



**Office of the Auditor General: Follow-up to the
2015 Audit of 3-1-1 Contact Centre, Tabled at
Audit Committee – June 14, 2018**

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Executive summary

The Follow-up to the 2015 Audit of 3-1-1 Contact Centre was included in the Auditor General's 2017 Audit Work Plan.

As part of a corporate re-organization in October 2016, the 3-1-1 Contact Centre was renamed the Call Centre Services branch. The Call Centre is open 24 hours a day, 7 days a week. It responds to over half a million calls per year and provides residents and elected officials with information about the City's programs. The key findings of the original 2015 audit included:

Notification to Councillors of emerging issues:

- Subject to a 3-1-1 caller's explicit approval to share personal information, details of Service Requests (SRs) are provided to the caller's Councillor via a Consent Report. To the extent callers do not provide approval, there will be gaps in the SR information appearing in Consent Reports hindering Councillors' ability to identify emerging issues.
- Call Centre agents did not consistently request the caller's email address and whether the caller agreed with sharing their personal information. Failure to make these requests decreases the amount of information provided to Councillors.

Quality Assurance Process:

- Call satisfaction is measured from the post-call surveys. Overall, most callers are satisfied with the service. However, there are periods when callers are less satisfied, and this information is not currently reported at ServiceOttawa's departmental management team meetings.
- The quality assurance process in place is adequate, where the Quality Assurance Analysts are listening and scoring calls taken by different agents. However, the call selection for the "listen-in" process is random with no weighting given to agents' past performance.

Service level for phone calls: calculation and reporting:

- The Call Centre's service level target is to answer 80% of calls within 120 seconds. This service target was not formally approved and no support was provided for why this service level was selected.

- Calls that are abandoned (hang-ups) within the first 120 seconds are treated as answered calls in the Semi-Annual Performance Report to Council, providing a potentially misleading view of performance.

Reporting of total number of requests for service:

- The process for compiling the information presented in the Semi-Annual Performance Report to Council was manual, time-consuming and prone to human error as it involves combining data from multiple systems. As a result, the figures presented in the Semi-Annual Performance Report to Council with regards to the service requests contained a number of small errors.

Service level for email requests:

- There are two different service levels for emails, one for the public (five business days) and another for the Councillors (two business hours). Neither of these service levels have been approved, and they were not regularly achieved in 2014.
- The vast majority of emails were responded to during business hours and are not assigned to agents working shifts outside of business hours. Agents working outside business hours may have had the capacity to respond to more emails and improve the response times.

Wait time management:

- Wait times have an impact on customer satisfaction and service level performance. During our 12 “listen-in” sessions, wait times varied from zero to 16 minutes. The Call Centre had no consistent practices nor written procedures with thresholds to manage the wait times on a continuous basis to ensure consistency of response.

Accuracy of the Knowledge Base – the City’s centralized source of information:

- Call Centre agents relied on a Knowledge Base that was expected to contain up-to-date and accurate information. There were specifically designated individuals who were assigned responsibility for ensuring this information was current and accurate. However, the audit identified instances where these individuals either did not have access to their assigned information or were not clear about which information they were responsible.
- A sample of information items tested by the audit team indicated that 60% of the items were inaccurate, not up to date or no longer needed.

Accuracy of the information provided to callers by Call Centre agents:

- Some callers needed to be transferred from 3-1-1 to the Social Services or the Tax and Water Billing and Collection call centre. However, 6% of all calls were transferred back to the Interactive Voice Response instead of directly to these other lines. This process results in a longer call.

Resource (staff) utilization:

- The Call Centre was not fully staffed in 2014 with a full time equivalent (FTE) vacancy rate of 10%. This may have been a factor contributing to overtime budget overspending in 2014 as well as sick leave days being higher than the average.
- The Call Centre had one unbudgeted casual position in 2014, however during the year, casual employees collectively worked hours that were equivalent to 3.7 FTEs. Therefore, the use of casual agents was not accurately reflected in the Call Centre Services' financial budget.
- The agents working the overnight shift (11:00 p.m. to 7:00 a.m.) may have been underutilized. They answered fewer calls per hour than the day shift, responded to fewer emails and processed only a limited number of death registrations.

Workforce Optimization software (WFO) and Citizen Services Management (CSM) system implementation:

- The audit identified opportunities to improve the system used by the Call Centre to capture and track service requests. For example, the system does not capture details of progress made toward resolving a request. Further, the system was observed, at times, to slow down and/or stop responding.
- The business case used to justify the 2013 purchase of software designed to improve service delivery was not adequately compelling to justify the project. The benefits set out in the business case were either "soft" (e.g. increasing customer satisfaction) or potentially measurable but without clear targets.
- There was a lack of rationale for selecting the service-delivery software solution that was purchased in 2013.
- There were delays in the implementation of the service-delivery software. Moreover, a number of expected benefits expected had yet to be realized including a lack of expected automation and integration with other systems.

The possibility of outsourcing the Call Centre:

- The 2007 Audit of 3-1-1 recommended investigation of the possibility of outsourcing the 3-1-1 Contact Centre, this had not been completed.

Table 1: Summary of status of completion of recommendations

| Recommendations | Total | Complete | Partially complete | Deferred to a future audit | No longer applicable |
|-------------------|-------|----------|--------------------|----------------------------|----------------------|
| Number | 34 | 27 | 3 | 1 | 3 |
| Percentage | 100% | 79% | 9% | 3% | 9% |

Conclusion

Management has made significant progress in fully completing 27 out of 30 recommendations that are still applicable.

Three of the 34 original recommendations are no longer applicable as they related to the Semi-Annual Report to Council, which has since been discontinued for all services with the exception of Fire, By-Law and Paramedic Services. Additionally, follow up of one recommendation relating to purchasing processes, contract approval requests, has been deferred for consideration for a future audit of procurement.

The three partially completed recommendations all relate to implementing improvements to the Citizen Services Management system used to support Call Centre Services. The CSM is the transaction-processing platform for all information requests, service requests as well as the Knowledge Base repository. Additional information regarding the status of each of three partially completed recommendations is detailed below.

The original audit found that although the City had purchased the email functionality with the CSM system, the legacy system was still used by Call Centre Services branch. As such, the audit recommended that the ServiceOttawa department investigate using the functionality in the CSM email module system to improve the handling of Call Centre emails. Our follow-up work found that while the legacy system continues to be used to handle emails, management is currently customizing the email functionality of the CSM system and is targeting full implementation for the end of Q1 2018, if certain vendor issues are resolved.

