WHOIS Policy Review Team

Final Report

11 May 2012
# Table of Contents

Chapter 1: Executive Summary ........................................................................................................... 4  
PART I – Scope of Work and Definitions .......................................................................................... 19  
Chapter 2: The WHOIS Review Team, Scope of Work & Key Definitions ................................. 19  
PART II – ICANN WHOIS Policy and its Implementation ............................................................. 25  
Chapter 3: The Complex History of WHOIS Policy ........................................................................ 25  
Chapter 4: Implementation of WHOIS Policy – ICANN’s Compliance Efforts .............................. 38  
Chapter 5: Implementation of WHOIS Policy in Relation to Internationalized Domain Names ......................................................................................................................................................... 46  
PART III – The Extent to which ICANN’s Existing Policy and its Implementation Are Effective in Meeting Stakeholder Needs .......................................................................................................................... 49  
Chapter 6: Understanding the Needs of Stakeholders ................................................................. 49  
Chapter 7: Gap Analysis ................................................................................................................ 77  
Chapter 8: Recommendations ....................................................................................................... 81  
PART IV – Appendices ....................................................................................................................... 89  

**Section 1: The Effectiveness of ICANN’s WHOIS Compliance Effort** ...........................................  
- Appendix A: Letter from WHOIS Review team Chair to Maguy Serad, Senior Director Contractual Compliance, ICANN Compliance  
- Appendix B: Correspondence between WHOIS Review Team and ICANN Staff in relation to Compliance Budget and Staff Numbers (March-April 2012)  
- Appendix C: Correspondence between Federal Trade Commission and ICANN  

**Section 2: Methodology and Outreach** .........................................................................................  
- Appendix D: Methodology: How the WHOIS Review Team Conducted its Work  
- Appendix E: The WHOIS Review team’s Law Enforcement Survey  
- Appendix F: Consumer Study (User Insight)  
- Appendix G: Public Comments: Requested and Submitted  
- Appendix H: Discussion with and Feedback from the Country Code Domain Name (ccTLDs)  

**Section 3: Background and Glossary** .........................................................................................  
- Appendix I: A Brief Guide to the Domain Name System and WHOIS  
- Appendix J: Glossary  

**Section 4: User Insight Video of Internet Users Attempting to Identify a Website Owner**
Chapter 1: Executive Summary

The Internet Corporation for Assigned Names and Numbers (ICANN) is one of a small but important set of organizations responsible for administering certain functions critical to the operation of the Internet. ICANN's primary responsibility is to facilitate the policy maintenance and enhancement of the Domain Name System (DNS), an integral part of the Internet.

ICANN is a California, public benefit corporation that undertakes periodic reviews to assess its efficacy in serving its various constituencies and the global public at large. In 2009, ICANN and the US Department of Commerce approved, signed, and published an Affirmation of Commitments (AoC) in which ICANN commits to undertake a number of high level reviews, including on Accountability and Transparency (completed December 2010), and WHOIS.

This report is the formal output of the Review Team responsible for assessing WHOIS and represents the culmination of an eighteen-month-long effort by a diverse group, representative of ICANN's makeup.

A. History

ICANN was formed in 1998 to fulfill the requirement that operation of the DNS move from the government to private sector control.

WHOIS (not an acronym) was first defined as a protocol of the Internet Engineering Task Force (IETF) in 1982. WHOIS is one of the simplest in the suite of protocols that the IETF maintains. Any machine connected to the Internet can operate a WHOIS service by implementing the protocol and responding to requests as described in the specification.

Initially, the WHOIS specification described a set of information that was requested of anyone capable of transmitting information across the network. This information consisted of name and contact information which was to be stored on specific servers and would be returned upon receipt of an appropriate WHOIS request. It was used to provide points of contact for the network hosts.

As the Internet grew and it became impractical to maintain a single WHOIS server, updated versions of the specification were developed and approved. These specifications dropped the references to specific servers and required information, thereby enabling broader use of the specifications. It was then incumbent on any community desiring to use WHOIS to define required information and where that information could be found. ICANN is responsible for those definitions for the Domain Name System.

B. Discussion
Domain names are the familiar sequence of characters we see in our web browsers after the "http://www." and before the next "/"; e.g. "google.com", "redcross.org", and "europa.eu". They are an integral part of the Internet, serving us as mnemonics for places we have been to or wish to be, and as keys for machines to perform the necessary translation from the abstract to the real.

Domain names sit on the human side of the man-machine interface and through the DNS are translated to machine-compatible Internet Protocol (IP) addresses. Internet-connected machines use IP addresses to send and receive messages transmitted over the Internet. They are fundamental to the Internet itself, as is uniform translation from name to address, and back again.

While the DNS presents a single, complete view of the Internet, no single machine holds all of the Internet's addressing and mapping information. Rather, that information is distributed across a series of name servers that cooperate to seamlessly provide that one comprehensive view.

Domain names and the DNS are used in virtually every aspect of the Internet, not just those parts most visible to most consumers, web browsers. Every email message, song or movie download, instant message, tweet, Facebook "like", or online transaction involves the DNS in some way. Without the DNS, the Internet would not exist as we know it.

As important as machine to machine communication is, there are times when human to human interaction related to the Internet is required. The reasons for this interaction are varied and include notice, abuse, and security amongst others. For these reasons, contact information (as specified by ICANN) related to a domain name must be provided in order to register a domain name, much like when registering a vehicle.

This information is stored and is available to the public through a system known colloquially as WHOIS. WHOIS predates the "commercial" Internet and remains largely unchanged since its earliest days, ca. 1982.

C. Debate

WHOIS is the source of long-running discussion and debate at ICANN, other Internet Governance institutions, and elsewhere. This team and its successors hopefully will inform future debate and consensus-based decision making.

Issues in the WHOIS debate are varied. Any discussion of WHOIS will likely contain all of the words accuracy, privacy, anonymity, cost, policing, and SPAM. Each of the issues is important. This is sometimes lost in the heat of the debate and it is important to remind ourselves of this on a regular basis.

In order to inform the debate, and perhaps make the decision-making process easier, ICANN has adopted the age-old tradition of "the study" in lieu of or as a precursor to
action. Significant sums have been spent studying WHOIS, more is being spent, and yet more is planned with the span of time now stretching into decades. Each study addresses some different aspect of WHOIS; accuracy, proxy/privacy\(^1\), reveal/request, availability, and so on. They take time to be approved, conducted, reported, and of course debated. This time is measured in years and could be called ICANN time as compared to Internet time. The one constant throughout has been WHOIS itself; protocol, service, data.

A gross understatement is that tensions exist between the various ICANN constituencies regarding WHOIS. Issues abound including right to privacy, anonymity, intellectual property protection, security and abuse, among others. Each is important. None more so than the other.

We find little consensus within the ICANN community on the issues. More concerning, there appears to be no coordinated effort to achieve consensus on these important, and admittedly difficult issues. Neither ICANN the corporation nor ICANN the community have seen the need to charge an individual or group as responsible for WHOIS. We find this a significant oversight and surmise that without such a coordinating effort, the small steps required for consensus may never be taken. It is hoped that the establishment of regular WHOIS Reviews will assist in this regard.

For something so simple as WHOIS the protocol, it is unfortunate that WHOIS the policy has become so complex and unmanageable.

This summary discussion is not a condemnation of the debate, the studies, or the people that invested their time, emotion, and personal capital over the years. Rather, it is an attempt to concisely present in a balanced and fair manner the very real truth that the current system is broken and needs to be repaired.

**D. Work of this Review Team**

The WHOIS Review Team’s scope, guided by the Affirmation of Commitments was to review the extent to which ICANN’s WHOIS policy and its implementation are effective, meet the legitimate needs of law enforcement and promote consumer trust.

Formed in October 2010, the WHOIS Review Team comprised representatives from across the ICANN constituencies, a representative of law enforcement and two independent experts. The Review Team held two dedicated face-to-face meetings during its term, as well as working and outreach sessions at each of the ICANN meetings in 2011. Fortnightly calls were held. Apart from rare occasions where the Chatham House Rule was invoked, all the Review Team’s calls, meetings and e-mail list were open to

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\(^1\) Working definitions of Privacy and Proxy Services:

- **Privacy Service** a service that provides the Registrant Name and a subset of other information (possibly null set) but consistent across ICANN
- **Proxy Service** a relationship in which the registrant is acting on behalf of another. The WHOIS data is that of the agent and the agent alone obtains all rights and assumes all responsibility for the domain name and its manner of use.
observers, and the public wiki
https://community.icann.org/display/whoisreview/WHOIS+Policy+Review+Team provides an archive of our activities.

This Review Team reflects the diversity of ICANN’s multi-stakeholder model. We have been given time to conduct our review, receiving invaluable feedback from the community. We agree to disagree yet we have found consensus, for each and every one of the recommendations we make. We look forward to participating in the debates that follow, and monitoring their implementation if adopted by the Board.

E. Findings & Recommendations

Recommendation 1: Strategic priority

Findings

WHOIS policy and its implementation are one of four central issues highlighted in the Affirmation of Commitments, the others being Accountability and Transparency, Security and Stability, and Consumer Trust.

That WHOIS placed alongside such issues shows that the authors of the Affirmation of Commitments, the US Government and ICANN's senior executive, viewed it as one of the four barometers of ICANN's effective performance and service to the Internet Community. One reason for this may be that, although WHOIS services are provided by ICANN's contracted parties, WHOIS look ups have now become detached from the domain name supply chain. Users of WHOIS tend not to be customers of registries and registrars, but are law enforcement, or those enforcing private law rights, and those seeking to get in touch with registrants for whatever reason. There are no income streams associated with providing WHOIS. It is viewed by many in the industry as a cost, and is often difficult to locate on registrar websites.

As a result, it is not a priority for many of ICANN's contracted parties - who provide funding for ICANN the corporation. It is, however, a high priority for many users who are outside the ICANN inner circle, but for whatever reason their needs have not found organizational priority to date.

Although compliance is one essential element of WHOIS Policy and its implementation, it is not the whole story. WHOIS as an issue encompasses:

- The WHOIS Protocol, including its continued fitness for purpose given that both the Internet and uses of WHOIS have expanded beyond what their original designers would have imagined possible;

- Internationalization of WHOIS Data, and the consistent handling of non-ASCII text in both the records and the display of the domain name itself;
• Ongoing development of WHOIS policy within ICANN's existing machinery, and the impact of other policy development on WHOIS;

• Maintaining some coordination role to ensure that so far as possible, policy development effort is not duplicated, relevant research is brought to the attention of relevant working groups or staff, and is followed up in a timely way; and

• That compliance with contractual obligations, and outreach to affected communities of users is managed effectively and that timely reporting be given to the Community.

The WHOIS Review Team finds that in all of the above points, ICANN the corporation has failed to meet expectations. It is ideally placed to play a proactive role, for example in stimulating work on protocol reform, working with the IETF to share its learnings, and encouraging adoption or at least test beds by the industry of appropriate replacement protocols. Expensive and valuable research studies, for example the NORC study on Data Accuracy² have been left to languish for years, with no follow up, and no individual ownership of the issues. ICANN's contractual compliance effort has historically been under resourced, understaffed, and has struggled for organizational priority.

Recommendation 1 - Strategic Priority

It is recommended that WHOIS, in all its aspects, should be a strategic priority for ICANN the organization. It should form the basis of staff incentivization and published organizational objectives.

To support WHOIS as a strategic priority, the ICANN board should create a committee that includes the CEO. The committee should be responsible for advancing the strategic priorities required to ensure the following:

• Implementation of this report’s recommendations;

• Fulfillment of data accuracy objectives over time;

• Follow up on relevant reports (e.g. NORC data accuracy study);

• Reporting on progress on all aspects of WHOIS (policy development, compliance, and advances in the protocol / liaison with SSAC and IETF);

• Monitoring effectiveness of senior staff performance and the extent to which the ICANN Compliance function is effective in delivering WHOIS outcomes, and taking appropriate action to remedy any gaps (see Recommendation 4 for more discussion of compliance).

² A study on WHOIS data accuracy, commissioned by ICANN in 2009-2010 and undertaken by the National Opinion Research Council of the University of Chicago, See Recommendations 5-9 below, and Chapter 6.
Advancement of the WHOIS strategic priority objectives should be a major factor in staff incentivization programs for ICANN staff participating in the committee, including the CEO. Regular (at least annual) updates on progress against targets should be given to the Community within ICANN’s regular reporting channels, and should cover all aspects of WHOIS including protocol, policy development, studies and their follow up.

**Recommendation 2: Single WHOIS Policy**

*Findings*

One of our earliest "findings" was our inability to find a clear, concise, well-communicated WHOIS Policy. The Team was assured that one existed and that it had been in force for some time. Several versions of Registrar and Registry contracts were reviewed as were compliance activities related to the policy. Throughout, we were unable to locate a document labeled WHOIS Policy as referenced by the ICANN-approved Affirmation of Commitments. Overall, we found elements of the WHOIS Policy in Registrar and Registry contracts, GNSO Consensus Policies and a Consensus Procedure, the IETF Requests for Comments (RFCs) and domain name history.

**Recommendation 2 - Single WHOIS Policy**

ICANN's WHOIS policy is poorly defined and decentralized. The ICANN Board should oversee the creation of a single WHOIS policy document, and reference it in subsequent versions of agreements with Contracted Parties. In doing so, ICANN should clearly document the current gTLD WHOIS policy as set out in the gTLD Registry and Registrar contracts and GNSO Consensus Policies and Procedure.

**Recommendation 3: Outreach**

*Findings*

We found great interest in the WHOIS policy among a number of groups that do not traditionally participate in ICANN’s more technical proceedings. They include the law enforcement community, Data Protection Commissioners, and the privacy community more generally. Further we found interest among those in support organizations and advisory committees including the SSAC, GAC, ccNSO, ASO, who may or may not closely follow proceedings in the GNSO, where much of the WHOIS discussion takes place.

These groups are worried that about missing a proceeding taking place within the GNSO on WHOIS matters, and their ability to substantively comment.

Part of the WHOIS Review Team’s scope was to evaluate the extent to which ICANN’s current WHOIS policy and implementation “promotes consumer trust”. Having struggled with what “consumer” means in the context of WHOIS, and aware of the Affirmation of Commitments’ observation that there are key stakeholders who do not engage in the ICANN environment, the WHOIS Review Team commissioned consumer research. This found that drivers of consumer trust include knowing the entity with whom they are
dealing, and being able to find reliable contact information. The vast majority of consumers were unaware of the existence of the WHOIS service, and many struggled to understand the format of WHOIS outputs.

This led us to conclude that the current implementation of WHOIS services does not help to build consumer trust, and more could be done to raise awareness of the service, and to improve its user-friendliness.

**Recommendation 3 - Outreach**

ICANN should ensure that WHOIS policy issues are accompanied by cross-community outreach, including outreach to the communities outside of ICANN with a specific interest in the issues, and an ongoing program for consumer awareness.

**Recommendation 4: Compliance**

**Findings**

Despite substantial efforts made, and dedicated staff, the Compliance function has suffered from lack of resources, and has struggled to maintain organizational priority.

Evidence of recent investment is welcome, but there remains much to do.

We find that basic information, for example on staffing, budget vs. actual spend, and key performance metrics, remain difficult to obtain.

Concerns have been expressed in public comment as to whether the current structure of the Compliance team (ie being a department within ICANN) is helping. We have an open mind about whether the Compliance function should be located within the organization or not. There is much to be said for structural independence. However, we note that the costs and upheaval associated with such a restructure (both human and financial) would be great. We believe that it should be possible to effect improvements through clearer lines of accountability particularly for Compliance’s leadership, and much greater transparency.

Finally, we note the sensitivity from some sections of the community about use of the term “regulator” to describe ICANN’s role within the industry. We have tried to avoid the term in our final recommendations. However, we do not fully understand the sensitivity: ICANN is part of a self-regulatory ecosystem. It accredits some actors (registries and registrars) and requires certain behaviors of them. It has an operational function to enforce contractual requirements. These activities can be properly described as regulation in the sense of private sector, self-regulation. If they were not done effectively, they would need to be done by someone – or something – else.
**Recommendation 4 - Compliance**

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.

**Recommendations 5-9: Data Accuracy**

**Findings**

In 2009-10, ICANN commissioned a study on data accuracy, which was undertaken by the National Opinion Research Council of the University of Chicago (NORC) (the “NORC WHOIS Data Accuracy Study 2009/10”). The study found that only 23% of WHOIS records met the study’s criteria for No Failure, and over 20% were categorized as Full Failure or Substantial Failure. Concerns about the accuracy of WHOIS records were raised in a number of responses to the WHOIS Review Team’s public Discussion Paper and in public sessions at four ICANN meetings.

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3 The NORC study defined the terms as follows:

**No Failure** Met all three criteria fully – deliverable address, name linked to address, and registrant confirmed ownership and correctness of all details during interview

**Full failure** – Failed on all criteria – undeliverable address and unlinkable, missing, or patently false name, unable to locate to interview

**Substantial failure** Undeliverable address and/or unlinkable name, however registrant located. Unable to interview registrant to obtain confirmation; Deliverable address, but unable to link or even locate the registrant, removing any chance of interview.
• Law enforcement agencies expressed a view that inaccurate or incomplete WHOIS data can potentially cause serious problems during the course of a criminal investigation;
• Inaccurate WHOIS data can also significantly impact consumer trust and confidence in the Internet;
• The Non-Commercial Users Constituency noted: If registrants have other channels to keep this information private, they may be more willing to share accurate data with their registrar;
• The concerns of businesses include issues relating to online counterfeiting and their ability to protect their intellectual property rights.

The low level of accurate WHOIS data is unacceptable, and decreases consumer trust in WHOIS, in the industry which ICANN provides rules for and coordinates, and therefore in ICANN itself. The organization’s priority in relation to WHOIS should be to improve WHOIS data accuracy and sustain improvement over time.

The WHOIS Data Reminder Policy is ineffective in achieving its goal of improving accuracy of data. Despite the dedication of considerable resources both by Registrars in sending out annual WHOIS Data Reminder Policy notices, and ICANN’s Compliance Team in auditing compliance, the lack of follow-up renders the entire action ineffective. Anecdotal evidence suggests that name holders frequently ignore these messages, view them as SPAM or as unwanted marketing approaches by their Registrar. The policy, while well-intentioned, has not measurably improved accuracy but has increased costs to Registrars and ICANN as it monitors compliance with the policy. Simply put, no one knows what impact the policy has in improving the accuracy of WHOIS data.

The Review Team notes that discussions of WHOIS data often include recommendations for WHOIS data "validation" or data "verification." The Team notes that the focus of its recommendations is on the desired outcome that ICANN work to improve the accuracy of WHOIS data. WHOIS validation or verification would be one possible means to achieve this objective, whereas our intention is to allow latitude in how the objective is achieved. Currently, there are a number of ongoing efforts in this area, including a potential Policy Development Process (PDP) and direct negotiations with Registrars on revisions to the RAA. The Review Team therefore acknowledges these efforts and encourages ICANN Staff to continue this work while ensuring that all segments of the Community are involved in this process. In any event, whether or not validation of new registration data is implemented, there is a significant legacy of inaccurate data in existing domain name records, which requires attention and improvement.

**Recommendations 5-9 - Data Accuracy**

5. ICANN should ensure that the requirements for accurate WHOIS data are widely and pro-actively communicated, including to current and prospective Registrants,
and should use all means available to progress WHOIS accuracy, including any internationalized WHOIS data, as an organizational objective. As part of this effort, ICANN should ensure that its Registrant Rights and Responsibilities document is pro-actively and prominently circulated to all new and renewing registrants.

6. ICANN should take appropriate measures to reduce the number of WHOIS registrations that fall into the accuracy groups Substantial Failure and Full Failure (as defined by the NORC Data Accuracy Study, 2009/10) by 50% within 12 months and by 50% again over the following 12 months.

7. ICANN shall produce and publish an accuracy report focused on measured reduction in WHOIS registrations that fall into the accuracy groups Substantial Failure and Full Failure, on an annual basis.

