RDS-WHOIS2-RT Plenary Call #8

Plenary Call

28 September 2017

RDS/WHOIS2-RT Plenary Agenda

1. Welcome, roll-call
2. Implementation Briefings on WHOIS Recommendations 4, 12, 13, 14
3. Scope
4. Face-to-Face meeting #1Agenda
5. ICANN60 informal meeting
6. A.O.B.

Implementation Briefings on WHOIS Recommendations 4, 12, 13, 14

Agenda Item #2

Roger Lim – Director, Contractual Compliance (APAC)
Trang Nguyen – VP, Strategic Programs
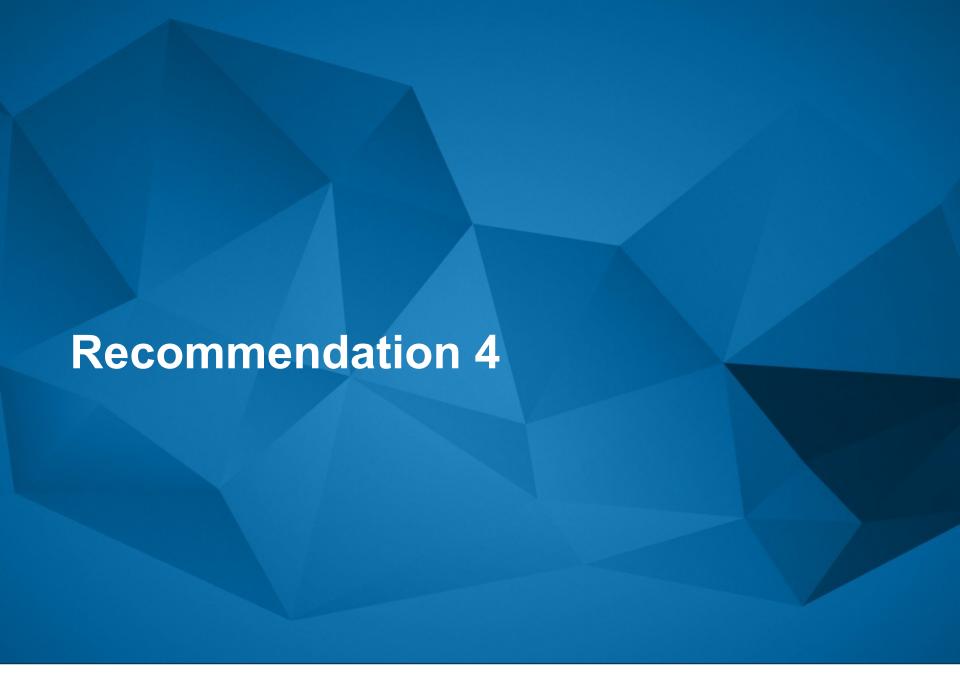**Negar Farzinnia** - Director, MSSI Technical Reviews & Review Implementation

WHOIS Recommendations

Recommendations covered in this briefing:

- Recommendation 4

- Recommendation 12

- Recommendation 13

- Recommendation 14

Recommendation 4

Recommendation Summary & Board Action

Review Team Recommendation Summary	**Recommendation 4** -- ICANN should ensure that its compliance function is managed in accordance with best practice principles, including full transparency on resourcing and structure; provide annual reports; appoint a senior executive whose sole responsibility would be to oversee and manage ICANN's compliance function (reporting to Board Committee); provide all necessary resources to manage and scale compliance team's activities.
Board Action	The Board directs the CEO to create and publicize a reporting structure on compliance activities, and regularly report on compliance activities related to gTLD registration data.
Board Rationale	The contractual compliance function of ICANN now directly reports to the CEO and has received increases in personnel and budget. The CEO will regularly report on compliance activities to the Board and publish reports to the community.