The original audit also recommended that management investigate the tracking of additional information on the status of service requests in the CSM system. Service requests for by-law services, parking, park maintenance, roads and traffic, solid waste, to name a few, can be entered online by residents through the ServiceOttawa portal or logged by Call Centre agents. At the time of the original audit, the status of a service request could be described only as “Open” or “Closed”. In many cases, this was not sufficient, and it was necessary for agents to contact the operating department to obtain more information about the service request’s status. Our follow-up work confirmed that greater status capability was implemented in two areas, Forestry and By-law Services, in Q4 2017. Management is anticipating the implementation of the improved status capability to additional groups by the end of Q2 2018.

Finally, the original audit recommended that the life-cycle management of Knowledge Base articles be automated. A plan has been put in place to implement the additional functionality by April 2018.

Acknowledgement

We wish to express our appreciation for the cooperation and assistance afforded the audit team by management.

Detailed report – Assessment of implementation status

The following information outlines management's assessment of the implementation status of each recommendation as of September 2017 and the Office of the Auditor General's (OAG) assessment as of February 2018.

Recommendation #1

Table 2: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department review with Councillors’ Offices the replacement of the Councillor Consent report with Open Data, which is currently available and/or solicit suggestions from Councillors’ Offices as to how to improve the usefulness and efficiency of the Councillor Consent report as well as topics of interest where Councillors would like more information.

Original management response:

Management agrees with this recommendation.

The Councillor Consent Report was created as part of the ServiceOttawa Program to improve the sharing of important ward and city-wide information to the public. The current format of the Consent Report was designed, at that time, to be imported into the Councillors’ Constituent Case management tool (ACT). As indicated by the audit, open data does not provide personal information to Councillors and as such cannot fulfill the information sharing requirement that Councillors find useful. In addition, the Consent Report is also comprised of information gathered as part of the online service request process, which does not require staff resources.

Management agrees that improvements to the open data reports currently available online and through the Councillors’ Portal would be beneficial to Councillors when looking at trends in call types and volumes both in their ward and across the city. ServiceOttawa will survey Councillors and provide results back to Council on the value of the continued use of the Councillor Consent Report in Q1 2016. ServiceOttawa will also review options for making 3-1-1 open data more user friendly to meet the needs of Councillors as part of the Open Data project by Q3 2016.

Management update:

On June 28, 2016, ServiceOttawa staff hosted a meeting with Councillors' Offices to review the Councillor Consent report and Open Data. ServiceOttawa also used this opportunity to solicit suggestions from Councillors' Offices on how to improve the usefulness and efficiency of the Councillor Consent report and to collect topics of interest where Councillors would like more information.

The Councillor Consent report gathers personal information including name and contact for residents placing service requests. As Open Data sets are posted publicly, they cannot include the personal information currently included in the Councillor Consent report. Therefore, it has been determined that ServiceOttawa cannot replace the Councillor Consent report with Open Data at this time.

Meetings with Councillors' Offices yielded seven (7) suggestions for improvements relating to Open Data, the Councillor Consent report and closed-loop systems in Lagan. ServiceOttawa staff have analyzed the seven (7) suggestions. Of the three (3) actionable suggestions, two are complete and the final, better visuals and easier filtering of metrics, will be resolved with the purchase of the Qlik data tool anticipated to be implemented by Q4 2017.

OAG assessment:

The actions as described in the management update are verified.

It was determined during the meeting on June 28, 2016, that it was not possible to replace the Councillor Consent report with Open Data because personal information, that Councillors need and that is currently in the Councillor Consent report, cannot be recorded in Open Data. However, other opportunities for improvement were identified as a result of the meeting. Two items related to specific information in the Councillors report, and the third related to better visuals and easier filtering of metrics was addressed through the purchase of data analytics tool, Qlik.

Recommendation #2

Table 3: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That, in addition to reviewing overall aggregate results from post call satisfaction surveys, ServiceOttawa department analyze more meaningful data elements to identify periods where scores are significantly lower (e.g. weekend, overnight) and make operational changes to improve customer service and satisfaction.

Management agrees with this recommendation.

Original management response:

Management agrees with this recommendation.

According to the audit's findings, during 2014, callers were satisfied or very satisfied with 3-1-1 service (scoring 87%). Satisfaction scores are one of over 50 operational and strategic measures the management team looks at regularly to inform service decisions and service improvements.

ServiceOttawa will conduct a detailed analysis of post call satisfaction surveys for 2014 to determine if there are any periods where scores are significantly lower and operational improvements can generate measurable impacts on client satisfaction, by Q2 2016.

Management update:

ServiceOttawa staff conducted a detailed analysis of post call satisfaction using 2015 data to determine if there were periods where scores are significantly lower. The analysis determined that lower satisfaction ratings were experienced in 2015 during:

- The month of June;
- Sundays between 1:00 and 5:00 a.m.;
- Wednesday off hours; and,
- The 6 a.m. hour.

The Client Operations Branch Management Team reviewed this analysis and has implemented the following operational adjustments aimed to improve satisfaction during these periods:

- Implemented an additional off-hours agent;
- Hired temporary summer students from May through August;
- Implemented a tiering pilot over the summer months;
- Tested a data management tool (Qlik) to support the identification of client satisfaction score slippage and, are in the process of acquiring it.

Management will continue to monitor client satisfaction on an ongoing basis and make operational adjustments as needed.

OAG assessment:

The actions as described in the management update are verified.

Management completed an analysis of post call satisfaction surveys and has taken steps to try to address periods where satisfaction was noted to be lower including adding a second agent and enhanced monitoring.

Recommendation #3

Table 4: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department establish a process to select agents for quality assurance evaluations based on both past-performance and ensuring full coverage of agents.

Original management response:

Management agrees with this recommendation.

The audit found that the quality assurance process is adequate and acknowledged that the team sessions used to ensure consistency, proper calibration, subjectivity, and scoring, as well as the post-call satisfaction surveys offered through the IVR is best practice.

Currently the selection of agents who are to be monitored is done randomly or is based on a request from a supervisor and is compared against a baseline quality score created at the onset of the quality program. The ServiceOttawa department will formally document the process to select agents for quality assurance based on past performance while ensuring full coverage of agents and the process for notifying Coordinators by Q1 2016.

Management update:

ServiceOttawa staff has developed a process, which is now a part of the Quality Assurance procedure, whereby staff are evaluated based on past performance of the previous months.

OAG assessment:

The actions as described in the management update are verified.

