

## SUMMARY WHOIS REVIEW IMPLEMENTATION STATUS

<p>The following summary<sup>1</sup> tables show the current status of implementation for the 16 WHOIS Review Team recommendations, as directed<sup>2</sup> by the ICANN Board.</p> <p>As of 30 June 2015</p>		<p><i>Snapshot:</i></p> <p><b>9... Complete</b>    ✓ or ●</p> <p><b>6... In Progress</b>    ○ or ●</p> <p><b>1... In Planning</b>    ◇ or ●</p>		
AoC Rec#	Board Action	Topic	Summary of Implementation Activities	Upcoming Milestones & Due Dates
WHOIS - Strategic Priority				
1.a  ●	Accepted	WHOIS as a strategic priority	<ul style="list-style-type: none"> <li>● WHOIS included in <a href="#">Five Year Strategic Plan</a> as part of Strategic Objective 2.1, and funded in the <a href="#">FY16 Operating Plan and Budget</a>; <ul style="list-style-type: none"> <li>○ 5-Year Strategic Plan Page 11, Section 2.1: [Header] Foster and Coordinate a healthy, secure, and resilient identifier ecosystem</li> <li>○ [Key Success Factor]- Globally accepted, reliable, secure, and trusted services to facilitate access to, and update of, identifier registration data.</li> <li>○ FY16 Operating Plan and Budget (pages 39-43) allocates USD1.4 million for WHOIS core functions/service &amp; improvements that includes implementation of AoC WHOIS Review Team Recommendations.</li> </ul> </li> <li>● CEO oversaw improvements to WHOIS obligations in contracts, including, adoption of 2013 Registrar Accreditation Agreement (RAA) and the base New gTLD Registry Agreement;</li> <li>● <a href="#">Allen Grogan appointed as the new ICANN Chief Contract</a></li> </ul>	

<sup>1</sup> The detailed quarterly Whois status report is located at: <https://www.icann.org/resources/pages/accountability/accountability-en>

<sup>2</sup> 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](#).

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			<p><a href="#">Compliance Officer</a> to oversee Contract Compliance and Consumer Safeguards enhancements, including WHOIS.</p> <ul style="list-style-type: none"> <li>Whols Accuracy Reporting System transitioned from Pilot to implementation and on-going operations.</li> </ul>	
1.b ●	Accepted	ICANN Staff incentivization	<ul style="list-style-type: none"> <li>Staff is incentivized through ICANN's compensation system, as WHOIS projects are identified in both WorkFront and the Halogen management system.</li> <li>The CEO's compensation is tied to performance against the strategic objectives of ICANN as laid out in the Strategic Plan, which includes references to WHOIS.</li> </ul>	
1.c ●	Accepted as Modified	Board involvement in WHOIS improvements	<p>Board receives CEO updates, on a trimester basis, on the status of ICANN's key organizational activities, including WHOIS improvements.</p> <p><a href="#">Organizational Effectiveness Committee</a> created by the Board July 28, 2015 to be responsible for review and oversight of policies relating to ICANN's ongoing organizational review process mandated by Article IV, Section 4 of ICANN's Bylaws.</p>	
2 ●	Accepted as Modified	<b>Single WHOIS Policy</b>	<p><a href="#">Single Page</a> contains links to all WHOIS related agreements and consensus policies.</p> <p>Overall "easy to read" Primer published in January 2014 describes the WHOIS service.</p> <p>RT recommended a single WHOIS policy, which was NOT</p>	

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			implemented based on board direction captured in the <a href="#">Action Plan</a> , “Board Action - The Board directs the CEO to create and maintain a single public source that compiles current gTLD WHOIS requirements for gTLD registries, registrars and registrants (including consensus policies and contractual conditions.... These presently available conditions and policies should be publicly available from one source.”	
3 ●	Accepted	<b>Outreach</b> – ICANN should ensure that WHOIS policy issues are accompanied by cross-community outreach	<ul style="list-style-type: none"> <li>• 2013 RAA includes requirements to link to <a href="#">Registrant Benefits &amp; Responsibilities Document</a>, written in simple language to educate registrants on obligations related to WHOIS.</li> <li>• ICANN Staff conducted global outreach to registrars to educate them on 2013 RAA requirements.</li> <li>• ICANN Contractual Compliance Staff conducted outreach in Asia Pacific, highlighting WHOIS obligations in native languages.</li> <li>• Launched the new <a href="#">WHOIS microsite</a>. Published in six languages, the WHOIS microsite is a one-stop-shop for those seeking information about WHOIS.</li> <li>• Staff produced and has implemented a Communications Plan that attempts to reach both internal and external communities, and has been collecting metrics related to access to the WHOIS microsite in multiple languages.</li> </ul>	

