



The Internet Corporation for Assigned Names and Numbers

## **Contractual Compliance Audit Templates**

*The templates are published here for informational purposes only. They consist of the different communications during an audit between ICANN and contracted parties, Registrars and Registries.*

*Audit scope and dates will vary based on the audit program underway. Please refer to the Audit Page (<https://www.icann.org/resources/pages/audits-2012-02-25-en>) to learn more about the different types of audit programs.*

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## Pre-Audit Notification Template

Dear Registrar/Registry,

ICANN will be conducting a contractual compliance audit to assess [Registrars/Registry Operators] compliance with their obligations under agreements with ICANN.

ICANN is sending this pre-audit notification to all ICANN contracted parties **for informational purposes only.**

The Registrars/Registry Operators that are selected for this audit round will receive a Request for Information (RFI) by [day month year]. In addition, ICANN will send an email confirmation to those who have not been selected for this audit.

To promote awareness and knowledge of the provisions and test steps that are considered in the audit, visit <https://www.icann.org/en/system/files/files/audit-plan-new-registry-agreement-04dec15-en.pdf>.

For more information on the audit, including the FAQs, audit process, audit plan and audit scope, visit <http://www.icann.org/en/resources/compliance/audits/future>.

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

Thank you in advance for your cooperation.

Sincerely,  
ICANN Contractual Compliance



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**Confirmation that Contracted Party has not been selected for audit**

Dear Registrar / Registry Operator:

This email confirms that your Registrar / Registry Operator was not selected for the current round of the ICANN contractual compliance audit that began this week.

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

Sincerely,  
ICANN Contractual Compliance



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**Confirmation that Registry Operator has not been selected for Audit (for a subset of multiple TLDs)**

Dear Registry Operator:

This email confirms that none of the gTLDs (**except *.TLD NAME***) that your Registry Operator operates were selected for the current round of the ICANN contractual compliance audit that began this week. ICANN sent the audit request related to ***.TLD NAME*** earlier today.

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

Sincerely,  
ICANN Contractual Compliance



## Request for Information – 1st Notice Template

Dear [Registrar/Registry Operator]:

As announced in the Pre-Audit Notification Letter dated [date of Pre-Audit Notification Letter], ICANN is conducting contractual compliance audits to assess whether [Registrars/Registry operators] are in compliance with key obligations of their contracts with ICANN.

[Registrar/Registry Operator] has been selected for this audit round. Please read this entire notice as it provides the instructions for completing and submitting the Request for Information (RFI) data and documentation.

You are requested to submit the completed RFI for this 1st Notice before [NOW\_PLUS\_15\_BUSINESS\_DAYS]. Instructions for audit request are attached.

For information regarding ICANN’s Contractual Compliance Audit Partner and Risk Mitigation Plan, please click here:

<https://www.icann.org/resources/pages/conflict-risk-mitigation-2013-02-06-en>

For audit related information, please click here:

<https://www.icann.org/resources/pages/audits-2012-02-25-en>

ICANN Contractual Compliance is offering optional outreach sessions with the objective of providing an overview and timeline of this round of audit program and to address questions related to the audit. [Session date and time] and additional instructions for participants

If you have any questions, please contact ICANN via email:

[complianceaudit@icann.org](mailto:complianceaudit@icann.org).

Thank you in advance for your cooperation.



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### **Request for Information – 2nd Notice Template**

Dear [Registrar/Registry Operator]:

As stated in the 1st Notice dated [1ST\_NOTICE\_DATE], [Registrar/Registry Operator] was selected for this round of audit of the ICANN Contractual Compliance Audit Program.

To date, our records indicate that:

\* The Request for Information (RFI) has yet to be completed.

Please respond to this 2nd Notice by submitting the completed RFI spreadsheet and requested data/documents on or before [NOW\_PLUS\_5\_BUSINESS\_DAYS]. For your reference, attached is the original ICANN 1st Notice, which was emailed to you on [1ST\_NOTICE\_DATE].

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



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## Request for Information – 3rd Notice Template

Dear [Registrar/Registry Operator]:

As stated in ICANN's 1st and 2nd Notices dated [1ST\_NOTICE\_DATE] and [2nd\_NOTICE\_DATE], respectively, [Registrar/Registry Operator] was selected for this round of audit of ICANN's Contractual Compliance Audit Program.

