

# Trademark Database Sunrise & Claims

## Certification Exemption Procedure

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## Document History

### Document Location

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The source of the document will be found in the IBM account Team room.

### Revision History

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### Approvals

This document requires following approvals. Signed approval forms are filed [Account Team room](#)

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## Distribution

This document has been distributed to

Name	Title
<i>IBM Service Management</i>	
<i>Deloitte</i>	
<i>ICANN</i>	

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# 1. Introduction

This document describes the procedure for requesting an exemption to the certification process. The latest version can be found at <http://newgtlds.icann.org/en/about/trademark-clearinghouse/scsvcs>

The Exemption procedure is meant to eliminate the need for Registries to certify access to the TMDB Sunrise & Claims services in cases where a Registry Operator or its backend registry operator maintains multiple gTLD services from a single platform. Registrars who own multiple IANA IDs can also apply for certification waiver.

An Exemption can only be requested if the Registrar or Registry Operator complies with the criteria set forth in this procedure.

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## 1.1 Intended Audience

This document is intended for:

- Registry Operators who maintain multiple TLDs under the new gTLD program, or Registry Operators who are using a backend registry operator who maintains multiple TLDs under the new gTLD Program.
- Registrars with multiple IANA IDs who have entered into an agreement with ICANN.

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## 1.2 Purpose of the Document

The purpose of this document is to provide the guidelines and requirements for requesting a Certification Exemption to the certification procedure as defined at <http://newgtlds.icann.org/en/about/trademark-clearinghouse/scsvcs>.

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## 1.3 Document Validity

This document and the described Exemption Procedure can be changed or withdrawn at any time by either ICANN and/or IBM at their sole discretion.

If this Exemption Procedure is modified, all granted Exemptions will be re-reviewed to ensure compliance with any updated requirements.

If this Exemption Procedure is withdrawn, all granted Exemptions will automatically be withdrawn as well.

## 2. Certification Exemption Request Procedure

The Certification Exemption request can only be used by Registry Operators who maintain multiple TLDs under the ICANN new gTLD program, Registry Operators using a backend registry operator who maintains multiple TLDs under the ICANN new gTLD program, and by Registrars with multiple IANA IDs who have signed an agreement with ICANN.

### 2.1 Certification Process

Under the new gTLD program, guidelines have been given to Registries and Registrars in order to obtain access to the TMDB production platform by means of a certification request to IBM.

This Certification request, for Registries, must be made for each gTLD.

This Certification request, for Registrars, must be made for each IANA ID.

Check the ICANN website at

<http://newgtlds.icann.org/en/about/trademark-clearinghouse/scsvcs>

for detailed information.

### 2.2 Certification Exemption Pre-requisites

A Certification Exemption Request can only be done if all of the following criteria can be answered with a 'yes':

Registries	Registrars
The Backend Registry operator I am using has performed at least 3 successful certifications for (at least) 3 TLDs	The Registrar has performed at least 3 successful certifications for (at least) 3 IANA IDs
The Backend Registry operator operates all successfully certified TLDs (at least 3) from the <b>same</b> infrastructure	The Registrar operates all successfully certified IANA IDs (at least 3) from the <b>same</b> infrastructure
The Backend Registry operator operates all successfully certified TLDs (at least 3) from the <b>same</b> application	The Registrar operates all successfully certified IANA IDs (at least 3) from the <b>same</b> application
The Backend Registry operator operates all successfully certified TLDs (at least 3) from the <b>same</b> IP addresses	The Registrar operates all successfully certified IANA IDs (at least 3) from the <b>same</b> IP addresses

If any one of the above criteria is answered with a 'no,' do not apply for a Certification Exemption.

### 2.3 Certification Exemption Criteria

A Certification Exemption may be requested by a Registry Operator that is maintaining multiple TLDs, by a Registry Operator that is using a backend registry operator that is maintaining multiple TLDs and by Registrars maintaining multiple IANA IDs.

### 2.3.1 Registries

In order to become eligible for a Certification Exemption, the Registry Operator will need to provide evidence that three or more TLDs have successfully been certified as follows:

1. Evidence that the same application coding was used for each of the three TLDs already certified
2. Evidence that all of the TLDs for which the exemption is being requested use the same IP address(es) to connect to the TMDB platform
3. Copies of at least 3 certifications requests that have been submitted and granted that meet conditions 1 and 2 above (i.e., the same code was used for all three already certified TLDs and that the same IP address(es) were used by the three already certified and affirmation that the TLDs for which exemption is being requested will also use those same IP addresses).

