CU*ANSWERS

A CREDIT UNION SERVICE ORGANIZATION

SERVICE RESPONSE MODEL

Introduction

The CU*Answers Service Response Model is designed to give a documented description of incoming client contact issues with a related Level of Support. The next page gives a summary of each level with direction of teams responsible for the support.

Level 1 and 2 handles the explanation, review, research and response for the proper use of the software and hardware tools provided by CU*Answers and our business partner integrations. Soft training through the use of help documents and verbal instructions is a large part of this support.

Levels 3 through 5 teams handle business recommendations for client planning, goal setting, and creative uses of not only existing tools, but recommendations for new software enhancements, new business partners and consulting. They also participate in primary sales efforts, focus groups, and high level training. Special (Custom) Projects are also coordinated with this team.

This document is a guide to not only who should provide support, but how to provide support. Front line support teams need to focus on the use of the software, promote online help and reference documentation. Higher level support teams analyze client needs and help plan to use the flexibility provided by many of the tools to promote member participation, reduce cost and improve income. Business partnerships can be explored and configuration settings can be modified to improve the use of these tools.

Summary of Level Descriptions for Call Escalation

Level 1   These client contacts are guaranteed a prompt and effective response at the basic client service level. This level provides help with the software tools. Client Service Representatives and any front line support teams are responsible for the Level 1 category items.

Level 2   Level 2 takes on issues that require more technical expertise specific to the problem that cannot be solved promptly at the Level 1 stage. Research is usually required. Members of the Programming Team may be required to perform research. This level also focuses on software tools support. Secondary sales effort participation can also be included here. Client Service Management and Account Executives are considered Level 2 support staff.

Level 3   These client interactions require a business response or recommendation that might need modifications to an existing process, development of a new process or product offering. Consulting and planning efforts, business partnership relations and primary sales efforts also fall into this level. All Vice-President Level and Sales staff are considered Level 3.

Level 4   Business recommendations and opinions that might lead to new partnerships for consideration is added to the Level 3 support description. The EVP of Client Interactions is considered Level 4.

Level 5   New business partnerships, high level management discussions, resource allocation and new product offerings fall into the Level 4 category. CEO, CFO or CIO would be responsible for these issues.

CU*BASE and Integrated Software Support Contacts
(This could include general CU*Answers Administration Questions)

Level 1	Point of Escalation to Level 2	Point of Escalation to Level 3	Point of Escalation To Level 4	Point of Escalation to Level 5
General CU*Answers operating questions, such as client service hours of phone support, address, phone number, fax number etc.	Should NEVER be escalated			
CU*BASE Menu Option Help. This includes proper entry of screens, option location and explanation of features.	Only after documentation has been consulted and attempt in the test CU proves unsuccessful.	Should not be necessary	Should not be necessary	Should not be necessary
CU*BASE program functionality - This includes situations reported that do not follow the intended design of the CU*BASE program.	If the research verifies a definite software problem that needs programming attention. A Project Sheet should be completed and submitted with proper supporting evidence	Only if a business decision has to be made about the design or intent of the software.	Should not be necessary	Should not be necessary
Client requests for enhancements to existing CU*BASE features. These should always escalate to Level 2 for verification that the request is an enhancement and not already provided in GOLD.	Only if general knowledge of program design, regulatory restrictions or common sense does not preclude further consideration. Recommend to the client the 'Idea Form' or create a Project Sheet marked as "enhancement".	Only if general knowledge of program design, regulatory restrictions or common sense does not preclude further consideration. Recommend to the client the 'Idea Form' or create a Project Sheet marked as "enhancement".		Only if a business decision has to be made about the design or intent of the software. Decision for either allocation of resources to develop or implement the enhancement or to not implement the enhancement.

