

### Introduction

One goal of the committee decision process is to resolve issues through discussion with Regional Committee Members (RCMs). However, there are times when significant county business process changes or business impacts contribute to a lack of consensus among committee members.

Escalations must be managed by the Regional Managers (RMs) quickly and efficiently to provide resolution to the committee and provide direction on System Change Requests (SCRs) as needed.

### Escalations

Why should I escalate? Reasons to escalate could include committee's inability to reach consensus, a significant negative impact to county business processes, and/or customer service impacts.

Some considerations when escalating an issue:

- Has a reasonable effort been made to gain consensus between Regions?
- Is it a "Significant Negative Impact" to the Counties or customers?
- Is it easily configurable?
- Is a policy clarification needed? Policy escalations are managed through the Consortium Request for Policy Clarification (CRPC) process sent to the State for response.

Who can escalate? Any RCM may work with the committee's Sponsoring RM and their Regional Manager(s) to complete and submit the escalation form. The Sponsoring RM will assist the RCM with escalations, and if it cannot be resolved at the first step, one of the escalating region's RMs will move the escalation through the process.

What can be escalated? Any issue/SCR can be escalated.

How does the process work?

The escalation steps are outlined here, with additional detail included in the table below:

#### **Prior to Escalation**

Committee discussion of SCR outcome: Attempt to resolve the issue at the committee level with the support of the committee's facilitator(s), Sponsor Regional Manager and their Regional Manager. Whenever possible, proposed resolutions should be for 58 counties.

**Note:** SCRs that met the 7 affirmative votes from 5 regions voting requirement, will continue to move forward through the Change Control (CCB) process concurrent with

any escalation. Should a county need to request for a SCR to not move forward while in escalation, they should contact their Regional Manager(s) for further guidance.

Escalation Step 1: Seek resolution with RMs from all regions.

Escalation Step 2: Seek resolution by discussing with Project Staff.

Escalation Step 3: Seek resolution with the escalating Region's Project Steering Committee (PSC) member(s).

Escalation Step 4: Seek resolution through the PSC body.

Escalation Step 5: Seek resolution through your Joint Powers Authority (JPA member)

Escalation Step 6: Seek resolution through the JPA.

Once Resolved - The assigned RM will provide the response to the committee and project to close out the escalation.

Escalation Step	Detailed Process Description
Committee Discussion	<p>RCMs will strive to reach consensus in Committee. Facilitators and/or Sponsor RM will assist in the attempt to help RCMs reach consensus. (Though the Primary Point of Contact (PPOC) is not part of the CalSAWS Project decision making process, the RCM and/or RM(s) may choose to engage them, as needed, for county input regarding the issue.)</p> <p><b>Note:</b> If the potential escalation is related to an issue outside of the committee structure, the escalating county representative will attempt to resolve through discussion with the county's PPOC and/or the Region's RM(s) in order to determine if an alternate process may be acceptable or whether the county wishes to escalate the issue.</p> <p>If an acceptable resolution cannot be reached, the Sponsor RM will assist the RCM(s), along with the escalating regions RMs in documenting the issue with help from the facilitating BA. The issue and any proposed resolutions should be clear and documented prior to Step 1. The facilitating Business Analyst (BA) will provide the documented issue to the committee for their reference.</p> <p>The Sponsor RM and RM from the region impacted will proceed to Escalation Step 1 by a scheduling a meeting with all regions RMs.</p>

