



ACT
Government

Environment, Planning and
Sustainable Development

Service Agreements Issue Management Plan

Version: 1.0
April 2018

Document control

Prepared for	Director, Governance, Compliance and Legal
Document Owner	Senior Policy and Project Officer, Service Agreements
File Name	Service Agreement Issue Management Plan
Version	1.0
Status	Approved

Revision

The Service Agreements Issue Management Plan will be reviewed and updated annually in line with new Service Agreements.


Revision	Description	Date	Author
0.1	Initial draft	March 2018	Anne Miller

Approvals

Version	Name	Role	Date
1.0	Chris Reynolds	Chief Operating Officer	21 March 2018

Authorisation

The Service Agreement Issue Management Plan is endorsed by the Director Governance, Compliance and Legal in Environment, Planning and Sustainable Development Directorate.



Carolyn O'Neill
Director Governance, Compliance and Legal

April 2018

Service Agreements – Issue Management Plan

Table of Contents

INTRODUCTION.....	5
BACKGROUND.....	5
PURPOSE	5
SCOPE	6
DEFINITIONS.....	6
ISSUE MANAGEMENT AND RESOLUTION	7
ISSUE RESOLUTION APPROACH	7
SOURCES OF ISSUES	7
IDENTIFYING AN ISSUE	8
FACTORS TO CONSIDER.....	8
ISSUE MANAGEMENT	9
ISSUE ESCALATION.....	10
ISSUE PRIORITY, REPORTING AND MONITORING	11
ISSUE REGISTER.....	12
MONITORING AND REPORTING OF THE ISSUE REGISTER	12
ISSUE RESOLUTION - ROLES AND RESPONSIBILITIES.....	13
ROLES AND RESPONSIBILITIES UNDER THIS PLAN ARE PROVIDED IN TABLE 2	13
APPENDIX 1: SERVICE AGREEMENT ISSUE REGISTER TEMPLATE AND PRIORITY ASSESSMENT CRITERIA	14

List of Figures and Tables

FIGURES

FIGURE 1 – ISSUE MANAGEMENT AND ESCALATION PROCESS **ERROR! BOOKMARK NOT DEFINED.**

TABLES

TABLE 1 – ISSUE PRIORITY, REPORTING AND MONITORING REQUIREMENTS 9

TABLE 2 – ROLES AND RESPONSIBILITIES.. 10

Related Documentation

This document should be read in conjunction with the following documents:

Document Name	Objective Reference
Service Agreement Between Environment, Planning and Sustainable Development Directorate and the Suburban Land Agency	A14611869
Service Agreement Between Environment, Planning and Sustainable Development Directorate and the City Renewal Authority	A14611686
Service Agreement Between the Suburban Land Agency and the City Renewal Authority	A14612014
Implementation Strategy - Environment, Planning and Sustainable Development Service Agreements	A14151357
Service Agreements Performance Management Strategy	A15181360
Service Agreements Exception Reporting Standard Operating Procedure	A15264412

Service Agreement Issue Management Plan

Introduction

Background

The inaugural Service Agreements between Environment, Planning and Sustainable Development Directorate (the Directorate) and the Suburban Land Agency (Agency) and the City Renewal Authority (Authority), and between the Agency and the Authority were signed on 22 December 2017. They provide the basis for the delivery of administrative services as provided for in the *Administrative Arrangements No.1/2017*.

It is expected that there will be risks and issues arising from the implementation of the Service Agreements and this Plan outlines the procedures and practices that will be put in place to manage them.

The early definition of risk mitigation and issue resolution strategies is fundamental to establishing an effective working relationship between the parties and to ensuring the effective delivery of services to the Agency and the Authority. The support services delivered under the Agreements are key to the entities being able to undertake and deliver upon their core business objectives.

Risks and controls have been identified in the Service Agreements' Heads of Agreements documents and in the Service Agreements Implementation Strategy. The controls include:

- regular meeting arrangements;
- an issue management process including an issues register, dispute escalation and resolution process;
- review process, and
- performance assessments based on exception reporting and customer surveys.

Purpose

This document describes the high level approach, responsibilities, practices and templates used to manage and resolve issues associated with the inaugural Service Agreements.

The Issue Management Plan (Plan) is based on an environment of openness, collaboration and willingness to resolve issues, good governance practices of logging and reporting issues, allocation of accountabilities for their resolution and applying learnings to improve the agreements and the relationship.