### 2.3.2 Registrars

For Registrars, the required evidence is three or more successfully certified IANA IDs.

The following must be submitted with the exemption request:

1. Evidence that the same application coding was used for each of the three (or more) IANA IDs already certified
2. Evidence that all of the IANA IDs for which the exemption is being requested use the same IP address(es) to connect to the TMDB platform
3. Copies of at least 3 certifications requests that have been submitted and granted that meet conditions 1 and 2 above (i.e., the same code was used for all three already certified IANA IDs and that the same IP address(es) were used by the three already certified and affirmation that the IANA IDs for which exemption is being requested will also use those same IP addresses).

Registrars must also submit a copy of their claims notice to ICANN for each IANA ID for which the exemption is applied.

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## 2.4 Certification Exemption Request

A Certification Exemption Request can be submitted to the IBM Service desk in the same way in which a request for certification is submitted (via email at [ICANNSD@nl.ibm.com](mailto:ICANNSD@nl.ibm.com)), with the addition of the Certification Exemption Request Form found in section 6 below.

The Certification Exemption Request form must be filled in completely. Forms with incomplete information will be rejected.

Check the ICANN website at: <http://newgtlds.icann.org/en/about/trademark-clearinghouse/scsvcs>

for detailed information on the standard Certification request process.

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## 2.5 Certification Exemption Request Timelines for Assessment

Submitted requests will be uploaded into the IBM Service Management system within one business day (CET) after receipt of the request by an IBM Service Desk representative.

Once the Certification Exemption request is uploaded into the system the request will be assigned to a Certification Exemption reviewer within IBM.

Within 7 business days (CET) the Certification Exemption reviewer will complete the review of the Exempt Request and, if approved, a written Certification Exemption Approval will be sent back to the requester by the IBM Service Desk representative.

If the Exempt Request is rejected or not approved, the requester will be informed by the IBM Service Desk representative. The request will be closed and new Exemption Request has to be uploaded again.

All timelines are based on Service Level Objectives.

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## 2.6 Approved Certification Exemption

An Approved Certification Exemption document will be sent to the requestor with a copy to ICANN.

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## 2.7 How to Use a Certification Exemption for an Additional TLD

Upon delegation of a new gTLD the Registry Operator has to follow the TLD Launch Process as directed by ICANN.

See process documents at: <http://newgtlds.icann.org/en/about/trademark-clearinghouse/scsvcs>

When a Certification Exemption Approval has been obtained from IBM and it is applicable to the TLD, the Registry Operator/Registrar must submit to ICANN:

- The Certification Exemption Approval *and*
- Complete section 3 for each TLD.

Without a copy of the Certification email from IBM or a copy of the Certification Exemption Approval from IBM included in the TLD Start-up Information submitted to ICANN for the delegated TLD, the TLD launch process cannot commence.

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## 2.8 How to Use a Certification Exemption for a Registrar

When a Certification Exemption Approval has been obtained from IBM and it is applicable to an IANA ID, the Registrar must submit to ICANN:

- The Certification Exemption Approval
- The claims notice to be used for the IANA ID *and*
- Complete section 3.



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## 3. Exemption Recertification

The requestor will be required to request a recertification if conditions under which the initial Certification Exemption Approval were granted have changed.

IBM and/or ICANN can also request a recertification if the circumstances warrant such a request.

The requestor should pro-actively request a recertification if conditions in their infrastructure or application are going to (or have already) change.

The OT&E environment is available to Registrars and Registry Operators to execute tests prior to using the production environment. It is strongly recommended that Registrars and Registry Operators test any changes within the OT&E and then request a recertification review of any existing Certification Exemptions.

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### 3.1 Exemption Recertification Conditions

Conditions under which recertification may be required (list is not meant to be all inclusive):

- The Registry Operator's/Registrar's environment under which the original Certification Exemption was granted has or will be changed. Examples include:
  - A major change to the application code impacting the way in which the Registry Operator/Registrar will communicate with the TMDB infrastructure
  - Source IP addresses have been or will be changed
- The TMDB infrastructure and/or interface has been or will be changed
- Major changes have been or will be implemented impacting the published ICANN technical specifications

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## 4. Disclaimers

IBM and/or ICANN retain the right to withdraw any or all Certification Exemption Approvals at their sole discretion at anytime if circumstances arise that adversely impact the stability of the Trademark Database or if the Exemption process has been or might have been abused.

