

The Audit Program operates on a recurring cycle, also referred to as an audit round. Each audit round consists of the following phases with specific milestone dates and deliverables.

1. Pre-Audit Notification Phase. ICANN plans the audit scope and timeline, and issues a general audit announcement to notify ICANN-accredited registrars or registries of the upcoming audit round. ICANN sends the notification two weeks before the audit start date.
2. Request for Information Phase. ICANN issues a notice of audit to the selected contracted parties, also referred to as auditees. In addition, ICANN sends a follow-up email to the contracted parties who were not selected. During this phase, the auditees are compiling and responding to the audit request. This phase follows the overall compliance approach published at this link <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 to ensure compliance with the contractual obligations.
4. Initial Report Phase. ICANN issues an initial audit report to each auditee. The report is confidential. 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 selected contracted parties to remediate any issues discovered during the audit phase.
6. Final Report Phase. ICANN issues a final audit report for each contracted party. The report is confidential. In addition, ICANN publishes an overall audit report summarizing the audit round. The report is published at this link <https://www.icann.org/resources/compliance-reporting-performance> (under Reports).

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

ICANN Compliance Audit Timeline

Audit Program Milestones										
Pre-Audit Notification		Request for Information (RFI) Phase			Audit Phase		(Initial) Report Phase	Remediation		(Final) Report Issued
Sent to all Contracted parties		1st Notice	2nd Notice	3rd Notice	Begin	End		Begin	End	
Rr audit (sent to all Rrs)	Ry audit (sent to all Rys)	Sent to auditees	Sent to non-responsive and partially responsive auditees	Sent to non-responsive auditees and partially responsive auditees	Documentation and responses are reviewed		Individual audit reports with initial findings noted are sent to auditees	Auditees address findings noted in audit reports		Consolidated audit round report issued and published