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Complex CU*BASE Configuration Analysis/Changes.	Should always be escalated to Level 2 or Level 3 for analysis and Level 3 for implementation.	All complex requests needing review, an implementation plan and pricing. These requests require a project sheet and a signed bid authorization.	Only if a business decision has to be made about the design or intent of the software.	Only if a business decision has to be made about the design or intent of the software.
Calls surrounding the implementation of third party vendor changes such as ATM / Debit Card interfaces.	Should always be escalated to Level 2. These changes generally require a bid and assignment to an EFT AE for implementation	When situation provides an additional business opportunity for CU*Answers, the CMS team needs to be involved.	The CMS team will work with CIO, for approval, planning and implementation	The CMS team will work with CIO, for approval, planning and implementation.
Calls surrounding invalid data in data files that cannot be corrected through normal maintenance. These situations need either programming or changes made through Data File Utility (DFU)	Should always be escalated to Level 2. DFU requests always need Level 3 approval. (See Data Security Policy)	When Level 2 staff do not have a clear understanding of a clear result. Only V.P. staff who have experience with CU*BASE data file structure should be consulted.	Level 4 is generally not involved, but should be informed.	Should be escalated to CIO if situation is extreme.
Teller balancing questions/transaction reversals, vault functions	If you do not understand the basic design of the teller system and its relationship to the member records and g/l interface. If you cannot get a clear description of the error, or the situation is particularly complex.	These calls should not need Level 3 attention.	These calls should not need Level 4 attention	These calls should not need Level 5 attention
CU*BASE Report support Single file query/file downloads Label downloads	When the request surpasses your query skills or CU*BASE file knowledge	These calls should never need to be escalated to Level 3. If data file structure is necessary, then only V.P.	Should not need to be escalated to Level 4	Should not need to be escalated to Level 5.

		staff familiar with the data files would need to be involved.		
Complex Query support - multi data file, or queries that create their own data file to be used by another query.	If Level 1 staff do not have the understanding of data file design and how it affects the functionality of Query, these requests should go to Level 2. . Level 2 staff should be able to handle file identification, field clarification and restore data files to the proper i5 box. Programming may need to configure a repetitive query option when the query is necessary for all FILE Libraries.	Should not need to be escalated to Level 3.	Should not need to be escalated to Level 4	Should not need to be escalated to Level 5
General Ledger/Subsidiary function help	Only after documentation has been consulted or you do not clearly understand the problem presented.	If the issue involves compliance or analytical response to Financial Position.	Should not need to be escalated to Level 4.	Should not need to be escalated to Level 5.
ACH/Draft/Payroll Function Help	Extraordinary situations or problems with ACH files or Payroll Work Files.	These calls should not need Level 3 attention.	Should not need to be escalated to Level 5.	Should not need to be escalated to Level 5.
Laser Loan Form or Corporate Draft New Requests and requests for changes	Should always be escalated to Laser Coordinators - AE's.	When requests are extensive or extreme, not within regulation, or client resists quote.	Should not need to be escalated to Level 4.	Should not need to be escalated to Level 5.
USERID resets/additions/deletions (Careful consideration for validity of caller is necessary)	Escalate when key credit union employees are involved. Procedures for a change in a client CEO	These calls should not need Level 3 attention. Only notification of key client management staff changes	Should not need to be escalated to Level 5. Only notification of key client management staff	Should not need to be escalated to Level 5. Only notification of key client management staff changes

