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| RDS-WHOIS2 RTSubgroup Report: Plan & Annual Reports |
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| DRAFT FOR SUBGROUP USE TO DOCUMENT DRAFT FINDINGS AND RECOMMENDATIONS (IF ANY) |
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| 5 April 2018 |
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# Topic

Subgroup 1 - WHOIS1 Rec 15-16Plan & Annual Reports is tasked with investigating, analyzing, and drafting recommendations (if needed) to address the following Review objective:

Consistent with ICANN’s mission and Bylaws, Section 4.6(e)(iv), the Review Team will (a) evaluate the extent to which ICANN Org has implemented each prior Directory Service Review recommendation (noting differences if any between recommended and implemented steps), (b) assess to the degree practical the extent to which implementation of each recommendation was effective in addressing the issue identified by the prior RT or generated additional information useful to management and evolution of WHOIS (RDS), and (c) determine if any specific measurable steps should be recommended to enhance results achieved through the prior RT’s recommendations. This includes developing a framework to measure and assess the effectiveness of recommendations, and applying that approach to all areas of WHOIS originally assessed by the prior RT (as applicable).

The specific [WHOIS1 Recommendation](https://www.icann.org/en/system/files/files/final-report-11may12-en.pdf) to be assessed by this subgroup appears below:



To address this review objective, the subgroup agreed to:

* Cross check with other subgroups about whether the Action Plan properly addressed the other 14 recommendations; and
* Assess the effectiveness of the already-published WHOIS Annual Reports (e.g., relevance of provided information, quality of the underlying facts).

# Summary of Relevant Research

To conducts its research, all members of this subgroup reviewed the following background materials, posted on the [subgroup's wiki page](https://community.icann.org/pages/viewpage.action?pageId=71604726):

* + [WHOIS Review Team (WHOIS1) Final Report](https://www.icann.org/en/system/files/files/final-report-11may12-en.pdf) (2012) and [Action Plan](https://www.icann.org/en/system/files/files/implementation-action-08nov12-en.pdf)
	+ [WHOIS Review Team (WHOIS1) Implementation Reports](https://community.icann.org/display/WHO/WHOIS%2BReview%2BImplementation%2BHome), including
		- [Executive Summary of Implementation Report](https://community.icann.org/download/attachments/54691767/WHOIS%20Recs%201_16%2030Sept2016.pdf)
		- [Detailed implementation Report](https://community.icann.org/download/attachments/54691767/WHOIS%20Quarterly%20Summary%2031December2016.pdf)
	+ WHOIS1 Implementation Briefings on Recommendations 1, 2, 3, 6, 7, 9, 15, 16: [PPT](https://community.icann.org/download/attachments/63145823/WHOIS1%20Implementation%20briefings%201%2C%202%2C%203%2C%206%2C%207%2C%209%2C%2015%2C%2016.pptx?version=1&modificationDate=1511776488000&api=v2), [PDF](https://community.icann.org/download/attachments/69279139/WHOIS%20Briefing%20-%2003October2017%20-%20V2.0.pdf?version=1&modificationDate=1506780907000&api=v2)
	+ [Answers to RDS-WHOIS2 Questions on Implementation Briefings](https://community.icann.org/download/attachments/63145823/WHOIS1-Implementation%20Briefings_final.docx?version=1&modificationDate=1510566466000&api=v2)
	+ Documents cited in briefing on Recommendations 15-16 include
		- [ICANN Five Year Strategic Plan](https://www.icann.org/en/system/files/files/strategic-plan-2016-2020-10oct14-en.pdf)
		- [ICANN FY 2017 Operating Plan and Budget](https://www.icann.org/en/system/files/files/adopted-opplan-budget-fy17-25jun16-en.pdf)
		- [Action Plan](https://www.icann.org/en/system/files/files/implementation-action-08nov12-en.pdf) adopted by the Board
		- [2013 WHOIS Annual Report](https://whois.icann.org/en/file/improvements-annual-report-04nov13-en)
		- [2014 WHOIS Annual Report](https://whois.icann.org/en/file/improvements-annual-report-12dec14-en)
		- [2015 WHOIS Annual Report](https://whois.icann.org/en/file/2015-annual-report-whois-improvements)
		- [2016 WHOIS Annual Report](https://whois.icann.org/sites/default/files/files/improvements-annual-report-01sep17-en.pdf)

In addition, this subgroup agreed to base its analysis in part upon Subgroup 1 key findings for all other WHOIS1 Recommendations, to be posted here: <https://community.icann.org/x/3ARyB>

Finally, the subgroup applied the RDS-WHOIS2 review team's [agreed framework](https://community.icann.org/download/attachments/71604697/FinalRDS-WHOISRT2Effectivenes.docx?version=1&modificationDate=1519138360000&api=v2) to measure and assess the effectiveness of recommendations,

# Analysis & Findings

[Provide overview of Review Team Findings(including materials of reference).

For this subgroup, relevant review objectives include:

* Topic 1 (a) identify the extent to which ICANN Org has implemented each prior Directory Service Review recommendation (noting differences if any between recommended and implemented steps),
* Topic 1 (b) assess to the degree practical the extent to which implementation of each recommendation was effective in addressing the issue identified by the prior RT or generated additional information useful to management and evolution of WHOIS (RDS)]

The ICANN Board adopted a general [Action Plan](https://www.icann.org/en/system/files/files/implementation-action-08nov12-en.pdf) for implementing the WHOIS Review Team recommendations on 8 November 2012, outlined the Board proposed action items to address WHOIS1recommendations, and the rationales backed up Board action items.

