
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 failure contingency 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 interface. There will be one communication round per evaluation where panelists can pose a set of clarifying questions to an applicant.
- 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. The answers to the financial question 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 the Continuity question in the financial criteria, 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 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 eleven Financial questions. There are seven 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. All questions must receive at least a 1 or the application will fail the evaluation.
- The total financial score on the seven criteria must be 9 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.

Note: This version was corrected on 30 October 2008 to reflect the accurate number of technical and financial questions.

Question		Criteria	Scoring
No.	Applicant Information Form		
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.		
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.	Required for completeness check	
7	Email address where the Applicant can be reached at its Principal Place of Business.		
8	If address of place where Applicant conducts business from 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.		

Question		Criteria	Scoring
11	Primary Contact		
11a	Name		
11b	Title		
11c	Address		
11d	Phone Number		
11e	Fax Number		
11f	Email Address		
12	Secondary Contact	Required for completeness check	
12a	Name		
12b	Title		
12c	Address		
12d	Phone Number		
12e	Fax Number		
12f	Email Address		
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 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. For proof of good standing, provide a certificate of good standing or other equivalent official document issued by a competent government authority that is valid at the time of submission in respect of the Applicant entity. Under some laws or jurisdictions, it may be possible to prove both establishment and good standing with a single document. 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.	Required for completeness check. Authenticated documentation must be furnished.	

Question	Criteria	Scoring
14 Business ID, Tax ID, VAT, or equivalent of the Applicant.	Required for completeness check	
15 Enter the full names and contact information, positions of all shareholders holding at least 15% of the shares.	Required for completeness check	
Application Deposit and Fee		
16 Enter the confirmation information of your payment of the application fee (e.g., wire transfer confirmation number).	Required for completeness check	
Community-Based Designation		
17 Is the application for an open or a community-based TLD?	There is a presumption that the application is an open TLD (as defined in the applicant guidebook) if this question is unanswered.	
18 If community-based, provide the name and clearly describe the community that you represent: 1) Describe how the applicant has an on-going relationship with a defined community that consists of a restricted population. 2) 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). 3) Has proposed community specific dedicated registration and use policies for its TLD. Include eligibility, string selection and use requirements; and policy compliance processes. 4) Is endorsed in writing by the community it has named.	This element will NOT be evaluated in the initial evaluation. It will be evaluated as the initial phase of string contention. Criteria for evaluation include: A. Nexus between proposed string and community: String is name or well-known abbreviation of community institution B. Dedicated registration policies: Registration eligibility is strictly limited to members of the pre-established community identified in the application. Registration policies also include name selection and use requirements consistent with the articulated scope and community-based nature of the TLD. Proposed policies include specific enforcement measures including investigation practices, penalties, takedown procedures and appeal mechanisms. C. Community establishment. Clearly identified, organized and pre-established community of considerable size and longevity. D. Community endorsement. Endorsement by a recognized institution or by member organizations, including evidence of support such as meeting minutes, voting records, or divisional or sub-organizational member endorsements.	Not scored in initial evaluation. Scoring for the comparative evaluation is described in the applicant guidebook.

Question	Criteria	Scoring
19 Is the applied for string a meaningful representation of an ISO-3166-1 country or territory name; ISO-3166-2 sub-region name, or intended to represent a city?	Geographical place names require the approval of the relevant government. The applicant is expected to self-identify whether the applied-for string requires approval and provide the required documentation. All strings will be examined to determine if it is a geographical name according to this definition and whether required documentation is furnished.	Applications that are not accompanied by approval of relevant governments when that approval is required will not be approved.
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).	Required for completeness check	
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.	Required for completeness check	
22 For IDNs, what is the translation or transliteration of the string in English?	The literal meaning of the string in the opinion of the applicant for database purposes.	
23 What is the language of the label (in English and as referenced by ISO-639-1)?	Required for completeness check	
24 Script of label (in English and as referenced by ISO 15924).	Required for completeness check	
25 List all the code points contained in the U-label according to Unicode form.	Required for completeness check	
26 Provide representation of label in International Phonetic Alphabet (http://www.arts.gla.ac.uk/IPA/ipachart.html).	For database purposes	
General Questions		
27 What is the mission/purpose of your proposed TLD? (the purpose may include: who is eligible to register a name, acceptable use policy, technical requirements for registrants).	Complete response would include primary use with respect to business/community modality, define purpose for which registrants would use registration.	

