

WHOIS Recommendation 4 Implementation

Compliance
30 June 2015

Implementation 4 Timeline



Status of Deliverables

	Responsible	Due Date
New Compliance complaint handling systems & procedures implemented	Staff	✓
Greater visibility on WHOIS-related metrics and improvements to Compliance processes and results,	Staff	✓
ICANN Contractual Compliance Staff conducted outreach in Asia Pacific, highlighting WHOIS obligations in native languages.	Staff	✓
There is an org 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	Staff	✓
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 .	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



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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 org 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.