Escalation Mechanisms (DT M)

The CWG recommends requiring the continuation, with minor modifications, of a progressive set of escalation steps that can be performed for Emergency situations as well as Customer Service Complaints and a new Problem Management Process for Critical, Persistent or Systemic Failures, as applicable, for individual TLD registry operators, or others with relevant IANA functions operational issues. Three processes are recommended:

1. Root Zone Emergency Process

   This process is for TLD managers in cases where expedited handling is required and is essentially the same as the process currently used by ICANN.

2. Customer Service Complaint Resolution Process

   This process is for direct customers who has a complaint about IANA services. It is modified somewhat from the current process used by ICANN with some added steps at the end.

3. Problem Management Escalation Process

   This is a new process for critical, persistent or systemic failures of IANA services.

The details of these processes, including proposed modifications to the existing processes to reflect the transition, can be found in Annexes X (Root Zone Emergency Process), Y (Customer Service Complaint Resolution Process) and Z (Problem Management Escalation Process).
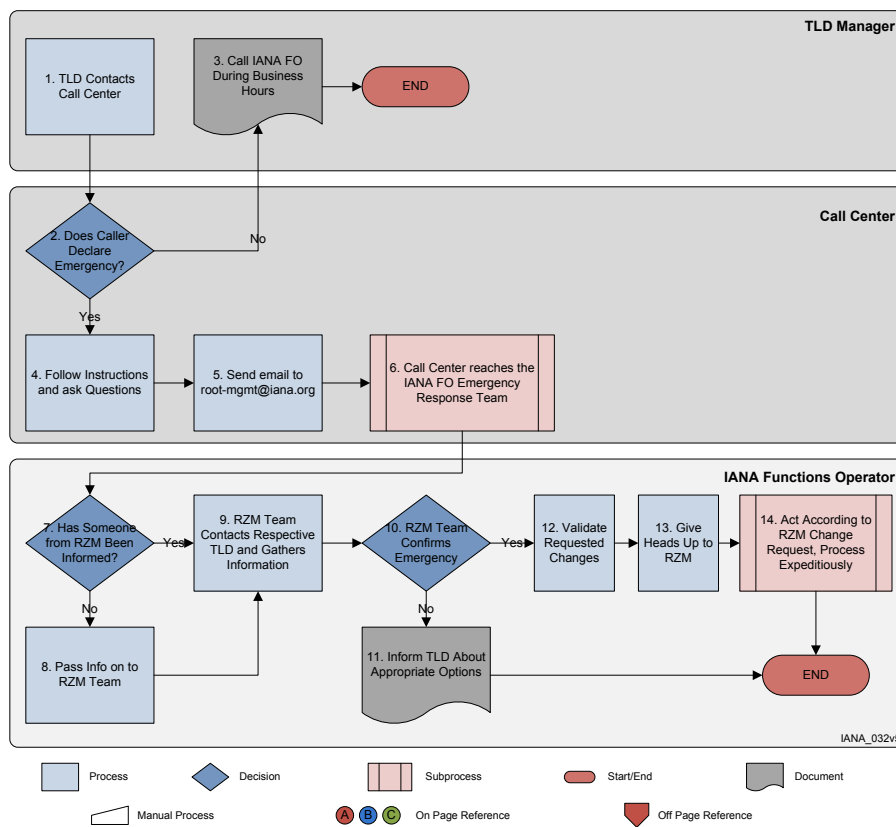
Annex X- Root Zone Emergency Process

As well as general staff availability during standard business hours, **the IANA Functions Operator** will continue to   provide TLD managers with a 24×7 emergency contact number that allows TLD managers to quickly reach **IANA Functions Operator** to declare an emergency and seek to expedite a Root Zone change request. **IANA Functions Operator** will execute such changes in accordance with the obligations of the standard   root zone management workflow as expeditiously as possible. This prioritization will include performing emergency reviews of the request as the first priority, out of ordinary business hours if necessary, and informing its contacts at **the Root Zone Maintainer** of any pending changes that will require priority authorization and implementation.

Figure 1.2-41. 24x7 Emergency Process

Figure 1.2-42. 24x7 Emergency Process Step-by-Step Description

1	TLD CONTACTS CALL CENTER
Description	All TLD managers are provided with an emergency contact telephone number that will reach a 24x7 call center.

2	DOES CALLER DECLARE AN EMERGENCY?
Description	The caller is asked if the issue is an emergency that requires an urgent root zone change, and can not wait until regular business hours.

3	CALL ~~ICANN~~ IANA Functions Operator DURING BUSINESS HOURS
Description	In the event the caller decides it is not an emergency, their contact details are logged and they are advised to speak to ~~ICANN's~~ IANA Function staff during regular business hours.

4	FOLLOW INSTRUCTIONS AND ASK QUESTIONS
Description	Call center staff follow a set of instructions to solicit relevant information relating to the nature of the emergency, and the contact details of the TLD manager.

5	SEND EMAIL TO ROOT-MGMT@IANA.ORG
Description	The particulars of the emergency call are sent by the call center staff to the ticketing system. This opens a ticket and starts an audit log of the specific request.

6	CALL CENTER REACHES THE ~~ICANN~~ IANA Functions Operator EMERGENCY RESPONSE TEAM
Description	The call center has the emergency roster of ~~ICANN's~~ IANA Functions staff, as well as escalation points for ~~ICANN~~ **IANA Functions Operator** senior management. The call center will call through the roster until they contact a person to hand the issue to. The ~~ICANN~~ **IANA Function** staff member that receives the issue will be the primary person responsible for resolution of the issue.