8. ICANN should ensure that there is a clear, unambiguous and enforceable chain of contractual agreements with registries, registrars, and registrants to require the provision and maintenance of accurate WHOIS data. As part of these agreements, ICANN should ensure that clear, enforceable and graduated sanctions apply to registries, registrars and registrants that do not comply with its WHOIS policies. These sanctions should include de-registration and/or de-accreditation as appropriate in cases of serious or serial non-compliance.

9. The ICANN Board should ensure that the Compliance Team develop, in consultation with relevant contracted parties, metrics to track the impact of the annual WHOIS Data Reminder Policy (WDRP) notices to registrants. Such metrics should be used to develop and publish performance targets, to improve data accuracy over time. If this is unfeasible with the current system, the Board should ensure that an alternative, effective policy is developed (in accordance with ICANN's existing processes) and implemented in consultation with registrars that achieves the objective of improving data quality, in a measurable way.

**Recommendation 10: Data Access -- Privacy and Proxy Services**

*Findings*

Privacy and proxy services have arisen to fill an ICANN policy vacuum. These services are clearly meeting a market demand, and it is equally clear that these services are complicating the WHOIS landscape.

Privacy and proxy services are used to address noncommercial and commercial interests, which many view as legitimate. For example, **Individuals** – who prefer not to have their personal data published on the Internet as part of a WHOIS record;
Organizations – as religious, political or ethnic minority, or sharing controversial moral or sexual information; and
Companies – for upcoming mergers, new product or service names, new movie names, or other product launches.

However, ICANN's current lack of any clear and consistent rules with regards to privacy and proxy services\(^4\) has resulted in unpredictable outcomes for stakeholders. In terms of the Review Team’s scope:

- law enforcement shared its concern over the abuse of proxy services by criminals seeking to hide, companies defrauding customers, and parties attacking the security of the Internet including by botnets and malware; and
- the current use of privacy and proxy services raises questions about whether ICANN is meeting its AoC commitments relating to ‘timely, unrestricted and public access’ to WHOIS data.

The Review Team considers that with appropriate regulation and oversight, privacy and proxy services appear capable of addressing stakeholder needs.

**Recommendation 10 - Data Access -- Privacy and Proxy Services**

The Review Team recommends that ICANN should initiate processes to regulate and oversee privacy and proxy service providers.

ICANN should develop these processes in consultation with all interested stakeholders.

This work should take note of the studies of existing practices used by proxy/privacy service providers now taking place within the GNSO.

The Review Team considers that one possible approach to achieving this would be to establish, through the appropriate means, an accreditation system for all proxy/privacy service providers. As part of this process, ICANN should consider the merits (if any) of establishing or maintaining a distinction between privacy and proxy services.

The goal of this process should be to provide clear, consistent and enforceable requirements for the operation of these services consistent with national laws, and to strike an appropriate balance between stakeholders with competing but legitimate

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\(^4\) Working definitions of Privacy and Proxy Services:
- **Privacy Service** a service that provides the Registrant Name and a subset of other information (possibly null set) but consistent across ICANN
- **Proxy Service** a relationship in which the registrant is acting on behalf of another. The WHOIS data is that of the agent and the agent alone obtains all rights and assumes all responsibility for the domain name and its manner of use.
interests. At a minimum, this would include privacy, data protection, law enforcement, the industry around law enforcement and the human rights community.

ICANN could, for example, use a mix of incentives and graduated sanctions to encourage proxy/privacy service providers to become accredited, and to ensure that registrars do not knowingly accept registrations from unaccredited providers.

ICANN could develop a graduated and enforceable series of penalties for proxy/privacy service providers who violate the requirements, with a clear path to de-accreditation for repeat, serial or otherwise serious breaches.

In considering the process to regulate and oversee privacy/proxy service providers, consideration should be given to the following objectives:

- Clearly labeling WHOIS entries to indicate that registrations have been made by a privacy or proxy service;
- Providing full WHOIS contact details for the privacy/proxy service provider, which are contactable and responsive;
- Adopting agreed standardized relay and reveal processes and timeframes; (these should be clearly published, and pro-actively advised to potential users of these services so they can make informed choices based on their individual circumstances);
- Registrars should disclose their relationship with any proxy/privacy service provider;
- Maintaining dedicated abuse points of contact for each provider;
- Conducting periodic due diligence checks on customer contact information;
- Maintaining the privacy and integrity of registrations in the event that major problems arise with a privacy/proxy provider.
- Providing clear and unambiguous guidance on the rights and responsibilities of registered name holders, and how those should be managed in the privacy/proxy environment.

**Recommendation 11: Data Access – Common Interface**

**Findings**

According to our consumer research, one of the aspects that consumers struggled with (once they had been informed of the existence of WHOIS in many cases) was locating WHOIS services and interpreting WHOIS Data. This is particularly pronounced with ‘thin’ WHOIS services\(^5\) which split the WHOIS data between the registry and registrar, and affect .com and .net, which together hold over 100 million domain name registrations at the time of writing.

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\(^5\) See glossary for explanation of the terms “thick” and “thin” WHOIS services
We understand that ICANN already provides a WHOIS lookup service called Internic. The WHOIS Review Team supports the concept of the Internic service, as a 'go to' place for those wishing to find out information about domain name registrants. It finds that in practice, the Internic service is little known, and is not user friendly. For example, it delivers only the 'thin' WHOIS data for .com and .net. This requires users who are looking up through a web interface to find the relevant registrar’s website, and their WHOIS service before they are able to complete their query.

The WHOIS Review Team unanimously believes that WHOIS services in general and Internic in particular are not optimized for usability, and could do much more to promote consumer trust. Further, we believe that they prevent the WHOIS from being more widely used and relied on by consumers.

**Recommendation 11 - Data Access – Common Interface**

It is recommended that the Internic Service is overhauled to provide enhanced usability for consumers, including the display of full registrant data for all gTLD domain names (whether those gTLDs operate thin or thick WHOIS services) in order to create a one stop shop, from a trusted provider, for consumers and other users of WHOIS services.

In making this finding and recommendation, we are not proposing a change in the location where data is held, ownership of the data, nor do we see a policy development process as necessary or desirable. We are proposing an operational improvement to an existing service, the Internic. This should include enhanced promotion of the service, to increase user awareness.

**Recommendations 12-14: Internationalized Domain Names**

**Findings**

Developments associated with the WHOIS protocol and registration data have not kept pace with the real world. A significant example of this is International Domain Names (IDNs). IDNs have been available for registration at the second level for over a decade, and were introduced in 2010 at the root level. However, these developments were not accompanied by corresponding changes related to WHOIS. In short, the current WHOIS protocol has no support for non-ASCII characters, and cannot signal a non-ASCII script.

This means that while domain names can now be written in a range of scripts (such as Arabic and Cyrillic), the contact information must still be transliterated into a format ill-suited to the purpose. The NORC Study on Data Accuracy highlighted IDN contact data as a major cause of apparent inaccuracy.

The failure to reflect internationalized registration data does not just affect IDNs,
however, and has existed for much longer - ever since domain names have been registered by registrants globally. Global users need to represent their local names, postal addresses and other contact and technical information in the script(s) which they use.

These are difficult issues, and there is ongoing work within ICANN in this area (e.g. the joint gNSO and SSAC working group on Internationalised Registration Data – IRD WG). As the need is imminent, this work needs to proceed with priority in coordination with other relevant work beyond ICANN’s ambit, to make internationalised domain name registration data accessible.

**Recommendations 12-14 – Internationalized Domain Names**

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.

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.

14. In addition, 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, as per the details in Recommendations 5-9 in this document.

**Recommendation 15: Detailed and Comprehensive Plan**

ICANN should provide a detailed and comprehensive plan within 3 months after the submission of the Final WHOIS Review Team report that outlines how ICANN will move forward in implementing these recommendations.

**Recommendation 16: Annual Status Reports**

ICANN should provide at least annual written status reports on its progress towards implementing the recommendations of this WHOIS Review Team. The first of these
reports should be published one year, at the latest, after ICANN publishes the implementation plan mentioned in recommendation 15, above. Each of these reports should contain all relevant information, including all underlying facts, figures and analyses.
PART I – Scope of Work and Definitions,

Chapter 2: The WHOIS Review Team, Scope of Work & Key Definitions

A. The WHOIS Review Team and its Affirmation of Commitments Work

The first WHOIS Review Team, required by the Affirmation of Commitment, was selected in September 2010 by the President and CEO of ICANN, Rod Beckstrom, and the Chair of the Governmental Advisory Committee (GAC), Heather Dryden. Members of the Review Team were:

<table>
<thead>
<tr>
<th>Name</th>
<th>Country</th>
<th>Constituency / Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emily Taylor, Chair</td>
<td>UK</td>
<td>Country Code Names Support Organization</td>
</tr>
<tr>
<td>Kathy Kleiman, Vice-Chair</td>
<td>US</td>
<td>Registries Stakeholder Group, Generic Names Supporting Organization (GNSO)</td>
</tr>
<tr>
<td>James Bladel</td>
<td>US</td>
<td>Registrar Stakeholder Group, Generic Names Supporting Organization (GNSO)</td>
</tr>
<tr>
<td>Lutz Donnerhacke</td>
<td>DE</td>
<td>At-Large Advisory Committee (ALAC)</td>
</tr>
<tr>
<td>Lynn Goodendorf</td>
<td>US</td>
<td>Independent Expert</td>
</tr>
<tr>
<td>Sarmad Hussain</td>
<td>PK</td>
<td>Security &amp; Stability Advisory Committee (SSAC)</td>
</tr>
<tr>
<td>Olivier Iteanu(^6)</td>
<td>FR</td>
<td>At-Large Advisory Committee (ALAC)</td>
</tr>
<tr>
<td>Omar Kaminski</td>
<td>BR</td>
<td>Governmental Advisory Committee (GAC)</td>
</tr>
<tr>
<td>Susan Kawaguchi</td>
<td>US</td>
<td>Commercial and Business Users Constituency, Generic Names Supporting Organization (GNSO)</td>
</tr>
<tr>
<td>Sharon Lemon</td>
<td>UK</td>
<td>Law Enforcement Representative</td>
</tr>
<tr>
<td>Peter Nettlefold</td>
<td>AU</td>
<td>Designated Nominee of Selector Heather Dryden, Chair of the GAC</td>
</tr>
<tr>
<td>Seth Reiss(^7)</td>
<td>US</td>
<td>At-Large Advisory Committee (ALAC)</td>
</tr>
<tr>
<td>Bill Smith</td>
<td>US</td>
<td>Independent Expert</td>
</tr>
<tr>
<td>Kim von Arx(^8)</td>
<td>CA</td>
<td>Non-Commercial Users, Generic Names Supporting Organization (GNSO)</td>
</tr>
<tr>
<td>Wilfried Woeber</td>
<td>AT</td>
<td>Address Supporting Organization (ASO)</td>
</tr>
<tr>
<td>Michael Yakushev</td>
<td>RU</td>
<td>Designated Nominee of Selector Rod Beckstrom, ICANN President and CEO</td>
</tr>
</tbody>
</table>

\(^6\) Resigned June 2011  
\(^7\) Joined September 2011  
\(^8\) Resigned October 2011
The Review Team thanks the ICANN Staff who supported our work, including Denise Michel, Liz Gasster and Stacy Burnette. We extend our heartfelt thanks in particular to Olof Nordling and to Alice Jansen for their outstanding support, good humor and commitment, and to all members of the ICANN community who contributed comments during the consultations. Consistent with the requirements of the Affirmation of Commitments, we published this report for public comment in December 2011. We sought final consultation with the Community in Costa Rica at the ICANN meeting and thereafter issue this Final Report and Recommendations.

B. Scope of Work

In 2009, ICANN and the US Department of Commerce signed the Affirmation of Commitments (AoC), and ICANN committed itself to the following obligation regarding WHOIS information:

“9.3.1 ICANN additionally commits to enforcing its existing policy relating to WHOIS, subject to applicable laws. Such existing policy requires that ICANN implement measures to maintain timely, unrestricted and public access to accurate and complete WHOIS information, including registrant, technical, billing, and administrative contact information.”


ICANN undertook a specific obligation to form a global Review Team to assess specific WHOIS issues, within a year of the AoC signing, and every three years:

“One year from the effective date of this document and then no less frequently than every three years thereafter, ICANN will organize a review of WHOIS policy and its implementation to assess the extent to which WHOIS policy is effective and its implementation meets the legitimate needs of law enforcement and promotes consumer trust.”

The Affirmation of Commitments sets out who shall be represented on the WHOIS Review Team:

“The review will be performed by volunteer community members and the review team will be constituted and published for public comment, and will include the following (or their designated nominees): the Chair of the GAC, the CEO of ICANN, representatives of the relevant Advisory Committees and Supporting Organizations, as well as experts, and representatives of the global law enforcement community, and global privacy experts. Composition

of the review team will be agreed jointly by the Chair of the GAC (in consultation with GAC members) and the CEO of ICANN.”

The AoC also sets out how our recommendations are to be handled:
“Resulting recommendations of the reviews will be provided to the Board and posted for public comment.”

The WHOIS Review Team met for its first formal face-to-face meeting in London (January 2011) to determine the scope and methodology of its work. At this meeting, the Team reviewed its mandate closely. The Affirmation calls on the WHOIS Policy Review Team to review the commitments of ICANN regarding its WHOIS Policy (see above).

Upon close review of the Affirmation, and discussions with its drafters and signatories, including, Lawrence E. Strickling, US Department of Commerce, Assistant Secretary for Communications and Information, the WRT set out its scope broadly:

To assess the extent to which its existing WHOIS policy and its implementation:
- is effective,
- meets the legitimate needs of law enforcement; and
- promotes consumer trust;
- in accordance with the principles set out in the Affirmation, in particular paragraph 9.3.1.

The WRT further committed to review two key requirements of the Affirmation:
- “implementing measures to maintain timely, unrestricted and public access to accurate and complete WHOIS information, including registrant, technical, billing, and administrative contact information;” and
- “enforcing its existing policy relating to WHOIS, subject to applicable laws.”

In setting out its scope, the WRT established principles to guide its work. The first principle affirmed that the Review Team exists to evaluate policy, not create it. Scope and methodology were set consistent with this principle.

Additional principles from the Affirmation further guided the Review Team work. While each Review Team member hails from a particular community within or outside of ICANN, the Team agreed to conduct its work pursuant to the broad public interest principles set out the Affirmation, including:
- "decisions made related to the global technical coordination of the DNS are made in the public interest and are accountable and transparent" Section 3(a);
• should "promote competition, consumer trust, and consumer choice in the DNS marketplace" Section 3(c); and
• should "reflect the public interest...and not just the interests of a particular set of stakeholders" (paragraph 4).\textsuperscript{13}

The Review Team adopted its Scope of Work plan together with an ambitious outreach and action plan, and published it for community review and public comment in March 2011. These plans became the roadmaps which guided the Review Team work throughout its work.

C. Key Definitions

Overview

Early in the WHOIS Review Team’s work program, the Team attempted to identify and define key terms in the Affirmation of Commitments and concerning other aspects of WHOIS most relevant to our review, and to the work of the groups the Team intended to reach out to.

In conjunction with comments from the Community\textsuperscript{14}, the Team found it useful for purposes of facilitating its review to consider the following definitions as guides for its work:

\textbf{WHOIS Components: WHOIS Data; WHOIS Protocol; WHOIS Services}

Finally the Review Team found it useful to define, the data, protocol and services that comprise the term WHOIS. In this regard, the WHOIS Review Team found the work of ICANN’s Security and Stability Advisory Committee\textsuperscript{15} invaluable, and extends its thanks for the explanations and engagement throughout the process:

\textbf{WHOIS Data:} The information that registrants provide when registering a domain name and that registrars or registries collect (registrant name, address, telephone; administrative and billing contacts; etc.). Some of this information is made available to the public. […]

\textbf{WHOIS Protocol:} The elements of a (standard) communications exchange – queries and responses - that make access to WHOIS Data possible. For example, the WHOIS protocol (RFC 3912) and HTTP (RFC 2616 and its updates) are commonly used to provide public access to WHOIS Data.

\textsuperscript{13} http://www.icann.org/en/documents/affirmation-of-commitments-30sep09-en.htm
\textsuperscript{14} A full discussion of the Team’s work to define the selected AOC terms of reference, including comments received from the stakeholder communities and the Teams responses thereto, can be found in the Appendices.
\textsuperscript{15} http://www.icann.org/en/committees/security/sac051.pdf
**WHOIS Service**: The service(s) offered by registries and registrars to provide access to all or a subset of WHOIS Data [...]

**Key Terms in Affirmation of Commitments**

The Affirmation of Commitments used key, but undefined terms. In conjunction with the Community, the Review Team used the following working definitions for to guide its work and analysis.

- **Law Enforcement**
  The Review Team defines “Law Enforcement” as:
  Any entity charged or otherwise mandated by governments with enforcing or ensuring observance of or obedience to the law; an organized body of people officially maintained or employed to keep order, prevent or detect crime and enforce the law.

  The adopted definition intentionally does not include private individuals and organizations, such as anti-spam groups or those bringing civil enforcement actions, whose efforts may be viewed as within a larger concept of law enforcement. By adopting the narrower definition, the Team does not intend to discount the value of private sector efforts to curb abusive uses of the DNS.

  With the adopted definition in mind, the Review Team consulted with law enforcement through a questionnaire seeking better understanding of the use and concerns regarding WHOIS data. The results of this survey are discussed in Chapter 6.

- **Consumers and Consumer Trust**
  The Review Team found two potential classes of consumers:

  - All Internet users, including natural persons, commercial and non-commercial entities, governments and academic entities, and registrants, registries and registrars.
  - The individuals and organizations who purchase the domain name and provide data for inclusion in the WHOIS.

  The Review Team found the definition of Consumer Trust, something the ICANN Community is also exploring in the context of its policy-making processes, to be particularly challenging. Consumer Trust can be narrowly construed to mean the level of trust Internet users have in available WHOIS data; or more broadly as the level of trust consumers have in Internet information and transactions in general. The Review Team focused its “consumer trust” research on the WHOIS issues, and reached outside the ICANN community to engage third party researchers for multi-country research. This research and its results are covered in chapter 6, with full research material in the appendices.
Applicable Laws
The Affirmation commits ICANN to enforcing its existing policy relating to WHOIS, “subject to applicable laws.” The Review Team, following public comment, found it reasonable to view Applicable Laws as:

“Including any and all local and national laws that regulate and/or control the collection, display and distribution of personal data via WHOIS.”

The Team understands the “applicable laws” reference as encompassing all laws, but mainly focused on privacy laws and regulations, and notes ICANN’s existing consensus policy relating to conflicts with privacy laws. The Team considered, but determined not to include within the definition, international agreements and regional laws recognizing that such laws are enforceable only to the extent incorporated into the domestic laws of contracting states.
PART II – ICANN WHOIS Policy and its Implementation

Chapter 3: The Complex History of WHOIS Policy

A. The Complex History of WHOIS Policy

Thick and Thin Registries and their Different WHOIS Results

There is nothing simple or clean about ICANN's WHOIS Policy. It is a process that ICANN inherited and built upon and, like a rickety structure built without a clear plan, is difficult to navigate and understand.

In 1982 Ken Harrenstien of SRI International wrote and the Internet Engineering Task Force (IETF) published “RFC 812” titled NICNAME/WHOIS creating a protocol for a directory service of ARPANET users. In 1985 RFC 954 replaced RFC 812 and set out a new series of commands for the text-based, WHOIS protocol. In 2004 RFC 3912 modified RFC 954 to remove information no longer applicable to the modern Internet. The current WHOIS protocol, the set of rule for communication of WHOIS searches and commands between computers, is largely based on the 1985 standard, and the IETF has indicated it may be reviewing the protocol shortly.

When ICANN was created in 1998, it inherited the WHOIS protocol and a set of existing gTLDs – .COM, .ORG and .NET – with their WHOIS search service and WHOIS data. Network Solutions managed the three top level domains as the distinction between registry and registrar had not yet been created.

