Registry Service Evaluation Policy (RSEP)

How to Submit an RSEP Request

Version 2.0
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I. Introduction

This document provides guidance for registry operators on how to submit Registry Services Evaluation Policy (RSEP) requests. The RSEP was developed through ICANN's consensus policy development process. Each gTLD Registry Agreement identifies the RSEP process as the mechanism to add, modify or remove a registry service. “Registry service” is defined in the Registry Agreement and in Section 1.1 of the RSEP. The ICANN organization evaluates the proposed service for its potential effect on security, stability and/or competition as they are defined under the RSEP.

Information regarding the RSEP Consensus Policy can be found at: https://www.icann.org/resources/pages/policy-bd-2012-02-25-en.

Information on current requests can be found on the ICANN organization’s RSEP website at: https://www.icann.org/resources/pages/rsep-2014-02-19-en.

A high-level graphic representation of the RSEP operational process is provided in Appendix A of this document.
II. Instructions

STEP 1 – Do I Need an RSEP?

We encourage the registry operator to engage with the ICANN organization early on to determine if the contemplated new service or modification (“proposed service”) or removal of service requires ICANN’s approval, and whether the proposed service requires an RSEP. Engagement can occur via a variety of avenues. If contemplating a proposed new service, change to a service or removal of service, we recommend you submit a general inquiry case through the Naming Services portal explaining what you intend to do and requesting a conference call to discuss with the ICANN organization.

STEP 2 – Request an RSEP

To submit an RSEP request, you will need to login to Naming Services portal, click on “New Case” and select “Registry Services Evaluation Policy (RSEP)” in the “Select a Process” dropdown menu and then click on “Next”. See Figure 1
STEP 3 – Select the TLD(s)

Please select the TLD(s) for which you would like to request an RSEP. Click on “Next”.

Figure 2
STEP 4 – Fill the Form

In Step 4, you will need to fill the form to complete submission of your RSEP request. Please note that all questions except for 11 and 27 are mandatory to submit an RSEP and there are six sections where you can upload supporting documents.

We recommend you review Appendix B of this document, which provides the list of questions you will need to answer when creating your request. This will assist you in preparing your answers ahead of time. Once the form is complete, please click on “Submit” to complete your request. If you are not ready to submit your RSEP request, you can simply click on “Save” to save the responses you have already provided. See Figure 3.

Figure 3

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>DETAILS</th>
<th>RELATED</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>This service request should be used to submit a Registry Services Evaluation Policy (RSEP) request. An RSEP is required to add, modify or remove Registry Services for a TLD. More information about the process is available at: <a href="https://www.icann.org/resources/pages/rsep-2014-02-19-en">https://www.icann.org/resources/pages/rsep-2014-02-19-en</a></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete the information requested below. All answers marked with a red asterisk are required. Click the Save button to save your work and click the Submit button to submit to ICANN.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PROPOSED SERVICE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* 1. Name of Proposed Service</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* 2. Technical description of Proposed Service. If additional information needs to be considered, attach one PDF file</td>
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<td></td>
<td></td>
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<tr>
<td>If additional information needs to be considered, attach one file</td>
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</tr>
<tr>
<td>ADD / DELETE ATTACHMENT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+</td>
<td>[Browse File]</td>
<td></td>
<td></td>
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<tr>
<td>CONSULTATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* 3. Please describe with specificity your consultations with the community, experts and others. What were the quantity, nature and content of the consultations?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
STEP 5 – ICANN Completeness Check

The ICANN organization performs a completeness check on the submitted RSEP request. During the completeness check, the request is evaluated to determine whether sufficient information has been submitted for the ICANN organization to make an informed preliminary determination on whether the service could raise significant concerns regarding security, stability and/or competition. The Service Level Target (SLT) for finishing the completeness check is 15 days.

<table>
<thead>
<tr>
<th>Naming Services portal phase</th>
<th>STATUS ON ICANN RSEP WEBPAGE</th>
<th>SLT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completeness Check</td>
<td>Not Published</td>
<td>15 Calendar Days</td>
</tr>
</tbody>
</table>

If during the Completeness Check it is determined that additional information or clarification is required, the Naming Services portal case will be set back to the Request Submission phase and a request for additional information or clarification will be via the portal case. Once all requested information has been provided via the Naming Services portal, click submit to send the updated form and related information to the ICANN organization.

