
Attachment to Module 2

Evaluation Questions and Criteria

Since ICANN was founded 10 years ago as a not-for-profit, multi-stakeholder organization, one of its key mandates has been to promote competition in the domain name market. ICANN's mission specifically calls for the corporation to maintain and build on processes that will ensure competition and consumer interests – without compromising Internet security and stability. This includes the consideration and implementation of new gTLDs. It is ICANN's goal to make the criteria and evaluation as objective as possible.

While new gTLDs are viewed by ICANN as important to fostering choice, innovation and competition in domain registration services, the decision to launch these coming new gTLD application rounds followed a detailed and lengthy consultation process with all constituencies of the global Internet community.

Any public or private sector organization can apply to create and operate a new gTLD. However the process is not like simply registering or buying a second-level domain name. Instead, the application process is to evaluate and select candidates capable of running a registry, a business that manages top level domains such as, for example, .COM or .INFO. Any successful applicant will need to meet published operational and technical criteria in order to preserve Internet stability and interoperability.

I. Principles of the Technical and Financial New gTLD Evaluation Criteria

- Principles of conservatism. This is the first round of what is to be an ongoing process for the introduction of new TLDs including Internationalized Domain Names. Therefore, the criteria in this round require applicants to provide a thorough and thoughtful analysis of the technical requirements to operate a registry and the proposed business model.
- The criteria and evaluation should be as objective as possible.
 - With that goal in mind, an important objective of the new TLD process is to diversify the namespace, with different registry business models and target audiences. In some cases, criteria that are objective, but that ignore the differences in business models and target audiences of new registries, will tend to make the process exclusionary. For example, the business model for a registry targeted to a small community need not possess the same robustness in funding and technical infrastructure as a registry intending to compete with large gTLDs. Therefore purely objective criteria such as a requirement for a certain amount of cash on hand will not provide for the flexibility to consider different business models. The process must provide for an objective evaluation framework, but allow for adaptation according to the differing models applicants will present. Within that framework, applicant's responses will be evaluated against the criteria in light of the proposed model.
 - Therefore the criteria should be flexible: able to scale with the business plan, providing that plan is consistent and coherent, and can withstand highs and lows.

- Criteria can be objective in areas of registrant protection, for example:
 - Providing for funds to continue operations in the event of a registry failure
 - Adherence to data escrow and registry failover and continuity plans
- The evaluation must strike the correct balance between establishing the business and technical competence of the applicant to operate a registry (to serve the interests of registrants), while not asking for the detailed sort of information or making the judgment that a venture capitalist would. ICANN is not seeking to certify business success but instead seeks to encourage innovation while providing certain safeguards for registrants.
- New registries must be added in a way that maintains DNS stability and security. Therefore, ICANN asks several questions so that the applicant can demonstrate an understanding of the technical requirements to operate a registry. In certain cases, ICANN will ask the applicant to demonstrate actual operational technical compliance prior to delegation. This is in-line with current ICANN /IANA prerequisites for the delegation of a TLD.
- Registrant protection is emphasized in both the criteria and the scoring. Examples of this include asking the applicant to:
 - Plan for the occurrence of contingencies and registry failure by putting in place financial resources to fund the ongoing resolution of names while a replacement operator is found or extended notice can be given to registrants,
 - Demonstrate a capability to understand and plan for business contingencies to afford some protections through the marketplace,
 - Adhere to DNS stability and security requirements as described in the technical section, and
 - Provide access to the widest variety of services.

II. Aspects of the Questions Asked in the Application and Evaluation Criteria

The technical and financial questions are intended to inform and guide the applicant in aspects of registry start-up and operation. The established registry operator should find the questions straightforward while inexperienced applicants should find them a natural part of planning.

Evaluation and scoring (detailed below) will emphasize:

- How thorough are the answers? Are they well thought through and do they provide a sufficient basis for evaluation?
- Demonstration of the ability to operate and fund the registry on an ongoing basis:
 - Funding sources to support technical operations in a manner that ensures stability and security and supports planned expenses,
 - Resilience and sustainability in the face of ups and downs, anticipation of contingencies,
 - Bonding or other funding to carry on operations in the event of failure.
- Demonstration that the technical plan will likely deliver on best practices for a registry and identification of issues that might raise DNS stability and security issues.

- Ensures plan integration, consistency and compatibility (responses to questions are not evaluated individually but in comparison to others):
 - Funding adequately covers technical requirements,
 - Funding covers costs,
 - Risks are identified and addressed, in comparison to other aspects of the plan.

