

Updates to Module 2: Evaluation Criteria

30 May 2009

Module 2 of the draft Applicant Guidebook describes the various reviews that take place during Initial Evaluation of new gTLD applications. An attachment to Module 2 includes the full set of questions to applicants, and the criteria to be used by evaluators in determining that the applicant has the operational and technical, and financial capability to successfully run a registry; see v2 of this document at <http://www.icann.org/en/topics/new-gtlds/draft-evaluation-criteria-clean-18feb09-en.pdf>.

ICANN has made changes to this document based on public comments (see analysis of public comments on draft Applicant Guidebook v2), initial community work on overarching issues, and continuing development work by staff. The updates include:

- Contact information (Questions 1-7). This section has been streamlined to eliminate some redundant questions.
- Proof of Legal Establishment & Good Standing (Questions 8-9). This section has been revised to allow for flexibility according to the entity's type and jurisdiction, so that an applicant may provide proof of legal establishment and good standing in a variety of ways. The documentation requirements are based on consistency of documents with information provided, and ability to show the chain of authority rather than on specific document types which may or may not be meaningful in a given jurisdiction.
- Background Check (Question 11a-d). The application form has been supplemented with a requirement for an applicant to disclose convictions or other disciplinary actions of its officers, directors, or major shareholders, and a description of circumstances in which ICANN may deny an application on the basis of an applicant's background.
- Cybersquatting/Domain Name Abuses (Question 11e-f). The application form has been supplemented with a requirement for an applicant to disclose its involvement in any decisions concerning cybersquatting or domain name abuses, and a description of circumstances in which ICANN may deny an application on the basis of an applicant's prior behavior with regard to domain names.
- Community-Based Designation (Questions 22-24). This set of questions, applicable only to applicants designating their applications as community-based, has been revised to align with the Comparative Evaluation (Community Priority) criteria, to ensure that the applicant has provided all the necessary information in the event that this step occurs. Additionally, this section contains more detail to give guidance to applicants on expected components for each answer.
- Protection of Geographical Names at Second Level (Question 28). This is a new question, requiring an applicant to disclose what measures it will implement to accommodate advice from the Governmental Advisory Committee (GAC) concerning protections for geographical names in

new gTLDs. This area has been the subject of Board and community discussion, and potential Guidebook language is included here to sharpen discussion on these issues.

- Technical and Operational Criteria (Questions 29-48). The scoring model remains as described in v2 of the draft Applicant Guidebook. However, the language and order of items in the scoring column are adjusted for consistency across the questions. Additionally, many of the questions have been supplemented with more detail to provide guidance to applicants.
- Security (Question 36). This question has been augmented to require an applicant for a string with unique trust implications (e.g., industry- or financial services-oriented) to show what augmented security levels and measures are proposed to address trust issues consistent with the nature of the string. ICANN looks forward to working with the financial services community and others to develop the appropriate standards to be applied in this area.
- DNSSEC (Question 47). In response to comments, this question contains clarification that DNSSEC is an optional service, but notes that DNSSEC is expected to become a requirement for gTLDs within approximately a five-year timeframe.
- Continuity (Question 54). This contains a requirement for a financial instrument in an amount to cover basic registry operations for a 3-5 year period. ICANN continues to work on the details around how to meet this requirement. However, language has been added to define basic registry operations, and to provide an expanded set of options for how this requirement can be met.

Redlined versions showing the changes from v2 of the document are included for ease of reference.

ICANN encourages comment on the interim language provided here. Comments will be considered for version 3 of the full draft Applicant Guidebook, scheduled to be published in September 2009. As discussed more fully in the analysis of comments on version 2 of the draft Applicant Guidebook, numerous other changes can be expected in version 3 of the draft Applicant Guidebook.

	#	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 - 12 are required for a complete application. Responses are not scored.			
	2	Address of the principal place of business of the Applicant. This address will be used for contractual purposes. No Post Office boxes are allowed.				
	3	Phone number for the Applicant's principal place of business.				
	4	Fax number for the Applicant's principal place of Business.				
	5	Email address for the Applicant's principal place of business.				
Primary Contact for this Application	6	Name				
		Title				
		Address				
		Phone number				
		Fax number				
		Email address				
Secondary Contact for this Application	7	Name				
		Title				
		Address				
		Phone number				
		Fax number				
		Email address				
Proof of Legal Establishment	8	(a) Legal form of the Applicant (e.g., limited liability partnership, corporation, non-profit institution).				
		(b) State the specific national or other jurisdictional law that defines the type of entity identified in 8(a).				
		(c) Attach evidence of the applicant's establishment as the type of entity identified in Question 8(a) above, in accordance with the applicable laws identified in Question 8(b)	Applications without valid proof of legal establishment will not be evaluated further.			
Proof of Good Standing	9	(a) Identify the specific organizational or business purpose(s) of the entity specified in Question 8.				

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		<p>(b) If the applicant operates in a regulated industry where a specific document is required to operate under the laws identified (e.g., banking, insurance), the applicant must attach a copy of its current, unrevoked permission or certificate to engage the activity or operate as the type of business entity identified above.</p> <p>If the applicant's business purpose does not require such permission or certification, the applicant must attach a certificate from the incorporating body or alternative organization authorized by the incorporating body verifying the continued validity of the applicant (e.g., certificate of good standing or affidavit from a notary public). The applicant must clearly explain the chain of authority from the law identified above to the alternative organization providing the certification.</p>	<p>It may be possible to satisfy this requirement with the document submitted for proof of legal establishment. In this case, applicant must note so in its response.</p> <p>Applications without valid proof of good standing will not be evaluated further.</p>			
Business ID	10	Business ID, Tax ID, VAT, or equivalent of the Applicant.				
Applicant Background	11	(a) Enter the full name, contact information, and position of all directors.	Background checks may be conducted on individuals named..			
		(b) Enter the full name, contact information, and position of all officers.				
		(c) Enter the full name, contact information and position of all shareholders holding at least 15% of shares.				
		<p>(d) Indicate whether the applicant or any of its directors, officers, or shareholders named above:</p> <p>i. within the past ten years, has been convicted of a felony or of a misdemeanor related to financial or corporate governance activities, or has been judged by a court to have committed fraud or breach of fiduciary duty, or has been the subject of a judicial determination that is similar or related to any of these;</p> <p>ii. within the past ten years, has been disciplined by the government of its, her, or his domicile for conduct involving dishonesty or misuse of funds of others;</p> <p>iii. is currently involved in any judicial or regulatory proceeding that could result in a conviction, judgment, determination, or discipline of the type specified in (i) or (ii); or</p> <p>iv. is the subject of a disqualification imposed by ICANN and in effect at the time of this application.</p> <p>If any of the above events have occurred, please provide details.</p>	<p>ICANN may deny an otherwise qualified application for any of the following reasons:</p> <p>Applicant, or any officer, director, or manager, or any person or entity owning (or beneficially owning) fifteen percent or more of applicant:</p> <p>a. within the past ten years, has been convicted of a felony or of a misdemeanor related to financial or corporate governance activities, or has been judged by a court to have committed fraud or breach of fiduciary duty, or has been the subject of a judicial determination that ICANN deemed as the substantive equivalent of any of these;</p> <p>b. within the past ten years, has been disciplined by any government or industry regulatory body for conduct involving dishonesty or misuse of the funds of others;</p> <p>c. is currently involved in any judicial or regulatory proceeding that could result in a conviction, judgment, determination, or discipline of the type specified in (a) or (b); or</p> <p>d. is the subject of a disqualification imposed by ICANN and in effect at the time the application is considered.</p>			

	#	Question	Notes	Scoring Range	Criteria	Scoring
		(e) Indicate whether the applicant or any of its directors, officers, or shareholders named above have demonstrated a pattern or practice of, or been found liable for, cybersquatting or domain-related abuses.	ICANN may deny an otherwise qualified application for any of the following reasons: Applicant, or any officer, director, or manager, or any person or entity owning (or beneficially owning) fifteen percent or more of applicant is the subject of a pattern of decisions indicating liability for, or repeated practice of bad faith in regard to, domain name registrations, including: (i) acquiring domain names primarily for the purpose of selling, renting, or otherwise transferring the domain name registrations to the owner of a trademark or service mark or to a competitor, for valuable consideration in excess of documented out-of-pocket costs directly related to the domain name; or (ii) registering domain names in order to prevent the owner of the trademark or service mark from reflecting the mark in a corresponding domain name; or (iii) registering domain names primarily for the purpose of disrupting the business of a competitor; or (iv) using domain names with intent to attract, for commercial gain, Internet users to a web site or other on-line location, by creating a likelihood of confusion with a trademark or service mark as to the source, sponsorship, affiliation, or endorsement of the web site or location or of a product or service on the web site or location.			
		(f) Disclose whether the applicant has been involved in any administrative or other legal proceeding, as plaintiff or defendant, in which allegations of trademark infringement of a domain name have been made. Provide an explanation related to each such instance.				
Evaluation Fee	12	Enter the confirmation information of your payment of the evaluation fee (e.g., wire transfer confirmation number).				
Applied-for gTLD string	13	Provide the applied-for gTLD string. If applying for an IDN, provide the A-label (beginning with "xn—").	Responses to Questions 13 - 21 are not scored, but are used for database and validation purposes.			
	14	If applying for an IDN, provide the U-label.	The U-label is an IDNA-valid string of Unicode characters, including at least one non-ASCII character.			
	15	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.				
	16	If an IDN, provide the language of the label (both in English and as referenced by ISO-639-1)?				
	17	If an IDN, provide the script of the label (both in English and as referenced by ISO 15924).				
	18	If an IDN, list all the code points contained in the U-label according to Unicode form.				