Deliverables For Recommendation 4

- Implement new Compliance complaint handling systems and procedures

- Provide greater visibility on WHOIS-related metrics and improvements to Compliance processes and results

- Conduct outreach in Asia Pacific, highlighting WHOIS obligations in native languages

- Publish organizational chart on ICANN website to provide information regarding the contractual compliance reporting structure

- Publish information about budgeted funds and actual expenditures for contractual compliance; provide summary of the contractual compliance budget in the Annual Report

Recommendation 4 – Contractual Compliance

Recommendation 4a

- Contractual Compliance Outreach information and Metrics Reporting are published at: https://www.icann.org/resources/compliance-reporting-performance

- Established process and approach for enforcing the contract at https://www.icann.org/resources/pages/approach-processes-2012-02-25-en

- Contractual Compliance staff information is published at: https://www.icann.org/resources/pages/about-2014-10-10-en

- Annual reports and financials can be found at: https://www.icann.org/resources/pages/compliance-reports-2017

- Contractual Compliance is constantly looking for ways to improve its reporting and transparency. Compliance is currently looking into adding another level of granularity to its reporting.
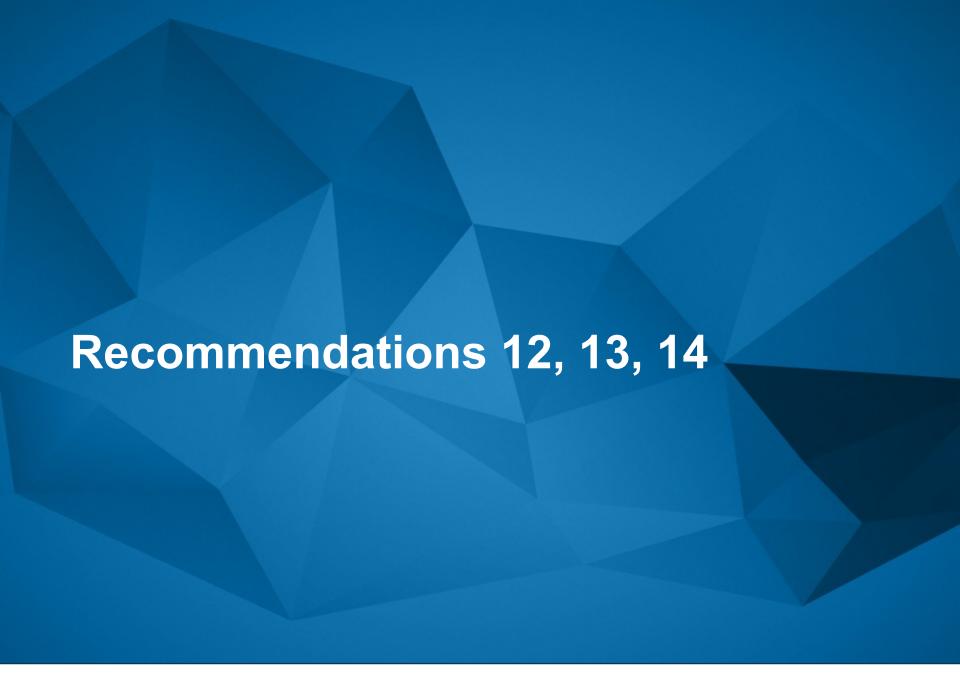
Recommendation 4 – Contractual Compliance

Recommendation 4b
- ICANN has appointed a Chief Compliance Officer role since the recommendation was published.
https://www.icann.org/news/announcement-2014-10-12-en and https://www.icann.org/news/announcement-2017-01-04-en
- ICANN has also hired its first Consumer Safeguards Director in May 2017: https://www.icann.org/news/announcement-2017-05-23-en

Recommendation 4c
- Compliance has migrated to the Kayako4 system for managing and processing complaints. Compliance is looking forward to migrating to the Saleforce environment once technically possible. In this new environment, registrar and registrar information will be available on the same platform, improving efficiency and accuracy.

