Introduction

As part of the committee decision process Regional Committee Members (RCMs) discuss their business process differences to obtain consensus, however, there are times when the committee members cannot reach consensus and a county may wish to escalate their concern.

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

If the potential escalation is related to an issue outside of the committee structure, the escalating county representative will attempt to resolve the issue through discussion with the county's PPOC and/or the Region's RM(s) to determine if an alternate process may be acceptable or whether the county wishes to escalate the issue, which will follow the same escalation process as a committee.

Escalations

What drives an escalation? Reasons to escalate include:
- Committee's inability to reach consensus on the SCR requirements
- A significant negative impact to County business processes
- 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 the change easily configurable?
- Is a policy clarification needed?
  Note: Policy escalations are managed through the Consortium Request for Policy Clarification (CRPC) process and sent to the State for response.

Who can escalate? Any RCM may work with the committee's Sponsoring RM and their regions RM to complete and submit the escalation form. The Sponsoring RM assists the RCM with escalations, and if it cannot be resolved at the first step, one of the escalating region's RMs moves the escalation through the outlined process.

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

Committee Discussion

RCMs strive to reach consensus with the Committee. Facilitators and/or Sponsor RM assists with 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.)

If an acceptable resolution cannot be reached, the Sponsor RM assists the RCM(s), along with the escalating regions RMs in documenting the issue with help from the applicable Consortium SCR Contact. The issue and any proposed resolutions should be clear and documented prior to Step 1 below. The applicable Consortium SCR Contact provides the documented issue to the committee for their reference.

The Sponsor RM and RM from the region impacted proceed to Escalation Step 1 by a scheduling a meeting with all RMs.

Prior to Escalation

RCMs attempt to resolve the issue at the committee level with the support of the committee's facilitator(s), sponsoring RM and the Regions RM(s). Whenever possible, proposed resolutions should be for 58 counties. SCRs that met the seven (7) affirmative votes from five (5) regions voting requirement, continue to move forward through the Change Control (CCB) process concurrent with any escalation. Should a County request for a SCR to not move forward while in escalation, they should contact their RM for further guidance. See Pause SCR for Discussion section below.

The escalation steps are outlined, below with additional details included in the following table:

1. Sponsor REM(s) and Escalation Region's RMs seek resolution with RMs from all regions
2. RMs seek resolution by discussing with Project Staff
3. RMs seek resolution with the escalating Region's Project Steering Committee (PSC) Member(s)
4. RMs present issue to seek resolution through the PSC body
5. Project Director, with assistance as needed, seeks resolution through associated Joint Powers Authority (JPA member)
6. Project Director seeks resolution through the JPA board

Once resolved, the assigned RM provides the response to the committee and project to close out the escalation.

Escalation Steps

Escalation Step	Detailed Process Description

Step 1	The Sponsor RM, along with the escalating regions RMs seek resolution through discussions with all RMs via virtual or in person meetings to discuss ideas for issue mitigation or the merits/need to continue the escalation.
	If resolved, the Sponsor RMs/escalation regions RMs work with the remaining RMs to finalize documentation on the escalation form and share it with the respective committee/originating County.
	If there is no resolution agreement, the escalating RMs proceed to Step 2 by scheduling a meeting with appropriate Project staff. This allows the RMs to work with their respective RCMs, PSC and/or JPA members, as needed, though the remaining escalation steps.
	The RM sponsor provides updates at committee meetings during the outlined process below.
Step 2	The escalating RM seeks resolution through a discussion with the applicable Project staff (which may include RMs from the previous discussion). The Project staff (i.e., Consortium SCR Contact, Designer Contact, developers, etc.) provides additional information and possible resolution ideas, timelines/cost of possible mitigations and/or possible alternatives for mitigation.
	If there is agreement on the resolution, the escalating RM(s) finalizes documentation on the escalation form and share it with the committee/originating County.
	If a resolution is not reached, the escalating RMs proceed to Step 3 by scheduling a meeting with the escalating region's PSC member(s) and with appropriate Project staff.
	Note: Project staff in attendance are determined by the escalation topic and complexity.
Step 3	The escalating RMs discuss the escalation with their escalating County PSC 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.

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

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 SCR Consortium Contact.

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 moves forward to CCB for submission while the escalation is in progress (which is typically three week). Should a County need to request for a SCR to not move forward while in escalation, select the Pause SCR for Discussion and refer to the Pause SCR for Discussion section further below

- 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

Guideline for 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 the Project does not do 'x' then the County must do 'y'. Or if the Project does not 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 the County requests the SCR be pulled from development, CCB, or a release cycle, the escalating County contacts their RM(s). The RM(s)of the region confer with their PSC member(s). If the PSC member(s) agree(s), the form is submitted with the Pause SCR for Discussion box selected.

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