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Question	Criteria	Scoring
28 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 service can be found at http://www.icann.org/en/registries/rsep/rsep.html and in the base agreement in Module 5. Registry services will be examined to determine if the proposed Registry Service might raise significant Stability or Security issues. Examples of services submitted to the registry services process by established registries can be found at http://www.icann.org/en/registries/rsep. The registration of domain names, for example, is a registry service. Lists of registry services currently provided by registries can be found in registry agreement appendices. In general cases, these services successfully pass this inquiry. See http://www.icann.org/en/registries/agreements.htm.	Applicant can engage in only those services defined in the application. Complete response adequately describes services so that RSEP-type 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 services.	A preliminary assessment will be made to determine if there may be possible security or stability issues with the proposed service. If so, the application will be flagged for a review by the Registry Services Technical Evaluation Panel (RSTEP). If RSTEP determines there is no significant impact on security and stability raised by the proposed service, the service may be listed in the applicant's contract with ICANN. If RSTEP determines the proposed Registry Service creates a reasonable risk of a meaningful adverse effect on Security or Stability security then the service may not be incorporated into the agreement and the applicant can decide whether to proceed with the application or withdraw.

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Question	Criteria	Scoring
Demonstration of Technical & Operational Capability		
29 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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.

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Question	Criteria	Scoring
30	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) lifecycle is consistent any specific commitments made to registrants (in the purpose of the registration). 2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
31	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.	Applicant describes mechanisms designed to prevent abusive registrations, and identify & address the abusive use of registrations after the registrations are made. 2 - exceeds requirements: Protection of rights mechanisms are specified in detail for inclusion into registry agreement. Mechanisms provide registration and post-registration (beyond UDRP) protections. Mechanisms address registry start-up and on-going operations. 1 - meets expectations: Proposed registry operator commits to and describes protection of rights mechanisms. These mechanisms provide protections at least at registry start-up. 0 - fails requirements: Does not meet the requirements to score 1 or 2.

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Question	Criteria	Scoring
32 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, and the intended physical location of systems, operations centers, and other infrastructure. Provide a description of backup power systems (with multi-day powered source) and security and physical safeguards against intrusion. Provide a description of remote alternate sites or locations for this purpose.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
33 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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily

			available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
34	Geographic Diversity: provide a description of plans for geographic diversity of name servers and operations centers. This may included Registry plans to use anycast or other geo-diversity measure.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
35	Nameservice: 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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail

			to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
36	SRS Performance: describe the plan for operation of a robust and reliable Shared Registry System. Please refer to the requirements in the Registry Interoperability, Continuity and Performance Specification attached to the draft Base Agreement.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
37	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;	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and

	2. provisioning and other measures that mitigate risks posed by denial of services 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 proposed to mitigate denial of service attacks; 5. details of audit trails and intrusion detection mechanisms; 6. a threat analysis for the proposed registry and the defenses that will be deployed against those threats.	adequately resourced in the planned costs in the registry business plan; (4) security policy is consistent with the commitments made to registrants (in the purpose of the registration) regarding security levels.	consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
38	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.

39	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
40	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 .	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) best practices are mapped to aspects of registry operations described elsewhere in answers to these questions; (4) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or

			omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
41	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
42	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and

		knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
43	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan; (4) plan is consistent with the commitments made to registrants regarding system maintenance. 2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
44	EPP: provide a detailed description of the interface with registrars, including compliance with Extensible Provisioning Protocol in RFCs 3730, 3731, 3732, 3733, 3734, and 3735. Provide the EPP templates and schemas that will be used.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the 2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business

		registry business plan.	requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
45	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry and the number of inquiries expected; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.

46	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.	This is an optional feature: complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
47	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. Describe what steps the applicant has taken to address any rendering or other operational issues with the applied-for TLD string. IDNs can cause rendering problems in certain applications. See the IDNA protocol (link from http://www.icann.org/en/topics/idn/rfcs.htm) for information and the IDN wiki (http://idn.icann.org).	This is an optional feature: complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan is adequately resourced in the planned costs in the registry business plan; (4) the IDN plan is consistent with the commitments made to registrants in the purpose of the registration and registry services descriptions; (5) issues regarding use of scripts are settled and language variant tables are posted.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. IDN tables are complete. Demonstrated knowledge and experience with IDNA and IDN guidelines and a detailed implementation plan. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates

