

## Background Screening RFP – Questions & Answers

| Question   | Answer  |
|--|---|
| 1. Is ICANN only reviewing responses from accredited members of the NAPBS, or all standard non-accredited members of the NAPBS as well?  | ICANN is seeking a provider of global background screening services. ICANN's search is not restricted to members of any one national trade association. All responses will be reviewed.   |
| 2. Will the vendor contact that follows the RFP a single or multi-year agreement with ICANN?   | <p>The generic Top Level Domain (gTLD) program is expected to have multiple rounds. All applicants applying for a gTLD will go through a background screening check.</p> <p>Currently, only dates for the first round have been determined. Thus the Request For Proposal (RFP) covers services for the first round.</p> <p>However, there may be opportunities to expand services to other areas within ICANN as well as future gTLD application rounds.</p>   |
| 3. Based on ICANN's review of the initial screening results, will ICANN be responsible for notifying the screening organization when additional, deeper research is necessary?   | <p>For the entity and key individuals included in each gTLD application the initial background screening results must indicate any findings based on the criteria highlighted in Section 2.2 of the RFP.</p> <p>In certain cases, ICANN will notify the screening provider if a more extensive review is required or may approve an extended review if the screening provider recommends that one be conducted based on established risk ranking criteria.</p>  |
| 4. In situations where applicants have established, or propose to establish, a new company to manage the new gTLD, to what extent does ICANN require screening of the executives/organizations that "stand behind" the entity being proposed in the application? | <p>The scope for each background screening check is limited to the entity and key individuals included in the gTLD application.</p> <p>The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p> <p>Please see Attachment to Module 2 – Evaluation Questions and Criteria for a listing of the individuals or organizations that are required to be included in each gTLD application.</p> |

## Background Screening RFP – Questions & Answers

| Question  | Answer  |
|---|---|
| <p>5. For #9 under 2.3- Please clarify what types of “in-depth investigations” you may want to utilize internationally if needed. Can a sample be provided?</p>   | <p>The depth of the background screening check is what ICANN is seeking respondents to define.</p> <p>The depth must consider ICANN’s requirements in the RFP to be timely, effective, and efficient while balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p>   |
| <p>6. What are the expectations of ICANN for background checks on government agencies?</p>  | <p>Except for provisions in the Applicant Guidebook limiting the scope of background screening for certain applicants, all gTLD applicants will undergo a background screening check against the criteria outlined in Section 2.2 of the RFP.</p>   |
| <p>7. For purposes of background screening, does ICANN expect the screening organization to identify if individual applicants or governments appear on certain restricted entity or sanctioned lists. If so, will ICANN supply the restricted lists or authorities that are to be used for such identification? If not, will ICANN arrange for licensed access to one of the global databases for data collections on restricted entities and sanctioned regions?</p> | <p>ICANN will check each gTLD application in accordance with Office of Foreign Asset Control (OFAC) requirements. This check can be excluded from the scope of the background screening check, as it would be duplicative.</p> <p>It is expected that the screening provider is able to access publicly available data including restricted entity and sanctioned lists, where available. If data or lists to be used are not publicly available, the respondent should list such resources in their response.</p> <p>Respondents should indicate their ability to handle a diverse set of background screening checks utilizing global, publicly available data and should indicate where there are limitations.</p> <p>Where there are limitations, the respondent should provide ideas on how to effectively address such limitations including proposed costs.</p> <p>The available depth of the background screening check is part of what ICANN expects the respondents to define. The depth must consider ICANN’s requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p> |