A process to evaluate Call Centre agents based on past performance has been implemented. The number of evaluations an agent receives during a month is based on the results of the evaluations from the prior month. According to the process, all agents are subject to evaluations and agents with lower scores are subject to a higher number of evaluations. The results of the evaluations are shared with team leads and Program Manager, Call Centre Services who action accordingly.

Recommendation #4

Table 5: Status

| Management update | OAG assessment |
|--------------------|----------------|
| Partially complete | Complete |

Audit recommendation:

That ServiceOttawa department conduct a detailed financial analysis of various service level standards for calls and for emails and seek formal approval from Senior Management and Council.

Original management response:

Management agrees with this recommendation.

Service levels are established considering client satisfaction balanced with the financial resources available within the municipality. These service standards are targets set by the municipalities based on their resourcing, call volumes and offered services to achieve a desired satisfaction threshold.

The 3-1-1 service was established in 2005. Performance against 3-1-1’s service standard has been reported to Council through the budget process and the Semi-Annual Performance Report to Council since 2006.

Being mindful of 2016 budget directions approved by Council on October 14, 2015, management will conduct a detailed financial analysis of various service level standards for calls and emails and will seek formal approval of the service level and associated budget from Senior Management and Council prior to budget in Q3 2017.

Management update:

ServiceOttawa has conducted an analysis of service levels and will present options to Council at the October 3, 2017 FEDCO meeting.

OAG assessment:

The actions as described in the management update are verified.

Management has established service levels for emails and calls, and the service levels were approved by Committee and Council in October 2017.

Recommendation #5

Table 6: Status

| Management update | OAG assessment |
|--------------------|----------------------|
| Partially complete | No longer applicable |

Audit recommendation:

That ServiceOttawa department report to Council and Senior Management on all wait times and abandoned calls and disclose how service levels are calculated in the Semi-Annual Report to Council. In addition, consult with Corporate Programs and Business Services department on what other measures would be useful to stakeholders.

Original management response:

Management agrees with this recommendation.

Reporting on 3-1-1 measures was established in 2006 based on available data and Council needs at that time. Management included how service levels are calculated in the Q2/Q3 2015 Semi-Annual Report to Council and will report wait times and abandoned calls in the Semi-annual Report beginning in Q1 2017.

Management will also consult with the Corporate Programs and Business Services department as to what other 3-1-1 related measures would be useful to stakeholders.

Management update:

As presented to FEDCO on February 2, 2016, ServiceOttawa has discontinued the semi-annual report to Council. ServiceOttawa has conducted an analysis of service levels and will present options to Council at the October 3, 2017 FEDCO meeting.

The Corporate Programs and Business Services department was queried on recommended reporting measures, but no suggestions were brought forward prior to the corporate re-organization.

ServiceOttawa also met with Councillors to review the Councillor Consent report and used the opportunity to solicit suggestions from Councillors’ Offices on other meaningful reporting measures (see recommendation 1).

OAG assessment:

The calculation of service levels was disclosed in the last Semi-Annual Performance Report (Q2 2015 and Q3 2015).

The service level calculation was also disclosed in the “2016 ServiceOttawa Performance Measurement” report tabled in October 2017 to Committee and City Council.

In March 2016, Council approved management’s recommendation to discontinue the Semi-annual Performance Report to Council¹.

¹ The March 2016 decision/approval was to discontinue its Semi-annual Performance Report to Council with the exception of Fire, By-Law and Paramedic Services who would continue to report to the Community and Protective Services Committee and City Council on a semi-annual basis.

Recommendation #6

Table 7: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department conduct a full analysis of abandoned calls, within and beyond the service level threshold, to support strong decision-making around resourcing and service level standards critical to the Contact Centre.

Original management response:

Management agrees with this recommendation.

ServiceOttawa will conduct an analysis of abandoned calls within and beyond the service level threshold using available data by Q1 2016.

Management update:

In 2015, ServiceOttawa staff completed an analysis of abandoned calls and a review of operational requirements. Given the fluid nature of a call centre operating model, daily analysis is conducted to address resourcing and service levels by examining metrics like periods of high volume and low performance. Abandoned calls have been declining in the last three years.

OAG assessment:

The actions as described in the management update are verified.

An analysis of abandoned calls and a review of operational requirements was completed. As a result of the analysis/review, it was recommended that modifications to the operational model (staffing and/or process) be made in order to better manage peak volumes. Analysis on resourcing and service levels is ongoing and adjustments are made accordingly.

Recommendation #7

Table 8: Status

| Management update | OAG assessment |
|-------------------|----------------------|
| Complete | No longer applicable |

Audit recommendation:

That ServiceOttawa department verify the accuracy of information provided to Council and that documentation of management’s review and approval be retained.

Original management response:

Management agrees with this recommendation.

The Semi-Annual Report to Council was developed in 2006 using multiple systems and manual processes. With the reduced use of legacy systems, ServiceOttawa will now report data from an identified single database source which will be provided to Council in future reports. Furthermore, as of Q3 2015, the source data, and management review and approval are being retained. Management considers this recommendation complete.

Management update:

Implementation of this recommendation is complete further to the original management response.

OAG assessment:

No longer applicable. As noted above in Recommendation #5, in March 2016, Council approved management’s recommendation to discontinue the Semi-annual Performance Report.

Recommendation #8

Table 9: Status

| Management update | OAG assessment |
|--------------------|--------------------|
| Partially complete | Partially complete |

Audit recommendation:

That ServiceOttawa department in collaboration with Information Technology Services investigate improvement to systems and processes used for handling 3-1-1 emails.

Original management response:

Management agrees with this recommendation.

Service requests received via email are now being processed in the Citizen Services Management (CSM) system. While 3-1-1 emails continue to be used by a very small segment of users, ServiceOttawa will forward the improvements related to email handling as user requirements to Information Technology Services (ITS), to investigate further email improvements that can be achieved through an upgrade of the current CSM system. These user requirements will be submitted to ITS by Q1 2016.

Management update:

ServiceOttawa Management, in collaboration with Information Technology Services (ITS), has completed an investigation of possible improvements to internal systems and processes used for handling 3-1-1 emails. As a result, ServiceOttawa implemented the R14V2 Lagan solution. User requirements were fully documented in Q1 2016, and the Lagan improvement was implemented in Q4 2016.

3-1-1 email augmentation is a customization module. This module has been implemented in a development environment and is in the testing phase. Feedback from testers will be used to make any necessary changes before production roll-out. Roll-out to production is anticipated in Q4 2017.