Recommendations 12, 13, 14

Recommendation Summary & Board Action

Review Team Recommendation Summary	**Recommendation 12** -- 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.
Board Action	• The Board directs the CEO to have Staff: 1) task a working group to determine the appropriate internationalized domain name registration data requirements, evaluating any relevant recommendations from the SSAC or GNSO; 2) produce a data model that includes (any) requirements for the translation or transliteration of the registration data, taking into account the results of any PDP initiated by the GNSO on translation/ transliteration, and the standardized replacement protocol under development in the IETF's Web-based Extensible Internet Registration Data Working Group; 3) incorporate the data model in the relevant Registrar and Registry agreements within 6 months of adoption of the working group's recommendations by the ICANN Board or put explicit placeholders in place for gTLD program agreements, and existing agreements; 4) valuate available solutions (including solutions being implemented by ccTLDs), and 5) to provide regular updates on technical development of the IRD, including the estimated timeline or roadmap of such technical development, so that the ICANN community, particularly the IDN gTLD applicant, can fully prepare for implementation of IRD features in its operation. • The CEO to investigate using automated tools to identify potentially inaccurate internationalized gTLD domain name registration data in gTLD registry and registrar services, and forward potentially inaccurate records to gTLD registrars for action.
Board Rationale	• The Board notes that both SSAC and the GNSO approved the recommendations in the IRD-WG Final Report, and the GNSO requested an issue report on the translation and transliteration of registration data, which has broader policy implications that could be addressed through a GNSO PDP once the Final Issue Report is produced. The final data model also could either be addressed via a PDP (for uniform application on all parties) or via direct contract negotiations with registrars or registries, or could be incorporated at the time of renewal of these agreements. • The Board notes that the working group should use the IRDWG final report as well as the SSAC advisory on Domain Name Registration Data Model as a starting point of discussion. • The Board also recognizes the effort underway in the IETF's Web-based Extensible Internet Registration Data (WEIRDS) Working Group to develop a standardized replacement WHOIS protocol.

Recommendation Summary & Board Action

Review Team Recommendation Summary	**Recommendation 13** -- 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.
Board Action	• The Board directs the CEO to have Staff: 1) task a working group to determine the appropriate internationalized domain name registration data requirements, evaluating any relevant recommendations from the SSAC or GNSO; 2) produce a data model that includes (any) requirements for the translation or transliteration of the registration data, taking into account the results of any PDP initiated by the GNSO on translation/ transliteration, and the standardized replacement protocol under development in the IETF's Web-based Extensible Internet Registration Data Working Group; 3) incorporate the data model in the relevant Registrar and Registry agreements within 6 months of adoption of the working group's recommendations by the ICANN Board or put explicit placeholders in place for gTLD program agreements, and existing agreements; 4) valuate available solutions (including solutions being implemented by ccTLDs), and 5) to provide regular updates on technical development of the IRD, including the estimated timeline or roadmap of such technical development, so that the ICANN community, particularly the IDN gTLD applicant, can fully prepare for implementation of IRD features in its operation. • The CEO to investigate using automated tools to identify potentially inaccurate internationalized gTLD domain name registration data in gTLD registry and registrar services, and forward potentially inaccurate records to gTLD registrars for action.
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Recommendation Summary & Board Action

Review Team Recommendation Summary	**Recommendation 14** -- 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.
Board Action	• The Board directs the CEO to have Staff: 1) task a working group to determine the appropriate internationalized domain name registration data requirements, evaluating any relevant recommendations from the SSAC or GNSO; 2) produce a data model that includes (any) requirements for the translation or transliteration of the registration data, taking into account the results of any PDP initiated by the GNSO on translation/ transliteration, and the standardized replacement protocol under development in the IETF's Web-based Extensible Internet Registration Data Working Group; 3) incorporate the data model in the relevant Registrar and Registry agreements within 6 months of adoption of the working group's recommendations by the ICANN Board or put explicit placeholders in place for gTLD program agreements, and existing agreements; 4) valuate available solutions (including solutions being implemented by ccTLDs), and 5) to provide regular updates on technical development of the IRD, including the estimated timeline or roadmap of such technical development, so that the ICANN community, particularly the IDN gTLD applicant, can fully prepare for implementation of IRD features in its operation. • The CEO to investigate using automated tools to identify potentially inaccurate internationalized gTLD domain name registration data in gTLD registry and registrar services, and forward potentially inaccurate records to gTLD registrars for action.
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Deliverables For Recommendations 12, 13, 14

- Work on IRD requirements and final report from IRD EWG

- Issue of translation/transliteration being explored as a policy matter

- Board Approval of IRD Recommendations and translation/transliteration PDP recommendations

- Implementation plan to be developed

- Implement Registration Data Access Protocol (RDAP)

- Develop resources & schedule

Internationalized Registration Data (IRD)

- IRD Working Group convened at the request of the ICANN Board in response to the WHOIS Review Team's recommendations,

- The Final Report identifies specific principles to guide the internationalization of registration data. These are:

    - **User Capability Principle:** In defining a requirement for a particular data element or category of data elements, the capability of the data-submitting user should be the constraining factor.

