## **Implementation Report on the WHOIS Improvements**

Implementation Status of the <i>Board Approved</i> <sup>1</sup> WHOIS Review Team Final Report Recommendations As of 2 April 2015		-	√ or	
			In Planning	◊ or
	Topic	Summary of Implementation A	Activities	Milestones & Due Dates <sup>2</sup>
	WHOIS - Strategic Priority			
1.a	WHOIS as a strategic priority  ICANN Staff incentivization	WHOIS emphasized in Strategic Plan as part of Strategic Objective 2.1 and funded in the FY15 Operating Plan and Budget.  WHOIS Program supervised by Strategic Initiatives Team and implemented through a cross-departmental effort.  CEO oversaw improvements to WHOIS obligations in contracts, including:  • 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.  WHOIS projects identified in both AtTask and the Halogen management system.  CEO compensation based on the overall goals and objectives of the entire organization set forth in		√ Final 5 Year Strategic Plan approved by ICANN Board – 16 Oct 2014.  √ Allen Grogan appointed as the new ICANN Chief Contract Compliance Officer to oversee Contract Compliance and Consumer Safeguards enhancements, including WHOIS. – 10 Oct 2014.  √ Registrars signed new 2013 RAA (2013 - 2018); List of Registrars on the 2013 RAA available here. √ New gTLD Registries now sign new registry agreements. List of registries available here. √ WHOIS Accuracy Specification of 2013 RAA to be reviewed annually. √ First review scheduled Early 2015 √ ICANN plans to solicit community feedback beginning in January 2015 and met with registrars in Singapore in 2015.
1.c	Board involvement in WHOIS improvements	AtTask.  Board updated, on a trimester baw WHOIS related activities and imp		
1.d	Public Status of Implementation	Public closely apprised of the im progress through regular update icann.org, blog posts, updates at new WHOIS website, and webina	es, announcements on ICANN meetings, the	√ ICANN Blog on the Debut of the Beta Launch of the WHOIS Website – Phase I – 4 Nov 2013 √ ICANN Buenos Aires Sessions: √ Contractual Compliance Program Update – 20 Nov 2013 √ Improving WHOIS, an Update – 21 Nov 2013 √ ICANN Singapore Sessions: √ Contractual Compliance Program Updates and 0&A Session – 26 Mar 2014 √ ICANN London Sessions: √ GAC Meeting: ICANN Overview on WHOIS – 22

<sup>&</sup>lt;sup>1</sup> This Summary highlights ICANN's progress in 2014 measured against the <u>Action Plan</u> approved by the ICANN Board in its <u>8 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 Policy Review Team Final Report</u>.

<sup>&</sup>lt;sup>2</sup> See <u>Appendix A of the WHOIS Improvements 2013 Annual Report</u> for previously completed Milestone and Due Dates.

