|  |
| --- |
| **III.A.1.1.2 – Escalation**  |
| **Background / Current State** |
| There are currently no formal escalation mechanisms described in the IANA Functions Contract for the NTIA. However, any new arrangement will require a set of escalation mechanisms for cases where IANA naming services fail to meet the responsibilities to its customers both on a case by case basis as well as on a structural basis. |
| **Issues Identified & Rationale for Changes, if any** |
| Any new arrangement will require a progressive set of escalation steps that can be performed as applicable by individual ccTLD or gTLD registry operators, registry organizations such as the ccNSO and RySG, the Customer Standing Committee (CSC) and any other TLD related entity that may be part of the final CWG IANA proposal for the IANA Stewardship Transition. The steps may address but not be limited to any or all of the following:1. What can an individual registry operator do if IANA service is not provided in a timely and/or satisfactory manner (e.g., if SLEs are not met)?
2. What can be done if there are multiple instances of untimely and or unsatisfactory IANA naming services?
3. What role, if any, can existing registry organizations such as the ICANN ccNSO or the ICANN gTLD Registries Stakeholder Group (RySG) have in escalating IANA naming services problems?
4. What role should the CSC play in the escalation process for IANA name services problems?
5. If IANA naming services problems cannot be solved at the CSC level, how and to whom should the problem be escalated?
6. What role, if any, do the other SO/ACs have in escalating IANA name services issues?
 |
| **C.2.9.2.g Customer Service Complaint Resolution Process (CSCRP)** | **Proposed Language** |
| The Contractor shall work with NTIA and collaborate with all interested and affected parties as enumerated in Section C.1.3 to establish and implement within six (6) months after date of contract award a process for IANA function customers to submit complaints for timely resolution that follows industry best practice and includes a reasonable timeframe for resolution. | **Incident Management (Individual Registry Issue or other relevant issues)**1. TLD registry operator, or others with relevant IANA operational issue, escalates a service problem to the IANA directly.
	1. Contact IANA customer service email address (escalation@iana.org - see <http://www.iana.org/help/escalation-procedure>)
	2. If no response is received from customer service email address, call IANA customer service support
2. If resolution is unsatisfactory, operator/complainant:
	1. Reports to CSC (for record only, not action)
	2. (Optional) Escalates to Ombudsman or equivalent (if this path is not chosen, complainant would go directly to step 4a)
3. Ombudsman or equivalent reports results to operator and CSC, with discretion to redirect report to applicable entity if issue is not an IANA operational issue.
4. If Ombudsman or equivalent fails to resolve issue or incident and the issue is not redirected to other applicable entity:
	1. CSC requests written response from IANA Functions Operator.
	2. CSC attempts to facilitate resolution.
5. If CSC facilitation fails, CSC involves a mediator.
6. If mediation fails, CSC decides whether a systemic failure is involved.
7. TLD registry operator may initiate an Independent Appeals Panel on its own.

**Problem Management (Critical, Persistent or Systemic Failures)**The CSC is empowered to determine a significant failure of the IANA Functions Operator either due to the outcome of periodic audits or the CSC’s evaluation of a rising number of TLD registry operator complaints.1. CSC reports significant failure to the IANA Functions Operator and requests response in 30 (?) days.
2. If CSC determines the IANA Functions Operator response to be inadequate, the CSC directs remedial action in a specified period of time.
3. CSC confirms completion of remedial action.
4. If remediation is unsatisfactory, CSC involves a mediator.
5. If mediation fails, a binding Independent Appeals Panel is initiated.

The DT recognises that there may be issues that are not clear cut IANA operational issues but may be IANA related and would need a clear path of escalation and/or redirection if raised through the proposed escalation steps. The DT also recognises that implementation details will need to be completed for any of the steps above that are supported by the CWG and plans to do that after receiving direction from the CWG in Istanbul. |