

Audit Plan Scope with 2013 RAA Provisions

RAA Provision	Obligation	Audit Objective
3.3.1 to 3.3.5	Whois- Port43/Web, Corresponding Data Elements	To confirm that Whois output is in compliance with requirements
3.4.1 to 3.4.2	Retention of Registration Data	To verify that registration records are retained, as required
3.6	Data Escrow	To verify that Registrar submits a copy of domain registration data to escrow agent and the data is complete, consistent and is in a proper format
3.7.7.1 to 3.7.7.12	Registered Name Holders registration agreement compliance	To verify that Registrar enters into agreements with all Registered Name Holders to and such agreements include at least mandatory provisions.
3.7.5.3 to 3.7.5.6	EDDP – Domain name renewal, provision of applicable information to registrants	To verify that required notifications are sent to registrants
3.7.10	Registrar provision of link to Registrants’ Benefit & Responsibilities Specification	To verify that Registrar published on its website(s) and/or provided a working link to the Registrants’ Benefits and Responsibilities Specification
3.7.11	Complaints & Dispute Resolution process description	To verify that Registrar made available a description of the customer service handling processes offered to Registered Name Holders
3.7.8	Registrar compliance with Whois Accuracy Program Specification	To verify that Registrar performs (a) verification, at the time of registration on transfer-in, of contact information associated with a Registered Name sponsored by Registrar, and (b) validation of the registration information format.
3.12	Reseller Agreement (mandatory provisions)	To verify that agreements with resellers (RRAs) contain mandatory provisions
3.12.4	Reseller compliance with ICANN Proxy Accreditation Program	To verify that Registrar's Privacy and Proxy registrations through resellers comply with 2013 RAA's Specification on Privacy and Proxy Registrations
3.12.5	Reseller provision of link to ICANN registrant educational information	To verify that Registrar's resellers provide a link to an ICANN webpage detailing registrant educational information
3.12.7	Reseller provision of link to Registrants’ Benefit & Responsibilities	To verify that Registrar's resellers offer a link to the Registrants’ Benefits and Responsibilities Specification
3.13	Registrar Training	To verify that Registrar's primary contact or designee have completed a required training course
3.14	Registrar compliance with ICANN Proxy Accreditation Program	To verify that Registrar's Privacy & Proxy registrations comply with the Specification on Privacy and Proxy Registrations.
3.15	Registrar self-assessment certificate	Verify that Registrar performs a required Registrar self-assessment and informs ICANN on its completion.
3.16	Registrar provision of link to Registrant Educational Information	To verify that Registrar offered a link Registrar's webpage to its Registered Name Holders with links to policies or notifications required to be displayed under ICANN Consensus Policies.
3.17	Registrar contact details on registrar’s website	To verify that Registrar published valid contact information on each website through which Registrar provides or offers Registrar services.
3.18	Registrar provision of abuse contact and process information on its website, illegal activity report monitoring	To verify that Registrar maintains a working abuse contact to receive reports of abuse and responds to such reports.
3.19	Additional Technical Specifications (DNSSEC, IPv6, IDN)	To verify that Registrar complies with the 2013 RAA Additional Registrar Operations Specification.
3.20	Notice of Bankruptcy, Convictions and Security Breaches	To verify that Registrar have not failed notifying ICANN about occurrences of events described in 3.20
COMPLIANCE WITH POLICIES		
4.1	Compliance with Consensus Policies & Temporary Policies	To verify that Registrar complies with and implement all Consensus Policies and Temporary Policies in existence
7.6	Update contact information in RADAR	To verify that Registrar contact information in RADAR is current