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			<ul style="list-style-type: none"> <li>ICANN also has an active social media effort underway linked to the key milestones in the WHOIS Program. The Communications Department uses tools to examine the impact of the social media</li> </ul>	
4 ●	Accepted	<b>Contractual Compliance</b> -- managed in accordance with best practice principles	<p>New Compliance complaint handling systems &amp; procedures implemented, including:</p> <ul style="list-style-type: none"> <li>Launched 3 Year Registrar Audit Program (ending 2015), with 2 out of 3 years <a href="#">completed</a>.</li> <li>Completed updates and additions to the <a href="#">complaint submission forms</a> and FAQs, including the addition of bulk WHOIS inaccuracy submission procedures.</li> <li>Completed plan and details for new Registry Agreement Audit program (New gTLD scope) and conducted 3 Audit <a href="#">outreach activities</a> with registries.</li> <li>Increase in global Compliance Staff, with coverage in the following languages: Arabic, English, French, Korean, Mandarin, Russian, Spanish, Turkish, and Uzbek. Compliance Staff levels <a href="#">published</a> and updated regularly.</li> </ul> <p>Greater visibility on WHOIS-related metrics and improvements to Compliance processes and results, including:</p> <ul style="list-style-type: none"> <li><a href="#">Compliance Performance Reports</a> now available on icann.org.</li> <li><a href="#">Internet Corporation for Assigned Names &amp; Numbers</a></li> </ul>	

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<b>Data Accuracy</b>					
5	Accepted	WHOIS requirements for accurate data widely and pro-actively communicated	<p>Staff developed a <a href="#">WHOIS Informational microsite</a> to:</p> <ul style="list-style-type: none"> <li>• Provide historical record of WHOIS;</li> <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</li> </ul>		

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				<p>engaged in the community on WHOIS related topics;</p> <ul style="list-style-type: none"> <li>Educate registrants on WHOIS, their rights and responsibilities; and</li> <li>Provide a <a href="#">Knowledge Center</a> where key WHOIS related documents can be located.</li> </ul> <p>Usage of the WHOIS microsite has grown over the entirety of the site's life, page views have grown to a total of: 2,355,561.</p> <p>In addition, over the past 12 months, the site has grown from roughly 800 visitors a day to roughly 10,000 visitors a day.</p> <p>The 2013 RAA obligates each Registrar to publish on its website(s) and/or provide a link to the Registrants' Benefits and Responsibilities Specification. ICANN's Contractual Compliance Team confirmed that it checks to determine whether registrars are publishing this information and follows up to bring the registrar into compliance if it is not doing so.</p>	
6	Accepted as modified	ICANN should take appropriate measures to reduce the number of WHOIS registrations that fall into the	<p>To address this recommendation, the Board directed the CEO to:</p> <ol style="list-style-type: none"> <li>Proactively identify inaccurate gTLD WHOIS information in gTLD registry and registrar services,</li> <li>explore using automated tools,</li> <li>and forward inaccurate records to gTLD registrars for</li> </ol>	See answers to #7 & 11 below for information on the statistics on accuracy to be gathered in connection with the new WHOIS Search Portal	