In early 1999, ICANN introduced competition into the gTLD market by creating registrars, organizations accredited by ICANN to register domain names to Registrant. There are now over 900 gTLD Registrars (as of the 27th of November, 2011) with GoDaddy being the largest. Many of these accredited gTLD Registrars are not active, while there are at the same time a large number of non-accredited "resellers" operating through contractual agreements with accredited gTLD Registrars.

At the outset, there was deep concern that registrar competition could not flourish if Network Solutions, still in the registry and registrar businesses, held a full set of customer data of all gTLD registrants. ICANN agreed and .COM became a “Thin Registry,” holding only limited data about a domain name, and providing a link to the Registrar’s database when someone seeks WHOIS data. The number of domain name resellers is not known because there is not a central record or tracking mechanism of Registrar sub-contracting arrangements.
Thus, the WHOIS search of the .COM Registry, now managed by Verisign, shows limited data:

**Thin Registries: .COM and .NET – Sample Thin Registry WHOIS Response**

<table>
<thead>
<tr>
<th>Domain Name: IBM.COM</th>
<th>Registrar: MELBOURNE IT, LTD. D/B/A INTERNET NAMES WORLDWIDE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Whois Server: whois.melbourneit.com</td>
<td>Referral URL: <a href="http://www.melbourneit.com">http://www.melbourneit.com</a></td>
</tr>
<tr>
<td>Name Server: INTERNET-SERVER.ZURICH.IBM.COM</td>
<td>Name Server: NS.ALMADEN.IBM.COM</td>
</tr>
<tr>
<td>Name Server: NS.AUSTIN.IBM.COM</td>
<td>Name Server: NS.WATSON.IBM.COM</td>
</tr>
<tr>
<td>Status: clientTransferProhibited</td>
<td>Updated Date: 31-aug-2011</td>
</tr>
<tr>
<td>Creation Date: 19-mar-1986</td>
<td>Expiration Date: 20-mar-2019</td>
</tr>
</tbody>
</table>

>>> Last update of whois database: Thu, 24 Nov 2011 00:50:33 UTC <<<

The *Referral URL*, http://www.melbourneit.com, provides a link to Registrar Melbourne IT which, in turn, provides the full, or “thick,” WHOIS response with the full Registrant WHOIS contact data:

**Thin Registries: .COM and .NET – Sample Registrar WHOIS Response (Melbourne IT)**

<table>
<thead>
<tr>
<th>Domain Name:.... ibm.com</th>
<th>Creation Date:.... 1986-03-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration Date:.... 2011-08-31</td>
<td>Expiry Date:.... 2019-03-21</td>
</tr>
<tr>
<td>Organisation Name:.... International Business Machines Corporation</td>
<td>Organisation Address. New Orchard Road</td>
</tr>
<tr>
<td>Organisation Address. Armonk</td>
<td>Organisation Address. 10504</td>
</tr>
<tr>
<td>Organisation Address. NY</td>
<td>Organisation Address. UNITED STATES</td>
</tr>
<tr>
<td>Admin Name:..... IBM DNS Admin</td>
<td>Admin Address:..... New Orchard Road</td>
</tr>
<tr>
<td>Admin Address:..... Armonk</td>
<td>Admin Address:..... 10504</td>
</tr>
<tr>
<td>Admin Address:..... NY</td>
<td>Admin Address:..... UNITED STATES</td>
</tr>
<tr>
<td>Admin Email:..... <a href="mailto:dnsadm@us.ibm.com">dnsadm@us.ibm.com</a></td>
<td>Admin Phone:..... +1.9147654227</td>
</tr>
<tr>
<td>Admin Fax:..... +1.9147654370</td>
<td></td>
</tr>
<tr>
<td>Tech Name:..... IBM DNS Technical</td>
<td>Tech Address:..... New Orchard Road</td>
</tr>
<tr>
<td>Tech Address:..... Armonk</td>
<td>Tech Address:..... 10504</td>
</tr>
<tr>
<td>Tech Address:..... NY</td>
<td>Tech Address:..... UNITED STATES</td>
</tr>
<tr>
<td>Tech Email:..... <a href="mailto:ipreg@us.ibm.com">ipreg@us.ibm.com</a></td>
<td>Tech Phone:..... +1.9192544441</td>
</tr>
<tr>
<td>Tech Fax:..... +1.9147654370</td>
<td></td>
</tr>
<tr>
<td>Name Server:..... NS.AUSTIN.IBM.COM</td>
<td>Name Server:..... INTERNET-SERVER.ZURICH.IBM.COM</td>
</tr>
<tr>
<td>Name Server:..... NS.WATSON.IBM.COM</td>
<td>Name Server:..... NS.ALMADEN.IBM.COM</td>
</tr>
</tbody>
</table>
The .COM registry currently numbers over 100 million domain names, with over 900 Registrars.

.JOBS and .NET are also thin registries. The other gTLDs, including .ORG, .BIZ, and .INFO are “Thick Registries.” Both Registries and Registrars hold the full WHOIS data, and both publish full contact data in response to WHOIS searches.

Thus, for amnesty.org, of Amnesty International, both PIR (the Registry) and Network Solutions (the Registrar) respond with the full contact data listed in the “sample registrar WHOIS model” above.

Although the .COM and .NET WHOIS models have remained unchanged for 11 years, there are some recommendations underway within the GNSO asking the community to consider the value of moving thin registries to a “thick WHOIS” model. Published on November 22, 2011, the comments ask the Community what “positive and/or negative effects” may arise from such a change\(^\text{16}\). As this evaluation is now taking place, it is not an existing policy which the Review Team could evaluate. However, we note the proceeding could lead to significant changes in the area.

B. WHOIS Policy: Buried in the Contracts of Registry and Registrar Agreements

Modern WHOIS Policy is buried in the contracts of current Registry and Registrar Agreements. To the best of the Review Team's knowledge, there is no “one WHOIS policy” and no single place or one web page to find it. Rather, we pieced WHOIS policy together through multiple contracts, appendix sections, and web pages. Findings at the end of this chapter will show that we consider way of sharing policy unsatisfactory, and we hope to improve it.

It is in the Contracts

The WHOIS Policy for ICANNs current Registries is largely set out in their contracts with ICANN. Currently, each Registry negotiates its own contracts with ICANN, and ICANN sets out requirements for the WHOIS service and WHOIS data. Generally, the “WHOIS Specification” can be found in the appendices of the Registry Agreements, all posted individually on the ICANN website. www.icann.org/en/registries/agreements.htm.

In contrast, contracts for ICANNs 900 Registrars are not individually negotiated. Currently, they are signed onto one of two contracts: the 2001 Registrar Accreditation Agreement (RAA) or the 2009 RAA. Both contracts contain numerous provisions regarding WHOIS service and data, and set out requirements for the ACCESS and

\(^{16}\) Preliminary Issue Report on ‘Thick’ WHOIS
ACCURACY of WHOIS data. 2001 RAA: [http://www.icann.org/en/registrars/ra-agreement-17may01.htm](http://www.icann.org/en/registrars/ra-agreement-17may01.htm) and 2009 RAA: [www.icann.org/en/registrars/ra-agreement-21may09-en.htm](http://www.icann.org/en/registrars/ra-agreement-21may09-en.htm). The WHOIS provisions of the two contracts are very close in their language, intent and goals.

This Policy chapter attempts to place the WHOIS Policy in one place for the first time. It provides an overview of ICANN's WHOIS Policy as pieced together through the Registry and Registrar Agreements and contracts as well as “Consensus Procedures” passed by the Generic Names Supporting Organization and ICANN Board to supplement this policy.

**ACCESS to the WHOIS Service – Registry Contracts**

Both Thick and Thin Registries commit themselves to providing access to the WHOIS Service, and WHOIS Data, in two ways:
- via a free web page; and
- through a free Port 43 service.

The web page allows realtime access to WHOIS data in individual searches; the Port 43 access allows automated queries by machine. There is a further obligation to provide third-party bulk access, provided the WHOIS data is not misused.

“Thick Registries” are those that agree to host the full WHOIS contact data, as provided to them by the Registrars (who register the domain names and receive the data directly from the Registrants). Afilias’ .INFO Registry is an example of existing Registry contractual obligations:

**WHOIS Specifications, .INFO Agreement, Appendix 5**

"Registry Operator’s Whois service is the authoritative Whois service for all second-level Internet domain names registered in the .INFO top-level domain and for all hosts registered using these names. This service shall be available to anyone. It shall be available via port 43 access and via links at the Registry Operator’s web site.

The web page access is basically the same across websites:

**WHOIS Website Access**
The Port 43 Access is more complicated, and the contractual requirements set out some standards for this machine-based access:

**Port 43 Access to WHOIS Data**

<table>
<thead>
<tr>
<th>A. Port 43 is a text-based, human-readable, query system accessed from the “run line” of your computer, or from bulk processes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Based on an official port assigned by the Internet Assigned Numbers Authority (IANA) accessing a built-in set of commands for the processing and response.</td>
</tr>
</tbody>
</table>

As discussed above, the .COM and .NET Registries, both run by Verisign, operate on more streamlined rules, with Verisign publishing only the data it collects from Registrars, including domain name, Registrar and name servers, with a “Referral URL” to the WHOIS search of the appropriate Registrar.

Occasionally, Registries serving more targeted communities have received slight modifications to their WHOIS requirements to reflect specific needs.

**ACCESS to the WHOIS Service — Registrars**

GTLD Registrars sell domain names directly to the public. They hold the “registrant relationship,” and thus collect the personal information, including the WHOIS data, for their business purposes, e.g., renewal notices, for WHOIS service purposes and to provide to the Registry, if it is a thick top level domain.

On the WHOIS topics of ACCESS to the WHOIS service and its data, the 2001 and 2009 RAAs reflect the same policy with almost identical language. Specifically, like the registries, Registrars must provide free access to a web service for individual searches, and Port 43 for automated ones:

**Free web page and Port 43 WHOIS Service Access**

*Both Section 3.3.1*

*2001 and 2009 Registrar Accreditation Agreements*

At its expense, Registrar shall provide an interactive web page and a port 43 Whois service providing free public query-based access to up-to-date (i.e., updated at least daily) data concerning all active Registered Names sponsored by Registrar for each TLD in which it is accredited. The data accessible shall consist of elements that are designated from time to time according to an ICANN adopted specification or policy.

Further, the agreements state the data to be published,
WHOIS Data
Both Section 3.3.1.1-3.3.1.8
2001 and 2009 Registrar Accreditation Agreements

3.3.1.1 The name of the Registered Name
3.3.1.2 The names of the primary nameserver and secondary nameserver(s) for the Registered Name;
3.3.1.3 The identity of Registrar (which may be provided through Registrar's website);
3.3.1.4 The original creation date of the registration;
3.3.1.5 The expiration date of the registration;
3.3.1.6 The name and postal address of the Registered Name Holder;
3.3.1.7 The name, postal address, e-mail address, voice telephone number, and (where available) fax number of the technical contact for the Registered Name; and
3.3.1.8 The name, postal address, e-mail address, voice telephone number, and (where available) fax number of the administrative contact for the Registered Name.”

Additional contract sections provide additional requirements of Registrars, including escrow and prompt updates:

Additional RAA ACCESS Provisions
2001 and 2009 Registrar Accreditation Agreements

Registrars must:
“Promptly update” any changes to Whois data [3.3.2]
Provide third-party bulk access to the [Whois] data under certain conditions [3.3.6]
Maintain records of all Registered Name Holders for three years [3.4.2 2001 RAA, 3.4.4 2009 RAA]
Escrow Registered Name Holder data with a reputable Escrow Agent [3.6]
Abide by any future ICANN Consensus Policies as they may impact Whois service or data [3.3.4 2001 RAA, 3.7.1 2009 RAA]

Both RAAs feature a major ACCESS limitation that the Registrars must allow WHOIS searches for lawful purposes, but limit those supporting “mass, unsolicited commercial advertising” and similar abuses:

One ACCESS Limitation
2001 and 2009 Registrar Accreditation Agreements
Both Section 3.3.5

Registrar shall permit use of data it provides in response to queries for any lawful purposes except to: (a) allow, enable, or otherwise support the transmission by e-mail, telephone, or facsimile of mass, unsolicited, commercial advertising or solicitations to entities other than the data recipient's own existing customers; or (b) enable high volume, automated, electronic processes that send queries or data to the systems of any Registry Operator or ICANN-Accredited registrar, except as reasonably necessary to register domain names or modify existing registrations.

Both Registrar contracts require Registrars to agree to accept future Consensus policies that may be passed by the GNSO and ICANN Board. Four such Consensus Policies for WHOIS have been passed and are discussed in Section E below.
C. ACCURACY of the WHOIS Data – a Registrant and Registrar Responsibility

Among the most important of the Registrar's WHOIS requirements is the obligation to work closely with the Registrant, its customer, to collect accurate and reliable WHOIS contact details.

Specifically, ICANN policy makes the Registrant, called “the Registered Name Holder” in the contracts, responsible for providing accurate WHOIS information.

ACCURATE WHOIS Data Requirement
Both Section 3.3.7.1
2001 and 2009 Registrar Accreditation Agreements

The Registered Name Holder shall provide to Registrar accurate and reliable contact details and promptly correct and update them during the term of the Registered Name registration, including: the full name, postal address, e-mail address, voice telephone number, and fax number if available of the Registered Name Holder; name of authorized person for contact purposes in the case of an Registered Name Holder that is an organization, association, or corporation; and the data elements listed in Subsections 3.3.1.2, 3.3.1.7 and 3.3.1.8.

Failure by the Registrant to provide such data can result in cancellation of the domain name:

Failure to Provide ACCURATE Data
Section 3.7.7.2
2001 and 2009 Registrar Accreditation Agreements

A Registered Name Holder's willful provision of inaccurate or unreliable information, its willful failure promptly to update information provided to Registrar, or its failure to respond for over fifteen (15) calendar days to inquiries by Registrar concerning the accuracy of contact details associated with the Registered Name Holder's registration shall constitute a material breach of the Registered Name Holder-registrar contract and be a basis for cancellation of the Registered Name registration.

The Registrar, in turn, is required to share with the Registrant a clear idea of the purposes of how the data will be used, which largely consists of open and public access to the WHOIS data:

Sec. 3.7.7.4 – 2001 and 2009 RAAs

- The purposes for which any Personal Data collected from the applicant are intended to be used for;
- The intended recipients or categories of recipients of the data (including the Registry Operator and others who will receive the data from Registry Operator);”
- Which data are obligatory and which data, if any, are voluntary; and
- How the Registered Name Holder or data subject can access and, if
necessary, rectify the data held about them. Sec. 3.7.7.4, 2001 and 2009 RAA.

The Registrar further commits to processing the data appropriated and taking reasonable steps to protect it from misuse:

Sec. 3.7.7.7 and 3.7.7.8, 2001 and 2009 RAA

- Not process the Personal Data collected from the Registered Name Holder in a way incompatible with the purposes and other limitations about which it has provided notice to the Registered Name Holder;
- Take reasonable precautions to protect Personal Data from loss, misuse, unauthorized access or disclosure, alteration, or destruction.

Under more recent ICANN Consensus Policies, Registrars send annual notices to Registrants asking them to review and update contact information that may have changed over time, e.g., a new cell phone number or an updated business address (Annual Data Reminder Policy discussed under “Consensus Policies” in Section C below).

Further, Registrars agree to take reasonable steps to investigate claimed inaccuracies, and seek correction from Registrant as appropriate.

As you will see in the RAA language a registrar is required to verify information at the time of registration but in practicality this does not happen. In our discussions with ICANN compliance they only expect the registrar to notify the registrant of an inaccuracy report.

3.7.8 Registrar shall abide by any specifications or policies established according to Section 4 requiring reasonable and commercially practicable (a) verification, at the time of registration, of contact information associated with a Registered Name sponsored by Registrar or (b) periodic re-verification of such information. Registrar shall, upon notification by any person of an inaccuracy in the contact information associated with a Registered Name sponsored by Registrar, take reasonable steps to investigate that claimed inaccuracy. In the event Registrar learns of inaccurate contact information associated with a Registered Name it sponsors, it shall take reasonable steps to correct that inaccuracy.

The registrant has a responsibility to respond to the yearly notice to update registration information.

The Review Team created an overview of the responsibilities of the WHOIS Data and its Accuracy below:
D. PROXY and PRIVACY Registrations

A special set of cases exists in which the Registrant seeks additional protections for its personal data so that it will not be easily found in globally-available WHOIS databases. The Review Team heard from all members of the ICANN gTLD communities with regard to this type of service.

Specifically, companies, organizations and individuals shared their need, use and value of proxy and privacy services, including:

- For companies where an upcoming merger, new product or service name, new movie name, or other new product launch, involves a domain name which should not yet be directly associated with the business (to avoid market speculation and other negative business consequences). Companies use proxy services or individuals such as attorneys who act as proxies.

- Organizations noted the danger of operating in a country or region in which they are a religious, political or ethnic minority, or share information about moral or sexual issues that may be controversial in some areas, such as gay rights.

- Some private individuals prefer not to have their personal data published on the Internet as part of a WHOIS record.

- Webmasters and Webhosts regularly register domain names for an array of clients as a first step in beginning the development of their websites.

Two types of services have emerged as a market response to the need for special services. Called proxy and privacy services, the terms are used interchangeably, but the Review Team found their meanings have some key differences:

- **Privacy Service** a service that provides the Registrant Name and a subset of other information (possibly null set) but consistent across ICANN.

- **Proxy Service** a relationship in which the registrant is acting on behalf of another. The WHOIS data is that of the agent and the agent alone obtains all
rights and assumes all responsibility for the domain name and its manner of use.

Law enforcement shared its concern over the abuse of proxy services by criminals seeking to hide, companies defrauding customers, and parties attacking the security of the Internet including by botnets and malware.

The Registrar Accreditation Agreements speak specifically to the issue of registering a domain name through a third party, but do not use the terms “proxy and privacy.” Rather they talk about the “Registered Name Holder” (i.e. the proxy) and the Licensee (i.e. the underlying party on whose behalf the domain name is registered) and require “timely resolution” of problems that may arise:

**Ownership and Responsibility of the Domain Name by the Proxy**
Section 3.7.7.3, Part 1
2001 and 2009 RAA

Any Registered Name Holder that intends to license use of a domain name to a third party is nonetheless the Registered Name Holder of record and is responsible for providing its own full contact information and for providing and updating accurate technical and administrative contact information adequate to facilitate timely resolution of any problems that arise in connection with the Registered Name.

The RAAs also call on Registered Name Holder to be responsible for the “wrongful use” of the domain name unless it “promptly discloses” the current contact information of the licensee on “reasonable evidence of actionable harm.”

**Disclosure of the Underlying Licensee**
Section 3.7.7.3, Part 2
2001 and 2009 RAA

A Registered Name Holder licensing use of a Registered Name according to this provision shall accept liability for harm caused by wrongful use of the Registered Name, unless it promptly discloses the current contact information provided by the licensee and the identity of the licensee to a party providing the Registered Name Holder reasonable evidence of actionable harm.

Proxy and privacy services are among the least developed of the WHOIS policy areas. As discussed in Chapter 6, the Review Team heard many complaints about these services from Law Enforcement and others, suggesting that additional policies may be appropriate in this area.

**E. Three ICANN Consensus Policies and One Consensus Procedure**

In addition to the “static contracts” of the RAA’s and Registry Agreements, both sets of Contracted Parties (Registries and Registrars) agree to comply with ICANN “Consensus Policies.” Developed through ICANN's bottom-up, policy-making process, these Consensus Policies go through the “policy development process” with:
• Working group research and development;
• Community notice and comment;
• Final recommendations to the GNSO Council; and
• If appropriate, review and approval by the GNSO Council, and then the ICANN Board.