## 5. Information to be Provided

<b>Registry Operator/Registrar Name</b>	The Registry Operator/Registrar Name as on the Registry Operator/Registrar Agreement with ICANN
<b>Backend Registry Operator name</b>	If applicable, the backend registry operator's name executing the services on behalf of the contracting Registry
<b>Requester contact details</b>	
<b>Name</b>	Name of the individual of the Registry Operator/Registrar requesting the exemption
<b>E-mail address</b>	E-mail address of the individual requesting the exemption
<b>Telephone number</b>	Telephone number where the Requester can be contacted
<b>Organization's Address</b>	Full address details of the Requester's organization
<b>Requester's Work Address</b>	Full work address of the Requester. If identical to the Organisations Address please re-enter it here
<b>Country</b>	Country of the Organization and Requester
<b>TMDB Registration Token</b>	The TMDB registration token provided by ICANN
<b>TLD name/IANA ID</b>	The name of the TLD in IDN-notation/IANA ID
<b>Certification date</b>	The date that the Certification was granted by IBM for each TLD/IANA ID
<b>Source IP Address(es)</b>	The IP address(es) as entered into the TMDB system for the specific TLD(s)/IANA ID. (please list <b>all</b> addresses entered into the TMDB system)
<b>Application name</b>	The name of the application used by the RO/Rr to interface with the TMDB system
<b>Application version</b>	The version of the application (and interface module if applicable) used by the RO/Rr to interface with the TMDB system
<b>Additional supporting information for the IBM reviewer</b>	Provide any additional information you believe relevant for the Exemption reviewer
<b>Date Request submission</b>	The submission date of this Exemption request
<b>Information to be filled in by IBM reviewer</b>	
<b>Service Request Number</b>	The Service Request Number issued by IBM (Maximo) that uniquely identifies the Certification Exemption request and approval
<b>Reviewer comments</b>	Additional comments from the IBM reviewer
<b>Exempt granted date</b>	The date that the Certification Exemption has been granted by IBM
<b>Exempt granted by</b>	The IBM employee granting the Certification Exemption

## 6. Certification Exempt Request Form

<b>Section 1: To be completed by Registry Operator or, if applicable, Backend Registry Operator, or Registrar</b>			
Registry Operator/Registrar name			
Backend Registry Operator (if applicable)			
Request Date			
Requester contact details			
Name			
E-mail address			
Telephone number			
Address			
Country			
	<b>TLD-1/IANA ID-1*</b>	<b>TLD-2/IANA ID-2*</b>	<b>TLD-3/IANA ID-3*</b>
Token			
TLD name/IANA ID			
Certification date			
Source IP-address(es)			
Application name			
Application version			
Additional supporting information for reviewer			
<b>Confirmation Statement of Registry Operator or, if applicable, backend registry operator</b>			
As a <b>Registry Operator</b> , I understand and confirm that subsequent TLD start-ups requested under this Certification Exemption Approval will be operated from the same IP address, infrastructure and application (version) as defined for the above TLDs.			
<b>Signature:</b>		<b>Name:</b>	
<b>Confirmation Statement of Registrar</b>			
As a <b>Registrar</b> , I understand and confirm that subsequent IANA IDs used in TMDB under this Certification Exemption Approval will be operated from the same IP address, infrastructure and application (version) as defined for the above IANA IDs.			
<b>Signature:</b>		<b>Name:</b>	

<b>Section 2: To be completed by IBM reviewer</b>			
<b>Verified TLDs/IANA IDs</b>			
Service Request Number			
Reviewer comments			
Exempt granted date			
Exempt granted by			

<b>Section 3: To be completed by Registry Operator/Registrar submitting exemption to ICANN</b>	
Registry Operator/Registrar name	
TLD/IANA ID	
<b>Confirmation Statement by Registry Operator/Registrar</b>	
I understand and confirm that use of this exemption applies only to TLDs/IANA IDs that are operated by the backend registry operator/Registrar listed in Section 1.	
<b>Signature:</b>	<b>Name:</b>

\*Three Certified TLDs/certified IANA IDs must be provided