## Background Screening RFP – Questions & Answers

| Question   | Answer  |
|--|---|
| <p>8. Will ICANN require solutions for the continuous or regular monitoring and updating of the risk status for organizations that manage gTLD's?</p>  | <p>This is outside the scope of this RFP. The RFP is focused on the initial round of the gTLD application program.</p> <p>However, there may be opportunities to expand services to other areas within ICANN as well as future gTLD application rounds.</p>   |
| <p>9. The RFP information scope also raises general concerns, including record availability and pricing determination, for some items with terms such as “<b>has ever</b> been convicted” and “has been disciplined by <b>any</b> government or industry regulatory agencies,” and that it does not address how many jurisdictions are to be included in each investigation.</p> | <p>The gTLD application program is a global program. ICANN expects to receive applications from various entity types across a significant number of foreign jurisdictions. The number of applications and location from where they are applying from are unknown at this time.</p> <p>Respondents should indicate their ability to handle a diverse set of background screening checks utilizing global, publicly available data and should indicate where there are limitations.</p> <p>Where there are limitations, the respondent should provide ideas on how to effectively address such limitations including proposed costs.</p> <p>The available depth of the background screening check is part of what ICANN expects the respondents to define. The depth must consider ICANN's requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p> |
| <p>10. In reviewing the scope of the background check, it sounds like ICANN is looking for conviction information from both the County, and Federal Court Systems. Are the counties and federal districts to be searched, based on current/prior residence history across the US?</p>  | <p>ICANN is searching for a screening provider capable of covering the criteria outlined in Section 2.2 of the RFP across a number of jurisdictions.</p> <p>The available depth of the background screening check is part of what ICANN expects the respondents to define. The depth must consider ICANN's requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p>   |

## Background Screening RFP – Questions & Answers

| Question   | Answer   |
|--|--|
| 11. Are the background checks both domestic (US) and International?  | <p>Yes.</p> <p>Respondents are encouraged to specify the limitations and costs associated with obtaining background information from various governments, agencies, jurisdictions and organizations.</p>   |
| 12. Are there any specific named searches that ICANN intends to utilize for domestic applicants- ie. County Search, NatCrim, SSNV, Credit, etc.? | No specific searches are named. ICANN requests that respondents indicate what global searches they will conduct to ensure appropriate coverage of the requirements outlined in Section 2.2 of the RFP.   |
| 13. Will ICANN require research in the foreign language of the applicant’s location in addition to English, or in English only?                  | Respondent should be capable of conducting background research in the languages required in order to process reports from the countries involved. The screening report provided to ICANN is expected to be in English only.  |
| 14. What data sources are available for UDRP information?  | <p>A number of providers have online databases.</p> <p>The UDRP providers can be found at <a href="http://www.icann.org/en/dndr/udrp/approved-providers.htm">http://www.icann.org/en/dndr/udrp/approved-providers.htm</a></p> <p>ICANN would like to understand how the respondent will include searches of available URDP databases into a single report.</p> |
| 15. At what point in the process does this investigation occur?  | The background screening process will begin after the Application Window closes and the final application list is posted on our website. Only applications that have been posted will be subject to a background screening check.  |
| 16. What role will background vendors play in the dispute/protest process?   | In the event that an applicant does not agree with the results of the background check and lodges a dispute/protest then we would expect the screening provider to stand by their work and be prepared to explain/document the resources used and process followed to obtain the results.  |

## Background Screening RFP – Questions & Answers

| Question  | Answer   |
|---|--|
| 17. What exactly is the information you seek in clearing an applicant to go forward with their gTLD application?  | Per the Applicant Guidebook, Section 1.2.1 Eligibility “In the absence of exceptional circumstances, applications from any entity with or including any individual with convictions or decisions of the types listed will be automatically disqualified from the program. In addition, ICANN reserves the right to deny an otherwise qualified application based on any information identified during the background screening process. For example, a final and legally binding decision obtained by a national law enforcement or consumer protection authority finding that the applicant was engaged in fraudulent and deceptive commercial practices commercial practices as defined in the Organization for Economic Co-operation and Development (OECD) Guidelines for Protecting Consumers from Fraudulent and Deceptive Commercial Practices Across Borders.” |
| 18. What does the ICANN gtld application look like and what type of data is collected on candidates on the application? Can a sample be provided?   | The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a><br><br>Please see Attachment to Module 2 – Evaluation Questions and Criteria for information that will be collected from the applicant.   |
| 19. What information would be willingly provided by the company to start with? (financial records? business records/registrations? dates of birth? social security numbers of American principals?) | The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a><br><br>Please see Attachment to Module 2 – Evaluation Questions and Criteria for information that will be collected from the applicant. Specifically questions 1 through 12 provide the data that can be used by the screening provider.  |

