

Audit Plan Scope with 2013 RAA Provisions

RAA Provision	Obligation	Audit Objective
2.2	Registrar Use of ICANN Name, Website and Trademarks	To verify that Registrar displays only authorized ICANN logos on its webpage
3.3.1 to 3.3.5	Whois - Port43/Web, Corresponding Data Elements	To verify that Whois output is in compliance with requirements
3.4.1	Data Retention Specification	To verify that Registrar collects and maintains the data specified in the Data Retention Specification.
3.4.2	Retention of Registration Data	To verify that registration and payment records are retained, as required
3.7.7	Self-Registered Domains	To verify that all domains wherein Registrar is the Registered Name Holder are registered solely for the purpose of conducting its Registrar Services
3.7.7.1 to 3.7.7.12	Domain Registration Agreement Compliance	To verify that Registrar enters into agreements with all Registered Name Holders to and such agreements include at least mandatory provisions
3.7.5.3 to 3.7.5.6	EDDP – Expired Domain Deletion Policy	To verify that domain deletions are handled as required
3.7.10	Registrants’ Benefit & Responsibilities Specification	To verify that Registrar published on its website(s) and/or provided a working link to ICANN's Registrants’ Benefits and Responsibilities Specification
3.7.11	Complaints & Dispute Resolution Process Description	To verify that Registrar made available a description of the customer service handling processes offered to Registered Name Holders
3.7.8	Whois Accuracy Program Specification	To verify that Registrar performs (a) verification, at the time of registration on transfer-in, of contact information associated with a Registered Name sponsored by Registrar, and (b) validation of the registration information format
3.12	Reseller Requirements (Reseller Agreement and Obligations)	To verify that agreements with resellers contain mandatory provisions and the Registrar is able to demonstrate enforcement of compliance obligations
3.13	Registrar Training	To verify that Registrar's primary contact or designee have completed the required training course
3.14	ICANN Proxy Accreditation Program	To verify that Registrar's Privacy & Proxy registrations comply with the Specification on Privacy and Proxy Registrations
3.15	Registrar Self-Assessment Certificate	To verify that Registrar performs a required Registrar self-assessment and informs ICANN on its completion
3.16	Registrant Educational Information	To verify that Registrar provides a link to ICANN's educational webpage summarizing the terms of the Registrar Accreditation Agreement and related Consensus Policies on any website it may operate for domain name registration or renewal
3.17	Registrar Contact Details	To verify that Registrar published valid contact information on each website through which Registrar provides or offers Registrar services
3.18	Registrar Abuse Handling	To verify that Registrar maintains a working abuse contact to receive reports of abuse and responds to such reports
3.19	Additional Technical Specifications (DNSSEC, IPv6, IDN)	To verify that Registrar complies with the 2013 RAA Additional Registrar Operations Specification
3.20	Notice of Bankruptcy, Convictions and Security Breaches	To verify that Registrar have not failed notifying ICANN about occurrences of events described in 3.20
3.21	Obligations of Registrars Affiliated with Registry Operators	To verify that Registrar notified ICANN of affiliate relationships
4.1	Consensus Policies & Temporary Policies	To verify that Registrar complies with and implement all Consensus Policies and Temporary Policies in existence