The Plan establishes processes that ensure:

- Roles and responsibilities for issue resolution are clearly defined;

- Issue resolution is practiced throughout the life of the Service Agreements;
- Issue identification takes place in a positive environment;
- All issues are allocated an owner;
- Mitigation measures are developed and implemented, and
- Issues and their resolution are captured and addressed in a manner that provides transparency, monitoring, accountability and improvement.

The Plan also describes the relationship between exception reporting and issue management. The exception reporting described in the Service Agreement Exception Reporting Standard Operating Procedure and captured in the Service Agreements Exception Log provides quantitative data on performance and the delivery of identified services under the Agreements to inform continuous improvement. It will also enable the identification, documentation and assessment of potential issues. This ensures issues are maintained at an acceptable level, and any significant issues are resolved without adversely impacting relationships or organisational objectives.

Scope

This Plan covers the inaugural Service Agreements between the Directorate, Agency and Authority, noting their short duration and the requirement to develop revised Agreements to take effect on 1 July 2018. It establishes a framework and methodology to be agreed between the parties.

Subsequent plans and the decisions on the approach applicable to future Service Agreements are outside the scope of this Plan. The Agency and Authority will need to consider and agree the performance and issues management approach to operate under future Service Agreements between them.

Definitions

Account Manager is responsible for the management of service delivery to the agreed standard, for building and maintaining strong relationships with clients, and for resolving complaints and problems and collaborating with clients to identify areas of improvement. There is an account manager for each service category under the Service Agreements.

Contact Officers are the primary point of contact within the entities and the Directorate for Service Agreement matters. In the Agency and the Authority the role is held by the Business Operations Manager.

Exception is a deviation from or non-compliance with agreed deliverables, responsibilities, performance standards and processes in the Service Agreement and its Schedules.

Exception reporting is the recording, collating and tracking of exception information to provide quantitative information on performance of the Service Agreements and as the basis of continuous improvement.

Issues are events that have happened, were not planned, are currently affecting the parties in some way, and need to be actively dealt with and resolved.

Issues management is a tool to provide governance around managing current issues. Issues relating to the Service Agreements are identified and managed under the Service Agreement Issue Management Plan.

Issue Owner is the person in the position identified as responsible for the issue and its resolution. The Issue Owner is to be agreed between the contact officers and account managers and recorded in the Issue Register. Where responsibility is across multiple areas or positions, a lead Issue Owner will be identified and they will coordinate the resolution.

Risk is “the effect of uncertainty on objectives”¹, and is often expressed in terms of a “combination of the consequences of an event and the associated likelihood of occurrence”.

Risk management is about managing potential incidents via prevention and/or reduction of impact through the application of controls.

Issue Management and Resolution

Issue Resolution Approach

The issue resolution approach for the Service Agreements has the following principles:

- Prompt identification and timely management of issues;
- Clearly defined accountability for dealing with or escalating issues;
- An Issue Register to give visibility to issues and ensure they are not forgotten or neglected (i.e. not allowed to aggravate and grow);
- An agreed mechanism for the parties to effectively respond to issues;
- Issue resolution as a key input to performance monitoring, reporting, and review of the Service Agreements, and
- Use of issue management to inform decision making and drive improvement.

This Plan outlines the accountabilities, processes, and mechanism to address issues as they arise.

Sources of Issues

Potential sources of issues for the Service Agreements include:

- lack of clarity and misinterpretation of service delivery scope, quality, and timeliness;
- failure of deliverer to meet expectations around performance, service scope or quality;
- failure of receiver to meet their obligations;

¹ ISO 31000:2018, *Risk management – Guidelines*

- breakdown of communication between deliverer and receiver;
- inadequate resources to deliver at the required standards;
- unexpected or disputed costs for services;
- request for service delivery beyond the capacity of the provider, and
- conflicting priorities between deliverer's internal and service delivery obligations.

Issues may be identified through:

- exceptions recorded in the Exception Log;
- issues reported in the Issues Register by Contact Officers or Account Managers;
- issues identified in reviews or audits relating to Service Agreements services;
- Service Agreement quarterly and annual reports;
- monthly meetings between the Service Agreement contact officers;
- customer survey of Service Agreements performance, and
- Boards, management and executive committees.