## Background Screening RFP – Questions & Answers

| Question   | Answer   |
|--|--|
| <p>20. Will applicants be required to provide ICANN with the date of birth, national ID number (or equivalent), and current residential address for each of their key directors, officers, partners, and major shareholders, and will this information be furnished to the provider of background screening services? If this information will not be provided in the original application, please describe the process ICANN proposes for the collection of such information.</p> | <p>The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p> <p>Please see Attachment to Module 2 – Evaluation Questions and Criteria for information that will be collected from the applicant. Specifically questions 1 through 12 provide the data that can be used by the screening provider.</p> |
| <p>21. Would the target applicants sign an authorization for the background check on company and/or principals to be conducted?</p>  | <p>All applicants will be required to agree to a standard set of terms and conditions to prior to submitting a gTLD application. Please refer to Module 6 of the AGB, posted at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p>  |
| <p>22. What is the timeline for payment? (Upon receipt of the invoice? 30 days? 60?)</p>   | <p>This will be discussed during contract negotiations with the selected screening provider.</p>   |
| <p>23. What is the cost expectation for these investigations?</p>  | <p>This depends on the level of depth that the respondent expects to provide.</p> <p>The respondent must consider ICANN’s requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p>   |
| <p>24. Are the results of these investigations confidential or open to public response/comment?</p>  | <p>The specific details of the screening results are expected to remain confidential, but ICANN may publicly disclose the outcome of each new gTLD application which might include the fact that an application was rejected due to failure to pass the background check.</p>  |
| <p>25. Will ICANN indemnify the investigative company for their work?</p>  | <p>This will be discussed during contract negotiations with the selected screening provider.</p>   |
| <p>26. Would you require a legal analysis by a qualified lawyer as part of the vetting process?</p>  | <p>This is not a requirement of the RFP. However, ICANN is willing to explore this as an option.</p> <p>The respondent must consider ICANN’s requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p>  |

## Background Screening RFP – Questions & Answers

| Question  | Answer   |
|---|--|
| 27. I would be interesting in learning more about your definition of cybersquatting behavior?   | See Section 2.2.m of the RFP.  |
| 28. Page 9, item #10 of the RFP, talks about conflicts of interest between our organization and any entity or individual upon which a background check will be conducted. What constitutes a conflict of interest?  | <p>The conflict of interest guidelines in the gTLD Applicant Guidebook will apply to the screening provider.</p> <p>The Current Version of the gTLD Applicant Guidebook is located at:<br/> <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p>  |
| 29. The integrated report requested in # 8 under 2.3- please clarify what you mean by this expectation. Is ICANN looking for hyperlinks? Or do you mean outside websites?   | ICANN is looking for a single report, per application provided for screening, that covers all criteria listed in Section 2.2 of the RFP  |
| 30. Once the applicants' information is submitted and the selected vendor performs the background checks, where will the results going to be stored? – ICANN mentioned partial results of the background screening would be part of the companies' public profiles. | <p>This will be discussed during contract negotiations with the selected screening provider.</p> <p>The screening results are expected to remain confidential, but ICANN may publicly disclose the outcome of each new gTLD application which might include the fact that an application was rejected due to failure to pass the background check.</p>   |
| 31. Will ICANN require manual, on-site research and/or document retrieval where information is not available online?  | <p>This depends on the depth that the respondent expects to provide.</p> <p>The respondent must consider ICANN's requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p>  |
| 32. Can you advise on the timeline expectation on how long we'd have to complete an investigation once ordered?   | Please refer to Section 2.3, bullet point 5 of the RFP.  |
| 33. How often is ICANN expecting to run these rounds/batches of applicants?   | The initial round will open on 12 January 2012. Per Section 1.1.6 of the gTLD Applicant Guidebook – ICANN'S goal is launch subsequent gTLD application rounds as quickly as possible. The exact timing will be based on experiences gained and changes required after the initial round is completed. The goal is for the next application round to begin within one year of the close of the application window for the initial round." The application window is expected to close on 12 April 2012. |