OAG assessment:

The Municipal Applications Partnership solution continues to be used to handle emails to the Call Centre. Management is currently customizing the email functionality of the CSM system in the development environment. Full implementation is targeted for the end of Q1 2019; however, this is dependant upon the vendor addressing issues with the email module. For example, testing found that when an email is forwarded (e.g. Councillor receives an email from a constituent and forwards it to the Call Centre) the information contained in the resident's original email is lost.

Recommendation #9

Table 10: Status

| Management update | OAG assessment |
|--------------------|----------------------|
| Partially complete | No longer applicable |

Audit recommendation:

That ServiceOttawa department report on email service levels as part of the Semi-Annual Performance Report to Council.

Original management response:

Management agrees with this recommendation.

Management recognizes that email service level is an important measure of client experience and as such, management agrees that email service level should be set and reported as part of the Semi-Annual Report to Council. Management will report the service level of 311@ottawa.ca in the Semi-Annual Report beginning in Q1 2017.

ServiceOttawa has established a specific internal operating method to support Councillor constituent work via an email channel separate from 311@ottawa.ca. As this method is an internal organizational process it will not be reported in the public Semi-Annual Report to Council.

Management update:

As part of the Council approved corporate re-organization and streamlining measures, ServiceOttawa has discontinued the semi-annual report to Council. ServiceOttawa has conducted an analysis of service levels and will present options to Council at the October 3, 2017 FEDCO meeting.

OAG assessment:

No longer applicable. As noted above, in March 2016, Council approved management’s recommendation to discontinue its Semi-annual Performance Report to Council.

Recommendation #10

Table 11: Status

| Management update | OAG assessment |
|--------------------------|-----------------------|
| Partially complete | Complete |

Audit recommendation:

That ServiceOttawa department conduct benchmarking with comparable Canadian municipalities in order to compare cost per call, cost per email, and other relevant measures to gain an independent perspective on performance and identify specific areas for improvement.

Original management response:

Management agrees with this recommendation.

The current process to compare metrics across municipalities is done through the Ontario Municipal Benchmarking Initiative (OMBI). At present, 3-1-1 services are not part of the reporting through OMBI. By Q1 2016, management will recommend to the Corporate Programs and Business Services department that 3-1-1 performance metrics be considered as part of the OMBI program.

Management update:

In Q1 2016, a formal request was sent to include 3-1-1 measures in OMBI benchmarking, however, OMBI declined to include these measures. ServiceOttawa recognizes the value in benchmarking against other municipalities. As such, a third party (MacLaren Consulting Inc.) was engaged to conduct a benchmark exercise. Findings are anticipated by the end of September 2017.

OAG assessment:

The actions as described in the management update are verified.

A benchmarking study of client services was prepared by MacLaren Consulting Inc. on behalf of ServiceOttawa in 2017. The benchmarking study included Toronto, Calgary, New York, Vancouver, Boston and Ottawa. The cost per email was not included in the report, and only one other city, Calgary, provided cost per call. Limitations with regards to the calculation of costs (e.g. direct costs only or direct costs plus a portion of overhead) per contact for the various channels was cited as the reason. While the report does not make specific recommendations of areas for improvements, it does provide information on leading practices for Ottawa to consider.

Recommendation #11

Table 12: Status

| Management update | OAG assessment |
|--------------------------|-----------------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department determine the most cost-efficient way to meet its email performance standards. Consider utilizing agents working periods with lower call volumes and training staff where required.

Original management response:

Management agrees with this recommendation.

ServiceOttawa recognizes that the email channel continues to be a service channel for a very small portion of 3-1-1 service users. With the implementation of the Workforce Management tool in the spring of 2015, management has the ability to definitively identify times of day and days in a week that can accommodate email processing. ServiceOttawa will develop a procedure that will direct emails to be processed during periods of lower call volumes by Q3 2016.

Management update:

ServiceOttawa continues to utilize the Workforce Management tool to identify periods of time where email management is best accommodated without impacting phone service. Fourteen active agents who meet the training qualifications criteria have been trained. These agents are allocated to e-mail responses as required in conjunction with phone service level needs. There is also one full-time overnight staff dedicated to email management and to support the second night person where call volumes dictate. ServiceOttawa will continue to train agents as part of ongoing operational training requirements.

OAG assessment:

The actions as described in the management update are verified.

Management completed an analysis of low call volumes, which identified the lowest call volume is between 12:00 midnight and 7:00 a.m. A review of the Email Management Procedures confirmed that primary responsibility for responding to emails is with overnight agents.

Recommendation #12

Table 13: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department establish a procedure for decreasing the wait times and assigning available Client Service Representatives to the phone during periods of high call volume.

Original management response:

Management agrees with this recommendation.

Call volumes at the 3-1-1 Call Centre are impacted by weather events such as snowfall and wind, seasonal trends such as spring thaws and program registration processes, and service delivery changes. Wait times on the phone are managed through the creation of a work schedule that considers daily and seasonal trends year-over-year and the financial envelope provided for the Client Operations Branch. The schedule is created using the new Workforce Management tool that was implemented in March 2015 based on historical and seasonal call trends. Decisions on managing daily wait times are made in real time based on the experience and judgement of the Senior Agents, Coordinators and the Branch Manager.

Management will establish a procedure that includes a set of criteria to guide the judgement of 3-1-1 management in managing wait times and assigning Client Service Representatives during periods of unanticipated high call volume by Q2 2016.

Management update:

ServiceOttawa Management has developed and implemented a Client Operations Peak Periods Procedure that includes a set of criteria to manage wait times and assign Client Service Representatives during periods of unanticipated high call volume. In 2017, so far, 167 calls have been handled by cross functional agents.

OAG assessment:

The actions as described in the management update are verified.

A Service Level Management Procedure (formally called Client Operations Peak Periods Procedure) has been established that includes a set of criteria for assigning work during periods of unanticipated high call volumes taking into account both wait times and various service levels.

Recommendation #13

Table 14: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department provide each SPOC with access to the Knowledge Base and advise them of every KBA related to the department for which they have responsibility.

Original management response:

Management agrees with this recommendation.

The Knowledge Base was part of the CSM development and implementation in 2011/2012 through the ServiceOttawa Program. Given the extensive scope of the activities required to create an enterprise Knowledge Base, the initial development consisted of converting existing sources of information directly into the Knowledge Base. The departmental responsibility for ensuring that articles are accurate and up to date rests with the department's identified point of contact (SPOC). Each SPOC will be provided a list of articles for which they are responsible and access to the Knowledge Base by Q4 2015.

Management update:

ServiceOttawa Management contacted individual departments in late 2015 requesting that departments review roles and responsibilities, confirm SPOCs, confirm that all KBAs are in English and French, and validate staff who should have access to the Knowledge Base.

