CGA ESCALATION PROCESS

EFFECTIVE DATE: February 18, 2015

BUSINESS PURPOSE: To expedite problem resolution and more effectively utilize CGA, CSS and Department staff time

1. Escalation of time-critical issues
Time-critical issues include issues that arise during award setup, award closeout and at any time during the life of the award when time is of the essence and delay causes risks to financial position, institutional or PI reputation, or potential audit findings.

1.a. When CGA requires a response
The CGA Award Analyst (AA) will make two requests to the department contact or the CSS Research Administrator (RA) for information necessary to complete time-critical functions such as award set up or award closeout before initiating the escalation process

If the AA has not received actionable (i.e., complete and accurate) information within two business days of the first request, the AA will send a second request to the department contact or the CSS RA.

If the AA has not received actionable information within two business days of the second request, the AA will escalate the issue by forwarding both requests to the CGA supervisor.

The CGA supervisor will forward the emails that document the requests to the Department Manager/ CSS supervisor and Manager and request a response. If no response or actionable information is received within two business days the CGA supervisor will forward all emails to the CGA manager.

The CGA manager will contact the CSS director or CAO of the department and request a response. The CGA manager will request the information be sent to the Award Analyst with a copy to the Award Analyst's supervisor and the CGA manager.

1.b. When a response is required from CGA
The AA will immediately acknowledge urgent or time-critical requests. The AA will respond to the inquiry within one business day. If the AA is unable to respond to the inquiry within one business day the AA will forward the request the CGA supervisor and the supervisor will attempt to resolve the issue. If the CGA supervisor is unable to resolve the issue the supervisor will work with the CGA manager to resolve the issue.

2. Escalation of non-time-critical issues:

2.a. When CGA requires a response
If an AA has requested information from the department, RA, PI or other individual and does not receive an actionable response (i.e., complete and accurate) within one week, the AA will escalate the issue to the CGA supervisor.

The CGA supervisor will request a response from the person initially contacted by the Award Analyst or will use best judgment to direct the request to an appropriate alternative. If no response is received within a week the supervisor will contact the Department Manager or CAO/ CSS Manager or other appropriate supervisor and request a response.

If no response is received the CGA supervisor will escalate the request to the CGA manager. The CGA manager will contact the CSS director or CAO of the department and request the information be sent to the AA with a copy to the AA's supervisor and the CGA manager.

2.b. When a response is required from CGA

Per standard CGA practice the AA will acknowledge receipt of a request within 48 hours and is expected to resolve the inquiry within one week. If the AA is unable to respond to the request within one week the AA will forward the request the CGA supervisor and the supervisor will attempt to resolve the issue. If the CGA supervisor is unable to resolve the issue the supervisor will work with the CGA manager to resolve the issue.

Additional considerations:

1. When the issue is related to the system the AA will submit a JIRA ticket and provide a detailed explanation of the problem. (see instructions on submitting a JIRA ticket).

2. When an issue involves risk to a project or the university the AA will escalate the issue immediately to the CGA supervisor.

3. When the AA receives negative communication from a PI the AA first determines whether the communication is an **inquiry** or a **critical complaint**.

    a. **INQUIRIES:** When a PI requests information from the AA in the form of an inquiry (i.e., "why haven't you billed for this project yet?") the AA will treat the request as a time-critical issue and follow that escalation process (1.b.)

Escalation of Inquiries: If the PI contacts the AA a second time about the same issue, (i.e., if the PI does not accept the response provided by the AA), the AA will escalate the issue to the CGA supervisor; the AA and CGA supervisor will work together to develop a joint response.

    b. **CRITICAL COMPLAINT**: A critical complaint is different from an inquiry. The characteristics of a critical complaint include:

        i. A strong sense of urgency with impending escalation ("if you don't respond to me immediately I will notify your supervisor…")

        ii. PI escalates the issue within their hierarchy (i.e., copies their supervisor, CAO and SPO executive leadership or CSS Grants and Contracts Manager)

If an AA receives a critical complaint from a PI, the AA will immediately notify the CGA supervisor and will not respond directly to the PI until the CGA supervisor has an opportunity to review the situation, determine next steps and assess whether to escalate to the CGA manager and/or CGA director for resolution or a response. The CGA supervisor will respond to, or further escalate, the critical complaint immediately.

NOTE: Anyone can escalate a problem at any time. These timelines and instructions are intended to provide **guidance** for AA and CGA supervisors. Individual situations require adaptation and best judgment to resolve the issue quickly and efficiently.