Winnipeg

Audit Department
Service de vérification

311 Contact Centre Audit

Final Report
December 2014

Table of Contents

MANDATE OF THE CITY AUDITOR 2
AUDIT BACKGROUND 2
AUDIT OBJECTIVES 2
RISK ANALYSIS 3
AUDIT SCOPE 3
AUDIT APPROACH 4
AUDIT CONCLUSIONS 5
INDEPENDENCE 7
ACKNOWLEDGEMENT 7
BACKGROUND 8
PERFORMANCE INFORMATION 14
ORIGINAL BUSINESS PLAN GOALS 23
OPERATIONAL MANAGEMENT 30
PERFORMANCE MANAGEMENT SYSTEM 43
APPENDIX 1 – Audit Process 54
APPENDIX 2 – Summary of Recommendations 55

MANDATE OF THE CITY AUDITOR

- The City Auditor is a statutory officer appointed by City Council under *The City of Winnipeg Charter*. The City Auditor reports to Council through the Audit Committee (the Executive Policy Committee) and is independent of the City's Public Service.
- The City Auditor conducts examinations of the operations of the City and its affiliated bodies to assist Council in its governance role of ensuring the Public Service's accountability for the quality of stewardship over public funds and for the achievement of value for money in City operations.
- Once an audit report has been communicated to Council, it becomes a public document.

AUDIT BACKGROUND

- The City established a 311 Contact Centre in 2009. The business case set out several goals for 311 with a primary focus on increasing service levels to citizens and reducing costs to provide the service.
- The adopted budget for the 311 service in 2013 is $4.949 million with a total mill rate support of $3.507 million. The Contact Centre has 88 FTEs which comprise a mix of full time and part-time employees.
- An audit of the 311 Contact Centre was endorsed by the Audit Committee in the 2009-2010 Audit Plan. The audit was carried forward to the 2011-2014 Audit Plan and was endorsed by Audit Committee.

AUDIT OBJECTIVES

- To evaluate the extent that the objectives in the business case for the creation of the 311 Contact Centre have been achieved
- To evaluate the extent the 311 Contact Centre is delivering service to citizens effectively and efficiently
- To evaluate the extent the 311 Contact Centre is delivering service to City departments effectively and efficiently
- To evaluate the adequacy of the organizational performance management system

RISK ANALYSIS

- The Audit Department conducts audits using a risk based methodology and we considered the following potential risks to focus our resources where they could provide the greatest value:
    - Are the staff sufficiently qualified and trained?
    - Is the organizational performance management system effective?
    - Is the information used reliable?
    - Is there effective communication with departments regarding feedback on performance and level of service?
    - Are there adequate Service Level Agreements in place which clearly outline each party's responsibilities?
    - Is the 311 Contact Centre in compliance with FIPPA?
    - Can the 311 Contact Centre effectively respond to an unplanned external event that significantly increases the demand on service? (e.g. heavy snowfall)
    - Are staffing levels sufficient to meet established service standard?

AUDIT SCOPE

- All statistics, transactions, policies, procedures, manuals, by-laws and legislation pertaining to the 311 Contact Centre from the opening in 2009 to the end of 2013.
- The quality of the analyses made in the report was limited by the completeness of caller information due to CRTC regulations. We have noted the instances where this affects our analysis within the report.

AUDIT APPROACH AND CRITERIA

- We conducted our audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient appropriate evidence to provide a reasonable basis for our observations and conclusions, based on our audit objectives. We believe the evidence we have obtained provides a reasonable basis for our observations and conclusions.
- To gather sufficient appropriate evidence for our audit, we reviewed the City of Winnipeg's documented standards and guidance for citizen/customer service. We reviewed the 311 polices, procedures and practices. We interviewed and/or surveyed 311 staff at all levels and key department contacts in all City departments. We surveyed other 311 centres and reviewed their practices. We also researched commonly accepted industry standards and guidance for the same. We researched the applicable legislation which the 311 Contact Centre must comply. We then conducted our fieldwork, which compared the 311 Contact Centre's practices, processes and results to both the City's and industry standards and guidelines.
- The City's administration standards we used are:
    - *Administrative Standard No. AD-010: Citizen/Customer Focus*
- Accepted industry practices we used included:
    - ISO-9001-2008 Quality Management Systems
    - Accounting principles of the Canadian Institute of Chartered Accountants (CICA)
- Business plans included:
    - City of Winnipeg: Final Report 311 Project – 311 Business Plan dated June 30, 2006 prepared by AtFocus
    - 311 Project – Enhanced Model: In-House Centre dated October 9, 2007 prepared by Deloitte
- Applicable legislation includes:
    - Freedom of Information and Protection of Privacy Act
    - Personal Health Information Act
- **Appendix 1** provides a flowchart of the audit process

AUDIT CONCLUSIONS

The 311 Contact Centre has expanded access channels to contact the City, contributed to improved management accountability and reduced the cost per call minute as defined in the objectives of the original business case for the creation of the 311 Contact Centre. Original objectives such as answering 80% of the calls within 30 seconds, further reducing cost per minute call and revenue generation require further analysis to evaluate if achievable within current environment.

- The 311 Contact Centre provides 24/7 access through a large range of channels, provides bilingual service, and ensures a more consistent level of service through its human resource practices.
- The 311 Contact Centre has not been able to achieve the service standard of answering 80% of the calls within 30 seconds primarily due to limitations on the number of staff it can employ.
- The 311 Contact Centre has been able to reduce the cost per call minute to $0.68 in 2012 from an estimated $1.13 to $1.30 prior to 311. It has not achieved the original goal of $0.40 to $0.60 originally forecast. The average handle time is also on an increasing trend which is increasing the cost per call. This is primarily due to the increasing complexity of calls.
- There are still two call centres operated in City departments that remain due to their specialized nature. However there may be an opportunity to further consolidate some of these services under 311.
- The 311 service has improved the accountability of city management through the provision of a wide array of performance reports. They also have allowed citizens to track the progress of their service requests increasing the accountability.
- The majority of the calls made to the City are processed through the 311 Contact Centre utilizing common software. Except for a few cases this software is fully integrated with departmental systems.

The 311 Contact Centre is delivering service to citizens in a more transparent and accountable manner. Implementing improvements in select areas, such as the use of IVR, will enhance the existing service.

- The 311 Contact Centre processed approximately 1.6 million calls in 2013 providing 24/7 access through a multiple number of communication channels.
- In general, 311 staff are well trained and management has a comprehensive staff performance system to help ensure quality service.
- Contact Centre management ensures the optimum number of staff are available to minimize call wait times to the extent their budget allows.
- In general, citizens are satisfied with the 311 service as a recent survey from 2014 indicated 87% are either very satisfied or somewhat satisfied with the current service.

- Call wait times (Average Speed of Answer) are on an increasing trend from an average of 80 seconds in 2009 to just under 100 seconds for the first 7 months of 2013.
- Contact Centre management should explore increased use of Interactive Voice Response (IVR) technology to route the majority of Transit information requests (represent approximately. 41% of total calls received in 2013) that can be handled by existing technology (e.g. Navigo and Telebus) to free up existing resources to improve the call wait times.

Departments are satisfied with the level of service provided by 311. The creation of Service Level Agreements between 311 and departments will provide a consistent understanding of responsibilities and service standards.

- The 311 Contact Centre provides departments with a large array of reporting to assist them in managing service to citizens.
- Contact Centre management is responsive to departments' feedback and concerns through both the informal and formal feedback mechanisms.
- Overall, departments are satisfied with the level of service provided by the 311 Contact Centre.
- Process to update scripts used by CSRs to answer caller queries is working well in most cases.
- There is a need for Service Level Agreements to be put in place with departments to ensure key responsibilities, service standards, key processes and dispute resolution procedures are clearly defined.

The 311 Contact Centre operational performance management system provides real time information to monitor operations. Enhancements at the organizational level should be considered to further strengthen the existing system.

- Contact Centre management utilizes real-time performance information to manage its day to day operations.
- The 311 Contact Centre provides a number of standard performance reports to departments as well as customized reports for their specific needs.
- Both the citizen feedback process and the departmental feedback processes are in place to identify and respond to issues as they arise.
- The IT costs incurred by the 311 Contact Centre, which total $451,227 for 2013, are included in the Corporate Support Services departmental budget figures. This is a common practice in the financial reporting process of the City.
- The current citizen survey could be enhanced to provide more information about the effectiveness of the 311 service.
- More trend analysis could be performed on the "real time" data that is available on the dashboards such as abandon rates at different time intervals and occupancy and utilization rates at different times of the day and week.

INDEPENDENCE

The team members selected for the audit did not have any conflicts of interest related to the audit's subject matter.

ACKNOWLEDGEMENT

The Audit Department wants to extend its appreciation to all of the stakeholders who participated in this audit and especially to the 311 Contact Centre's staff for their time and cooperation.

The Audit Team

Bryan Mansky, MBA, CMA, CIA
Deputy City Auditor

Jason Egert, CA, CIA
Project Leader

Donovan Fontaine, CA, CIA, CISA
Auditor

Larissa Klimchak, CMA, CIA
Auditor



December 2014

Brian Whiteside, CA, CIA
City Auditor

Date

BACKGROUND

1.1 History

The impetus to create a contact centre to enhance customer service began in June 2005 with the Mayor's Red Tape Commission Report and the following timeline:

- Mayor's Red Tape Commission Report, June 28, 2005
  Recommendation #25: to enhance customer service by identifying an appropriate "311 based solution."
- AtFocus report dated June 30, 2006 recommended the City move to a single call centre and prepare a detailed business case. This report was received as information by Council on January 24, 2007 and directed the Administration to prepare business cases for the three consolidated service delivery options: internally operated, outsourced and co-sourced.

- The Public Service engaged a number of consultants with specific expertise in financial analysis to assist with the development and analysis of the pricing model component of the Request for Proposal (RFP). The following four models of consolidated 311 service delivery were then evaluated.

Figure 1

Model	Definition
Internally Operated	City provides the 311 service through internal means.
Enhanced Internally Operated	City provides the 311 service through internal means with enhancements made to the business case by way of the CUPE Letter of Understanding.
Outsource	An external party to the City provides the 311 service.
Hybrid	An external party to the City provides a location for the 311 operations, including installation and maintenance of the computer technology. The City provides staffing.

- On October 8, 2007, CUPE and the City signed a Letter of Understanding (LOU) *311 Call Center Operations* that allowed enhancements to the internally operated model business case. The new terms of conditions of employment realize efficiencies in staffing (part-time and an eight hour work day), scheduling flexibility (staggered start times and 24x7 hour operations) and agreement to the job classifications for 311 centre operational staff. The Letter of Understanding made it possible to explore the enhanced internally operated model but did not lock the City into the agreed terms if a different service delivery model was selected.

- The Audit Department was engaged to conduct a due diligence review of the 311 project team's business cases analysis. Audit concluded in their October 15, 2007 report that the project team conducted a fair and reasonable analysis of the four business cases.

- The analysis was presented to Council on October 24, 2007 where they adopted the following:
  1. That Council approve the Letter of Understanding, 311 Call Center Operations, with CUPE Local 500.

