Registry Agreement Audit Plan

Provision	Obligation	Type	Audit Steps
3.1.b	Implement consensus policies	Ry Agreement	1. Inquire as to whether or not the Registry is complying with all Consensus Policies established by ICANN BOD. Note any exceptions based on response.
3.1.c.i	Data escrow	Ry Agreement	1. Inquire as to whether or not the Registry Operator is in compliance with all Data Escrow requirements (including Appendicies1&2) set forth in the Registry Agreement. 2. Request data escrow deposit files per TLD from each registry operator (one full deposit and one incremental deposit for the next following date.) Download a copy of the zone file corresponding to the same dates as the deposit files. 3. Randomly select [N] domain names, [N] being the sample size calculated accordingly. 4. Obtain Whois output for the domain files selected above for each sample. 5. Import the deposit files to a database for each day. 6. Generate Whois output for the [N] selected domains above per each day. 7. Compare generated Whois output with the one obtained. 8. Generate a zone file from the database for each day. 9. Compare the generated zone file with the downloaded zone file for each day. 10. Determine the minimum set of domain names that require glue records (IPv4 or IPv6 records) for each day. 11. Verify if the database contains the required glue records for each day. 12. Generate report and determine level of completeness of the escrowed information. This means determining whether: 12.a. All the fields in the generated zone file match all the fields included in the downloaded zone file. 12.b. All the fields in the generated zone file are complete. 12.c. The file includes information related to all the domain names in the corresponding TLD. 13. Pull the appropriate data from the escrow file and compare it with actual Whois queries. 14. Generate report and determine accuracy level of the escrowed information.
3.1.c.ii	Personal data	Ry Agreement	1. Inquire as to whether 'ALL' Registries take reasonable steps to protect personal data. 2. Obtain the notification from the Registry Operator notifying the Registrars of the purpose for collecting the data. 3. Inquire as to whether or not a mechanism is in place for accessing and correcting personal data. Confirm that the mechanism is included in the notifications.
3.1.c.iii	Bulk zone file access	Ry Agreement	1. Request all Registries to provide a sample of 'N' users from their zone file, inquire with said users as to whether they've had issues with access to their file. Note exceptions.
3.1.c.iv	Monthly Reporting	Ry Agreement	PART 1--- 1. Review the monthly reports for the last 12 months and confirm if they've been submitted in a timely fashion. 2. Based on monthly report review in step 1, determine if bulk zone file access is being provided. Note any exceptions. 3. Inquire as to whether or not 'N' Registries are compliant with all monthly reporting requirements as set forth in Section 3.1(c) of the Registry Agreement. 4. Obtain the raw data used by the Registries to generate their monthly reports. 5. Dump this data into a database and regenerate the SLA Report and compare to:

			a. Monthly reports sent from the Registry to ICANN Registry Liaison displaying the following: SLA performance, Total number of transactions by subcategory per month. Note any discrepancies between raw data reporting and the reports received from the Registry. PART 2---- 6. Review the Monthly SLA Reports and ascertain whether: a. DNS Service Availability is at a minimum: 99.9% b. Whois Availability is at a minimum or higher: 99.4% c. Document findings in the SLA Reporting Chart-8-30-11.xls (found within this workbook). Note any discrepancies between component/service within the Chart against the monthly report provided by the Registry. Any discrepancies should be highlighted, so that ICANN may investigate.
3.1.c.v	Whois	Ry Agreement	1. Query each Registry's Whois server and analyze results to determine if services are available and the data is in the proper format. Note exceptions. 2. Compare the results in step 1 against the Registry Agreement (format, information) and note any exceptions.
3.1.d.i	Reserved TLD strings	Ry Agreement	1. Request a complete list of Reserved Names from ALL Registry Operators and confirm if they are included within their respective contracts-Appendix 6 listing reserved names. Note differences. 2. Perform the same steps with the DNS as in #1 via a DNS query for the reserved name. Unless you receive a "domain does not exists" response, the domain is not reserved. Note any exceptions. 3. Copy and paste the lists received in notepad listing the reserved name and perform the following: a. For each Registry, query 'Whois 2nd level domain.top level domain' and confirm if the domain is not found. If the domain is found, note the exception.