This validation was repeated in January of 2017 to re-check staff access post-reorganizational changes and to ensure that the KBA process continues to be followed.

OAG assessment:

The actions as described in the management update are verified.

SPOCs have been given access to the Knowledge Base and are advised annually of the KBAs to be reviewed for their department.

Recommendation #14

Table 15: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department ensure that departments provide KWS with English and French versions of each KBA so they can be uploaded simultaneously or within a very brief timeframe.

Original management response:

Management agrees with this recommendation.

Primary responsibility for ensuring that articles are accurate and up-to-date rests with the department's identified point of contact (SPOC). ServiceOttawa will send a formal reminder to all SPOCs and department heads to ensure that they post articles in both official languages. ServiceOttawa will request that department heads confirm in writing that all knowledge articles are posted in French and English and are checked as part of their annual review process. This work will be completed by Q4 2015.

Management update:

As of January 2016, a process was implemented outlining that no new articles will be posted without both official languages. A Quality Assurance program will conduct random spot checks on a go forward basis to capture any historical articles that are not completed in both official languages.

OAG assessment:

The actions as described in the management update are verified.

The process for posting of KBAs has been updated and implemented. The process is comprised of five key steps including translation of the article in both languages, approval of the KBA by the SPOC in both languages, and finally, posting the KBA, in both languages.

Recommendation #15

Table 16: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa provide ongoing regular information sessions or other effective methods to increase awareness of the Knowledge Base and any other access available to Councillors’ Offices and/or City employees so they can obtain information directly.

Original management response:

Management agrees with this recommendation.

ServiceOttawa will develop a Knowledge Base e-learning module that will be posted on Ozone and the Councillors’ Portal. In addition, a briefing note will be added to the orientation materials for use when training new staff in Councillors’ offices by Q3 2016.

Management update:

On June 28, 2016, ServiceOttawa staff hosted a meeting with Councillors Offices where a review of the KB and its use was conducted with the assistants. ServiceOttawa provided an e-learning video tutorial on using the Knowledge Base and a tip sheet to support Councillors and their offices.

The Knowledge Base was later enhanced and re-launched. In response to these changes, the e-learning video tutorial and tip sheet were re-designed and updated on the Councillors’ portal in April 2017.

Furthermore, in September 2016, a quick reference user guide was added to the Councillors’ Office orientation materials for use when training new staff. This guide will be reviewed and updates will be provided as a part of the Council orientation preparation process for each term of Council.

OAG assessment:

The actions as described in the management update are verified.

Supporting tools for Councillors such as the e-learning video and quick reference guide have been established.

Recommendation #16

Table 17: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa review current access and usage of the Knowledge Base and reassign access where appropriate.

Original management response:

Management agrees with this recommendation.

ServiceOttawa is working with Information Technology Services to investigate improvements through the CSM upgrade project, which will implement a new Knowledge Base tool. Roles, responsibilities and access will be reviewed with each operating department by Q4 2016.

Management update:

In 2016, the Knowledge Base Coordinator reviewed all user access profiles. Those no longer requiring access were removed from the permissions list.

With the system changes now implemented, access to KBAs is provided to SPOCs and SMEs via a link. The link only permits viewing, not editing privileges ensuring the security of information. This access is restricted to City Network accounts only and, is terminated with network access termination.

OAG assessment:

The actions as described in the management update are verified.

A review of user access was performed during 2016. As part of the review, non-essential access was removed, and the access to edit, update and add functions was limited to four individuals: the Knowledge Base Coordinator and the three team leads.

Recommendation #17

Table 18: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department implement a formal process to review each KBA at least annually, as per the Writing Guideline for KBAs.

Original management response:

Management agrees with this recommendation.

Each SPOC will be provided a list of articles they are responsible for so that they can review and revise as required. ServiceOttawa will implement a formal annual review procedure by Q2 2016.

Management update:

ServiceOttawa’s annual Knowledge Base Review Process was developed and implemented in Q1 2016. Directional emails and information sessions for Single Points of Contact and Subject Matter Experts were provided to departments in March and April 2016. A validation exercise was conducted again in January of 2017.

Ongoing checks are in place to ensure KBAs are as accurate as possible:

- Coordinator of Channel Relationships regularly works with each departmental SME and SPOC to identify and correct problems,
- Knowledge Base Coordinator has committed to an annual review reminder process,
- Knowledge Base users, primarily 3-1-1 agents, identify articles that appear out of date or incorrect and escalate to the Coordinator of Channel Relationships for correction.

OAG assessment:

The actions as described in the management update are verified.

A process has been implemented to formally review KBAs on an annual basis. The Coordinator, Knowledge Base is responsible to identify and communicate all KBAs that require review and to monitor the progress of the reviews.

Recommendation #18

Table 19: Status

| Management update | OAG assessment |
|-------------------|--------------------|
| Complete | Partially complete |

Audit recommendation:

That ServiceOttawa department further automate the life-cycle management of the KBAs, including but not limited to, last reviewed date, assigning SPOCs and SMEs within the system, as well as system generated reports or other mechanisms to identify KBAs for review.

Original management response:

Management agrees with this recommendation.

ServiceOttawa will include the ability to automate the review notification process as a user requirement to Information Technology Services as part of the CSM upgrade project and, will provide departments with the required access to manage their own knowledge articles by Q4 2016.

Management update:

The current Knowledge Base system does not have automatic functionality. To resolve this, the Knowledge Base Coordinator has developed a tracking and notification process that identifies update due dates and the individuals responsible for each article. An RFP was released that included an automated process however the cost is prohibitive, consequently, staff will continue managing via a manual process.

OAG assessment:

The department responsible for each KB article has been identified, and the last review date of the article is now tracked by the KB Coordinator. Initially, management concluded that the KB application did not have the functionality to further automate the lifecycle management of the articles, using reports generated directly from the KB application to track and monitor the annual review of the articles. Upon further review, with the assistance of ITS, it was discovered that the system had greater capacity for automatic reporting than was previously known. A plan is in place to phase out the spreadsheet, currently used to monitor the annual KBA review process, and instead

utilize the reporting capability of the KB tool. This is targeted for completion by Q1 2018. Once implemented, this item would be assessed as complete.

Recommendation #19

Table 20: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department investigate the CSM system for any functionality that would allow KBAs to be more easily uploaded to the Knowledge Base and not cause hyperlinks to fail.

Original management response:

Management agrees with this recommendation.