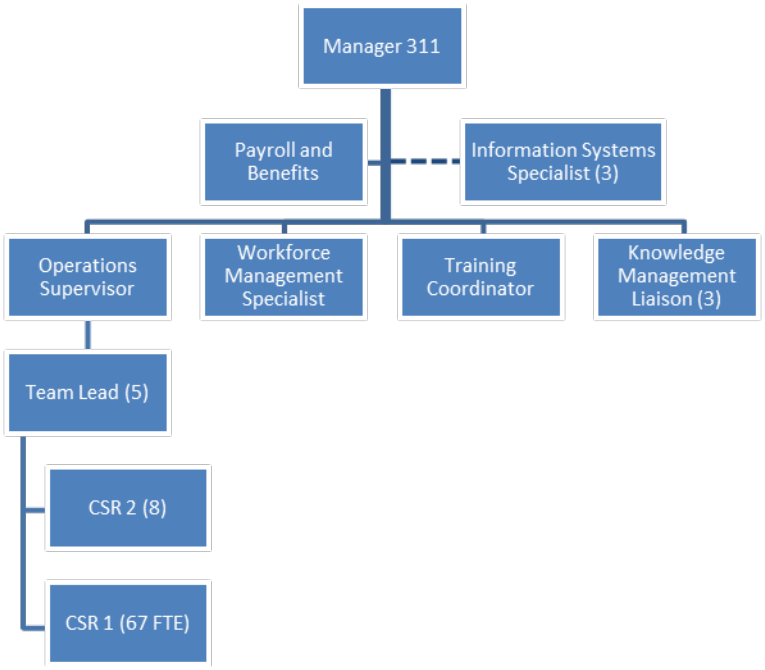
2. That the City adopt the internally operated model (enhanced version) of service delivery for a consolidated 311 service.

- January 2009 the 311 Contact Centre was officially opened.

1.2 Organization Structure

As of the end of 2013 the 311 Contact Centre operated with a complement of 88 Full Time Equivalent (FTE) positions. The majority of the positions are Customer Service Representatives (CSR 1 and CSR 2) who are responsible for taking the calls and providing the necessary assistance to the callers whether it is an information request or service request. In order to maximize the efficiency of deploying the CSRs over a 24/7, 365 day a year schedule, the Contact Centre has a mix of full-time positions and part-time positions. The total number of staff fluctuates throughout the year due to turnover that is common in the call centre industry. For 2013, the Contact Centre operated with 88 FTEs and this was made up of a mix of full time and part time employees. The average number of staff for 2013 was 64 full time and 57 part-time.

Figure 2



1.3 Service Level Statistics

Description	2011[1]	2012[1]	2013
Total Calls Received	1,712,135	1,934,948	1,867,322
Total Calls Answered[2]	1,346,339	1,585,483	1,620,628
Number of Service Requests	328,645	380,519	436,138[3]
Number of Information Requests	1,017,694	1,204,964	1,184,490
Number of Emails	47,388	62,157	68,752
Average Talk Time (in minutes)	3:22	3:17	3:48
Average Wait Time (in minutes)	1:28	1:21	2:02

1 – 2011 and 2012 figures differ from figures presented in 2013 Adopted Operating Budget due to reclassifications of the categories of calls.
2 – Only includes calls to 311 centre, does not include other channels such as email.
3 - The significant increase in the number of service requests in 2013 is related to the roll out of the garbage and recycling program and discoloured water.

1.4 Process

The City of Winnipeg 311 Contact Centre provides a single point of contact for citizens to ask questions about, or to request City services at their convenience. Customer Service Representatives (CSR's) operate out of a contact centre in Winnipeg and are available 24 hours a day, 365 days a year. Inquiries from the public can be dealt with in both English and French or other common languages upon request.

The 311 Contact Centre receives customer requests from a wide variety of channels aimed at providing the citizens with the widest access to the 311 service. When the 311 Contact Centre was launched on January 16, 2009 it provided access via phone, fax, email, web site, and mail. On August 13, 2013 the Contact Centre launched a mobile application (App) providing another point of contact for the citizens. In September 2013, the 311 Contact Centre further expanded its access to the public by offering face to face service at 510 Main.

In 2013, the 311 Contact Centre received 1.6 million requests from citizens. They related primarily to Transit, Water and Waste, Public Works and Community Services; these departments represent 80% of all requests.

311 call volumes vary considerably depending on the time of day and current events. The 311 Contact Centre will periodically have a significant increase in the call volume due to events that are both predictable and unpredictable. Predictable incidents include Leisure Guide registration or the introduction of a new City program and unpredictable events include weather such as heavy snowfalls. The 311 Contact Centre does address these variations in call volume through staff scheduling and fully utilizing available space to maximize the number of CSRs that are available to take calls during these peak periods The ability of the 311 Contact Centre to respond immediately and with short notice to these events is challenged by the number of lines that are available and the number staff employed by the Contact Centre, however the contact centre does have the ability to scale according to volumes of calls through expanded use of the part time staff.

The 311 Contact Centre recently introduced a new Automated Call-Back feature that will allow a citizen the option of providing his/her phone number to receive a call-back instead of staying on the line when call volumes are high. During high call volume periods when there is a queue, the Automated Call-Back option will be offered to callers after they have been holding for approximately two minutes. This ensures citizens receive important information pertaining to City services.

CSRs will respond to the citizen's request using a script created jointly by the applicable department and the 311 Contact Centre. Following the script, the call will result in an information or service request. An information request will simply result in a CSR providing information to a citizen such as a bus time or a garbage day. A service request results in information being obtained from a citizen in order for the City to perform a service such as registering for a Leisure Guide activity or reporting missed garbage pickup. If applicable, the CSR provides the caller with a tracking number that allows them to track the progress of their service request. Once the 311 Contact Centre records the service request it becomes the department's responsibility to address the service request within the established service standard. Departments, through the information system, will update the records when the service request is complete to enable the Contact Centre to track if the request is completed within the defined service level. The 311 Contact Centre provides reports to departments that track open service requests and service requests that have exceeded the service standard. It is up to department management to act on these reports.

The responsibility of the 311 Contact Centre for service requests is to efficiently and effectively gather the information necessary to address the identified issue. The 311 Contact Centre responsibility for addressing service requests ends when the service request is forwarded to the appropriate department. The 311 Contact Centre does not have the authority to direct departments on how or when to address service requests.

It can be difficult for citizens to determine what department is responsible for a service. For example, if a Citizen complains that an item is illegally dumped in a back lane, the responsible entity is different if the debris is on private property, city property or 50/50. The 311 Contact Centre has worked collaboratively with departments to determine who is responsible in situations where there is ambiguity. This has resulted in improved service for citizens. The 311 Contact Centre also aids departments by providing additional information to proactively address citizens' concerns. During the discoloured water issues in the summer of 2013, the 311 Contact Centre was able to provide Water and Waste with a map of discoloured water complaints. This allowed them to have real time information as to where these issues were occurring and aided in their response.

311 has become a critical provider of information and service during times of emergency or preparedness for disaster/ emergency events eg flooding. The 311 Contact Centre is a vital part of the Emergency Public information team and the City has become reliant on using this service to communicate with citizens and public on emerging events and topics.

1.5 Industry Awards

The 311 Contact Centre has been recognized as a leader in several areas of its operations. Throughout the years the 311 Contact Centre has been a recipient of several Manitoba Excellence in Contact Centre Achievements (MECCA) awards from the Manitoba Customer Contact Association. MECCA is an industry association comprised of Manitoba companies and organizations associated with the customer contact sector.

2011	Technology Award
	Training and Development Award
2012	Technology Award
	Employee Satisfaction Award
2013	Training and Development Award

The Technology Award recognizes how the contact centre consistently meets customer service challenges utilizing the hardware and software technology that is currently in place.

The Training and Development Award recognizes how the education and training program supports the achievement of your business objectives. It considers how the program builds employee knowledge, skills, capabilities, and improves employee performance.

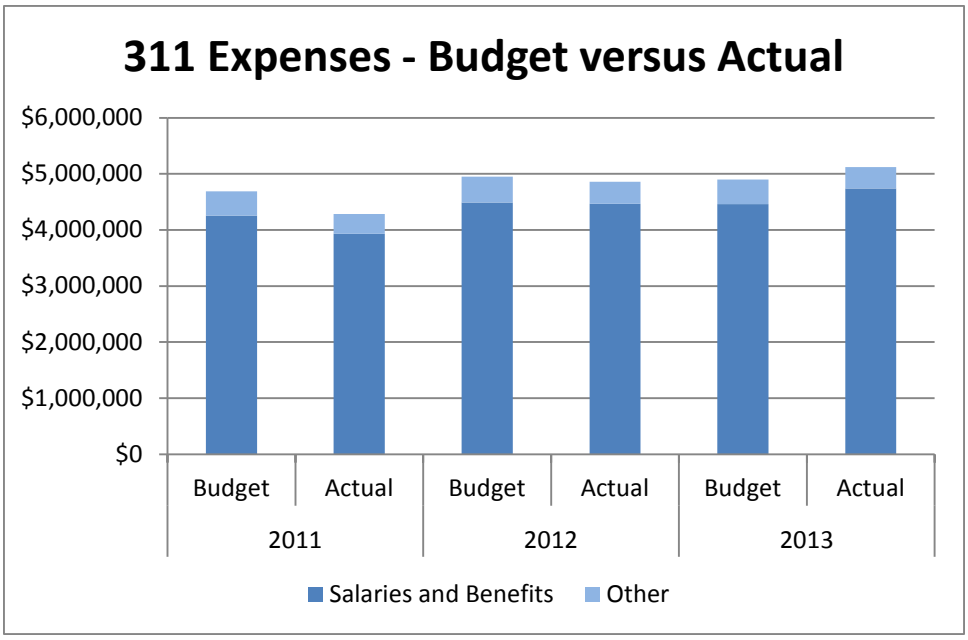
The Employee Satisfaction Award recognizes a contact centre where employee survey results highlight job satisfaction and career fulfillment.

PERFORMANCE INFORMATION

2.1 Financial

The 311 Contact Centre has operated within budget since it began operations in 2009 except for 2013 where they exceeded budget by $218,302. The overage was primarily due to increased salary and benefit costs resulting from increased call volumes at the 311 Contract Centre related to discolored water, Investors Group Field, recycling, and yard waste. The revenue for the 311 service consists of transfers from four departments. Human resource related expenses make up approximately ninety percent of the total expenses. The budget for the 311 Contact Centre has remained relatively static from 2009 to 2013 with the exception of $500,000 of contingency funds provided during the 2009-2012 budget cycle to help balance their operations as they were being established as operating costs were unknown during the start-up phase. The contingency fund was eliminated in 2012 and subsequently in 2013 the 311 Contract Centre exceeded their budget.

Figure 3

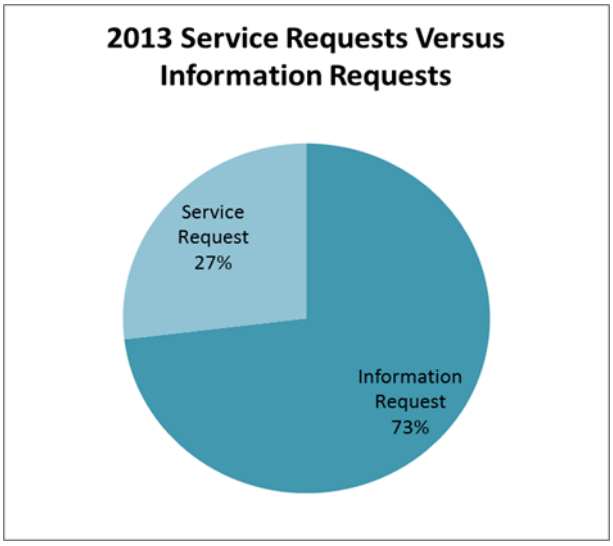


2.2 Operations

Contact centres have adopted several key performance measures. The first set of performance measures are designed to assess the volume and the types of calls the Contact Centre handles to assist them in determining their staffing and training needs. The average speed of answer is a meaningful measure to citizens to how long they have to wait to get service. Average handle time measures provides insight into both effectiveness and efficiency of a call handler but can be misleading in a contact centre environment where the time needed to successfully address a callers needs can vary significantly depending on the type of call. Finally, contact centres typically gauge the level of customer satisfaction through surveys and tracking of the number of complaints and compliments.

