

Combined (1st and 2nd Review) Overview Metrics, Assessment and Outcome

To compare whether any changes have occurred in the area the metrics are supposed to cover, the results of first and second review are included.

Overview

- Metric – Brief description of objective
- Assessment - Summary of the Findings of the Review team with respect to specific Metric
- Outcome -The metric is:
 - Achieved
 - Not Achieved
 - Not Applicable (N/A)
- New Metric: Additional Metric to assess implementation of recommendations 1st Effectiveness Review.

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
1.	CSC monitors the performance of the IANA naming function against agreed service level targets on a regular basis	PTI sends the performance report to all CSC Members monthly. The CSC produces a monthly Findings report. The previous reports can be found at: https://www.icann.org/csc under section Reports & Findings. The PTI		The CSC conducts monthly meetings to assess the performance of the IANA naming function against agreed Service Levels (SLAs) ¹ . These meetings provide an opportunity for the CSC to discuss the	Achieved

¹ The RT notes that over time different terms have been used to refer to the agreed Service Levels, for example Service levels Expectations, Service Levels Agreements or “SLAs”. For avoidance of doubt the RT will use the term “SLAs” to refer to the agreed Service Levels, which are currently referenced in section 4.4.(a) of the current version of the IANA Naming Function Contract (dated 30 September 2016), as Contractor (“PTI”) shall perform the IANA Naming Function in a stable and secure manner and in accordance with the SOW. Further, according to the SOW (Annex A to the Contract), Contractor (“PTI”) shall perform the Services in accordance with the following “Service Levels”. However, after the envisioned amendment of the IANA Naming Function Contract refer to “Contractor will perform all services relating to Root Zone Management in accordance with the requirements and “Service Levels” specified at [link to icann.org page] (the “SLAs”), as such [services and] SLAs may be amended from time to time in accordance with the procedures specified at [link to icann.org page].”

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
2.	CSC analyses monthly reports provided by PTI and publishes their findings	report includes references to all SLAs as listed under the IANA Naming Function Contract.		<p>monthly reports provided to them by the IANA Team and gain an understanding of reasons why agreed service level targets may not have been met and whether any action is required to address any identified problems.</p> <p>Written reports are distributed widely within the community, including the ccNSO and GNSO, and are also made available on the CSC wiki https://www.icann.org/en/csc/reports</p> <p>The CSC has developed and published a CSC Practices document that details the manner that they consider issues, how they conduct meetings and report to the community. https://www.icann.org/en/system/files/files/guideline-csc-practices-24mar17-en.pdf</p>	
3.	CSC follows up where required on any performance issues identified and agrees on a plan for resolution with PTI and ICANN	<p>The CSC discusses and follows-up if an SLA is not met and reports the result in the Findings report, see for example: PTI performance Report December 2020 (https://www.icann.org/iana_csc_docs/519-csc-findings-of-pti-performance-december-2020-v-1) and follow-up discussion pertaining to the SLA that was missed (CSC agenda and discussion February & March 2021 (see for example: https://www.icann.org/uploads/iana_work_session_asset/attachment/1029/16313028966</p>		<p>The CSC discusses with PTI any incidents where the PTI monthly report identifies that SLAs are not being met. To date there have been no cases where further action has been deemed necessary</p> <p>All meetings are recorded along with their notes. The recordings and notes are posted on the CSC webpage under “Past meetings” (https://www.icann.org/csc)</p>	Achieved

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
		22Agenda and Notes CSC Meeting 47-17 February 2021.pdf			
4.	Where appropriate, the CSC requests a review or change of a service level agreement.	<p>The CSC is mandated to discuss the provisioning of IANA Naming Services through the process for amending the IANA Naming Service Level Agreements (https://www.icann.org/en/system/files/files/iana-naming-function-sla-amendment-process-28mar19-en.pdf). After the process became effective, 3 Service Level Agreements have been changed/introduced:</p> <ul style="list-style-type: none"> - Technical checks - Processing IDN Table (new SLA) - ccTLD delegation/transfer (amendment) <p>Additionally the CSC together with PTI explored the need to change an SLA in February and March 2021 (see above item # 3).</p>		The CSC is establishing a process to review and propose amendments to SLAs based on its assessment of PTI's monthly reports. This includes the ability to recommend the creation of new SLAs where applicable. Once established, operational minor changes to SLAs can be made according to the new procedures.	Achieved