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19	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. Submission of IDN tables in a standards-based format is encouraged.				
20	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.				
21	OPTIONAL Provide representation of label in International Phonetic Alphabet.	See the International Phonetic Alphabet at http://www.langsci.ucl.ac.uk/ipa/ . If provided, this information will be used as a guide to ICANN in communications regarding the application.			
Community-based Designation	22	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.		
	23	In the event of string contention does the community-based applicant elect a comparative (community priority) evaluation as the preferred method of resolving the contention?	If community-based, an applicant has the option to elect a comparative (community priority) evaluation in the event of string contention. See Module 4 of the Applicant Guidebook for more information on string contention resolution procedures.e (
	24	(a) Provide the name and full description of the community that you represent. Community-based applications participating in a comparative (community priority) evaluation will be scored based on the community identified in response to this question.	Descriptions should include: <ul style="list-style-type: none"> • How the community is delineated from Internet users generally. Such descriptions may include, but are not limited to, the following: membership, registration, or licensing processes, operation in a particular industry, use of a language. • How the community is organized. • When the community was established, including the date(s) of formal organization, if any. • The current estimated size of the community. 	Responses to Question 24 are not scored in the Initial Evaluation. Responses may be scored, in a comparative (community priority) evaluation, if applicable. Criteria and scoring methodology for the (comparative (community priority) evaluation are described in Module 4 of the Applicant Guidebook.	
		(b) Explain the applicant's relationship to the community identified in 24(a).			
		(c) Provide a description of the community-based purpose of the TLD.	Descriptions should include: <ul style="list-style-type: none"> • Intended registrants in the TLD. • Intended end-users of the TLD. • Related activities the applicant has carried out or intends to carry out in service of this purpose. <p>This response will automatically populate the applicant's response to Question 26, Mission and Purpose, with the stated community-based purpose provided here.</p>		

	#	Question	Notes	Scoring Range	Criteria	Scoring
		(d) Explain the relationship between the applied-for gTLD string and the community identified in 24(a).				
		(e) Provide a complete description of the applicant's intended registration policies in support of the community-based purpose of the TLD. Policies and enforcement mechanisms are expected to constitute a coherent set.	<p>Descriptions should include proposed policies, if any, on the following:</p> <ul style="list-style-type: none"> • Eligibility: who is eligible to register a second-level name in the TLD, and how will eligibility be determined. • Name selection: what types of second-level names may be registered in the TLD. • Content/Use: what restrictions, if any, the operator will impose on how a registrant may use its registered name • Enforcement: what investigation practices and mechanisms exist to enforce the policies above, what resources are allocated for enforcement, and what appeal mechanisms are available to registrants. 			
		(f) Attach any written endorsements for the application from groups representative of the community identified in 24(a). An applicant may submit endorsements by multiple institutions.				
Geographical Names	25	(a) Is the application for a geographical name?	An applied-for gTLD string is considered a geographical name if it is: (a) a country or territory name as defined in the Applicant Guidebook; (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; or (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 governments or public authorities.	See the documentation requirements in Module 2 of the Applicant Guidebook.			
General Questions	26	Describe the mission/purpose of your proposed gTLD.				

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	27 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 must not 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 any such issues are identified, 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.
Protection of Geographical Names in TLD	28 Describe proposed measures for protection of geographic names at the second and other levels.	Applicants should consider and describe how they will incorporate GAC advice in their management of second-level domain name registrations. See "Principles regarding New gTLDs" at http://gac.icann.org/index.php?name=Imp_doc . For reference, applicants may draw on existing methodology developed for the reservation and release of country names in the .INFO top-level domain. See ".info Procedure" at http://gac.icann.org/index.php?name=Imp_doc . Proposed measures will be posted for public comment as part of the application.			

	#	Question	Notes	Scoring Range	Criteria	Scoring
Demonstration of Technical & Operational Capability	29	<p>Technical Overview of Proposed Registry: provide a technical overview of the proposed registry, including details concerning:</p> <ul style="list-style-type: none"> • the type of registry that will be operated. • the interfaces that will be provided for registration. <p>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.</p> <p>This high level summary should not repeat answers to questions below.</p>		0-2	<p>Complete answer demonstrates:</p> <ol style="list-style-type: none"> (1) complete knowledge and understanding of technical aspects of registry technical requirements; (2) an adequate level of resiliency for the registry's technical operations; (3) consistency with currently deployed technical/operational solutions; (4) consistency with the business model and planned size of the registry; and (5) adequate resourcing for the technical plan in the planned costs in the registry business plan. 	<p>2 - exceeds requirements: Response includes</p> <ol style="list-style-type: none"> (1) highly developed and detailed technical plans; (2) provision of a high level of resiliency; (3) full interplay and consistency of technical and business requirements; and (4) evidence of technical resources already on hand or fully committed. <p>1 - meets requirements: Response includes</p> <ol style="list-style-type: none"> (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) technical plans are commensurate with business model; (3) demonstrates that technical resources required to carry through the plans for this element are readily available. <p>0 - fails requirements: Does not meet the requirements to score 1.</p>
	30	<p>Network Architecture: provide 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:</p> <ul style="list-style-type: none"> • 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	<p>Complete answer demonstrates:</p> <ol style="list-style-type: none"> (1) detailed network architecture; (2) physical and logical security infrastructure deployed; (3) solutions used to monitor the registry operations; (4) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (5) a technical plan that is adequately resourced in the planned costs in the registry business plan. 	<p>2 - exceeds requirements: Response includes</p> <ol style="list-style-type: none"> (1) Evidence of highly developed and detailed network architecture; (2) Evidence of a high level of resiliency, robust and secure infrastructure, network performance metrics monitored and network bandwidth provisions; (3) Network architecture shows full interplay and consistency of technical and business requirements; and (4) Technical resources are already on hand or fully committed. <p>1 - meets requirements: Response includes</p> <ol style="list-style-type: none"> (1) Plans for network architecture describe all necessary elements; (2) Descriptions demonstrate adequate network architecture providing robustness and security of the registry; and (3) Bandwidth and SLA are commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. <p>0 - fails requirements: Does not meet the requirements to score 1.</p>

#	Question	Notes	Scoring Range	Criteria	Scoring
31	<p>Database Capabilities: provide details of database capabilities including:</p> <ul style="list-style-type: none"> • 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	<p>Complete answer demonstrates:</p> <p>(1) complete knowledge and understanding of database capabilities to meet the registry technical requirements;</p> <p>(2) database capabilities are consistent with the business model and planned size of the registry;</p> <p>(3) a technical plan that is adequately resourced in the planned costs in the registry business plan; and</p> <p>(4) database monitoring and resolution of issues in a timely manner.</p>	<p>2 - exceeds requirements: Response includes</p> <p>(1) Highly developed and detailed description of database capabilities;</p> <p>(2) Evidence of comprehensive database capabilities, including high scalability and redundant database infrastructure, operational and reporting procedures are reviewed regularly and follow leading practices;</p> <p>(3) Database capabilities show full interplay and consistency of technical and business requirements; and</p> <p>(4) Technical resources are already on hand or fully committed.</p> <p>1 - meets requirements: Response includes</p> <p>(1) Plans for database capabilities describe all necessary elements;</p> <p>(2) Descriptions demonstrate adequate database capabilities (not leading practices), with database throughput, scalability, and database operations with limited operational governance;</p> <p>(3) Database capabilities are commensurate with business model; and</p> <p>(4) Demonstrates that technical resources required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements</p> <p>Does not meet the requirements to score 1.</p>
32	<p>Geographic Diversity: provide a description of plans for geographic diversity of name servers and operations centers. This may include registry plans to use Anycast or other geo-diversity measures.</p>		0-2	<p>Complete answer demonstrates:</p> <p>(1) geographic diversity of nameservers and operations centers;</p> <p>(2) the proposed geo-diversity measures are consistent with the business model and planned size of the registry; and</p> <p>(3) a technical plan that is adequately resourced in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements: Response includes</p> <p>(1) Highly developed and detailed geo-diversity strategy, including specific number and locations of name servers worldwide;</p> <p>(2) A high level of resiliency, security, and bandwidth;</p> <p>(3) Evidence of highly developed measures for geo-diversity of operations, with locations and functions;</p> <p>(4) Full interplay and consistency of technical and business requirements; and</p> <p>(5) Technical resources are already on hand or fully committed.</p> <p>1 - meets requirements: Response includes</p> <p>(1) Description of geodiversity plans includes all necessary elements;</p> <p>(2) Plans provide adequate geo-diversity of name servers and operations;</p> <p>(3) Geo-diversity plans are commensurate with business model; and</p> <p>(4) Demonstrates that technical resources required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements:</p> <p>Does not meet the requirements to score 1.</p>

