Governance Model: Issue Escalation and Resolution Framework

SMARTcomputing Project Team

SMARTcomputing
What is an Issue?

- An issue is a point of system function, feature, design or process that the Technical Steering Committee has not resolved or that is determined to be out of jurisdiction for the Technical Steering Committee.
- An issue can also be a 'requirement' or "request" that breaks something within the existing SMARTcomputing Program.
- Issue tracking and follow-up will be the responsibility of the Program Manager.

Who can ‘log’ an Issue?

- Anyone participating in the SMARTcomputing Program, Technical Steering Committee or Exec. Oversight Committee.

When are issues escalated?

- Technical Steering Committee to review all unresolved issues and escalate appropriately at regular meeting.
- Timeliness / Decision may drive escalation outside of scheduled meetings – “Rapid Escalation Process”

Who can view the Issues Log?

- Issues log can be reviewed by any SMARTcomputing participant, Technical Steering Committee or Exec. Oversight Committee on Secured Section of SMARTcomputing website.
- Open Issue log will be distributed to all appropriate parties prior to all scheduled meetings.
- Issues using the Rapid Escalation Process will be distributed on an as needed basis.

Promote Rapid Identification, Escalation and Resolution of Issues.
## Jurisdiction: Empowerment of Teams

### The Executive Oversight Committee:
- Membership made up of all IT Directors participating or otherwise interested in the SMARTcomputing program.
- Resolves issues escalated from the Technical Steering Committee.
- Makes decisions on changes to scope, timeline, budget & policies (e.g. participation criteria, cost model).
- Recommend 2/3 majority vote to pass resolution.

### The Technical Steering Committee:
- Membership made up of rep from each participating unit (voluntary).
- Escalates policy issues to Executive Oversight Committee.
- Makes recommendations on issues regarding policy.
- Makes decisions on issues regarding technical process designs & procedures (e.g. HW/SW config, baseline image, mgmt tool selection & configuration).
- Recommend 2/3 majority vote to pass resolution.

### Escalation Rules

#### The Technical Steering Committee is to Escalate Issues When…
- Issues pertain to policy, scope and/or budget.
- Issue cannot be resolved within the scope of the Technical Steering Committee’s jurisdiction.
- Efforts to resolve the issue are unsuccessful or require Executive Oversight Committee support.
- Project Teams can use the Decision Escalation Criteria and Checklist to assess whether the issue has significant impact.
- The Issue Escalation Template must be completed to all issues escalated to the Program Manager.
- Note: For Critical issues, when a decision needed in less than 3 days, the Steering Committee Chair will delegate decision making authority to the ‘Program Manager’ to quickly resolve.
## Jurisdiction: Empowerment of Teams

<table>
<thead>
<tr>
<th>Jurisdiction</th>
<th>Escalation Rules</th>
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</thead>
<tbody>
<tr>
<td><strong>The SMARTcomputing Program Office:</strong></td>
<td><strong>The SMARTcomputing Program Manager is to Escalate Issues When…</strong></td>
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<tr>
<td>• Coordinates requests for governance consideration</td>
<td>• Issues pertain to policy, scope and/or budget</td>
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<td>• Facilitates Executive Oversight Committee (ECO) &amp; Technical Steering Committee (TSO) meetings</td>
<td>• Issue cannot be resolved within the scope of the Technical Steering Committee’s jurisdiction</td>
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<td>• Coordinates change control process for image content &amp; configuration</td>
<td>• Efforts to resolve the issue are unsuccessful or require Executive Oversight Committee support</td>
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<td>• Coordinates contracts &amp; licensing administration for Tier 1 products</td>
<td>• Project Teams can use the Decision Escalation Criteria and Checklist to assess whether the issue has significant impact</td>
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<td>• Interfaces with vendor (for HW / SW &amp; mgmt tool)</td>
<td>• The Issue Escalation Template must be completed to all issues escalated to the Program Manager</td>
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<tr>
<td>• Administrate program (recordkeeping, budget coordination, etc)</td>
<td>• Note: For Critical issues, when a decision needed in less than 3 days, the Steering Committee Chair will delegate decision making authority to the ‘Program Manager’ to quickly resolve.</td>
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<td>• Coordinates infrastructure capacity with sponsoring unit</td>
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<td>• Initiates &amp; coordinates incremental HW / SW refresh reviews</td>
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<td>• Coordinates annual approval of Chargeback Prices</td>
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<td>• Maintains program’s web site</td>
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<td>• Coordinates OLA: Operations Level Agreement Coordination</td>
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<td>• Makes recommendations to develop and evolve the Program</td>
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<td>• Advocates Program</td>
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<tr>
<td>• Facilitates Program communications</td>
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<tr>
<td>• Supervisory of SMS System Administrator Position</td>
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<table>
<thead>
<tr>
<th>ITESC</th>
<th><strong>The IT Executive Steering Committee (ITESC) is to Escalate Issues When…</strong></th>
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<tbody>
<tr>
<td>• Strategic guidance from existing ITESC</td>
<td>• The committee desires explanation or input</td>
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<tr>
<td>• web: <a href="http://www.itap.purdue.edu/itesc/index.cfm">http://www.itap.purdue.edu/itesc/index.cfm</a></td>
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SMARTcomputing

Issue Escalation and Resolution Governance

SMARTcomputing Governance Structure

**IT Executive Steering Committee**
- Strategic guidance from existing IT Executive Steering Committee

**Program Manager**
- Makes day-to-day decisions (manages processes / procedures, when to escalate vs. no impact, participation eligibility, etc)
  - Manages requests for EOC consideration
  - Accountable to EOC
  - Facilitates EOC & TSC meetings
  - Program Communications Facilitator

**Level 2 Executive Oversight Committee**
- **Goal:** = 20% of decisions
- Make final decisions on behalf of SMARTcomputing Program
- Authorizes changes to scope, and/or budget as necessary
- Make decisions based on Jurisdiction or refer back to sub-committees for more analysis
- Utilize ‘Rapid Escalation Process’
- Escalate to Executive Oversight Committee as necessary
- Solicit recommendations to Executive Oversight Committee
- Maintain responsibility for issue management

**Level 1 Steering Committee**
- **Goal:** = 80% of decisions
- Facilitates EOC & TSC meetings
- Program Communications Facilitator

Clearly Defined Decision Making Authority for Each Level
Next Steps

- Review, discuss & approve

- Further develop Issue Escalation and Resolution Framework
  - Issues Q&A
  - Decision Escalation Criteria & Checklist
  - Issue Escalation Template
  - Rapid Decision-Making Process