	should be followed.	are required.	changes are required	are required.
Initial research on posting problems (transmission issues, double posting etc.) can be done by Level 1	Once situation is researched, call should be escalated to Level 2 AE/Programming staff	Only if situation is extreme in its affect on credit union. Level 3 staff may be necessary to resolve issue.	Notification of the issue is required in extreme issues.	Notification of the issue is required in extreme issues. The CIO may be needed for resolution.
BOD/EOD/EOM errors	Should always be escalated to Level 2	Only when Programming/AE staff cannot resolve issue or circumstance is wide-spread.	Notification of the issue is required from the programmer involved with the error by using the 'Night Incident Report'	Notification of the issue is required from the programmer involved with the error using the 'Night Incident Report'. The CIO may be needed for resolution
Request for Credit Union name change, or change in Manager/CEO, or addition of new branch location. These requests are required in writing.	Should always be escalated to Level 2. Procedures for these changes need to be followed.	Notification to Level 3 is required	Notification to Level 4 is required	Notification to Level 5 is required
Credit Union down situations (Short time period) Currently there is an e-mail group in Outlook called *CSR Support* that includes all CU*Answers staff that accept client calls.	Is always escalated through e-mail option. Severe situations (CU down more than 4 hours) should always get more intense attention. Consideration for a CU*BASE *ALERT* is required.	These calls should not need Level 3 attention. However, extreme situations should always be brought to Level 3 team's attention	These calls should not need Level 4 attention. However, extreme situations should always be brought to Level 4 team's attention	In extreme situations, the CIO may be needed for resolution. Level 5 should always be notified.
Requests for client training	Should always be escalated to Manager of Education Services	These calls should not need Level 3 attention, although Level 3 staff might need to perform training for higher level subject matter.	In some cases the EVP of Client Interactions may be involved with the training/planning efforts	In some cases the CEO may be involved with the training/planning efforts.
CU*BASE Configuration changes	When result of configuration is not THOROUGHLY understood, or will require programming intervention.	Level 3 may be needed to review the change when the request will affect BOD/EOD/BOY or other	Level 4 may need to review the request when the change affects a business partner	The CIO may need to be consulted based on the request.

	All configuration changes need to be documented.	periodic processing as well as a business partner integration.	integration	
General Ledger Settlement Balancing	Should always be escalated to Level 2. The Xtend SRS team may be required when normal balancing efforts are not successful, or if a data file is corrupted, contains bad data or is inaccurate due to errors in processing.	These calls should not need Level 3 attention.	Should not need to be escalated to Level 4	Should not need to be escalated to Level 5
Service charge configuration/testing	Should always be escalated to Level 2	When testing results prove inaccurate for reasons other than configuration issues. Testing always requires programming intervention for File Library set up and test commands.	Should not need to be escalated to Level 4.	Should not need to be escalated to Level 5.
Any situation that frequently interrupts the credit union's ability for day-to-day processing, whether it keeps recurring, or makes products unavailable for use	Should always be escalated to Level 3	Should always be escalated to Level 3	Notification to Level 4.	Notification to Level 5 and when resolution from CIO is necessary.
On-Line Credit Union End-of-Month Processing Authorizations. This includes dividend processing (including regenerations), Loan Variable Rate Changes, Club Expirations etc. Also included quarterly is USERID review and confirmation.	Should always be escalated to Level 2. Usually, only one AE is assigned this responsibility.	Should not need Level 3 attention.	Should not need Level 4 attention	Should not need Level 5 attention.
Any contact from a client while	Should always be escalated	Escalate to VP of Delivery	Escalate only in extreme	Escalate only in extreme

in the conversion process or within 60 days of their live installation that expresses the CEO's displeasure with any aspect of the conversion, CU*Answers processing or service.	to the Conversion Coordinator for that Client	Services when Conversion Coordinator is unsuccessful in resolving the issue for the CEO. Other Level 3 team members should be notified.	cases.	cases.
CU Merge Requests	Should always escalate to V.P of Delivery Services (Level 3)	Merge requests are handled by V.P of Delivery Services. Generally are then assigned to a conversion coordinator AE.	Escalate only in extreme cases.	The CIO may be needed for implementation.
Implementation of products that require CU Management planning	Always escalate to Level 3 dependent upon complexity of product. Some products may involve Education Coordinator and/or CSR Assistant Manager or AE.	Complex requests or first implementation of the product. Generally, the CU*A Management Services Team would handle the consulting / planning stage. The actual CU*BASE configuration may be assigned to a Level 2 team member.	The EVP of Client Interactions may be involved in the consulting/planning stage.	The CEO may be involved in the consulting / planning stage.
Situations that require a Special Project Bid outside of EFT requests	The AE/Manager of Client Services evaluates request and submits to QC.	Escalate to Level 3 for complex requests. There may be a project implementation cost involved.	Generally Level 4 is not involved.	The CIO will provide the programming bid.
Upset Clients	These should always escalate to at least Level 2 Assistant Manager of Client Services. Depending on nature of issue and level of dissatisfaction, these calls can escalate to Level 3	For extreme cases, escalate to any CU*A Management Services team member.	Level 3 needs to either notify or escalate to Level 4	Levels 3 or 4 can escalate to CEO / CIO if necessary.