#	Question	Notes	Scoring Range	Criteria	Scoring
33	<p>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.</p> <p>Describe the services to be provided, the resources used to implement the services, and demonstrate how the system will function. Suggested information includes:</p> <p>Services. Query rates to be supported at initial operation, reserve capacity of the system, name server update method, and performance. How will these be scaled as a function of growth in the TLD?</p> <p>Resources. Complete server hardware and software. Descriptions to evaluate if they are compliant with RFCs. Are these dedicated or shared with any other functions (capacity/performance)? Network bandwidth and addressing plans for servers.</p> <p>Examples of evidence include server configurations, network addressing and bandwidth for query load and update propagation, security and DDOS policy, headroom to meet surges, monitoring and remediation process.</p>		0-2	<p>Complete answer demonstrates:</p> <p>(1) adequate description of configurations of nameservers and compliance with respective DNS protocol-related RFCs;</p> <p>(2) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and</p> <p>(3) a technical plan that is adequately resourced in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements: Response includes:</p> <p>(1) Highly developed and detailed plans to ensure compliance with DNS protocols;</p> <p>(2) A high level of resiliency;</p> <p>(3) Full interplay and consistency of technical and business requirements; and</p> <p>(4) Technical resources are already on hand or committed.</p> <p>1 - meets requirements: Response includes</p> <p>(1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</p> <p>(2) Plans are sufficient to result in compliance with DNS protocols;</p> <p>(3) Plans are commensurate with business model; and</p> <p>(4) Demonstrates that technical resources required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1.</p>
34	<p>SRS Performance: describe the plan for operation of a robust and reliable Shared Registration System. SRS is a critical registry function for enabling multiple registrars to provide domain name registration services in the TLD. Please refer to the requirements in Sections 1-3 of the Registry Interoperability, Continuity, and Performance Specification (Specification 6) attached to the draft Base Agreement.</p>		0-1	<p>Complete answer demonstrates:</p> <p>(1) a robust plan for operating a reliable SRS.</p> <p>(2) scalability and performance are consistent with the business model and planned size of the registry.</p> <p>(3) a technical plan that is adequately resourced in the planned costs in the registry business plan; and</p> <p>(4) evidence of compliance with Specification 6 to the Base Agreement.</p>	<p>1 - meets requirements: Response includes</p> <p>(1) Evidence of highly developed and detailed plan to operate a robust and reliable SRS;</p> <p>(2) SRS plans are sufficient to result in compliance with the Registry Continuity, Interoperability, and Performance Specifications;</p> <p>(3) Full interplay and consistency of technical and business requirements; and</p> <p>(4) Demonstrates that technical resources are 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
35	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.	1 - meets requirements: Response includes (1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) EPP templates and schemas compliant with RFCs and provide all necessary functionalities for registrar interface; (3) Full interplay and consistency of technical and business requirements; and (4) Demonstrates that technical resources are already on hand, or committed or readily available. 0 - fails requirements Does not meet the requirements to score 1.
36	Security Policy: provide an outline of the security policy and procedures for the proposed registry, including: <ul style="list-style-type: none"> • system and network access control, ensuring systems are maintained in a secure fashion, including details of how they are monitored, logged and backed up • provisioning and other measures that mitigate risks posed by denial of service attacks; • computer and network incident response policies, plans, and processes; • plans to minimize the risk of unauthorized access to its systems or tampering with registry data; • intrusion detection mechanisms; • a threat analysis for the proposed registry and the defenses that will be deployed against those threats; • details for auditing capability on all network access; • independent assessment report to demonstrate security capabilities; • any augmented security levels or capabilities commensurate with the nature of the applied for gTLD string. 		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) security capabilities are consistent with the business model and planned size of the registry; (3) a technical plan adequately resourced in the planned costs in the registry business plan; (4) security measures are consistent with any commitments made to registrants regarding security levels; and (5) security measures appropriate for the applied-for gTLD string (For example, certain industry- or financially-oriented TLDs may call for a higher level of security. ICANN looks forward to working with the financial services community and others to define standards around this.)	2 - exceeds requirements: Response includes (1) Evidence of highly developed and detailed security capabilities, with various baseline security levels, independent benchmarking of security metrics, robust periodic security monitoring, and continuous enforcement; (2) Independent assessment report available with leading practices being followed; (3) Full interplay of business and technical requirements, including any special security requirements due to the nature of the applied-for gTLD string; and (4) Technical resources are already on hand or fully committed. 1 - meets requirements: Response includes (1) Adequate level of detail to substantially demonstrate capability and knowledge to meet this element; (2) Evidence of adequate security capabilities, enforcement of logical access control, threat analysis, incident response, and auditing. Ad-hoc oversight and governance and leading practices being followed. (3) Security capabilities aligned with the business model/scale and commitments made to registrants; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
37	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. Describe how 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 this 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: Response includes (1) Evidence of highly developed and detailed network architecture and implementation plan, indicating IPv6 reachability allowing IPv6 transport in the network in compliance to IPv4 IANA specifications with at least 2 separated nameservers; (2) A high level of resiliency; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources are 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) Evidence of adequate implementation plan addressing requirements for IPv6 reachability, including identification of IPv6 reachable nameservers; (3) IPv6 plans are commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements: Does not meet the requirements to score 1.
38	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." (Spec 4) 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) Whois services compliant with RFCs and provide all necessary functionalities for user interface; (3) Whois capabilities commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are already on hand or readily available. 0 - fails requirements: Does not meet the requirements to score 1.
39	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 registration lifecycles and states; and (2) consistency with any specific commitments made to registrants as adapted to the business plan of the proposed gTLD.	1 - meets requirements: Response includes (1) Evidence of highly developed registration life cycle with definition of various registration states and transition between the states; (2) Consistency of registration lifecycle with commitments to registrants and with business and technical plans; and (3) Demonstrates that technical resources required to carry through the plans for this element are already on hand or readily available. 0 - fails requirements: Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
40	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 .	Note: Although no changes from v2 of the Applicant Guidebook are present here, the applicant questions and requirements regarding abuse policies are expected to evolve as a result of community discussions on how to address the "overarching issues" of trademark protection and malicious conduct. See https://st.icann.org/new-gtld-overarching-issues/index.cgi . ICANN continues to encourage suggestions in this area.	0-2	Complete answer describes mechanisms designed to (1) prevent abusive registrations, and (2) identify and address the abusive use of registered names on an ongoing basis.	2 - exceeds requirements: (1) Evidence of highly developed rights protection mechanisms (RPM) 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 ongoing operations. 1 - meets requirements: (1) Proposed registry operator commits to and describes rights protection mechanisms and (2) These mechanisms provide protections at least at registry start-up. 0 - fails requirements: Does not meet the requirements to score 1.
41	Data Backup: provide details of frequency and procedures for backup of data, hardware and systems used for backup, data format, 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 backup and retrieval process that is consistent with the business model and planned size of the registry; and (3) a technical plan that is adequately resources in the planned costs in the registry business plan.	2 - exceeds requirements: Response includes (1) Evidence of highly developed data backup policies and procedures, with continuous robust monitoring, continuous enforcement of backup security, regular review of backups, regular recovery testing, and recovery analysis. Leading practices being followed. (2) A high level of resiliency; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources are already on hand or fully committed. 1 - meets requirements: Response includes (1) Adequate backup procedures, recovery steps, and retrieval capabilities available; (2) Minimal leading practices being followed; (3) Backup procedures commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements: Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
42	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.		0-2	Complete answer demonstrates: (1) compliance with Specification 2 of the draft base agreement; (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) Evidence of highly developed and detailed data escrow procedures, including continuous monitoring, archiving, and periodic review for continuous registry operations; (2) Evidences compliance with Specification 2 of the base agreement; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources are 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) Data escrow plans are sufficient to result in compliance with the Data Escrow Specification; (3) Escrow capabilities are commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements: Does not meet the requirements to score 1.
43	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; 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 systems for maintaining registry continuity; (2) A high level of resiliency; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources are already on hand or committed. 1 - meets requirements: (1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) Continuity plans are sufficient to result in compliance with requirements; (3) Continuity plans are commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
44	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) Evidence of highly developed registry transition plan including time required for transitions, feasibility analysis during transition, robust monitoring the pre- and post-delegation phases; (2) A high level of resiliency; (3) Full interplay and consistency of technical and business requirements; and (4) A transition provider is already on hand. 1 - meets requirements: (1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) Evidence of adequate registry transition plan with ad hoc monitoring during registry transition; (3) Transition plan is commensurate with business model; and (4) Resources for registry transition are fully committed. 0 - fails requirements: Does not meet the requirements to score 1.
45	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 business plan.	2 - exceeds requirements: Response includes (1) Evidence of highly developed and detailed failover testing plan, including periodic testing, robust monitoring, review, and analysis; (2) A high level of resiliency; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources for failover testing are already on hand or fully committed. 1 - meets requirements: (1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) Evidence of adequate failover testing plan with ad hoc review and analysis of failover testing results; (3) Failover testing plan is commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements: Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
46	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.	2 - exceeds requirements: Response includes (1) Evidence showing highly developed and detailed fault tolerance/monitoring and redundant systems deployed with real-time monitoring tools/dashboard (metrics) deployed and reviewed regularly; (2) A high level of resiliency; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources for monitoring and fault escalation are 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) Evidence showing adequate fault tolerance/monitoring systems planned with ad hoc monitoring and limited periodic review being performed; (3) Plans are commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements: Does not meet the requirements to score 1.
47	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.	DNSSEC is an optional service. Absence of DNSSEC implementation or plans will not detract from an applicant's score. However, ICANN expects that implementation of DNSSEC will be a requirement for all gTLDs within a five-year timeframe.	0-2	DNSSEC is an optional service. 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.	2 - exceeds requirements: Response includes (1) Evidence of highly developed and detailed policies and procedures for DNSSEC, with compliance to required RFCs, secure encryption key management (exchange and storage); (2) Key management procedures for registrants in the proposed TLD; (3) Full interplay and consistency of technical and business requirements; and (4) Technical resources are already on hand or committed. Applicant must also be able to pass requirements for DNSSEC in pre-delegation check. 1 - meets requirements: Response includes (1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; (2) Evidence of an adequate DNSSEC implementation plan that provides a high level of resiliency; (3) Technical plan is commensurate with business model; and (4) Demonstrates that technical resources required to carry through the plans for this element are readily available. 0 - fails requirements: Does not meet the requirements to score 1.