## Background Screening RFP – Questions & Answers

| Question   | Answer  |
|--|---|
| <p>34. You had mentioned ICANN expects to receive between 300-500 applications in the first round, with each application containing between 8-12 individuals who will require screening. Is it safe to say ICANN expects to run somewhere around 2400-6000 individual background screening requests during this first round?</p>   | <p>This appears to be a reasonable estimate of the order of magnitude of screening requests. The actual number is likely to be more than just hundreds, but less than tens of thousands. The actual number of background screening requests will only be known once the full population of applicants is known.</p>   |
| <p>35. Are you still expecting 500-1000 applications?</p>  | <p>Estimates vary. The RFP asks for a response based on estimate of 300-500 applications. However this number could be significantly higher or lower.</p> <p>If significantly higher, ICANN may implement a batching process. The batching process would extend certain processing timelines such as for the background screening check.</p>  |
| <p>36. What type of volumes are you speaking about in terms of business diligence and criminal history?</p>  | <p>Estimates vary. The RFP asks for a response based on estimate of 300-500 applications. However this number could be significantly higher or lower. This may result in approximately 3000 to 6000 individual background screening checks during the first round.</p> <p>If the number of applications is significantly higher, ICANN may implement a batching process. The batching process would extend certain processing timelines such as for the background screening check.</p> |
| <p>38. The RFP mentions that ICANN expects about 300-500 vendors to be screened. These vendors could be of varying type with respect to the organization (type) as well as which geography they are primarily located in. When thinking about what assumptions to apply, does ICANN have an assumption on the geographic spread of applicants, as well as the nature of the entities (public, private, small enterprise, individuals, etc)</p> | <p>ICANN does not have any reliable data yet about the geographic spread of applicants. Other organizations might have undertaken informal studies of expected applicants, which might be located by searching the web, but ICANN is not in a position to confirm or endorse any such studies.</p>  |



## Background Screening RFP – Questions & Answers

| Question   | Answer  |
|--|---|
| <p>39. One of the qualifying criteria is "<i>Fails to provide ICANN with the complete and accurate identifying information necessary to confirm identity at the time of application or to resolve questions of identity during the background screening process</i>".</p> <p>Please provide clarity on what role does ICANN expect vendors to play - is the vendor expected to check the accuracy and completeness of the applicants submission or will this be done at ICANN's end?</p>                     | <p>ICANN is open to exploring the scope of services to be provided by the respondent.</p> <p>The respondent must consider ICANN's requirements in the RFP to be timely, effective, and efficient while also balancing cost to provide an economically feasible service. Accordingly, respondents are encouraged to provide a range of services and fees.</p>  |
| <p>40. Please describe ICANN's gTLD application process with expected data inputs/outputs as it relates to global background screening services. (re: section 3.3.7 of the RFP- Describe the proposed processes to be followed, including guiding principles, critical events, and quality control mechanisms. Also include your plan for integrating with ICANN's gTLD application process including what data is required and how data and reports will be shared between ICANN and your organization)</p> | <p>The application questionnaire completed by the applicant will contain data to conduct the background screening check. This information will be passed to the screening provider for review.</p> <p>The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p> <p>Please see Attachment to Module 2 – Evaluation Questions and Criteria for information that will be collected from the applicant. Specifically questions 1 through 12 provide the data that can be used by the screening provider.</p> |
| <p>41. Please clarify if this is an inquiry into reporting options in terms of content and/or delivery method? (re: section 3.3.14 of the RFP- Describe the various reporting options available, including what distinguishes each type (i.e., depth of analysis, sources used, etc.), which can be used or tailored to meet ICANN's needs. Also identify the recommended report option based on the parameters described in this RFP.)</p>  | <p>Yes, this is an inquiry regarding reporting options in terms of content and delivery method.</p>   |
| <p>42. Are there any Terms and Conditions to review?</p>   | <p>This will be discussed with the selected screening provider.</p>   |

## Background Screening RFP – Questions & Answers

| Question  | Answer   |
|---|--|
| 43. Can you elaborate on ICANN's gTLD application process? Is this a system we can integrate with or is it a process? | <p>It is both a process and a system. Module 1 of the Applicant Guidebook provides an overview of the gTLD program.</p> <p>The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p> <p>Details regarding the respondents approach to conduct the background screening checks, including ways to automate should be included in the proposal.</p> |
| 44. Will all applicants be put through the same series of background checks?  | <p>Some applications may have a limited scope. This is described in section <i>1.2.1-Eligibility</i> of the Applicant Guidebook.</p> <p>The Current Version of Applicant Guidebook application is located at <a href="http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm">http://www.icann.org/en/announcements/announcement-4-19sep11-en.htm</a></p>   |