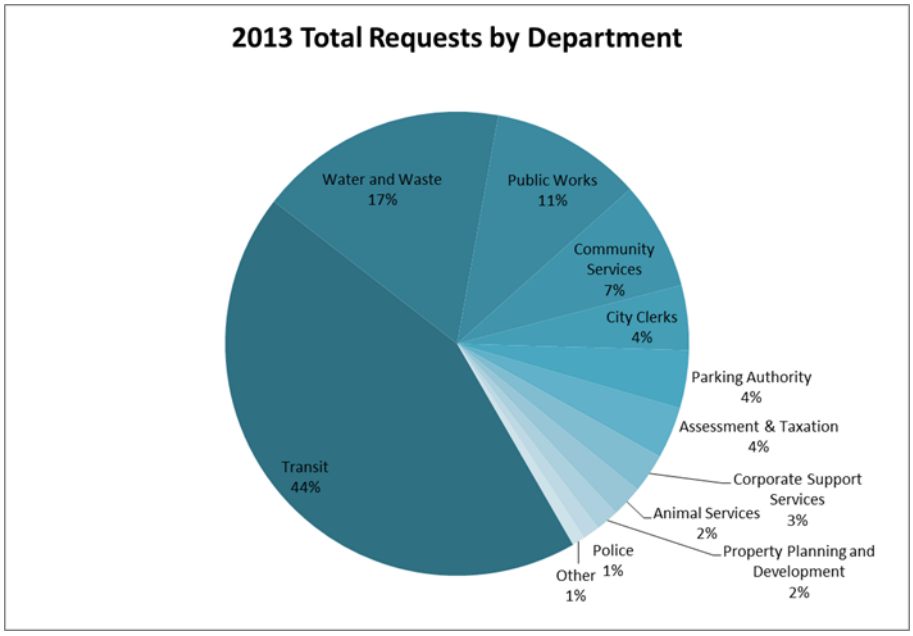
In 2013 the 311 Contact Centre answered a total of 1,620,628 calls. In 2013 the Contact Centre received 1,184,490 information requests representing 73% of the calls and 436,138 service requests representing the remaining 27%.

Figure 4



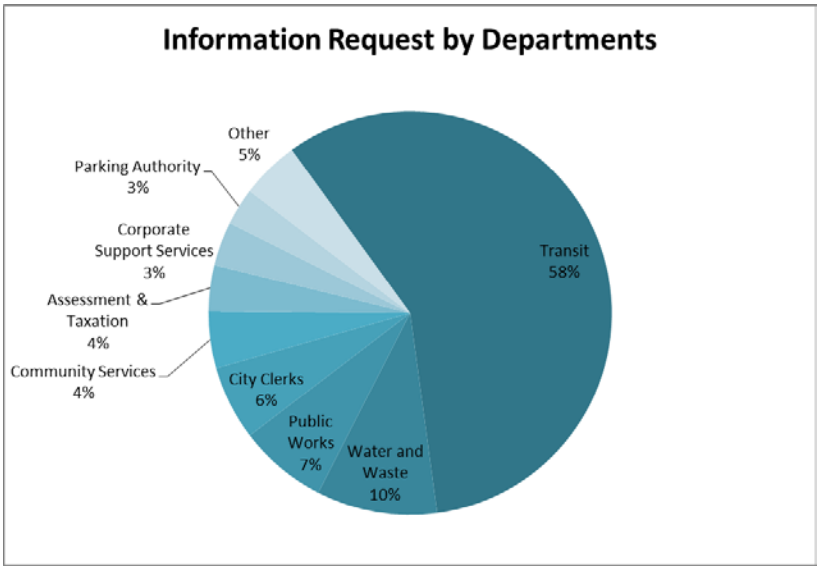
The 311 Contact Centre received 710,592 transit calls representing 44% of the total number of calls. Calls related to: Transit, Water and Waste, Community Services and Public Works totaled 1,284,689 representing 80% of the total calls.

Figure 5



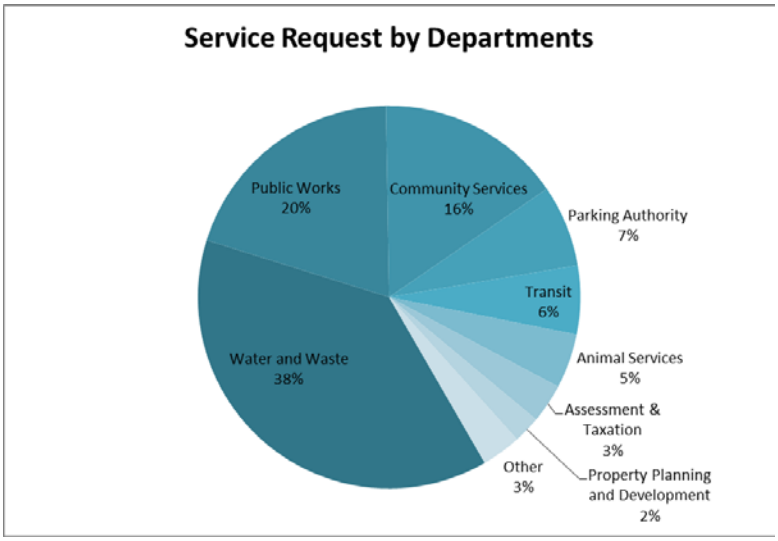
As noted earlier, information requests represent 73% of the total calls to 311 and Transit related information requests totaled 685,114 for 2013 representing 58% of the total information requests. Bus schedules (658,757) make up the majority of Transit related information requests. Water and Waste and Public Works related information requests represent the next two largest categories at 10% and 7% respectively.

Figure 6



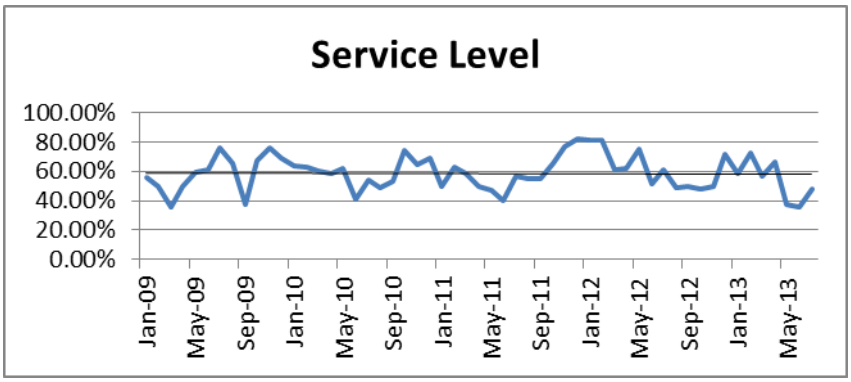
The focus shifts with respect to service requests (SRs). Water and Waste related service requests is the largest category at 38% (115,213) . A large portion of these service requests relate to garbage pick-up. Public Works related service requests represent the second largest category at 20% and relate to streets maintenance (58,893) and other Public Works related services. Community Services related service requests at 16% consist of Leisure Guide (46,890) and bylaw enforcement (20,874) related service requests.

Figure 7



The 311 Contact Centre's target service level is to answer 80% of the calls within 30 seconds. The actual service level, as measured by the average service level for the month shows that the target has only been met or exceeded in two months since it opened in January 2009. The trend line shows that the actual performance level is averaging approximately 60% of the calls within 30 seconds. The ability of the 311 Contact Centre to meet this goal is impacted by many factors: sufficient number of staff, proper scheduling, and efficient use of staff resources. These will be discussed in further detail later in the report.

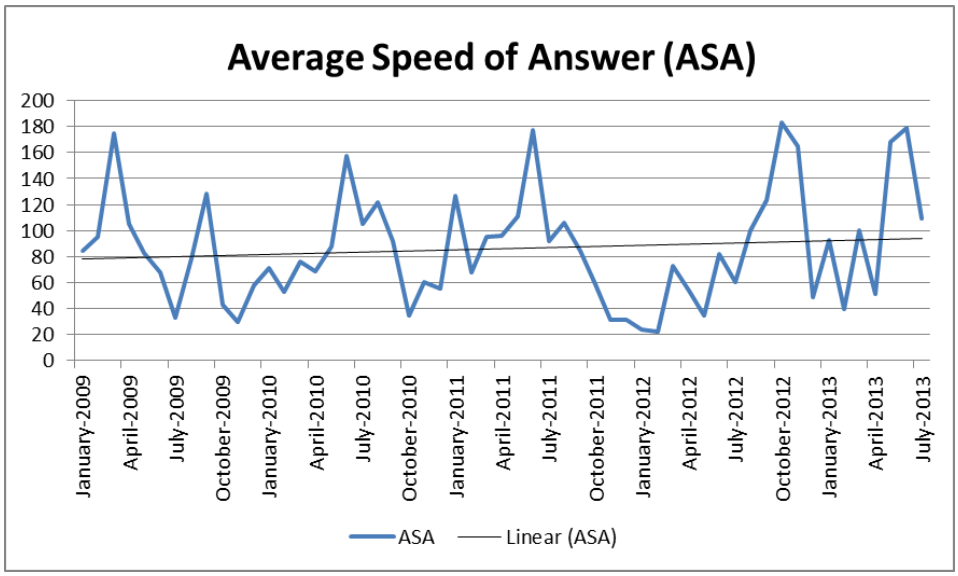
Figure 8



Average Service Level % by Year				
2009	2010	2011	2012	2013 (To July)
59%	60%	59%	62%	54%

The Average Speed of Answer (ASA) is the average time it takes for a CSR to answer the call from a citizen, essentially the time a caller waits in a queue before their call is answered. This is a performance measure that the public has a great deal of interest in. As the chart indicates, ASA can fluctuate significantly from month to month, depending on volume and nature of calls and the level of staff. The trend line illustrates that the ASA has been on an increasing trend. Rising by almost 20 seconds from January 2009 to July 2013, meaning the public is waiting longer on average to have their calls answered.

Figure 9



Average Speed of Answer per year in Seconds				
2009	2010	2011	2012	2013 (To July)
82	81	89	82	105

Handle Time is the total time it takes for a CSR to deal with a call to 311 once it has been answered. It represents the sum of the time spent on the call with a CSR responding to the caller's requests, the time a caller is put on hold during the call with a CSR and the wrap up time, which is the time it takes a CSR to finish the work on the call after the caller has been released. Total Handle Time, as measured in days per month, does fluctuate from month to month but our analysis shows that it has been on an increasing trend since the Contact Centre opened, starting at around 300 days per month when 311 began operations to around 400 days in July of 2013, a 25% increase.

At the same time the 311 Contact Centre resources have not increased as the FTE count and budget have largely remained unchanged except for the effect of negotiated collective agreement wage increases. Given a fixed number of FTEs peforming the work that means the 311 Contact Centre staff are busier handling calls, email and social media. The fluctuations month to month are in part a result of varying call volumes. They are also due to the calls being more complex (e.g. Leisure Guide Registrations) and require additional time to address the callers requests as can be seen in Figure 11, Average Handle Time per call. The average handle time per call has increased over the same period from approximately 175 seconds to

225 seconds, a 28% increase which mirrors the percentage increase in Total Handle Time. Contact Centre management has no set targets for call handle time due to the varying nature of calls.They do monitor and aim to keep call wrap up time and after call work down.