ServiceOttawa will submit as a requirement, the ability to more easily upload articles to the Knowledge Base without breaking hyperlinks to Information Technology Services, who will work with the vendor to determine whether the upgraded version of CSM will meet the requirements. This will be completed as part of the CSM upgrade project by Q4 2016.

Management update:

In order to facilitate integration between the new Lagan upgraded system and the Knowledge Base, ITS developed an internal interface program. This interim solution has exceeded expectations and has addressed the uploading, hyperlink, freezing, slow down/stops and searching issues. Further enhancements will be taken into consideration for a future KB replacement.

OAG assessment:

The internal interface program developed by management has simplified the process of uploading new KBAs, and this has reduced the instances of hyperlinks breaking. While issues may still occur with hyperlinks during the upload, a step in the upload process includes a confirmation of working hyperlinks.

Recommendation #20

Table 21: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department ensure the practice of re-transferring callers to the IVR is discontinued.

Original management response:

Management agrees with this recommendation.

The audit identified specific incidents of transferring calls back to the IVR instead of transferring directly to the appropriate department. Management from the 3-1-1 Contact Centre have advised staff through a written communiqué that this transfer practice is not the appropriate transfer procedure within the call centre. Recent checks by the QA&CI branch have shown that this practice is no longer an issue. QA&CI will continue to monitor for this practice through their “listening in” program. Management considers this recommendation complete.

Management update:

Implementation of this recommendation is complete further to the original management response.

OAG assessment:

Although management has taken steps to significantly reduce the instances of transferring callers to the IVR, a review of an IVR transfer report from January 2018 identified that the practice is still happening. Management has stated they are committed to regular monitoring through semi-annual reporting, but taking into consideration issues such as staff turnover, it is unlikely to completely eliminate the practice. As part of the ongoing monitoring, team leads discuss directly with the agents who have been identified as transferring callers back to IVR. If the issue continues with the same agents, additional disciplinary measures will be taken.

Recommendation #21

Table 22: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department revisit the viability of allowing agents to access their WFM schedule remotely.

Original management response:

Management agrees with this recommendation.

Since the time of the audit, 3-1-1 has implemented the following functionality: forecasting schedules based on historical call volumes and trends; building schedules based on historical call trend identifying long and short-term unavailability of staff and implementing agents’ ability to book themselves off using the Verint tool. Currently staff cannot access this schedule remotely due to a security concern cited by the ITS department. ServiceOttawa will request reconsideration of the current decision by Q1 2016.

Management update:

ServiceOttawa, in partnership with Information Technology Services (ITS), has investigated the viability of allowing agents to access their WFM (Verint) schedule remotely. This investigation determined that the Verint system used by the City does not have the module required for this function. However, ServiceOttawa has created an effective workaround whereby when schedules are created or modified in Verint, the employee receives an email, which can be accessed remotely via the City’s W6 remote email portal.

OAG assessment:

The actions as described in the management update are verified.

The Workforce Management Data Analyst confirmed that the scheduling tool (Verint) does not have the functionality for agents to log in to the tool from outside the City's offices. Agents receive email notifications of a new schedule or of any change to an existing schedule through their work email account. When not at work, agents do have the ability to access their work email via the City's W6 remote email portal. In addition, agents have the option to receive these notifications to a personal email account.

Recommendation #22

Table 23: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department investigate if the WFM currently has the functionality required, and start using this (i.e. algorithm to populate lunch and breaks and flags to indicate unavailable agents) or evaluate the purchase of new functionality to automate processes (where benefits outweigh the costs).

Original management response:

Management agrees with this recommendation.

ServiceOttawa implemented the Workforce Management tool in March 2015 and trained a new Workforce Management Analyst. Now that WFM has been implemented, is functional and the Workforce Management Analyst has used the tool for six months, ServiceOttawa will build the business rules required to automatically assign breaks and lunches to agents by Q3 2016.

Management update:

ServiceOttawa’s Client Operations Management investigated the viability of using the WFM tool to schedule lunch and breaks and to add flags to indicate unavailable agents and determined that the WFM tool has the required capacity. The Workforce Management staff utilize this functionality in current scheduling operations.

OAG assessment:

The actions as described in the management update are verified.

The Workforce Management Data Analyst demonstrated that the functionality of the WFM tool to schedule lunches and breaks and indicate which agents are unavailable is being used.

Recommendation #23

Table 24: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department ensure that agents ask each caller for their email address and approval to share information with their ward Councillor; or, that they revisit the need for this report with Councillors, in conjunction with recommendation 1.

Original management response:

Management agrees with this recommendation.

Management, through a formal communiqué to agents, has reiterated the responsibility to ask each caller who is placing a service request if they wish to share information with the Councillor. Pending confirmation of the usefulness of the Council Consent Report, as per work to be done related to Recommendation 1, Quality Assurance will continue to monitor whether consent requests are being made. Management considers this recommendation complete.

Management update:

Implementation of this recommendation is complete further to the original management response.

OAG assessment:

The actions as described in the management update are verified.

The monthly quality assurance monitoring practices include an assessment of whether or not the agent asked the caller if they would like to provide their email address, and if so, if the email address can also be shared with their respective Councillor’s office.

Recommendation #24

Table 25: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department have an authorized individual document their approval of overtime in advance and create and implement a 3-1-1 overtime procedure.

Original management response:

Management agrees with this recommendation.

Client Operations branch has a combined overtime budget (3-1-1 and Client Service Centres) of \$38,000 per year. For 3-1-1, overtime is used to address urgent situations that impact service level. The overall compensation budget is managed through the creation of a work schedule based on available funded hours. The agent schedule is developed using the WFM tool and approved by the Coordinator in 3-1-1 every two weeks. The schedule is then reviewed daily by the Workforce Management Analyst and if necessary, the Coordinator of 3-1-1. The Coordinator of 3-1-1 determines if shifts will be filled (i.e. due to staff absence) or if additional shifts will be added (i.e. due to a weather event creating sustained high call volumes and significant degradation of service level) and provides verbal approval.

ServiceOttawa will develop a departmental overtime procedure to ensure there is documentation in accordance with corporate policy by Q1 2016.

Management update:

ServiceOttawa Management created a formal Allocation of Overtime Procedure, which was approved by the Departmental Management Team on November 10, 2015. This procedure is still in place.

OAG assessment:

The actions as described in the management update are verified.

ServiceOttawa has established an overtime procedure that outlines the requirements for approving overtime including the authority to approve overtime. The document notes that overtime is to be approved in advance, except in cases when preapproval is not feasible (e.g. emergency, public is at risk).

