ICANN Contractual Compliance Audit Summary (as of August 2018)

This report provides a summary of the number of audits completed to-date and the top five deficiences noted for each area.

Detailed audit reports are published at the Reports page: **https://www.icann.org/resources/compliance-programs**

Definitions:

• Initial Audit Population - number of contracted parties (auditees) selected during the audit planning phase based on audit criteria.

• Actual Audit Population - number of auditees in the audit scope. The reduction from initial to actual is due to audit waivers. Audit waivers could range from a request due to changes at an organization or granted to members of a "family" that has been recently audited.

• Family - group of companies that have the same operations and processes in place and that are under common ownership and/or have a parent/subsidiary relationship and organizational structure.

• Audit Criteria - list of factors used for selecting registrars and registries for audit. See https://www.icann.org/resources/pages/faqs-2012-10-31-en (Question 3)

• Deficiency - initial finding noted in the audit report that is validated to be noncompliant with the agreement and/or ICANN consensus policy.

• Deficiency rank - deficiency rating by the frequency of its occurrence

	REGISTRARS		REGISTRIES	
Year	Initial Audit Population	Actual Audit Population	Initial Audit Population	Actual Audit Population
2013	317	186	6	5
2014	322	152	20	20
2015	316	128	16	16
2016	190	80	10	10
2017	55	51	21	21
2018	59	56	20	20
Total	1,200	597	73	72

Top 5 Audit Deficiencies Noted for Registrars

Deficiency Rank	2013 RAA Provision	2013 RAA Obligation	Audit objective	Deficiency details
1	3.7.7.1 to 3.7.7.12	Registration agreement	To verify that registrar enters into agreements with all registered name holders and such agreements include mandatory provisions.	• Registrar does not consistently retain records of registrants' acceptance of registration agreement. • Registration agreements are missing mandatory provisions.
2	3.18	Registrar abuse contact and duty to investigate abuse reports	To verify that registrar maintains a working abuse contact to receive reports of abuse and responds to such reports.	Registrar does not publish abuse reporting mailbox and/or does not monitor such mailbox.
3	3.3.1 to 3.3.5	WHOIS port43/web, corresponding data elements	To confirm that WHOIS output is in compliance with requirements.	WHOIS output is in not in compliance with format/content WHOIS specification requirements.
4	3.16	Link to registrant educational information	To verify that registrar offered a link to its webpage to its registered name holders with links to policies or notifications required to be displayed under ICANN consensus policies.	Registrar does not offer a link to ICANN educational webpage summarizing the terms of the Registrar Accreditation Agreement and related consensus policies.
5	7.6	Update primary contact information in ICANN database	To verify that registrar contact information in RADAR is current.	Registrar's contact information in RADAR is not current.

Top 5 Audit Deficiencies Noted for Registries

Deficiency Rank	RA Provision / Specification	RA Obligation	Audit Objective	Deficiency details
1	Article 2.7 / Specification 6	Registry interoperability and continuity	To confirm that registry operator: • follows the obligation to block certain names, as required • follows procedures intended to prevent name collision occurrences • has the business continuity plan (BCP) and it includes key provisions • addresses orphan glue records appropriately • is able to accept IPv6 addresses.	Link to DNSSEC Practice Statements (DPS) is missing from new gTLD registry's website.
2	Article 2.5 / Specification 4	Publication of WHOIS registration data	To verify that link to ICANN WHOIS information/ policy is published on registry's website.	Link to ICANN WHOIS information/ policy missing from new gTLD registry's website.
3	Article 2.3 / Specification 2	Data escrow	To confirm that content of the escrow deposits are per the executed Registry agreement.	Some mandatory fields missing in the data escrow and bulk registration data access
4	Article 2.4 / Specification 3	Monthly reporting	To confirm the monthly per-registrar transactions report accurately represents the number of active domains.	Monthly reporting issues, number of domains over/underreported.

| 5 | Article 2.17 / Specification 11 | Additional public interest commitments | To confirm that registry operator complies with its public interest commitments as incorporated into Specification 11 of the Registry Agreement. This includes safeguards related to category 1 (consumer protection, sensitive strings, and regulated markets) and category 2 (restrictive/exclusive access) strings. | Registry-registrar agreements missing required language. |