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			accuracy groups "Substantial Failure and Full Failure"	<p>action; and  4) Publicly report on the resulting actions to encourage improved accuracy.  See answers to #7 &amp; 11 below for information on the statistics on accuracy to be gathered in connection with the new <a href="#">WHOIS Search Portal</a></p> <p><b>Project Number: 31405</b></p>	<p><b>Project Owner: Russ Weinstein</b></p>
7	Accepted	Annual WHOIS accuracy reports	<p>Staff is implementing the WHOIS Accuracy Reporting System (ARS).</p> <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 operational accuracy of the email, telephone numbers and postal addresses using actual data. Approximately 100,000 WHOIS records were examined during the Pilot.</p> <ul style="list-style-type: none"> <li>Published <a href="#">Pilot Study for the WHOIS Accuracy Reporting System: Preliminary Findings</a> in Oct 2014.</li> <li>The <a href="#">Pilot Study Report</a> published in Dec. 2014 for public comment.</li> <li><a href="#">Report</a> of Public Comments on Pilot Study published in April 2015</li> </ul>	<ul style="list-style-type: none"> <li>1<sup>st</sup> Phase 1 (Syntax) report to be published in 3Q2015; webinar scheduled for 26 August 2015</li> <li>1<sup>st</sup> Phase 2 (Operational) Report to be published late 4Q2015 or early 1Q2016.</li> <li>Launch of Accuracy Reporting System – Phase III (Identity validation, if at all), TBD</li> </ul>	

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				<ul style="list-style-type: none"> <li>Phased approach to Implementation of ARS initiated. Phase 1 (Syntax) &amp; Phase 2 (Operational) have been launched. Phase 3 Identity Validation requires further consultation with the community before proceeding with implementation.</li> </ul>	
8	Accepted	ICANN should ensure that there is a clear, unambiguous and enforceable chain of contractual agreements	<ul style="list-style-type: none"> <li>2013 RAA includes additional enforcement provisions and sanctions applicable to registrars, registrants, and resellers with regards to WHOIS.</li> <li>New gTLD Registry Agreements include enhanced WHOIS obligations.</li> <li>Renewals of existing GTLDs to include enhanced WHOIS obligations.</li> <li><a href="#">First review of WHOIS Accuracy Specification - Jan 2015</a></li> <li>See answers to #1.a above.</li> </ul>		
9	Accepted as modified	<b>Compliance Metrics:</b> Impact of the annual WHOIS Data Reminder Policy (WDRP)	The Board action with respect to this recommendation proposed an alternative approach because the WRT recommendation as stated was not feasible. The alternative relies on the accuracy reports to be generated through the WHOIS Accuracy Reporting System (ARS) under development to develop metrics to track changes in accuracy rates.	See answers to #5 - 7 above.	<b>Project Owner:</b>



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10 ●	Accepted	<b>Data Access – Privacy and Proxy Services</b> – ICANN should initiate processes to regulate and oversee privacy and proxy service providers	<ul style="list-style-type: none"> <li>The 2013 RAA, includes many new obligations related to privacy/proxy providers and commits ICANN to create a privacy/proxy accreditation program.</li> <li>A GNSO PDP has commenced in October 2013 to examine policy issues related to privacy/proxy services.</li> <li>A consensus policy, if produced out of the PDP, would become binding upon contracted parties when adopted by Board.</li> <li>Staff Implementation work to develop the operational aspects of the Privacy/Proxy Accreditation Program to be conducted in parallel with GNSO PDP. <ul style="list-style-type: none"> <li>ICANN Staff Accreditation Framework Considerations document shared with Working Group (via published list) in October 2014</li> <li><a href="#">Initial Report</a> published for <a href="#">Public Comment</a>- May 2015</li> </ul> </li> </ul> <p><b>Project: 19958</b></p>	<ul style="list-style-type: none"> <li>Privacy &amp; Proxy Services Accreditation Issues (PPSA) PDP Final Report est. Nov. 2015</li> <li>GNSO Approval of PDP Final Report- est. Jan 2016</li> <li>Board Approval of Final Report Recommendations est. Apr 2016</li> <li>Implementation Plan – TBD 2016</li> </ul> <p><b>Project Owners:</b> <b>Marika Konings</b></p>
11 ●	Accepted	<b>Data Access – Common Interface.</b>	<p>ICANN has developed a comprehensive WHOIS Portal, the development of which occurred in two phases:</p> <p><b>Phase 1-</b> Launch of <a href="#">WHOIS Microsite</a> (see description above in #5) (2013); and</p> <p><b>Phase 2-</b> Launch of WHOIS Search tool on the <a href="#">WHOIS</a></p>	

