

# Overall Audit Plan

- ⦿ **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 who have not been previously audited

# Audit Timeline

| Audit Program Milestone Dates |                        |                        |                        |              |              |                 |                   |                 |
|-------------------------------|------------------------|------------------------|------------------------|--------------|--------------|-----------------|-------------------|-----------------|
| Pre-Audit Notification        | Request for Info       |                        |                        | Audit Phase  |              | Initial Reports | Remediation Phase |                 |
| Date sent                     | 1 <sup>st</sup> Notice | 2 <sup>nd</sup> Notice | 3 <sup>rd</sup> Notice | Begin        | End*         | Date Issued*    | Begin             | End*            |
| May 2, 2016                   | May 17, 2016           | June 7, 2016           | June 14, 2016          | May 17, 2016 | July 8, 2016 | July 11, 2016   | July 11, 2016     | August 12, 2016 |

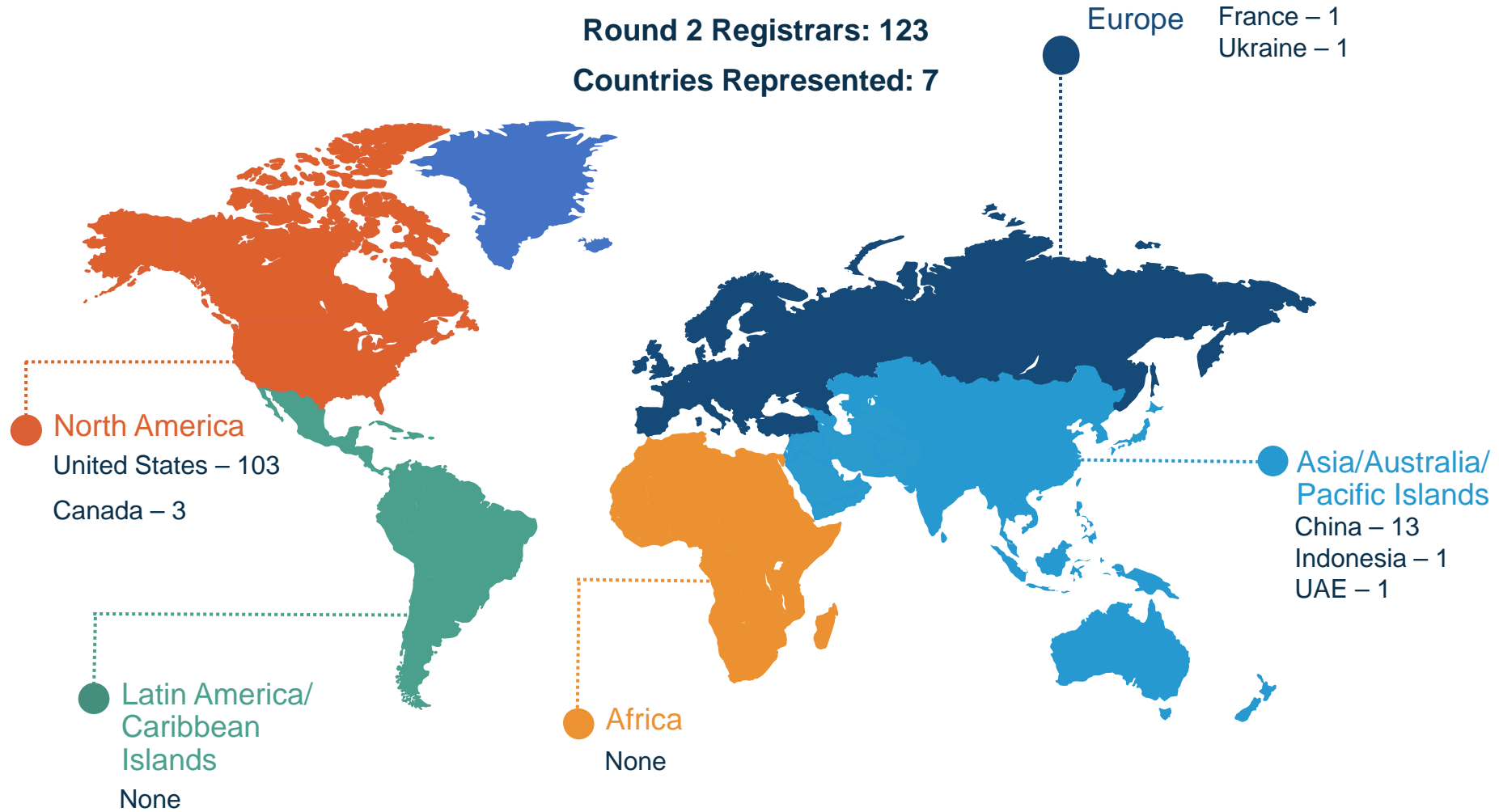
## Notes:

\* Audit and Remediation Phases may be completed and initial reports may 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>

# Audit Selection Statistics



- 1. Can I receive assistance with the audit in my native language?**
  - Yes, ICANN staff are fluent in many languages (including Mandarin, Cantonese, and Korean) and we will be happy to answer questions about the audit that language.
  
- 2. I lost my upload log on information (or it does not work), what should I do?**
  - Send Email [complianceaudit@icann.org](mailto:complianceaudit@icann.org) and request new log on credentials.
  
- 3. I am having difficulty opening the RFI, what should I do?**
  - Email [complianceaudit@icann.org](mailto:complianceaudit@icann.org) and specify the difficulty you are having. ICANN will work with you to provide RFI in other formats
  
- 4. Can I request an extension to respond to the RFI?**
  - Extensions are not typically granted. Note that if no documentation is provided by the deadlines for each notice, a further notice will be sent according to the compliance process which will give you additional time. But, there will be a final deadline for all auditees.

## 1. Where is the 2013 RAA Registrar Training located?

- Click here: <https://www.icann.org/resources/pages/registrar-training-resources-2015-09-23-en> – this link provides the content hosted by ICANN (<http://learn.icann.org>) as well as a link to an alternative YouTube version of the content. Use whichever is more convenient for you, but note that 1) quizzes are not included in the YouTube version; and 2) translated-subtitle versions of the training are only available on learn.icann.org (from the home page, select your language at the top of the screen, then select the 2013 RAA Registrar Training.)

## 2. Where is the Registrar Completion Certificate located?

- After you or your registrar's designee complete the training, fill out and save a copy of the certificate of completion: <https://www.icann.org/en/system/files/files/certificate-registrar-training-23sep15-en.docx>. You will need to provide this as part of the audit.

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