

## **Batching and Secondary Timestamp Processes: Business Requirements**

Processing of new gTLD applications will be done in batches of approximately 500. This number was selected to ensure consistency across evaluations by limiting the required number of evaluators, and to preserve root zone stability by limiting the delegation rate to less than 1000 per year. This is referred to as the "batching process."

The Business Requirements are divided into two sequential sections:

- I. Digital Archery (Secondary Timestamp) Operation – this process requires the creation of systems. Most changes to the business requirements will require extension of the existing schedule.
  - a. Applicant selection of batching preference
  - b. Applicants record timestamps
  - c. ICANN records scores
- II. Batch creation – these processes are manual. Rule adjustments that do not require Guidebook or Policy changes might be accommodated within the existing timeframes.
  - a. Create preliminary batches based on scores, opt-out preference and financial assistance applications
  - b. Adjust batches for geographic diversity
  - c. Adjust batches for string contention and subsequently publish batches

### **SECTION I. DIGITAL ARCHERY OPERATION**

#### **Part 1. Applicant selection of batching preference**

This functionality is available to applicants between 8 June 2012 and 28 June 2012. Each applicant will be notified to log in to an online system to record a batching preference.

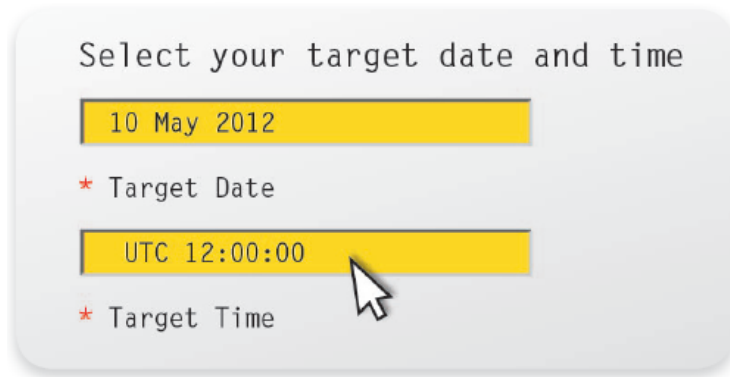
Upon login, each applicant will be presented with their applications that will go through batching, and will be required to agree to the New gTLD Application Batching Rules for each.

Having agreed to the required rules, applicants are presented with two options:

- Opt In: Earliest batch. Selection of this option means that the application will be placed in the earliest batch possible based on its geographic region and timestamp.
- Opt Out: No preference. Selection of this option indicates that the applicant does not have any preference for the timing of the evaluation of the application. Accordingly, these applications will be assigned to batches after all "Opt In" applications have been allocated. However, an

application may be promoted to an earlier batch if an application is part of a contention set, as described in Part 6 below.

Regardless of the selected batching preference, a target time must be selected for each application.



Select your target date and time

10 May 2012

\* Target Date

UTC 12:00:00

\* Target Time

Once a target time has been selected, the applicant is then able to generate a timestamp. Functionality must be available for applicants to modify the target time for an application, until they have completed the follow-up task or the batching period has closed.

The system must provide functionality for testing of the batching server time. Applicants may test the batching server time at any point at which they are logged in to the system.

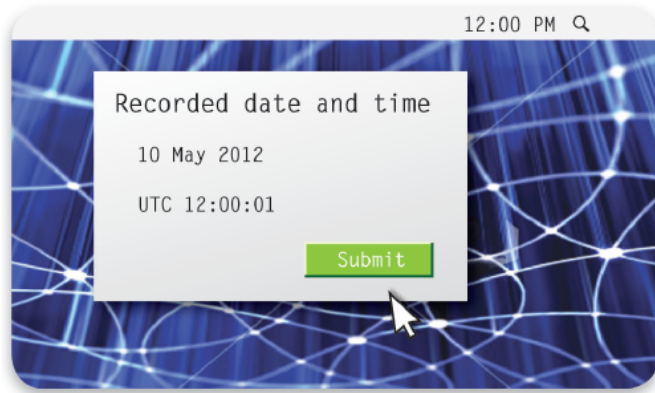
## **Part 2. Applicants record timestamps**

Applicants will log in to the online system and click to generate a command to the batching server to record, to the millisecond, the time of the click.

This task is performed by an applicant on a per-application basis (i.e., a timestamp must be individually recorded for each application).

Applicants may log in to record a timestamp at any point before the batching period closes at the designated time on 28 June 2012.

The steps described in Part 1 and 2 must be completed for each application. If a timestamp has not been generated for an application, the application will be considered incomplete and will not be evaluated further.