Hardware Connections/Configuration
Network Issues

Level 1   These calls guarantee a prompt and effective response at the basic client service level. Staff associated with these calls are the <u>Client Service Representatives WESCONet (Systems) and Client Service Department.</u>

Level 2   These calls take on issues that require more technical expertise specific to the problem that cannot be solved from an initial contact. Research/troubleshooting is usually required. <u>WescoNet / Systems Personnel</u> are considered Level 2 staff.

Level 3   These client interactions require even higher technical knowledge and skill base regarding Network, communications and connectivity details. <u>Any VP in the Network Solutions / Programming Staff</u> are considered Level 3.

Level 4   Only in highly escalated issues in Level 4 used for support or notification. <u>The EVP of Client Interactions is considered Level 4.</u>

Level 5   Changes for Network Products, Procedures, Business Partners would include the <u>CEO, CIO and CFO</u>.

Level 1	Point of Escalation to Level 2 WESCONet / Systems	Point of Escalation to Level 3 Network Solutions	Point of Escalation to Level 4 EVP of Client Interactions	Point of Escalation to Level 5 CEO, CIO, CFO
GOLD/ Printer Session drops i5 status = Vary on Pending	Only if Level 1 cannot resolve issue with the first level response. Troubleshoots issue until resolved.	Should not be involved.		Should not be involved
Cannot open PC session but i5 shows active (not Vary on Pending)	Only if Level 1 cannot resolve issue with the first level response. Troubleshoots until resolved.			
Printer results fail	Only if Level 1 cannot resolve issue with the first level response. Troubleshoots issue until resolved.			
Gold Master Updates	Only if Level 1 cannot resolve issue with the first level response. Troubleshoots issue until resolved.			
CU*BASE GOLD down Is everyone down? Ask if there is power to	If CU Location is down, Level 2 / Systems will review and troubleshoot the issue and take appropriate	Level 3 is involved (when?) **Notification to all staff may be necessary.**		Notification for extreme situations.

building if yes then escalate to Level 2	action.		
Phone line down	Always escalate to Level 2 teams for resolution	Escalates only if Level 2 cannot reach a resolution.	
Configuring new workstation	No escalation necessary		
Any changes to Hardware Config in CU*BASE	Escalate to Level 2 /Systems or AE	Escalates only if Level 2 cannot reach a resolution.	
CU*Answers Network Configurations			
Router Configuration	Always escalate to Level 2/Systems for resolution	Escalates only if Level 2 cannot reach a resolution.	
PC TCP/IP Config	Always escalate to Level 2/Systems for resolution	Escalates only if Level 2 cannot reach a resolution.	
Credit Union hardware physical installation	Always escalate to Level 2/Systems for resolution	Escalates only if Level 2 cannot reach a resolution.	
CU Network issues	Always escalate to Level 2/Systems for resolution	Escalates only if Level 2 cannot reach a resolution.	
Any billable work requests	Depending on content of	Depending on content of	

	request, escalate to either Level 2 / Systems or Level 3 Network Solutions as appropriate.	request, escalate to either Level 2 / Systems or Level 3 Network Solutions as appropriate.	
Net Vampire Configuration	Always Level 2 / Systems	Escalates only if Level 2 cannot reach a resolution.	
Client Requests for New Hardware Purchase	Always Level 2 / Systems /Marketing	Escalates only if Level 2 cannot reach a resolution.	
Client installation of other outside software that causes problems	Always Level 2 / Systems	Escalates only if Level 2 cannot reach a resolution.	
Home Banking connection issues Check Browser version and encryption level meets minimum standards		After minimum standards are met, escalate to Level 3 / Network Solutions.	

Operations Team

Level 1   Operators will handle all Level 1 category items and inform Operations Management of all issues whether they have been resolved at Level 1 or been moved to Level 2 .