Identifying an Issue

An issue is an event that has happened, was not planned, is currently affecting the parties in some way, and needs to be actively dealt with and resolved. Determining an issue and when to escalate it is a judgment call. The issue may originate as an exception if it concerns delivery, responsibilities, processes and performance under the existing Service Agreements. However, an issue may not arise from an exception where it concerns changes to the existing agreement, negotiations for revision or development of future agreements, or considerations around relationships.

Factors to Consider

An exception, an event or an incident may be an issue if it:

- Is having an impact on business outcomes or the ability of parties to deliver under the Service Agreement (that is, poses a risk);
- Has underlying causes that cannot or are not being resolved (not being given the priority or attention considered appropriate by one or other of the parties);
- Has implications for or an impact on the relationship, range and scope of services, and efficacy of the Service Agreements;
- Concerns cessation or major change to the services provided;
- Continues to occur or has occurred repeatedly, or
- Creates a breach of policy or legislation.

Issue Management

The issue management and escalation process is illustrated in **Figure 1**. The issue management approach is:

- The Directorate, the Authority and the Agency will appoint a Contact Officer for each Service Agreement as specified in Annex 1 of the Heads of Agreement documents. The Directorate's Contact Officer will serve as a single point of contact for the Agreements and will facilitate issue resolution.
- Where an Account Manager, the Authority or the Agency have problems or concerns relating to the services under an Agreement, they should determine if it is an issue based on the 'Factors to Consider' outlined above. They may attempt to address the issue directly with the relevant Account Manager or other Contact Officer as applicable as part of normal working relationships.
- A Contact Officer who considers that the issue cannot or is not being resolved as part of normal working relationships or it is assessed as a serious issue, problem or dispute must promptly notify in writing the other Contact Officer related to the Agreement and the relevant Account Manager.
- The relevant Contact Officer or Account Manager will assess the issue priority based on the criteria in Table 1. The issue's priority will inform its management and escalation process.
- The appointment of an Issue Owner will be agreed between the relevant parties. The Issue Owner will report on the progress and resolution of the issue to the Contact Officers, and the senior executive representative, Director General and CEOs, as appropriate, where the issue is escalated.
- All issues and their resolution (including those resolved at the working level) are to be logged in the Service Agreements Issues Register by the notifying Contact Officer. The relevant Contact Officer is responsible for adding to the Issues Register on behalf of their organisation. The Register will be an Objective file. A quarterly summary of issues will be available on the EPSDD intranet.
- The Directorate and entity Contact Officers will meet on a monthly basis, or more frequently if required and agreed between the parties (for example, if the issue is high priority), to discuss the operation of the Service Agreements. These meetings will be an opportunity for issue management and resolution. The Contact Officers will keep records of the meetings.
- Issues will be reported to the Directorate Director General and the Agency and the Authority Chief Executive Officers in accordance with the Heads of Agreement.
- A review of the issue register will be part of the "post implementation review" to ensure lessons learned are implemented, risks are being appropriately mitigated and controls strengthened.