#	Question	Notes	Scoring Range	Criteria	Scoring
48	<p>OPTIONAL.</p> <p>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 public interfaces to the databases such as Whois and EPP. Describe how the IDN implementation will comply with RFCs 3454, 3490, 3491, and 3743.</p>	<p>IDNs are an optional service. Absence of IDN implementation or plans will not detract from an applicant's score.</p>	0-2	<p>IDNs are an optional feature. Complete answer demonstrates:</p> <p>(1) complete knowledge and understanding of this aspect of registry technical requirements;</p> <p>(2) a technical plan that is adequately resourced in the planned costs in the registry business plan;</p> <p>(3) consistency with the commitments made to registrants in the purpose of the registration and registry services descriptions; and</p> <p>(4) issues regarding use of scripts are settled and IDN tables are posted.</p>	<p>2 - exceeds requirements: Response includes</p> <p>(1) Evidence of highly developed and detailed procedures for IDNs, including complete IDN tables, compliance with IDNA/IDN guidelines and RFCs, periodic monitoring of IDN operations;</p> <p>(2) Evidence of ability to resolve rendering and known IDN issues or IDN attacks;</p> <p>(3) Full interplay and consistency of technical and business requirements; and</p> <p>(4) Technical resources are already on hand or committed.</p> <p>1 - meets requirements: Response includes</p> <p>(1) Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</p> <p>(2) Evidence of adequate implementation plans for IDNs in compliance with IDNA/IDN guidelines;</p> <p>(3) IDN plans are consistent with business model; and</p> <p>(4) Demonstrates that technical resources required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements:</p> <p>Does not meet the requirements to score 1.</p>
Demonstration of Financial Capability	<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:</p> <p>(1) Complete and authenticated statements are provided as well as</p> <p>(2) Unaudited statements for most recent period.</p> <p>1 - meets requirements:</p> <p>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:</p> <p>Does not meet the requirements to score 1. For example, entity with operating history fails to provide audited statements.</p>

#	Question	Notes	Scoring Range	Criteria	Scoring
50	<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 template is 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	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>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 ongoing 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 importantly, 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 ongoing concern. 0 - fails requirements: Does not meet the requirements to score 1.</p>
51	<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	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. Costs identified include the financial instrument described in question 53 below.	<p>2 - exceeds requirements: (1) Cost elements describe 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 consistent with an operation of the registry volume/scope/size as described by the applicant; (3) Most estimates are derived from actual examples of previous registry operations or equivalent; and (4) Conservative estimates are based on those experiences and describe a range of anticipated costs, using 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 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 1.</p>

#	Question	Notes	Scoring Range	Criteria	Scoring
	(b) Describe anticipated ranges in projected costs. Describe factors that affect those ranges. (Responses to this question will be kept confidential.)				
52	(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) 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.	<p>2 - exceeds requirements:</p> <p>(1) Existing funds are quantified, segregated, and earmarked for registry operations and earmarked for this purpose only in an amount adequate for three years operation.</p> <p>(2) If ongoing operations are to be resourced from existing funds (rather than revenue from ongoing operations), that funding is segregated and earmarked for this purpose only in an amount adequate for three years operation.</p> <p>(3) Revenues are clearly tied to projected business volumes, market size and penetration; and</p> <p>(4) Assumptions made are regarded as conservative by industry experts.</p> <p>1 - meets requirements -</p> <p>(1) Existing funds are quantified, identified as available, and budgeted;</p> <p>(2) If ongoing operations are to be resourced from existing funds (rather than revenue from ongoing operations), that funding is quantified and its sources identified in an amount adequate for three years operation;</p> <p>(3) Revenues are directly related to projected business volumes, market size and penetration; and</p> <p>(4) Assumptions made are regarded as reasonable by an industry expert;</p> <p>0 - fails requirements:</p> <p>Does not meet the requirements to score 1.</p>
	(b) Describe anticipated ranges in projected funding and revenue. Describe factors that affect those ranges. (Responses to this question will be kept confidential.)				

#	Question	Notes	Scoring Range	Criteria	Scoring
53	(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; and (2) Action plans and operations are 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; and (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 1.
	(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
54	<p>Continuity: Registrant protection is critical and thus New gTLD applicants are requested to provide evidence indicating that critical functions will continue to be performed even if the applicant's business suffers or funding is not sustained. First, costs for maintaining critical registrant protection functions are to be estimated. Second, methods of securing the funds required to perform those functions for three to five years are to be described by the applicant. (Responses to this question will be kept confidential.)</p>	<p>1. Applicants are requested to provide cost estimates for funding basic operations on an annual basis. The basic functions of a registry which must be supported even if an applicant's business and/or funding fails include:</p> <ul style="list-style-type: none"> a. Maintenance of nameservers and DNS for registered domain names b. Shared Registration System c. Whois service d. Registrar billing and accounting e. Data security and data escrow f. IDN Tables (if IDNs are offered by the registry) g. DNSSEC Keys (if DNSSEC is offered by the registry) <p>These are identified as critical functions of a registry in the gTLD Registry Continuity Plan; see http://www.icann.org/en/registries/continuity/ for more information.</p> <p>2. Applicants must provide evidence of how the funds required for performing these basic functions are ensured, so as to protect registrants. Evidence can be in the form of financial instruments or contracts such as:</p> <ul style="list-style-type: none"> • Contracting with Other Registries: A contract can be entered into whereby a more established and secure Registry agrees to operate the applicant's Registry should a future need arise • Restricted Cash: Cash held by a third party trustee or held in an account with specific restrictions • Other collateral: Assets such as stocks, bonds, negotiable paper, or real estate pledged • Third Party Guaranty: A financially secure organization provides a guaranty for the applicant or pledges assets • Letters of credit (LOC), bonds: Standby Letters of Credit, irrevocable letters of credit, or "evergreen" letters of credit, performance bonds, surety bonds are financial instruments issued by a bank to ensure payments are made if the applicant fails. The forms, language, and institution backing an LOC determine its strength as collateral. • Sinking Fund: Funds are set aside, over time, by the Registry building up to an amount sufficient to cover the potential obligation. • Pooled sinking fund: Applicants may be able to pool together their risks and pay into a collective sinking fund to cover any registry that may fail belonging to the pool 	0-3	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>3 - exceeds requirements: 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: 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 1.</p>

	#	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 - 12 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.	-			
	24	Address of the principal place of business of the Applicant. This address will be used for contractual purposes. No Post Office boxes are allowed.				
	35	Phone number for where the Applicant's can be reached in its <u>p</u> Principal <u>p</u> Place of <u>b</u> Business.				
	46	Fax number for where the Applicant's can be reached at its <u>p</u> Principal <u>p</u> Place of Business.				
	57	Email address for where the Applicant's can be reached at its <u>p</u> Principal <u>p</u> Place of <u>b</u> 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.				
Primary Contact for this Application	611	Name				
		Title				
		Address				
		Phone number				
		Fax number				
		Email address				
Secondary Contact for this Application	712	Name				
		Title				
		Address				
		Phone number				
		Fax number				
		Email address				

<p><u>Proof of Legal Establishment</u></p>	<p><u>8(a)</u></p>	<p><u>Legal form of the Applicant. (e.g., limited liability partnership, corporation, non-profit institution).</u></p>	<p>-</p>			
	<p><u>8(b)</u></p>	<p><u>State the specific national or other jurisdictional law that defines the type of entity identified in 8(a).</u></p>	<p>-</p>			

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.				
	8(c)	Attach evidence of the applicant's establishment as the type of entity identified in Question 8(a) above, in accordance with the applicable laws identified in Question 8(b)	<u>Applications without valid proof of legal establishment will not be evaluated further.</u>			
Proof of Good Standing	9(a)	<u>Identify the specific organizational or business purpose(s) of the entity specified in Question 8.</u>				
	9(b)	If the applicant operates in a regulated industry where a specific document is required to operate under the laws identified (e.g., banking, insurance), the applicant must attach a copy of its current, unrevoked permission or certificate to engage the activity or operate as the type of business entity identified above. If the applicant's business purpose does not	<u>It may be possible to satisfy this requirement with the document submitted for proof of legal establishment. In this case, applicant must note so in its response.</u> <u>Applications without valid proof of good standing will not be evaluated further.</u>			

		<u>require such permission or certification, the applicant must attach a certificate from the incorporating body or alternative organization authorized by the incorporating body verifying the continued validity of the applicant (e.g., certificate of good standing or affidavit from a notary public). The applicant must clearly explain the chain of authority from the law identified above to the alternative organization providing the documentation.</u>				
	<u>104</u>	Business ID, Tax ID, VAT, or equivalent of the Applicant.				
<u>-Applicant Background</u>	<u>11(a)</u> 5	Enter the full name, contact information, and position of all directors, officers, and shareholders holding at least 15% of the shares.	<u>B-background checks may be conducted on individuals named..</u>			
	<u>11(b)</u>	<u>Enter the full name, contact information, and position of all officers.</u>				
	<u>11(c)</u>	<u>Enter the full name, contact information and position of all shareholders holding at least 15% of shares.</u>				
	<u>11(d)</u>	<u>Indicate whether the applicant or any of its directors, officers, or shareholders named above</u> <u>i. within the past ten years, has been convicted of a felony or of a misdemeanor related to financial or corporate governance activities, or has been judged by a court to have committed fraud or breach of fiduciary duty, or has been the subject of a judicial determination that is similar or related to any</u>	<u>ICANN may deny an otherwise qualified application for any of the following reasons:</u> <u>Applicant, or any officer, director, or manager, or any person or entity owning (or beneficially owning) fifteen percent or more of applicant:</u> <u>a. within the past ten years, has been convicted of a felony or of a misdemeanor related to financial or corporate</u>			