To date, our records indicate that:

\* The Request for Information (RFI) has yet to be completed.

Please respond to this 3rd Notice by submitting the completed RFI spreadsheet and requested data/documents on or before [NOW\_PLUS\_5\_BUSINESS\_DAYS]. For your reference, attached are the original ICANN 1st and 2nd Notices that were emailed to you.

Please be advised that failure to provide the requested data and documents by [NOW\_PLUS\_5\_BUSINESS\_DAYS] may result in a notice of breach being issued to your [Registrar/Registry Operator]. Please note that after [NOW\_PLUS\_5\_BUSINESS\_DAYS] all access to the ICANN Contractual Compliance Site will be deactivated.

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

Thank you in advance for your cooperation.

Sincerely,

ICANN Contractual Compliance



**Remediation – 1st Notice Template (Action required)**

Dear [Registrar/Registry Operator]:

Attached is the ICANN Contractual Compliance Audit Report for [Registrar/Registry Operator/gTLD string]. Please review the report as initial deficiencies have been noted as a result of this audit and perform the following action items by [NOW\_PLUS\_15\_BUSINESS\_DAYS].

\* Cure each deficiency listed in the report and provide ICANN with the documents and records used to address each deficiency.??

\* If deficiencies cannot be cured by the above date, please provide ICANN with a remediation plan that includes an explanation of the remediation activities and anticipated completion dates.??

\* If [Registrar/Registry Operator] has already addressed the deficiencies noted through an internal measure, please respond with such details.

Please be advised that failure to take action or respond to this notice will result in escalated compliance actions.

For audit program information, please visit:

<https://www.icann.org/resources/pages/gtld-2012-02-25-en>.

Please contact [complianceaudit@icann.org](mailto:complianceaudit@icann.org) if there are any questions.

Sincerely,

ICANN Contractual Compliance





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## Remediation - 2nd Notice Template (Action Required)

Dear [Registrar/Registry Operator]:

As stated in the 1st Notice (attached) dated [1st\_NOTICE\_DATE], the audit of [Registrar/Registry Operator] documentation provided during ICANN Contractual Compliance Audit Program resulted in initial deficiencies noted that need to be addressed.

To date, our records indicate that actions requested in 1<sup>st</sup> Notice have not been performed.

Please respond to this 2nd Notice by addressing the deficiencies, as requested in Notice 1 (attached) on or before [NOW\_PLUS\_5\_BUSINESS\_DAYS].

Please be advised that failure to take corrective action or respond to this inquiry will result in escalated compliance actions.

For your reference, attached is the original ICANN 1st Notice, which was emailed to you on [1st\_NOTICE\_DATE].

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



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### Remediation - 3rd Notice Template (Action Required)

Dear [Registrar/Registry Operator]:

As stated in the 1st Notice dated [1st\_NOTICE\_DATE] followed by the 2<sup>nd</sup> Notice dated [2nd\_NOTICE\_DATE], the audit of [Registrar/Registry Operator] documentation provided during ICANN Contractual Compliance Audit Program resulted in initial deficiencies have been noted that need to be addressed.

Please respond to this 3rd Notice by addressing the deficiencies, as requested in Notice 1 by [NOW\_PLUS\_5\_BUSINESS\_DAYS].

Please be advised that failure to take corrective action or respond to this inquiry will result in escalated compliance actions.

For your reference, attached is the original ICANN 1st Notice which was emailed to you on [1st\_NOTICE\_DATE]

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

Sincerely,

ICANN Contractual Compliance



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## Audit Report “No Action required” Template

Dear [Primary Contact]:

Thank you for your response to the ICANN Contractual Compliance Audit. Based on your response, attached is the Audit Report for [Registrar/Registry Operator].

Options:

- No deficiencies were noted as a result of this Audit. Congratulations! No further action is required.
- ICANN notes that you are completing an approved remediation plan. The effectiveness of the remediation will re-audited at a future date.

Sincerely,

ICANN Contractual Compliance

\* Note that pdf of Audit Report will be attached to this email