# **Escalation Management Obligations**

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# Introduction

This document provides direction to the Supplier regarding Escalation Management. The requirements and obligations set out in this document apply to both Type 1 and Type 2 Catalogue Solutions.

This document forms part of the Service Management Standard.

## Parameters

1. The Supplier will have a formal escalation process ("Escalation Process") in relation to issues which have not been resolved ("Escalation"). The Escalation Process must be easy to follow and provide enough information for any Escalation originator (being the Service Management Agent or the Service Recipient) to easily raise an Escalation.
2. The Escalation Process must illustrate how the escalation is going to be handled end to end with realistic and timely expectations provided throughout the entire process.
3. The Supplier shall log all escalations received. Any escalation originator should be able to escalate issues to the Supplier by telephoning, emailing, supplier portal or sending a hard copy letter to the Supplier. Originators may be Service Recipients, Interface Recipients, End Users, other suppliers that are subject to the Catalogue Agreement or the Service Management Agent.
4. If the Supplier receives an escalation via a postal letter, then this must be logged as soon as the Supplier’s Escalation contact is in receipt. The letter must also be marked with the time and date received by the Escalation contact.
5. Any changes to the Suppliers Escalation Process shall be subject to Service Management Agent review and approval prior to publication.
6. Once an escalation has been received, the following must be provided back to the originator:
	1. Within 2 hours during Support Hours\*: An acknowledgement response which must include a unique Supplier escalation reference number which must be both uniquely identifiable and uniquely distinguishable from an Incident, Service Request or Problem Reference number; and
	2. Within 5 Working Days of receipt of the initial communication from the originator: a detailed response addressing all points raised within the escalation including details of remedy plans and timelines.

\*Support Hours shall mean between the hours of 06:30-20:30 on each Working Day.

In the event an escalation is received via written letter then the above must be provided back to the originator within 2 Working Days from receipt.

1. If the escalation remains open after the acknowledgement response, the Supplier shall provide an update to the originator every 5 Working Days with a detailed progress update until the escalation is resolved to the reasonable satisfaction of the originator and or Service Management Agent.
2. The Supplier is required to ensure all escalation are accurate and all correspondence from the Escalation originator and the Supplier must be recorded in chronological order within their Service Management Toolset.
3. Any escalation raised by Interface recipients will be subject to review based on the potential impact and reputational damage.
4. All escalations are subject to audit and inspection by the Service Management Agent at any time.
5. The Supplier will include all escalations for the service period within the Performance Monitoring Report (PMR).
6. Service Management Agent will help facilitate a call between the Supplier and escalation originator if the resolution is taking longer than expected or if there is a dispute.

## Closure\Resolution

1. The Supplier must acquire confirmation or agreement from the originator and or Service Management Agent to close the escalation.
2. In the event that the originator does not agree with the resolution provided then the Supplier can escalate further to the Service Management Agent for review.

## Supplier Escalation to NHS England

Suppliers can raise an escalation via email, which must be sent to the following address gpitservicemgnt@nhs.net. All such escalations will be subject to review based on the potential impact or reputational damage and will be responded to by the Service Management Agent.