 2015</p> <p>◇ IAG Process Recommendations published for Public Comment – TBD</p> <ul style="list-style-type: none"> ◇ Staff Report due – TBD <p>◇ IAG Process finalized and launched - TBD</p> <p>◇ Modifications to Accuracy Reporting System – Mar 2015</p> <ul style="list-style-type: none"> ○ Development of systems to gather the data needed to perform the statistical analysis (TBD) ◇ Launch of Accuracy Reporting System - Phase I (Syntactic validation) – Mid-2015 ◇ Launch of Accuracy Reporting System - Phase II (Operational validation) – Late-2015 ◇ Launch of Accuracy Reporting System - Phase III (Identity validation) TBD <p>√ Begin planning of a Compliance Pilot to address potentially inaccurate records – Dec 2014</p> <p>√ Initiation of a Compliance Pilot – Early 2015</p> <ul style="list-style-type: none"> ○ Review data & notify registrars of their volume ○ Begin enforcement of breaches

8	ICANN should ensure that there is a clear, unambiguous and enforceable chain of contractual agreements	Additional enforcement provisions and sanctions applicable to registrars, registrants, and resellers with regards to WHOIS included in 2013 RAA. Enhanced WHOIS obligations included in New gTLD Registry Agreements. Renewals of existing gTLDs includes enhanced WHOIS obligations. WHOIS Accuracy specifications of the 2013 RAA reviewed annually.	See answers to #1.a above.
9	Compliance Metrics: Impact of the annual WHOIS Data Reminder Policy (WDRP)	The Board's Resolution addressing the WHOIS Review Team Recommendations offers an 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 oversee privacy and proxy service providers	New obligations related to Privacy/Proxy providers and commits ICANN to create a privacy/proxy accreditation program are included in the 2013 RAA. A GNSO PDP, beginning Oct 2013, has commenced 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 is to be conducted in parallel with GNSO PDP.	√ GNSO PDP on Privacy/Proxy Services commenced – Oct 2013 √ Charter for PDP on Privacy/Proxy Services approved by GNSO – 31 Oct 2013 ◇ PDP Initial Report release – estimated 2015 ◇ PDP Final Report – estimated May 2015 ◇ GNSO approval of submitted IAG PDP Recommendation – estimated June 2015 ◇ Board Approval of PDP Recommendations – estimated July 2015 √ Staff presented a preliminary set of Privacy/Proxy Service Accreditation Program implementation alternatives to the Privacy Proxy Service Accreditation Issues Working Group for feedback – 10 Oct 2014
11	Data Access – Common Interface: Overhaul of the Internic Service	ICANN developed a comprehensive WHOIS Portal, the development of which occurred in two phases: <ul style="list-style-type: none"> • Phase 1 - Launch of WHOIS Informational Website (see description above in #5); and • Phase 2 - Launch of WHOIS Online Search Portal to offer a place where people could initiate a search of global WHOIS records. 	√ 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.
Internationalized Domain Names			
12	Determine appropriate Internationalized Domain Name Registration (IRD) data requirements	The IETF WEIRDS Working Group has concluded its evaluation of technical protocols. <ul style="list-style-type: none"> • New Registration Directory Access Protocol (RDAP) developed; • Once adopted by the IETF, the new gTLD Registry Agreement and the New 2013 RAA will include commitments to adopt the new protocols. ICANN has remains committed to this effort. A team is currently working on the IRD requirements, but is dependent upon the conclusion of the GNSO PDP on Translation and Transliteration.	√ WEIRDS finalizes new Registration Directory Access Protocol (RDAP) – Dec 2014 ◇ WEIRDS final solution to be implemented into the contracts – (TBD) √ 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 . √ 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 – Feb 2015 ◇ Board Approval of IRD recommendations –

			<p>estimated Mid 2015</p> <p>√ Study to Evaluate Solutions for the Submission and Display of Internationalized Contact Data – 2 June 2014 ◇ Final Report – Feb 2015</p> <p>See answers to #13 below.</p>
13	Requirements for Translation/Transliteration of internationalized registration data	<p>Final product is dependent upon the conclusion of the GNSO PDP on translation/transliteration.</p> <p>Issue of Translation/Transliteration is being explored as a Policy matter within the GNSO Council. Consensus policy, if produced out of the PDP and adopted by the Board, it would become binding upon the contracted parties.</p> <p>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.</p>	<p>√ GNSO Preliminary Issue Report on Translation and Transliteration of Contact Information – 8 Jan 2013 √ GNSO Final Issue Report Translation and Transliteration of Contact Information published – 21 Mar 2013 √ GNSO approves the commencement of the PDP on translation/transliteration of Registration Data – 13 June 2013 √ Charter for PDP WG approved by GNSO – 20 Nov 2013 √ 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 due - 22 Feb 2015 ◇ PDP Final Report – estimated May 2015 ◇ GNSO approval of PDP recommendations - estimated July 2015 ◇ Board approval of PDP recommendations - estimated Sep 2015</p>
14	Metrics on accuracy internationalized registration data	<p>Internationalized WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete.</p>	<p>IRD WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete.</p> <p>◇ Scoping of requirements once the work in #12 and #13 is concluded - estimated 2015 ◇ Resources and schedule to be developed – estimated 2015</p> <p>See answers to #12 and #13.</p>
15	Comprehensive Implementation Plan for implementing the Final WHOIS Review Team report.	<p>ICANN Staff developed and published its proposed Action Plan, which was adopted by the ICANN Board.</p>	
16	Publication of Annual Reports on Implementation of WHOIS RT Recommendations	<p>ICANN published its first Annual Report one year after the Board's approval of the WHOIS Policy Review Team Final Report Recommendations, with subsequent ones to be published annually thereafter.</p>	<p>√ Publication of first Annual Report – 4 Nov 2013 √ Publication of second Annual Report – 14 Dec 2015</p>