		<h2 style="color: blue;">Issue Resolution and Escalation Process</h2>	
Subject/Title	Issue Resolution and Escalation Process	Number:	PRJ-ESC01
Author:	Nicole Jenkins, Managing Director Projects Robert Gillis, Director Operations FMS	Effective Date:	July 29 2013
Owner:	Nicole Jenkins, Managing Director Projects Robert Gillis, Director Operations FMS	Revision:	03

1.0 PURPOSE

The purpose of this process is to provide guidance and a clear framework for Issue Management and Escalations throughout the life cycle of a project. Issues may be presented by SSBC, the end user client (i.e. Ministry or BPS), or Brookfield Johnson Controls Workplace Solutions Inc. ('WSI'). NOTE: The end user client (Ministry or BPS) should route their issue or escalation through Client Services as part of standard business processes.

Terms and Definitions:

An **Issue or a set of circumstances** may occur that has the potential to jeopardize project delivery.

A **Critical Issue** is a consequence of an event, which if left unresolved, puts project delivery at risk. As an example, an equipment operator severs a power transmission cable. The incident (severed cable) leads to an issue (loss of power). Loss of power, if unresolved, could lead to additional costs, insurance claims and schedule delays.

A **Non-Critical Issue** is a consequence of an event, which if left unresolved, puts the project relationships at risk. As an example, a difference of opinion on process or service level specification for project delivery. The event (difference of opinion) could lead to a non-critical issue (frustration or misaligned expectations) and if unresolved, could lead to personnel and client dissatisfaction leading to the realization of a critical issue.

Risks to Project Delivery can be broadly described as:

Quality Risk: Quality of the work has not meet the expectation of the client, including design or construction.

Schedule Risk: The progress of the work has or is at significant risk to fail a critical milestone.

Budget Risk: The cost of completing the work has exceeded or is at risk to exceed the approved budget.

Performance Risk: An issue that puts the relationship with the client and provider at risk.

An **Escalation** results, in the event that the parties do not agree with a course of action, or a course of action is unsuccessful, or the parties have exhausted options, and the resolution is not achievable at that Operational level. The issue will be escalated to the next level for resolution.

2.0 PROCESS & PROCEDURE

The objective of the process is to mitigate risk by Issue Resolution or Escalation.





Standard Business Processes and Practices: Prior to an issue being raised the following standard business processes and practices should be utilized. The originator of an issue should first discuss their questions and/or concerns directly with their counterparts and work to resolve issues at an operational level where all parties will be attempting to work together for the collective successful resolution. Wherever possible, operational relationships should be used to preempt the development of issues into escalations. The Operational level group members are the WSI Project Manager and the SSBC Project Implementer. Team members will consult with others within their work groups who may inform and otherwise advance resolution.

Operational resolutions should be documented and agreed upon. Both parties would be attempting to work together for the collective success of the project. This can be done via email and a copy uploaded to RP2 for record purposes.

Escalation Process: The following applies to both critical and non-critical issues as non-critical issues that, if not resolved, can lead to a critical issue. If escalation is required the WSI Managing Director Projects and FMS Director Operations will retain overall management authority of the resolution process.

Track and Evaluate: The WSI Project Manager will track progress of proposed actions, evaluate effectiveness to mitigate risk and report results to the SSBC Project Implementer with a copy uploaded to RP2 for record purposes.

The Escalation Process shall have three stages and may include several or all procedure requirements at each stage.

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Stage One– Issue Escalation:

The parties, having failed to resolve the issue at the operational level, will submit the issue and any proposed Action Plan (ensuring they have all the researched documentation included within the submission to all for resolution) via the WSI Project Manager to the following team members:

WSI, Managing Director Projects – [Nicole Jenkins](#)
SSBC FMS, Director Operations – [Robb Gillis](#)

Issue Notification: The SSBC Project Implementer / WSI Project Manager will document the issue and describe the details of the issue, including unforeseen circumstances, correspondence with respect to the events leading up to the issue, and any immediate actions taken to mitigate further risk.

Risk Assessment: Quantify the potential risk based on the risk factors above, and rate the outcome as high, medium or low.

Once the submission has been made the stage one team will complete the following:

Review Escalation: The stage one team will review the escalation documentation and request any additional documentation as it pertains to the issue.

Review Risk Assessment: The stage one team will review the Issues and risk assessment matrix and revise as necessary.

Recommend Action Plan: The stage one team will review the escalation, determine areas of disagreement and propose remedies and corrective Action Plan.

Track and Evaluate: Once the escalation is received it will continue to be tracked and monitored to resolution by the WSI Project Manager. Progress reports to the Action Plan will be provided to the stage one team as outlined in the Action Plan.

Team members will consult with others within their work groups who may inform and otherwise advance resolution.

Stage Two– Unresolved Escalation – Panel Discussion:

A **Panel Discussion** requires the Stage Two team to schedule a time and location to convene. The parties invited (the Stage Two team, the WSI Project Manager and SSBC Project Implementer) will be directed to forward the invite to others within their work groups who may inform and otherwise advance resolution. This may include, but not limited to SSBC Director, Client Relations, WSI Team Leads, WSI Operational Staff etc




The parties, having failed to resolve the issue with the Action Plan from Stage One, will resubmit the issue (ensuring they have all the researched documentation included within the submission to all for resolution) via the WSI Project Manager to the following team members:

WSI, Managing Director Projects – [Nicole Jenkins](#)
SSBC FMS, Director Operations – [Robb Gillis](#)

The Stage Two team members will convene for a panel discussion on the outstanding issue(s) not resolved in the previous steps, additional support personnel may be required for attendance. SSBC Project Implementer and WSI Project Manager will be responsible for providing a statement of the issue(s), backup documentation, and requested action for resolution for the panel's consideration and further development of an Action Plan.

