

Design Team 3 – Customer Standing Committee

Overview:

At a high level the Design Team agreed the following:

1. The CSC should be established to perform those activities currently undertaken by the NTIA in overseeing the performance of the IANA functions as they relate to naming services. (A)
2. The CSC will endeavour to engage in cooperative communication with IANA functions operator on a regular basis to ensure the continued satisfactory performance of the IANA functions or address any performance concerns.
3. The CSC will meet once a month via teleconference to review performance reports and conduct other business as required. (D)
4. The CSC will engage with IANA, the direct customers of the IANA naming function, and the ICANN community to discuss emerging technologies and issues that might impact the provision of IANA services. (E)
5. The CSC shall hold a formal regular meeting (at least annually) with the IANA Functions Operator, the direct customers of the IANA Naming Functions, and the ICANN community to discuss the performance of the IANA Naming functions and any changes to the services that are underway or forthcoming. (F)
6. A working group of direct IANA-function customers should be established to develop a Charter for the CSC.
7. The CSC will be responsible for developing its own working methods.
8. The CSC is only responsible for monitoring and ensuring the performance of the IANA functions operator and will not engage in policy related topics or policy related disputes.(B)
9. A ‘hand-over’ of responsibilities from the NTIA to the CSC will be required and this should also involve IANA functions operator.
10. Remedial action may be taken by the CSC to address issues of IANA poor performance identified through the reporting and monitoring process. A possible multi-stage process for addressing performance issues has been provided as an illustrative model. (G)
11. The CSC can be a point of contact for a TLD registry asserting they have received poor service from IANA, but not for matters associated with policy implementation. (H)
12. The composition of the CSC should be kept small and comprise representatives with direct experience of the IANA naming functions and knowledge of IANA procedures, services and reporting requirements. Suggested minimum composition:

Option A	Option B
<ul style="list-style-type: none"> ○ 2 x gTLD registry operators ○ 2 x ccTLD registry operators ○ 1 x Liaison from RSSAC ○ 1 x Liaison from IANA 	<ul style="list-style-type: none"> ○ 2 x gTLD registry operators ○ 2 x ccTLD registry operators ○ Liaisons from other ICANN Groups

13. The CSC shall facilitate public comment periods and other community participation mechanisms in the event that changes are proposed that would affect how IANA or the CSC will conduct their business. (J)

14. The CSC is not mandated to initiate a change in the IANA Functions Operator. However, the CSC may recommend a community discussion in the event that, in their opinion, the IANA Functions Operator has not met its obligations and it has not been possible to address the performance issues through the remediation/escalation process.

[NOTE: The letters appearing in brackets refer to the original questions in the Design Team Scoping Document.]

Dependencies

The CSC has identified additional issues that it believes may fall within the scope of the CSC's oversight responsibilities, pending the outcomes of other Design Team work, as follows:

- Incorporate SLA/SLE inputs of Design Team A.
- Monitoring of performance relating to the authorisation process (Pending output of Design Team D);
- Development of a specific escalation path (Pending output of Design Team M – escalation);
- Management of Periodic Reviews of the IANA Functions and the IANA Statement of Work (Pending output of Design Team N);
- Management of issues related to the .INT TLD (Pending output of Design Team H); and
- Management of IDN Repository Issues (TBD).

If such working groups identify additional oversight roles and responsibilities that are appropriately carried out by the CSC then Design Team C might propose additions to the scope outlined above on that basis.

The table below represents the current service levels reported by ICANN, which were developed by ICANN in consultation with the impacted parties. Creating a process of developing the service levels was a NTIA contract requirement. For each service level, the table identifies the proposed CSC requirement post transition.