		<p><u>of these:</u></p> <p><u>ii. within the past ten years, has been disciplined by the government of its, her, or his domicile for conduct involving dishonesty or misuse of funds of others;</u></p> <p><u>iii. is currently involved in any judicial or regulatory proceeding that could result in a conviction, judgment, determination, or discipline of the type specified in (a) or (b); or</u></p> <p><u>iv. is the subject of a disqualification imposed by ICANN and in effect at the time of this application.</u></p> <p><u>If any of the above events have occurred, please provide details.</u></p>	<p><u>governance activities, or has been judged by a court to have committed fraud or breach of fiduciary duty, or has been the subject of a judicial determination that ICANN deemed as the substantive equivalent of any of these:</u></p> <p><u>b. within the past ten years, has been disciplined by any government or industry regulatory body for conduct involving dishonesty or misuse of the funds of others;</u></p> <p><u>c. is currently involved in any judicial or regulatory proceeding that could result in a conviction, judgment, determination, or discipline of the type specified in (a) or (b); or</u></p> <p><u>d. is the subject of a disqualification imposed by ICANN and in effect at the time the application is considered.</u></p>			
	<u>11(e)</u>	<u>Indicate whether the applicant or any of its directors, officers, or shareholders named above have demonstrated a pattern or practice of, or been found liable for, cybersquatting or domain-related abuses.</u>	<p><u>ICANN may deny an otherwise qualified application for any of the following reasons:</u></p> <p><u>Applicant, or any officer, director, or manager, or any person or entity owning (or beneficially owning) fifteen percent or more of applicant is the subject of a pattern of decisions indicating liability</u></p>			

		<p><u>for, or repeated practice of bad faith in regard to domain name registrations, including:</u></p> <p><u>(i) acquiring domain names primarily for the purpose of selling, renting, or otherwise transferring the domain name registrations to the owner of a trademark or service mark or to a competitor, for valuable consideration in excess of documented out-of-pocket costs directly related to the domain name; or</u></p> <p><u>(ii) registering domain names in order to prevent the owner of the trademark or service mark from reflecting the mark in a corresponding domain name; or</u></p> <p><u>(iii) registering domain names primarily for the purpose of disrupting the business of a competitor; or</u></p> <p><u>(iv) using domain names with intent to attract, for commercial gain, Internet users to a web site or other on-line location, by creating a likelihood of confusion with a trademark or service mark as to the source, sponsorship, affiliation, or endorsement of the web site or location or of a product or service on the web site or location.</u></p>			
	<u>11(f)</u>	<u>Disclose whether the applicant has been involved in any administrative or other legal proceeding, as plaintiff or defendant, in which allegations of trademark infringement of a</u>			

		<u>domain name have been made. Provide an explanation related to each such instance.</u>				
Evaluation Fee	<u>126</u>	Enter the confirmation information of your payment of the evaluation fee (e.g., wire transfer confirmation number).				
Community-based Designation	<u>17</u>	<u>Is the application for a community-based TLD?</u>	<u>There is a presumption that the application is for an open TLD (as defined in the Applicant Guidebook) if this question is left unanswered.</u>			
	<u>18</u>	<u>In the event of string contention does the community-based applicant elect comparative evaluation?</u>	<u>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.</u>			
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	<u>19</u>	<u>(a) If community-based, provide the name and clearly describe the community that you represent.</u>	<u>• 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.</u>	-	<u>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.</u>	
		<u>(b) Describe how the applicant has an ongoing relationship with a defined community that consists of a restricted population.</u>	-	-	-	
		<u>(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).</u>	-	-	-	

		(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	1320	Provide the applied-for gTLD string, <u>i.e., the ASCII label</u> (If applying for an IDN, provide the A-label <u>(beginning with "xn—"</u> label).	Responses to Questions 1320- <u>2128</u> are not scored, but are used for database and validation purposes.			
	1421	If <u>applying for</u> an IDN, provide the U-label. <u>The U-label is an IDNA-valid string of Unicode characters, including at least one non-ASCII character.</u>	<u>The U-label is an IDNA-valid string of Unicode characters, including at least one non-ASCII character.</u>			
	1522	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.				
	1623	If an IDN, provide the language of the label (<u>both</u> in English and as referenced by ISO-639-1)?				
	1724	If an IDN, provide the script of the label (<u>both</u> in English and as referenced by ISO 15924).				
	1825	If an IDN, list all the code points contained in the U-label according to Unicode form.				

	<u>1926</u>	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. <u>Submission of IDN tables in a standards-based format are is encouraged, to be submitted in a standards based format.</u>				
	<u>2027</u>	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.				
	<u>218</u>	<u>OPTIONAL.</u> 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.			
<u>Community-based Designation</u>	<u>22</u>	<u>Is the application for a community-based TLD?</u>	<u>There is a presumption that the application is for an open TLD (as defined in the Applicant Guidebook) if this question is left unanswered.</u>			
	<u>23</u>	<u>In the event of string contention does the community-based applicant elect a comparative (community priority) evaluation as the preferred method of resolving the contention?</u>	<u>If community-based, an applicant has the option to elect a comparative (community priority) evaluation in the event of string contention. See Module 4 of the Applicant Guidebook for more information on string contention resolution procedures.</u>			

	24	<p><u>(a) Provide the name and full description of the community that you represent. Community-based applications participating in a comparative (community priority) evaluation will be scored based on the community identified in response to this question.</u></p>	<p><u>Descriptions should include:</u></p> <ul style="list-style-type: none"> <u>How the community is delineated from Internet users generally. Such descriptions may include, but are not limited to, the following: membership, registration, or licensing processes, operation in a particular industry, use of a language.</u> <u>How the community is organized.</u> <u>When the community was established, including the date(s) of formal organization, if any.</u> <p><u>The current estimated size of the community.</u></p>	-	<p><u>Responses to Question 24 are not scored in the Initial Evaluation. Responses may be scored, in a comparative (community priority) evaluation, if applicable. Criteria and scoring methodology for the community priority evaluation are described in Module 4 of the Applicant Guidebook.</u></p>	
		<p><u>(b) Explain the applicant's relationship to the community identified in 24(a).</u></p>		-		
		<p><u>(c) Provide a description of the community-based purpose of the TLD.</u></p>	<p><u>Descriptions should include:</u></p> <ul style="list-style-type: none"> <u>Intended registrants in the TLD.</u> <u>Intended end-users of the TLD.</u> <p><u>Related activities the applicant has carried out or intends to carry out in service of this purpose.</u></p> <p><u>If filled out, this will automatically populate Question26, on mission/purpose.</u></p>	-		
		<p><u>(d) Explain the relationship between the applied-for gTLD string and the community identified in 24(a).</u></p>		-		
		<p><u>(e) Provide a complete description of the applicant's intended registration policies in support of the community-based purpose of the TLD. Policies and enforcement mechanisms are expected to constitute a</u></p>	<p><u>Descriptions should include proposed policies, if any, on the following:</u></p> <ul style="list-style-type: none"> <u>Eligibility: who is eligible to register a second-level name in the TLD, and how will eligibility be determined.</u> 			

		<u>coherent set.</u>	<ul style="list-style-type: none"> • <u>Name selection: what types of second-level names may be registered in the TLD.</u> • <u>Content/Use: what restrictions, if any, will the operator impose on how a registrant may use its name</u> • <u>Enforcement: what investigation practices and mechanisms exist to enforce the policies above, what resources are allocated for enforcement, and what appeal mechanisms are available to registrants.</u> 		
		<u>(f) Attach any written endorsements for the application from groups representative of the community identified in 24(a). An applicant may submit endorsements by multiple institutions.</u>			
Geographical Names	<u>2529</u>	(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	<u>2630</u>	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).				

