

ICANN CONTRACTUAL COMPLIANCE AUDIT PROGRAM: PHASES AND TIMELINE

The Audit Program is a continuous and ongoing activity in Contractual Compliance. It operates on a recurring cycle (the audit round). Each audit round consists of the following phases with specific milestone dates and deliverables.

1. **Planning Phase.** ICANN plans the audit scope and timeline.
2. **Request for Information Phase.** ICANN issues a notice of audit to the selected contracted parties (the auditees). During this phase, the auditees compile information and respond to the audit request. This phase follows the overall compliance approach published here: <https://www.icann.org/en/system/files/files/overall-03oct14-en.pdf>.
3. **Audit Phase.** ICANN reviews the responses and, where applicable, tests and validates them to ensure compliance with the contractual obligations.
4. **Initial Report Phase.** ICANN issues a confidential initial audit report to each auditee. It contains the initial findings and allows the contracted party to address the findings or provide clarity, if needed.
5. **Remediation Phase.** ICANN collaborates with the auditees to remediate any issues discovered during the audit phase as appropriate.
6. **Final Report Phase.** ICANN issues a confidential final audit report to each auditee. In addition, ICANN summarizes the audit round in an overall audit report, which is published here: <https://www.icann.org/resources/compliance-reporting-performance> (under Reports).

This table summarizes the audit phases and deliverables for each phase.

ICANN Contractual Compliance Audit Timeline

Audit Program Milestones								
Planning Phase	Request for Information (RFI) Phase			Audit Phase	Initial Report Phase	Remediation Phase	Final Report Phase	
ICANN plans the audit scope and timeline.	1st Notice	2nd Notice	3rd Notice	Documentation and responses are reviewed	Confidential individual audit reports with initial findings noted are sent to auditees	Auditees address findings noted in audit reports	Confidential individual audit reports are sent to auditees	Consolidated audit round report issued and published
	Sent to auditees	Sent to non-responsive and partially responsive auditees	Sent to non-responsive and partially responsive auditees					