III. Scoring

Evaluation

- The questions, criteria, scoring and evaluation methodology are to be conducted in accordance with the principles described earlier in the paper. With that in mind, globally diverse evaluation panelists will staff evaluation panels. The diversity of evaluators and access to experts in all regions of the world will ensure application evaluations take into account cultural, technical and business norms in the regions from which applications originate.
- Independent evaluation teams will consist of two independent panels. One will evaluate the applications against the financial criteria. The other will evaluate the applications against the technical & operational criteria. Given the requirement that technical and financial planning be well integrated, it is likely that one organization will coordinate the information transfer between panels. Other relevant experts (e.g., technical, audit, legal, insurance, finance) in pertinent regions will provide advice as required.
- Precautions will be taken to ensure that no member of the Evaluation Teams will have any interest or association that may be viewed as a real or potential conflict of interest with an applicant or application. All members have signed a Deed of Confidentiality/ Non-Disclosure Agreement relating specifically to this tender/project.
- Communications between the evaluation teams and the applicants will be through an online interface. During the evaluation, evaluators may pose a set of clarifying questions to an applicant, to which the applicant may respond through the interface.
- Confidentiality: ICANN will post applications after the close of the application period. The applications consist of the answers to the questions below. The answers to all questions will be published except for the Demonstration of Financial Capability questions (Questions 52 - 57) and the Registry Transition question (47). The answers to these questions will be kept confidential.

Scoring

- Responses will be evaluated against each criterion. A score will be assigned according to the scoring schedule linked to each question or set of questions. In nearly all cases, 2 points are awarded for a response that exceeds requirements, 1 point is awarded for a response that meets requirements and 0 points are awarded for a response that fails to meet requirements. In several questions, 1 point is the maximum score that may be awarded. Each question must receive at least a score of "1," making each a "pass/fail" question.
- In the Continuity question in the financial section(see Question #57), up to 3 points are awarded if an applicant provides, at the application stage, a financial instrument of

some type that will guarantee ongoing registry operations in the event of a business failure. This extra point can serve to guarantee passing the financial criteria for applicants who score the minimum passing score for each of the individual criteria. The purpose of this weighting is to reward applicants who make early arrangements for the protection of registrants and to accept relatively riskier business plans where registrants are protected.

- There are 20 Technical & Operational questions. Each question has a criterion and scoring associated with it. The scoring for each is 0, 1, or 2 points as described above. Two of the questions (DNSSEC and IDN implementations) are optional. Other than the optional questions, all Technical & Operational criteria must be scored a 1 or more or the application will fail the evaluation.
- The total technical score must be equal to or greater than 20 for the application to pass. That means the applicant can pass by:
 - Receiving a 1 or more on all questions, including the two optional questions,
 - Scoring a 2 on least two mandatory questions,
 - Receiving a combination of high and optional scores.

This scoring methodology requires a minimum passing score for each question and a slightly higher average score than the per question minimum to pass.

- There are six Financial questions and six sets of criteria that are scored by rating the answers to one or more of the questions. For example, the question concerning registry operation costs requires consistency between the technical plans (described in the answers to the Technical & Operational questions) and the costs (described in the answers to the costs question).
- The scoring for each of the Financial criteria is 0, 1 or 2 points as described above with one exception. The exception is the Continuity question described above, for which up to 3 points are possible. All questions must receive at least a 1 or the application will fail the evaluation.
- The total financial score on the six criteria must be 8 or greater for the application to pass. That means the applicant can pass by:
 - Scoring a 3 on the continuity criteria, or
 - Scoring a 2 on any two financial criteria.
- Applications that do not pass can enter into an extended evaluation process as described in the Applicant Guidebook. The scoring is the same.

	#	Question	Notes	Scoring Range	Criteria	Scoring
Applicant Information	1	Full legal name of the Applicant, being the established entity that will be entering into a contract with ICANN, following the latter's approval of this proposal.	Responses to Questions 1 - 16 are required for a complete application. Responses are not scored.			
	2	Legal form of the Applicant (e.g., LLC, Corporation, Government Body, IO).				
	3	The jurisdiction in which the Applicant's business is listed for legal and financial purposes.				
	4	Address of the principal place of business of the Applicant. This address will be used for contractual purposes. No Post Office boxes are allowed.				
	5	Phone number where the Applicant can be reached in its Principal Place of Business.				
	6	Fax number where the Applicant can be reached at its Principal Place of Business.				
	7	Email address where the Applicant can be reached at its Principal Place of Business.				
	8	If address of place where Applicant conducts business is different to the principal place of business, specify details of that place for the purposes of receiving notices.				
	9	Correspondence details for the Applicant, including a phone number, fax number and email address if different from the Principal Place of Business. The Applicant must be able to accept notices at this address.				
	10	The address where the Applicant's proposed Registry will be operated and managed, if different than either principal or correspondence address.				
Primary Contact	11	Name				
		Title				
		Address				
		Phone number				
		Fax number				
Secondary Contact	12	Name				
		Title				
		Address				
		Phone number				
		Fax number				
Applicant Governance	13	Attach documentation demonstrating that the Applicant entity is legally established and in good standing. For proof of establishment, provide articles of association or other equivalent document (e.g., statutes, membership agreement) of the entity. If the applicant is a government body or organization, provide a certified copy of the act wherein or governmental decision whereby the government body or organization has been established. In case no such certificates or documents are available in the applicant's jurisdiction, an affidavit drafted and signed by a notary public or a legal practitioner duly qualified to represent clients before the courts of the country wherein the applicant's organization is established, declaring that the organization is established and in good standing, must be submitted.				
	14	Business ID, Tax ID, VAT, or equivalent of the Applicant.				
	15	Enter the full name, contact information, and position of all directors, officers, and shareholders holding at least 15% of the shares.				