Recommendation #25

Table 26: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department complete a full review of their organizational structure and staffing strategies to ensure the most cost effective and efficient methods are used to deliver service. This would include capacity modelling and costing of staff mix alternatives in addition to ongoing scheduling decisions.

Original management response:

Management agrees with this recommendation.

Since the time of the audit, ServiceOttawa has used the new Workforce Management tool to develop the optimal schedule of FT, PT and casual employees based on historical call volumes and seasonal trends to meet the service level. Management is currently in the process of developing a staffing plan and management structure to support the schedule to the degree possible given its current FTE complement.

ServiceOttawa will review capacity using the workforce management technology to identify required hours of service and a costing to achieve the most efficient staff utilization within the terms and conditions of the collective agreement by Q2 2016.

Management update:

ServiceOttawa’s Client Operations Management completed a review of required hours of service and costing to achieve the most efficient staff utilization within the terms and conditions of the collective agreement. Management has now implemented changes to the staffing plan and management structure in support of the optimal schedule. Operational adjustments to the schedule will continue to be made on an ongoing basis to address operational demands.

OAG assessment:

Through the implementation of the WFM tool (Verint), a staffing model based on the budget allocation, target service levels and the requirements of the collective agreement was established to support the delivery of service. Management reviews the staffing mix (i.e. full-time, part-time and casual staff) on an ongoing basis, taking into account, not only service level targets, budget and collective agreements but also events that may affect the call centre volumes (e.g. Canada 150 or weather-related issues such as the flood of 2017) and makes adjustments as needed.

Recommendation #26

Table 27: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department adjust the number of unbudgeted FTEs within the casual pool to reflect more closely actual operational requirements.

Original management response:

Management agrees with this recommendation.

Since the time of the audit, ServiceOttawa has used the new Workforce Management tool to develop the optimal schedule of FT, PT and casual employees based on historical call volumes and seasonal trends to meet the service level. Management is currently in the process of developing a staffing plan and management structure to support the schedule to the degree possible given its current FTE complement.

ServiceOttawa will adjust the number of unbudgeted FTEs within the casual pool to reflect more closely actual operational requirements identified by the optimal schedule given 3-1-1’s current FTE complement by Q2 2016.

Management update:

Given the fluid nature of a call centre operating model, daily analysis is conducted to address resourcing and service levels by examining metrics like periods of high volume and low performance. Management utilize tools such as the Call Wallboard to identify and mitigate issues in order to best meet client needs. Operational adjustments to the schedule and reallocations of staff (including students and the casual pool) will continue to be made on an ongoing basis to meet operational demands.

OAG assessment:

As noted in OAG assessment of Recommendation #25, the Call Centre staffing mix is reviewed and analyzed on an ongoing basis to support the delivery of service.

Recommendation #27

Table 28: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department review the hours worked by casual agents and determine if, for some, this creates a part-time employee relationship and adjust their scheduling practices accordingly.

Original management response:

Management agrees with this recommendation.

Until March 2015, development and management of the schedule was done using Excel spreadsheets. Since the time of the audit, ServiceOttawa has used the new Workforce Management tool to develop the optimal schedule of FT, PT and casual employees based on historical call volumes and seasonal trends to meet the service level. Management is currently in the process of developing a staffing plan and management structure to support the schedule to the degree possible given its current FTE complement. As part of this exercise the hours worked by casual agents will be reviewed and if required scheduling practices will be adjusted by Q2 2016.

Management update:

ServiceOttawa’s Management, with the Workforce Analyst, review the use of casual employees on a bi-weekly basis as part of the scheduling process to ensure compliance with requirements of the collective agreement.

3-1-1 now utilizes the Workforce Management tool to identify peak periods and resource gaps and engages agents from the casual labour pool to fill these gaps as required.

OAG assessment:

As noted in OAG assessment of Recommendation #25, the Call Centre staffing mix is reviewed and analyzed on an ongoing basis to support the delivery of service.

Recommendation #28

Table 29: Status

| Management update | OAG assessment |
|--------------------------|-----------------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department conduct an analysis of workload during the evening and overnight shifts to determine if there is idle capacity and consider assigning additional workload.

Original management response:

Management agrees with this recommendation.

Since the time of the audit, ServiceOttawa has used the new Workforce Management tool to develop the optimal schedule of FT, PT and casual employees based on historical call volumes and seasonal trends to meet the service level. Management is currently in the process of developing a staffing plan and management structure to support the schedule to the degree possible given its current FTE complement and will assign additional workload (such as responding to emails) by Q2 2016.

Management update:

ServiceOttawa’s Client Operations Branch Management Team has analyzed workload and has shifted tasks to better use staff capacity. In accordance with the Client Operations’ new Peak Periods Procedure, primary responsibility for responding to 3-1-1 emails, and death registrations, has been reallocated to ServiceOttawa’s overnight shift as of January 10, 2016.

OAG assessment:

The actions as described in the management update are verified.

As noted in OAG assessment of Recommendation #11, management completed an analysis of low call volumes, which identified the lowest call volume is between 12:00 midnight and 7:00 a.m. It was confirmed that agents working during those times have primary responsibility for responding to emails and processing death registrations.

Recommendation #29

Table 30: Status

| Management update | OAG assessment |
|--------------------------|-----------------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa in collaboration with Information Technology Services investigate and address if the imposed limit of 10 results for searches is still required; the “find” function within a Knowledge Base article causes the system to stop responding; and, the CSM system slows down and stops responding.

Original management response:

Management agrees with this recommendation.

ServiceOttawa will forward the deficiencies identified by the audit: 1) Knowledge Base search limit, 2) freezing and, 3) the “find” function to Information Technology Services, to confirm if these deficiencies will be addressed as part of the CSM upgrade by Q1 2016.

Management update:

In order to facilitate integration between the new Lagan upgraded system and the Knowledge Base, ITS developed an internal interface program. This interim solution has exceeded expectations and has addressed the uploading, hyperlink, freezing, slow down/stops and search limitation issues. Further enhancements will be taken into consideration for a future KB replacement.

OAG assessment:

The actions as described in the management update are verified.

The OAG confirmed through testing that the limit of 10 results on a search has been eliminated.

Recommendation #30

Table 31: Status

| Management update | OAG assessment |
|--------------------|--------------------|
| Partially complete | Partially complete |

Audit recommendation:

That ServiceOttawa department in collaboration with operating departments investigate providing additional detailed status information in the CSM system.

Original management response:

Management agrees with this recommendation.

Service status is an important communication method to the public on service requests. Service status reporting was examined during the implementation of the CSM in the ServiceOttawa Program. Enterprise statuses were not implemented in the ServiceOttawa Program due to the technical and business transformation complexity in standardizing status reporting and integrating with multiple back end systems.

