Financial and Technical/Operational Panel Application Evaluation Process

17 May 2013

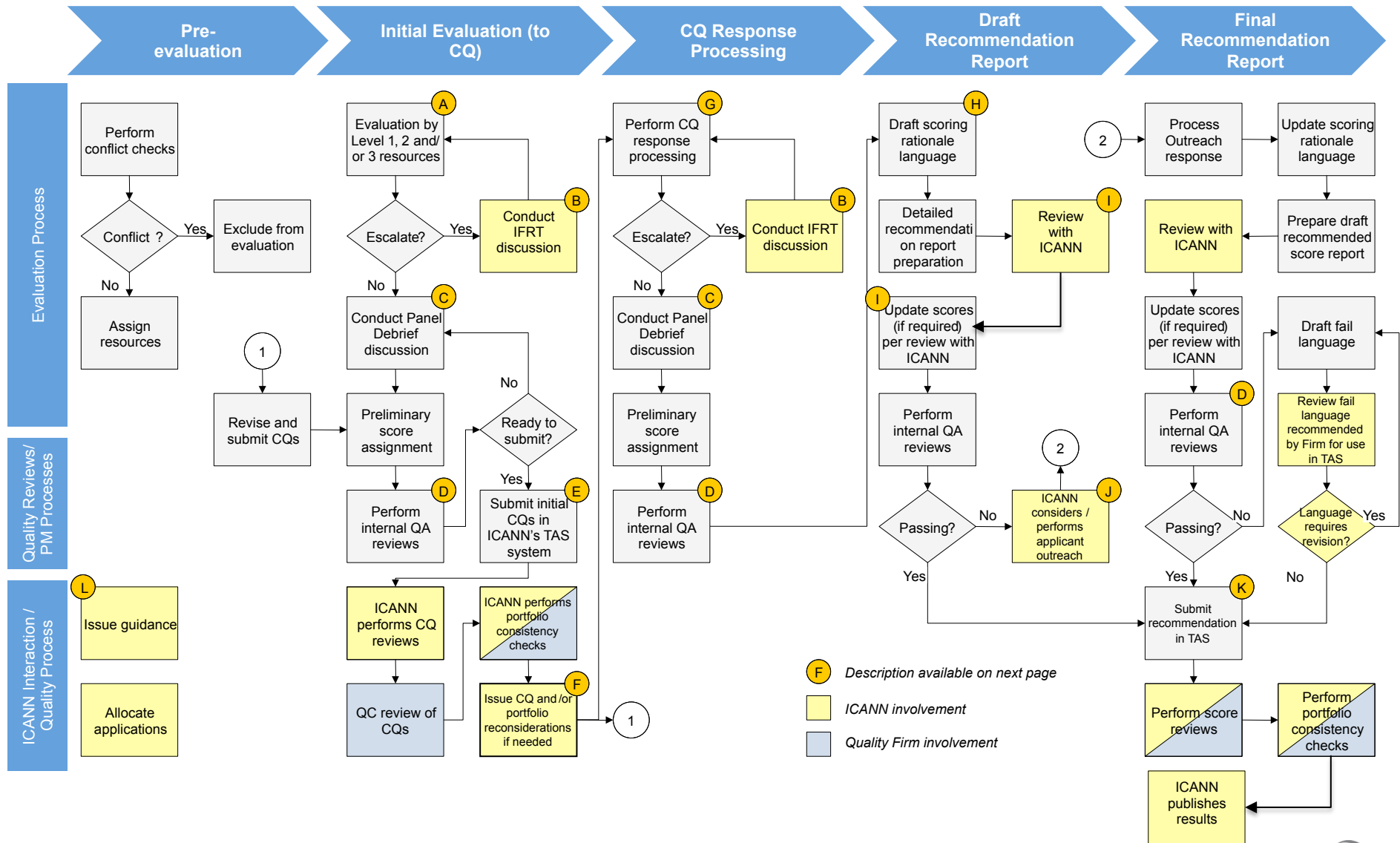ICANN | New Generic Top-Level Domains

Application Evaluation Process
Financial and Technical/Operational Panels

The process documentation was provided to ICANN by the Financial and Technical/Operational Panels (Ernst & Young LLP, JAS, and KPMG LLP) to reflect the overall process utilized by all panel firms in the financial and technical/operational evaluations of new gTLD applications.

The documentation also reflects points of interaction with ICANN necessary for the completion of the financial and technical/operational evaluations. ICANN independently designed the portions of the process for which it is responsible.