This subgroup didn't find any separate work plan with milestones, deliverables and/or specific deadlines beyond the [Action Plan](https://www.icann.org/en/system/files/files/implementation-action-08nov12-en.pdf). Given the background materials posted on the [subgroup's wiki page](https://community.icann.org/pages/viewpage.action?pageId=71604726), it seems that Action Plan was reflected in ICANN's annual operating plan and budget, and the implementation progress for each action item in Action Plan was showed in WHOIS annual report.

In [FY 2013 operating plan and budget](https://www.icann.org/en/system/files/files/adopted-opplan-budget-fy13-24jun12-en.pdf), WHOIS Program was the fourth budgeted project ($969K) within ICANN, after IDN Variant Management Projects ($1,250K), New Compliance System/CRM ($1,200K), and Enhance Multi--‐lingual strategy ($980K). A list of various types of Whois initiatives were included in the WHOIS Program, including implementation of WHOIS Review Team recommendations regarding measures to increase accuracy, crafted studies to inform the implementation of these recommendations and provided a roadmap for additional WHOIS accuracy initiatives, technical work on the WHOIS protocol, and synthesis with contractual compliance activities and reporting.

This subgroup has some difficulties in tracking the budget and resources allocated to the implementation of WHOIS1 recommendations in the following years. WHOIS work was reflected under objective The WHOIS core function/service & improvements Portfolio in ICANN's annual operating plan and budget of [2015](https://www.icann.org/en/system/files/files/adopted-opplan-budget-fy15-01dec14-en.pdf), [2016](https://www.icann.org/en/system/files/files/adopted-opplan-budget-fy16-25jun15-en.pdf), [2017](https://www.icann.org/en/system/files/files/adopted-opplan-budget-fy17-25jun16-en.pdf) respectively, and under objective 2.1 Foster and Coordinate a Healthy, Secure, Stable, and Resilient Identifier Ecosystem in [FY 2018 operating plan and budget](https://www.icann.org/en/system/files/files/adopted-opplan-budget-fy18-15aug17-en.pdf). However, there was no clear mapping relation between budget line and action item.

ICANN published the first [WHOIS Improvements Annual Report](https://whois.icann.org/en/file/improvements-annual-report-04nov13-enhttps%3A/whois.icann.org/en/file/improvements-annual-report-04nov13-en) in 2013. The Report provided an overview of the recommendations and implementation activities, as well as links to deliverables for each implementation activity. The Annual Reports on WHOIS Improvements for [2014](https://whois.icann.org/en/file/improvements-annual-report-12dec14-en), [2015](https://whois.icann.org/en/file/2015-annual-report-whois-improvements) and [2016](https://whois.icann.org/en/file/2016-annual-report-whois-improvements) were produced by ICANN separately afterwards, which outlined the progress of all WHOIS policy related working streams. In each of the annual report, the details on the implementation status of the Board approved action plan were provided. The WHOIS Improvements Annual Report provides a very good overview of the WHOIs policy development in general, however, there has been no measurable assessment about the reduction of WHOIS inaccuracy.

There has been a delay for ICANN to publish WHOIS Improvements Annual Report since 2016. And the annual report for 2016 was published till 1 September 2017, the annual report has not been ready for 2017 yet. This subgroup is not sure about the reason behind the delay.

As mentioned above, there are no other referential work plans for the subgroup to assess the extent to which ICANN has implemented each prior WHOIS1recommendation, the implementation progress and effectiveness could only be assessed by the final outcome, thus the subgroup needs other subgroups' inputs on the effectiveness of the Action Plan and deliverables in addressing the WHOIS1 recommendations.

\*Inputs from Recommendation 1 Strategic Priority:

\*Inputs from Recommendation 2 Single WHOIS Policy:

\*Inputs from Recommendation 3 Outreach:

\*Inputs from Recommendation 4 Compliance:

\*Inputs from Recommendation #5-9 Data Accuracy:

\*Inputs from Recommendation 10 Privacy/Proxy Services:

\*Inputs from Recommendation 11 Common Interface:

\*Inputs from Recommendation 12-14 Internationalized Domain Names:

# Problem/Issue

[What observed fact-based issue is the recommendation intending to solve? What is the “problem statement”?

For this subgroup, relevant steps from review objectives include:

Topic 1 (c) determine if any specific measurable steps should be recommended to enhance results achieved through the prior RT’s recommendations]

# Recommendations

[To be completed for each recommendation - if any - suggested by the subgroup]

<SUBGROUP TO DRAFT TEXT FOR THIS SECTION, BASED ON GUIDANCE BELOW>

Recommendation: xxx

Findings: [what are the findings that support the recommendation]

Rationale:

[What is Intent of recommendation and envisioned outcome?

How did the finding lead to this recommendation?

How significant would impact be if recommendation not addressed?

Is it aligned with ICANN’s Strategic Plan and Mission?

Is it in compliance with scope Review Team set?]

Impact of Recommendation: [What are the impacted areas, e.g. security, transparency, legitimacy, efficiency, diversity etc. Which group/audience will be impacted by this recommendation]

Feasibility of Recommendation: [Document feasibility of recommendation]

Implementation:

[Who are responsible parties that need to be involved in implementation? Community/ICANN org/combination)

What is the target for a successful implementation?

Is related work already underway and how will that dovetail with recommendation?

What is the envisioned implementation timeline? Within 6 months/12 months/more than 12 months]

Priority: [If only 5 recommendations could be implemented due to community bandwidth and other resource constraints, would this recommendation be one of the top 5? Why or why not?]

Level of Consensus