Level 2   Level 2 takes on issues that require more technical expertise specific to the problem that cannot be solved promptly at the Level 1 stage. Research may be required. Members of various Programming Teams, the Internal Networking Team, the IBM-i Admin Team, and outside vendors may be required for research and troubleshooting assistance.

Level 3   Level 3 consists of outstanding issues not resolved at Level 2. Level 3 resources may include Client Services, Gividends and the Writing Teams. Level 3 contacts engaged when an issue cannot be resolved in a timely manner so that client(s) receive proper communications, including Alerts.

Level 4   Business recommendations and opinions that might lead to new partnerships for consideration is added to the Level 3 support description. The EVP of Client Interactions is considered Level 4.

Level 5   New service offerings, large budget items regarding equipment, applications, or staffing resources require high level management involvement. Likewise, issues that negatively impact clients will be reported via CEO or Security Incident Report written by Operations management. Likewise, Operations management will also immediately notify a Level 5 contact (CEO, CFO or CIO) when there is a system failure or major communications issue.

Level 1	Point of Escalation to Level 2	Point of Escalation to Level 3	Point of Escalation To Level 4	Point of Escalation to Level 5
Error messages requiring ENTER 0 to continue	Should NEVER be escalated			
ROBOT errors and failures	Outside vendor assistance or troubleshooting required			
Any other error message requiring an answer	The programming hunt group or on-call programmer is contacted for assistance			
File transmission errors	If level 1 is unable to recover because of a failure due to a routing issue or program error	If there will be a delay in processing, management will initiate additional notification as required		
Switch/communications issues	Only after level 1 confirms with vendor there is no communication issue or maintenance outage. The programming hunt group, on-call programmer or Internal Networking to be engaged.	If extended delay in restoring communications.		
File balancing issues	Only after level 1 confirms that the received or transmitted file is correct. Either the programming hunt group or on call programmer is contacted and will direct the operator on how to proceed once research has been performed	Management will determine what alerts/client communications are required and work with Writing Team/CSRs		
Received file is applied or posted late	Level 2 is by-passed unless a programming or	Management will determine what	CEO incident report may be generated as situation	CEO incident report may be generated as situation

	communication issue causes the file from being applied or posted on time	alerts/client communications are required and work with Writing Team/CSRs	warrants	warrants
Transmitted Files are sent out late or past a vendor deadline	Level 2 is by-passed unless a programming or communication issue causes the file from being sent on time	Management will determine what alerts/client communications are required and work with Writing Team/CSRs	CEO incident report may be generated as situation warrants	CEO incident report may be generated as situation warrants
Received files are double posted or incorrect file is posted	Either the programming hunt group or on call programmer is contacted and will direct the operator on how to proceed once research has been performed	Management will determine what alerts/client communications are required and work with Writing Team/CSRs	CEO incident report is generated and submitted to upper management	CEO incident report is generated and submitted to upper management
Process is missed or not performed	Either the programming hunt group or on call programmer is contacted and will direct the operator on how to proceed once research has been performed	Management will determine what alerts/client communications are required and work with Writing Team/CSRs	CEO incident report is generated and submitted to upper management	CEO incident report is generated and submitted to upper management
CUA, CU*, Self-Processor production iSeries failure or iSeries communication's related failures	iSeries ADMIN Team is notified immediately to work on resolution and restoration	Management will determine what alerts/client communications are required and work with Writing Team/CSRs		CIO is notified by operations management

Electronic Document Strategies Team
CU*Spy Vault

Level 1   These client contacts are guaranteed a prompt and effective response at the basic client service level.

Level 2   Level 2 takes on issues that require more technical expertise specific to the problem that cannot be solved promptly at the Level 1 stage. Level 2 teams include WESCO Net, Operations, Internal Networks, Electronic Documents Strategies Manager and Lender VP.

Level 3   These client interactions require a business response that might need modifications to an existing process, development of a new process or product offering, Consulting and planning efforts, business partnership relations and primary sales efforts also fall into Level 3 category. Level 3 team members include Electronic Documents Strategies Manager, VP Professional Services, Programming, and eDOC Innovations staff.