Reference	Requirement	Current NTIA contract requirement	CSC post transition requirement
C.2.8	Performance Standards	[The IANA] shall develop performance standards, in collaboration with all interested and affected parties	The CSC is expected to be involved in working with the IANA in subsequent periodic reviews and evolution of the performance standards.
C.2.9.a,b	Root Zone and WHOIS Change Requests	Two key performance indicators: 1) Timeliness - End-to-end processing for changes pertaining to routine maintenance of delegated TLDs are performed within 21 days; and 2) Accuracy - The requests that have passed validation are implemented correctly at the conclusion of a change request.	The CSC will continue to monitor performance as it relates to timeliness and accuracy. The CSC may, as a result of periodic reviews, change the targets or add additional metrics. This will be done in consultation with IANA and direct customers.
C.2.9.2.c	ccTLD Delegation and Redelegation	Two key performance indicators: 1) Timeliness - End-to-end processing times for changes pertaining to delegation or redelegation of country-code top-level domains are within 120 days; and 2) Accuracy - The requests that have been approved by the applicant are implemented correctly at the conclusion of a change request.	The CSC will have no role in defining or reviewing the content of the delegation and redelegation reports. The CSC will continue to monitor performance as it relates to timeliness and accuracy. The CSC may, as a result of period reviews, change the targets or add additional metrics. This will be done in consultation with IANA and direct customers.
C.2.9.2.d	gTLD Delegation and Redelegation	Three key performance indicators: 1) Timeliness - End-to-end processing times for changes pertaining to delegation or redelegation of generic top-level domains are within 30 days; Timeliness — Requests to delegate new gTLDs are dispatched to the Root Zone Administrator within 14 days of validation (passing technical checks and other confirmations); and 3) Accuracy — The requests	The CSC will have no role regarding the merits of delegation or redelegation. The CSC will continue to monitor performance as it relates to timeliness and accuracy. The CSC may, as a result of period reviews, change the targets or add additional metrics. This will be done in consultation with IANA and direct customers.

		that have been approved by the applicant are implemented correctly at the conclusion of a change request.	
C.3.2	Secure Systems Notification	IANA shall implement and thereafter operate and maintain a security notification system at a minimum, capable of notifying all relevant stakeholders of the discrete IANA functions, of such events as outages, planned maintenance and new developments.	This requirement is to remain and IANA shall notify the CSC of any of any outages, planned or unplanned.
C.3.4	Security Plan	IANA shall develop and execute a Security Plan that meets the requirements of this contract and Section C.3. The Contractor shall document in the security plan the process used to ensure information systems including hardware, software, applications, and general support systems have effective security safeguards, which have been implemented, planned for, and documented.	The Security Plan would likely have business confidential information that ICANN would not wish to make public for security reasons. It may make sense for the CSC to evidence the existence of the Security Plan to the third party auditor as part of our normal audit programme.
C.4.2	Monthly Performance Progress Report	Prepares and submits a performance progress report every month that contains statistical and narrative information on the performance of the IANA functions during the previous calendar month. The report includes a summary of the work performed for each of the functions with appropriate details and particularity. The report shall also describe major events, problems encountered, and any projected significant changes, if any, related to the performance of requirements.	<p>Monthly Performance Progress Reports will be submitted to the CSC for review post transition consistent with the current 15 day timeframe.</p> <p>The CSC will review the monthly progress reports and will have a conference call with the IANA team to discuss the reports soon after they are provided.</p> <p>The CSC will develop safeguards to ensure the continued confidentiality of any information contained in the reports.</p>
C.4.3	Root Zone Management Dashboard	The Contractor shall work collaboratively with NTIA and the Root Zone Maintainer, and all interested and affected parties as enumerated in Section C.1.3, to develop and make publicly available via a website, a dashboard to track the process flow for	<p>The CSC will monitor that the IANA functions operator continues to maintain this dashboard post-transition. The CSC may, from time to time, review and suggest enhancements in discussion with the IANA functions operator.</p> <p>http://www.iana.org/performance/root-processing-times</p>

		root zone management within nine (9) months after date of contract award.	
C.4.4	Performance Standards Reports	Develops and publishes reports for each discrete IANA function. The Performance Standards Metric Reports will be published via a website every month.	The CSC will require that IANA continue to publish reports for discrete IANA functions related to naming and monitor timely publication of these reports http://www.iana.org/performance/metrics/
C.4.5	Customer Service Survey	Collaborate with NTIA to develop and conduct an annual customer service survey consistent with the performance standards for each of the discrete IANA functions. The survey shall include a feedback section for each function.	IANA to collaborate with CSC to develop the annual customer service survey consistent with the performance standards for each discrete IANA function and other issues that may have been flagged in monthly reports. Survey will be reviewed by CSC and the IANA functions operator and where necessary, agree remedies to address any service deficiency identified by the Survey.
C.4.6	Final Report	Publication of the Final Report	This report is a deliverable at the end of the contract to show NTIA that IANA completed the contracted job. Given the new arrangement is intended to be evergreen, this is not relevant post-transition.
C.5.1	Audit Data	Generates and retains audit record data for one year and provides an annual audit report. All root zone management operations shall be included in the audit, and records on change requests to the root zone file.	IANA will be required to continue to generate and retain data for one year and provide an annual audit report to the CSC. IANA submission contained on pp233-234 of http://www.ntia.doc.gov/files/ntia/publications/icann_volume_i_elecsub_part_2_of_3_redacted.pdf
C.5.2	Root Zone Management Audit Data	Generates and publishes via a website a monthly audit report based on information in the performance of Provision C.2.9.2 (a-g) Perform Administrative Functions Associated With Root Zone Management. The audit report shall identify each root zone file and root zone "WHOIS" database change request and the relevant policy under which the change was made as well as	The CSC will require that the IANA functions operator continues to generate and publish this data no later than 15 calendar days following the end of the month. http://www.iana.org/performance/root-audit

