

Pre-Delegation Testing

On-Site Audit Test Plan

Version C

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Document control

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1. Introduction

This document states the on-site audit procedure for the Pre-Delegation Testing process.

1.1 Scope

The focus and scope of the audit can be defined by ICANN. In case ICANN does not supply the definitions, it is the auditor's responsibility to define the focus and scope.

1.2 References

1.2.1 External

- IEEE 829-2008
- ICANN gTLD Applicant Guidebook, Version 2012-06-04

1.2.2 Internal

- Pre-Delegation Testing, Statement of Work
- Pre-Delegation Testing, Master Test Plan
- Pre-Delegation Testing, Documentation Test Plan

1.3 Level in the overall sequence

The audit can be performed once the document review has been done in accordance with Documentation Test Plan.

1.4 Test classes and overall test conditions

On-site audits are not mandatory, but can be performed on ICANN's request. The intention is to verify an applicant's documentation demonstrating satisfactory performance of both the operational infrastructure and registry operations.

2. Details for this level of test plan

2.1 Test items and their identifiers

The gTLD Applicant Guidebook section 5.2 states:

At ICANN's discretion, aspects of the applicant's self-certification documentation can be audited either on-site at the services delivery point of the registry or elsewhere as determined by ICANN.

The requirements on the self-certification documents are found in the Documentation Test Plan.

2.2 Test Traceability Matrix

No test cases are given here. They are determined as part of the approach in the section 0.

2.3 Features to be tested

ICANN may elect which areas will be tested as part of the on-site audit. The following documents are the basis for the audit.

Self-certification documents:

- DNS
- Whois
- EPP
- Data Escrow

Other documents:

- DNSSEC Practice Statement (DPS)

2.4 Features not to be tested

The scope is defined by ICANN.

2.5 Approach

An audit shall consist of the following steps:

1. Determine audit focus and scope.
 - 1.1. Determine the focus of the audit.
 - 1.1.1. The focus depends on if the audit target is the services delivery point of the registry or elsewhere.
 - 1.1.2. The scope can be randomly sampled, based on earlier audit results or based on requests from ICANN.
 - 1.2. Qualify applicable audit components.
2. Audit plan.
 - 2.1. Time-plan.
 - 2.2. Choose staff.
 - 2.3. Determine the samples to audit.
 - 2.4. Produce an audit plan.
3. Set up technical equipment and probes, if applicable.
4. On-site audit prerequisites.
 - 4.1. Compose a detailed agenda for the on-site audit.
 - 4.2. Plan meetings and Applicant personnel to be involved in the on-site audit.
5. Carry out on-site audit.
 - 5.1. Interviews.
 - 5.2. Documentation review.
 - 5.3. Process review.
 - 5.4. Technical review.
6. Report
 - 6.1. Assess the results of the audit.
 - 6.2. Compile the report.
 - 6.3. Communicate the report to ICANN.

2.6 Item pass/fail criteria

2.7 Suspension criteria and resumption requirements

2.8 Test deliverables

The test will deliver an audit report.

3. Test management

3.1 Planned activities and tasks; test progression

3.2 Environment/infrastructure

3.3 Responsibilities and authority

3.4 Interfaces among the parties involved

3.5 Resources and their allocation

3.6 Training

3.7 Schedules, estimates, and costs

Requirements on the schedule:

- The on-site audit shall be requested by ICANN at least 2 weeks in advance.
- The on-site audit time is estimated to one full day with a minimum of two auditors. Time for travel is in addition to the audit time.
- The report shall be completed and communicated within two weeks after the on-site audit.
- At most one on-site audit can be performed simultaneously, i.e. at most one audit per week is possible.

3.8 Risk(s) and contingency(s)

4.	General
4.1	Quality assurance procedures
4.2	Metrics
4.3	Test coverage
4.4	Glossary
4.5	Document change procedures