Level 4   Business recommendations and opinions that might lead to new partnerships for consideration is added to the Level 3 support description. The EVP of Client Interactions is considered Level 4.

Level 5   New business partnerships, high level management discussions, resource allocation and new product offerings fall into the Level 4 category. CEO, CFO or CIO would be responsible for these issues.

All calls start with determining which Vault the CU is using for the document type or issue at hand.

Level 1	Point of Escalation to Level 2	Point of Escalation to Level 3	Point of Escalation to Level 4	Point of Escalation to Level 5
Credit Union wants to expand their electronic document strategy to a new document type, change vaults or get started with a vault.	Escalate all calls to Level 2 – Electronic Document Strategies Manager.	Should not be involved.	Should not be involved	Should not be involved
Issue with use of ProDOC, CU*Spy Reports or Statements or idocVault feature set.	This should never need to be escalated beyond level 1.		Should not be involved	Should not be involved
Issue with ProDOC not working properly either eLoans or eReceipts.	Escalate to level 2 – Systems team.	Escalates to eDOC Innovations and Electronic Document Strategies Manager only if Level 2 cannot reach a resolution.	Escalates only if Level 3 cannot reach a resolution.	Escalates only if Level 4 cannot reach a resolution.
Issue with idocVault not working properly.	Escalate to level 2 – Internal Networks.	Escalates to eDOC Innovations and Electronic Document Strategies Manager only if Level 2 cannot reach a resolution.	Escalates only if Level 3 cannot reach a resolution.	Escalates only if Level 4 cannot reach a resolution.

Issue with CU*Spy Reports or Statements not working properly.	Escalate to level 2 – Internal Networks.	Escalates to eDOC Innovations and Electronic Document Strategies Manager only if Level 2 cannot reach a resolution.	Escalates only if Level 3 cannot reach a resolution.	Escalates only if Level 4 cannot reach a resolution.
Issue with CU*Spy Reports or Statements Missing Data.	Escalate to level 2 – Internal Networks.	Escalates to Programming and Electronic Document Strategies Manager only if Level 2 cannot reach a resolution.	Escalates only if Level 3 cannot reach a resolution.	Escalates only if Level 4 cannot reach a resolution.
eLoans forms are displaying incorrect information, missing information.	Escalate to level 2 – Lender VP.	Escalates VP of Client Interaction only if Level 2 cannot reach a resolution.	Escalates only if Level 3 cannot reach a resolution	Escalates only if Level 4 cannot reach a resolution
Receipt printers, signature pads or scanners not working	Escalate to level 2 – Systems.	Should not be involved.		
Credit union wishes to purchase additional Receipt printers, signature pads or scanners.	Escalate to level 2 – Systems.	Should not be involved.		
CU or member is able to view another CU's data or another member's data in CU*SPY /	Escalate to level 2 – Internal Networking IMMEDIATELY!,A message	This level is notified immediately	This level is notified immediately	This level is notified immediately

idocVault.	or email will not suffice.. Fill out CEO Incident Report, Copy Electronic Document Strategies Manager.			
CD Archive Questions about receiving CDs or issue with Data CDs.	Escalate to level 2 - Operations	Should not be involved.		
Feature enhancement suggestions to any of the following: ProDOC, idocVault, CU*Spy, CU*Archives CD software.	Escalate to level 2 – Electronic document strategies manager.	Should not be involved.		
Irate client – Not happy with aspect of electronic documents in the CU*Spy vault.	If a complaint but client is not particularly agitated, document and Escalate to Electronic Document Strategies Manager. If the client is very agitated, escalate immediately to Electronic Document Strategies manager.		Escalate to level 4 VP of Client interactions if Electronic Document Strategies manager not available or cannot assist them.	Escalates only if Level 4 cannot reach a resolution.
Any call or question regarding an eDOC innovations vault (non-CU*Spy)	Forward to eDOC Innovations CSRs. 800.425.7766 opt 2 or x450 or CSR@edoclogic.com	Should not be involved.		