	#	Question	Notes	Scoring Range	Criteria	Scoring
Evaluation Fee	16	Enter the confirmation information of your payment of the evaluation fee (e.g., wire transfer confirmation number).				
Community-based Designation	17	Is the application for a community-based TLD?	There is a presumption that the application is for an open TLD (as defined in the Applicant Guidebook) if this question is left unanswered.			
	18	In the event of string contention does the community-based applicant elect comparative evaluation?	If community-based, an applicant has the option to elect comparative evaluation in the event of string contention. See Module 4 of the Applicant Guidebook for more information on string contention resolution procedures.			
	19	(a) If community-based, provide the name and clearly describe the community that you represent.	Responses to the elements in Question 19 are NOT evaluated in the Initial Evaluation. They may be evaluated at a later stage, in the event that applicant participates in a comparative evaluation.		Responses to Question 19 may be scored, if applicable, in a comparative evaluation. Criteria and scoring methodology for the comparative evaluation is described in Module 4 of the Applicant Guidebook.	
		(b) Describe how the applicant has an on-going relationship with a defined community that consists of a restricted population.				
		(c) Describe how the applied-for gTLD string strongly and very specifically relates to its community (i.e., the TLD is the community label or a well-known abbreviation for it).				
		(d) Describe community specific dedicated registration and use policies for its TLD. Include eligibility, string selection and use requirements; and policy compliance processes.				
		(e) Attach written endorsement of the application by the community named in 19(a).				
Applied-for gTLD string	20	Provide the applied-for gTLD string, i.e., the ASCII-label (if applying for an IDN, provide the A-label: the "xn—" label).	Responses to Questions 20 - 28 are not scored, but are used for database and validation purposes.			
	21	If an IDN, provide the U-label. The U-label is an IDNA-valid string of Unicode characters, including at least one non-ASCII character.				
	22	If an IDN, provide the translation or transliteration of the string in English, that is, the literal meaning of the string in the opinion of the applicant.				
	23	If an IDN, provide the language of the label (in English and as referenced by ISO-639-1)?				
	24	If an IDN, provide the script of the label (in English and as referenced by ISO 15924).				
	25	If an IDN, list all the code points contained in the U-label according to Unicode form.				
	26	If an IDN, upload IDN tables for the proposed registry. An IDN table must include: 1) the applied-for gTLD string relevant to the tables, 2) the script or language designator (as defined in BCP 47), 3) table version number, 4) effective date (DD Month YYYY), and 5) contact name, email address, and phone number. IDN tables are encouraged to be submitted in a standards-based format.				
	27	If an IDN, describe the applicant's efforts to ensure that there are no known operational or rendering problems concerning the applied-for gTLD string. If such issues are known, describe steps that will be taken to mitigate these issues in software and other applications.				
	28	OPTIONAL. Provide representation of label in International Phonetic Alphabet (http://www.arts.gla.ac.uk/IPA/ipachart.html).	If provided, this information will be used as a guide to ICANN in communications regarding the application.			

#	Question	Notes	Scoring Range	Criteria	Scoring
Geographical Names	29 (a) Is the application for a geographical name?	An applied-for gTLD string is considered a geographical name if it is: (a) a meaningful representation of a country or territory name listed in the ISO 3166-1 standard; (b) a sub-national place name listed in the ISO 3166-2 standard, (c) the capital city name of a country or territory listed in the ISO 3166-1 standard; (d) a city name, where the applicant declares that it intends to use the gTLD for purposes associated with the city name (e) a continent or UN region. The applicant is expected to identify whether its applied-for gTLD string is a geographical name and to provide the required documentation. See further description of geographical names requirements in Module 2 of the Applicant Guidebook.			
	(b) If a geographical name, attach documentation of support or non-objection from all relevant government(s) or public authority(ies).	See the documentation requirements in Module 2 of the Applicant Guidebook.			
General Questions	30 Describe the mission/purpose of your proposed gTLD? (Description of the purpose may include: who is eligible to register a name, acceptable use policy, technical requirements for registrants).				
	31 Provide name and full description of all the Registry Services to be provided.	Registry Services are defined as the following: (1) operations of the Registry critical to the following tasks: (i) the receipt of data from registrars concerning registrations of domain names and name servers; (ii) provision to registrars of status information relating to the zone servers for the TLD; (iii) dissemination of TLD zone files; (iv) operation of the Registry zone servers; and (v) dissemination of contact and other information concerning domain name server registrations in the TLD as required by the Registry Agreement; and (2) other products or services that the Registry Operator is required to provide because of the establishment of a Consensus Policy; (3) any other products or services that only a Registry Operator is capable of providing, by reason of its designation as the Registry Operator. A full definition of Registry Services can be found at http://www.icann.org/en/registries/rsep/rsep.html .		Applicant can engage in only those services defined in the application. Complete response adequately describes services so that a Registry Services evaluation can take place. Registry Services cannot significantly impact DNS Stability or Security. Security: For purposes of this applicant guidebook, an effect on security by the proposed Registry Service means (1) the unauthorized disclosure, alteration, insertion or destruction of Registry Data, or (2) the unauthorized access to or disclosure of information or resources on the Internet by systems operating in accordance with applicable standards. Stability: For purposes of this applicant guidebook, an effect on stability shall mean that the proposed Registry Service (1) is not compliant with applicable relevant standards that are authoritative and published by a well-established, recognized and authoritative standards body, such as relevant Standards-Track or Best Current Practice RFCs sponsored by the IETF, or (2) creates a condition that adversely affects the throughput, response time, consistency or coherence of responses to Internet servers or end systems, operating in accordance with applicable relevant standards that are authoritative and published by a well-established, recognized and authoritative standards body, such as relevant Standards-Track or Best Current Practice RFCs and relying on Registry Operator's delegation information or provisioning.	A preliminary assessment will be made to determine if there may be possible security or stability issues with any of the applicant's proposed Registry Services. If it does, the application will be referred for an extended review. See the description of the Registry Services Review process in Module 2 of the Applicant Guidebook.