    - **Simplicity and Reusability Principle:** Where possible, existing standards that are widely used for handling internationalized data should be applied.

    - **Extensibility** - Where possible, the data model should be able to be easily extended to tailor to the evolution of data elements displayed by directory services for various TLD registries and registrars.

IRD Requirements

- Based on these principles, the IRD Working Group proposed two high level requirements for community consideration:

    - Registrants should only be required to input registration data in a languages or scripts that they are skilled at

    - Unless explicitly stated, all data elements should be tagged with languages and scripts in use, and this information should always be available with the data elements.

IRD Recommendations

- Per IRD Working Group's recommendation to the Board, the [Final Report](#) was forwarded to the GNSO Council and the PDP Working Group on Registration Directory Services. (See https://www.icann.org/en/system/files/correspondence/crocker-to-bladel-11may16-en.pdf and https://gnso.icann.org/en/correspondence/gnso-council-to-icann-board-21dec16-en.pdf).

- The IRD Report will be considered by the RDS PDP at the appropriate time.

- The IRD Working Group's recommendations may become the basis for further policy development and/or contractual framework for gTLDs.

Translation and Transliteration of Contact Information

- The goal of the PDP was to determine how to best facilitate the entry of contact information into domain name registration data and directory services by non-English speakers and users of non-ASCII scripts.

- The GNSO Council resolution on 24 June 2015 recommended to the ICANN Board of Directors the adoption of the Recommendations (#1 through #7) as detailed in the Translation and Transliteration of Contact Information Final Report.

- The ICANN Board adopted the GNSO Council Policy Recommendations concerning the translation and transliteration of contact information as presented in the Final Report on 28 September 2015 and directed the CEO to develop and complete an implementation plan for these Recommendations and continue communication and cooperation with the GNSO Implementation Review Team and community on the implementation work.

Translation and Transliteration of Contact Information - Implementation Status

Implementation Project Status

Updated 28 August 2017

- The Implementation Review Team (IRT) continues to engage in discussions around language and script tags, which appear to be a central requirement to meet the standards set by the Translation and Transliteration of Contact Information (T/T) Working Group's recommendations.
- Due to emerging complexities surrounding implementation of language and script tags, the implementation's projected announcement and effective dates have been extended into 2018

Timeframe

- [Projected] Announcement of Implementation: August 2017
- [Projected] Effective Date: February 2018

RDAP History

- **19 September 2011:** SSAC's SAC 051: "*The ICANN community should evaluate and adopt a replacement domain name registration data access protocol*"

- **28 October 2011:** Board resolution adopts SAC 051

- **4 June 2012:** Roadmap to implement SAC 051 is published

- **2012:** RDAP community development within IETF WG begins

- **March 2015:** RDAP IETF RFCs are published

- **June 2015:** Begin work on the RDAP gTLD Profile which maps RDAP features to existing policy and contractual requirements

- **26 July 2016:** Version 1.0 of RDAP gTLD Profile is published

RDAP History (continued)

- **9 August 2016:** The RySG submitted a "Request for Reconsideration" regarding the inclusion of RDAP in the Consistent Labeling & Display policy, among other things

- **1 February 2017:** A revised Consistent Labeling & Display Policy, removing the RDAP requirement was published

- **1 August 2017:** the RySG with support from the RrSG submits a proposal to the ICANN organization to implement RDAP with a first phase in the form of an RDAP pilot

- **5 September 2017:** the first phase of the RDAP implementation plan starts as an RDAP pilot

Additional information

Additional Information

- https://www.icann.org/resources/pages/rdap-operational-profile-2016-07-26-en

- https://www.icann.org/resources/pages/rdap-gtld-profile-2016-07-26-en

- https://gnso.icann.org/en/issues/gtlds/transliteration-contact-final-21mar13-en.pdf