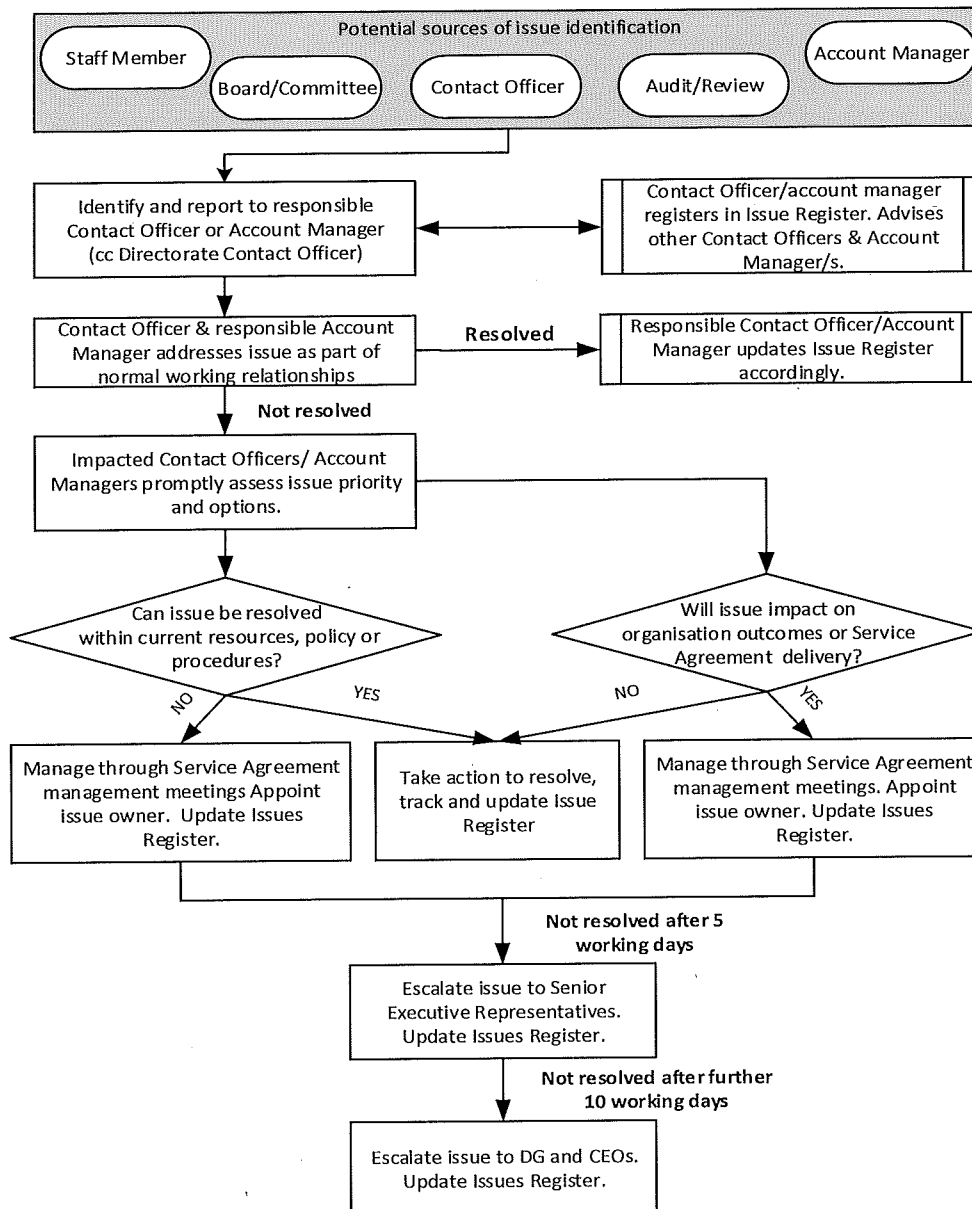
Issue Escalation

The Contact Officers will endeavour to resolve the issue as quickly as possible and at the lowest level. Ownership of an issue may be reviewed and changed during the escalation process if agreed.

If the issue remains unresolved and there is no agreed way forward five working days after the Issue Owner has been appointed, a Senior Executive representative (SER) from each party must meet to discuss the matter. This meeting may also include the relevant Account Manager.

If the issue remains unresolved and there is no agreed way forward after a further 10 working days, each party will brief their respective Director General and CEO with a view to seeking its mutually acceptable resolution. Resolution outcome must be agreed by both parties before the issue can be closed in the Issue Register.

Figure 1: Issue Management and Escalation process



Issue Priority, Reporting and Monitoring

The Service Agreement contact group will monitor and review the Issues Register at least quarterly or more regularly as required. Its role is to monitor the operation of the Service Agreements and the development of new agreements to be in place from 1 July 2018. Monitoring of the Issues Register will enable systemic and ad hoc issues to be addressed within the new agreements.

The assessment of the issue priority and severity determines the issue management, escalation, monitoring and reporting requirement and the response timeline. Prioritisation allows Issue Owners to make informed decisions about management of limited resources in dealing with multiple issues.

Guidance on the appropriate action timeframes for issues is provided below in **Table 1**, Issue Priority, Reporting and Monitoring Requirements.