#	Question	Notes	Scoring Range	Criteria	Scoring
Demonstration of Technical & Operational Capability	32 Technical Overview of Proposed Registry: provide a technical overview of the proposed registry, including details concerning the type of registry that will be operated and the interfaces that will be provided for registration transactions. The technical plan must be adequately resourced, with appropriate expertise and allocation of costs in the registry plan. The applicant will provide financial descriptions of resources in the next section and those resources must be reasonably related to these technical requirements. This high level summary need not repeat answers to questions below.		0-2	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria; (2) provision of a high level of resiliency; (3) full interplay and consistency of technical and business requirements; and (4) technical expertise already on hand or fully committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
	33 Network Architecture: provide present plan details of the system and network architecture that will support the operation of the Registry for the proposed scale of the registry. Answers should include information such as: architecture and network diagrams, details of hardware and software platforms, network bandwidth provision, IPv6 connectivity, firewalls, the intended physical location of systems, operations centers, and other infrastructure, a description of backup power systems (with multi-day powered source), and security and physical safeguards against intrusion, including a description of remote alternate sites for this purpose.		0-2	Complete answer demonstrates: (1) detailed network architecture, physical and logical security infrastructure deployed, solutions used to monitor the registry operations; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. (2) Plans provide a high level of resiliency, and (3) full interplay and consistency of technical and business requirements, and (4) Technical expertise is already on hand or fully committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
	34 Database Capabilities: provide details of database capabilities including database software, size, throughput, scalability, procedures for object creation, editing, and deletion, change notifications, registrar transfer procedures, grace period implementation and reporting capabilities.		0-2	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) database capabilities are consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. (2) Plans provide a high level of resiliency, and (3) full interplay and consistency of technical and business requirements, and (4) Technical expertise is already on hand or fully committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score 1 or 2.

#	Question	Notes	Scoring Range	Criteria	Scoring
35	Geographic Diversity: provide a description of plans for geographic diversity of name servers and operations centers. This may include Registry plans to use Any cast or other geo-diversity measure.		0-2	Complete answer demonstrates: (1) geographic diversity of nameservers and operations centers; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (3) a technical plan is adequately resourced in the planned costs in the registry business plan.	<p>2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (3) full interplay and consistency of technical and business requirements, and (4) Technical expertise is already on hand or committed.</p> <p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
36	DNS Protocol Compliance : describe the configuration and operation of nameservers, including compliance with RFCs. All name servers used for the new gTLD must be operated in compliance with the DNS protocol specifications defined in the following IETF Requests for Comments (RFCs): 1034, 1035, 1101, 1996, 2181, 2182, 2308, 3596, 3597 and 3671.		0-2	Complete answer demonstrates: (1) adequate description of configurations of nameservers and compliance with respective DNS protocol-related RFCs; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	<p>2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and full interplay and (3) consistency of technical and business requirements, and (4) Technical expertise is already on hand or committed.</p> <p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
37	SRS Performance: describe the plan for operation of a robust and reliable Shared Registration System. Please refer to the requirements in the Registry Interoperability, Continuity, and Performance Specification attached to the draft Base Agreement.		0-1	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale consistent with the business model and planned size of the registry; and(3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	<p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) detailed plans around the proposed Shared Registry System for the TLD; (3) full interplay and consistency of technical and business requirements; and (4) demonstrate that technical expertise is already on hand, or committed or readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1.</p>
38	EPP: provide a detailed description of the interface with registrars, including compliance with Extensible Provisioning Protocol in RFCs 4930-4934. Provide the EPP templates and schemas that will be used.		0-1	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	<p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element, (2) detailed plans around the proposed EPP templates and schemas, (3) interplay and consistency of technical and business requirement, and (4) Demonstrates that technical expertise is already on hand, or committed or readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1.</p>