Figure 10

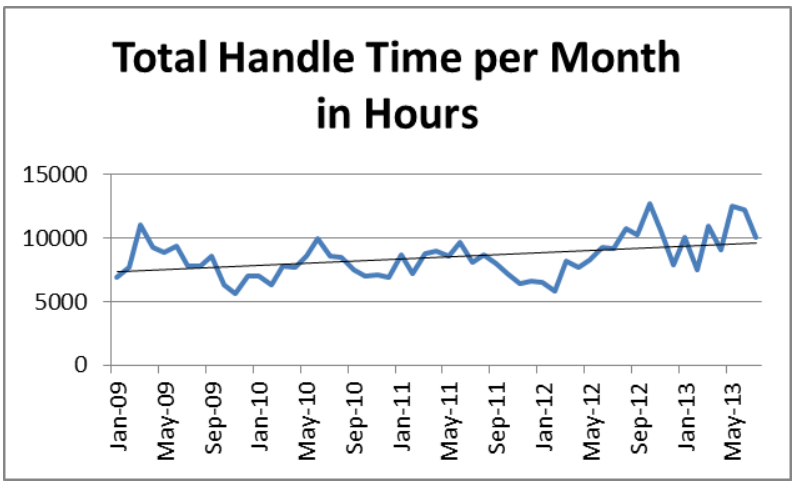
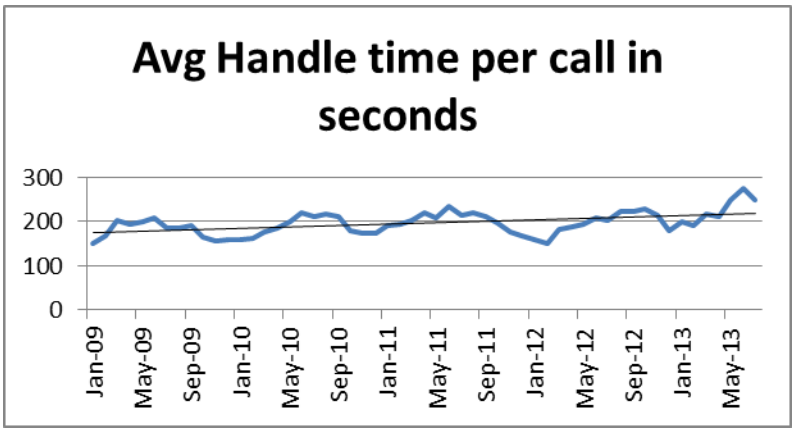
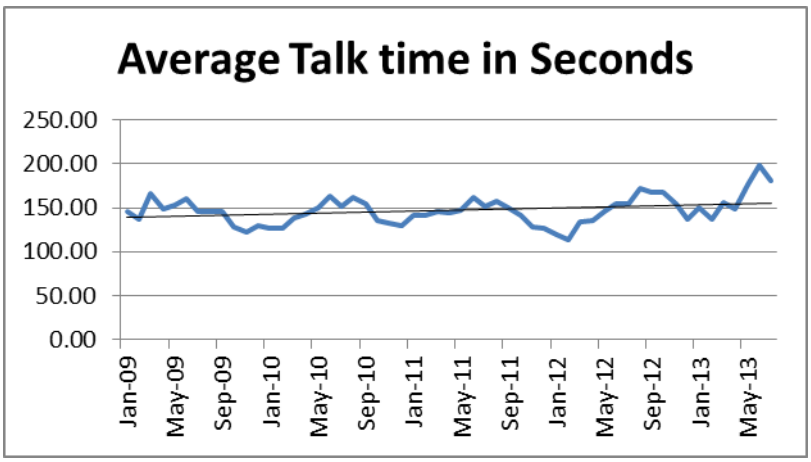


Figure 11



Average Talk Time is the time the caller is on the phone with a CSR and is actively engaged (i.e. not on hold), it is a component of Average Handle Time. The Average Talk Time has steadily increased since 311 began service from just above 140 seconds to just above 150 seconds. This is possibly reflective of the increased complexity of the nature of calls and the focus on ensuring the quality of the call and resolution of the issue.

Figure 12



The 311 Contact Centre continues to expand the available channels for citizens to communicate with the City. New communication methods such as email and social media, which are increasing in usage, have an average “talk”/handle time (as measured by their software system) of 330 seconds leading to an increase in the combined average talk time for all channels (Figure 13).

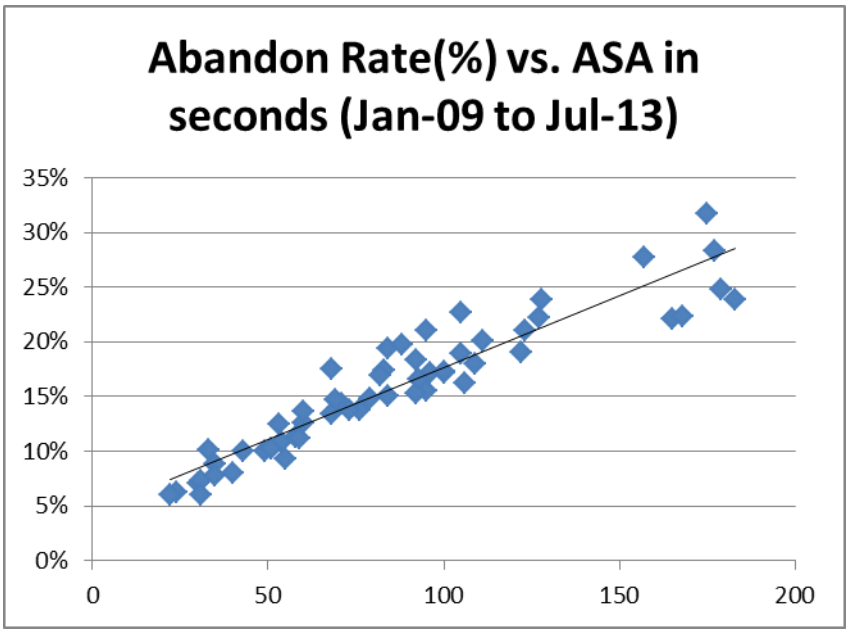
Figure 13

Average Talk Time per Year in Seconds for all Channels				
2009	2010	2011	2012	2013
187	188	202	197	228

The final chart compares the Average Speed of Answer (ASA) to the Abandon Rate Percentage. The Average Speed of Answer is the average time it takes for a CSR to answer the call from a citizen. The Abandon Rate Percentage is the percentage of calls that hang-up before they are answered by a CSR. According to the 311 Manager and other jurisdictions we reviewed, the generally accepted target abandon rate is 5-6%. There is a high correlation between these two measures which may indicate that there is a causal relationship. In this case the longer the ASA the higher the Abandon Rate Percentage. This makes sense as people may get frustrated the longer they wait for their call to be answered and eventually will hang up. An increase in the Abandon Rate Percentage alone may not signify a reduction in service; in fact it may reflect the effective use of pre-recorded messages and Interactive Voice Response (IVR) that are designed to answer the most common questions prior to being handled by a CSR. This is why some call centres monitor the drop off rate at 30 second, 60 second and 120 second intervals to assist in determining the underlying reason for the abandon rate. These drop off rates are being observed operationally through dashboards by the Contact Centre but are not tracked. Typically if the caller abandons the call within the first 120 seconds it is due to their question being answered by IVR and is a sign of effective and efficient service. If the caller

abandons the call after the first 120 seconds it is typically due to frustration with the length of wait and thus negatively impact how the quality of the 311 service is perceived by the citizens.

Figure 14



The City of Winnipeg conducts an annual Customer Satisfaction Survey and includes a question specific to the 311 Contact Centre. In 2013, 81.8% of respondents were either very satisfied or somewhat satisfied with the 311 Contact Centre, this is up from 71.7 percent in 2012 but down from 87.2 percent in 2011. This one question is not sufficient to fully measure the level of customer satisfaction or provide meaningful performance information to 311Contact Centre management.

Figure 15

Survey question: How satisfied are you with the City's 311 Contact Centre (general inquiry line)?

311 Contact Centre			
	2011	*2012*	*2013*
very satisfied	*11.1%*	*30.4%*	*16.0%*
somewhat satisfied	*76.1%*	*41.3%*	*65.8%*
somewhat dissatisfied	*8.0%*	*15.8%*	*13.3%*
very dissatisfied	*4.7%*	*12.5%*	*5.0%*

Source: City of Winnipeg Citizen Satisfaction Survey, Survey sample 600 Results have a margin of error of ±4.0%, 19 times out of 20.

ORIGINAL BUSINESS PLAN GOALS

3.0 Overview

The City of Winnipeg engaged a consulting firm to prepare a business plan to address the implementation of a 311 Made-in-Winnipeg model. A number of goals/ key benefits for the 311 Contact Centre were outlined in the June 2006 report. They are summarized as follows:

1. Service Level and Quality
   - Answering 80% of calls within 30 seconds
   - 24/7 Access
   - Multiple channels (email, face to face, phone, 311 App, TTY, mail, fax, web page)
   - Bilingual service provided for all city services.
   - More consistent level of service.
   - Tracking of service requests

2. Improve City Management and Accountability
   - Information more accurate and timely
   - Obtain performance data available for performance measurement
   - More attention to statistics

3. Cost Reduction
   - Reduction in call per minute to $0.60 - $0.40 from $1.13- 01.31 (estimated savings of $2 million)
   - Reduction in Average Handle Time (AHT) target a 30 second reduction (estimated savings of $1.5 million)
   - Reduction in call volume will be achieved by providing a full and complete answer on the first call
   - Reducing the number of internal transfers that currently occur as the Citizen called the wrong number or has multiple service requests
   - Optimize occupancy/sign-on rates: (estimated target of 10 to 15% improvement)
   - Workforce Management Optimization (handle the same number of calls with 20% to 40% less staff, they noted that this level of savings may be limited)
   - Cost avoidance in terms of managing a growing number of calls (due to City population increase or significant City wide projects/initiatives/events being implemented) with the same or reduced staff levels

4. Enhanced/ Simplified Technology
   - Standardized technology
   - More centralized

5. Generate Additional Sources of Revenue
   - Extend 311 services – fee for service to surrounding municipalities and other level of government
   - Outsourcer – provide short term call handling service for outside government or private organizations to maximize capacity of call centre

In the following section we are providing a summary of the progress to date against these goals. Further observations and recommendations are in sections four and five.

3.1 Level/ Quality of Service

Issue

- To what degree were the level and quality of service goals in the original business case met by the implementation of the 311 Contact Centre?

Conclusions

- The 311 service has not fully met all level and quality of service goals.
- The service standard of answering 80% of the calls within 30 seconds has not been met consistently primarily due to limited level of resources.

Analysis

- Target service standard of answering 80% of calls within 30 seconds
  - Current level of service is approximately 60% of calls answered within 30 seconds.
  - 311 Contact Centre currently does not have sufficient staff to be able to meet that standard consistently based on analysis performed by a 311 Workflow Analyst.
- 24/7 access
  - 311 service is available 24/7 which is superior to previous hours of 8:30 to 4:30 Monday to Friday.
  - Review of call volume data for the week period July 14, 2013 to July 20, 2013 indicated 44.9% (14,292 out of total of 31,815) calls were made outside of the City's normal business hours.
- Multiple channels (email, face to face, phone, 311 App, TTY, mail, fax, web page, social media)
  - 311 is providing a large number of channels to communicate with the City. These channels are offered for all city services now that all calls are being handled by 311. Previously the number of channels offered was not consistent throughout the city and were primarily phone, email or in-person.
- Bilingual service provided for all city services
  - All callers to 311 can ask for bilingual service, this was not the case in the call centres of all the departments. Also have access to real time interpretation services for other languages.
- More consistent level of service
  - All 311 CSRs receive extensive training in customer service and background on the departments and their systems prior to beginning work in the centre.
  - All CSRs work is monitored for quality on a daily basis and is reviewed formally with them monthly.
  - It could be argued that the more specialized call centres pre-311 would be able to handle more complex issues because of their more specialized knowledge. Under the current system, the 311 centre works with departments to continually update scripts and when more specialized knowledge is required.
- Tracking of Service Requests
  - Citizens are able to track the progress of their service requests. They are given a service request number and can track the progress online if the service request was entered online or by calling 311 and see if it has been resolved. This is providing more up to date information to citizens on a real time basis. This was not available across all departments prior to 311.

3.2 Improve City Management and Accountability

Issue

- Has the goal of improving city management and accountability in the original business case been achieved by the 311 Contact Centre?

Conclusions

- The goal of improving city management and accountability has been achieved through the collection, use and reporting of performance information.