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
5.	Where appropriate the CSC undertakes remedial action to address poor performance in accordance with the Remedial Action Procedures	<p>The CSC are aware they are required to do this but so far in my time in the CSC this has never been required.</p> <p>No remedial action to date has been required The Procedure itself can be found at: https://www.icann.org/en/system/files/files/csc-remedial-action-procedures-19feb19-en.pdf</p>		<p>The CSC has not encountered any incidents that have required it to initiate any form of remedial action. The CSC reviewed and revised the Remedial Action Procedures (RAP) as required in the initial CSC Charter, and the RAP now forms part of the amended Charter that was approved by the ccNSO and GNSO Councils on 27 June 2018. https://www.icann.org/en/system/files/files/csc-charter-amended-27jun18-en.pdf</p> <p><u>Remedial Action Procedures</u> https://www.icann.org/en/system/files/files/csc-remedial-action-procedures-03mar18-en.pdf</p>	N/A
6.	When appropriate remedial action by the CSC has not resolved the poor performance, CSC is authorised to escalate the performance issues to the ccNSO and GNSO for consideration	To date the Remedial Action Procedure has not been invoked.		To date the CSC has not needed to escalate performance issues to the ccNSO and GNSO. However, the Review Team does note that the CSC has developed a good working relationship with PTI and believes that this relationship will be important in the event remedial action of this nature is considered necessary in the future.	N/A
7.	CSC has an effective process for tracking complaints that have been escalated to PTI Management (Escalations), and CSC Members can be directly informed of	The CSC is informed by PTI if they have received complaints and if so how it was handled. This is reported in CSC Findings of PTI Performance (see the monthly Findings Reports). According to its Charter the CSC does not handle individual complaints (see: https://www.icann.org/en/csc/complaints).		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.	Partially achieved

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
	individual complaints by email.			<p>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..."</p> <p>The CSC has interpreted this 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.</p> <p>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.</p> <p>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.</p>	

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
				The CSC Webpage includes a link to the general Customer IANA Service Complaint Resolution Process.	
8.	CSC will at least annually conduct a consultation with PTI and ICANN, the primary customers of the naming services and the ICANN community about the performance of PTI	<p>The CSC meets with the PTI Board and representatives of the ICANN board at least once each year to discuss PTI Performance and related matters.</p> <p>With respect to meetings with the BTC see for example agenda April 2021 (https://community.icann.org/display/CSC/14+April+2021). For meetings with PTI Board see for example agenda October 2020 (https://www.icann.org/uploads/iana_work_session_asset/attachment/1025/1631302807621Agenda_and_Notes_CSC_Meeting_44_October_2020.pdf)</p>		<p>PTI asks customers to rate their satisfaction with transactions and reports the results annually. The CSC provides input and feedback and evaluates the results of the survey with PTI. To avoid survey fatigue the CSC does not conduct its own survey.</p> <p>The CSC members regularly provide updates to the ccNSO and RySG at ICANN meetings, and invite comments. In addition, the CSC prepares and presents an annual review of its activities and of its assessment of PTI's overall performance, and presents it to the ccNSO, RySG and others at public ICANN meetings, and invites comments from these communities.</p>	Achieved
9.	CSC, in consultation with the registry operators, is authorised to discuss with ICANN and PTI ways to enhance the provision of IANA's operational services	<p>The CSC is mandated to discuss the provisioning of IANA Naming Services through the process for amending the IANA Naming Service Level Agreements (https://www.icann.org/en/system/files/files/iana-naming-function-sla-amendment-process-28mar19-en.pdf)</p> <p>According to process 3 Service Level Agreements have been changed/introduced:</p>		CSC and PTI have discussed enhancements to the provision of IANA services, specifically with the addition of monitoring IDN table publication and changes to the reporting.	Achieved

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
		<ul style="list-style-type: none"> - Technical checks - Processing IDN Table (new SLA) - ccTLD delegation/transfer (amendment) <p>Additionally the CSC together with PTI explored need to change the a SLA (see above item # 3) and whether there is a role if any, with respect to DSNSec KSK (for example see: item 6 agenda and notes CSC Meeting 45, https://www.icann.org/uploads/iana_work_session_asset/attachment/1027/1631302836785Agenda_and_Notes_CSC_Meeting_45_-_18_November_2020.pdf)</p>			
10.	Where ICANN and PTI have been responsible for implementing recommended changes to operational services or the Service Level Agreements, the CSC is confident that has been completed appropriately	<p>See examples:</p> <ul style="list-style-type: none"> - Technical checks - Processing IDN Table (new SLA) - ccTLD delegation/transfer (amendment) <p>The conclusion of implementation of an amended SLA is integral part of the amendment process (See Amendment process, Section II, sub 5,</p>		Changes to the SLAs have not been completed, but the data collection to inform the recommended changes has commenced. The changes to monitoring IDN Table publication have become part of the regular publications of PTI.	Achieved