<b>Step 1</b>	<p>The Sponsor RM, along with the escalating regions RMs will seek resolution through all RMs via teleconference or in person meeting to discuss ideas to mitigate the issue or the merits/need to continue the escalation. This meeting will include Project Staff who can provide additional information and possible resolutions (i.e. Facilitator, Developer, etc.).</p> <p>If resolved, the Sponsor RM/escalation regions RMs will work with the Regional RMs to finalize documentation on the escalation form and share it with the committee/originating county.</p> <p>If there is no agreed to resolution, the escalating RMs will proceed to Step 2 by scheduling a meeting with appropriate Project staff. This allows the Region's RMs to work with their respective RCMs, PSC and/or JPA members, as needed, through the remaining escalation steps.</p> <p>The RM sponsor will provide updates at committee meetings during the outlined process below.</p>
<b>Step 2</b>	<p>The escalating RM seeks resolution through a discussion with the Project team (which may include RMs from the previous discussion). The Project team will provide feedback including proposed resolution ideas, timelines/cost of possible mitigations and/or possible alternatives for mitigation.</p> <p>If there is an agreed resolution, the escalating RM(s) will finalize documentation on the escalation form and share it with the committee/originating county.</p> <p>If there is no agreed resolution, the escalating RMs proceed to Step 3 by scheduling a meeting with the region's PSC member(s) and with appropriate Project staff.</p> <p>Note: Project staff in attendance will be determined by the escalation topic and complexity.</p>
<b>Step 3</b>	<p>The escalating RMs discuss the escalation with their PSC member(s) for consideration and resolution. Escalating RMs provide background</p>

	<p>regarding previous discussions and include the Project team/RMs in the discussion as needed/requested.</p> <p>If resolved through discussion with the PSC member(s), the escalating RMs will finalize documentation on the escalation form and share it with the committee/originating county.</p> <p>If no resolution, then the Region's RMs will request the escalation be added to the next PSC agenda. Proceed to Step 4.</p>
<b>Step 4</b>	<p>At the PSC meeting, the escalating RMs and PSC member(s) will provide background regarding previous discussions. Project team/other RMs participate in the discussion as needed/requested.</p> <p>If resolved through the PSC discussion, the escalating RMs will finalize documentation on the escalation form and share it with the committee/originating county.</p> <p>If there is no agreed resolution, the escalating RMs proceed to Step 5 by scheduling a meeting with the region's JPA member(s) and with appropriate Project staff</p>
<b>Step 5</b>	<p>The escalating RMs discuss the escalation with their JPA member(s) for consideration and resolution. Escalating RMs provide background regarding previous discussions and include the Project team/RMs in the discussion as needed/requested.</p> <p>If resolved through discussion with the JPA member(s), the escalating RMs will finalize documentation on the escalation form and share it with the committee/originating county.</p> <p>If no resolution, then the Region's RMs will request the escalation be added to the next JPA agenda. Proceed to Step 6.</p>
<b>Step 6</b>	<p>At the JPA board meeting, the escalating RMs and JPA member will provide background regarding previous discussions., Project team/other RMs participate in the discussion as needed/requested.</p> <p>The escalating Region's RMs will document and communicate the outcome to the County/Region/Committee.</p>

### Escalation Form Completion

To begin the process, the escalation form is completed by the committee RCM (or county representative, if not committee related) with assistance from the sponsoring RM and the facilitating BA.

It is important that the escalation move through necessary steps quickly so that any resolution which requires changes to the approved design can be managed expeditiously.

- If the escalation is the result of an approved SCR vote, the SCR will move forward to be prepared for CCB while the escalation is conducted (which is approximately a 3-week window, typically)
  - Should a county need to request for a SCR to not move forward while in escalation, check the “Pause SCR for Discussion” checkbox and reach out to the Regional Manager(s) for further guidance.
- If the escalation is not related to an SCR approval, the escalation form provides suggested business days for tracking the item through the escalation path.

Completing the Escalation Form:

- Descriptions must clearly define the specific escalated issue to provide context and clarity in a way someone unfamiliar with the topic would understand at an Executive Summary level.
- Describe in detail the reason for escalation and applicable:
  - Voting results by the regions
  - Policy Reference(s)
  - Examples may be helpful, such as, if we don't do 'x' then the county must do 'y'. Or if we don't do 'x' then the negative consequence is 'y'. If the issue is a lack of consensus, a pro/con list or other explanation may be helpful.

### Pause SCR for Discussion

If there is a need for an SCR to be pulled from development, CCB, or a release cycle, the escalating county will need to reach out to their RM(s). The RM(s) of the region will confer with their PSC member(s). If the PSC member(s) agree(s), the form will be submitted with the “Pause SCR for Discussion” box checked.

Note: Pausing an SCR will depend on several factors, including implementation date(s) and where the SCR is in the SCR life cycle.