	<p>2731</p>	<p>Provide name and full description of all the Registry Services to be provided.</p>	<p>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.</p>	<p>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 can <u>must</u> not significantly impact DNS Stability or Security.</p> <p>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.</p> <p>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</p>	<p>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 <u>any such issues are identified it does</u>, 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.</p>
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					<p>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.</p>	
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<p><u>Protection of Geographical Names in TLD</u></p>	<p><u>28</u></p>	<p><u>Describe proposed measures for protection of geographic names at the second and other levels.</u></p>	<p><u>Applicants should consider and describe how they will incorporate GAC advice in their management of second-level domain name registrations. See “Principles regarding New gTLDs” at http://gac.icann.org/index.php?name=Imp_doc.</u></p> <p><u>For reference, applicants may draw on existing methodology developed for the reservation and release of country names in the .INFO top-level domain. See “.info Procedure” at http://gac.icann.org/index.php?name=Imp_doc.</u></p> <p><u>Proposed measures will be posted for public comment as part of the application.</u></p>			
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<p>Demonstration of Technical & Operational Capability</p>	<p>2932 Technical Overview of Proposed Registry: provide a technical overview of the proposed registry, including details concerning:</p> <ul style="list-style-type: none"> • the type of registry that will be operated and • the interfaces that will be provided for registration transactions. <p>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.</p> <p>This high level summary shouldneed not repeat answers to questions below.</p>		<p>0-2 Complete answer demonstrates:</p> <p>(1) (1) complete knowledge and understanding of <u>technical aspects of this aspect of registry technical requirements,</u></p> <p>(2) <u>an adequate level of resiliency for the registry's technical operations;</u></p> <p>(3) <u>consistency with currently deployed technical/operational solutions;</u></p> <p>(4) <u>a technical plan scope/scale consistency</u> with the business model and planned size of the registry; and</p> <p>(5) <u>a technical plan that is adequately resourcing for technical planed</u> in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements:</p> <p>Response includes (1) highly developed and detailed <u>technical plans around these Registry operational criteria;</u></p> <p>(2) provision of a high level of resiliency;</p> <p>(3) full interplay and consistency of technical and business requirements; and</p> <p>(4) <u>technical evidence of technical resources</u> expertise already on hand or fully committed.</p> <p>1 - meets requirements:</p> <p>Response includes (1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</p> <p>(2) <u>technical plans are commensurate with business model demonstrates understanding of business impacts of this requirement;</u></p> <p>(3) demonstrates that technical <u>resources</u> expertise</p>
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	<p>3033 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.</p> <p>Answers should include information such as:</p> <ul style="list-style-type: none"> • 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. 		<p>0-2 Complete answer demonstrates:</p> <p>(1) (1) detailed network architecture,</p> <p>(2) physical and logical security infrastructure deployed,</p> <p>(3) solutions used to monitor the registry operations;</p> <p>(4) a technical plan scope/scale that is consistent with the business model and planned size of the registry; and (5) a technical plan that is adequately resourced in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements: Response includes (1) <u>Evidence of highly developed and detailed network architecture;</u> (2) <u>Evidence of a high level of resiliency, robust and secure infrastructure, network performance metrics monitored and network bandwidth provisions; and plans around these Registry operational criteria.</u> (2) <u>Plans provide a high level of resiliency, and</u> (3) <u>Network architecture shows full interplay and consistency of technical and business requirements, and</u> (4) <u>Technical resources expertise are already on hand or fully committed.</u></p> <p>1 - meets requirements: Response includes (1) <u>Plans for network architecture describe all necessary elements;</u> (2) <u>Descriptions demonstrate adequate network architecture providing robustness</u></p>
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							<p>and security of the registry; and adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</p> <p>(2) <u>Evidence of adequate backup operations, logical and physical security monitoring solutions deployed, demonstrates understanding of business impacts of this requirement;</u> and</p> <p>(3) <u>Bandwidth and SLA are commensurate with business model; and</u></p> <p>(4) demonstrates that technical <u>resource expertise</u> 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>
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	<p>314 Database Capabilities: provide details of database capabilities including:</p> <ul style="list-style-type: none"> • <u> </u>-database software, • <u> </u> size, • <u> </u> throughput, • <u> </u> scalability, procedures for object creation, editing, and deletion, • <u> </u>-change notifications, • <u> </u> registrar transfer procedures, • <u> </u>-grace period implementation and • <u> </u>-reporting capabilities. 		<p>0-2 Complete answer demonstrates: (1) complete knowledge and understanding of <u>database capabilities to meet the registry technical requirements</u>; 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; <u>and</u> (4) <u>database monitoring and resolution of issues in a timely manner</u>.</p>	<p>2 - exceeds requirements: Response includes (1) <u>Highly developed and detailed description of database capabilities</u>; (2) <u>(1)-Evidence of comprehensive database capabilities, including high scalability and redundant database infrastructure, operational and reporting procedures are reviewed regularly and follow leading practices</u>; <u>highly developed and detailed plans around these Registry operational criteria</u>. (2) <u>Plans provide a high level of resiliency, and</u> (3) <u>Database capabilities show full interplay and consistency of technical and business requirements</u>; <u>and</u> (4) <u>Technical resources are expertise is already on hand or fully committed</u>. 1 - meets requirements:</p>
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						<p>Response includes</p> <p>(1) <u>Plans for database capabilities describe all necessary elements;</u></p> <p>(2) <u>Descriptions demonstrate adequate database capabilities (not leading practices), with database throughput, scalability, and database operations with limited operational governance, adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u></p> <p>(3) <u>Database capabilities are commensurate with business model; and demonstrates understanding of business impacts of this requirement; and</u></p> <p>(4) <u>demonstrates that technical resources/expertise required to carry through the plans for this element are/is readily available.</u></p> <p>0 - fails requirements: Does not meet the requirements to score 1</p>
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	<p>3²⁵ Geographic Diversity: provide a description of plans for geographic diversity of</p> <ul style="list-style-type: none"> • <u> </u> name servers and • <u> </u> operations centers. <p>This may include Registry plans to use Any cast or other geo-diversity measure.</p>		<p>0-2 Complete answer demonstrates:</p> <p>(1) geographic diversity of nameservers and operations centers;</p> <p>(2) the proposed geo-diversity measures area technical plan scope/scale that is consistent with the business model and planned size of the registry; and</p> <p>(3) a technical plan <u>that</u> is adequately resourced in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements: Response includes (1) _____ (1)<u>Highly developed and detailed geo-diversity strategy, including specific number and locations of name servers worldwide;</u></p> <p>(2) _____ - highly developed and detailed plans around these Registry operational criteria. Plans provide <u>(2) A</u> high level of resiliency, <u>security, and bandwidth;</u></p> <p>(3) _____ Evidence of highly developed measures for geo-diversity of operations, with locations and functions; and <u>(4)</u> Full interplay and consistency of technical and business requirements, and (5) <u>4</u> Technical expertise resources are is already on hand or committed.</p> <p>1 - meets requirements: Response includes (1) <u>Description of geodiversity plans includes all necessary</u></p>
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						<p>elements; (2) Plans provide <u>adequate geo-diversity of name servers and operations;</u> <u>and adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u> (3) <u>Geo-diversity plans are commensurate with business model demonstrates understanding of business impacts of this requirement;</u> and (4) <u>demonstrates that technical resources expertise required to carry through the plans for this element are readily available.</u></p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
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	<p>336 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.</p> <p><u>Describe the services to be provided, the resources used to implement the services, and demonstrate how the system will function. Suggested information includes:</u></p> <p><u>Services. Query rates to be supported at initial operation, and reserve capacity of the system. How will these be scaled as a function of growth in the TLDs? Similarly, name server update method and performance.</u></p> <p><u>Resources. Complete server hardware and software.</u></p> <p><u>Descriptions to evaluate if they are compliant with RFCs. Are these dedicated or shared with any other functions (capacity/performance)? Network bandwidth and addressing plans for servers.</u></p> <p><u>Examples of evidence include:</u></p> <ul style="list-style-type: none"> • <u>Server configuration(s)</u> • <u>Network addressing and bandwidth for query load and update</u> 		<p>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>	<p>2 - exceeds requirements: Response includes: (1) <u>H</u>ighly developed and detailed plans <u>to ensure compliance with DNS protocols; around these Registry operational criteria. Plans provide</u> (2) <u>A</u>a high level of resiliency; <u>and full interplay and</u> (3) <u>F</u>ull interplay and consistency of technical and business requirements; and (4) Technical <u>r</u>esources <u>are expertise is</u> already on hand or committed. 1 - meets requirements: Response includes: - (1) <u>A</u>adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; <u>(2) Plans are sufficient to result in compliance with DNS protocols; and</u> <u>(3) Plans are commensurate with business model; and demonstrates understanding of</u></p>
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		<ul style="list-style-type: none"> <u>propagation</u> <u>Security and DDOS policy</u> <u>Headroom to meet surges</u> <u>Monitoring and remediation process</u> 				<p>business impacts of this requirement; and (3) -(4) demonstrates that technical resources expertise required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
	347	<p>SRS Performance: describe the plan for operation of a robust and reliable Shared Registration System. <u>SRS is a critical registry function for enabling multiple registrars to provide domain name registration services in the TLD.</u> Please refer to the requirements in <u>Sections 1-3 of</u> the Registry Interoperability, Continuity, and Performance Specification (<u>Specification 6</u>) attached to the draft Base Agreement.</p>		0-1	<p>Complete answer demonstrates:</p> <p>(1) <u>a robust plan for operating a reliable SRS complete knowledge and understanding of this aspect of registry technical requirements;</u></p> <p>(2) <u>scalability and performance area technical plan scope/scale consistent with the business model and planned size of the registry; and</u></p> <p>(3) a technical plan that is adequately resourced in the planned costs in the registry business plan; <u>and</u></p>	<p>1 - meets requirements: Response includes (1) <u>Evidence of highly developed and detailed plan to operate a robust and reliable; SRStadequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u></p> <p>(2) <u>SRS plans are sufficient to result in</u></p>

					<p>(4) <u>evidence of compliance with Specification 6 to the Base Agreement.</u></p>	<p><u>compliance with the Registry Continuity, Interoperability, and Performance Specifications, detailed plans around the proposed Shared Registry System for the TLD;</u> (3) <u>F</u>ull interplay and consistency of technical and business requirements; and (4) <u>D</u>emonstrates that technical <u>resources</u> <u>are</u> <u>expertise is</u> already on hand,- or committed or readily available. 0 - fails requirements: Does not meet the requirements to score 1.</p>
	<p>358</p>	<p>EPP: provide a detailed description of the interface with registrars, including compliance with Extensible Provisioning Protocol in RFCs 4930-4934.</p> <p>Provide the EPP templates and schemas that will be used.</p>		0-1	<p>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>	<p>1 - meets requirements: Response includes (1) <u>A</u>dequate level of detail to substantially demonstrate capability and knowledge required to meet this element, (2) <u>detailed plans around the proposed</u> EPP templates and schemas <u>compliant with RFCs and provide all necessary</u></p>