#	Question	Notes	Scoring Range	Criteria	Scoring
39	Security Policy: provide an outline of the security policy and procedures for the proposed registry, including: (1) system and network access control, ensuring systems are maintained in a secure fashion, including details of how they are monitored, logged and backed up; 2) provisioning and other measures that mitigate risks posed by denial of service attacks; 3) computer and network incident response policies, plans, and processes; 4) plans to minimize the risk of unauthorized access to its systems or tampering with registry data, and how the registry proposes to mitigate denial of service attacks; 5) intrusion detection mechanisms, 6) a threat analysis for the proposed registry and the defenses that will be deployed against those threats; 7) details for auditing capability on all network access; 8) independent assessment report to demonstrate security capabilities.		0-2	Complete answer demonstrates: (1) detailed description of processes and solutions deployed to manage logical security across infrastructure and systems, monitoring and detecting threats and security vulnerabilities and taking appropriate steps to resolve them; (2) a security capabilities are consistent with the business model and planned size of the registry; (3) a technical plan that adequately resourced in the planned costs in the registry business plan; and (4) security measures are consistent with the commitments made to registrants regarding security levels.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (3) full interplay and consistency of technical and business requirements, and (4) Technical expertise is already on hand or fully committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
40	IPv6 Reachability: the registry supports access to DNS servers over an IPv6 network. IANA currently has a minimum set of technical requirements for IPv4 name service. These include two nameservers separated by geography and by network topology, that each serve a consistent set of data, and are reachable from multiple locations across the globe. The registry will meet this same criterion for IPv6, requiring IPv6 transport to their network.		0-2	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; (3) a technical plan that is adequately resourced in the planned costs in the registry business plan; and (4) identification of IPv6-reachable name servers that meet these requirements.	2 - exceeds requirements: (1) Response includes highly developed and detailed plans around these Registry operational criteria. (2) Plans provide a high level of resiliency and (3) full interplay and consistency of technical and business requirements. (4) Technical expertise is already on hand or committed. (5) Response demonstrates knowledge and experience with IPv6 requirements and a detailed implementation plan. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. (4) Response demonstrates awareness of IPv6 requirements and a plan for securing resources for implementation. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
41	Whois: describe how the applicant will comply with ICANN's Registry Publicly Available Registration Data (Whois) specifications for data objects, bulk access, and lookups as defined in the base agreement: "Specification for Registration Data Publication Services." Describe how the Applicant's Registry Publicly Available Registration Data (Whois) service will comply with RFC 3912.		0-1	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
42	Registration Life Cycle: provide a detailed description of the proposed registration lifecycle for domain names in the proposed gTLD. The description must explain the various registration states as well as the criteria and procedures that are used to change state. It must describe the typical registration lifecycle of create/update/delete and all intervening steps such as pending, locked, expired, and transferred that may apply. Any time elements that are involved - for instance details of add-grace or redemption grace periods, or notice periods for renewals or transfers - must also be clearly explained.		0-1	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; and (2) consistency with any specific commitments made to registrants as adapted to the business of the proposed gTLD.	1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
43	Measures against Abuse: Applicants should describe how their proposal will create policies and practices that minimize abusive registrations and other activities that affect the legal rights of others. Describe how the proposal will implement safeguards against allowing unqualified registrations, and reduce opportunities for behaviors such as phishing or pharming. Answers may also include additional measures such as abusive use policies, takedown procedures, registrant pre-verification, or authentication procedures, or other covenants.		0-2	Complete answer describes mechanisms designed to (1) prevent abusive registrations, and to (2) identify & address the abusive use of registered names on an ongoing basis.	2 - exceeds requirements: (1) Protection of rights mechanisms are specified in detail for inclusion into registry agreement. (2) Mechanisms provide pre-registration and post-registration (beyond UDRP) protections, and (3) Mechanisms address registry start-up and on-going operations. 1 - meets requirements: (1) Proposed registry operator commits to and describes protection of rights mechanisms and (2) These mechanisms provide protections at least at registry start-up. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.
44	Backup: provide details of frequency and procedures for backup of data, hardware, and systems used for backup, data format, escrow, or other data backup features, and procedures for retrieval of data/rebuild of database.		0-2	Complete answer demonstrates: (1) detailed backup processes deployed, retrieval process and frequency; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (3) full interplay and consistency of technical and business requirements. (4) Technical expertise is already on hand or fully committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.