Since ICANN's creation in 1999, eight Consensus Policies have been created by the Generic Names Supporting Organization, and three of those have been WHOIS consensus policies. The Consensus Policies, posted at http://www.icann.org/en/general/consensus-policies.htm are:

• WHOIS Data Reminder Policy (2003);
• The Restored Name Accuracy Policy (2004);
• WHOIS Marketing Restriction Policy (2004), which contains the results of two separate recommendations to try to bar use of the WHOIS data for marketing and re-use.

In greater detail, each Consensus Policy creates a new requirement for Registrars, and seeks an improvement to the Accuracy of the WHOIS Data, or a Limitation to the Abuse of the WHOIS Data:

• **WHOIS Data Reminder Policy:** at least once a year, Registrars must email all Registrants and remind them to review and update their WHOIS data. [www.icann.org/en/registrars/wdrp.htm](http://www.icann.org/en/registrars/wdrp.htm)

• **The Restored Name Accuracy Policy:** If the Registrar has deleted a domain name because it had incorrect contact data, or there was no response to the Registrar's requests for information, the name must remain on Hold until the Registrant provides updated and accurate WHOIS data. [http://www.icann.org/en/registrars/rnap.htm](http://www.icann.org/en/registrars/rnap.htm)

• **WHOIS Marketing Restriction Policy:** This policy, a combination of two distinct GNSO policy recommendations, creates two policy changes to the Registrar Accreditation Agreement:
  a. Registrars must require third parties “to agree not to use the [Whois] data to allow, enable, or otherwise support any marketing activities.”

While some feel that the path towards progress on the WHOIS has been too slow, others see the fairly large number of Consensus Policies devoted to WHOIS as an indication of attention spent on important issues.
And a Consensus WHOIS Procedure

ICANN has another process in the gTLD WHOIS policy. Called a “Consensus Procedure” it was adopted in 2008 and lays out “how ICANN will respond to a situation where a registrar/registry indicates that it is legally prevented by local/national privacy laws or regulations from complying with the provisions of its ICANN contract regarding the collection, display and distribution of personal data via WHOIS.” ICANN Procedure For Handling WHOIS Conflicts with Privacy Law, http://www.icann.org/en/processes/icann-procedure-17jan08.htm

The Procedure allows a Registrar or Registry to come to ICANN to discuss how it will respond to an active investigation of illegality taking place by government and/or law enforcement officials. Specifically, there must be an active investigation underway:

1.1 At the earliest appropriate juncture on receiving notification of an investigation, litigation, regulatory proceeding or other government or civil action that might affect its compliance with the provisions of the Registrar Accreditation Agreement ("RAA") or other contractual agreement with ICANN dealing with the collection, display or distribution of personally identifiable data via WHOIS ("WHOIS Proceeding"), a registrar/registry should provide ICANN staff with the following […]

The procedure was criticized at the time of its creation for requiring Registries and Registrars to be the target of an investigation or litigation before they can seek to change their WHOIS practices to reflect their understanding of local and national laws. It was noted that most businesses seek to proactively comply with laws, prior to being challenged.

F. Government Advisory Committee Calls for Additional Policy Review

Numerous parties outside the GNSO have exhibited a great interest in the WHOIS proceedings, including the Government Advisory Committee (GAC) which has issued four key Communiques with guidance on WHOIS. The GAC recommended studies on the use and misuse of public WHOIS data, among other recommendations.

In response, the GNSO has put together four WHOIS studies, now in progress17, at the cost of $530,000 to:

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The 4 GNSO WHOIS Studies Now in Progress

<table>
<thead>
<tr>
<th>WHOIS &quot;Misuse&quot; Study</th>
<th>WHOIS Registrant Identification</th>
</tr>
</thead>
<tbody>
<tr>
<td>This study will assess whether public significantly increases harmful acts and the impact of anti-harvesting measures.</td>
<td>This study will examine information about how domain name registrants are identified and classify the various types of entities that register domains, including natural persons, various types of legal persons and Privacy and Proxy service providers.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>WHOIS Proxy and Privacy &quot;Abuse&quot;</th>
<th>WHOIS Proxy and Privacy Relay and Reveal Study</th>
</tr>
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<tbody>
<tr>
<td>This study will compare a broad sample of Privacy and Proxy-registered domains associated with alleged harmful acts to assess: 1) how often bad actors try to obscure identity in WHOIS; 2) how this rate of abuse compares to overall use of proxy and privacy services; and 3) how this rate compares to alternatives like falsified Whois data, compromised machines, and free web hosting.</td>
<td>The original study would analyze communication relay and identity reveal requests sent for privacy- and proxy-registered domains to explore and document how they are processed, and to identify factors that may promote or impede timely communication and resolution.</td>
</tr>
</tbody>
</table>

It is expected that the results of these WHOIS studies, due in 2012, will provide important information for future WHOIS policy discussions, and future WHOIS Review Teams.
Chapter 4: Implementation of WHOIS policy – ICANN’s Compliance Efforts

A. Introduction

When the WHOIS Review Team formulated its scope (see Chapter 2), it committed to review the effectiveness of ICANN in “enforcing its existing policy relating to WHOIS, subject to applicable laws”. This inevitably led to a focus on the activities and effectiveness of ICANN’s Compliance department.

This section sets out what we found. It starts with a description of the Compliance Department and what it does. Then it highlights issues raised in stakeholder feedback. It records the Review Team’s interaction with the Compliance Department. Findings and recommendations are set out in Chapter 8.

This section has been substantially rewritten as a result of feedback from public comment, ongoing dialogue with ICANN staff, and developments within the Compliance function, since publication of our draft report in December 2011.

B. What is the Compliance Department, and what does it do?

ICANN was set up in 1998, and implemented a system of accredited registrars. The primary object of this was to introduce competition into the .com registration market. 14 years later, there are more than 900 accredited registrars – although cross ownership and affiliations mean that there are fewer operational entities – and this represents a significant change in market structure from the late 1990s, when only one registry, Network Solutions, was entitled to make registrations in .com on behalf of customers. Large, successful, registrar businesses have been established, and comprise a variety of business models. In short, ICANN has successfully introduced competition into the gTLD domain name registration market.

It may come as a surprise that, despite having contractual relationships with registries and registrars from its earliest days, it was not until December 2006 that ICANN set up a dedicated Compliance function. By January 2007, there were 2 staff: a Director and a Specialist. By March 2010, the team had expanded to 10 people. It then suffered a series of staff losses, carried vacant positions for extended periods, and was to some extent reliant on temporary staff. This phase lasted until approximately late 2011, when a series of appointments were filled. As at March 2012, there were 12 staff in the Compliance Department.

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18 See Appendix B ICANN staff’s document “Contractual Compliance Staffing v4” 20 April 2012.
The work of the Compliance Department is described on ICANN’s website, and the Review Team had a detailed presentation on their work at its meeting of January 2011 [see slides at Appendix B. Broadly, the work of the Compliance team can be summarized as:

- Conducting audits (e.g. compliance with requirements to make WHOIS available, and with the annual WHOIS Data Reminder Policy (WDRP))
- Investigating complaints of non-compliance (e.g. responses to WHOIS Data Problem Reporting Service (WDPRS) notifications)
- Escalating cases where informal efforts to bring parties into compliance have failed.

C. How effective is ICANN’s contractual compliance effort, relating to WHOIS?

Feedback from Stakeholders

Part III of this report (Chapter 6: Understanding the Needs of Stakeholders) sets out stakeholder feedback on the perceived effectiveness of ICANN's WHOIS compliance function (see pages 53-54).

In summary, the effectiveness of ICANN’s compliance effort in ensuring access to accurate and complete WHOIS data was questioned in numerous submissions, including by law enforcement, domain industry representatives, and representatives from supporting organizations including the Intellectual Property Constituency, Commercial Stakeholder Group, and from ICANN’s compliance team members.

Stakeholder feedback identified the following gaps:

- Poor performance on achieving an acceptable level of data accuracy.
- The need for published key performance measures (together with achievement against these objectives), to allow the community to assess the effectiveness of the compliance effort going forward.

The Review Team’s interaction with the Compliance Department, and analysis of effectiveness

In July 2011 the WHOIS Review Team reviewed the content of the Compliance Team’s web pages, and the effectiveness of its work in detail, as set out in our letter to the Senior Director of Compliance, of 12 December 2011 at Appendix A. The letter
catalogues the WHOIS Review Team’s interaction with the Compliance Department through 2011.

The draft report made detailed findings on compliance, which are summarized as:

*Strengths:*

- The Compliance Team’s operating principles are good and need to be more widely communicated.
- There are examples of good compliance interventions, e.g. 2010-11 Registrar WHOIS Data Access Audit. The scope of the intervention was limited, well understood, and there was evidence that the Compliance Team worked with registrars to help them become compliant, only using termination in one instance where collaborative efforts had failed.

*Areas for improvement – compliance gaps*

- Communication:
  - Locating information about Compliance on ICANN’s website was difficult. Pages, when located, were laden with jargon and assumed prior knowledge of the ICANN environment.
  - Reporting of compliance activities was far from timely (e.g. “monthly” newsletters and “semi-annual” reports were not published at all in 2011).
  - Key documents (e.g. NORC 2010 Data Accuracy Study) were missing or only possible to find with specific URLs.
  - Acronyms for two flagship interventions (WDRP and WDPRS) are confusingly similar, and create an unnecessary communication challenge for ICANN.
  - The number of WHOIS Data Problem Reports is unacceptably low, indicating a low level of awareness of the service.

- Resources
  - The Compliance team has inadequate workflow systems or automation to enable them to keep on top of existing workloads.
  - The team has struggled to fill operational roles for extended periods.

- Data Accuracy
  - There has been no follow up from ICANN Compliance on the NORC WHOIS Data Accuracy Study 2009/10. Whilst it is understood that the study was undertaken on the GNSO’s initiative, it is clearly relevant to the work of Compliance (as indicated by the Compliance Team’s inclusion of

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19 Some of the findings relating to Compliance in the draft report more properly relate to other areas (e.g. the need to develop a shared understanding of the purpose of WHOIS, and what is meant by “data accuracy”) and are omitted here.
the study in the presentation of their work to the WHOIS Review Team, January 2011).

- The WHOIS Data Reminder Policy is ineffective in achieving its goal of improving accuracy of data. Despite considerable efforts by both ICANN Compliance and Registrars in sending out annual notices, and monitoring this, the lack of follow-up renders the entire action ineffective. Simply put, no one knows what impact the policy has in improving the accuracy of WHOIS data.

In our draft report we highlighted as a major challenge the lack of clarity as to who is personally responsible within the organization for WHOIS in all its aspects: service, policy, compliance. An example of this is that it was only in March 2012, approximately 18 months since the formation of the WHOIS Review Team, that we learned that the Compliance Department was under the oversight of John Jeffrey, ICANN’s General Counsel. Despite this, we had no interaction with Mr. Jeffrey throughout our program, apart from advice on managing conflicts of interest in November 2010, and a call with staff in which he participated on 22 February 2012.

Our draft report concluded with Key observations for the future:

- “The Compliance Team has developed a set of operating principles which, in the WHOIS Review Team’s opinion, provide a useful framework for organizing, and communicating the Compliance Team’s actions.”
- “The Compliance Team has to date been inadequately resourced. Open positions have remained vacant for long periods. Recent strengthening of the Team is welcome. This needs to be followed by the publication of plans for measurable, targeted improvements and reporting of progress against those targets.”
- “Given that demand will always exceed available resources, the compliance effort must be strategically focused on achieving measurable, stated objectives and should be proactive rather than reactive.”

Positive Developments since July 2011

Since we reviewed the Compliance Team’s work in July 2011, there have been a number of positive developments.

A Senior Director of Compliance, Maguy Serad, was appointed in April 2011. The WHOIS Review Team met with Ms. Serad and members of her team at the Dakar ICANN meeting, October 2011. We had a verbal update on progress (e.g. work on reviewing the website). The meeting was positive, but members of the WHOIS Review Team were concerned that no progress or plans seemed to have been made to address the findings of the NORC WHOIS Data Accuracy Study 2009/10.
The WHOIS Review Team welcomes the recent re-working of the Compliance pages on the ICANN website, particularly the statement of vision, mission and approach, and the Program Overview. These statements are clear, concise, and place the Compliance team’s work in context. It is now easier to locate resources on the website, and the publication of FAQs is also helpful.

Recently, there is evidence that Staff have been recruited into the team, and that some longstanding vacant positions have been filled.

These are positive steps, and the WHOIS Review Team looks forward to the continuation of this forward momentum.

**Issues arising from the Public Comment**

In general, public comment on the draft recommendations was positive:

**WHOIS Data Reminder policy (draft recommendation 2)**

Stakeholders generally confirmed that the WHOIS Data reminder policy was ineffective. Others noted that a Policy Development Process would be necessary to change the WHOIS Data Reminder Policy, a consensus policy, and that results of such process are not determined by the ICANN Board. ICANN staff felt that the Review Team may have misunderstood the WHOIS Data Reminder Policy requirements, and noted that “ICANN currently has no contractual authority to require registrars to track changes or provide ICANN with the necessary data for the recommended metrics”.

**Strategic priority and compliance (draft recommendation 3)**

Stakeholders generally supported the draft recommendation that WHOIS be made a strategic priority, that sufficient resources be allocated to the Compliance team, and that a senior member of the executive be responsible for overseeing compliance.

Others noted that WHOIS is only one of many issues: “many items on ICANN’s policy agenda may be considered more worthy of the community’s time and attention” and “no evidence is offered in this report to support prioritizing WHOIS over other issues of importance.” One stakeholder group questioned our use of the term “regulator” to describe ICANN’s role.

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20 Chinese Internet Network Information Centre (CNNIC); ICANN’s Business Constituency (BC); UK Government; GNSO Registrar Stakeholder Group (RrSG). US Government appears to support, and recommends that the Compliance Function develop metrics to more effectively track Registrar compliance with all of the RAA provisions related to WHOIS accuracy and accessibility.

21 gTLD Registries Stakeholder Group (RySG).

22 Intellectual Property Constituency (IPC); Canadian Internet Registration Authority (CIRA); BC; UK Government; RrSG; Internet Service Provider and Connectivity Providers Constituency (ISPCP); US Government.

23 Non-Commercial Users Stakeholder Group (NCSG).

24 RySG.
ICANN staff agreed:

“that WHOIS is a strategic priority and designating a member responsible for overseeing WHOIS is feasible...WHOIS remains a strategic priority that has been allocated increased resources”.

Staff comments told us that ICANN’s General Counsel had assumed responsibility for the Compliance function in 2010.

Some commentators questioned whether the current organizational structure, which located Compliance within the organization, was appropriate. One called for the appointment of an independent “Compliance Czar”\(^{25}\). This theme was also developed in the Public Forum during the Costa Rica ICANN meeting (March 2012), where two commentators questioned the appropriateness of having the General Counsel responsible for Compliance\(^{26}\):

“I think it’s time to take a very close look at moving compliance out of the legal department and have it report independently to the Board. Because the fact of the matter is that the General Counsel who heads the legal department has an ethical and fiduciary obligation to the corporation to minimize risk. And as a fundamental matter, that is going to be antithetical in many cases to an aggressive enforcement of contracts. [Applause]”\(^{27}\)

Our assessment of these comments was that broadly, there was support for WHOIS as a strategic priority, albeit balanced with other issues. There were concerns expressed as to whether Compliance was correctly positioned within the organization. The Review Team was concerned to note that ICANN Staff comments seemed to assume that the organization was already fulfilling the draft recommendation, which was not our view.

The Review Team noted stakeholder comments which called for more transparency around Compliance, for example in the publication of metrics\(^{28}\). Throughout our review period, although we were provided by ICANN staff with many, many documents, and detailed presentations, we found it difficult to obtain basic information about the Compliance function. For example:

- **What are the staff figures through time?** We received contradictory answers to these questions:
  - In January 2011, we were told that staff numbers in Compliance had been 10 in 2010, and had reduced to 6 by 2011 (see Appendix B)

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\(^{25}\) UK government
\(^{26}\) Kieren McCarthy, Dot-Nxt, Inc; Kristina Rosette, Vice-President IPC
\(^{27}\) Kristina Rosette, ICANN Public Forum, [http://costarica43.icann.org/node/29713 p87.](http://costarica43.icann.org/node/29713)
\(^{28}\) US Government; UK Government; BC; Internet Society of China (“ICANN should build a third-party audit mechanism and submit audit results annually”).
On 14 March 2012, we were informed that staff numbers had steadily increased over time, and that there were 4 staff in 2010, and 8 in 2011 (see Appendix B). We understand that these figures may have formed the basis of the CEO's statements to the Federal Trade Commission in his letter of 10 January 2012 and comments in meetings with the GAC during the Costa Rica meeting.

Having queried this, we received a corrected report (20 April 2012), which correlated more closely with the picture given in January 2011, but with higher numbers for 2011. This document confirms that some positions remained vacant for several months in 2011 (e.g. Senior Director, Manager, Manager – Singapore).

What is the budget vs. actual spend on compliance activities over time? We asked for this information on 21 March 2012. On 20 April, we received the following (emphasis added):

The figures below are for the Compliance activities (i.e. Function) across the entire ICANN organization, which includes the Compliance department, as well as other areas of the organization that contribute to the Compliance activities.

<table>
<thead>
<tr>
<th>FUNCTIONAL REPORT</th>
<th>FY ACTUAL</th>
<th>ANNUAL BUDGET</th>
<th>VARIANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 - Compliance</td>
<td>2,335,170</td>
<td>2,457,013</td>
<td>121,843</td>
</tr>
<tr>
<td>FY10 - Compliance</td>
<td>3,614,166</td>
<td>3,155,441</td>
<td>(458,725)</td>
</tr>
<tr>
<td>FY11 - Compliance</td>
<td>3,218,475</td>
<td>3,399,113</td>
<td>180,638</td>
</tr>
</tbody>
</table>

While the budget figures above indicate that actual spend in 2011 decreased by $400,000 from the previous period, the Review Team finds the financial information unsatisfactory for a number of reasons. The data provides insufficient detail to allow for meaningful analysis, and our requests for clarification of the proportion of these figures which represent contributions from other departments, and how this was calculated were (as at 7 May 2012) not readily available, and remain unanswered. We were informed that the data would be delivered by 2 May, but that it was a busy period for the finance team. We find this extraordinary, as the summary data produced must have been derived from some underlying figures.

Why does this matter?

Footnote 9: “Today’s Contractual Compliance team has four additional members than it did a year ago, nearly doubling in size”. While (considered narrowly) this may be an accurate statement, it does not acknowledge that staff numbers in 2011 (a “year ago”) were around half that of the previous year 2010.

As part of ICANN’s public purpose, it is required to adhere to high standards of accountability and transparency. This basic information on a core function ought to be in the public domain, so that the community is able to hold the organization properly to account. Organizational charts, showing lines of reporting and accountability internally, performance measures, and metrics on performance against targets should also be readily available, along with unambiguous financial information.
Chapter 5:
Implementation of WHOIS Policy in Relation to Internationalized Domain Names

Internationalized Registration Data and Associated Data Services

Looking into the past, at a first glance it would seem that the issue of non-Latin scripts would only exist since the creation of Internationalized Domain Names (IDNs). However, the basic problem has existed for much longer. As WHOIS data represents contact information of the domain registrant, the need of WHOIS data to support non-Latin scripts has been around as long as domain names have been registered by registrants globally, who need to represent their local names, postal addresses and other contact and technical information in the script(s) which they use. It is important to note that this requirement even exists for registrants who use Latin script, where additional annotations or special characters are needed beyond core ASCII to represent a language, e.g. Swedish, French, Vietnamese, Wolof, etc.

This lack of support for non-ASCII characters within the registration data has triggered two sources of inaccuracies in the data. For the languages using an extended set of letters in Latin script, limitations of use have forced registrants to “simplify” their information, e.g. document it without the use of accents and/or marks used by their language and community. For languages and communities which use non-Latin scripts, registrants have been forced arbitrarily to transliterate and/or translate their contact information into an ASCII based writing system. Communities which use syllable-based or an ideographic writing systems, e.g. Chinese, are even more disadvantaged in this respect, compared to other languages which use a sound based writing system.