Analysis

- With the implementation of the 311 Contact Centre the status of service requests has been closely monitored and reported. Each department/service has defined service levels for their main service requests.
- Once a service request is initiated in the 311 system it is assigned a unique number and is tracked in the system.
- The status of the service requests is reported regularly (weekly and monthly) to the related departments (Open service request report).
- Citizens can also access the status of their service request at any time using the tracking number.
- City departments can access the Lagan system and view the status of the service requests in order to address any outstanding issues in a timely manner.
- Departments have access to a wide array of reports from the 311 system that can assist in managing the service they provide in their respective areas.
- Regular reporting is provided to members of Council and senior administration within the Public Service.

3.3 Cost Reduction

Issue

- Have the cost reduction goals in the original business case been achieved by the 311 Contact Centre?

Conclusions

- Cost savings were achieved but cost reduction goals were not fully met. In 2012 the cost per call minute was $0.69 versus the estimated cost of $1.13 to 1.31 prior to the establishment of the 311 Contact Centre which represents an average of a 43% reduction in costs.
- The reduction in average handle time has not been achieved as the Total Handle Time and Average Handle Time have been increasing.

Analysis

- Cost per call minute: Target of $0.40 to $0.60 per call minute.
  - Pre 311 centre: $1.13 to 1.31 (original estimates from the AtFocus's Report dated June 30, 2006).
  - Actual 311 centre for 2011: $0.677 per call minute; 2012: $0.689 per call minute (Actual figures from PeopleSoft reports for personnel related costs only to be consistent with AtFocus's estimates which were based on personnel costs only).
  - The AtFocus report range of $0.40 to $0.60 per call minute as an industry average could not be verified.
  - Potential cost reduction strategy of limiting hours of operation has not been adopted by Council through the operating budget process.
- Reduction in Average Handle Time: Target a 30 second reduction.
  - No baseline information is available to compare 311 Contact Centre results to. Total and Average Handle Time is increasing from 175 seconds in 2009 to 225 seconds in the first half of 2013 and not decreasing therefore the anticipated savings in terms of decreased AHT has not occurred. (see Figures 10 and 11, p.19).
  - Anecdotally, the possible reasons cited by management for the increase in AHT are an increased focus on service quality, the complexity of calls and unplanned issues eg. discoloured water, frozen pipes, new programs etc. and the limited use to date of Interactive Voice Response (IVR) technology.

3.4 Enhanced/ Simplified Technologies

Issue

- Has the goal of enhanced/simplified technology in the original business case been achieved the 311 Contact Centre?

Conclusions

- The goal of enhanced/simplified technology has been fully achieved.

Analysis

- The establishment of the 311 Contact Centre resulted in the consolidation of twenty-two department based call centres into one call centre.
- While two departmental call centres remain (Water and Waste for billing and Handi Transit) and with the exception of Libraries, all other calls are directed to the 311 Contact Centre and are processed with their systems, reducing the need for the different contact centre systems that were being used by each department. The original decision to not integrate these two centres due to their highly specialized nature, and in the case of Handi Transit their vulnerable population, is still sound in the current environment.
- The 311 Contact Centre uses two software platforms to deliver its services, Lagan and ININ (Interactive Intelligence). ININ is the contact centre telephony software that handles the intake of the calls and Lagan is the Customer Relationship Management software that handles the details of the interactions. Both these software solutions are supplied by industry leading companies.
- The use of only two software platforms reduces software maintenance costs.
- Lagan software interfaces with the majority of the departments' software. We noted a few instances (e.g. Transit) where this interface does not exist and does result in some duplication of effort. These represent opportunities for future efficiencies that should be pursued.

3.5 Generate Additional Sources of Revenue

Issue

- Has the goal to generate additional sources of revenue been achieved by the 311 Contact Centre?

Conclusions

- The goal of generating other sources of income from offering 311 services to other neighboring municipalities, the Province or other organizations has not been achieved to date. The achievement of this goal is largely beyond the control of 311 Contact Centre.

Analysis

- The Department has not proactively pursued additional sources of revenue since the Contact Centre inception.
- The Province approached the City and has toured the 311 operations, but nothing further has materialized.
- Other organizations have toured the centre and have also liked the service but have not pursued a service agreement to date.
- Agreements of this nature are expected to take time.
- The current location of the Contact Centre has a capacity of 60 seats which limits the amount of extra work they can handle.

OPERATIONAL MANAGEMENT

4.1 Key Goals and Service Standards

Issue

- Have goals for the 311 Contact Centre been established and communicated effectively to Contact Centre staff and all staff directly involved with 311?

Conclusions

- The main goal of "Quality of calls over quantity of calls" is commonly understood and communicated throughout the organization. The quality of the calls of individual CSRs are evaluated but this information needs to be monitored at a higher organizational level.
- The service standard of answering 80% of the calls within 30 seconds has not been met consistently primarily due to limited level of resources.

Analysis

- The main goal contained in 311 training materials for contact centre staff is to focus on quality of service before quantity, do it right the first time.
- The service based budget listed several goals related to improving customer service and internal processes. The key goal of “Quality of call before quantity of calls” is clearly understood at all levels of 311 staff and by other City staff that regularly interact with 311.
- Quality is well understood at the CSR level and is closely monitored but quality measures have not been regularly tracked and reported on at a higher service based level.
  - CSR’s have their performance evaluated monthly which reviews their conduct, examines metrics such as the amount of time between calls and includes a quality assurance review of five calls.
  - The quality assurance review involves a group of supervisors scoring a sample call of a CSR. They evaluate the calls with a scorecard that has 21 different factors including professionalism, problem solving, active listening, accuracy of information and resolution. Each call is given a percentage score based on the number of factors they achieve.
- Target service standard of answering 80% of calls within 30 seconds
  - Current level of service is approximately 60% of calls answered within 30 seconds.
  - Over the period from January 16, 2009 to September 15, 2013, the 311 Contact Centre met the target service standard only 368 days (22%) out of 1698 days, 201 (55%) of the 368 days were weekends where call volume is significantly lower.
  - The average level of service (monthly) exceeded or met the 80% target in only 3 months of the 42 months reviewed from January 2009 to July 2012. (see Figure 8, p. 17)
  - 311 Contact Centre currently does not have sufficient staff CSRs to be able to meet that standard consistently based on an analysis performed by a 311 Workflow Analyst. The 311 Contact Centre would have to increase the number of CSR FTEs to 87 from the current FTE count of 67 CSRs in order to meet the service standard.
  - Review of the jurisdictional information in the Toronto 311 audit highlighted that New York is the only city that has been able to meet the 80% in 30 seconds service standard. Most other jurisdictions have an 80% in 60 to 75 second standard. (See Figure 16)

- There are multiple reasons for the different service levels that could range from the scope of services provided in other centres, the IT infrastructure (e.g. T1 lines) and the level of staffing.

Figure 16 Jurisdictional Comparison of Key Metrics, January to March 2011

City	Population (millions)	Monthly call/email volume	Number of Staff (FTE)	Volume to staff ratio	Service level achieved	Average call handling time (seconds)
New York	8.2	530,555	340	1,560:1	Answered 82% calls in 30 seconds	224
San Francisco	0.8	221,666	68.5	3,236:1	Answered 75% calls in 60 seconds	90
Calgary	1.1	100,313	65	1,543:1	Answered 55% calls in 68 seconds	210
Ottawa	0.8	53,200	27	1,970:1	Answered 73% calls in 120 seconds	184
Toronto	2.6	107,306	108	994:1	Answered 78% calls in 75 seconds	220

Source: Toronto 311 Audit, Figure 3, p.11

- For 2011, the City of Winnipeg's monthly average was 121,078 calls with 67 FTE CSRs for a volume to staff ratio of 1,807:1 and a service level of 59% of the calls answered within 30 seconds.
- To date, options to significantly alter 311 service with an increased use of IVR technology or routing a portion of information requests directly to current technologies (e.g. Navigo, Telebus) in order to reduce the call volume and increase the service level within the current resource levels have not been implemented. The level of IVR currently used by Winnipeg appears to be consistent with other Canadian cities.
- 658,757 information requests related to Transit schedules (which also include requests for bus route information) were processed by the 311 Contact Centre in 2013. This represents approximately one third of all 311 calls. A significant portion of these calls can be addressed by technology that has already been established, such as Telebus and Navigo. The 311 Contact Centre could utilize IVR technology to route these calls directly to these existing technologies freeing up valuable resources to address citizen concerns that are not able to be addressed by other means. This should improve the ability of the 311 Contact Centre to provide a higher level of service with the current level of resources. A formal business case exploring this option has not been prepared to date. This option will require Council approval to implement.
- At a high level, if only 30% of the transit calls were redirected through IVR, it could reduce the number of calls having to be answered by CSRs by almost 200,000 calls or 12%, freeing them up to answer other calls.
- Through the annual operating budget process 311 has suggested a mill rate savings option to reduce the operational hours of the contact centre from the current 24 hours to 6:00 am to 10:00 pm. The volume that comes into the Contact Centre between 10:00 p.m. to 6:00 a.m. represents about 6% of the total daily volume - which works out to be

approximately 295 calls per night. On average approximately 70 % of these calls are Transit Information Requests which could be addressed with existing tools already available to citizens which include: Navigo, Twitter and Telebus. The remaining calls consist of a wide variety of requests. Resources could then be reassigned to peak times to help meet the service standard. Most other jurisdictions we surveyed also restrict the operational hours of the 311 contact centres.

RISK AREA	Business Processes	ASSESSMENT	Moderate
BASIS	The absence of a set of organization wide "quality of a call" metrics makes it difficult to evaluate the performance of the Contact Centre and to track progress towards achievement of a goal.		
RECOMMENDATION 1			
311 Management should aggregate the quality evaluation of CSR calls to create a series of performance metrics that would provide information on the level of quality achieved by the organization and to monitor and report on those metrics to ensure the level of quality is maintained or improved.			

MANAGEMENT RESPONSE	
Agree. The Division is currently in the process of revamping its quality assurance program. We recognize that more detailed trending at the organization level could assist in identifying specific training needs and process improvements. Reducing the amount of categories on scorecards allows for more consistent call scores and identification of trends. 311 will be providing monthly reports to both team leads and management sharing information on team and centre achievements.	
IMPLEMENTATION DATE	1st Quarter, 2015

RISK AREA	Business Processes	ASSESSMENT	High
BASIS	Service standards need to be affordable. Maintaining an unaffordable service standard but not increasing the funding or implementing measures, such as an increased use of IVR can create unrealistic service level expectations from citizens.		
RECOMMENDATION 2			
We recommend 311 Contact Centre management develop a report for consideration of Council to revisit the performance target of 80% of calls answered within 30 seconds with a mind to revising it to a more realistic target consistent with what the City can afford. The revised target should consider exploring areas where service efficiencies can be gained through the expanded use of IVR and modifications to the hours of operations.			

MANAGEMENT RESPONSE	
Agree. A report will be prepared for the consideration of Council to revisit the performance target of 80% of calls answered within 30 seconds to a more realistic target based on current resources. Inter- jurisdictional benchmarking will take place and will be incorporated within the report. 311 will also explore expanded use of IVR technology and develop a report for consideration of Council.	
IMPLEMENTATION DATE	2nd Quarter, 2015

4.2 Service Level Agreements (SLA)

Issue

- Does the 311 Contact Centre have adequate Service Level Agreements in place with the main City departments who receive services?

Conclusions

- There are currently no Service Level Agreements (SLA) in place with City departments.

Analysis

- SLAs are formal agreements between a party providing a service (311) and those receiving it (departments). SLAs typically contain the following:
    - The responsibilities of each party
    - The level of service required for each party
    - How costs are charged back to the Department or SOA
    - Dispute resolution procedures
    - Access, roles, and responsibilities related to departmental data and systems
- We found that the current service level agreements in place did not have any of the above components. They were simply service standards for the delivery of department services with no reference to the service the 311 Contact Centre is to provide to the department.
- The current approach is to have a less formal (partnership) type of arrangement with the departments with no formal documentation of service expectations or how costs are charged for “extra” services.
- We noted from our survey and interviews with departments that this arrangement has been working well to date in most departments. The 311 Contact Centre has been responsive to departments needs and been able to arrive at equitable chargebacks for service demands above the normal expectations (e.g. the roll-out of the new garbage bins) and for reductions of fees when the services provided have been reduced due to demand (e.g. golf services registrations). A formal chargeback process based on service level demands was not originally envisioned when 311 was created.
- We noted other City services such as Information Technology and Human Resources use SLAs as a standard practice.
- SLA are a leading practice and 311 contact centres in other major cities such as Toronto, Vancouver and Edmonton have all been instructed to implement SLAs. We were unable to confirm that any City has fully implemented SLAs at the time of this report.