Management will refer the status investigation done to date through the ServiceOttawa Program to the Senior Management Committee for further consideration as part of the ServiceOttawa Program close-out process by Q2 2016.

Management update:

A recommendation to the Senior Leadership Team to consider implementing Enterprise status capability has been developed but has been delayed due to the City Manager’s organizational alignment.

SLT has identified this as a priority for 2017/2018. The project has been initiated under the Digital Service Strategy, to address service request statuses. The approach is to enhance high impact areas – initially Forestry and By-law, with first implementation scheduled for Q4 2017.

OAG assessment:

It was confirmed that greater status capability has been developed and implemented in two areas (i.e. Forestry and By-law Services) in Q4 2017. The status now allows a Call Centre agent to determine if action has been started to address the service request (e.g. service request is in progress). Management is anticipating the implementation of the improved status capability to additional groups by the end of Q2 2018.

Recommendation #31

Table 32: Status

| Management update | OAG assessment |
|-------------------|----------------------------|
| Complete | Deferred to a future audit |

Audit recommendation:

That the City document and disclose all key decisions and assumptions in Contract Approval Requests.

Original management response:

Management agrees with this recommendation.

Standard procurement practice, as per the Procurement By-law, was followed in that Verint was procured through an amendment to an existing competitively completed VoIP contract. Included in the Contract Approval Request (CAR) was an explanation for why the extension of the VoIP contract was the appropriate procurement vehicle and the rationale for the selection of Verint as the business solution. Accompanying the CAR was a business case outlining rationale for the WFO but not how the specific business requirements were achieved by the identified vendor. The CAR was approved by the ServiceOttawa Program Director, the Executive sponsor, Steering Committee Chair and Deputy City Manager of City Operations as well as appropriate resources within the Procurement branch. Management considers this recommendation complete.

Management update:

Implementation of this recommendation is complete further to the original management response.

OAG assessment:

The follow up of this recommendation is deferred to a future procurement audit. Due to the extent of audit procedures required to assure that CARs are sufficiently supported for decision-making purposes, this item is deferred and will be addressed in a future audit.

Recommendation #32

Table 33: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department implement the recommendations from the Communication Channel Integration Project Close-out report that are applicable to its ongoing operations and current projects.

Original management response:

Management agrees with this recommendation.

The CCI project was part of the ServiceOttawa program and the close-out report is pending final approval. Should there be recommendations that are directed to ServiceOttawa as part of the approved close-out report, they will be implemented accordingly.

Management update:

The CCI close-out report recommended that ServiceOttawa be identified as the business owner of the CSM suite of technologies. Through the project transfer agreement ServiceOttawa, in tandem with ITS, formalized ownership of various software packages. The agreement includes ServiceOttawa as the business owner and content manager of the Customer Service Management suite of software (UCCE, WFO etc.) with ITS acting as the administrator of vendor support agreements and technical support for the software/hardware issues.

OAG assessment:

The actions as described in the management update are verified.

The final report included two recommendations for ServiceOttawa. One related to ServiceOttawa providing centralized support and the other to establishing ownership of the CSM suite of technologies, both of which ServiceOttawa has addressed.

Recommendation #33

Table 34: Status

| Management update | OAG assessment |
|-------------------|----------------|
| Complete | Complete |

Audit recommendation:

That City Manager’s Office update the City’s project management methodology to require a review of all corporate applicable previous lessons learned in the initiation of all new projects.

Original management response:

Management agrees with this recommendation.

As part of the City’s project management methodology, staff are required to complete a set of mandatory project deliverables, one of which is a Project Close-out Report. One element of this report is the documentation of lessons learned from the project, including the capture of any formal recommendations from project post-mortem or lessons learned sessions. The City also has a Project Management Community of Practice, which has membership from all City departments, and regularly uses the forum to share knowledge and project successes, challenges and lessons.

The Corporate Programs and Business Services department will update the City’s project management methodology by Q2 2016 to require a review of all corporate applicable previous lessons learned in the initiation of all new projects.

Management update:

The City of Ottawa Project Management Methodology now includes direction to review lessons learned in the initiation of all new projects. As a supplement to information regarding lessons learned already contained in the Methodology, the following changes have been made:

- Project Management practitioners in all departments have been informed of this direction.
- The Project Management Framework (the guiding document for the methodology) contains direction in the “Planning” section as follows: “Before beginning a project, it is necessary to review any applicable lessons learned from previous projects.”

Follow-up to the 2015 Audit of 3-1-1 Contact Centre

- The corporate Project Charter Template contains direction for staff to review applicable lessons learned, reference prior projects in the charter, and ensure that lessons learned are a key input and output to the project.
- A lessons learned log template has been created, along with a sample of an appropriately captured project lesson.
- The City's Learning Centre has been advised of this requirement, and it will be included in the corporate standard project management training going forward.
- The Project Management Policy has been updated to reflect this new direction.

OAG assessment:

The actions as described in the management update are verified.

The City's Project Management Methodology now incorporates a review of lessons learned in the initiation phase of new projects.

Recommendation #34

Table 35: Status

| Management update | OAG assessment |
|--------------------------|-----------------------|
| Complete | Complete |

Audit recommendation:

That ServiceOttawa department investigate the possibility of outsourcing the 3-1-1 Contact Centre.

Original management response:

Management agrees with this recommendation.

Within Council's Strategic Plan for 2015-2018, Council has identified Phone and Counter service delivery as a priority. ServiceOttawa will explore alternative service delivery methods, one of which will be outsourcing, as part of a business case. Options will be recommended to Senior Management and Council as applicable based on findings by ServiceOttawa Management in the business case in Q4 2016.

Management update:

The possibility of Outsourcing the 3-1-1 Contact Centre was investigated as part of the 2015 Phone and Counter Business Case.

OAG assessment:

An outsourcing analysis was completed in February 2016, which included the results of the 2015 Phone and Counter Business Case. Although the analysis was performed at a high level, the conclusion was that outsourcing represents a significant saving opportunity for the City, and a more detailed analysis was recommended.

Table 36: Status legend

| Status | Definition |
|-----------------------------|--|
| Not started | No significant progress has been made. Generating informal plans is regarded as insignificant progress. |
| Partially complete | The City has begun implementation; however, it is not yet complete. |
| Complete | Action is complete, and/or structures and processes are operating as intended and implemented fully in all intended areas of the City. |
| No longer applicable | The recommendation is obsolete due to time lapses, new policies, etc. |