Where the lack of local script support has been too much of a barrier, some ccTLD registries and registrars have implemented ad hoc solutions, using arbitrary mappings of local script onto ASCII code points and interpreting the data in their script instead of ASCII as a result. This has included using alternate international 8-bit standards for such mapping, e.g. ISO 8859-x or even local national standards. However, as this encoding information is not part of the WHOIS data, it is not possible for a user to know or predict this. As a result, the data can appear as a nonsense sequence of ASCII characters. This is also a major source of inaccuracy of data (highlighted by NORC WHOIS Data Accuracy Study 2009/10), not due to its content, but due the lack of mechanisms available for its interpretation.

Thus, lack of support of non-ASCII characters introduces an additional barrier for non-ASCII users to provide accurate and consistent domain name registration data. This has implications for their tractability for law enforcement and associated organizations. Further, many people attach some pride and fondness to the correct representation of
their name and other data. While this is not a purely technical or administrative requirement, it is relevant in the context of Consumer Trust.

Assessing the current situation, domain names have been (partially) available in local languages since 2000. Since 2010, complete domain names in local languages have been more extensively deployed through the IDN ccTLDs approved through ICANN's Fast Track process – a process in part enabled through the adoption of a new technical standard, IDNA2008. However, even though millions of IDNs have already been registered within the domain space, including in IDN ccTLDs and ASCII gTLDs such as .COM and .NET, there still does not seem to be a mechanism in place for domain name registration data to be gathered and made available in local languages. This provides further motivation to ad hoc implementations of collecting and making the data available in local languages, or possibly introducing non-standard translation or transliteration inaccuracies, where registrant information from different language is being made available in a ASCII based existing WHOIS system, as already discussed.

Looking forward, the new gTLD process may result in a number of new IDN gTLDs which will be introduced from 2012, targeting registrants who are not familiar with Latin script. The latest version of Draft Applicant Guidebook\(^\text{30}\) makes a couple of references to domain name registration data in local languages. It stipulates a need for the registrant information to be available in local languages in the scoring chart given in the Attachment to Module 2: Evaluation Questions and Criteria. Point # 44 in this chart asks:

State whether the proposed registry will support the registration of IDN labels in the TLD, and if so, how. For example, explain which characters will be supported, and provide the associated IDN Tables with variant characters identified, along with a corresponding registration policy. This includes public interfaces to the databases such as Whois and EPP.

In Section 5.2.3: Test Elements: Registry Systems, in “IDN Support” sub-section (pg. 5-7), it elaborates on the mechanism stating:

Requirements related to IDN for Whois are being developed. After these requirements are developed, prospective registries will be expected to comply with published IDN-related Whois requirements as part of pre-delegation testing.

Anticipating this need, work has been going on for some time to decide how such data should be collected, maintained and distributed. Internationalization Registration Data Working Group (IRD-WG), a joint GNSO and SSAC effort, was formed as a result of a Resolution of the ICANN Board in 2009\(^\text{31}\). IRD-WG aims to build consensus on how this registration data will be made available in local languages (including determining which

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\(^{31}\) See [http://www.icann.org/en/minutes/resolutions-26jun09.htm#6](http://www.icann.org/en/minutes/resolutions-26jun09.htm#6).
fields can be internationalized)\textsuperscript{32}. The need for internationalized registration data has also been highlighted in the recent SSAC report SAC 051\textsuperscript{33}. Work is also underway (but in early stages) to look into how internationalized data will be associated with variants of internationalized domain names through the IDN Variant Issues Project (IDN VIP)\textsuperscript{34} and more recently the discussion list related to internationalization of Domain Name Registration Data at WHOIS-based Extensible Internet Registration Data Service (WEIRDS) through IETF\textsuperscript{35}.

The situation highlights a general unpreparedness and lack of urgency in the community to support registration data in non-ASCII letters. This is highlighted by not taking up measures to store data and making it accessible for global registrants for ASCII domain names, not addressing this issue for the Fast Track program, and still having no agreement on how to resolve this for the upcoming gTLD program. Interestingly, scoring of internationalized registration data is in place for new IDN gTLD application without stipulating the mechanism to implement it in this program, which will increase the likelihood of further ad hoc measures being instituted.

The community needs to urgently address the following issues:

1. What data is needed from the registrant;
2. How this data will be represented in the data model; and
3. How this data will be accessed through registration data services.

There are some (partial) technical solutions\textsuperscript{36}, but the community needs to evaluate the alternatives, choose between them, and/or adapt them and clearly define the data model and service to be supported. Best practices from ccTLDs should be studied in this context (as already highlighted by IRD-WG) and a consistent policy, through cooperation between ccNSO, gNSO and other relevant constituencies, e.g. ALAC and SSAC, needs to be defined, to limit ad hoc practices and resulting data inaccuracies or inconsistencies.

Whilst the WHOIS Review Team understands and respects the independence of ccTLD policy making, nevertheless, a consistent policy across ccTLDs and gTLDs would make it much easier for consumers and law enforcement to use WHOIS data. Such policies need to be clearly articulated in current and future registry and registrar agreements (where applicable), with clear directions to the ICANN Compliance Team on how to measure accuracy of internationalized registration data (an aspect which remains undefined). Once the basics are in place, only then can work begin towards improving the accuracy and consistency. Thus, in many ways, the internationalized registration data issues are much deeper than the issues with ASCII based data available already, and need more urgent, if not equal, attention (especially in the context of the full roll out of the IDN program in 2012).

\textsuperscript{32} Current version (at time of writing) available at www.gnso.icann.org/issues/ird/ird-draft-final-report-03oct11-en.pdf
\textsuperscript{33} Available at http://www.icann.org/en/committees/security/sac051.pdf.
\textsuperscript{34} See http://www.icann.org/en/topics/idn/ for more details.
\textsuperscript{35} See http://www.ietf.org/mail-archive/web/weirds/current/maillist.html for archive of the discussion.
\textsuperscript{36} See WHOIS++ (RFC 1834), RWhois (RFC 2167), and CRISP (RFC 3707).
PART III: The Extent to which ICANN’s Existing WHOIS Policy and its Implementation Are Effective in Meeting Stakeholder Needs

Chapter 6: Understanding the Needs of Stakeholders

The WHOIS Review Team’s scope includes evaluating the extent to which ICANN’s current WHOIS policy and implementation are effective in meeting the needs of law enforcement and promoting consumer trust. The WHOIS Review Team wrestled with these terms and their communities, as the commitment appears to include communities which do not regularly participate in ICANN. This Chapter discusses the findings from our outreach and research.

Law Enforcement

Conscious of the Affirmation of Commitment’s comment that those impacted by WHOIS include those who do not regularly participate in ICANN, early in its work, the Review Team resolved to reach out to global law enforcement representatives, to better understand their needs, and the extent to which the current WHOIS policy and implementation meets those needs. The Review Team formulated a questionnaire, which was distributed through the global networks of the Law Enforcement Representative to the Review Team, and also through the law enforcement networks of the GAC and ICANN staff. Eight responses were received, and these are summarized below. Note: the law enforcement agencies who responded to the survey (reproduced in full in the appendices) will not be individually identified consistent with the conditions of the questionnaire.

Additional Parties Who Use WHOIS Resources on a Daily Basis

At the same time, the Review Team was conscious that a narrow interpretation of the wording of the Affirmation of Commitments (and therefore our scope) would miss a consideration of the legitimate needs of many of those businesses who rely on WHOIS in their daily work. Examples of such stakeholders include the private industry around law enforcement, CERTs, and those enforcing private law rights online (including brand protection). The WHOIS Review Team received many representations from such stakeholders, and these are also summarized below.

In brief, the legitimate needs of law enforcement, and other stakeholders who rely on WHOIS data and the WHOIS service, can be categorized under the following broad headings:

- A need for accurate data;
- A need for accessible data (including comments on privacy/proxy services).
A. A Need for Accurate Data

Concerns about the accuracy of WHOIS records were raised in a number of responses to the WHOIS review team’s public Discussion Paper. Law enforcement agencies expressed a view that inaccurate or incomplete WHOIS data can potentially cause serious problems during the course of a criminal investigation. For example, one law enforcement agency stated that:

Accurate WHOIS data is a very important tool for law enforcement but false, out-of-date and inaccurate records are a barrier towards successful criminal investigations. WHOIS data is often the only way law enforcement agencies can investigate criminal offences that occur via the internet so it is therefore vital the data is accessible and accurate\(^\text{37}\).

On the importance of accurate WHOIS data another law enforcement agency stated:

The WHOIS database contains many inaccuracies. Presently there is insufficient due diligence conducted towards ensuring records are accurate and criminals are quick to take advantage of this. The value of any database is in its accuracy\(^\text{38}\).

The concerns of businesses include issues relating to online counterfeiting and their ability to protect their intellectual property rights. For example, the International Anti-Counterfeiting Coalition stated that:

Years of experience with WHOIS since ICANN assumed custody over its management and operation has clearly demonstrated that the unscrupulous Internet users who are willing to infringe the intellectual property rights of others are also among the first to disregard their contractual obligations to provide true and accurate WHOIS contact data.\(^\text{39}\)

Concerns about the accuracy WHOIS data have also been raised by the Government Advisory Committee (GAC). In March 2007, the GAC presented ICANN with a series of principles regarding gTLD WHOIS services. Among other things, the GAC recommended that:

stakeholders should work to improve the accuracy of WHOIS data, and in particular, to reduce the incidence of deliberately false WHOIS data.\(^\text{40}\)

\(^{37}\) To see responses to Law Enforcement questionnaire, please refer to appendices.  
\(^{38}\) ibid  
\(^{40}\) GAC Principles regarding gTLD WHOIS Services (28 March 2007), section 4.1
Few commentators expressly addressed what they understood the term “accurate” to mean. One member of the Intellectual Property Constituency told the Team that:

If I can get the information, then I have something. Maybe not a full, accurate WHOIS record.  

The Review Team was clearly told in written and oral comments that inaccurate WHOIS data can also significantly impact consumer trust and confidence in the Internet. For example, Time Warner International argued that:

Inaccurate data undermines the goals of the service, erodes public confidence in the online environment, complicates online enforcement of consumer protection, intellectual property, and other laws, and increases the costs of online transactions.  

Consumers could also benefit from accurate WHOIS data to establish the legitimacy of those engaged in e-commerce. For example, the InterContinental Hotels Group stated that:

Complete and accurate WHOIS data also provides a level of consumer confidence when conducting business online. Having a failsafe avenue to contact administrators should all other extensions fail, could increase individual propensity to partake in online activities and transactions.  

Consumers engaged in online purchases, in our Consumer Research Study agreed: findings showed that factors which positively supported consumer trust included knowing the company with whom they were dealing with, and being able to verify their contact details online.

However, Non-Commercial Users Constituency noted:

If registrants have other channels to keep this information private, they may be more willing to share accurate data with their registrar.

A similar view was expressed in the NORC WHOIS Data Accuracy Study 2009/10.

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Some Reasons for Inaccurate Data

Registrants

The NORC WHOIS Data Accuracy Study 2009/10 provides a baseline measurement of what proportion of WHOIS records are accurate. The Study found that one reason why registrants do not provide accurate information may be due to a lack of understanding of the purpose and uses of the WHOIS service. During their study, NORC found that of the registrants that could be found, many admitted to error on their behalf and did not realise that accurate WHOIS data was a valuable asset for the Internet community in general. The Study also found that many registrants were confused by the forms they were required to complete during the registration process, mainly due to terminology used or difficulties in transliterating text.

The NORC Study found that because no proof of identity or address is required when registering a domain name, this removes many barriers to entering inaccurate information. The report also notes barriers to maintaining accurate data, including that even if information can be made accurate at the point of data entry, the maintenance of accuracy requires the registrant to keep the information current. The Study notes that:

> currently, the only penalty for a registrant for letting information get out of date is a communication from their registrar that they need to update it or their domain name will be suspended and possibly their ownership revoked. Even this is not a significant concern for many registrants when only a small proportion of domain names lead to web sites that the registrant has a vested interest in maintaining uninterrupted access to.

One respondent to the WHOIS Review Team’s outreach suggested that it should be easier for registrants to update their WHOIS data:

> Provide a service which lets domain owners update their data directly on an ICANN website. The intermediate step of having the domain registrar to update the WHOIS data often fails since some of them don’t update the information.

Despite clear contractual provisions which make domains with inaccurate data subject to cancellation, there is a perception that this is not the case.

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46 In January 2009/10, ICANN published a study conducted by the National Opinion Research Council of the University of Chicago (NORC) that had been commissioned by ICANN in 2009 to obtain a baseline measurement of what proportion of WHOIS records are accurate.

Some respondents to the public Discussion Paper argued that registrants should have their accounts suspended for intentionally submitting false information. The InterContinental Hotels Group stated that:

> Additionally, registrants who intentionally submit false, faulty or no information should have all registrations associated with their account suspended until WHOIS data meets the full reporting requirements.\(^\text{48}\)

**ICANN’s Compliance Effort on Accurate Data**

In Chapter 4, the Review Team discusses the not insubstantial efforts that the ICANN Compliance Department has made to data accuracy, and its further commitment to increase staff and time on this issue.

However, the effectiveness of ICANN’s current compliance activities to ensure access to accurate and complete WHOIS data was questioned in numerous submissions to the review team’s public Discussion Paper, and in responses to the law enforcement questionnaire. For example, in response to the discussion paper, the China Internet Network Information Center stated that:

> ICANN to some extent has failed to regulate .com and .net in terms of maintaining accurate WHOIS information. Therefore, we suggest that ICANN has neither been effective at developing WHOIS policies nor well regulating registrars in terms of helping improve WHOIS accuracy.\(^\text{49}\)

A number of law enforcement agencies also expressed concern with the performance of ICANN in ensuring the WHOIS service is accurate, with one agency stating that:

> Since WHOIS is regularly incomplete, inaccurate and non-public, ICANN is not fully performing its duties. In addition, the continued issue of not being able to quickly identify the true owner of a domain name, indicates a need for improvement in this area.

Another law enforcement agency stated that:

> ICANN should enforce its own contractual obligations with registrars, require that registrars, registries and resellers, collect and verify the appropriate WHOIS information. ICANN needs to increase staff levels if there is any hope that compliance can be enforced.


The Intellectual Property Constituency raised concerns about ICANN’s current approach to WHOIS accuracy compliance, especially in light of the new unlimited Top Level Domains becoming available, and stated that:

The 2009/10 NORC study demonstrated that the WHOIS data for only 23% of gTLD registrations is fully compliant with accuracy requirements. Thus, the facts support the conclusion that the current compliance related activities are woefully inadequate to fulfil ICANN’s commitment in article 9.3.1 of the AOC to “implement measures to maintain timely unrestricted and public access to accurate and complete WHOIS information.” Although some progress has been made in upgrading ICANN’s contract compliance function, a radical change in approach is needed, especially in light of the impending proliferation of new unlimited Top Level Domains.50

At the 2011 Singapore meeting, a participant of the Commercial Stakeholder Group argued that:

The reality is there are contractual obligations that clearly set out what registries and/or registrars have to apply or provide on a query and whether they're complying with that. In the situations where ICANN has enforced the contracts, and there have been some, not just on WHOIS issues, it seems to have worked very effectively. The question is: is ICANN actually taking actions? Concerned about resources (staff and funding) to continue and do the auditing needed to take action. This is an organization whose private regulatory ability is based completely and solely on contracts. Unless you enforce the contracts, you have absolutely no ability to self regulate.

Some stakeholders argued that there is an urgent need to address the issue of inaccuracy in WHOIS data. For example, the Canadian Internet Registration Authority argued that:

Addressing the accuracy and completeness of WHOIS will require a large amount of work; however, the longer it is left and not addressed, the worse the problem will become and the harder it will be to implement solutions as during that time, the volume of inaccurate WHOIS information will become larger.51

The Need for Better Metrics

In order to measure the success of any new compliance activities, it has been suggested by the Business Constituency that:

Huge compliance resources are needed to fix this situation and the matter of WHOIS accuracy only becomes more urgent with ICANN’s planned rollout of hundreds of new gTLDs. ICANN’s compliance organization has already been made aware from its own work of continuing frauds and abuses in the WHOIS space. As part of the AoC, ICANN’s continued performance in the compliance area should be carefully measured to assess whether it is meeting its WHOIS commitments.\(^{52}\)

The importance of metrics on accuracy levels was raised by the European Commission’s representative to the Government Advisory Committee at the 2011 Singapore meeting:

> We know that law enforcement are unhappy with the current compliance policies and we know there’s problems with data accuracy. It would be interesting to have the number of complaints received, interventions, correction actions and de-accreditations for non-compliance. Then evaluate how effective the compliance policy is. The GAC has not been provided with this information yet.

### B. A Need for Accessible Data

The Affirmation of Commitments provides that ICANN will implement “its existing policy” of timely, unrestricted and public access to accurate and complete WHOIS information.

**Full Availability without Restriction?**

In responses to the public Discussion Paper, several respondents supported the commitment to open access, and argued that it is consistent with practices and arrangements in comparable offline situations. For example, The International Trademark Association stated that:

> it supports open access to accurate ownership information for every domain name in every top-level domain registry via a publicly accessible WHOIS database...in most circumstances, publishing on the internet is a public act, and the public should be able to determine who they are dealing with.\(^{53}\)

Similarly, the International Anti-Counterfeiting Coalition (IACC) argued that:

> WHOIS is only an address book: something that does not adversely affect free speech, and one that carries far more benefits than potential drawbacks ... most other parts of the world require accurate information for business licenses,

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trademark registration, and other services; domain name registration should be no different.\textsuperscript{54}

In regards to the importance of accurate WHOIS data being available without restriction a law enforcement agency we surveyed argued that it:

allows internet users to know who they are dealing with and create a level of trust online transacting and searching. It is a thin layer of protection for the average Internet user.

Conversely, this universal commitment to unrestricted public access to complete WHOIS data was questioned by some respondents to the Discussion Paper, who argued that it raises a range of privacy related concerns. These concerns primarily relate to:

- the potential for conflict with privacy or data protection laws;
- the potential for misuse of openly-available WHOIS data (e.g. for spamming, stalking and other forms of physical and online harassment); and
- protecting the privacy of organizations individuals, including potentially vulnerable registrants (e.g. political dissidents, political dissident organizations, religious minorities and their institutions).

These concerns are significant for many stakeholders, including the Noncommercial Users Constituency which argued that:

The problem for many registrants is indiscriminate public access to the data. The lack of any restriction means that there is an unlimited potential for bad actors to access and use the data, as well as legitimate users and uses of these data.\textsuperscript{55}

They were also the subject, in part, of an ICANN Consensus Policy passed in 2004, the WHOIS Marketing Restriction Policy, in which ICANN sought to require Registrars to provide WHOIS data to parties who “agree not to use the [WHOIS] data to allow, enable, or otherwise support any marketing activities.” Such assurances are difficult in an entirely open system (See Chapter 3, WHOIS Policy).

These concerns for privacy and against misuse of data have affected registrant behaviour in a number of ways, and cause knock on effects in other areas of WHOIS policy and compliance. For example, the Non-Commercial Users Constituency observed that:

Rather than putting sensitive information into public records, some registrants use "inaccurate" data as a means of protecting their privacy. If registrants have

\textsuperscript{54} International Anti-Counterfeiting Coalition, IACC, comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00012.html} on the WHOIS Policy Review Team Discussion Paper \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}

\textsuperscript{55} Noncommercial Users, NCUC, comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00014.html} on the WHOIS Policy Review Team Discussion Paper, \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}
other channels to keep this information private, they may be more willing to 
share accurate data with their registrar.56

ICANN’s Compliance Team summarized their sense of the complexity of the situation:

Challenges inherent in achieving WHOIS compliance with regard to registrants 
seem to generally revolve around privacy concerns or a lack of due diligence. 
Some registrants have expressed concerns about making their contact 
information publicly available and fail to provide complete, accurate information.