The escalation will be reviewed and evaluated by the panel and a Resolution Plan will be developed and agreed upon. The revised Action Plan will be documented, communicated and implemented as agreed and if successful the escalation can be closed after consideration to any systemic process or procedure improvements that may be warranted.

Track and Evaluate: Once the escalation is received it will continue to be tracked and monitored to resolution by the WSI Project Manager. Progress reports to the revised Action Plan will be provided to the team as outlined in the Action Plan.

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If there is not agreement with the Action Plan, the Plan is unsuccessful, or the parties have exhausted options, and resolution is not achievable at that level, notification and action will be completed for escalation to Stage 3.

Stage Three – SSBC Executive Director and WSI General Manager:




If the WSI Managing Director in partnership with the FMS Director of Operations cannot come to an agreement because there is no agreement on the Action Plan, the Plan is unsuccessful, or the parties have exhausted options, the Issue shall be escalated and pertinent information provided via the FMS director Operations to the following executive members:

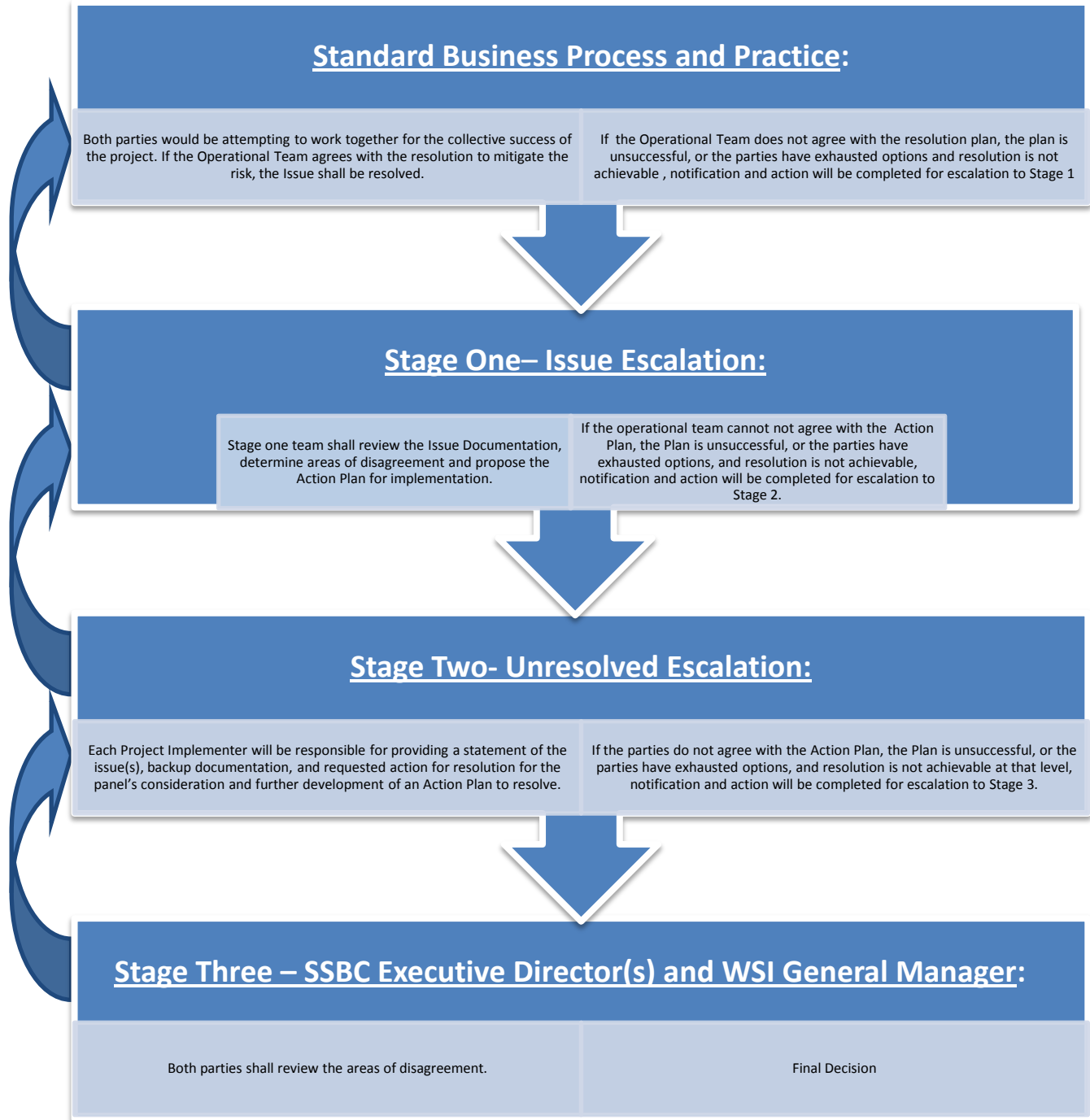
SSBC Facility Management Services, Executive Director – [Pat Marsh](#)
 WSI General Manager – [Roger Billings](#)

Track and Evaluate: Once the Stage Three escalation is received it will continue to be tracked and monitored to resolution by the WSI, Managing Director Projects and SSBC FMS, Director Operations. Progress reports will be provided to the team as outlined in the revised Action Plan.

The escalation will be reviewed and evaluated by the Executive Team members and a revised course of action will be developed and agreed upon. The revised Action Plan will be documented, communicated and implemented as agreed. The escalation can be closed after consideration to any process or procedure improvements that may be warranted.

3.0 Issue and Escalation Matrix

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