STEP 6 – ICANN Review

Once the ICANN organization confirms the RSEP request is complete, the request is published on the RSEP webpage with the status of “ICANN Review.” The case within the Naming Services portal will also be updated to the “ICANN Review” phase, and the registry operator will be able to see the status in the Naming Services portal.

During the ICANN Review period, also described as the preliminary determination period in Section 2.4 of the RSEP Policy, the ICANN organization evaluates the RSEP request for security, stability and competition concerns. The ICANN organization has 15 days to reach its preliminary determination.

<table>
<thead>
<tr>
<th>Naming Services portal phase</th>
<th>STATUS ON ICANN RSEP WEBPAGE</th>
<th>SLT</th>
</tr>
</thead>
<tbody>
<tr>
<td>ICANN Review</td>
<td>ICANN Review</td>
<td>15 Calendar Days</td>
</tr>
</tbody>
</table>
STEP 7 – ICANN Preliminary Determination

Once the ICANN organization reaches its preliminary determination, it has 2-5 days to notify and/or discuss the determination with the registry operator. The preliminary determination may fall into one or more categories below. For a graphical representation of the potential preliminary determinations a proposed service may receive, please refer to Appendix A of this document.

No Security, Stability or Competition Concerns

The ICANN organization determines that the proposed service does not raise significant security, stability or competition concerns. The ICANN organization notifies the Registry Operator that the RSEP is approved and proceeds to Step 8 – Implementation of Proposed Service.

<table>
<thead>
<tr>
<th>Naming Services portal phase</th>
<th>STATUS ON ICANN RSEP WEBPAGE</th>
<th>SLT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary Determination</td>
<td>Approved or Approved, Pending Amendment</td>
<td>2-5 Days (for ICANN to notify and/or discuss preliminary determination before publication)</td>
</tr>
</tbody>
</table>

Security & Stability Concerns

The ICANN organization determines that the proposed service might raise significant security or stability concerns and should be referred to the Registry Services Technical Evaluation Panel (RSTEP). The ICANN organization notifies the registry operator of the RSEP determination. The registry operator must respond to the notification to either:

1. Confirm it intends to move forward with the RSEP process. If this occurs, the RSEP request will be referred to the RSTEP.
2. Withdraw its request for the proposed service.

If the registry operator confirms its desire to move forward, the RSEP request is referred to the RSTEP. The status on the ICANN webpage is updated to “Referred to RSTEP.” Note: The registry operator may be responsible for RSTEP fees incurred, which is discussed during the notification and discussion of the preliminary determination.

Once the proposed service has been referred, the RSTEP has 45 days to produce a report evaluating the likelihood and materiality of the proposed service’s effects on security or stability. When the RSTEP report is complete, the ICANN organization provides it to the registry operator for review and discussion. The registry operator is given the opportunity to propose redactions of confidential information from the RSTEP report and discuss with the ICANN organization at this time. The RSTEP report is then published for public comment. Following the conclusion of the public comment period, the ICANN Board evaluates the proposed service, along with the unredacted RSTEP report and public comments, and may approve or deny the proposed service, or request additional information. If the ICANN Board approves the proposed service, the ICANN organization notifies the registry operator and the request may proceed to Step 8.
Competition Concerns

The ICANN organization determines that the proposed service might raise significant competition concerns and should be referred to the appropriate governmental competition authority or authorities with jurisdiction over the matter. The ICANN organization notifies the registry operator of the RSEP determination. The registry operator must respond to the notification to either:

1. Confirm it intends to move forward with the RSEP process. If this occurs, the RSEP request will be referred to the appropriate governmental competition authority or authorities with jurisdiction over the matter.
2. Withdraw its request for the proposed service.

If the registry operator confirms its desire to move forward, the registry operator agrees not to deploy the proposed service until at least 45 days after the referral to the competition authority. Providing that the ICANN organization does not receive a response to the referral from the competition authority, after the 45 days have passed, the ICANN organization will notify the registry operator and the request may proceed to Step 8.

Request Withdrawn

A registry operator may withdraw an RSEP request at any time.

<table>
<thead>
<tr>
<th>Naming Services portal phase</th>
<th>STATUS ON ICANN RSEP WEBPAGE</th>
<th>SLT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preliminary Determination</td>
<td>Referred to RSTEP</td>
<td></td>
</tr>
</tbody>
</table>

| Canceled                    | Withdrawn                  | Not Applicable |
STEP 8 – Implementation of Proposed Service

If an RSEP request is approved, the new service may require a material change to the Registry Agreement in order for the registry to begin offering the service. Therefore, an amendment to the Registry Agreement is required.