Another issue identified by the review team relates to the ability of consumers to access 
WHOIS data. While much WHOIS data is arguably publicly accessible, research 
undertaken on behalf of the review team indicates a lack of understanding within the 
community on how to actually achieve this. For example, the consumer study indicated 
that over 80% of consumers are unaware of WHOIS, and those who were asked to 
perform WHOIS searches were often unable to understand the results, because of the 
positioning of advertising, and the format of the WHOIS response (see section E below 
and appendices for further details).

Under the current WHOIS arrangements, ICANN has established procedures and policies 
to try to address some of these issues, but comments received by the WHOIS Review 
Team indicate that many stakeholders consider the current approach inadequate and 
poorly coordinated.

Conflicts with Applicable Laws Including Privacy Laws?

Since its founding in 1998, ICANN has heard concerns voiced about conflicts between a 
completely open WHOIS and data protection laws and other privacy laws worldwide. 
The concerns were shared with the Review Team in many forms, including:

Comments to the Review Team by Noncommercial Users Constituency (NCUC) noted not 
only conflicts between current WHOIS policy with EU data protection laws, but with 
policies “advanced by the U.S. Federal Trade Commission and F.B.I.” See, for example, 
the US Federal Trade Commission website, Fighting Back Against Identity Theft). Prior 
comments to ICANN, in the form of an Official Opinion of the EU Article 29 Working 
Party of the European Union (committee of all EU national data protection 
commissioners) directly warned ICANN of the data protection laws in which it sees 
conflicts:

Article 6c of the Directive imposes clear limitations concerning the collection and 
processing of personal data meaning that data should be relevant and not

56 Noncommercial Users, NCUC, comments http://forum.icann.org/lists/whoisrt-discussion-paper/msg00014.html on the WHOIS 
excessive for the specific purpose. In that light it is essential to limit the amount of personal data to be collected and processed. This should be kept particularly in mind when discussing the wishes of some parties to increase the uniformity of the diverse WHOIS directories.

The registration of domain names by individuals raises different legal considerations than that of companies or other legal persons registering domain names.57

Three years later, Article 29 Chairman Peter Schaar resent the Opinion to ICANN Chairman Vint Cerf with a reminder of its warnings, and a discussion of its resolution:

The original purposes of the WHOIS directories can however equally be served by using a layered approach, as details of the person are known to the ISP that can, in case of problems related to the site, contact the individual or transmit the information to an enforcement authority entitled by law to access this information. This would allow the public to continue to access technical information as per the original purpose of WHOIS. At the same time access to more sensitive information would be restricted to law enforcement agencies with adequate authority. This would allow ICANN to adhere to data protection law as well as maintain the spirit of cooperation that has allowed the Internet to flourish.58

In light of the concerns raised over the protections of national law and policy, the question arises: are the steps ICANN has taken to date to reconcile its WHOIS policies with privacy and data protection laws sufficient?

Is ICANN’s Consensus Procedure “Handling WHOIS Conflicts with Privacy Law” Effective?

With regard to potential conflicts with privacy laws, ICANN has established a consensus procedure for “Handling WHOIS conflicts with Privacy Law” (this became effective in January 2008). This procedure details how ICANN will respond to a situation where a registrar or registry indicates it is legally prevented by local/national privacy laws or regulations from complying with the provisions of its ICANN contract regarding the collection, display and distribution of personal data via WHOIS.

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Additional letters from Article 29 WG Chairman Peter Schaar include:
ICANN staff have advised that the consensus procedure has only been used on one occasion, by Telnic, to address concerns raised in relation to UK privacy law. In that case, it was agreed that some public WHOIS data could be limited for natural persons who had elected to withhold their personal information from disclosure by the WHOIS service. Another gTLD, .NAME, negotiated WHOIS changes upfront in its registry agreement on becoming a gTLD registry as the nature of the private individuals within its scope was clear, and consistent with the data protection laws of its country of incorporation.

The consensus procedure also appears to be consistent with the GAC Principles on gTLD WHOIS services, which state that:

> gTLD WHOIS services should provide sufficient and accurate data about domain name registrations and registrants subject to national safeguards for individuals' privacy.59

Several respondents argued that this procedure is appropriate, and that ICANN had therefore taken sufficient measures to address potential conflicts with privacy law. For example, the Intellectual Property Constituency argued that:

> ICANN is subject to a commitment ‘to having accurate and complete WHOIS’ ... ICANN is not required to implement national safeguards for individuals’ privacy. Given ICANN’s commitment to having accurate and complete WHOIS data, the burden of restricting access to such data in a particular locality should fall on the locality, not ICANN.60

Similarly, the Coalition for Online Accountability (COA) argues that:

> The issue of balancing registrant privacy against the need for publicly accessible WHOIS data has two aspects. The first involves situations in which registrars (or registries) are authoritatively advised that their compliance with ICANN contractual obligations would bring them into conflict with applicable national privacy laws ... ICANN policy already provides a mechanism for resolving such conflicts. COA is unaware of any need for further policy development in this area.61

Yet the Noncommercial Users Constituency argued that waiting until an official action takes place may not be the appropriate course of action:

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Even with the provisions for resolving conflicts with national law, WHOIS poses problems for registrars in countries with differing data protection regimes. Registrars do not want to wait for an enforcement action before resolving conflicts, and many data protection authorities and courts will not give rulings or opinions without a live case or controversy. ICANN's response, that there's no problem, does not suit a multi-jurisdictional Internet.62

**Comparisons with ccTLD Practices**

Without being bound by the practices of country code top level domains, which do not create their WHOIS policies through ICANN processes, throughout its work, the WHOIS Review Team was keen to compare gTLD WHOIS policy and its implementation with other examples of good practice in the domain name environment. A survey by CENTR (The Council of European National TLD Registries) of its membership, many of which operate under a data protection regime, indicates that 66% of the 21 registries surveyed allow the addresses of private individuals to be hidden from the public WHOIS service.

In a separate survey on release of "opted out" registrant data 14 out of 22 ccTLDs (64%) noted they would provide data to Law Enforcement and a further 8 stated they provide information to law enforcement only with a warrant or court order. Full details of the CENTR surveys and comments by individual ccTLDs are contained in appendices.

The perspective of WHOIS Review Team members who are familiar with the ccTLD environment is that the WHOIS has tended not to be such a controversial issue for ccTLDs as it has been in the gTLD environment. Each environment is unique, and therefore we only make this observation: that perhaps the ICANN community may be able to benefit from the sharing of good practices with regard to ccTLD WHOIS, particularly those registries who operate in a legislated data protection environment.

**C. Privacy and Proxy Services**

The most widespread way of addressing the privacy concerns of some stakeholders is the use of ‘privacy’ and ‘proxy’ services. These services are currently offered commercially by a wide range of service providers, including some registrars, and serve to limit publicly accessible information about domain registrants.

As noted earlier in this report, privacy and proxy services are referred to in provisions 3.4.1 and 3.7.7.3 of ICANN’s RAA, however the terms are currently not well defined or understood. There appears to be some confusion in the community about how they should be used and the differences between them. The Review Team understands that the terms are commonly understood to mean:

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• **Privacy Service** -- a service that provides the Registrant Name and a subset of other information (possibly null set) but consistent across ICANN.

• **Proxy Service** -- a relationship in which the registrant is acting on behalf of another. The WHOIS data is that of the agent and the agent alone obtains all rights and assumes all responsibility for the domain name and its manner of use.

The Review Team notes that the use of these services is widespread, with a 2010 study[^63] determining that privacy and proxy services are used in 15%-25% of WHOIS records.

There are diverging views from stakeholders about the use of privacy and proxy services. For example, the Noncommercial Users Constituency argued that:

> ICANN should recognize that privacy and proxy services fill a market need; the use of these services indicates that privacy is a real interest of many domain registrants.^[64]

On the other hand, one law enforcement agency argued that ‘if an entity is engaged in legitimate business activities, then a proxy service should not be necessary’. Another stated that ‘privacy/proxy services can be abused’, and that ‘criminals do use proxy and privacy registrations to hide their identities’.

### Do Privacy and Proxy Services Undermine WHOIS?

A significant number of public responses to the WHOIS discussion paper, and input from law enforcement agencies via the review team’s targeted questionnaire, argued that privacy and proxy services undermine the effectiveness of the WHOIS service, both in terms of its ability to meet the legitimate needs of law enforcement and to promote consumer trust. One law enforcement agency argued that:

> proxy services play right into the hands of organized crime, they hide all their business behind them and this is a huge issue, not only for law enforcement, but for the wider internet community as a whole.

Another law enforcement agency argued that:

> “The time routinely invested by law enforcement to validate WHOIS data that may be false, unavailable, incomplete, or proxied impedes investigations”.


Similarly, the InterContinental Hotels Group argued that:

privacy services have frequently frustrated our ability to protect our hotel brands online, which, unfortunately, often leads to confusion and other problems among consumers.65

Some respondents to the Discussion Paper also questioned whether the use of privacy and proxy services was consistent with ICANN’s commitment to the provision of unrestricted public access to complete WHOIS data. For example, Time Warner urged the review team to:

identify the proliferation of proxy registration services, and the consequent inaccessibility and inaccuracy (for all practical purposes) of a huge swath of gTLD WHOIS data, as a major flaw in ICANN’s implementation of its WHOIS policies.66

The Coalition for Online Accountability also stated that:

Until ICANN is able to bring some semblance of order, predictability and accountability to the current ‘Wild West’ scenario of proxy registrations, it will be impossible to make significant progress toward improving the accuracy of WHOIS data, so that the service can better fulfill its critical function to internet users and society as a whole.67

Other stakeholders argued that some way protect registrant information is needed. For example, the Noncommercial Users Constituency wrote:

Privacy and accuracy go hand-in-hand. Rather than putting sensitive information into public records, some registrants use "inaccurate" data as a means of protecting their privacy. If registrants have other channels to keep this information private, they may be more willing to share accurate data with their registrar.68

Other groups argued in oral comments that proxy/privacy services, as private entities, are outside the scope of ICANN to regulate, and in many cases, are not apparent to the registrars (as in a lawyer registering domain names for a client).

In a discussion of the WHOIS Review Team and the Intellectual Property Constituency, the use of proxy and privacy services arose and the beneficial use of the services to protect trade secret and confidential commercial information was noted (e.g., as in the name of an upcoming movie, a new product or service, or a potential acquisition target together with the proposed new name of the entity).

Thus, in spite the broad level of concern about privacy and proxy services, a significant number of concerned respondents to the public Discussion Paper and law enforcement questionnaire viewed them as serving legitimate needs and did not advocate for their abolition. For example, some law enforcement agencies noted that privacy and proxy services are a ‘tool to remain anonymous which may be useful and justified in certain limited cases’, such as ‘if someone has a Family Protection Order (or similar) and displaying their information may put them at risk of harm’.

Rather than arguing against the use of proxy and privacy services per se, many stakeholders identified the unregulated environment in which they operate as a major underlying problem. For example, Time Warner noted that while it did ‘not oppose the concept of proxy registration in limited circumstances’, it did see:

the development of a vast universe of 20 million or more gTLD domain name registrations, for which the identity and contact data of the registrant is hidden and, all too often, completely inaccessible, [as] a direct attack on ICANN’s chief policy goal for WHOIS.69

Similarly, the Coalition for Online Accountability (COA) acknowledged that some registrants may require specific privacy protection, but these only accounted for ‘an infinitesimal fraction’ of current privacy and proxy registrations, and that the:

creation of a vast unmanaged database of tens of millions of effectively anonymous domain names ... is an irrational and socially damaging ‘solution’, one that inflicts far greater costs than warranted upon legitimate e-commerce, consumer interests, law enforcement and the public at large.70

But the At-Large Advisory Committee (ALAC) suggests that valuable interests on both sides can be balanced:

The Team may be able to acknowledge the instance of Privacy Proxy Services and the role they play in the WHOIS ecosystem and chart and recommend some

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workable solution that acknowledges and fully embraces privacy concerns of the community, including ways that these may be answered in a balanced way.  

Specific concerns with the current unregulated environment include that:

- it impedes investigations and makes determination of the competent jurisdiction difficult. In this context, one law enforcement agency argued that they are ‘aware of an online company providing a domain privacy protection service that actively promotes that they are uncontactable by any other means except through their website. This service is regularly utilized by criminals to register criminal based domains;
- it increases risk for law enforcement agencies by exposing investigative activities to unknown and untrusted parties. The Business Constituency clearly illustrates this risk when it states that its members have ‘experienced situations where the registrar’s ‘proxy service’ is simply a shell behind which to shield the registrar’s own cybersquatting and illegal activities’; and
- the responsiveness of proxy or privacy service providers varies widely, with no current recourse for failure to disclose data.

In terms of responsiveness, the Motion Picture Association of America (MPAA) stated that:

> To date, only one proxy service has complied with MPAA requests to reveal contact information that would enable the service of a cease and desist notice to suspect operators. Seven other have refused to do so or have simply not responded. Even the one more compliant service has recently changed its policies so that it takes up to ten days or more (after notifying its customer) before it will disclose the information. This gives the suspect ample time to transfer the domain name to another suspect entity or take other steps to evade detection.  

Similarly, Time Warner argued that:

> Whether or not a member of the public would ever be able to learn the identity or be able to contact the party actually responsible for the registration ... depends entirely on whether this proxy registration provider chooses to make that information available. In Time Warner’s experience, some proxy registration providers are responsible, and will divulge this information upon being

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presented with evidence that the registration is being used to carry out abusive activities. Many others, however, do not.\textsuperscript{73}

\textit{Balancing Privacy and Public Access}

To address these concerns about lack of regulation of privacy and proxy services, several respondents to the public Discussion Paper and the law enforcement questionnaire argued that:

ICANN needs to regulate privacy service providers.

In most cases, respondents argued that:

this should include the accreditation of service providers and the imposition of minimum conditions for their operation.

For example, the Intellectual Property Constituency argued that:

ICANN should undertake to create an official set of guidelines for what constitutes a valid privacy/proxy service and best practices for such services.\textsuperscript{74}

Several law enforcement agencies suggested that:

this type of regulation could mitigate some of their concerns with privacy services, and assist in the investigation and shut down of criminal domains.

Suggestions for regulatory conditions put forward by respondents to the public Discussion Paper and the law enforcement questionnaire related to the development of clear, workable, enforceable, and standardized processes to regulate access to registrant data when requested. For example, the International Trademark Association recommended that:

where a domain has been registered using a privacy or proxy service, there should be clear, enforceable contract mechanisms and procedures for the relay of communications to the beneficial owner, and for revealing the identity and contact information of the beneficial owner ... privacy/proxy services should be governed by a uniform body of rules and procedures that is overseen by ICANN, including standardized relay and reveal processes.\textsuperscript{75}


\textsuperscript{74} Intellectual Property Constituency, IPC, comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00019.html} on the WHOIS Policy Review Team Discussion Paper, \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}.

\textsuperscript{75} International Trademark Association, INTA, comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00011.html} on the WHOIS Policy Review Team Discussion Paper, \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}.
Several stakeholders also emphasized the need to limit their use of privacy services in various ways – for example, to private individuals not involved with selling products or otherwise collecting or soliciting money.

Another issue raised by respondents to the public Discussion Paper and the law enforcement questionnaire relates to which data fields should be able to be limited by a privacy service. This issue is central to reaching an appropriate balance between personal privacy and ICANN’s commitment to publicly available information. In this context, one law enforcement agency argued that:

it is really important to keep in mind the right of the Internet users to receive reliable data about the owners and registrants of the domain names providing services for them. Privacy protection should not infringe upon the right to receive accurate and complete WHOIS data.

As noted above, several respondents argued that there may be a case to limit access to some registrant information, and some respondents focused on specific data fields (such as personal addresses, phone numbers and email addresses). For example, Nominet stated that within the .uk ccTLD:

In line with UK data protection law, a registrant who is a non-trading individual can opt to have their address omitted from the WHOIS service.76

Similarly, another commenter argued that:

Balancing privacy, security and the right to know is the question. Minimal data requirements that allow a quick identification would be ideal, like Registered Name Holder, State/City/Country, email and telephone.77

In terms of balance, some respondents argued that it was important to retain enough publicly available data to establish domain name ownership and registrant identity. For example, the International Trademark Association argued that:

INTA supports open access to ownership information for every domain name in every top-level domain ... Available information should include the identity of and accurate, reliable contact details for the true owner of the domain name.78

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The question of ownership and identity is central to the distinction between privacy and anonymity, and several stakeholders raised specific concerns about lack of public access to a registrant’s name and identity. For example, one law enforcement agency argued that:

The ability to hide one's identity in the global e-commerce marketplace creates and environment that allows illegal activities to flourish. It is imperative that law enforcement is able to identify the who, what, where of domain name operators immediately in order to effectively investigate.

While several law enforcement agencies argued that privacy services could be regulated to provide special access to underlying registrant data (including registrant name) for law enforcement agencies, this would not address the broader consumer trust concerns associated with anonymity. For example, International Trademark Association (INTA) argues that:

In most circumstances, publishing on the internet is a public act, and the public should be able to determine who they are dealing with.\(^7^9\)

The GAC WHOIS Principles similarly note that WHOIS data can contribute:

> to user confidence in the Internet ... by helping users identify persons or entities responsible for content and services online.\(^8^0\)

The clear feedback from a range of stakeholders was that they found it important that WHOIS data should be accurate. There were a number of suggestions about what factors may be contributing to the current high levels of data inaccuracy.

On availability, two conflicting, but legitimate expectations were expressed by stakeholders: first, that the data should be freely available; and secondly, there was a recognition that total availability causes conflicts with legitimate expectations of privacy. Numerous comments were made about the industry of commercial proxy and privacy providers which has grown up over the past decade.

In its Singapore Communiqué, the GAC emphasized “the need for effective compliance activities, noting that legitimate users of WHOIS data are negatively affected by non-compliance.”

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\(^8^0\) https://gacweb.icann.org/download/attachments/1540132/WHOIS_principles.pdf?version=1&modificationDate=1312460331000
D. Suggested Improvements

Increased Contractual Powers?

A number of respondents believe that the accuracy of the WHOIS service can be improved by amending the RAA to give ICANN greater and more enforceable powers. The International Anti-Counterfeiting Coalition (IACC) has argued that:

ICANN must amend the RAA ... The amendments should clarify responsibilities of both ICANN and registrar with respect to the operation of a transparent and accurate WHOIS system accessible to the broader internet community and should provide clear tools available to ICANN which are both reasonable and meaningful in the event of non-compliance. ICANN should commit greater resources to compliance and ensure that those resources are deployed to increase accuracy and reliability of WHOIS data. 81

Several respondents to the public Discussion Paper argued that ICANN’s current contracts and policies do not require registries and registrars to actively ensure WHOIS data accuracy. For example, International Trademark Association (INTA) argued that:

At present there are no mechanisms in place to ensure the accuracy of WHOIS information provided by registrants. Instead there is a presumption by registries and registrars that WHOIS information provided by registrants is accurate and a lack of incentives to encourage registrants to refrain from providing misleading or inaccurate information. 82

At the meeting with the Commercial Stakeholder Group in Singapore, Mike Rodenbaugh argued that:

Overall the WHOIS general policy (requirement to have accurate WHOIS information) has proved to be unenforceable essentially. ICANN gets thousands of complaints a month, basically showing false WHOIS and those reports generally go into a black hole 99% of the time. It takes months and sometimes never to get a response from ICANN. And the reason is because there is no, there are no firm commitments on registrars or registries as to responding to those requests. So ICANN kind of does its best, it forwards off the complaint to the registrar and registry, but there's no obligation on the registrar or registry really to do anything.

