Please send all inquires to Compliance@icann.org. Please include 'Audit Plan' in the subject line.

NOTE: This audit plan is provided for information purposes only.
Please exercise judgment in using the information contained within this audit plan to make conclusions or business decisions based upon the details outlined below. In addition, the audit plan below includes all provisions, which are all subject to review and are in consideration as part of the three (3) year audit plan.

Registrar Agreement Audit Plan

Provision	Obligation	Type	Audit Steps
2.2	Registrar's use of ICANN's trademark. (optional for a Registrar to use the Logo)	RAA	1. Based on an agreed on selection methodology, randomly select 'N' Registrars and confirm the following: a. View the Registrar's site and search to see if the Registrar is using the ICANN Accredited Registrar Logo. b. If the Registrar is using an ICANN Logo, confirm it's the correct Logo by comparing to this link: http://www.icann.org/en/resources/registrars/logo-license-appendix-21may09-en.htm c. Verify that the Logo is only used to state that it is an accredited Registrar. Document any exception. d. Click the ICANN Logo on the Registrar's site to ensure that it re-directs users to the ICANN website www.icann.org. If it doesn't, document the exception.
3.3.1 to 3.3.5	Whois- Interactive Webpage, Corresponding Data Elements	RAA	1. By reviewing a random selection of 'N' Registrars' websites, confirm the following: a. There is an interactive webpage allowing free public query-based access to Whois data on Registered Names sponsored by the Registrar for 'N' Domains or a link on the Registrar's website that directs to a free query based public access site. Both scenarios require a prompt to allow for querying. Note any exceptions. b. Confirm that the 'N' Samples selected in 1a holds all of the following data elements or note exceptions: b1. (provision 3.3.1.1)The name of the Registered Name Holder (Registrant) b2. (provision 3.3.1.2)The names of primary and secondary nameserver for the Registered Name (Registrant) b3. (provision 3.3.1.3)The identity of Registrar (may be provided via Registrar's website) b4. (provision 3.3.1.4)The original creation date of the registration b5. (provision 3.3.1.5)The expiration date of the registration b6. (provision 3.3.1.6) The name and postal address of registered name holder b7. (provision 3.3.1.7) The name, postal address, e-mail address, voice telephone number exist for the Technical Contact. b8. (provision 3.3.1.8) The name, postal address, e-mail address, voice telephone number exist for the Administrative Contact. b9. From the same sample selection in 1: Access np.icann.org/wsa/name.html and review Registrars port 43 accessibility. Note registrars whose color ratings show black (means the monitoring tool was unable to obtain an acceptable WHOIS query response) for three consecutive days or more. Note Exception. b10. Click on the Registrar's name (in b9) and confirm if data is returned. Review the data and ensure that it complies with the standards tested in b1-b8. Note the exception.
3.4.2	Retention of Registration Data	RAA	1. Randomly sample 'N' Registrars and contact the Registry to obtain 'N' number of domains/registrar where deletion or transfer creation date was within the last 3 years. 2. Randomly select 'N' domains per Registrar and request the following: 2a. All written communications constituting registration applications, confirmations, modifications, or terminations and related correspondence with Registered Name Holders, including registration agreements; 2b. time-stamped electronic logs and the IP addresses of the relevant Registered Name Holders for all electronic registration agreements; or 2c. Copies of the entire agreement signed by the Registered Name Holders for all paper agreements.