### Part 3. ICANN records scores

The absolute difference between the target time and the recorded time is the score for the application. These scores will be automatically sorted from lowest to highest (i.e., the lowest absolute difference will create the lowest score, which will be the highest ranking in the batching order).

*Example:*

Application ID	Score
AD-8327664	00:00:01
JU-8327477	00:00:02
OE-2099474	00:00:03
QJ-3400403	00:00:03
ME-2889924	00:00:03
CH-8873345	00:00:03
NE-2286450	00:00:03

## SECTION II. BATCH CREATION

### Part 4. Constructing preliminary batches

Preliminary batches of 500 will be constructed using the 500 lowest absolute scores from the Opt-In group. All applications with the same score will be kept in the same batch. Therefore, the preliminary batches may be expanded to contain more than 500 applications.


After all applications in the Opt-In group have been assigned to batches, the sorting will continue with the Opt-Out group according to score.

Support Applicants will not be placed in Batch 1, regardless of the score obtained in the secondary timestamp process, except as a result of being in a contention set. Support applications will be integrated into batches, according to score but no earlier than Batch 2, except in the case where the application is in a contention set.

When all applications have been assigned to a batch, the batches will be adjusted, first based on geographic distribution, then on string contention.

**Part 5. Adjust batches for geographic distribution**

ICANN will sort the full set of applications received during the application submission period according to the five ICANN geographic regions, based on the country code provided in the applicant’s response to question 2 in each application. A distribution of applications among the regions will be established after the application window closes in order to create a minimum threshold for the number of applications from that region in any batch. The geographic distribution may be published as part of application statistics on ICANN’s website. The geographic distribution will be used in establishing the batches.

Example:

	# Applications	% of Applications	Minimum in any Batch of 500
Region 1	1000	50	250
Region 2	400	20	100
Region 3	200	10	50

Region 4	200	10	50
Region 5	200	10	50

If Batch 1 contains less than the minimum threshold established in Part 1 for any particular geographic region, the highest-placed applications from that region will be added to Batch 1 until the minimum threshold is met. No applications will be demoted to a later batch as a result of this operation. This may cause batches to expand in size over 500 applications.

Applications from a single region will not be promoted into an earlier batch once the applications from that region represent 50% of the batch. If the number of applications from one geographic region in a batch reaches 50%, no additional applications from that region will be promoted to this batch.

The same procedure will occur for Batch 2, and subsequent batches, until the revised batches are formed.

Example:

- A) All applications have been rank-ordered by batching score. The top 500 are placed in the first batch.
- B) The geographical distribution and minimum batch thresholds are determined using the rules and example above.
- C) The proportion of applications per region in each batch is calculated based on score only. Say the first batch is:

	# Applications	% in Batch
Region 1	275	55
Region 2	75	15
Region 3	50	10
Region 4	75	15
Region 5	25	05

- D) Batch 1 is modified by promoting applications from relevant regions until the absolute number reaches the minimum requirement defined in Part 1:

	# Applications
Region 1	275
Region 2	75 + 25
Region 3	50
Region 4	75
Region 5	25 + 25

E) Batch 2 is now formed out of the next 500 based on scoring. Say the second batch now is:

	# Applications	% in batch
Region 1	240	48%
Region 2	150	30%
Region 3	60	12%
Region 4	25	5%
Region 5	25	5%

F) Batch 2 is modified by promoting applications from relevant regions until the absolute number reaches the minimum requirement defined in Part 1:

	# Applications
Region 1	240 + 10
Region 2	150
Region 3	60
Region 4	25 + 25
Region 5	25

G) And so on until all batches are formed

**Part 6. Adjust batches for string contention and publication**

ICANN will make preliminary determinations of contention sets based upon exact match. Batches will be re-configured so that all applications in a single contention set are placed into the batch where the earliest application is placed.

These preliminary batches will be published on ICANN's website, including the digital archery score for each application.

Once the string similarity panel establishes complete contention sets, including similar strings, final batches will be formed. That is, batches will be re-configured a second time so that all applications in a single contention set are placed into the batch where the earliest application is placed.

No applications will be demoted as a result of the promotion of others. This will likely result in a batch larger than 500. However, there will not be a proportional increase in the number of delegations as a result because not all applications in a contention set can be delegated. For example, if there are 20 applications for the same string, up to 19 of these applications may be promoted to an earlier batch based on the contention. However, only one of those applications could result in delegation of a new TLD.

If the expanded batches will result in delegation rates greater than 1000 annually, the delegations will be metered according to the order in which the applications complete pre-delegation testing and contract execution.