Time Warner International stated that it is:


not surprising that this system produces unacceptably high levels of inaccurate data.\textsuperscript{83}

Several respondents to the public Discussion Paper raised concerns about the lack of clear and enforceable provisions in the RAA. For example, the Business Constituency argued that:

Registrar’s obligation to provide accurate WHOIS data is ... subject to loose contractual language and vague promises to comply with future ICANN policies. The absence of clear contractual obligations regarding WHOIS accuracy stands in strong contrast to ICANN’s clear obligations to provide accurate WHOIS in the AoC.\textsuperscript{84}

Other commentators disagreed. For example, in a call with the Intellectual Property Constituency in May 2011, one participant said:

Where is the breakdown? No one is enforcing the contracts. All the wording says everything it needs to…. If you read the contract in isolation, it ought to work. In practice it does not happen.

\textit{The Need for Incremental Sanctions}

With regard to serious breaches of WHOIS obligations, the InterContinental Hotels Group stated that:

Compliance with WHOIS data reporting should continue to be compulsory and included in the Registrar Accreditation Agreement. Noncompliance should be met with a stern enforcement mechanism, including severe monetary fines. ... The most severe repercussions should be reserved for those registrar organizations who intentionally disregard WHOIS policy, and profit as a result of illegal and unethical registrations of individuals registering with them.\textsuperscript{85}

\textsuperscript{83} Time Warner Inc., comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00013.html} on the WHOIS Policy Discussion Paper, \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}.

\textsuperscript{84} Business Constituency, BC, comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00027.html} on the WHOIS Policy Review Team Discussion Paper, \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}.

\textsuperscript{85} InterContinental Hotels Group, IHG, comments \url{http://forum.icann.org/lists/whoisrt-discussion-paper/msg00010.html} on the WHOIS Policy Review Team Discussion Paper, \url{http://forum.icann.org/lists/whoisrt-discussion-paper/}.
Data Verification at the Point of Registration. Is it a Good Idea, and Would it Justify the Increased Costs?

In order to ensure the WHOIS information collected from registrants is accurate, several respondents to the public discussion paper argued that registrars should be obliged to verify data provided to them during the registration process. A similar principle could also apply to registries. For example, the Coalition of Online Accountability argued that:

> The current intolerable levels of inaccurate WHOIS data flow directly from ICANN's decision to place virtually sole responsibility for WHOIS data quality on a party with whom it has no contractual relationship: the registrant. Registrars insist that their only contractual obligation is to respond to reports of false WHOIS data, rather than to verify data accuracy at the time of collection or even to cancel registrations based on false WHOIS data. The largest registries have even less role to play on WHOIS data quality currently. This problem will not be solved or even ameliorated until registries and registrars both share responsibility for WHOIS data quality.86

Further, the Intercontinental Hotels Group argued that:

> ICANN should require that registrars actually confirm the WHOIS data provided by registrants and not merely allow registrars to blindly accept any data provided by registrants with a meaningless and unenforceable reminder to registrants that accuracy is required.87

Other commentators supported a proactive approach in general, without giving specific operational suggestions as to how this might be achieved, for example the Intellectual Property Constituency:

> There is a need to develop policies that provide for proactive registrar compliance and provide for consequences associated with inaccurate data.88

Additionally, at the 2011 Singapore meeting the UK GAC Representative from the Government Advisory Committee stated that:

> A lot of this problem would be solved by the validation of the registration information at the time of the registration and periodically audited throughout. That was a big issue that we spoke with the registrars about, stating that that’s something that we need to look at that would be a difficult issue.

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Some organizations have already improved accuracy levels through implementing a verification process. The China Internet Network Information Center reported that:

Since the organization began verifying data provided to them, accuracy levels of.cn have reached 97 per cent.\(^8^9\)

However, it is noted that this is one of a number of changes of policy which have led to a dramatic reduction in the number of .cn registered domain names.

Many of the proposals to improve accuracy put forward in responses to the public Discussion Paper would require the implementation of new procedures by registries or registrars, and could increase their costs. The NORC WHOIS Data Accuracy Study 2009/10 concluded that:

the cost of ensuring accuracy will escalate with the level of accuracy sought, and ultimately the cost of increased accuracy would be passed through to the registrants in the fees they pay to register a domain.\(^9^0\)

In relation to this, a former GAC member noted the following:

Registrars have long asserted that full verification of the accuracy of all records, including what by now must be a considerable backlog, would be financially unsustainable.\(^9^1\)

Several respondents to the public Discussion Paper argued that some increase in costs would be inevitable. For example, the Intellectual Property Constituency argued that:

The costs incurred by registrars or registries to comply with reasonable WHOIS accuracy and accessibility requirements are simply the costs of doing business as responsible players in a way that enhances consumer trust and the global public interest.\(^9^2\)

Cooperation among all registrants and other ICANN constituents will be needed to eliminate any commercial disadvantage accruing from enforcing greater accuracy.\(^9^3\)

ICANN’s Compliance Team told us in a written response to questions:


\(^9^0\) In January 2009/10, ICANN published a study conducted by the National Opinion Research Council of the University of Chicago (NORC) that had been commissioned by ICANN in 2009 to obtain a baseline measurement of what proportion of WHOIS records are accurate.


Time and resources are the two most often cited challenges for registrars in complying with WHOIS. Some registrars have indicated that the cost and time of initial and ongoing verification of WHOIS data is burdensome.

Similarly, International Trademark Association (INTA) argued that:

Consideration should be given to the implementation of a validation process funded by additional fees (validation fees) paid by registrants at the time of registration as well as penalties, such as loss of the registration if information is found to be inaccurate in the validation process. ⁹⁴

This view was supported by participants in the Commercial Stakeholder Group at the 2011 Singapore meeting:

Registrars have tremendous market pressures: very low margin business, no upfront costs (consolidation is obviously an upfront cost). If, however, that cost is forced upon them, I think everyone in this room would be perfectly happy to pay more money for domain names and have that validation done. Nobody in here believes there’s a God given right to a $10 domain name, yet everybody in the registrar and registry constituency believes there is and they can’t sell them if they have to charge more than that. Well if they all have to charge more than that, then that seems to me, and I think to most folks in this room, it would go a long way towards solving the problem.

In response to the issue of the costs of data validation, one law enforcement commentator noted:

As time has moved on, technology has become more mature where the cross matching of data is now more sophisticated and can now be carried out at a relatively low cost, giving some degree of confidence as to the accuracy of Whois data. This may not have been possible at the start up of Whois — the figure of 27 cents per domain has been mentioned to cross check domain accuracy — if that figure is right, it may be that advances in technology are driving the price of potential data accuracy solutions down. Many other industries are making regular use of this technology to verify accuracy of personal data during the normal course of online business. ⁹⁵

In a meeting with the At-Large Advisory Committee in June 2011, Cheryl Langdon-Orr argued that:

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⁹⁵ Gary Kibbey, SOCA UK
Many of us at the consumer interest end and the user end of the spectrum know who’s going to bear the costs under normal circumstances and that will be us because costs will be passed on. If they are not passed on there is probably a good market differentiation reason for them not to be passed on, and it will probably mean that we are buying other services at greater costs from our suppliers to compensate for that anyway. Many of us have no choice, and the difference between $7.50 or $11.00 is virtually nothing when we are simply wanting to get our name registered, licensed and safe for whatever period of time we’re purchasing it for.

Some respondents to the public Discussion Paper argued that relevant precedents for this type of verification exist, and that ICANN could leverage or adapt these processes for WHOIS purposes. For example, the Business Constituency argued that:

The RAA should be amended to require contracted parties to take reasonable steps to verify the accuracy of WHOIS information when a registration first occurs and when a registrant renews their domain name. ICANN can look to best practices from other industries, including the financial sector and e-Commerce industries, which have employed successful online data verification systems to ensure the accuracy of information and to prevent fraud and abused. After all, processes to gather accurate information are already undertaken by Registrars in the collection of credit card and other form as of payment. Valid WHOIS data should not be an exception and should be a prerequisite to complete the registration of a domain name.96

Education and Awareness Raising

In addition to regulatory compliance activities, several respondents to the public Discussion Paper suggested that ICANN should play a greater role in education and awareness raising, and ensure that all parties are aware of their obligations and are required to comply with these policies. For example, the International Trademark Association-Internet Committee stated:

ICANN should clarify its existing WHOIS policy by taking measures to inform and educate the public and its business partners, such as its registrars and registries, on the importance of the WHOIS policy and of complying with its terms.97

This view was also supported by participants in the Commercial Stakeholder Group at the 2011 Singapore meeting:

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ICANN needs to do a better job of educating everybody in a uniform way about what the WHOIS commitments are. It needs to be clear, easy to understand, easy to find, consistent material that is provided to registrants...The lack of clear communication is still a problem today. The registrant needs to be advised of their obligation and of the consequences. ICANN needs a lot more willingness to accept the fact it has that obligation.

Further, the NORC WHOIS Data Accuracy Study 2009/10 suggested that education is a key to effectiveness. The NORC study found that a significant proportion of registrants interviewed – over 20% - were completely unaware of WHOIS, and thus had a limited understanding of the value of the information they were entering. Many errors were strictly ones of respondent confusion at the point of data entry:

Additionally, the pattern of responses for some cases indicated a confusion between the three roles of registrant, administrative contact, and technical contact. For example, with the Registrant writing “self” as registrant, or leaving the registrant field blank, while providing full and complete details about themselves in the administrative contact field. When asked to complete name and address information four times in the course of registering a site (one each for registrant, administrative contact, technical contact, and billing address), it is easy to see how these errors could arise.

E. Consumer Study

Introduction

The Review Team decided to undertake an independent research study to gain a better understanding of consumer trust as it relates to the use of WHOIS. The premise for this decision was based on the AOC, Paragraph 4 which states:

“A private coordinating process, the outcomes of which reflect the public interest, is best able to flexibly meet the changing needs of the Internet and of Internet users. ICANN and DOC recognize that there is a group of participants that engage in ICANN's processes to a greater extent than Internet users generally.”

Therefore, the WHOIS Review Team felt that we should solicit input beyond the ICANN constituencies. Specific questions related to consumer trust were:
• What factors influence consumer’s perception of trustworthy websites?
• Are consumers aware of the WHOIS and WHOIS records for domain name registrations to evaluate trust in a website?
• Are consumers able to locate and find domain registrant information with a reasonable ease of use?

Following budget approval by the ICANN Board, the WHOIS Review Team commissioned a consumer study. This was in two parts (as described in more detail in the Appendices, together with the slides of the consultant): qualitative and quantitative. Both parts of the study involved subjects from 8-10 countries, with appropriate consideration for balance in age range, gender, and occupation. For additional details and full reference, please refer to appendices.

The findings of the study are summarized below:

➤ Website Trust

• Consumer trust in a website is enhanced with safe and secure images such as Verisign and TRUSTe when visiting ecommerce sites (68%)
• Websites of companies or brand names already known to the users also engenders trust: (63%)
• Users in France also look for https for a lock icon in order to obtain confidence in the site (50%)
• When concerned that a website is fraudulent, the majority of users will look for contact information on the website content (67%) and then search for user reviews (60%)
• When asked to locate the domain owner of a specified domain name, most agreed that it was easy (72%)\(^{98}\), and correctly identified the owner of the website (66%)
• Most users agreed that they were confident they had found the information they were looking for (76%) and that the information they found was trustworthy (85%)

➤ WHOIS

• Overall, awareness of WHOIS amongst consumers is low (24%).
• When asked to find the owner of a specified domain name, most users did not think to utilize the WHOIS look-up service (77%)
• If concerned that a website is fraudulent, 68% of International and 65% of National users would “Find Website Contact Information” first and “Search for User Reviews” as a second step users (59% of International and 61% of National)

\(^{98}\): Given the differential between this percentage, and that of consumers who are aware of WHOIS (24%), it is assumed that many were able to locate the “domain owner’s” details from contact details published on the website associated with the domain name.
Conclusions

Significant indications from the UserInsight study include:
The study reveals a low level of awareness and a lack of consistency in the source and presentation of WHOIS data or domain registrant information. Therefore it is not possible to conclude from the study what role the WHOIS policy or its implementation plays in promoting consumer trust. The Review Team found no evidence of any consumer awareness or education programs about WHOIS by ICANN, registries or registrars.

Those wanting to validate the integrity or authenticity of a website use a variety of methods which indirectly lead to multiple and different WHOIS data web pages published by registries and registrars. The WHOIS results pages were confusing and lacked credibility because of the visual presentation and distraction of domain ads for sale.

A significant percentage of those who have a registered domain name are unaware of WHOIS and, therefore, unaware that their name and contact information are publicly available through WHOIS. This indicates that more emphasis and attention is needed on the privacy principle of notice at the time an individual is obtaining a domain name and providing registration details.
Chapter 7: Gap Analysis

This chapter examines gaps between ICANN’s policies and their implementation, and between ICANN and its contracted parties’ respective commitments and the services they actually deliver. Consistent with the Review Team’s scope, the chapter focuses on the extent to which existing WHOIS policy and its implementation is effective, meets the legitimate needs of law enforcement, and promotes consumer trust. In writing it, we are mindful of the extensive input received from many communities and documented in the earlier sections of this Report.

In acknowledgement of the special roles of governments in ICANN, we note specially the guidance given by governments, over time, to ICANN in the WHOIS discussions: Government Advisory Committee and Data Protection Commissioners.

The chapter covers five broad areas:

- WHOIS data accuracy needs to be stronger
- The Role of ICANN needs to be enhanced
- Registrars and Registries should be more responsible
- Registrants are ultimately responsible
- Need to fix the proxy registration system

A. WHOIS Data Accuracy Needs to be Stronger

The Affirmation of Commitments provides that ICANN will implement measures to maintain timely, unrestricted and public access to accurate and complete WHOIS information, including registrant, technical, billing, and administrative contact information. ICANN has two consensus policies that address WHOIS accuracy. To varying degrees, the commitment to accuracy is also echoed in the contractual commitments of registries, registrars and registrants.

As discussed in Chapter 6, in January 2009/10, ICANN published a study conducted by the National Opinion Research Council of the University of Chicago (NORC) that had been commissioned in 2009 by ICANN to obtain a baseline measurement of what proportion of WHOIS records are accurate. Examining an internationally representative sample of 1419 records, the Study found that, based on a strict application of the criteria, only 23% of records were fully accurate, though roughly twice that number met a slightly relaxed version of the criteria. The study also found that 21.6% of data was not sufficient for the registrant to be located, with either missing or deliberately false information (“Full Failure” and “Substantial Failure” in the terminology of the NORC study).

In their WHOIS Data Accuracy Study 2009/10, NORC found that there are various “barriers to accuracy” from the point of data entry onwards with the combined
involvement of registrants, registrars, registries and ICANN itself. The following analysis focuses on the individual roles of these actors, and the chain of responsibilities between them.

B. The Role of ICANN Needs to be Enhanced

ICANN has sought to improve the accuracy of WHOIS data in several ways. At the registry level, ICANN has imposed contractual obligations that flow through registries to registrars in three of ICANN’s registry agreements, namely .MOBI, .TEL and .ASIA\(^99\).

ICANN also plans to implement a more comprehensive evaluation process for gTLD applicants, which includes an assessment of the applicant’s ability to maintain a higher standard of WHOIS data accuracy. Improved accuracy in WHOIS data will be actively promoted by ICANN throughout the evaluation and selection process so that applicants will be motivated to improve accuracy standards in their bid for a new gTLD.\(^100\)

ICANN’s Compliance effort was the subject of numerous comments during our outreach. In the main (with the exception of registries and registrars who were positive), ICANN’s WHOIS Compliance effort was perceived to be inadequately resourced, ineffective, and to need significant improvement.

On an operational level the WHOIS Review Team notes that ICANN has made a number of senior recruitments to the Compliance Team, and has assigned responsibility for WHOIS issues to an individual within the Team. We note that moves are underway to improve the user experience with regard to the Compliance pages on the website, and understand that the issues we have highlighted as areas for improvement for Compliance (refer to appendices) are acknowledged and shared by the Compliance Team.

Despite these improvements, basic information about staffing and budget spend remain difficult to obtain. Some commentators question whether the current structure, lines of reporting and accountability are appropriate, or support an effective compliance effort.

C. Registrars and Registries Should be More Responsible

Registrars and registries play a key role in ensuring the accuracy of WHOIS data because they are the parties responsible for collecting WHOIS data from registrants and ensuring that the data is available.


\(^100\) ICANN, gTLD Applicant Guidebook (30 May 2011)
Not all registries have a contractual relationship with the registrants. Those that do not are without the ability to ensure the accuracy of WHOIS data. These would include, for example, registries for the .COM and .NET domains. In the case of these and some other domains, it is the registrars that collect and are positioned to police the WHOIS data.

Other registries, such as sponsored gTLD registries, do have direct contractual relationships with the registrants and are the parties responsible for collecting, and best positioned to verify the accuracy of, WHOIS data.

As noted above, there are currently no requirements for registrars or registries to proactively monitor or verify registration data for accuracy. If a registrar is notified of an inaccuracy in data, RAA 3.7.8 provides that the registrar will take reasonable steps to investigate the claim of inaccuracy and correct the information if needed. If data is found to be intentionally false registrars are not obligated to cancel the registration.

This point is echoed by WHOIS compliance staff, who stated in response to the Review Team's questions that:

Currently the RAA requires registrars to investigate alleged WHOIS inaccuracies but there is no requirement in the RAA for registrars to ensure that WHOIS data is accurate.

The WHOIS Review Team notes that there are limited, if any, compliance activities directed at Registries, and acknowledges that this is a potentially difficult area, as registries do not have direct relationships with registrants (the producers of WHOIS data). There is an understandable concern on the part of all contracted parties to ICANN that the distinctions within the vertical supply chain may become blurred if registries take on responsibility for correcting registrant data. While we accept that concern, the WHOIS Review Team is also of the view that all parties should do what they can to improve accuracy of data. For those registries which operate a thick WHOIS, and become aware of inaccurate data, they should inform the relevant parties, including registrars with whom they have existing commercial relationships, so that appropriate steps can be taken to rectify the data, or delete the registration.

D. Registrants Are Ultimately Responsible

Sections 3.7.7.1 and 3.7.7.2 of the RAA outline the contractual responsibility of the registered name holder to provide accurate and up-to-date personal information to the registrar, and that they must notify the registrar if information needs updating. Despite these obligations, many registrants do not provide accurate personal information or keep this information up-to-date.

Ultimately, domain names are subject to cancellation for the registrant’s failure to provide accurate data, or willful failure to correct it. However, there is little perception
amongst the stakeholders from whom we received comments that domains are being cancelled for inaccurate data, or that sufficient steps are taken to close the compliance loop at the level of individual domain name registrations.

**E. The Proxy Registration System**

Review Team members are in unanimous agreement that the status quo regarding proxy registrations is not sustainable, is not fair to legitimate participants in the domain name marketplace, frustrates valuable social goals such as law enforcement and the protection of intellectual property, and reflects poorly on ICANN’s commitment to serve the public interest.

We are also in agreement that the goal should be to give accredited registrars strong incentives not to foster this undesirable status quo, and that such incentives should arise both from the terms of the ICANN contracts with registrars, and from principles of legal responsibility under national law. ICANN can control the first source of these incentives; its contractual provisions may influence, but cannot control the second, since neither of the parties most directly involved - the proxy service customers, and the law enforcement or other party seeking to identify them and hold them accountable - is under contract to ICANN.

We have reached consensus on all the recommendations set out below. We request that the next WHOIS Review Team reviews the privacy and proxy industry’s progress in this regard, and in the event that it finds the WHOIS policy and its implementation unsatisfactory at that point, we trust that it will make recommendations for more concrete measures.

Ultimately, ICANN’s WHOIS policy and implementation in the area of proxy and privacy services cannot be effective or successful without proactive ICANN compliance measures, e.g. to press registrars to cancel registrations of proxy services that do not fulfill their contractual obligations as set forth in the RAA. A well-resourced and credible compliance program is essential to reforming the unacceptable status quo in this area.
Chapter 8: Findings and Recommendations

WHOIS is a source of long-running discussion at ICANN, both formal and informal. This apparently simple look-up service raises issues of data accuracy, privacy, cost, policing, and consumer trust. Each of the issues is important, and this is sometimes lost in the heat of the debate and the desire to vigorously advance a well-intentioned, reasonable position.