7	HAS SOMEONE FROM THE ROOT ZONE MANAGEMENT (RZM) TEAM BEEN INFORMED?
Description	The primary person responsible checks if the Root Zone Management team within the ~~ICANN's~~ IANA Functions staff is aware of the issue.

8	PASS INFO ON TO RZM TEAM
Description	If necessary, information relating to the emergency request is communicated to the Root Zone Management team.

9	RZM TEAM CONTACTS TLD MANAGER
Description	The IANA Functions staff performing the root zone management functions contact the TLD manager using the contact details provided to the call center. The nature of the issue is discussed in more detail, and a plan is devised to resolve the issue.

10	RZM TEAM CONFIRMS EMERGENCY

Description	Following dialog with the TLD manager, the RZM team confirms the particulars of the issue and the need to perform an emergency root zone change to resolve the issue.
11	**INFORM TLD ABOUT APPROPRIATE OPTIONS**
Description	In the event the TLD manager and RZM team deem that an emergency root zone change can not resolve the issue, ~~ICANN~~ **IANA Functions Operator** will inform the TLD manager about what other options they have to resolve the issue.
12	**VALIDATE REQUESTED CHANGES**
Description	~~ICANN~~ **IANA Functions Operator** validates the request in accordance with the standard procedures described in the Root Zone Change process, including performing technical checks and performing contact confirmations. ~~ICANN~~ **IANA Functions Operator** takes steps to conduct these as quickly as possible.
13	**GIVE HEADS UP TO ~~NTIA AND VERISIGN~~ Root Zone Maintainer**
Description	~~ICANN~~ **IANA Functions Operator** takes all available steps to inform personnel at ~~NTIA and Verisign~~ the Root Zone Maintainer that there is an active emergency change request being conducted, and encourages ~~NTIA and Verisign~~ **the Root Zone Maintainer** to process the request as quickly as possible.
14	**ACT ACCORDING TO ROOT ZONE CHANGE REQUEST PROCESS EXPEDITIOUSLY**
Description	~~ICANN~~ **IANA Functions Operator** executes the root zone change request as quickly as possible according to all standard policies and procedures. ~~ICANN~~ **IANA Functions Operator** prioritizes the rapid implementation of the request above other requests at normal priority.

Annex Y – IANA Customer Service Complaint Resolution Process

(Modified Procedure)

Refer to the existing ICANN IANA process at http://www.iana.org/help/escalation-procedure. If any direct customer to IFO experiences an issue with the IANA Function Operator's delivery of the IANA services, then it should be reported to the IANA Functions Operator as follows. This process should be used in cases where response has been too slow, where a possible mistake has been made or when there appears to have been inequitable service delivery.

Step 1 – Initial remedial Process for IANA Naming Functions
Send an e-mail to escalation@iana.org and provide the ticket numbers of the requests where the problem arose. If the problem is not resolved, IANA staff will escalate the problem to the following team members in this order as applicable:

    a.   IANA Function Liaison for Root Zone Management

    b.   IANA Functions Program Manager

    c.   ICANN Ombudsman (voluntary step)

Efforts are made to resolve complaints as soon as possible but the structured process above allows escalation of complaints to the IANA management team. If, at any point, you are not satisfied with the resolution process you can use the IANA Functions Operator's Ombudsman or similar process instead.

Who can use the process?

This process is open to any direct customer to IFO. The functions include:

- Protocol Parameters management, including the management of the .ARPA TLD
- Root Zone Management
- Root DNS Key Signing Key Management
- Internet Number Resources Allocation
- Management of the .INT TLD

What information must be provided?

In addition to providing the ticket numbers for the requests where the problem arose, any other information that may be needed to understand and resolve the complaint should be provided.

What is the expected time line?

Receipt of the complaint will be acknowledged within one business day and a substantive response will be sent within two business days. Efforts will be made to resolve complaints as soon as possible.

Is there another resolution process?

The IANA Function Operator's Ombudsman or similar service can help resolve problems using Alternative Dispute Resolution techniques. (In the case of the current IANA Functions Operator, the ICANN Ombudsman web pages have more details.)

Escalation Contact Information for the current IANA Functions Operator (ICANN)

Role	Name	Email Address
IANA	IANA Staff	iana@iana.org
IANA Function Liaison for Technical Protocol Parameters Assignment	Michelle Cotton	michelle.cotton@icann.org
IANA Function Liaison for Root Zone Management	Kim Davies	kim.davies@icann.org
IANA Function Liaison for Internet Number Resource Allocation	Naela Sarras	Naela.sarras@icann.org
IANA Functions Program Manager	Elise Gerich	elise.gerich@icann.org
ICANN Ombudsman	Chris LaHatte	ombudsman@icann.org

In case the issue is escalated to members of the IANA team and/or to the Ombudsman or equivalent, the Customer Standing Committee (CSC) is notified for information purposes only.

Step 2

Should the issue not be resolved through the involvement of the IANA Functions Team and/or the ICANN Ombudsman, the following escalation mechanisms will be made available:

a. CSC is notified by complainant to take action. CSC decides to take action or not.

b. CSC to mediate directly with IFO

c. If issue is not addressed, CSC assign a mediator

d. If issue is not addressed, CSC to decide whether issue is problem (critical, persistent or systematic failure) and escalates to problem management procedure

e. If issue is not addressed and not considered to be a problem (critical, persistent or systematic failure), registry operator could decide to initiate an Independent Review Process

Annex Z – IANA Problem Management Escalation Process

(New procedure)

Problem Management (Critical, Persistent or Systemic Failures)

The Customer Standing Committee 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 a predetermined number of 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.
6. Initiate RFP or Process [mechanism yet to be defined] [Pending Legal Advice & Fundamental Bylaw definition in CCWG]