New gTLD Program Technical and Financial Clarifying Questions: Links / Available Materials
as of 28 Feb 2018

Clarifying Questions (CQ) Basis:

Per the Applicant Guidebook: "As part of the evaluation process, evaluators may request clarification or additional information during the Initial Evaluation period. For each application, clarifying questions will be consolidated and sent to the applicant from each of the panels. The applicant will thus have an opportunity to clarify or supplement the application in those areas where a request is made by the evaluators."

Note: The term 'Clarification Questions' and 'Clarifying Questions' are used interchangeably throughout the New gTLD Program. The abbreviation CQ is used to refer to both terms.

Technical/Operational and Financial Application Questions:

Questions #24 – 44 in the Applicant Guidebook (AGB) were related to Technical & Operational Capability.

- Questions #24 – 30 (a) were 'External'. The applicant responses to these questions were published in an HTML file on the New gTLD Application Status microsite page.
- Questions #30 (b) – 44 were 'Internal'. The response to these questions were assessed as part of the application evaluation, but the answers were not publicly posted.

Questions #45 – 50 in the AGB were related to Financial Capability and were 'Internal', not publicly posted.

Supplemental Notes on Technical/Operation and Financial Questions:

Supplemental Notes were additional guidance published by ICANN to assist applicants in completing their applications. While they did not directly address Clarifying Questions (CQ), these Supplemental Notes included clarifications on evaluation criteria for some questions in the application. Applicants had access to use these as a resource to help answer the evaluation questions. Supplemental Notes were published online through ICANN's original CRM tool; however, the links to these articles expired along with the license to the CRM. ICANN org is following up internally to have these links re-established.

Reference Materials:

- ICANN approach to CQs was communicated via webinar *(9 Aug 2012)*: We noted that "A large number of applications will receive clarifying questions." 40%+ of applications require at least 1 Tech CQ and 90%+ of applications require at least 1 Fin CQ.
    - Pilot CQ Notification: In order to ensure consistency of CQs across applications, a CQ Pilot program was conducted. Pilot CQs were not treated as part of the application and did not affect scoring
    - Brief Video: "CQs are specific to each application"
- Financial/Technical & Operational Capability Evaluation Panels *(17 May 2013)*: Process
- New gTLD Program Microsite CQ webpage *(*01 Mar 2013): Process
    - FAQs *(01 March 2013)*: Process
    - Applicant Advisories *(Aug 2016)*: Applicant Advisories were guidance published by ICANN during the Application Evaluation to assist Applicants in responding to specific questions that were likely to require a CQ.
        - Q25 - Proprietary EPP Extensions *(21 Dec 2012)*
        - Q30(b) - Security Policy and Procedures *(9 Jan 2013)*
        - Q48 - Segregation of Funds *(5 Dec 2012)*
        - Q50 - Continuing Operations Instrument - Unconditional Withdrawal of Fund *(5 Dec 2012)*
        - Q50 - Beneficiary Requirement on Letters of Credit *(5 Feb 2013)*
    - Webinar References: There were several overview explanations and status updates related to CQs in webinar.
        - 6 Sep 2012 *(overview)* | ICANN45: 15 Oct 2012 *(overview)*| 14 Nov 2012 *(overview)* | 11 Jan 2013 *(status)* | 5 Feb 2013 *(status)* | 06 Mar 2013 *(status)*| 26 Mar 2013 *(status)*)| 09 May 2013 *(status)*| 05 Jun 2013 *(status)*
- New gTLD Program Implementation Review Report *(29 Jan 2016)*: In January of 2016 ICANN published a report authored by ICANN staff that examined and analyzed several aspects of the New gTLD Program 2012 Round. The section on Clarifying Questions included a breakdown of the number of CQs that were issued per question.

Ninety percent of applications received one or more CQs from the Technical and Operational Capability panel. The table below shows the number of applications that received CQs for each question in the Technical section.

Table 2.6.ii Clarifying Questions Issued by Application Question

Technical Question	Question Description	# Applications with CQ Issued	% Applications with CQ Issued
Q24	Shared Registration System (SRS) Performance	54	3%
Q25	EPP	919	49%
Q26	Whois	142	8%
Q27	Registration Life Cycle	181	10%
Q28	Abuse Prevention & Mitigation	72	4%
Q29	Rights Protection Mechanisms	594	32%
Q30	Security	170	9%
Q31	Technical Overview of Proposed Registry	412	22%
Q32	Architecture	65	3%
Q33	Database Capabilities	18	1%
Q34	Geographic Diversity	24	1%
Q35	DNS Service Compliance	264	14%
Q36	IPV6 Reachability	41	2%
Q37	Data Backup Policies and Procedures	27	1%
Q38	Escrow	30	2%
Q39	Registry Continuity	57	3%
Q40	Registry Transition	121	6%
Q41	Failover Testing	42	2%
Q42	Monitoring and Fault Escalation Processes	13	1%
Q43	DNSSEC	334	18%
Q44	IDNs (Optional)	170	9%

Table 2.7.iii: Clarifying Questions Issued by Question

Financial Questions	Question Description	# Applications	% Applications
Q45	Financial Statements	587	31%
Q46	Projections Template: Costs and Funding	126	7%
Q47	Costs: Setup and Operating	986	53%
Q48	Funding and Revenue	857	46%
Q49	Contingency Planning: Barriers, Funds, Volumes	292	16%
Q50	Continuity: Continued Operations Instrument	1,530	82%