We have found little consensus but more concerning, is the lack of coordinated effort to achieve consensus in this important space. Neither ICANN the corporation nor ICANN the community has seen the need to charge an individual or group as responsible for WHOIS. This we find to be a significant oversight, because without such coordinating effort, the small steps required for consensus may never be taken.

To help inform the WHOIS debate, ICANN has adopted “the study” as a surrogate for action. Significant sums have been invested over a number of years providing considerable information that is then debated, questioned, and studied again. The Review Team would welcome a more joined up approach, where such studies would provide a resource for the benefit of the entire ICANN Community as it decides, in a timely manner, actions necessary to remedy policy or policy implementation failures. Whilst it is laudable to adopt an evidence-based approach, there must be tangible, measurable follow up in order to capitalize on the investment made in the reports.

Recommendation 1: Strategic priority

Findings

WHOIS policy and its implementation are one of four central issues highlighted in the Affirmation of Commitments, the others being Accountability and Transparency, Security and Stability, and Consumer Trust.

That WHOIS placed alongside such issues shows that the authors of the Affirmation of Commitments, the US Government and ICANN's senior executive, viewed it as one of the four barometers of ICANN's effective performance and service to the Internet Community. One reason for this may be that, although WHOIS services are provided by ICANN's contracted parties, WHOIS look ups have now become detached from the domain name supply chain. Users of WHOIS tend not to be customers of registries and registrars, but are law enforcement, or those enforcing private law rights, and those seeking to get in touch with registrants for whatever reason. There are no income streams associated with providing WHOIS. It is viewed by many in the industry as a cost, and is often difficult to locate on registrar websites.

As a result, it is not a priority for many of ICANN's contracted parties - who provide funding for ICANN the corporation. It is, however, a high priority for many users who are
outside the ICANN inner circle, but for whatever reason their needs have not found organizational priority to date.

Although compliance is one essential element of WHOIS Policy and its implementation, it is not the whole story. WHOIS as an issue encompasses:

- The WHOIS Protocol, including its continued fitness for purpose given that both the Internet and uses of WHOIS have expanded beyond what their original designers would have imagined possible;
- Internationalization of WHOIS Data, and the consistent handling of non-ASCII text in both the records and the display of the domain name itself;
- Ongoing development of WHOIS policy within ICANN's existing machinery, and the impact of other policy development on WHOIS;
- Maintaining some coordination role to ensure that so far as possible, policy development effort is not duplicated, relevant research is brought to the attention of relevant working groups or staff, and is followed up in a timely way; and
- That compliance with contractual obligations, and outreach to affected communities of users is managed effectively and that honest timely reporting be given to the Community.

The WHOIS Review Team finds that in all of the above points, ICANN the corporation has failed to meet expectations. It is ideally placed to play a proactive role, for example in stimulating work on protocol reform, and working with the IETF to share its learnings, encouraging adoption or at least test beds by the industry of appropriate replacement protocols. Expensive and valuable research studies, for example the NORC study on Data Accuracy have been left to languish for years, with no follow up, and no individual ownership of the issues. ICANN's contractual compliance effort has historically been under resourced, understaffed, and has struggled for organizational priority.

**Recommendation 1 - Strategic Priority**

It is recommended that WHOIS, in all its aspects, should be a strategic priority for ICANN the organization. It should form the basis of staff incentivization and published organizational objectives.

To support WHOIS as a strategic priority, the ICANN board should create a committee that includes the CEO. The committee should be responsible for advancing the strategic priorities required to ensure the following:

- Implementation of this report’s recommendations;
- Fulfillment of data accuracy objectives over time;
• Follow up on relevant reports (e.g. NORC data accuracy study);

• Reporting on progress on all aspects of WHOIS (policy development, compliance, and advances in the protocol / liaison with SSAC and IETF);

• Monitoring effectiveness of senior staff performance and the extent to which ICANN Compliance function is effective in delivering WHOIS outcomes, and taking appropriate action to remedy any gaps (see Recommendation 4 for more discussion of compliance).

Advancement of the WHOIS strategic priority objectives should be a major factor in staff incentivization programs for ICANN staff participating in the committee, including the CEO. Regular (at least annual) updates on progress against targets should be given to the Community within ICANN's regular reporting channels, and should cover all aspects of WHOIS including protocol, policy development, studies and their follow up.

Recommendation 2: Single WHOIS Policy

Findings

One of our earliest "findings" was our inability to find a clear, concise, well-communicated WHOIS Policy. The Team was assured that one existed and that it had been in force for some time. Several versions of Registrar and Registry contracts were reviewed as were compliance activities related to the policy. Throughout, we were unable to locate a document labeled WHOIS Policy as referenced by the ICANN-approved Affirmation of Commitments. Overall, we found elements of the Whois Policy in Registrar and Registry contracts, GNSO Consensus Policies and a Consensus Procedure, the IETF Requests for Comments (RFCs) and domain name history.

Recommendation 2 - Single WHOIS Policy

ICANN's WHOIS policy is poorly defined and decentralized The ICANN Board should oversee the creation of a single WHOIS policy document, and reference it in subsequent versions of agreements with Contracted Parties. In doing so, ICANN should clearly document the current gTLD WHOIS policy as set out in the gTLD Registry and Registrar contracts and GNSO Consensus Policies and Procedure.

Recommendation 3: Outreach

Findings

We found great interest in the WHOIS policy among a number of groups that do not traditionally participate in ICANN's more technical proceedings. They include the law enforcement community, Data Protection Commissioners, and the privacy community more generally. Further we found interest among those in support organizations and advisory committees including the SSAC, GAC, ccNSO, ASO, who may or may not closely follow proceedings in the GNSO, where much of the WHOIS discussion takes place.
These groups are worried that about missing a proceeding taking place within the GNSO on WHOIS matters, and their ability to substantively comment.

Part of the WHOIS Review Team’s scope was to evaluate the extent to which ICANN’s current WHOIS policy and implementation “promotes consumer trust”. Having struggled with what “consumer” means in the context of WHOIS, and aware of the Affirmation of Commitments’ observation that there are key stakeholders who do not engage in the ICANN environment, the WHOIS Review Team commissioned consumer research. This found that drivers of consumer trust include knowing the entity with whom they are dealing, and being able to find reliable contact information. The vast majority of consumers were unaware of the existence of the WHOIS service, and many struggled to understand the format of WHOIS outputs.

This led us to conclude that the current implementation of WHOIS services does not help to build consumer trust, and more could be done to raise awareness of the service, and to improve its user-friendliness.

**Recommendation 3 - Outreach**

ICANN should ensure that WHOIS policy issues are accompanied by cross-community outreach, including outreach to the communities outside of ICANN with a specific interest in the issues, and an ongoing program for consumer awareness.

**Recommendation 4: Compliance**

**Findings**

Despite substantial efforts made, and dedicated staff, the Compliance function has suffered from lack of resources, and has struggled to maintain organizational priority.

Evidence of recent investment is welcome, but there remains much to do.

We find that basic information, for example on staffing, budget vs. actual spend, and key performance metrics, remain difficult to obtain.

Concerns have been expressed in public comment as to whether the current structure of the Compliance team (i.e. being a department within ICANN) is helping. We have an open mind about whether the Compliance function should be located within the organization or not. There is much to be said for structural independence. However, we note that the costs and upheaval associated with such a restructure (both human and financial) would be great. We believe that it should be possible to effect improvements through clearer lines of accountability particularly for Compliance’s leadership, and much greater transparency.

Finally, we note the sensitivity from some sections of the community about use of the term “regulator” to describe ICANN’s role within the industry. We have tried to avoid the term in our final recommendations. However, we do not fully understand the
sensitivity: ICANN is part of a self-regulatory ecosystem. It accredits some actors (registries and registrars) and requires certain behaviors of them. It has an operational function to enforce contractual requirements. These activities can be properly described as regulation in the sense of private sector, self-regulation. If they were not done effectively, they would need to be done by someone – or something – else.

**Recommendation 4 - Compliance**

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.

**Recommendations 5-9: Data Accuracy**

**Findings**

In 2009-10, ICANN commissioned a study on data accuracy, which was undertaken by the National Opinion Research Council of the University of Chicago (NORC) (the “NORC WHOIS Data Accuracy Study 2009/10”). The study found that only 23% of WHOIS records met the study’s criteria for No Failure and over 20% were categorized as Full Failure or Substantial Failure. Concerns about the accuracy of WHOIS records were

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101 The NORC study defined the terms as follows:

**No Failure** Met all three criteria fully – deliverable address, name linked to address, and registrant confirmed ownership and correctness of all details during interview.
raised in a number of responses to the WHOIS Review Team’s public Discussion Paper and in public sessions at four ICANN meetings.

- Law enforcement agencies expressed a view that inaccurate or incomplete WHOIS data can potentially cause serious problems during the course of a criminal investigation;
- Inaccurate WHOIS data can also significantly impact consumer trust and confidence in the Internet;
- The Non-Commercial Users Constituency noted: If registrants have other channels to keep this information private, they may be more willing to share accurate data with their registrar;
- The concerns of businesses include issues relating to online counterfeiting and their ability to protect their intellectual property rights.

The low level of accurate WHOIS data is unacceptable, and decreases consumer trust in the WHOIS, in the industry which ICANN provides rules for and coordinates, and therefore in ICANN itself. The organization’s priority in relation to WHOIS should be to improve WHOIS data accuracy and sustain improvement over time.

The WHOIS Data Reminder Policy is ineffective in achieving its goal of improving accuracy of data. Despite the dedication of considerable resources both by Registrars in sending out annual WHOIS Data Reminder Policy notices, and ICANN’s Compliance Team in auditing compliance, the lack of follow-up renders the entire action ineffective. Anecdotal evidence suggests that name holders frequently ignore these messages, view them as SPAM or as unwanted marketing approaches by their Registrar. The policy, while well-intentioned, has not measurably improved accuracy but has increased costs to Registrars and ICANN as it monitors compliance with the policy. Simply put, no one knows what impact the policy has in improving the accuracy of WHOIS data.

The Review Team notes that discussions of WHOIS data often include recommendations for WHOIS data "validation" or data "verification." The team notes that the focus of its recommendations is on the desired outcome that ICANN work to improve the accuracy of WHOIS data. WHOIS validation or verification would be one possible means to achieve this objective, whereas our intention is to allow latitude in how the objective is achieved. Currently, there are a number of ongoing efforts in this area, including a potential Policy Development Process (PDP) and direct negotiations with Registrars on revisions to the RAA. The Review Team therefore acknowledges these efforts and encourages ICANN Staff to continue this work while ensuring that all segments of the

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Full failure – Failed on all criteria – undeliverable address and unlinkable, missing, or patently false name, unable to locate to interview

Substantial failure Undeliverable address and/or unlinkable name, however registrant located. Unable to interview registrant to obtain confirmation; Deliverable address, but unable to link or even locate the registrant, removing any chance of interview.
Community are involved in this process. In any event, whether or not validation of new registration data is implemented, there is a significant legacy of inaccurate data in existing domain name records, which requires attention and improvement.

**Recommendations 5-9 - Data Accuracy**

10. ICANN should ensure that the requirements for accurate WHOIS data are widely and pro-actively communicated, including to current and prospective Registrants, and should use all means available to progress WHOIS accuracy, including any internationalized WHOIS data, as an organizational objective. As part of this effort, ICANN should ensure that its Registrant Rights and Responsibilities document is pro-actively and prominently circulated to all new and renewing registrants.

11. ICANN should take appropriate measures to reduce the number of WHOIS registrations that fall into the accuracy groups Substantial Failure and Full Failure (as defined by the NORC Data Accuracy Study, 2009/10) by 50% within 12 months and by 50% again over the following 12 months.

12. ICANN shall produce and publish an accuracy report focused on measured reduction in WHOIS registrations that fall into the accuracy groups Substantial Failure and Full Failure, on an annual basis.

13. ICANN should ensure that there is a clear, unambiguous and enforceable chain of contractual agreements with registries, registrars, and registrants to require the provision and maintenance of accurate WHOIS data. As part of these agreements, ICANN should ensure that clear, enforceable and graduated sanctions apply to registries, registrars and registrants that do not comply with its WHOIS policies. These sanctions should include de-registration and/or de-accreditation as appropriate in cases of serious or serial non-compliance.

14. The ICANN Board should ensure that the Compliance Team develop, in consultation with relevant contracted parties, metrics to track the impact of the annual WHOIS Data Reminder Policy (WDRP) notices to registrants. Such metrics should be used to develop and publish performance targets, to improve data accuracy over time. If this is unfeasible with the current system, the Board should ensure that an alternative, effective policy is developed (in accordance with ICANN’s existing processes) and implemented in consultation with registrars that achieves the objective of improving data quality, in a measurable way.
Recommendations 10: Data Access -- Privacy and Proxy Services

Findings

Privacy and proxy services have arisen to fill an ICANN policy vacuum. These services are clearly meeting a market demand, and it is equally clear that these services are complicating the WHOIS landscape.

Privacy and proxy services are used to address noncommercial and commercial interests, which many view as legitimate. For example,

- **Individuals** – who prefer not to have their personal data published on the Internet as part of a WHOIS record;
- **Organizations** – as religious, political or ethnic minority, or sharing controversial moral or sexual information; and
- **Companies** – for upcoming mergers, new product or service names, new movie names, or other product launches.

However, ICANN's current lack of any clear and consistent rules with regards to privacy and proxy services\(^{102}\) has resulted in unpredictable outcomes for stakeholders. In terms of the Review Team’s scope:

- Law enforcement shared its concern over the abuse of proxy services by criminals seeking to hide, companies defrauding customers, and parties attacking the security of the Internet including by botnets and malware; and
- the current use of privacy and proxy services raises questions about whether ICANN is meeting its AoC commitments relating to ‘timely, unrestricted and public access’ to WHOIS data.

The Review Team considers that with appropriate regulation and oversight, privacy and proxy services appear capable of addressing stakeholder needs.

Recommendation 10 - Data Access -- Privacy and Proxy Services

The Review Team recommends that ICANN should initiate processes to regulate and oversee privacy and proxy service providers.

ICANN should develop these processes in consultation with all interested stakeholders.

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\(^{102}\) Working definitions of Privacy and Proxy Services:

- **Privacy Service** a service that provides the Registrant Name and a subset of other information (possibly null set) but consistent across ICANN
- **Proxy Service** a relationship in which the registrant is acting on behalf of another. The WHOIS data is that of the agent and the agent alone obtains all rights and assumes all responsibility for the domain name and its manner of use.
This work should take note of the studies of existing practices used by proxy/privacy service providers now taking place within the GNSO.

The Review Team considers that one possible approach to achieving this would be to establish, through the appropriate means, an accreditation system for all proxy/privacy service providers. As part of this process, ICANN should consider the merits (if any) of establishing or maintaining a distinction between privacy and proxy services.

The goal of this process should be to provide clear, consistent and enforceable requirements for the operation of these services consistent with national laws, and to strike an appropriate balance between stakeholders with competing but legitimate interests. At a minimum, this would include privacy, data protection, law enforcement, the industry around law enforcement and the human rights community.

ICANN could, for example, use a mix of incentives and graduated sanctions to encourage proxy/privacy service providers to become accredited, and to ensure that registrars do not knowingly accept registrations from unaccredited providers.

ICANN could develop a graduated and enforceable series of penalties for proxy/privacy service providers who violate the requirements, with a clear path to de-accreditation for repeat, serial or otherwise serious breaches.

In considering the process to regulate and oversee privacy/proxy service providers, consideration should be given to the following objectives:

- Clearly labeling WHOIS entries to indicate that registrations have been made by a privacy or proxy service;
- Providing full WHOIS contact details for the privacy/proxy service provider, which are contactable and responsive;
- Adopting agreed standardized relay and reveal processes and timeframes; (these should be clearly published, and pro-actively advised to potential users of these services so they can make informed choices based on their individual circumstances);
- Registrars should disclose their relationship with any proxy/privacy service provider;
- Maintaining dedicated abuse points of contact for each provider;
- Conducting periodic due diligence checks on customer contact information;
- Maintaining the privacy and integrity of registrations in the event that major problems arise with a privacy/proxy provider;
- Providing clear and unambiguous guidance on the rights and responsibilities of registered name holders, and how those should be managed in the privacy/proxy environment.
**Recommendation 11: Data Access – Common Interface**

*Findings*

According to our consumer research, one of the aspects that consumers struggled with (once they had been informed of the existence of WHOIS in many cases) was locating WHOIS Services and interpreting WHOIS Data. This is particularly pronounced with ‘thin’ WHOIS Services\(^\text{103}\) which split the WHOIS data between the registry and registrar, and affect .com and .net, which together hold over 100 million domain name registrations at the time of writing.

We understand that ICANN already provides a WHOIS lookup service called Internic. The WHOIS Review Team supports the concept of the Internic service, as a 'go to' place for those wishing to find out information about domain name registrants. It finds that in practice, the Internic service is little known, and is not user friendly. For example, it delivers only the ‘thin’ WHOIS data for .com and .net. This requires users who are looking up through a web interface to find the relevant registrar’s website, and their WHOIS Service before they are able to complete their query.

The WHOIS Review Team unanimously believes that WHOIS Services in general and Internic in particular are not optimized for usability, and could do much more to promote consumer trust. Further, we believe that they prevent the WHOIS from being more widely used and relied on by consumers.

*Recommendation 11 - Data Access – Common Interface*

It is recommended that the Internic Service is overhauled to provide enhanced usability for consumers, including the display of full registrant data for all gTLD domain names (whether those gTLDs operate thin or thick WHOIS Services) in order to create a one stop shop, from a trusted provider, for consumers and other users of WHOIS Services.

In making this finding and recommendation, we are not proposing a change in the location where data is held, ownership of the data, nor do we see a policy development process as necessary or desirable. We are proposing an operational improvement to an existing service, the Internic. This should include enhanced promotion of the service, to increase user awareness.

**Recommendation 12-14: Internationalized Domain Names**

*Findings*

Developments associated with the WHOIS protocol and registration data have not kept

\(^{103}\) See glossary for explanation of the terms “thick” and “thin” WHOIS services
pace with the real world. A significant example of this is International Domain Names (IDNs). IDNs have been available for registration at the second level for over a decade, and were introduced in 2010 at the root level. However, these developments were not accompanied by corresponding changes related to WHOIS. In short, the current WHOIS protocol has no support for non-ASCII characters, and cannot signal a non-ASCII script.

This means that while domain names can now be written in a range of scripts (such as Arabic and Cyrillic), the contact information must still be transliterated into a format ill-suited to the purpose. The NORC Study on Data Accuracy highlighted IDN contact data as a major cause of apparent inaccuracy.

The failure to reflect internationalized registration data does not just affect IDNs, however, and has existed for much longer - ever since domain names have been registered by registrants globally. Global users need to represent their local names, postal addresses and other contact and technical information in the script(s) which they use.

These are difficult issues, and there is ongoing work within ICANN in this area (e.g. the joint gNSO and SSAC working group on Internationalised Registration Data – IRD WG). As the need is imminent, this work needs to proceed with priority in coordination with other relevant work beyond ICANN’s ambit, to make internationalised domain name registration data accessible.

Recommendations 12-14 – Internationalized Domain Names

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.

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.

14. In addition, 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, as per the details in Recommendations 5-9 in this document.

**Recommendation 15: Detailed and Comprehensive Plan**

ICANN should provide a detailed and comprehensive plan within 3 months after the submission of the Final WHOIS Review Team report that outlines how ICANN will move forward in implementing these recommendations.

**Recommendation 16: Annual Status Reports**

ICANN should provide at least annual written status reports on its progress towards implementing the recommendations of this WHOIS Review Team. The first of these reports should be published one year, at the latest, after ICANN publishes the implementation plan mentioned in recommendation 15, above. Each of these reports should contain all relevant information, including all underlying facts, figures and analyses.