						<p><u>functionalities for registrar interface;</u> (3) <u>Full</u> interplay and consistency of technical and business requirements, and (4) Demonstrates that technical <u>resources</u> are expertise is already on hand, -or committed or readily available. 0 - fails requirements: Does not meet the requirements to score 1.</p>
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	<p>369 Security Policy: provide an outline of the security policy and procedures for the proposed registry, including:</p> <ul style="list-style-type: none"> • (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; • <u>any augmented security levels or capabilities commensurate with the nature of the applied-for gTLD string.-</u> 		<p>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 <u>any</u> the commitments made to registrants regarding security levels; <u>and (5) security measures appropriate for the applied-for gTLD string. (For example, certain financial or industry-oriented TLDs may call for a higher level of security) .-</u></p>	<p>2 - exceeds requirements: Response includes (1) <u>Evidence of highly developed and detailed security capabilities, with various baseline security levels, independent benchmarking of security metrics, robust periodic security monitoring, and continuous enforcement; plans around these Registry operational criteria. Plans provide (2) a high level of resiliency and (23) Independent assessment report available with leading practices being followed; and (3) Full interplay of business and technical requirements, including any special security requirements due to the nature of the applied-for gTLD string; full interplay and consistency of technical and business requirements, and</u></p>
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							<p>demonstrates that technical resources<u>expertise</u> required to carry through the plans for this element <u>are</u>is readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
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	<p>3740 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. <u>Describe how t</u>he registry will meet this same criterion for IPv6, requiring IPv6 transport to their network.</p>		<p>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.</p>	<p>2 - exceeds requirements: <u>Response includes:</u> (1) <u>Evidence of highly developed and detailed network architecture and implementation plan, indicating IPv6 reachability allowing IPv6 transport in the network in compliance to IPv4 IANA specifications with at least 2 separated nameservers;</u>Response includes highly developed and detailed plans around these Registry operational criteria; (2) <u>Plans provide a high level of resiliency;</u>and (3) <u>Full interplay and consistency of technical and business requirements;</u>and (4) <u>Technical resources are expertise is already on hand or committed.</u> (5) Response demonstrates knowledge and experience with IPv6 requirements and a detailed implementation plan.</p>
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					<p>1 - meets requirements: Response includes (1) <u>Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u> (2) <u>Evidence of adequate implementation plan addressing requirements for IPv6 reachability, including identification of IPv6 reachable nameservers; adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u> (3) <u>demonstrates understanding of business impacts of this requirement; IPv6 plans commensurate with business model; and (3) demonstrates that technical resources expertise required to carry through the plans for this element are is readily available. (4) Response demonstrates</u></p>
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								<p>awareness of IPv6 requirements and a plan for securing resources for implementation.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
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	<p><u>384</u> ±</p>	<p>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." <u>(Spec 4)</u> Describe how the Applicant's Registry Publicly Available Registration Data (Whois) service will comply with RFC 3912.</p>		<p>0-1</p>	<p>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>	<p>1 - meets requirements: Response includes (1) <u>(1) adequate level of detail to substantially demonstrate capability and knowledge required to meet this element; and</u> (2) <u>(2) Whois services compliant with RFCs and provide all necessary functionalities for user interface;</u> (3) <u>(3) Whois capabilities commensurate demonstrates understanding of with business model; and business impacts of this requirement; and</u> (3)-(4) demonstrates that technical resources expertise required to carry through the plans for this element are already on hand or is readily available. 0 - fails requirements: Does not meet the requirements to score 1.</p>
	<p><u>3942</u></p>	<p>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</p>		<p>0-1</p>	<p>Complete answer demonstrates: (1) complete knowledge and understanding of <u>registration lifecycles and states this aspect of registry technical requirements;</u> and (2) consistency with any specific commitments made to registrants</p>	<p>1 - meets requirements: Response includes (1) <u>Evidence of highly developed registration life cycle with definition of various registration states and transition between the states adequate level of detail</u></p>

	<p>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.</p>		<p>as adapted to the business <u>plan</u> of the proposed gTLD.</p>	<p>to substantially demonstrate capability and knowledge required to meet this element; (2) Consistency of registration lifecycle with commitments to registrants and with business and technical plans; and demonstrates understanding of business impacts of this requirement; (3) demonstrates that technical resources <u>expertise</u> required to carry through the plans for this element <u>are</u> already on hand or readily available. 0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
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	<p>4043 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.</p>	<p><u>-Note: Although no changes from v2 of the Applicant Guidebook are present here, the applicant questions and requirements regarding abuse policies are expected to evolve as a result of community discussions on how to address the "overarching issues" of trademark protection and malicious conduct. See https://st.icann.org/new-gtld-overarching-issues/index.cgi. ICANN continues to encourage suggestions in this area.</u></p>	<p>0-2</p>	<p>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.</p>	<p>2 - exceeds requirements: (1) <u>Evidence of highly developed rights protection mechanisms (RPM). Protection of rights mechanisms are specified in detail for inclusion into registry agreement.</u> (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 2.</p>
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	<p>414 <u>Data</u> Backup: provide</p> <ul style="list-style-type: none"> • <u> </u> details of frequency and procedures for backup of data, • <u> </u> -hardware, and systems used for backup, • <u> </u> data format, escrow, or other • <u> </u> data backup features, and • <u> </u> procedures for retrieval of data/rebuild of database. 		<p>0-2 Complete answer demonstrates:</p> <p>(1) detailed backup processes deployed, retrieval process and frequency;</p> <p>(2) a <u>backup and retrieval processtechnical plan scope/scale</u> that is consistent with the business model and planned size of the registry; and</p> <p>(3) a technical plan that is adequately resourced in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements: Response includes (1) <u>Evidence of highly developed data backup policies and procedures, with continuous robust monitoring, continuous enforcement of backup security, regular review of backups, regular recovery testing, and recovery analysis. Leading practices being followed and detailed plans around these Registry operational criteria. Plans provide</u></p> <p>(2) <u>Aa</u> high level of resiliency; and</p> <p>(3) <u>F</u>ull interplay and consistency of technical and business requirements; <u>and-</u></p> <p>(4) Technical <u>resources are expertise is</u> already on hand or fully committed.</p> <p>1 - meets requirements: Response includes (1) <u>Adequate backup procedures, recovery steps, and retrieval capabilities available; andadequate level of</u></p>
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					<p>detail to substantially demonstrate capability and knowledge required to meet this element;</p> <p>(2) Minimal leading practices being followed; and</p> <p>(3) Backup procedures commensurate with business model.. demonstrates understanding of business impacts of this requirement; and (4)</p> <p>demonstrates that technical resources expertise required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score a 1- or 2.</p>
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	<p>425 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.</p>	<p>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.</p>	<p>0-2</p>	<p>Complete answer demonstrates: (1) compliance with <u>registry data escrow Specification 2 of the draft base agreements</u>; (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.</p>	<p>2 - exceeds requirements: Response includes (1) <u>(1) Evidence of highly developed and detailed data escrow procedures, including continuous monitoring, archiving, and periodic review for continuous registry operations;</u> (2) <u>Evidences compliance with Specification 2 of the base agreement ;highly developed and detailed plans around these Registry operational criteria. Plans provide (3) Full interplay of technical and business requirements..a high level of resiliency and (3) full interplay and consistency of technical and business requirements, and (4) technical resources are expertise is already on hand or committed.</u> 1 - meets requirements: Response includes (1) <u>Adequate level of detail to substantially demonstrate capability and knowledge required</u></p>
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							<p>to meet this element; <u>(2) Data escrow plans are sufficient to result in compliance with the Data Escrow Specification;</u> <u>adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u> <u>and</u> <u>(3) Escrow capabilities are commensurate with business model;</u> <u>and demonstrates understanding of business impacts of this requirement;</u> (4) demonstrates that technical <u>resource expertise</u> required to carry through the plans for this element <u>are</u> readily available. 0 – fails requirements: Does not meet the requirements to score a 1 or 2.</p>
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	<p>436 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.</p>		<p>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 (34) a technical plan that is adequately resourced in the planned costs in the registry business plan.</p>	<p>2 - exceeds requirements: Response includes (1) <u>H</u>ighly developed and detailed <u>s</u>ystems <u>f</u>or <u>m</u>aintaining <u>r</u>egistry <u>c</u>ontinuity; <u>p</u>lans <u>a</u>round <u>t</u>hese <u>R</u>egistry <u>o</u>perational <u>c</u>riteria. <u>P</u>lans <u>p</u>rovide (2) <u>A</u>a high level of resiliency and (3) <u>F</u>ull interplay and consistency of technical and business requirements, and (4) technical <u>r</u>esources <u>a</u>re <u>e</u>xpertise <u>i</u>s already on hand or committed. 1 - meets requirements: Response includes (1) <u>A</u>adequate level of detail to substantially demonstrate capability and knowledge required to <u>m</u>ee<u>t</u> <u>t</u>his <u>e</u>lement; (2) <u>C</u>ontinuity <u>p</u>lans <u>a</u>re <u>s</u>ufficient <u>t</u>o <u>r</u>esult <u>i</u>n <u>c</u>ompliance <u>w</u>ith <u>r</u>equirements; <u>m</u>ee<u>t</u> <u>t</u>his <u>e</u>lement; (3) <u>C</u>ontinuity <u>p</u>lans <u>a</u>re <u>c</u>ommensurate <u>w</u>ith <u>b</u>usiness <u>m</u>odel; <u>a</u>nd <u>d</u>emonstrates <u>u</u>nderstanding <u>o</u>f</p>
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					<p>business impacts of this requirement; (43) demonstrates that technical resourcesexpertise required to carry through the plans for this element areis readily available. 0 - fails requirements: Does not meet the requirements to score a 1or 2.</p>
	447	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	<p>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> <p>2 - exceeds requirements: Response includes (1)-Evidence of highly developed registry transition plan including time required for transitions, feasibility analysis during transition, robust monitoring the pre- and post-delegation phases; and detailed plans around these Registry operational criteria. Plans provide (2) A high level of resiliency; and (3) Ffull interplay and consistency of technical and business requirements, and (4) technical expertise is already on hand or</p>

						available. 0 - fails requirements: Does not meet the requirements to score a 1- or 2.
	4 5 8	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.	2 - exceeds requirements: Response includes (1) _____ (1) Evidence of highly developed and detailed failover testing plan, including periodic testing, robust monitoring, review, and analysis; and (2) _____ plans around these Registry operational criteria. Plans provide (2) Aa high level of resiliency; (3) _____ and Ffull interplay and consistency of technical and business requirements; and- (4) Technical expertise is already on hand or committed. Technical resources for failover testing are already on hand or fully committed. 1 - meets requirements: Response includes (1) <u>Adequate level of detail to substantially</u>

