



The Internet Corporation for Assigned Names and Numbers

1 October 2013

**Re: Pre-Audit Notification for 2014 Registry Audit**

Dear Registry:

ICANN will be conducting a contractual compliance audit to assess whether registries and registrars are in compliance with their key obligations under their contracts with ICANN.

The plan is to audit all registrars and registries over a three-year period. One third (1/3) of registrars and registries will be randomly selected for the second year's audit.

If you **do not** receive a Request for Information (RFI) by Monday 14 October 2013, it will mean that your registry TLD has not been selected for the second year's audit and will be audited next year.

We also plan to organize two optional information outreach sessions on Thursday 17 October 2013 to those registrars and registries selected this year that may have any questions related to the Audit Program. Further information and details will be provided with the RFI on 14 October 2013 if your registry is selected.

Below are the provisions in the Registry Agreement (RA) that will be audited:

Provision	Registry
3.1.a.i	Implement temporary policies or specs to preserve security and stability
3.1.c.i	Data escrow
3.1.c.ii	Personal data
3.1.c.v	Whois

**Audit Program Milestone Dates**

Los Angeles  
Offices:

12025 Waterfront Drive, Suite 300  
Brussels •

Los Angeles, CA 90094-2536  
Silicon Valley •

USA T +1 310 301 5800  
Sydney •

F +1 310 823 8649  
Washington

Start								End
<i>Pre-Audit Notification</i>	<i>Request for Info</i>			<i>Audit Phase</i>		<i>Reporting Phase</i>		<i>Remediation</i>
	1 <sup>st</sup> Notice	2 <sup>nd</sup> Notice	3 <sup>rd</sup> Notice	Begin	End	Begin	End	
1 Oct 2013	14 Oct 2013	4 Nov 2013	11 Nov 2013	2 Dec 2013	7 Mar 2014	10 Mar 2014	24 Mar 2014	25 Mar – 5 May 2014

**Note:** 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>

For more information on the audit (including the FAQs, audit process, audit plan and audit scope) please visit:

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

If you have any questions, please contact ICANN via email: [complianceaudit@icann.org](mailto:complianceaudit@icann.org).

Thank you in advance for your cooperation.

Sincerely,

ICANN Contractual Compliance