			that technical expertise required to carry through the plans for this element is readily available; contains 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 to create an implementation plan. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
48	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.	Complete answer demonstrates: (1) complete knowledge and understanding of this aspect of registry technical requirements; (2) the technical plan scope/scale is consistent with the business model and planned size of the registry; (3) the technical plan is adequately resourced in the planned costs in the registry business plan; (4) Applicant will identify IPv6-reachable name servers that meet these requirements.	2 - exceeds requirements: Response includes highly developed and detailed plans around these Registry operational criteria and provides a high level of resiliency; and full interplay and consistency of technical and business requirements. Technical expertise is already on hand or committed. Demonstrated knowledge and experience with IPv6 requirements and a detailed implementation plan. 1 - meets requirements: Response includes adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; demonstrates understanding of business impacts of this requirement; demonstrates that technical expertise required to carry through the plans for this element is readily available; contains some weaknesses or omissions that are possible to readily correct or overcome and make acceptable. Demonstrated awareness of IPv6 requirements and a plan for securing

			resources to create an implementation plan. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
	Demonstration of Financial Capability (the information provided in answer to these questions is confidential)	Important note: In some instances, the criteria and scoring require information from answers to more than one of the questions in this and other sections; and not all questions have criteria and scoring associated specifically with them.	
49	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.	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.	2 - completely meets requirements: Complete and authenticated statements are provided as well as unaudited statements for most recent period. 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. 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.
50	Provide financial projections for costs and funding using the attached table of numbers template. The start-up period is the time from submission of the application to delegation of the TLD. The spreadsheet is intended to provide commonality among TLD applications and thereby facilitate the evaluation process.	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).	2 - exceeds requirements: 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. Anticipated ranges in revenue and cost are explained in detail. All operations are funded even at negative ends of expected ranges. 1 - meets requirements: Demonstrates resources and plan for a sustainable business. Most important, financial assumptions about the registry services, funding and market are identified.

		Financial estimates are defensible. 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 1 or 2.
51	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 table of numbers to: 1. maintain registry operations; 2. provide registry services you described above; and 3. satisfy the technical requirements described in the section Demonstration of Technical & Operational Capability above.	Costs identified are consistent with the proposed registry services, adequately fund technical requirements, and is consistent with proposed mission/purpose of the registry. A reasonable person with registry technical operation experience would agree the costs projected are reasonable for a registry of size described in the application. 2 - exceeds requirements: 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. Estimated costs are conservative and consistent with an operation of the registry volume/scope/size as described by the applicant. Most estimates are derived from actual examples of previous registry operations or equivalent. 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: Cost elements described reasonably cover all of the aspects of registry operations: registry services, technical requirements and other aspects as described by the applicant. Estimated costs are consistent and defensible with an operation the registry volume/scope/size as described by the applicant. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
52	Describe anticipated ranges in projected costs. Describe factors that affect those ranges.	

Question	Criteria	Scoring
53	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. on-going 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.	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: Existing funds are quantified, segregated and earmarked for registry operations. 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. Revenues are clearly tied to projected business volumes, market size and penetration. Assumptions made are regarded as conservative by industry expert. 1 - meets requirements: Existing funds are quantified, identified as available and budgeted. 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. Revenues are directly related to projected business volumes, market size and penetration. Assumptions made are regarded as reasonable by industry expert. 0 - fails requirements: Does not meet the requirements to score 1 or 2.
54	Describe anticipated ranges in projected funding and revenue. Describe factors that affect those ranges.	
55	Provide an explanation for significant variances between years (or expected in years beyond the timeframe of the template) in any category of costing or funding.	

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Question	Criteria	Scoring
56 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?	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.	2 - exceeds requirements: Model identifies thoroughly the key risks and the chances that each will occur: operational, business, legal, and other outside risks. Action plans and operations adequately resourced in the existing funding and revenue plan even if contingencies occur. 1 - meets requirements: Model identifies the key risks with sufficient detail to be understood by a business person with experience in this area. 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 1 or 2.
57 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?		
58 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?		
59 Continuity: provide evidence of ability to fund on-going basic registry operations for then-existing 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.	Documented evidence or detailed plan for ability to fund on-going basic registry operations for then-existing 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. 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	Note: In addition to the scoring below, applicant must satisfy the requirements to achieve a 3 or 4 in scoring as a prerequisite to delegation. 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

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	fee to fund an outsourced entity to provide name resolution services.	five years in the event of failure. 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. 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. 0 - fails requirements: Does not meet the requirements to score 1 or more.
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