		identify change rejections and the relevant policy under which the change request was rejected.	
C.5.3	External Auditor	Have an external, independent, specialized compliance audit which shall be conducted annually and it shall be an audit of all the IANA functions security provisions against existing best practices and Section C.3 of this contract.	This compliance audit will continue to be required post-transition. The audit report is to be provided to the CSC.
C.7.2	Contingency and Continuity of Operations Plan		While not necessarily under the purview of the CSC, it may make sense for the CSC to evidence the existence of the Contingency and Continuity of Operations Plan to the third party auditor as part of our normal audit programme.
C.7.3	Transition to Successor Contractor annual update	http://www.iana.org/reports/2014/transition-plan-201404.pdf	While not necessarily under the purview of the CSC, it may make sense for the CSC to evidence the existence of the Transition to Successor Contractor annual update.

Illustrative model of possible process for remedial action in the event of poor performance of IANA:

Frequent, cooperative communication will be a hallmark of the notification and escalation processes. All notifications will be accompanied by conference calls and frequent emails to facilitate mutual understanding of issues, responsibilities and next steps.

It is important to note that this strawman is provided for illustrative purposes. Any process to be adopted by the CSC should be developed in conjunction with the IANA Functions Operator, with the understanding that the process be reviewed periodically to ensure that it remains fit for purpose. The final process is likely to have many more escalation steps. When put into practice, amendments will be likely as real-world issues arise. It will be for the CSC and ICANN to negotiate the final escalation process.

	Notification	1st Escalation	2nd Escalation	3rd Escalation
Occurs	<ul style="list-style-type: none"> Process control limit exceeded 	<ul style="list-style-type: none"> Corrective action plan late 	<ul style="list-style-type: none"> Corrective action plan late 	<ul style="list-style-type: none"> Corrective action plan from 2nd escalation not delivered or

	<ul style="list-style-type: none"> IANA customer presents evidence that IANA did not meet SLA IANA periodic report indicates SLA not met 	<ul style="list-style-type: none"> Corrective action plan milestones missed Two or more additional “notification” violations occur while corrective action plan is open 	<ul style="list-style-type: none"> Corrective action plan milestones missed Two or more additional “notification” violations occur while corrective action plan is supposed to be in place 	<p>executed timely.</p> <ul style="list-style-type: none"> Additional similar violations occur when corrective action from 2nd escalation is supposed to be in place
Addressee	IANA Manager	IANA Manager	GDD President	ICANN Board, CEO
Message Content	<ul style="list-style-type: none"> Identify SLA breach and evidence Conference call request to discuss issues raised by CSC message. Corrective action requirement Time frame Identify party requiring response 	<ul style="list-style-type: none"> Identify SLA breach and evidence Conference call request to discuss issues raised by CSC message. Corrective action requirement Time frame 	same as previous	same as previous
Response Req't	<ul style="list-style-type: none"> Agreement that SLA violation occurred(or evidence to contrary) Cause Correction made on individual case Corrective action plan to: <ul style="list-style-type: none"> remedy current situation prevent future occurrence Corrective action plan required in 14-days 	<ul style="list-style-type: none"> Reissue corrective action plan to: <ul style="list-style-type: none"> Remediate earlier failed plan Include new violations Corrective action plan milestones missed Two or more additional “notification” violations occur while corrective action plan is open 	<p>same as previous plus</p> <ul style="list-style-type: none"> organizational, operational changes to correct lack of corrective action 	<p>same as previous plus</p> <ul style="list-style-type: none"> independent review triggered of ICANN operations to recommend organizational change and determine whether IANA operator can continue

Process for individual TLD operators to make complaints to the CSC about IANA performance:

It is acknowledged that IANA current as a Customer Service Complaint Resolution Process whereby individuals using the IANA functions can report issues or where they feel that IANA has been too slow, made a mistake or suffered bias in the performance of their activities. This process is available here: <http://www.iana.org/help/escalation-procedure>

In addition, TLD operators may also seek assistance from the CSC in resolving a dispute between themselves and IANA.