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
11.	CSC is providing a liaison to the IANA Functions Review Team	The CSC has appointed a liaison to the first IFRT (see: https://community.icann.org/display/ifr/Review+Team+Composition)		The IANA Functions Review Team liaison has been appointed.	Achieved
12.	CSC is providing a liaison to a Separation Cross Community Working Group	To date there is has not been separation cross community working group.		N/A	N/A
13.	Meeting attendance of CSC members	Attendance of the meetings for CSC Members is recorded here: https://community.icann.org/display/CSC/Attendance?preview=/84216784/180028098/CSC+Attendance%20Tracker%202020+2021%20JAN-%20OCT.xlsx		All appointees must attend a minimum of nine meetings in a one year period, and must not be absent for more than two consecutive meetings (see Annex C: Charter CSC, section Terms). According to attendance sheets, (https://community.icann.org/display/CSC/Attendance) all 4 members of the CSC have met the attendance requirement. The CSC Practices developed by the CSC states that a "... CSC meeting shall be quorate if the 4 (four) Members are present at the meeting.	Achieved
14.	Meeting attendance of CSC liaisons excluding PTI Liaison	Attendance of the meetings for CSC Liaisons is recorded here: https://community.icann.org/display/CSC/Attendance?preview=/84216784/180028098/CSC+Attendance%20Tracker%202020+2021%20JAN-%20OCT.xlsx		All appointees must attend a minimum of nine meetings in a one year period, and must not be absent for more than two consecutive meetings (see Annex C: Charter CSC, section Terms). According to the attendance sheets (https://community.icann.org/display/CSC/Attendance), not all liaisons attend regularly and do not meet the required minimum number of meetings. In accordance with the Charter, the Chair of the CSC is advised to inform the appointing organisation and / or	Not achieved

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				request a replacement. It is unclear if the appointing organisations are aware of the low attendance rates. They are advised to check the attendance sheet regularly and to consider what they expect from their liaisons.	
15.	NEW METRIC Implementation 1 st Effectiveness Review Recommendations	<p>Recommendation 1: The CSC is to document and publish the procedure for how the CSC intends to deal with complaints they receive from individual PTI customers.</p> <p><i>Current status</i></p> <p>See Message on website: https://www.icann.org/en/csc/complaints</p> <p>A link to the IANA complaint process is also included on CSC website.</p> <p>Recommendation 2: The CSC provides appointing organizations with attendance records on a regular basis, at least every year in the month May, and where minimum attendance requirements are not being met, the Chair of the CSC formally notifies the appointing organization.</p> <p><i>Current Status</i></p>			

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		<p>In order to meet the attendance record it is documented: Also noted that CSC now meets at rotational schedule (10.00 UTC, 18.00 UTC and 02.00 UTC). Members understand need to attend.</p> <p>Overview per meeting available: https://community.icann.org/display/CSC/Attendance</p> <p>Recommendation 3: The CSC develop an overview of the skills and expertise required on the CSC, and map the skills of current members and liaisons against the required skill set to inform the selection process of the appointing organizations.</p> <p>Current Status</p> <p>Skill overview has been produced. Appointing organizations use it in call for volunteers. Currently membership very stable.</p> <p>See skill matrix: https://www.icann.org/en/system/files/files/csc-skill-set-matrix-members-liaisons-04jun19-en.pdf</p>			

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
		<p>Recommendation 4: The CSC develops an induction program that new members and liaisons are required to undertake.</p> <p><i>Current Status</i></p> <p>Introduction of new members and liaisons: Subscription to email list upon appointment. On-boarding session(s) with appointee, chair, vice-chair and staff.</p> <p>See: https://www.icann.org/en/system/files/files/csc-overview-members-liaisons-04jun19-en.pdf</p>			
16.	NEW METRIC Has Issue identified 1 st Review been addressed?	<p>The current chair is a liaison to the CSC, appointed by RSAC. The current vice-chair is a member of the CSC, appointed by the ccNSO According to the CSC Charter (https://www.icann.org/en/system/files/files/csc-charter-amended-27jun18-en.pdf). “The Chair of the CSC will be elected on an annual basis by the CSC. Ideally the Chair will be a direct customer of the IANA naming function, and cannot be the IANA Functions Operator Liaison.” This is also reflected in the CSC internal procedure on election of Chair and Vice-Chair (https://www.icann.org/en/system/files/files/csc-appointment-procedure-04nov19-en.pdf) .</p>			

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
17.	NEW METRIC Chair & Vice-chair Election. Should Chair be a member of the CSC?	<p>The current chair is a liaison to the CSC, appointed by RSAC. The current vice-chair is a member of the CSC, appointed by the ccNSO According to the CSC Charter (https://www.icann.org/en/system/files/files/csc-charter-amended-27jun18-en.pdf). “The Chair of the CSC will be elected on an annual basis by the CSC. Ideally the Chair will be a direct customer of the IANA naming function, and cannot be the IANA Functions Operator Liaison.” This is also reflected in the CSC internal procedure on election of Chair and Vice-Chair (https://www.icann.org/en/system/files/files/csc-appointment-procedure-04nov19-en.pdf).</p> <p>According to the Charter and internal procedure the Chair can not be the IANA Function Liaison.</p> <p>In addition, the internal procedure of the CSC foresees the election of a vice-chair (not foreseen in the charter).</p> <p>The text in the current Charter and original 2016 Charter (https://www.icann.org/en/system/files/files/csc-charter-19sep18-en.pdf) are the same.</p>			
18.	NEW METRIC Frequency of meetings in light of the workload: is				

	Metric	2 nd Review Assessment	2 nd Review Outcome	1 st Review Assessment	1 st Review Outcome
	monthly meeting CSC still required?				
19.	NEW METRIC Attracting new and adequate volunteers: will the CSC keep attracting capable volunteers?				
20.	NEW METRIC Scope of CSC: is the scope of activities still beneficial to the effectiveness of the CSC?				