			June 2014
			√ Contractual Compliance Program Updates and
			O&A Session – 25 June 2014
			√ ICANN <u>Board Response</u> to GAC <u>London</u> <u>Communiqué</u> – 3 Nov 2014
			√ ICANN Los Angeles Sessions:
			$\sqrt{\text{GAC Meeting: WHOIS}}$ – 12 Oct 2014
			$\sqrt{\frac{\text{All Things WHOIS}}{\sqrt{\frac{\text{All Things WHois}}{\frac{\text{All Things WH$
			13 Oct 2014
			$\sqrt{\text{ICANN Board Response}}$ to GAC Los Angeles
			Communiqué –22 Jan 2015
			√ ICANN Singapore Sessions:
			√ All Things WHOIS – 9 Feb 2015
			$\sqrt{\text{GAC Meeting: WHOIS}}$ – 10 Feb 2015
			$\sqrt{\text{Status of Improvements published on new } \frac{\text{WHOIS}}{\text{Volume of Status}}$
			<u>Website</u>
			√ ICANN Blog on WHOIS Primer and Global Look-
			<u>Up Tool</u> – 24 Jan 2014
			$\sqrt{\text{ICANN Blog on a Model for Exploring WHOIS}}$
			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
			$\sqrt{\text{Public Comment Forum on Draft}}$
			Implementation Plan for WHOIS Online
			Accuracy Reporting System – 11 Mar 2014,
			closed 22 Apr 2014
			√ Staff Report published – 1 Mar 2014
			$\sqrt{\text{ICANN Blog on Introducing the Beta Launch of the}}$
			New ICANN WHOIS Lookup Tool – 9 Apr 2014
			√ Announcement on Additional WHOIS Information
			Policy (AWIP) – 2 Jul 2014
			√ Announcement on <u>WHOIS Service Clarifications</u> –
			12 Sep 2014
			$\sqrt{\text{ICANN Blog on What's Up with WHOIS}}$ – 10 Oct
			2014
			$\sqrt{\frac{\text{Series of webinars}}{Normal Normal Normal$
			planned for future updates.
			ICANINI Conservation Challed and Calle according
			√ ICANN's <u>Quarterly Stakeholder Calls</u> cover key operational developments, including WHOIS –
			Nov 2014
			√ ICANN Blog on <u>WHOIS: A Year in Review</u> 15 Dec
			2014
			$\sqrt{\frac{\text{Initial Report}}{\text{From PDP Working Group on}}}$
			Translation and Transliteration of contact
			information published - 15 Dec 2014
			$\sqrt{\frac{\text{Public Comment on Initial Report}}{\text{from PDP}}}$
			Working Group on Translation and
			Transliteration of contact information – 16 Dec
			2014, closed 1 Feb 2015
			√ <u>Staff Report</u> published - 19 Feb 2015
			√ GNSO Translation and Transliteration of Contact
	01 1 *****	A CL 1 D	Information PDP Webinar – 9 Jan 2015
2	Single WHOIS	A <u>Single Page</u> containing links to all WHOIS related	√ Publication of an "easy to read" WHOIS Primer on
	Policy	agreements and consensus policies developed.	the WHOIS microsite – 24 Jan 2014
			√ Continued updates of the <u>WHOIS Primer</u> and the
2	Outnocab ICANINI	Doguiromenta that link to Dogistacut Douglite 0	Knowledge Center
3	Outreach: ICANN	Requirements that link to Registrant Benefits &	√ ICANN Blog on <u>The 2013 Registrar Accreditation</u>
	should ensure that	Responsibilities Document, written in simple	Agreement - What You Need to Know - 13 Feb 2014  √ ICANN Blog on the Update on 2013 RAA and Data
	WHOIS policy	language to educate registrants on obligations related	v ICAINN DIOGOII LIIE <u>Opuale OII 2013 KAA and Data</u>

