2012-03-04a Annex - Board-Submission-Online Batching System

TITLE: **Batching Selection Process Operational Details**

Batching will be determined once the total number of applications is known. If batching is required then an online batching system will be used to capture the information necessary to determine how applications are divided into batches. The online batching system's primary function will be to capture the applicant's batching preference (i.e., earliest batch or any batch) and a target time variance for each application.   The batching selection process and online system must ensure that batches are created in a secure, consistent, and objective manner.

The flowchart below highlights the steps that the applicant and ICANN will follow to complete the tasks in the online batching system.
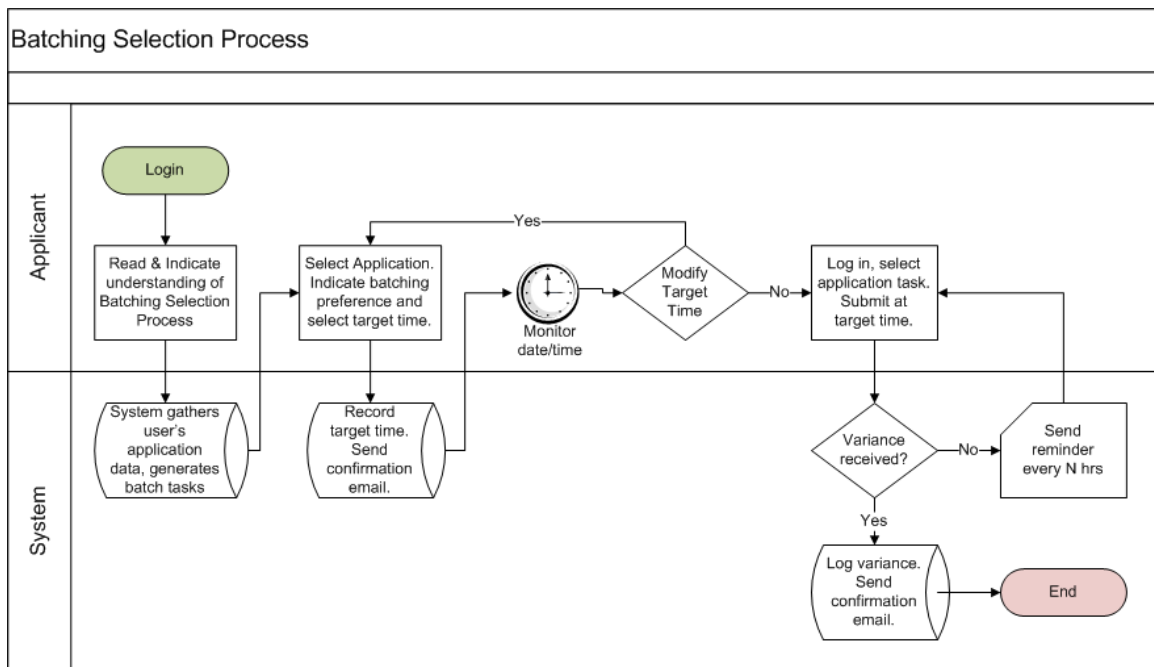

Figure 1 – Online Batching System process flow

<u>Online Batching System</u>

The online batching system leverages the same platform on which the TLD Application System (TAS) is built. TAS has a number of security features to ensure that only authorized applicants are able to access the system. These features will be

applied to the Online Batching System (OBS) so that only authorized users (i.e., gTLD Applicants) can use the system.

Upon logging into the system the applicant is prompted to read and agree to the batching selection process. Once the applicant has agreed they will launch their Applicant Home Page. The Home Page will list the applicant's applications and a set of tasks for each application.

Figure 2 – Applicant's Home Page

For each application the applicant must complete the batching selection process tasks. The Home Page provides a status report of tasks for all applications. In the example above, the applicant clicks on the underlined task "Indicate batch preference & select target time" for application ID 1-234-5768. Clicking on this task launches the following screen & required steps:

Figure 3 – Task 1a

The applicant is now required to select the:

1) Batching preference (Opt In – earliest batch or Opt Out – no preference) and
2) Target date & time.

On this screen the applicant is presented with a detailed set of instructions that will guide them through their required tasks. The instructions are currently being drafted and will be reviewed and approved by Legal prior to adding to the OBS.

Once the applicant completes these tasks they are presented with a confirmation screen that requires the applicant to confirm or edit their selected batching preference and target date and time.

Figure 4 – Task 1b

Note, all times are listed in UTC.

Once the applicant confirms the batching preference and target date & time they will have completed Task 1. The OBS will send a messaging that these steps have been completed.

Figure 5 – Task 1 Confirmation

Targeted dates and times are monitored to ensure that applicants are able to access the OBS. While the system allows a significant number of concurrent users there is an upper limit that ICANN will monitor to ensure that the number of scheduled

target dates and times does not result in the system being unavailable for applicants.

In addition, there is a possibility that an applicant may not be able to record a timestamp for a number of reasons that are outside of the applicant's or ICANN's control. To address this concern an applicant may re-register a new target date and time in the system.

The applicant can launch Task 2 any time after Task 1 has been completed.

APPLICANT HOME PAGE
Applicant: My New TLD, Inc.

