



# 2015 Contractual Compliance Registrar Audit September 2015

# Agenda

- ⦿ Audit Goal, Approach and Selection Criteria
- ⦿ Audit Timeline
- ⦿ Audit Provisions and Objectives
- ⦿ Audit Selection Statistics
- ⦿ Audit Communication Recommendations
- ⦿ Q&A

# Audit Goal

- ⊙ **Goal:**

- To proactively identify potential findings and manage the remediation process to ensure compliance with contractual obligations.

- ⊙ **Approach:**

- Implement continuous audit program to all contracted parties with a consistent process and methodology.

- ⊙ **Selection Criteria:**

- Registrars from prior audits where remediation was not fully tested
- Registrars who have not been previously audited
- Registrars with high numbers of complaints
- Registrars who received a breach notice
- Registrars who were audited while on the 2009 RAA and now signed 2013 RAA and have not been audited for 2 years

# September 2015 - Audit Timeline

Audit Program Milestone Dates								
Pre-Audit Notification	Request for Info			Audit Phase		Initial Reports	Remediation	Final Reports
Date sent	1 <sup>st</sup> Notice	2 <sup>nd</sup> Notice	3 <sup>rd</sup> Notice	Begin	End*	Date Issued*	Start / End*	Date Issued*
<b>31 Aug 2015</b>	14 Sep 2015	6 Oct 2015	13 Oct 2015	20 Oct 2015	1 Feb 2016	8 Feb 2016	9 Feb – 1 March 2016	11 March 2016

## Notes:

\* Audit phase might be completed and initial reports might be sent out prior to dates shown.

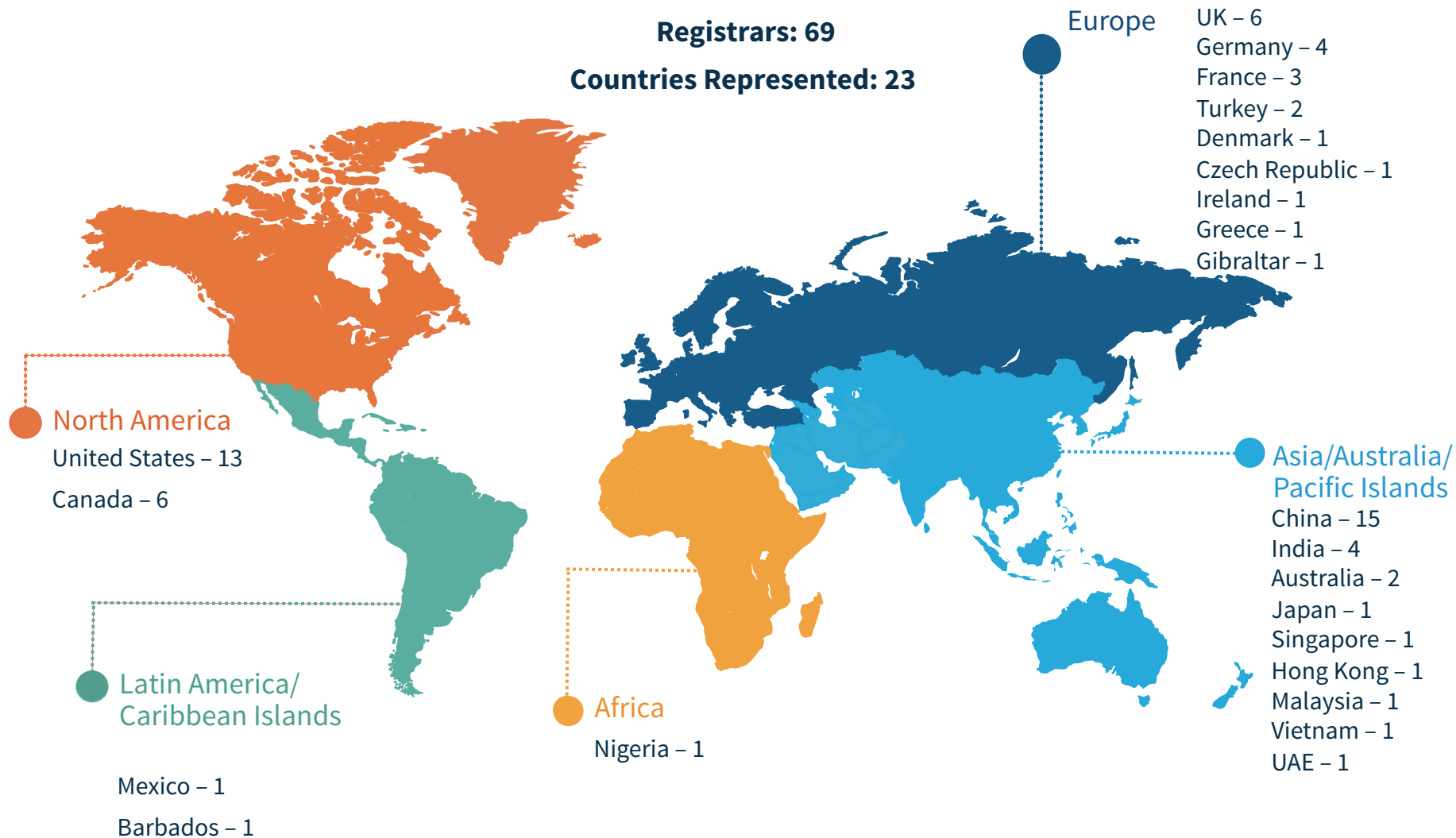
During the Request for Information and Audit Phases, ICANN will follow the 1-2-3 notification process (15 working days, 5 working days, 5 working days). For more information on notification process please see:

<http://www.icann.org/en/resources/compliance/approach-processes/overall-19jun13-en.pdf>

# RAA Audit Provisions and Objectives

2009 RAA Provision	2013 RAA Provision	Objective
3.3.1 to 3.3.5	3.3.1 to 3.3.5	To confirm that Whois output via Interactive Webpage & Port 43 are operational and Corresponding Data Elements are displayed
3.4.2	3.4.2	To confirm that Registration Data are retained
3.7.5.3 to 3.7.5.6	3.7.5.3 to 3.7.5.6	To confirm that Registrar follows EDDP Policy regarding domain renewals and provisions of applicable information to registrants
3.10	3.10	To verify that Registrars' Insurance is current, valid and at the required level
3.12	3.12	To verify that Reseller Agreement includes mandatory provisions
3.16	3.17	To confirm that Registrar contact details are displayed at registrar's website
4.3.1	4.1	To verify Registrar's Compliance with Consensus Policies & Temporary Policies (ERRP, IRTP, WDRP)
5.11	7.6	To verify that RADAR contains of current contact information

# September 2015 Audit Selection Statistics



# Audit Communication Recommendations

- ⦿ Please communicate questions regarding what would be acceptable response/documentation to [complianceaudit@icann.org](mailto:complianceaudit@icann.org) to avoid delays in the audit process
- ⦿ Please send your emails with “delivery confirmation” or “read receipt”, if possible.
- ⦿ ICANN recognizes the uniqueness of Registrars’ business models and methods of operation. As such, Registrars should respond with explanations of alternative documentation, which can be provided to meet ICANN Compliance Audit Objectives

# Additional Resources

- ◎ Learn more about ICANN Compliance Audit Program at:

<http://www.icann.org/en/resources/compliance/audits>

- ◎ Please send questions to:

[complianceaudit@icann.org](mailto:complianceaudit@icann.org)





Questions?