	issues are accompanied by cross-community outreach	to WHOIS, included in the 2013 RAA.	Retention Waiver Process – 28 Feb 2014 √ICANN Singapore Session on 2013 RAA FAQs – 26 Mar 2014
	oudeuch	ICANN Staff conducted global outreach to registrars to educate them on new 2013 RAA requirements.	√ The 2013 RAA introduced improvements to WHOIS data with stricter validation and verification requirements. √Contractual Compliance updates regularly
		ICANN Contractual Compliance Staff conducted outreach in Asia/Pacific, highlighting WHOIS obligations in native languages.	provided at the ICANN meetings. The latest one was held in <u>Singapore</u> at ICANN 52 – Feb 2015
		New WHOIS microsite launched:  • Published in six languages; and • A one-stop-shop for those seeking information about WHOIS.	√ Completed system, FAQ, forms and Staff training to ensure 2013 RAA readiness. Please refer to this link for more details. √ Implementation of a Communications Plan to commence with the WHOIS Website launch √ Frequent updates through social media, such as twitter and Facebook in all UN languages.
4	Contractual Compliance: to managed in	New Compliance complaints handling systems and procedures have been implemented.	$\sqrt{\mbox{Launched WHOIS inaccuracy bulk complaints}}$ submission process and tool – 1 Nov 2013
	accordance with best practice principles	Greater visibility on WHOIS-related metrics and improvements to Compliance processes and results has been achieved.	√ Launched a WHOIS inaccuracy quality check on already resolved inaccuracy issues to confirm ongoing compliance √ Completed updates and additions to the complaint submission forms and FAQs for the 2013 RAA √ Compliance 2013 Annual Report published – Feb 2014, and 2014 Annual Report published – Feb 2015 √ Compliance Performance Reports now available
		New 3 year Compliance Program on key registrar/registry obligations, including greater visibility on WHOIS-related metrics and improvements to Compliance processes and results	√ Launch a Three Year Audit Program (ending 2015):  √ Completed Year 1 Audit published here  √ Completed Year 2 Audit Program – May 2014  √ 2013 Compliance Year Two Audit Report – July 2014
		New Registry Agreement Audit Program put in place.	√ Completed the plan and details for new Registry Agreement Audit program (New gTLD scope) √ Conducted 3 Audit <u>outreach activities</u> with registries. √ Updates to Audit page reflected new program and additional FAQ. Completed the first round of the new Registry Agreement Audit; link to the report: √ 2014 Contractual Compliance New Registry Agreement Audit Report 30 Jan 2014
			$\sqrt{\text{Additional Compliance Department } \frac{\text{outreach}}{\text{activities}}}$
	Data Aggree	Compliance Staffing levels increased substantially and resources were allocated for additional headcount.	√ Compliance Staff levels <u>published</u> and updated regularly. Current Staffing covers the following languages: Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish, and Uzbek. √ Compliance established in 3 regions; Los Angeles, Istanbul and Singapore.
	Data Accuracy		2
5	WHOIS requirements for accurate data	Staff developed a WHOIS Informational Website to:  • Provide historical record of WHOIS;	See answers to #3.  √ Public launch of WHOIS Informational Website –
	requirements for accurate data	Provide historical record of WHOIS;	$\sqrt{\text{Public launch of } \frac{\text{WHOIS Informational Website}}{}}$ –

	widely and pro- actively communicated	<ul> <li>Consolidate WHOIS policy documentation;</li> <li>Provide mechanisms to teach people how to use WHOIS;</li> <li>Provide mechanisms for people to submit complaints as they relate to WHOIS data;</li> <li>Direct people to the appropriate channels to become engaged in the community on WHOIS related topics;</li> <li>Educate registrants on WHOIS, their rights and responsibilities; and</li> <li>Provide a Knowledge Center where key WHOIS related documents can be located.</li> </ul>	4 Nov 2013  √ Public Launch of foreign translations of WHOIS  Information Website - Nov 2013  √ Communications Plan kick-off for roll-out of  WHOIS Informational Website - Nov 2013  √ Usage of the WHOIS microsite has grown since its launch to over 173,000 unique page views.
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:  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	Staff is developing a WHOIS Accuracy Reporting System based on the methodology used by NORC at the University of Chicago.  To accomplish the requested analysis, Staff's work is focusing on:  Statistical methodology; Access to WHOIS records; Parser to automate contact data extraction; Automated address verification; and Call center to call sampled records.	√ Selected vendors and contracted for Draft Design of Experiment – 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, closed 22 Apr 2014.  √ Published Request for Proposal based on Final Implementation Plan for WHOIS Online Accuracy Reporting System – 19 May 2014.  √ Completed contracting with selected vendors for WHOIS Online Accuracy Reporting System – Aug 2014.  √ Published Pilot Study for the WHOIS Accuracy
		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.	Reporting System: Preliminary Findings – 10 Oct 2014 with regular updates planned.  √ Community feedback on Pilot Study during ICANN 51 – Oct 2014.  √ Publication of Final Pilot Study Report – 23 Dec 2014.  ○ Public Comment – 23 Dec 2014, closed 13 Mar 2015  ◊ Staff Report published – 3 Apr 2015  ◊ IAG to be formed to recommend the process for the follow-up procedure – Early 2015  ◊ IAG Process Recommendations published for Public Comment – TBD  ◊ Staff Report due – TBD  ◊ IAG Process finalized and launched - TBD  ◊ Modifications to Accuracy Reporting System – Apr – Jun 2015  ◊ Launch of Accuracy Reporting System - Phase I (Syntactic validation) – Aug 2015  ◊ Launch of Accuracy Reporting System - Phase II (Operational validation) – Late 2015  ◊ Launch of Accuracy Reporting System - Phase III (Identity validation, if at all) TBD