Priority	Criteria	Reporting/Monitoring Requirement	Frequency
High	<ul style="list-style-type: none"> Significant impact on Agency's & Authority's ability to achieve their objectives Significant adverse media Major disruptions to delivery timeframes Cannot be resolved within current resources, policy or procedures 	<ul style="list-style-type: none"> Report immediately and frequently to the Account Manager and Senior Executive Representative (SER) Convene a Service Agreement management meeting and agree action to address the issue Assign an issue owner and resources to deal with the issue Capture in the Issues Register. 	<ul style="list-style-type: none"> WEEKLY monitoring by SER as appropriate. Must be included in quarterly and annual report to the DG and the CEOs.
Medium	<ul style="list-style-type: none"> Moderate impact on the ability of the Agency or the Authority to achieve their objectives May result in moderate delays to delivery timeframes Resources available but limited and require reprioritisation. 	<ul style="list-style-type: none"> Report to the Account Manager and the Contact Officer Assign issue owner and proposed treatments of issue be developed Captured in the Issues Register 	<ul style="list-style-type: none"> MONTHLY monitoring through monthly contact officer meetings. Included in quarterly and annual report.
Low	<ul style="list-style-type: none"> Impact on short term operations. Minor delays to delivery timeframes. Can be resolved within current resources, policy and procedures. 	<ul style="list-style-type: none"> Report to the Account Manager to determine if the matter can be immediately resolved or needs an issue owner allocated for ongoing management. Enter into the Issues Register 	<ul style="list-style-type: none"> ROUTINE TRACKING through monthly contact officer meetings.

Table 1 - Issue Priority, Reporting and Monitoring Requirements

Issue Register

The Issue Register is an Excel spreadsheet saved in Objective and 'write accessible' to a group nominated by the Contact officers and Account Managers. The mandatory headings used in the Service Agreement Issue Register are illustrated in **Appendix 1: Issue Register Template and Priority Assessment Criteria**. They are:

- Issue reference number – format number/calendar year e.g. 02/2018;
- Issue Description;
- Service Category - based on Schedules;
- Issue Priority - based on Priority Assessment Criteria;
- Identified Solution/Resolution method - what is to be developed or delivered;
- Authorising Officer - who determines is an issue and its priority;
- Date recorded - in the Issue Register;
- Issue Owner - who the issue resolution is assigned to;
- Target resolution date – anticipated issue resolution date to inform escalation decisions;
- Status / Date closed, and
- Reference documents.

Monitoring and Reporting of the Issue Register

The Directorate governance Team (Directorate Contact Officer) is responsible for facilitating the management of the Issue Register and monitoring progress in achieving agreed resolutions.

The Issue Register will be reviewed at regular Service Agreement contact officer meetings to identify any new issues that have been identified and to discuss progress towards resolutions. Matters relating to the Issues Register will be incorporated into the quarterly and annual reporting to the Director-General and CEOs.

When completing the Issues Register, Contact Officers and Account Managers must be conscious that sensitive security and personal information is managed consistent with the *Information Privacy Act 2004*, the Territory Privacy Principles and the *Freedom of Information Act 2018*, including the Open Access Information Scheme. The Territory Privacy Principles set out standards, rights and obligations for the disclosure of personal information.

Issue Resolution - Roles and Responsibilities

Roles and responsibilities under this Plan are provided in **Table 2**.

Role	Responsibility
Directorate Contact Officer	<ul style="list-style-type: none"> • Develop and monitor the Service Agreement Issue Management Plan • Facilitate escalation of issues • Monitor maintenance and use of the Issue Register.
Agency and Authority Contact Officers	<ul style="list-style-type: none"> • Identify issues and their priority • Authorise entry and updating of issues in Issue Register • Represent Agency or Authority position at monthly contact officer meetings and facilitate resolution of issues • In conjunction with the Account Managers escalate issues as appropriate.
Responsible Account Manager	<ul style="list-style-type: none"> • Identify issues and their priority • Authorise entry and updating of issues in Issue Register • Own function related issues and source resources to handle issue resolution • Routinely monitor progress on issues in accordance with their priority and provide direction to expedite resolution • In conjunction with the organisation Contact Officers escalate issues as appropriate.
Business Support Officer	<ul style="list-style-type: none"> • Develop strategies for handling the issue in conjunction with the responsible Account Manager • Report as required by the issue status • Communicate status and actions with key stakeholders • Implement and manage the required actions to resolve the issue.
Issue owner	<ul style="list-style-type: none"> • May be an Account Manager, Business Support Officer, Contact Officer or other position as agreed between parties • Required to develop and implement processes to address the issue • Ensures issue resolution is undertaken by individual with the correct authority • Report on progress and resolution.

Table 2 – Roles and Responsibilities