In the rare cases where the proposed service does not require a material change to the Registry Agreement, no amendment is required and the ICANN organization will notify the registry operator that it may proceed to implement the proposed service.

If the proposed service *does* require a material change to the Registry Agreement, the ICANN organization will notify the registry operator and will work with them to create and execute an amendment to implement the proposed service. Please note the following regarding gTLD Registry Agreement amendments:

- All amendments are referred for consideration and signing to either an ICANN executive or the ICANN Board.
- Depending on circumstances, some proposed amendments may need to be posted for public comment (e.g., sets new precedent or has substantial effect on ICANN, third parties or Domain Name System).
- If the proposed amendment is posted for public comment, the amendment will be referred to either an ICANN executive or the ICANN Board after the conclusion of the Public Comment Period.
- Once the Registry Agreement amendment, if required, is fully executed, the registry operator is authorized to deploy the proposed service. Congratulations on your new service!
III. APPENDIX A

Registry Services Evaluation Process High-Level Workflow

This diagram provides a high-level workflow of the Registry Services Evaluation Process, which can also be found on the ICANN website at https://www.icann.org/resources/pages/workflow-2012-02-25-en.
IV. APPENDIX B

List of Questions in the Form in Naming Services portal

Proposed Services

1. Name of Proposed Service
2. Technical description of Proposed Service

Consultation

3. Please describe with specificity your consultations with the community, experts and or others. What were the quantity, nature and content of the consultations?
   a. If the registry is a sponsored TLD, what were the nature and content of these consultations with the sponsored TLD community?
   b. Were consultations with gTLD registrars or the registrar constituency appropriate? Which registrars were consulted? What were the nature and content of the consultation?
   c. Were consultations with other constituency groups appropriate? Which groups were consulted? What were the nature and content of these consultations?
   d. Were consultations with end users appropriate? Which groups were consulted? What were the nature and content of these consultations?
   e. Who would endorse the introduction of this service? What were the nature and content of these consultations?
   f. Who would object the introduction of this service? What were (or would be) the nature and content of these consultations?

Timeline

4. Please describe the timeline for implementation of the proposed new registry service

Business Description

5. Describe how the Proposed Service will be offered
6. Describe quality assurance plan or testing of Proposed Service
7. Please list any relevant RFCs or White Papers on the proposed service and explain how those papers are relevant

Contractual Provisions

8. List the relevant contractual provisions impacted by the Proposed Service
9. What effect, if any, will the Proposed Service have on the reporting of data to ICANN
10. What effect, if any, will the Proposed Service have on the Whois?
11. What effect, if any, will the proposed service have on the price of a domain name registration?
Contractual Amendments

12. Please describe or provide the necessary contractual amendments for the proposed service.

Benefits of Service

13. Describe the benefits of the Proposed Service.

Competition

14. Do you believe your proposed new Registry Service would have any positive or negative effects on competition? If so, please explain.
15. How would you define the markets in which your proposed Registry Service would compete?
16. What companies/entities provide services or products that are similar in substance or effect to your proposed Registry Service?
17. In view of your status as a registry operator, would the introduction of your proposed Registry Service potentially impair the ability of other companies/entities that provide similar products or services to compete?
18. Do you propose to work with a vendor or contractor to provide the proposed Registry Service? If so, what is the name of the vendor/contractor, and describe the nature of the services the vendor/contractor would provide.
19. Have you communicated with any of the entities whose products or services might be affected by the introduction of your proposed Registry Service? If so, please describe the communications.
20. Do you have any documents that address the possible effects on competition of your proposed Registry Service? If so, please submit them with your application. (ICANN will keep the documents confidential).

Security and Stability

21. Does the proposed service alter the storage and input of Registry Data?
22. Please explain how the proposed service will affect the throughput, response time, consistency or coherence of responses to Internet servers or end systems.
23. Have technical concerns been raised about the proposed service, and if so, how do you intend to address those concerns?

Other Issues

24. Are there any Intellectual Property considerations raised by the Proposed Service?
25. Does the proposed service contain intellectual property exclusive to your gTLD registry?
26. List Disclaimers provided to potential customers regarding the Proposed Service.
27. Please provide any other relevant information to include with this request.