RISK AREA	Business Processes	ASSESSMENT	Moderate
BASIS	Misunderstandings can occur regarding the level of service and in areas of responsibility between departments and the 311 Contact Centre that can negatively impact service delivery.		

RECOMMENDATION 3
We recommend that the 311 Contact Centre work with departments to establish formal Service Level Agreements which would include the following: o *The responsibilities of each party* o *The level of service required by each party* o *How costs are charged back to the Department or SOA* o *Dispute resolution procedures* o *Access, roles, and responsibilities related to departmental data and systems*

MANAGEMENT RESPONSE
Agree. The Department will develop and implement formal Service level agreements with each department. Formal Service level agreements are in place for other CSS responsibilities including IT and HR services. 311 will work with departments to implement something similar.

IMPLEMENTATION DATE	4th Quarter, 2015

4.3 Privacy

Issue

- Does the 311 Contact Centre have sufficient policies, processes, and practices in place to ensure compliance with FIPPA?

Conclusions

- With respect to sections 36(1) (Purpose of collection of information), 36(2) (Limit of amount of information collected), and 37(1) (Manner of collection) we believe the 311 Contact Centre does have the necessary processes, policies and practices in place to ensure it is in compliance with this section of FIPPA.
- With respect to section 37(2) (Individual must be informed) we do not believe the 311 Contact Centre has the necessary practices in place to ensure its compliance with this section of FIPPA.

Analysis

- The Freedom of Information and Protection of Privacy Act (FIPPA) governs the manner in which the City collects, uses, and stores personal information.
- The 311 Contact Centre is the citizens' primary point of contact with the City. The Contact Centre is responsible for collecting the necessary personal information to ensure that requests are dealt with in a complete and prompt manner.
- City staff responsibilities with respect to FIPPA are addressed through hiring and training practices. The 311 website does alert users that it will only collect the information necessary to process your request and that the information is protected by the same level of security as all information used by the City of Winnipeg.
- We reviewed a sample of scripts that involved the collection of personal information and found the amount of personal information requested appeared reasonable for the request being made.
- The current scripting and procedures used by the 311 Contact Centre does not always include the required notification of the individual prior to collecting personal information which potentially exposes the City to being in violation of FIPPA.

RISK AREA	External	**ASSESSMENT**	Low
BASIS	Violation of FIPPA could result in fines and could erode citizens' confidence in the City's ability to adequately protect their personal information.		
RECOMMENDATION 4			
We recommend 311 Management continue to review scripts to ensure all are in compliance with FIPPA.			
MANAGEMENT RESPONSE			
Agree. 311 will continue to review all scripts to ensure compliance with FIPPA requirements.			
IMPLEMENTATION DATE	Ongoing		

4.4 Human Resource Management

Issue

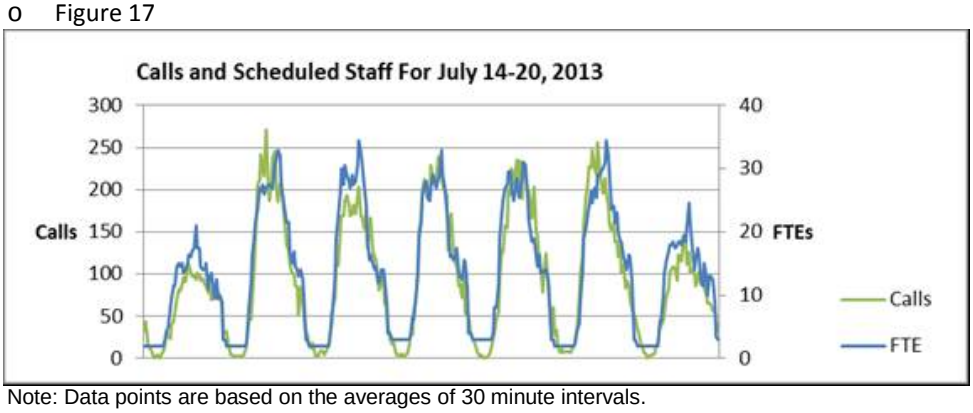
- Is the 311 Contact Centre managing its human resources effectively and efficiently?

Conclusions

- The 311 Contact Centre is managing its human resources effectively and efficiently.

Analysis

- Hiring and Training
  - All applicants are required to complete a screening test where they must achieve a minimum score and then successfully pass a police background check before they are hired.
  - There is a five week training period which covers all 311 services areas.
- Scheduling
  - Call volumes correlate highly with staffing levels with the exception being during overnight shifts where a minimum staff of two is required for safety and operational purposes.
  - Figure 17



Note: Data points are based on the averages of 30 minute intervals.

  - We examined a sample of days where the wait time exceeded five minutes (between January 2009 and September 2013 this occurred 51 times or approximately 3% of the time) and noted the management response to these events. The response typically included a combination of increasing staff and the use of IVR. It appeared reasonable given available resources.
- Performance Management
  - Each CSR is formally evaluated monthly based on:
    - Performance statistics such as schedule adherence and how long they take between calls (call wrap up).
    - Sample of 5 calls are reviewed for quality.
    - Interpersonal and professional conduct.
  - There is no formal or documented performance evaluation of more senior staff. However, informal performance evaluation takes place on an ongoing basis and a more formal process is planned for introduction in 2014.
- Turnover and Absenteeism
  - Turnover and absenteeism are significant issues within the contact centre industry.
  - The 311 Contact Centre has implemented an attendance management program to

reduce potential absenteeism. Average sick hours for the staff of the Contact Centre in 2012 was 10 hours lower than the City average for all CUPE staff despite call centers typically having higher absenteeism.

- 311 Contact Centre turnover is higher than the City average, as expected due to higher turnover rates of contact centres.
- Industry bench marks indicate that below 20% is considered low turnover for a contact centre.
- In 2012 the turnover rate fell below 20% for both full time and part time staff. The turnover rates have been decreasing as the operation matures. A significant source (approximately 1/3 of the total) of turnover is internal transfers within the City of Winnipeg to other departments. CSRs are a "Clerk A" one of the lowest pay scales in the CUPE collective agreement; other positions within the City offer an increased wage and an opportunity to advance. Additionally, CSRs are highly screened, trained and experienced making them strong candidates for many positions within the City. However, in accordance with a CUPE letter of understanding a 311 CSR is required to work one year with the 311 Contact Centre before applying to another department.

Figure 18

Turnover Rates			
Year	City Avg	311 Full Time	311 Part Time
2009	1.4%	23.6%	40.7%
2010	1.5%	16.3%	29.6%
2011	1.6%	16.9%	23.7%
2012	1.6%	10.9%	17.1%

- Succession Planning
  - All positions have a formal succession plan in place and some positions (311 Manager and Workflow Analyst) have had staff in acting positions to ensure there is a continuity of service should any of the management or supervisor positions ever be vacant.

RISK AREA	Human Resources	ASSESSMENT	Moderate
BASIS	Formal and documented performance evaluations are a critical part of human resource management that clearly sets objectives and expectations. Additionally, it creates verifiable documentation in case of a disagreement.		
RECOMMENDATION 5			
We recommend that the 311 Contact Centre use the City performance evaluation framework to formally document the performance evaluation of all staff, including senior staff.			
MANAGEMENT RESPONSE			
Agree. The 311 Contact Centre will use the City performance framework to formally document the performance evaluation of all staff including senior staff. Currently, performance evaluations are undertaken for all CSRs. Consistent with this practice, performance evaluations will be conducted on the remainder of staff.			
IMPLEMENTATION DATE	4th Quarter, 2015		

4.5 Redundant and Unnecessary Service Requests

Issue

- Is the process for creating service requests effective and efficient?

Conclusions

- Overall process for creating service requests is efficient and effective.
- In a limited number of instances service requests that are created by the Contact Centre are redundant or unnecessary.

Analysis

- The process for creating service requests is managed through the scripts that the respective departments and the Contact Centre create for the use of CSRs. The CSRs use these scripts to assist in determining when a service request should be created. In general we found this process to be effective.
- Redundant and unnecessary service requests do not occur frequently, but do create two issues identified by departments that need to be continually monitored.
    - Multiple service requests occur where one issue can generate multiple service requests. The Contact Centre does have tools in place to minimize this (prerecorded messages and logging of location), but these do not prevent all the multiple service requests from occurring.
    - Service requests are being created contrary to direction provided on the script. The Contact Centres acknowledges this occurs in circumstances where callers insist on receiving a service request number. A special queue is created for these types of requests. This is coded as a Policy Concern and its intent is to provide departments with information about citizens' concerns about current policies. The request is used as information only by the departments and is closed once it is read. Departments are not required to respond to these requests.
    - We suggest the use of this queue be expanded in these circumstances and that callers are informed that this is an information only queue and are reminded of the service standards in place.

RISK AREA	Business Processes	ASSESSMENT	Moderate
BASIS	Additional work needing to be performed by the departments as there are more requests than necessary increasing costs and causing unnecessary delays in service.		
RECOMMENDATION 6			
We recommend that Contact Centre management continue to work with their own staff and departments to further refine processes to identify and group multiple service requests.			
MANAGEMENT RESPONSE			
Agree. The Contact Centre will continue to work with our staff and departments to refine processes and group multiple service requests. However, the number of incidents is minimal, less than 1%, and therefore needs to be measured and tracked in perspective of total service requests.			
IMPLEMENTATION DATE	Ongoing		

4.6.1 Completeness and Accuracy of Call Data

Issue

- Is the information collected by the 311 Contact Centre complete and accurate?

Conclusions

- To verify that the current system continues to collect complete and accurate information, it should be tested periodically to ensure it is operating as intended.

Analysis

- The third party software package is seen as an industry leader for contact centres.
- The Contact Centre relies on this software to ensure that all calls are recorded.
- We examined the call database and noted that there is no sequential identifier; instead the software assigns a random unique number to each call. The lack of sequential identifier does not allow us to ensure that all calls received within a specific time period are contained within the database. As a result 311 management must rely on the system controls to ensure completeness and accuracy of call information.
- We tested the application and all test calls we performed were properly recorded.
- The 311 Contact Centre stated that they have always been able to retrieve all calls required.
- Some calls made on certain cellular phone carriers, VOIP and blocked numbers do not have their phone numbers recorded. We were informed by the information technology staff that the CRTC does not grant access to these phone numbers and is beyond their control. This increases the work required to retrieve phone calls as they cannot always be identified by the caller's phone number.
- The Contact Centre management is aware of this limitation and is comfortable with the risk due in part because a significant compensating control is that all calls are recorded so that if they have a date and time of a call, it can typically be found.

RISK AREA	Information Resources	**ASSESSMENT**	Low
BASIS	The Contact Centre relies on this software to ensure that all calls are recorded. This is an essential control within their operations. If a dispute arises, it will be more difficult to refute or confirm that an individual called 311 resulting in higher costs.		
RECOMMENDATION 7			
We recommend that the Contact Centre periodically test the application to ensure that the recording functionality is operating as intended.			
MANAGEMENT RESPONSE			
Agree. The 311 management team will periodically conduct formal tests of the recording software and document the results to ensure that the recording functionality is operating as intended.			
IMPLEMENTATION DATE	Ongoing		

4.6.2 Data Validation Controls

Issue

- Does the Contact Centre have adequate data validation controls over data entered into the system by Customer Service Representatives?