#	Question	Notes	Scoring Range	Criteria	Scoring
45	Escrow: describe how the applicant will comply with the escrow arrangements documented in the Registry Data Escrow Specifications (attached as part of the draft Base Agreement), including plans for daily backups and archiving of registry information. Note: For an additional measure of registrant protection, an approach where an applicant could get a higher score for escrowing thick registry data is being considered. ICANN invites public comment on this approach, particularly suggestions on ensuring that the applicant implements this commitment, e.g., a clause in the registry agreement or other means.	For an additional measure of registrant protection, ICANN is considering an approach where an applicant proposing escrowing thick registry data will obtain a higher score (note that this does not require the applicant to display all data that is escrowed in its Whois records). ICANN invites public comment on this approach, particularly suggestions on ensuring that the applicant implements this commitment, e.g., a clause in the registry agreement or other means.	0-2	Complete answer demonstrates: (1) compliance with registry data escrow specifications; (2) a reasonable plan to perform daily backups and archiving of registry information; (3) a technical plan that is adequately resourced in the planned costs in the registry business plan, and (4) the escrow arrangement is consistent with the business model and size/scope of the registry.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (3) full interplay and consistency of technical and business requirements, and (4) technical expertise is already on hand or committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.
46	Registry Continuity: describe how the applicant will comply with registry continuity obligations as described in the Registry Interoperability, Continuity and Performance Specification, attached as part of the draft Base Agreement. For reference, applicants should review the ICANN gTLD Registry Continuity Plan at http://www.icann.org/registries/failover/icann-registry-failover-plan-15jul08.pdf and ICANN's draft registry practices recommendations at http://www.icann.org/en/registries/continuity/draft-plan-best-practices-20oct07.pdf .		0-2	Complete answer demonstrates: (1) detailed description showing plans for compliance with registry continuity obligations; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; (3) best practices are mapping of best practices to aspects of registry operations described elsewhere in answers to these questions; and (4) a technical plan that is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (3) full interplay and consistency of technical and business requirements, and (4) technical expertise is already on hand or committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.
47	Registry Transition: provide a plan that could be followed in the event that it becomes necessary to transition the proposed gTLD to a new operator, including a transition process. (Responses to this question will be kept confidential.)		0-2	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (3) full interplay and consistency of technical and business requirements, and (4) technical expertise is already on hand or committed. 1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.

#	Question	Notes	Scoring Range	Criteria	Scoring
48	Failover Testing: provide a description of the failover testing plan, including mandatory annual testing of the plan. Examples may include a description of plans to test failover of data centers or operations to alternate sites, from a hot to a cold facility, registry data escrow testing, or continuity testing with other gTLD registries and ICANN.		0-2	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	<p>2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency; and full interplay and consistency of technical and business requirements. (3) Technical expertise is already on hand or committed.</p> <p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available.;</p> <p>0 - fails requirements: Does not meet the requirements to score a 1 or 2.</p>
49	Monitoring and Fault Escalation Processes: provide a description of the proposed (or actual) arrangements for monitoring critical registry systems (including SRS, database systems, DNS servers, publicly available registration data (Whois) policy network connectivity, routers and firewall). This description should explain how these systems are monitored and the mechanisms that will be used for fault escalation and reporting, and should provide details of the proposed support arrangements for these registry systems.		0-2	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; (3) a technical plan that is adequately resourced in the planned costs in the registry business plan; and (4) consistency with the commitments made to registrants regarding system maintenance.	<p>2 - exceeds requirements: Response includes (1) highly developed and detailed plans around these Registry operational criteria. Plans provide (2) a high level of resiliency; and (3) full interplay and consistency of technical and business requirements, and (4) technical expertise is already on hand or committed.</p> <p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
50	OPTIONAL. DNSSEC: if the proposed gTLD will offer DNSSEC as a registry service at the time of launch, describe the policies and procedures the proposed registry will follow, for example, how keying material will be securely exchanged and stored. Describe how the DNSSEC implementation will comply with RFCs 4033, 4034, 4035, and 5155.		0-2	This is an optional feature. Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resourced in the planned costs in the registry business plan.	<p>2 - exceeds requirements: Response includes (1) highly developed and detailed implementation plan that provides a high level of resiliency; (2) key management procedures for registrants in the proposed TLDs; (3) full interplay and consistency of technical and business requirements; and (4) technical expertise that is already on hand or committed. Applicant must also be able to pass requirements for DNSSEC in pre-delegation check.</p> <p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; and (3) demonstrates that technical expertise required to carry through the plans for this element is readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>

