

Recommendation CSC Effectiveness Team to document complaint procedure CSC

Executive Summary

The CSC Effectiveness Review Team (RT) recommended that the CSC documents and publishes how the CSC intends to deal with complaints they receive from individual PTI customers. Building on and referring to the current IANA Customer Service Complaint Resolution Process, including the option to escalate if the complaint is not resolved, it is proposed to post a basic text on the CSC webpage, including a link to PTI's *Customer Service Complaint Process* and link to the complaint form. Additionally it is proposed that it is stated that if the complaint is escalated to PTI's management, the CSC is informed of any such escalations and it will review these, - in accordance with the CSC Charter - with a view to identifying any patterns of poor performance by PTI.

1. Introduction

As part of its review the CSC Effectiveness Review Team (RT) found that the CSC partially achieved to have a documented process in place on how the CSC intends to deal with individual complaints. The RT recommended that the CSC documents and publishes how the CSC intends to deal with complaints they receive from individual PTI customers.

2. Charter Requirement

According to its Charter, *the CSC may receive complaints from individual registry operators regarding the performance of the IANA Naming Function; however, the CSC will not become involved in a direct dispute between any registry operator and the IANA Functions Operator.*

The CSC will review individual complaints with a view to identifying whether there are any patterns of poor performance by the IANA Functions Operator in responding to complaints of a similar nature. The CSC may invoke the RAP if necessary to resolve performance issues that may be systemic or persistent.

3. Finding CSC Effectiveness

According to the RT - in its final report and after consulting the CSC liaison on this matter - the CSC has interpreted the requirement with respect to handling complaints under its charter that, *"although they could receive complaints, it may not become involved in their resolution. The CSC is only to be informed so that they might determine whether there are any patterns or persistent behaviors.*

The CSC deals with complaints by requesting that PTI report to it on any 'escalations' (effectively formal complaints that have not been immediately resolved) that it receives.

How the CSC deals with a complaint it directly receives is currently not documented. It is recommended that this be remedied by publishing a procedure on the CSC webpage, explaining the role of the CSC, along with an email address. In the event that individual members or liaisons of the CSC receive individual complaints, they should encourage those making the complaint to do so by using the email address.

The CSC Webpage includes a link to the general Customer IANA Service Complaint Resolution Process.

4. Conclusions and Recommendation CSC Effectiveness RT

Quoting from the RT's Final Report: *"The RT found that the CSC partially achieved having a documented process in place on how the CSC intends to deal with individual complaints. In order to address this, the RT recommends that the CSC documents and publishes the procedure for how the CSC intends to deal with complaints they receive from individual PTI customers."*

5. Assessment of RT Recommendation by CSC at its 15 April 2019 call

The CSC agreed that the process how it handles complaints should be documented and published for reasons of transparency. It is to be expected that that persons serving on CSC are approached and asked to deal with individual complaints. However, it is also agreed that the CSC as a whole nor persons serving on it should become involved in individual complaints.

At the 15 April meeting it was proposed to bring the PTI process and role of CSC together, keeping the role of CSC as is, in particular ensuring that the messaging of PTI and CSC remains to be consistent. The CSC further noted that the effort to implement the recommendation should be minimal: the goal is to provide transparency and NOT to create heavy handed process. During the review the RT was of the view that it should be clear that if someone has a complaint, where to go to, and if and how CSC gets involved, as referred to in the CSC Charter.

6. Current IANA Procedure

The CSC Website currently includes a link to the IANA Customer Complaint Process (<https://www.iana.org/help/escalation-procedure>). This process is used since the inception of the CSC and for complaints relating to all IANA functions. The web-page also includes a link to a form (<https://www.iana.org/form/complaint>) to be used to submit a complaint.

According to the process documentation on the website, once a complaint is received IANA (PTI) will acknowledge receipt of the complaint within a business day and will provide a substantive response within two business days. Further it is stated that if a complaint is not handled satisfactory, information is provided how to further escalate to the IANA (PTI) management.

To the extent the complaint related to the performance of the IANA Naming Functions, the CSC is then informed of the complaint. To date the CSC has on several occasions included this in its Findings reports.

7. Proposed documentation on the CSC website about individual complaints

Taking into account the results from the recent CSC discussions on this topic and building on the existing IANA process, it is suggested to include the following text on the CSC website:

According to its Charter the CSC will not become involved in a direct dispute between PTI and any registry operator.

PTI has a well-functioning complaint process (see: <https://www.iana.org/help/escalation-procedure>). If you have a complaint, please submit it directly to PTI, by filling out the form on the Customer Service Complaint Resolution Process webpage: <https://www.iana.org/form/complaint>

If you are not satisfied with the resolution of your complaint, PTI will provide you with information on how to further escalate your complaint to PTI's management. The CSC is informed of any such escalations and – in accordance with its Charter - will review these, with a view to identifying any patterns of poor performance by PTI.