Task 1. Indicate Batching Preference and Select Target Date/Time for Each Application

Task Name	Application ID(s)	Applied-for TLD
Indicate batch preference & select target date and time	9-353-4567	.mytld

Task 2. Generate Target Time Variance

Task Name	Applied-for TLD	Batch Preference	Target Date/Time	Action
Generate Target Time Variance 1-234-5768	.example	Earliest	3 May 2012 @ 14:55	Modify

The applicant can now launch Task 2 for application ID 1-234-5768

The applicant is able to modify their target date & time.

Your Completed Applicati...

Application ID	Appl...		Batching Tasks Com...

Figure 7 – Updated Applicant Home Page

On initiating Task 2 the applicant will be presented with the following screen:

Figure 8 – Generating the Target Time Variance

At this point the applicant has the ability to click on the "Generate" button as close to the target time as they deem appropriate. The applicant will use their computer or server time to determine when to click on the "Generate" button. Once the button is clicked the OBS will record the time it received the message from the applicant.

As with Task 1, the applicant is presented with a confirmation message indicating that their message has been received by the OBS and all batching tasks are complete.

Figure 9 – Task 2 Confirmation

And the Applicant's Home Page is also updated.

Figure 10 – Applicant's Home Page on Completion of all Batching Tasks

In the example above, the applicant has completed all batching tasks for application ID 1-234-5768 and has not started any tasks for application ID 9-353-4567.

Calculating the Target Time Variance and Creating Batches

The system calculates the applicant's target time variance by measuring the difference between the target date and time confirmed in Task 1 and the actual time the OBS recorded the message sent by the applicant in Task 2. The time variance before or after the target time will be equal. In other words the time variance is an absolute measurement so that if the OBS records the message from Task 2 one second before or after the applicant's target date & time, the time variance will equal 1 second.

To create batches, the target time variance will be measured in seconds. If the combination of batching preference, geographic region, and target time variance measurement in seconds does not allow ICANN to create batches then smaller time

increments will be used until batches can be established. The OBS will capture time in milliseconds.

Testing the Target Time Variance Process

Applicants are provided with an opportunity to measure the time difference between their computer/system and the OBS.

The testing process will resemble the actual target time variance process so the applicant can practice creating a time variance to help synchronize their computer/system time to the OBS server time. This process will also allow applicants to measure latency based on their location/region. Sample screenshots are listed below:

Test the Online Batching System

Click the "Generate" button to send a message to the Online Batching System (OBS). The OBS will provide the time the "Generate" message was recorded.

Generate   Cancel

The applicant must separately record their computer's time when clicking the "generate" button and measure the variance between their computer's time and the time listed below

Current OBS Server Time

The OBS received your "generate" message at

3 May 13:54:51

2012-03-04c Annex - Board-Submission-New-gTLD-Service-Providers

ANNEX TO ICANN BOARD SUBMISSION NO. 2012-02 -04c

TITLE: **Authorization for contracting with and payment to new gTLD Service Providers**

Projected Contractual and Resulting Disbursement Obligations:

The projected contractual obligations outlined below are based on variable fees

estimates as of 1 March 2012 and 500 applications:

Confidential Contract Information

Service Provider Selection Process

ICANN's Procurement Guidelines state that any purchases that exceed $150,000 individually or in the aggregate require a formal documented Request For Proposal (RFP) process. The following outlines the approach undertaken by ICANN to select the various servicer providers necessary to process applications.

Evaluation Panels

The Evaluation Panel selection process began in February 2009 (see http://newgtlds.icann.org/en/about/evaluation-panels-selection-process).

Expressions of Interest (EOI), the equivalent to proposals, were received from twelve global consulting firms. The proposals were reviewed against criteria established by Staff and the consulting firms were narrowed to a "short list" for oral presentations. Oral presentations occurred in February 2010 and the selected firms for each evaluation panel were announced in October 2011.

Subsequently, ICANN has entered into Master Service Agreements with the following evaluation panel firms ("Panel Firms"):

Financial/Technical/Operations Evaluation Panels:

- Ernst & Young LLP (EY)
- KPMG LLP (KPMG)

2

- JAS Advisors (JAS)

Geographic Names Evaluation Panel:

- EIU
- InterConnect

String Similarity Evaluation Panel:

- InterConnect

DNS Stability and Registry Services Evaluation Panels:

- Interisle Consulting Group (Interisle)

Community Priority Evaluation (CPE) Panel:

- The Economist Intelligence Unit, NA, Incorporated (EIU)
- InterConnect Communications Limited (InterConnect)

Quality Control:

- JAS

A critical component of the New gTLD Program is to ensure consistency of evaluation efforts. As part of the Service Provider selection process, all firms that interviewed for financial, technical, and operational panels were evaluated for the Quality Control Service Provider role.

Background Screening Service Provider

A background screening Service Provider was also selected following the RFP process. The background screening Service Provider selection process began on 30 August 2011 (http://www.icann.org/en/announcements/announcement-30aug11-en.htm). Twelve global background-screening firms responded to the RFP request, proposals were narrowed to a "short list", and four firms were invited to present

3

their qualifications. ICANN has selected the global firm of PricewaterhouseCoopers LLP (PwC) as the background screening service provider.

The next step requires ICANN to enter into Statements of Work with each Service Provider to perform application-processing services.

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