	#	Question	Notes	Scoring Range	Criteria	Scoring
	51	<p>OPTIONAL. IDNs: state whether the proposed registry will support the registration of IDN labels in the TLD, and if so, how. For example, explain which characters will be supported, and the associated IDN Table with variants identified along with a corresponding registration policy. This includes also public interfaces to the databases such as Whois and EPP.</p>		0-2	<p>This is an optional feature. Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) a technical plan that is adequately resourced in the planned costs in the registry business plan; (3) consistency with the commitments made to registrants in the purpose of the registration and registry services descriptions; and (4) issues regarding use of scripts are settled and language variant tables are posted.</p>	<p>2 - exceeds requirements: Response includes (1) highly developed and detailed implementation plans around these Registry operational criteria for IDNs providing a high level of resiliency; (2) full interplay and consistency of technical and business requirements; (3) technical expertise already on hand or committed; and (4) IDN tables are complete; (5) demonstrated knowledge and experience with IDNA and IDN guidelines.</p> <p>1 - meets requirements: Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical expertise required to carry through the plans for this element is readily available; and (4) may contain some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. For example, IDN tables are not complete but significant work has been done. (IDN table must be completed prior to delegation.) A detailed plan for submitting language variant tables is provided. Demonstrated awareness of IDNA and IDN guidelines and a plan for securing resources for implementation.</p> <p>0 - fails requirements: Does not meet the requirements to score a 1 or 2.</p>
Demonstration of Financial Capability	52	<p>Financial Statements: provide audited financial statements for the most recently completed fiscal year for the applicant, and unaudited financial statements for the most recently ended interim financial period for the applicant. For newly-formed applicants, provide the latest available financial statements. (Responses to this question will be kept confidential.)</p>		0-2	<p>Audited financial statements are prepared in accordance with IFRS (International Financial Reporting Standards) adopted by the IASB (International Accounting Standards Board) or U.S. GAAP (Generally Accepted Accounting Principles). This will include a balance sheet and income statement reflecting the applicant's financial position and results of operations. In the event the applicant is a newly formed entity for the purposes of applying for a gTLD and without an operating history, the applicant must submit pro forma financial statements reflecting the entity's projected capitalization for the registry operator. Funding in this latter case must be verifiable as a true and accurate reflection and cannot include prospective funding.</p>	<p>2 - completely meets requirements: (1) Complete and authenticated statements are provided as well as (2) unaudited statements for most recent period.</p> <p>1 - minimally meets requirements: For applicants where audited statements are not available, pro forma financial statements reflecting the entity's projected capitalization for the registry operator are provided.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2. For example, entity with an operating history fails to provide audited statements.</p>

#	Question	Notes	Scoring Range	Criteria	Scoring
53	<p>Projections Template: provide financial projections for costs and funding using the attached template. The start-up period is the time from submission of the application to delegation of the TLD. The projections are intended to provide commonality among TLD applications and thereby facilitate the evaluation process. Include explanations for any significant variances between years (or expected in years beyond the timeframe of the template) in any category of costing or funding. (Responses to this question will be kept confidential.)</p>		0-2	<p>Applicant has provided a thorough model that demonstrates a sustainable business (even if break-even is not achieved through the first three years of operation).</p>	<p>2 - exceeds requirements: (1) Model is described in sufficient detail to be determined as a conservative balance of cost, funding and risk by an expert in registry operations. I.e., funding and costs are highly consistent and are representative of a robust on-going concern, and (2) Anticipated ranges in revenue and cost are explained in detail. All operations are funded even at negative ends of expected ranges. 1 - meets requirements: (1) Demonstrates resources and plan for a sustainable business. (2) Most important, financial assumptions about the registry services, funding and market are identified. (3) Financial estimates are defensible, and (4) Model is described in sufficient detail to be determined as a reasonable balance of cost, funding and risk by an expert in registry operations. I.e., funding and costs are consistent and are representative of an on-going concern. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.</p>
54	<p>(a) Costs: describe and explain the expected costs of setting up and operating the proposed Registry. As described in the Applicant Guidebook, the information provided will be considered in light of the entire application and the evaluation criteria. Therefore, this answer should agree with the information provided in the template to: 1) maintain registry operations, 2) provide registry services described above, and 3) satisfy the technical requirements described in the Demonstration of Technical & Operational Capability section. (Responses to this question will be kept confidential.)</p>		0-2	<p>Costs identified are consistent with the proposed registry services, adequately fund technical requirements, and are consistent with proposed mission/purpose of the registry. A reasonable person with registry technical operations experience would agree the costs projected are reasonable for a registry of size and scope described in the application.</p>	<p>2 - exceeds requirements: (1) Cost elements described are clearly and separately tied to each of the aspects of registry operations: registry services, technical requirements, and other aspects as described by the applicant. (2) Estimated costs are conservative and (3) consistent with an operation of the registry volume/scope/size as described by the applicant. (4) Most estimates are derived from actual examples of previous registry operations or equivalent. (5) Conservative estimates are based on those experiences and describe a range of anticipated costs and use the high end of those estimates. 1 - meets requirements: (1) Cost elements described reasonably cover all of the aspects of registry operations: registry services, technical requirements and other aspects as described by the applicant. (2) Estimated costs are consistent and (3) defensible with an operation of the registry volume/scope/size as described by the applicant. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.</p>
	<p>(b) Describe anticipated ranges in projected costs. Describe factors that affect those ranges. (Responses to this question will be kept confidential.)</p>				

