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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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 selected for this audit round. You will receive a Request for Information (RFI) by [day month year].

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.

Thank you in advance for your cooperation.

Sincerely,
ICANN Contractual Compliance
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.

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 [NOWPLUS_15_BUSINESS_DAYS]. Instructions for audit request are attached.


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.

Thank you in advance for your cooperation.

Sincerely, ICANN Contractual Compliance
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.

Thank you in advance for your cooperation.

Sincerely,

ICANN Contractual Compliance
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

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 if there are any questions.

Sincerely,

ICANN Contractual Compliance
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 1st 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

Thank you in advance for your cooperation.

Sincerely,

ICANN Contractual Compliance
Remediation - 3rd Notice Template (Action Required)

Dear [Registrar/Registry Operator]:

As stated in the 1st Notice dated [1st_NOTICE_DATE] followed by the 2nd 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

Sincerely,

ICANN Contractual Compliance
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