In performing the financial and technical/operational evaluations, the panel firms provide ICANN with recommended scores at the conclusion of the evaluation process.

Pre-evaluation | **Initial Evaluation (to CQ)** | **CQ Response Processing** | **Draft Recommendation Report** | **Final Recommendation Report**

Evaluation Process

- Perform conflict checks
- Conflict? — Yes → Exclude from evaluation
- No → Assign resources

- (A) Evaluation by Level 1, 2 and/or 3 resources
- Escalate? — Yes → (B) Conduct IFRT discussion
- No → (C) Conduct Panel Debrief discussion
- Preliminary score assignment
- (D) Perform internal QA reviews

- (G) Perform CQ response processing
- Escalate? — Yes → (B) Conduct IFRT discussion
- No → (C) Conduct Panel Debrief discussion
- Preliminary score assignment
- (D) Perform internal QA reviews

- (H) Draft scoring rationale language
- Detailed recommendation report preparation
- (I) Review with ICANN
- (I) Update scores (if required) per review with ICANN
- Perform internal QA reviews
- Passing? — No → (J) ICANN considers / performs applicant outreach → 2
- Yes →

- 2 → Process Outreach response → Update scoring rationale language
- Prepare draft recommended score report
- Review with ICANN
- Update scores (if required) per review with ICANN
- Perform internal QA reviews
- Passing? — No →
- Yes →
- (D) Draft fail language
- Review fail language recommended by Firm for use in TAS
- Language requires revision? — Yes → / No →

Quality Reviews / PM Processes

- 1 → Revise and submit CQs
- Ready to submit? — No → / Yes → (E) Submit initial CQs in ICANN's TAS system

ICANN Interaction / Quality Process

- (L) Issue guidance
- Allocate applications
- ICANN performs CQ reviews
- ICANN performs portfolio consistency checks
- QC review of CQs
- (F) Issue CQ and/or portfolio reconsiderations if needed → 1

- (K) Submit recommendation in TAS
- Perform score reviews
- Perform portfolio consistency checks
- ICANN publishes results

Legend:
- (F) Description available on next page
- ICANN involvement
- Quality Firm involvement

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Evaluation by Level 1,2, and/or 3 Resources as Needed	IFRT Discussions	Panel Debrief Discussions	Internal QA Reviews
• Level 1 resources perform initial evaluation of applications and drafting of potential CQs • Level 2 and / or Level 3 resources evaluate and review evaluation of applications and CQs • Evaluators utilize ICANN's Evaluator Principles and other Supplemental Notes and Advisories • Evaluators take into consideration application / GAC comments and application change requests	• Inter-Firm Review Team (IFRT) discussions are called by the panels, and held on an as-needed basis • The primary purpose is for firms to discuss and share challenging evaluation situations and align on the treatment of such situations • Discussions are also used to formalize questions relating to AGB criteria that are then sent to ICANN • Apply and / or update evaluations as deemed appropriate	• Evaluators present initial scoring and clarifying questions to the panel lead • These are discussed and changed as appropriate	• Perform a series of reviews utilizing various analytical methods

Submit CQs in ICANN's TAS System	CQ or Scoring reconsiderations	CQ Response Evaluation	Detailed Recommendation Report
• Clarifying Questions (CQs) are uploaded into ICANN's TAS System	• ICANN performs series of reviews including data validation and consistency checks • Following the above reviews, ICANN provides CQ or Scoring reconsiderations to panel firms • After discussions with ICANN, adjustments to CQs and or scoring may be made by panel firms	• CQ response received by ICANN are provided to panel firms for further evaluation • Depending on the complexity they will be evaluated by one or more of Level 1, Level 2, and / or Level 3 resources	• A draft report of recommended scores, pass/fail status, TAS language is prepared for each application

Review Draft Recommendation with ICANN	Outreach	Final Recommendations Submission in TAS	Guidance
• The draft recommendation report is discussed with ICANN • Any score updates (primarily due to clarification of criteria) will then be made by panel firms	• ICANN performs outreach to applicants as deemed appropriate • Any new information received by ICANN as a result of outreach is shared with panel firms	• The scores, and TAS summary language contained in the recommendation report are uploaded into ICANN's TAS system • ICANN performs additional checks (data validation and consistency) prior to publication	• ICANN has provided panel firms with clarification on AGB Criteria • This is in the form of the Evaluator Principles, as well as Supplemental Notes to Evaluators

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