#	Question	Notes	Scoring Range	Criteria	Scoring
55	(a) Funding and Revenue: Funding can be derived from several sources (e.g., existing capital or proceeds/revenue from operation of the proposed registry). For each source (as applicable), describe: I) How existing funds will provide resources for both: 1) initial start-up of operations, and 2) ongoing operations, II) a description of the revenue model including projections for transaction volumes (if the applicant does not intend to rely on registration revenue in order to cover the costs of the registry's operation, it must clarify how the funding for the operation will be developed and maintained in a stable and sustainable manner), III) outside sources of funding, the applicant must (where applicable) provide evidence of the commitment by the party committing the funds. (Responses to this question will be kept confidential.)		0-2	Funding resources are clearly identified and adequately provide for registry cost projections. Sources of capital funding are clearly identified, held apart from other potential uses of those funds and available. The plan for transition of funding sources from available capital to revenue from operations (if applicable) is described. Outside sources of funding are documented and verified and must not include prospective sources of funds. Sources of capital funding required to sustain registry operations on an on-going basis are identified. The projected revenues are consistent with the size and projected penetration of the target markets.	2 - exceeds requirements: (1) Existing funds are quantified, segregated and earmarked for registry operations. (2) If on-going operations are to be resourced from existing funds (rather than revenue from on-going operations) that funding is segregated and earmarked for this purpose only in an amount adequate for three years operation. (3) Revenues are clearly tied to projected business volumes, market size and penetration, and (4) Assumptions made are regarded as conservative by industry experts. 1 - meets requirements: (1) Existing funds are quantified, identified as available and budgeted. (2) If on-going operations are to be resourced from existing funds (rather than revenue from on-going operations) that funding is quantified and its sources identified in an amount adequate for three years operation. (3) Revenues are directly related to projected business volumes, market size and penetration, and (4) Assumptions made are regarded as reasonable by industry expert. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.
	(b) Describe anticipated ranges in projected funding and revenue. Describe factors that affect those ranges. (Responses to this question will be kept confidential.)				
56	(a) Contingency Planning: describe your contingency planning: identify any projected barriers to implementation of your business plan and how they affect cost, funding or timeline in your planning. E.g., have you identified any particular regulation, law or policy that might impact the Registry Services offering? (Responses to this question will be kept confidential.)		0-2	Contingencies and risks are identified and included in the cost and funding analyses. Action plans are identified in the event contingencies occur. The model is resilient in the event those contingencies occur. Responses address the probability and resource impact of the contingencies identified.	2 - exceeds requirements: (1) Model identifies thoroughly the key risks and the chances that each will occur: operational, business, legal, and other outside risks. (2) Action plans and operations adequately resourced in the existing funding and revenue plan even if contingencies occur. 1 - meets requirements: (1) Model identifies the key risks with sufficient detail to be understood by a business person with experience in this area. (2) Response gives some consideration to probability of contingencies identified. (3) If resources are not available to fund contingencies in the existing plan, funding sources and a plan for obtaining them are identified. 0 - fails requirements: Does not meet the requirements to score a 1 or 2.
	(b) Describe your contingency planning where funding sources so significantly under run your business plan that material deviations from your implementation model are required. In particular, how will on-going technical requirements be met? (Responses to this question will be kept confidential.)				
	(c) Describe your contingency planning where activity volumes so significantly exceed the high projections that material deviation from your implementation model are required. In particular, how will on-going technical requirements be met? (Responses to this question will be kept confidential.)				

#	Question	Notes	Scoring Range	Criteria	Scoring
57	<p>Continuity: provide evidence of ability to fund on-going basic registry operations for registrants for a period of three to five years in the event of registry failure, default or until a successor operator can be designated. The detail must include the amount and timing of funding required for sustaining these operations at the activity levels planned. This obligation can be met by: securing a financial instrument such as a bond or letter of credit (i.e., evidence of your ability to provide financial security guaranteed by a credit worthy financial institution); contracting with and funding a services provider to extend services; segregating funding; or other means. (Responses to this question will be kept confidential.)</p>	<p>As an alternative to this requirement, ICANN is considering the option of a pooled registry continuity plan where the proposed registry pays a fixed fee in addition to the application fee to fund an outsourced entity to provide name resolution services.</p>	0-3	<p>Documented evidence or detailed plan for ability to fund on-going basic registry operations for registrants for a period of three to five years in the event of registry failure, default or until a successor operator can be designated. Evidence of financial wherewithal to fund this requirement prior to delegation. This requirement must be met prior to delegation of the registry.</p>	<p>3 - exceeds requirements: Bond or other financial instrument is secured; formal agreement is made and fully funded with back-up services provider; or other financing and arrangements are in place to provide for on-going operations of five years in the event of failure.</p> <p>2 - exceeds requirements: Bond or other financial instrument is secured; formal agreement is made and fully funded with back-up services provider; or other financing and arrangements are in place to provide for on-going operations of three years in the event of failure.</p> <p>1 - meets requirements: Separate funding is identified and instrument is described to provide for on-going operations of at least three years in the event of failure.</p> <p>0 - fails requirements: Does not meet the requirements to score a 1 or 2.</p>

Projections Template (Refer to Question 53)

Revenue	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>
Forecasted registration X Fee/registration			
Registration revenue			
Other revenue			
Total Revenue			
Cost			
Personnel			
Marketing			
Facilities			
General & Administrative			
Total Costs			
Capital Expenditures			
Cash Requirements			