- https://whois.icann.org/en/translation-and-transliteration-contact-information

Additional Information

The following ICANN informational resources are available for WHOIS Data Reminder Policy (WDRP) compliance:

- Whois Data Reminder Policy (WDRP)
- WDRP FAQs For Domain Name Registrants
- Implementation of the Whois Data Reminder Policy (WDRP)
- Contractual Compliance New Registry Agreement Compliance Monitoring Efforts (Additional WHOIS Information Policy)
- Clarifications to the Registry Agreement and the 2013 Registrar Accreditation Agreement (RAA) regarding applicable Registration Data Directory Service (WHOIS) Specifications

Contractual Compliance Complaint Submission

- Migrated previous systems and forms into one central location on ICANN.org

- Added the "*Learn More*" links to Frequently Asked Questions on common topics to provide guidance. The information is provided in 6 languages.

- "*Take Action*" column links to the appropriate form to file a complaint

- Contractual Compliance Complaint Submission, Learn More and Take Action are at this link: https://www.icann.org/compliance/complaint

Bulk WHOIS Inaccuracy Submission

- Bulk submission is granted by request only as it requires authentication, testing and then access to submit to a production platform that will convert the bulk submissions into individual tickets

- To inquire about access to the bulk WHOIS Inaccuracy complaint tool, please email compliance@icann.org, Subject: Inquiry about WHOIS Bulk Submission.

- Learn more about WHOIS Inaccuracy at this link: https://www.icann.org/resources/pages/inaccuracy-2013-03-22-en

WHOIS Inaccuracy Quality Review

- A process by which ICANN samples previously closed tickets to confirm continued compliance

- Updates are provided in the monthly dashboard and at ICANN meetings

- WHOIS Inaccuracy Quality Review metrics (WHOIS QR) are reported at this link https://features.icann.org/compliance

- Presentations for the ICANN meetings can be found in the ICANN meeting schedule and on the compliance outreach pages: https://www.icann.org/resources/compliance/outreach

Contractual Compliance Audit Program

- Audit program launched late 2012 and the audit position has been fulfilled to meet the goals and objective of this area

- ICANN targets 2 audit rounds per year for registrars and for registries

- Reports are published at the closure of every audit round

- Updates are provided in the quarterly and annual contractual compliance reports and at ICANN meetings

- Contractual Compliance Audit Program page at: https://www.icann.org/resources/pages/audits-2012-02-25-en

Contractual Compliance Metrics Reporting & Outreach

- ICANN Contractual Compliance team holds outreach activities in collaboration with the Global Domains Division and the Global Stakeholder Engagement team

- ICANN outreach activities are reported on in the quarterly and annual compliance reports

- Contractual Compliance Outreach information and Metrics Reporting are published at: https://www.icann.org/resources/compliance-reporting-performance

Scope

Agenda Item #3

Scope

- Discussion based on Scope and Objectives document.

Face-to-Face Meeting #1 Agenda

Agenda Item #4

Face-to-Face Meeting #1 Agenda

- Meeting goals:
    - To understand Specific Review processes
    - To identify tasks to be performed by subgroups and allocate responsibilities
    - To fully understand and agree upon scope and objectives, work plan, and the Terms of Reference
    - To complete planned implementation briefings

- Leadership's ask
    - Listen to previous plenary calls if you have missed them
    - Put your hand up and volunteer
    - Take responsibility on scope
    - Leave the meeting with work assignments

- Review of suggested agenda

- Reading list will be posted on the [dedicated face-to-face meeting wiki page](), (e.g., meeting slides, briefing slides).

ICANN60 Informal Meeting

Agenda item #5

ICANN 60: Informal Meeting

- [Doodle poll](#): 4 answers were received. Meeting would take place on: **Tuesday 31 October, 12:15 PM – 13:15 PM**
  - If you have not yet answered, please do by **<u>Friday 29 September COB</u>**

- Hotel venue (breakfast) or Pop-up rooms (lunch) or will be used for this meeting. Pop-up rooms are free of charge.

- For popup rooms, review team members can bring their own food as deadline has passed for meeting room/catering requests.

A.O.B.