						<p><u>demonstrate capability and knowledge required to meet this element;</u> <u>(2) Evidence of adequate failover testing plan with ad hoc review and analysis of failover testing results, level of detail to substantially demonstrate capability and knowledge required to meet this element;</u> <u>(2) demonstrates understanding of business impacts of this requirement; and</u> <u>(3) Failover testing plan is commensurate with business model; and (4) Demonstrates that technical resources expertise required to carry through the plans for this element are readily available.;</u> 0 - fails requirements: Does not meet the requirements to score a 1-or 2.</p>
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	<p>469 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.</p>		<p>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>	<p>2 - exceeds requirements: Response includes (1) <u>Evidence showing highly developed and detailed fault tolerance/monitoring plans are and redundant systems deployed with real-time monitoring tools / dashboard (metrics) deployed and reviewed regularly; and these Registry operational criteria. Plans provide (2) <u>A</u> high level of resiliency; and (3) <u>F</u>ull interplay and consistency of technical and business requirements, and (3) technical expertise is already on hand or committed. Technical resources for monitoring and fault escalation are already on hand or fully committed. 1 - meets requirements: Response includes (1) <u>Adequate level of detail to substantially demonstrate capability and knowledge required</u></u></p>
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										<p>to meet this element; (2) Evidence showing adequate fault tolerance/monitoring systems planned with ad hoc monitoring and limited periodic review being performed; level of detail to substantially demonstrate capability and knowledge required to meet this element; (3) Plans are commensurate with business model; demonstrates understanding of business impacts of this requirement; and (4) Demonstrates that technical resources expertise required to carry through the plans for this element are readily available.</p> <p>0 - fails requirements: Does not meet the requirements to score 1 or 2.</p>
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	<p>4750 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.</p>	<p><u>-DNSSEC is an optional service. Absence of DNSSEC implementation or plans will not detract from an applicant's score. However, ICANN expects that implementation of DNSSEC will be a requirement for all gTLDs within a five-year timeframe.</u></p>	<p>0-2 <u>DNSSEC</u> is an optional service 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>	<p>2 - exceeds requirements: Response includes (1) <u>Evidence of</u> highly developed and detailed <u>policies and procedures for DNSSEC, with compliance to required RFCs, secure encryption key management (exchange and storage) implementation plan that provides a high level of resiliency;</u> (2) <u>Key</u> management procedures for registrants in the proposed TLDs; (3) <u>F</u>ull interplay and consistency of technical and business requirements; and (4) <u>T</u>echnical <u>resources are</u> <u>expertise that is</u> already on hand or committed. Applicant must also be able to pass requirements for DNSSEC in pre-delegation check. 1 - meets requirements: Response includes (1) <u>Adequate level of detail to substantially</u></p>
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	<p>4851 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. <u>Describe how the IDN implementation will comply with RFCs 3454, 3490, 3491, and 3743.</u></p>	<p><u>IDNs are a-n optional service. Absence of IDN implementation or plans will not detract from an applicant's score</u></p>	<p>0-2</p>	<p>IDNs are-<u>This is</u> an optional service 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 registry 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 <u>IDN-language variant</u> tables are posted.</p>	<p>2 - exceeds requirements: Response includes (1) _____ <u>(1) Evidence of highly developed and detailed procedures for IDNs, including complete IDN tables, compliance with IDNA/IDN guidelines and RFCs, periodic monitoring of IDN operations,</u> (2) _____ <u>Evidence of ability to resolve rendering and known IDN issues or IDN attacks.</u> implementation plans around these Registry operational criteria for IDNs providing a high level of resiliency; (3) F <u>ull interplay and consistency of technical and business requirements; and</u> (4) I <u>technical resources are expertise already on hand or committed; and</u> (4) IDN tables are complete; (5) demonstrated knowledge and experience with IDNA and IDN guidelines.</p>
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						<p>1 - meets requirements: Response includes (1) <u>Adequate level of detail to substantially demonstrate capability and knowledge required to meet this element;</u> (2) <u>Evidence of adequate implementation plans for IDNs in compliance with IDN/IDNA guidelines</u><u>level-of-detail to substantially demonstrate capability and knowledge required to meet this element;</u> (3) <u>IDN plans are consistent with business model;</u> demonstrates understanding of business impacts of this requirement; (4) <u>Demonstrates that technical resources required to carry through the plans for this element are readily available.</u> demonstrates that technical expertise required to carry through the plans for this element is readily available; and (4) may contain some</p>
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						<p>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>
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<p>Demonstration of Financial Capability</p>	<p><u>4952</u></p>	<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>		<p>0-2</p>	<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. 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.</p>
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	<p>5053</p>	<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 <u>template</u> is 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>		<p>0-2</p>	<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</p>
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	<p>514 (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>		<p>0-2</p>	<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. <u>Costs identified include the financial instrument described in question 53 below.</u></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:</p>
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						<p>registry services, technical requirements and other aspects as described by the applicant.</p> <p>(2) Estimated costs are consistent and</p> <p>(3) defensible with an operation of the registry volume/scope/size as described by the applicant.</p> <p>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.</p> <p>(Responses to this question will be kept confidential.)</p>				

	<p>525 (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.</p> <p>(Responses to this question will be kept confidential.)</p>		<p>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.</p>	<p>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.</p> <p>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</p>
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						<p>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.</p>
		<p>(b) Describe anticipated ranges in projected funding and revenue. Describe factors that affect those ranges. (Responses to this question will be kept confidential.)</p>				

	<p>536 (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.)</p>		<p>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.</p>	<p>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</p>
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						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.)				

	547	<p>Continuity: <u>Registrant protection is critical and thus New gTLD applicants are requested to provide evidence indicating that critical functions will continue to be performed even if the applicant's business suffers or funding is not sustained. First, costs for maintaining critical registrant protection functions are to be estimated. Second, methods of securing the funds required to perform those functions for three to five years are to be described by the applicant.</u></p> <p><u>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.)</u></p>	<p><u>1. Applicants are requested to provide cost estimates for funding basic operations on an annual basis. The basic functions of a registry which must be supported even if an applicant's business and/or funding fails include:</u></p> <ul style="list-style-type: none"> <u>a. Maintenance of nameservers and DNS for registered domain names</u> <u>b. Shared Registration System</u> <u>c. Whois service</u> <u>d. Registrar billing and accounting</u> <u>e. Data security and data escrow</u> <u>f. IDN Tables (if IDNs are offered by the registry)</u> <u>g. DNSSEC Keys (if DNSSEC is offered by the registry)</u> <p><u>These are identified as critical functions of a registry in the gTLD Registry Continuity Plan; see http://www.icann.org/en/registries/continuity/ for more information.</u></p> <p><u>2. Applicants must provide evidence of how the funds required for performing these basic functions are ensured, so as to protect registrants. Evidence can be in the form of financial instruments or contracts such as:</u></p> <ul style="list-style-type: none"> <u>• Contracting with Other Registries: A contract can be entered into whereby a more established and secure Registry agrees to operate the applicant's Registry should a future need arise</u> <u>• Restricted Cash: Cash held by a third party trustee or held in an</u> 	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: <u>F Bond or other</u> 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: <u>F Bond or other</u> 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>
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			<p><u>account with specific restrictions</u></p> <ul style="list-style-type: none"> • <u>Other collateral: Assets such as stocks, bonds, negotiable paper, or real estate pledged</u> • <u>Third Party Guaranty: A financially secure organization provides a guaranty for the applicant or pledges assets</u> • <u>Letters of credit (LOC), bonds: Standby Letters of Credit, irrevocable letters of credit, or "evergreen" letters of credit, performance bonds, surety bonds are financial instruments issued by a bank to ensure payments are made if the applicant fails. The forms, language, and institution backing an LOC determine its strength as collateral.</u> • <u>Sinking Fund: Funds are set aside, over time, by the Registry building up to an amount sufficient to cover the potential obligation.</u> • <u>Pooled sinking fund: Applicants may be able to pool together their risks and pay into a collective sinking fund to cover any registry that may fail belonging to the pool</u> <p><u>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.</u></p>		<p>0 - fails requirements: Does not meet the requirements to score a 1-or2.</p>
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Projections Template (Refer to Question 50)

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