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	√ Compliance Pilot planned to address potentially inaccurate records – Dec 2014 √ Initiated Compliance Pilot – Dec 2014 √ Review data & notify registrars of their volume – Feb 2015 ○ Begin enforcement of breaches  See answers to #1.a above.
9	Compliance Metrics: Impact of the annual WHOIS Data Reminder Policy (WDRP)	reviewed annually.  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 Apr 2015 ◊ PDP Final Report - estimated June 2015 ◊ GNSO approval of submitted IAG PDP Recommendation - estimated Aug 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
11	Data Access – Common Interface: Overhaul of the Internic Service	ICANN developed a comprehensive WHOIS Portal, the development of which occurred in two phases:  • 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.	Service Accreditation Issues Working Group for feedback – 10 Oct 2014  √ 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.
12	Internationalized Domain Names  Determine appropriate Internationalized Domain Name Registration (IRD) data requirements	The IETF WEIRDS Working Group has concluded its evaluation of technical protocols.  • 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.	√WEIRDS finalizes new Registration Directory Access Protocol (RDAP) – Dec 2014 √WEIRDS RDAP Protocol RFCs 7480-7484 published – Mar 2015 ◊ 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

	1	ICANN has remains committed to this effort. A team is	agreements. List of registries available hors
		currently working on the IRD requirements, but is dependent upon the conclusion of the GNSO PDP on Translation and Transliteration.  Final product is dependent upon the conclusion of the GNSO PDP on translation/transliteration.	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 √ Study to Evaluate Solutions for the Submission and Display of Internationalized Contact Data – 2 Jun 2014 √Draft Final Report of IRD Team published for Public Comment – 9 Mar 2015 ◊ Public Comment Summary – 5 May 2-15 ◊ Final Report of IRD Team – June 2015 ◊ Board Approval of IRD recommendations – estimated Mid 2015  √ Study to Evaluate Solutions for the Submission and Display of Internationalized Contact Data – 2 June 2014 ◊ Final Report – Apr 2015  See answers to #13 below.
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 and adopted by the Board, it would become binding upon the contracted parties.  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.	See answers to #13 below.  √ 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 - Summary of Public Comments – 19 Feb 2015  ◊ PDP Final Report – estimated May 2015  ◊ GNSO approval of PDP recommendations - estimated July 2015  ◊ Board approval of PDP recommendations - estimated Sep 2015
14	Metrics on accuracy internationalized registration data	Internationalized WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete.	IRD WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete.  © Scoping of requirements once the work in #12 and #13 is concluded - estimated 2015 © Resources and schedule to be developed - estimated 2015  See answers to #12 and #13.
15	Comprehensive Implementation Plan for implementing the Final WHOIS Review Team report.	ICANN Staff developed and published its proposed Action Plan, which was adopted by the ICANN Board.	

Publication of WHOIS RT

ICANN published its first <u>Annual Report</u> one year after the Board's approval of the <u>WHOIS Policy Review Team Final Report Recommendations</u>, with subsequent ones to be published annually thereafter.

 $\sqrt{\text{Publication of first } \frac{\text{Annual Report}}{\text{Publication of second } \frac{\text{Annual Report}}{\text{Annual Report}}$  − 14 Dec 2015

Annual Reports on Implementation of Recommendations