Conclusions

- Information entered into electronic forms by CSRs is not validated by the system before they are submitted and some fields that are mandatory can be submitted blank.

Analysis

- There are no controls in place to validate the data entered. For example, phone numbers are not verified by the system to ensure that they contain only numeric or the correct number of digits.
- We tested the validation controls over ten different electronic forms and in one instance we were able to submit a form with a blank mandatory field.
- From our discussions with departments and review of flow backs (flow backs arise when a service request generated by the 311Contact Centre is rejected by a department and it is sent back to the Contact Centre to be resolved) it was noted that during our review of a limited sample of flow blacks that some errors occurred that were easily preventable by data validation controls.

RISK AREA	Information Resources	ASSESSMENT	Moderate
BASIS	Accuracy of information received by departments is reduced resulting in preventable service delays. Decrease in level of service due to additional time required to resolve missing or erroneous information.		
RECOMMENDATION 8			
We recommend that electronic forms contain data validation controls to reduce the potential for errors and that they are reviewed to ensure that mandatory fields are functioning as required.			

MANAGEMENT RESPONSE	
Agree. This issue has already been addressed in the recent LAGAN upgrade to version 13R1 in July 2014.	
IMPLEMENTATION DATE	Completed

PERFORMANCE MANAGEMENT SYSTEM

5.1 Financial Performance Management

Issue

- Are there adequate processes in place to manage the financial performance of the 311 Contact Centre?

Conclusions

- There are adequate processes in place to manage the 311 Contact Centre's financial performance but the reported costs of the 311 Contact Centre do not include Information Technology related costs.

Analysis

- Information Technology related costs of $451,227 are currently included in Corporate Support Services budget but not included in the 311 Contact Centre Service based budget. These costs specifically relate to salary and benefits of IT staff for application services and data services related to 311, software licenses and maintenance agreements for the two main systems ININ and LAGAN and the dedicated PRI (Primary Rate Interface) phone lines that carry voice and data for 311. These costs represent 13.3% of the total budget costs and by not including them in the Service based budget results in an understatement of the true costs of providing the 311 service. We did note that these costs are captured in Corporate Support Services budget which is the department responsible for providing 311 services.
- Overall the 311 Contact Centre has operated within Budget for 2009 to 2012.
- The budget process is primarily top-down where guidance is given on budget targets each year and the 311 Manager is expected to make necessary changes to meet the target and maintain service level which is challenging given the expanding scope of services offered by the 311 Contact Centre.
- The 311 Manager has provided options to more efficiently utilize staff resources that would involve restricted hours of operation, that are consistent with other Canadian municipal call centres such as Vancouver (7am – 10pm), Ottawa (7am - 7pm), Montreal (8:30 am - 8:30 pm) and Halifax (7am - 11pm). These options have not been adopted.
- Expenses have come in under budget in four of the five years of operations. Monthly actual to budget expenses are monitored on a monthly basis and any significant variances are investigated and actions are taken to correct the underlying cause or mitigate the effect of the budget variances when necessary.
- Large variances in overtime expenditures, both over and under the budget amount, have occurred from 2009 to 2011. The 311 Manager indicated that overtime is very difficult to budget for because it is primarily dependent on external events, such as major weather events, or a roll out of a new city service or other events not within their control. We noted that the occurrence of periods of excessive overtime can be traced to a specific event and 311 management will make every effort to recover the over expenditures if resulting from a departmental issue.

RISK AREA	Business Processes Financial Resources	ASSESSMENT	Low
BASIS	The true costs of providing the 311 service are not transparent and may result in incorrect decisions regarding the cost effectiveness of providing the 311 service.		
RECOMMENDATION 9			
We recommend that management include the Information Technology related costs when reporting on the total costs of providing the 311 service.			
MANAGEMENT RESPONSE			
Agree. IT costs can be directly allocated to the cost of the Contact Centre. However, it should be pointed out that the costs have been transparently reflected in the departmental operating budget. As the positions belong to Business Technology Services, the cost centre has been reflected in that Division.			
IMPLEMENTATION DATE	2nd Quarter, 2015		

5.2 Operational Performance Management System

Issue

- Is there an effective performance management system in place to monitor the results achieved by the 311 Contact Centre against operational goals and target service levels?

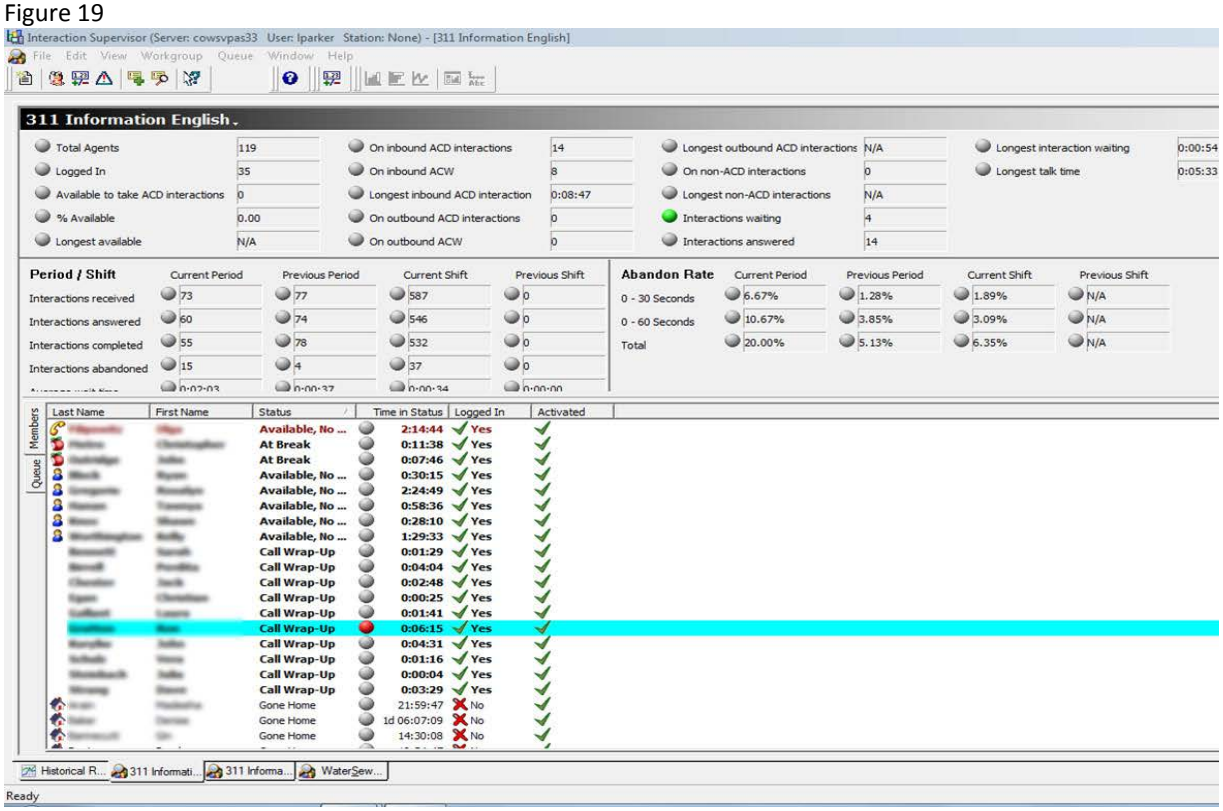
Conclusions

- The 311 Contact Centre provides adequate performance management information to departments to monitor their progress against targeted service levels.
- The 311 Contact Centre does maintain a well-established performance management system to monitor results achieved in comparison to operational goals and targeted service levels.
- The 311 Contact Centre does track and monitor some industry accepted efficiency measures on a regular basis, other measures are either not tracked or seen as not applicable to a public sector 24/7 based operation.

Analysis

- Contact Centre management have access to a large number of performance reports and a dash board (see Figure 19) with key performance information which is actively monitored daily and acted upon when the performance indicators highlight a potential problem.

Figure 19



- Management monitors the “floor” (the room where the CSRs answer the calls) to address any concerns brought to their attention from a review of the dashboard

information.

- Management does not typically perform trend analysis of the performance information contained in the reports or dashboards, focusing more on a “real time” view of the operation.
- The dashboard information available to the management team provides sufficient information to effectively manage the day to day performance of the 311 Contact Centre.
- Leading performance reporting practices for call centres indicate that call centres focusing on quality of service monitor the following measures:
  - Effectiveness
    - Service Level vs ASA (Average Speed of Answer)
    - First Contact Resolution
    - Abandon Rate
    - Customer Satisfaction
  - Efficiency
    - Cost per Minute
    - Occupancy Rate
    - Utilization Rate
- First Contact Resolution and Customer Satisfaction are primarily monitored and reported on a daily basis. The lack of a trend analysis limits the insight to be gained into improvements in the effectiveness of the 311 service.
- The 30 and 60 second abandon rates are monitored “real time” on the dashboards of management; there is limited formal analysis of this measure. Trend analysis of this measure could be used to monitor occupancy and utilization rates at different times of the day and establish standards to measure against.
- Management does not maintain and review all of the recommended efficiency measures. They indicate that occupancy rates and utilization rates are more applicable to call centres that do not operate on a 24/7 environment where utilization rates vary considerably based on the time of day. We believe this information is important to assess the effectiveness of their scheduling and can also help further demonstrate the potential need for additional staff during peak hours or to support a decision to curtail service hours.
- Management does review cost per interaction (all channels) versus cost per minute because they feel it better represents the costs associated with all channels of communication with the centre.
  - management provide timely and useful reporting to departments and will customize the reports to better suit their needs. This level of customization can be seen in reports such as the weekly Snow Removal Damaged report which is a weekly report showing damage from snow removal.
- The Call Centre publishes limited performance data. The information that is published is done annually through the Adopted Operating Budget. We noted that the City of Toronto’s 311 publishes monthly performance data on their 311 website. Toronto 311 reports on Service Level, Service Request by Department, First Call Resolution, Calls Abandoned after 30 seconds and Average Speed of Answer.

RISK AREA	Business Processes	ASSESSMENT	Moderate
BASIS	An effective performance management system provides management with both current and trend information that can be used to assess service performance and identify areas for further analysis.		

RECOMMENDATION 10
We recommend management identify, analyze and report on key efficiency measures, enhance reporting on some effectiveness measures and benchmark against industry standards to assess performance of the 311 Contact Centre. Considerations should be given to publishing the information on their website quarterly.
ANAGEMENT RESPONSE
Agree. Performance based data will be published on winnipeg.ca monthly effective November 2014.

IMPLEMENTATION DATE	Completed

5.2.1 Department Performance Feedback

Issue

- Is there an effective process in place for departments to provide feedback to the 311 Contact Centre?

Conclusions

- In departments with open communication channels with the Contact Centre, the feedback system is functioning effectively and issues are being resolved in a timely manner.
- Departments that do not fully use the available communication channels do not have their issues raised and as a result they may not be addressed in a timely manner.
- A system is in place to track the feedback at the individual issue level but not at a higher level to identify trends.

Analysis

- The 311 Contact Centre departmental feedback system has two primary channels. A formal channel where flow-backs are sent if there is an error or issue with a specific service request which is documented within the Lagan system. Flow-backs arise when a service request generated by the 311 Contact Centre is rejected by the departments and it is sent back to be resolved by the Contact Centre. The other channel is more informal and consists of individuals in the departments contacting the Contact Centre directly.
- The more formal feedback process involving flow-backs is functioning effectively to the extent it is being utilized by departments. Some departments are utilizing it more and are satisfied with the results.
- A Lagan system report on open flow-backs is generated and reviewed daily to ensure issues are resolved.
- Flow-backs that need to be examined immediately can be entered into an Urgent Queue to ensure they are addressed in a timely manner.
- Recently Contact Centre management has implemented a tracker to identify trends in the reported flow-backs.
- Flow-back data is valuable to the Contact Centre and departments to identify areas to improve services, scripts and other processes.
- Between January 1, 2013 to September 22, 2013 there were a total 5,738 flow-backs out of approximately 1.12 million calls. This is approximately a 0.5% error rate which appears reasonable.
  - All but three of the reported flow-backs were closed; however we were unable to determine the close date from the report.
- We noted through our interviews of department staff that fully utilized the flow-back system that they were satisfied with the level of service received from the 311Contact Centre.