			3. Records of the accounts of all Registered Name Holders, including dates and amounts of all payments and refunds.
3.7.5.2	Domain name renewal w/out consent from registrant	RAA	1. Obtain a list of 'N' active domains per Registrar created within the last 3 years (should have creation date/activation date, renewal date, if any, payment date). a. Sort for those domains renewed within the last 3 years. b. Request 2 Renewal Notices from 'N' samples selected, where the Registrant renewed a domain. c. Proof of explicit consent from the Registrant for the renewal. d. If no explicit consent for renewal, proof of extenuating circumstances for the Registrar to renew the domain. If evidence is not available, note exception.
3.7.4	Reasonable assurance of payment -pmt. Made before or w/in 5 days of activation	RAA	1. Utilizing the population obtained from 3.7.5.2, randomly sample and request the following: a. A list of all domains added within the last 30 days (may be in the population already obtained), obtain payment date, and activation date of the Registered name holder. Compare to see if payment was made before or within 5 days after the domain was activated. Document exception where the domain was activated without reasonable assurance of payment. b. Request that the Registrar provide proof of reasonable assurance of payment for the registration fee for the sample selection. If no evidence is available, document the exception. 2. Request that the Registrar provide a list of all bulk domain purchases by the Registrant (200 domains or greater) within the last 6 months. If the Registrar does not allow for bulk domain purchases, skip 2a. a. For those bulk purchases from 2, request the Registrar to provide proof of payment or reasonable assurance of the registration fee. Document exceptions where no evidence is available for the bulk purchases made by the Registrant.
3.7.5.3 to 3.7.5.6	EDDP-Domain name renewal, provision of applicable information to registrants	RAA	1. (provision 3.7.5.3) Randomly select 'N' Registrars and obtain a list of all domain names deleted within the last 45 days. a. (provision 3.7.5.4) Randomly select 'N' deleted domains from the report obtained in 1. and request proof of payment of renewals. b. (provision 3.7.5.4) from the sample in a., request evidence of notice given to each new registrant describing the details of their deletion, or the renewal policy (including expected time domain will be deleted relative to domain expiration date) c. (provision 3.7.5.4) If the deletion policy is changed by the Registrar during period of the registration agreement, obtain evidence (email sent to Registrant) that the Registrar informed the Registrant of the changes made (clause 3.7.7) d. (provisions 3.7.5.5 and 3.7.5.6) If the Registrar operates a website for domain registration or renewal, confirm d.1 details of Registrar's deletion and auto-renewal policies must be clearly displayed on the website. d.2, any fee charged for the recovery of a domain name during the Redemption Grace Period. details of Registrar's deletion and auto-renewal policies must be clearly displayed on the website. Note: If log-in credentials are required to view the d.1 or d.2 language , it will be deemed non-compliant
3.7.7	Registration agreement w/ registrants (mandatory provisions)	RAA	1. With 'N' number of Registrars, inquire how many domains are registered to its accredited legal entity. a. Request the list of those domains and their purpose of use. Examine the purposes of use and determine if the purpose of use is anything other than conducting its Registrar Services. If so, note the exception. b. Request a log of time stamped acceptance by 'N' Registrants regarding 'N' domain names or signature page of all relevant registration agreements. Note domain names where no evidence of registration agreement has been entered. c. Review terms of registration agreements to see if provisions 3.7.7.1 - 3.7.7.12 (inclusive) are included.
3.7.8	Whois data verifications	RAA	1. Sample 'N' Whois tickets from the W-Ticketing System and confirm the following:

			a. Evaluate the sample to determine if the ticket was resolved in a reasonable timeframe (15-20 days). Per 2002 Advisory, did the registrar contact the registrant promptly (2 days after receiving the report). If no evidence exists, note the exception. b. Confirm if the Registrar received a response from the Registrant (within 15 days). If so, evaluate whether the Registrar took reasonable steps based on Registrant response to either: correct the information by the Registrant, delete the domain by the Registrar, or close the ticket by the Registrar. Note exceptions to this process.
3.1	Insurance	RAA	1. Perform a random selection of 'N' Registrars and request a copy of their insurance. a. Review the type of policy to verify that: a.1. it covers general commercial liability insurance (or international equivalent) a.2. the policy limit is at least US$500,000 a.3. the policy is current (as of today's date) Note any exception.
3.12	Reseller agreement (mandatory provisions)	RAA	1. Randomly select 274 Registrars (274 is needed to achieve 95% confidence level, with .05 deviation) and perform the following: a. Inquire as to whether the Registrar provides Registrar Services through resellers. b. If so, randomly sample 'N' Agreements and request copies of reseller agreements used by registrars and confirm all mandatory provisions 3.12.1 – 3.12.6 are included.
3.12.5 and 3.15	Registrant rights and responsibilities	RAA	1. Randomly select 'N' Registrars and inquire with each Registrar whether the Registrar provides Registrar Services through resellers. If so, view both registrar and all its resellers' websites to confirm (if not, only view registrar's website): Do the registrar's and/or all its resellers' websites (if applicable) provide a link to http://www.icann.org/en/resources/registrars/registrant-rights-responsibilities where the ICANN "Registrant Rights and Responsibilities" document is posted? Note the exception.
3.13	Registrar training	RAA	1.Randomly select 'N' Registrars. 2.Confirm with [Mike Zupke of] Registrar Liaison to see if each registrar selected in 1 has completed the training course online and obtain records/proof. Note any exceptions.
3.16	Registrar contact details on registrar's website	RAA	1. Randomly select 'N' Registrars and view their websites to see if contact details, including email and mailing address, are posted. 2. Use the registrar published information to contact the registrar and note all non-working contact information.
5.11	Update contact information in RADAR	RAA	1. Randomly select 'N' Registrars, review their RADAR information, and contact them by email, fax and courier to validate the information. List Registrars whose contact details appear out of date and note day of change (if available/possible). Document changes that occurred more than 30 days ago (as the Registrar should have notified ICANN within 30 days of change).
5.3.3	Provide ICANN with list of directors and officers	RAA	1. Randomly select 'N' Registrars and conduct a company search via Internet or through search service providers and document the directors and officers found. 2. Compare the data from search against registrar files. Note any actionable discrepancies (i.e., ICANN not notified of changes after 30 days).