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			<p><a href="#">Microsite</a> to offer a place where people could initiate a search of global WHOIS records (2014). This lookup an easy to use one-stop look-up service was developed to replace the old Internic service WHOIS searches. As of June 30, 2015, there have been approximately 978,900 WHOIS search results delivered using this tool.</p> <p>Future upgrades to include overhaul of Internic Service. The outstanding development to overhaul INTERNIC service is intended to make the remaining functionality offered through INTERNIC more user friendly (DNS server info, Registrar contact details, etc.) and is expected to be concluded by Jan-March 2016.</p> <p>✓ Publication of Implementation Plan for WHOIS Search Portal Jan 2013          ✓ Beta Launch of <a href="#">WHOIS Informational Website</a> (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</p>	

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				Service.  <b>Project: 31497</b>	
<b>Internationalized Registration Data</b>					
12		Accepted	Determine appropriate Internationalized Domain Name Registration (IRD) data requirements	<p>The IETF WEIRDS Working Group has concluded its evaluation of technical protocols and has developed a new protocol known as the Registration Directory Access Protocol (RDAP). Once adopted by the IETF, the new gTLD Registry Agreement and the New 2013 RAA include commitments to adopt the new protocols. ICANN has tasked 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.</p> <ul style="list-style-type: none"> <li>• <a href="#">Interim Report of IRD Team</a> – Apr 2014</li> <li>• ICANN conducted a <a href="#">Study to Evaluate Solutions for the Submission and Display of Internationalized Contact Data</a> – 2 June 2014</li> </ul> <p><b>Project: 14550</b></p>	<ul style="list-style-type: none"> <li>• IETF published new protocol in March 2015</li> <li>• Final Report of IRD Team – est. September 2015</li> <li>• Board Approval of IRD recommendations – est. December 2015</li> <li>• Implementation Plan to be developed – (TBD) 2016</li> </ul> <p><b>Project Owner: Francisco Arias/Steve Sheng</b></p>
13		Accepted	Requirements for translation/transliteration of internationalized	<p>Issue of Translation/Transliteration is being explored as a policy matter within the GNSO Council. Consensus policy, if produced out of the PDP, when adopted by Board, would become binding upon the contracted parties.</p>	<ul style="list-style-type: none"> <li>• <a href="#">PDP Translation &amp; Transliteration of gTLD Contact Data</a> recommendations to be voted on by the Board – Sept 2015</li> </ul>

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		registration data	<ul style="list-style-type: none"> <li>• <a href="#">Initial Report</a> published for <a href="#">public comment</a> that closes on 1 Feb, 2015</li> </ul> <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> <ul style="list-style-type: none"> <li>• <a href="#">PDP Final Report</a> – May 2015</li> <li>• GNSO approval of PDP policy- June 2015</li> <li>• GNSO Adoption of PDP Working Group Final Report and Recommendations - <a href="#">Resolution 20150624-3</a> June 2015</li> </ul> <p><b>Project: 19955</b></p>	<ul style="list-style-type: none"> <li>• Implementation dependent on when RDAP in place, then est. three to six months</li> </ul> <p><b>Project Owner: Lars Hoffman</b></p>
14 ●	Accepted	Metrics on accuracy internationalized registration data	Internationalized WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete.	<ul style="list-style-type: none"> <li>• IRD WHOIS Records to be proactively identified once the work referenced in #12 and #13 is complete.</li> <li>• Scoping of requirements once the work in #12 and #13 is concluded - estimated 2015</li> <li>• Resources and schedule to be developed – estimated 2016</li> </ul>

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<b>Miscellaneous</b>					
15		Accepted	Comprehensive Implementation Plan for the Final WHOIS Review Team report.	ICANN Staff developed and published its proposed <a href="#">Action Plan</a> , which was adopted by the ICANN Board.	
16		Accepted	Publication of Annual Reports on Implementation of WHOIS RT Recommendations	<p>ICANN published its first <a href="#">Annual Report</a> one year after the Board's approval of the <a href="#">WHOIS Policy Review Team Final Report</a> Recommendations, and publishes subsequent ones on a yearly basis.</p> <ul style="list-style-type: none"> <li>• <a href="#">First Annual Report</a> – 4 Nov 2013</li> <li>• <a href="#">Second Annual Report</a> – 12 Dec 2014</li> <li>• Third Annual Report – est. Dec. 2015</li> </ul>	

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