RISK AREA	Information Resources	ASSESSMENT	Moderate
BASIS	311 information processes are not reviewed and improved to prevent errors that are repeated resulting in a potential decrease in service level to departments and citizens.		
RECOMMENDATION 11			
We recommend Contact Centre management continue to implement and further develop their high level analysis of flow-backs that can identify trends in relation to individuals, departments and types of errors.			

MANAGEMENT RESPONSE	
Agree. We recently improved our process by tracking all flow backs in an access database. This has allowed us to trend flow back types, create SLA's and provide and track coaching to all 311 Lagan users. With the new process, we can identify how long it takes 311 staff to correct errors, to look for process improvements to prevent errors, and to work with departments to improve their backend processes.	
IMPLEMENTATION DATE	Completed

5.2.2 Citizen Feedback and Complaints

Issue

- Is there an effective process for handling citizen complaints?

Conclusions

- Processes for follow-up of complaints, while good, needs to be enhanced, specifically with respect to the reporting of the status of complaints.
- Contact Centre management does not conduct a comprehensive Customer Satisfaction Survey**.**

Analysis

- The 311 Contact Centre gets citizen feedback from a number of sources:
  - Website - Citizen Satisfaction Survey.
  - 311 Call - either a call is made to specifically make a complaint or the citizen will make a complaint at the end of an in-progress 311 call.
  - Department Directors office - complaint is made to Department Director and is forwarded to the Contact Centre usually via email.
  - Mayor's Office - complaint is made to Mayor's office and forwarded to the Contact Centre for follow-up.
  - Social Media (City Facebook page or City Twitter account) – 311 management monitor content and discussion threads to highlight any potential service issue(s).
  - Written – letters forwarded to the Contact Centre by mail.
  - 311 App - sent by email.
  - Face to face – at 510 Main.
- Management has established practices in place to triage the received complaint and ensure it is forwarded to the appropriate level of staff in order to address the complaint in a timely manner.
- The practices for addressing complaints are informal, but are clearly understood by all 311 staff involved in the process.
- Management deals with issues/complaints as soon as feasible and treats them with a high priority.
- If a significant issue is raised by a department then Contact Centre management is either directly contacted or copied on correspondence which allows them to stay informed. 311 Management does not rely on periodic complaint reports; instead they focus on direct contact with City department staff.
- Formal analysis of complaints to identify trends is not being performed consistently. However, based on their collective experience 311 management is aware of the more common complaints and what is being done to address them.
- The complaint status report, while not used extensively by 311 management, did provide for the following observations:
  - There are multiple instances of the same complaint.
  - The most common complaints included: long wait times, the need to hire more staff and incorrect transit information being provided.
  - The complaint status report for citizen complaints does not provide sufficient information to properly assess the status of the complaint as it does not classify by type, clearly identify that the complainant was notified (if required) and if and how the

complaint has been resolved.

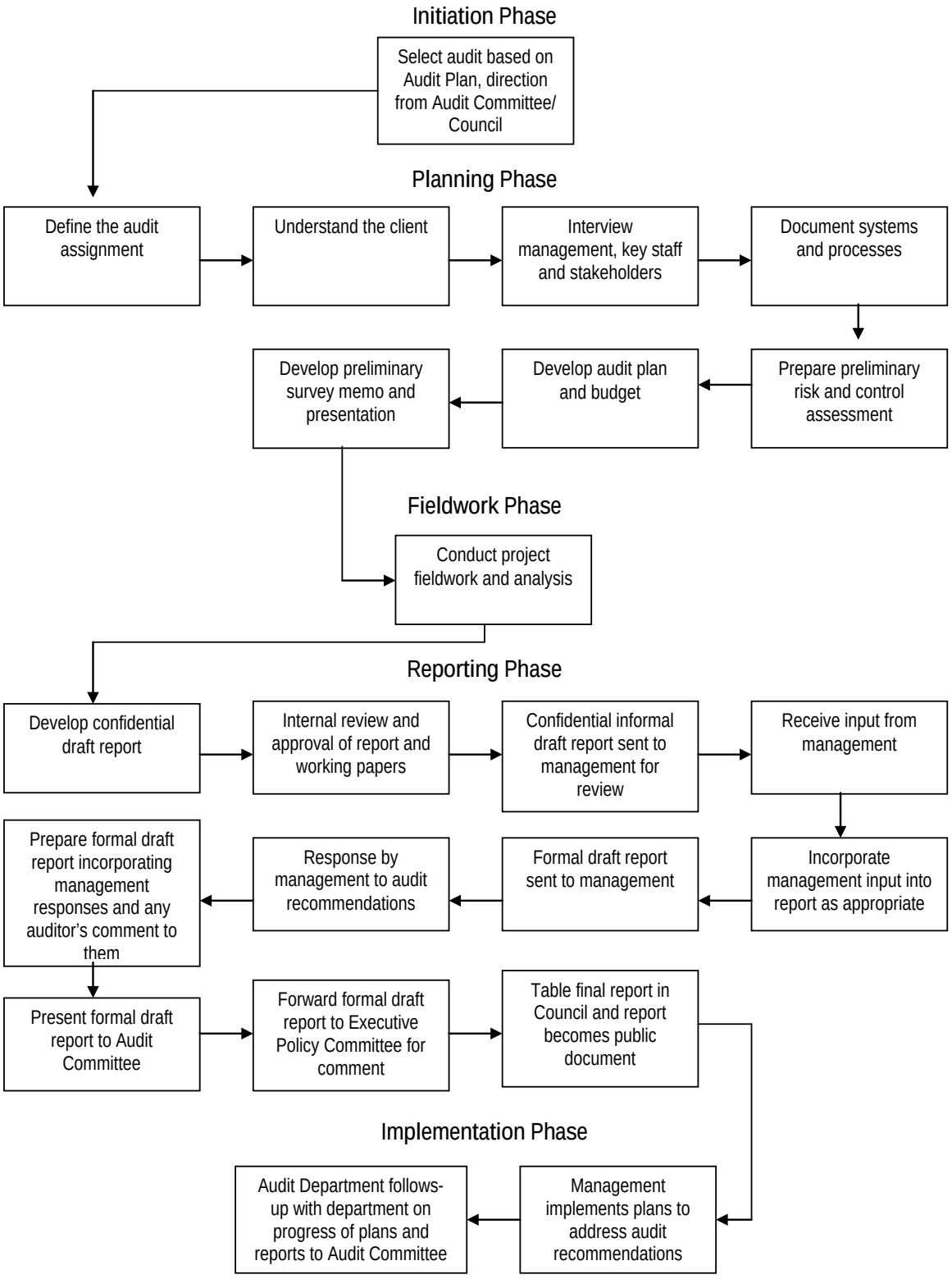
- Customer Satisfaction Survey on the 311 website was not used often and completed forms were usually incomplete limiting the usefulness of the information
- The Citizen Satisfaction Survey completed annually for the City of Winnipeg has limited value to the operations of 311 as it contained only one 311 related question: "How satisfied are you with the City's 311 Contact Centre?" (81.8% rated as somewhat satisfied to very satisfied in 2013)
- Toronto's 311 Centre conducted a Customer Satisfaction Survey of 500 individuals who called 311 within the last 48 hours. The survey asked nine questions and the results were posted on their website.

RISK AREA	Information Resources	**ASSESSMENT**	Moderate
BASIS	Unresolved complaints could go undetected negatively impacting service. Also difficult for management to identify trends in complaints (i.e. type of complaint, 311 employee involved, external contractor involved, time to resolve, etc.) in order to improve systems.		
RECOMMENDATION 12			
We recommend management revise the complaint status report to include the following information at a minimum: o *classification of the complaints by type* o *only one instance for each complaint (currently there are multiple instances for each complaint (typically 3) which represents each time there was action taken on the file (i.e. transfer, resolve)* o *Fields that indicates whether the complaint has been resolved, by whom, and/or the nature of the resolution, if the complainant has been notified (explanation if not), expanded details about the complaint and what specifically was done to address the issue.*			
MANAGEMENT RESPONSE			
Agree. The complaint service request process will be revised to capture the required information. The leadership team will also commit to ensure all complaints are tracked in LAGAN providing a complete picture of the complaint or compliment ensuring accountability and transparency of this process.			
IMPLEMENTATION DATE	2nd Quarter, 2015		

RISK AREA	Information Resources	ASSESSMENT	Low
BASIS	Incomplete customer feedback mechanism could result in a failure to identify deficiencies in the systems performance.		
RECOMMENDATION 13			
We recommend management consider conducting a comprehensive Customer Satisfaction Survey to evaluate all aspects of 311 services.			

MANAGEMENT RESPONSE	
Agree. Options for conducting a comprehensive satisfaction survey will be considered. Depending on the mechanism adopted, there may be a financial implication that could require Council approval.	
IMPLEMENTATION DATE	4th Quarter, 2015

APPENDIX 1 – Audit Process



APPENDIX 2 – Summary of Recommendations

Focus Area	Rec. #	Recommendation
Key Goals	1	311 Management should aggregate the quality evaluation of CSR calls to create a series of performance metrics that would provide information on the level of quality achieved by the organization and to monitor and report on those metrics to ensure the level of quality is maintained or improved.
Service Standards	2	We recommend 311 Contact Centre management develop a report for consideration of Council to revisit the performance target of 80% of calls answered within 30 seconds with a mind to revising it to a more realistic target consistent with what the City can afford. The revised target should consider exploring areas where service efficiencies can be gained through the expanded use of IVR and modifications to the hours of operations.
Service Level Agreements	3	We recommend that the 311 Contact Centre management work with departments to establish formal Service Level Agreements which would include the following: o The responsibilities of each party o The level of service required by each party o How costs are charged back to the Department or SOA o Dispute resolution procedures o Access, roles, and responsibilities related to departmental data and systems
Privacy	4	We recommend 311 Management continue to review scripts to ensure all are in compliance with FIPPA.
Human Resource Management	5	We recommend that the 311 Contact Centre use the City performance evaluation framework to formally document the performance evaluation of all staff, including senior staff.
Redundant and Unnecessary Service Requests	6	We recommend that Contact Centre management continue to work with their own staff and departments to further refine processes to identify and group multiple service requests.
Completeness and Accuracy of Call Data	7	We recommend that the Contact Centre periodically test the application to ensure that the recording functionality is operating as intended.

Focus Area	Rec. #	Recommendation
Data Validation Controls	8	We recommend that electronic forms contain data validation controls to reduce the potential for errors and that they are reviewed to ensure that mandatory fields are functioning as required.
Financial Performance Management	9	We recommend that management include the Information Technology related costs when reporting on the total costs of providing the 311 service.
Operational Performance Management System	10	We recommend management identify, analyze and report on key efficiency measures, enhance reporting on some effectiveness measures and benchmark against industry standards to assess performance of the 311 Contact Centre. Considerations should be given to publishing the information on their website quarterly.
Department Performance Feedback	11	We recommend Contact Centre management continue to implement and further develop their high level analysis of flow-backs that can identify trends in relation to individuals, departments and types of errors.
Complaint Management	12	We recommend management revise the complaint status report to include the following information at a minimum: o classification of the complaints by type o only one instance for each complaint (currently there are multiple instances for each complaint (typically 3) which represents each time there was action taken on the file (i.e. transfer, resolve) o Fields that indicates whether the complaint has been resolved, by whom, and/or the nature of the resolution, if the complainant has been notified (explanation if not), expanded details about the complaint and what specifically was done to address the issue.
Citizen Feedback	13	We recommend management consider conducting a comprehensive Customer Satisfaction Survey to evaluate all aspects of 311 services.