Where a TLD registry operator has a dispute regarding agreed levels of service or performance with the IANA Functions Operator, and the parties have been unable to negotiate a satisfactory outcome, the TLD registry operator should be able to lodge a written complaint with the CSC. The CSC should then request a written response from the IANA Functions Operator within 10 working days, assess the circumstances, and attempt to facilitate an agreed outcome between the parties. All disputes between the IANA Functions Operator and TLD registry operators should be archived for future reference.

Should this process fail there should be an escalation path that eventually feeds into the Independent Appeals Process (IAP) being developed by the Accountability track.

Overview of CSC tasks/work plan

It is the recommendation of this Design Team that a Charter for the CSC be developed by a working group comprising a majority of direct IANA customers, but not limited to direct customers.

The CSC will be responsible for developing its own working methods; however, the following is anticipated:

- The CSC will appoint a Chair of the Committee.
- The CSC will nominate a primary and secondary points of contact for the IANA functions operator (It is also expected that the IANA functions operator will also appoint a primary and secondary point of contact for the CSC).
- Establish a mailing list and consider the merits of making this open, given some matters of confidentiality will need to be discussed.
- Meet regularly (on-line) with the IANA functions operator to facilitate dialogue and develop a strong working relationship
- Develop a work plan that identifies the IANA reporting requirements and CSC review and monitoring responsibilities
- Publish a meeting/teleconference schedule based on the work plan

- Publish minutes from meetings/teleconferences
- Instigate after discussion with the IANA functions operator about issues and remedial action the appropriate work required to respond to performance deficiencies in accordance with agreed process
- Provide regular updates to the direct customers via email, teleconference, or during ICANN meetings.

Review of reporting requirements post-transition

The members of the design team are currently satisfied with the reports provided by the IANA Functions operator with respect to the naming functions. We believe that, post-transition, the existing reporting requirements set forth in the contract between the National Telecommunications and Information Administration and the IANA Functions Operator should be retained.

The Design Team does consider that there would be considerable value in a ‘hand-over’ prior to the transition. Those involved in this hand-over would be key members from the IANA functions operator and NTIA teams currently involved in the management of the IANA functions as they relate to names, and the CSC. This should facilitate a good understanding of the respective roles and requirements as well as enable a smooth transition of responsibilities from the NTIA to the CSC.

Notwithstanding, we believe that the transition proposal should be sufficiently flexible to allow for changes to the reporting requirements to account for lessons learned in the post-transition environment, any new services or changes to IANA services as a result of a regular review, or changing needs on the part of the registry operator.

Composition of the CSC

In order to ensure that the work of the CSC can be carried out in an efficient manner the CSC should be kept small in size and comprised of representatives with direct experience with the IANA naming functions and knowledge of IANA procedures, service levels, and reporting requirements. The Design Team recommends two possible options:

Option A	Option B
<ul style="list-style-type: none"> ○ 2 x gTLD registry operators ○ 2 x ccTLD registry operators 	<ul style="list-style-type: none"> ○ 2 x gTLD registry operators ○ 2 x ccTLD registry operators

<ul style="list-style-type: none"> ○ 1 x Liaison from RSSAC ○ 1 x Liaison from IANA 	<ul style="list-style-type: none"> ○ Liaisons from other ICANN Groups
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For both options: the 2 x gTLD and 2 x ccTLD representatives will be the four minimum required members of the CSC and will be appointed by their respective communities. In the event that a member resigns from the CSC the appointing community (e.g. gTLD Registry Operators, ccTLD Registry Operators) will be responsible for appointing a replacement.

Liaisons for Option A:

It is understood that RSSAC is also a customer of the IANA function; however, the level of interaction is very infrequent. However, as a customer of the IANA service and also because of their role and interest in the root zone, the CSC Design Team thought there was some value in having a Liaison from RSSAC. The CSC Design Team also felt there is value in having a Liaison from IANA appointed to the CSC. A Liaison could assist in understanding reporting and explaining areas of concern.

Liaisons for Option B:

Option B leaves the question of where the Liaisons can be appointed to the CSC as open, and the number of appointees is not restricted. However, under this option it is important to take into consideration the overarching principle that the composition of the CSC remain small overall and that any appointees have the requisite expertise to contribute in the role.

The distinction between members and liaisons shall be that liaisons will be appointed for a distinct purpose and designated time period, rather than to participate in the entirety of the regular monitoring carried out by the CSC. The responsibilities and terms for appointed liaisons will be established by the CSC on a case-by-case basis.

Membership (both for official members and liaisons) will be on a volunteer basis and will not be compensated. The IANA Functions Operator will be responsible for funding and supporting remote participation tools to facilitate the work of the CSC and any other reasonable support requests. No travel support is recommended for the CSC. However, this does not disqualify CSC members from seeking funding for travel through their respective ICANN communities.