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Office of the City Auditor

Audit Report

**Audit of Management Services / 311 Customer
Service Center**

(Report No. A16-015)

September 16, 2016

City Auditor

Craig D. Kinton

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Executive Summary

The Management Services / 311 Customer Service Center (311) is an important component of the City of Dallas' (City) service delivery system. The 311 serves as a critical gateway for answering residents' questions and creating and routing service requests which are processed through the Citizen Request Management System (CRMS).

The internal control design assessment of 311 operations showed that 311 has various processes in place intended to uniformly address and accurately monitor residents' requests for services. For example, 311 has processes to: (1) establish Service Requests Service Level Agreement Goals (Service Requests SLA Goals) with service departments; (2) provide the City Manager's Office and service departments with reports to monitor the timeliness of service requests completion; (3) alert appropriate personnel about service requests that come due or have not been addressed timely; and, (4) maintain Knowledgebase, a searchable database, to assist 311 service agents in providing accurate and consistent information. Additionally, 311 provides new service agents with six weeks of classroom training, two to four weeks of on-the-job coaching, and periodic refresher training for different levels of 311 service agents.

Several opportunities to improve 311's effectiveness in uniformly addressing and accurately monitoring and reporting residents' service requests were identified. Specifically:

- Formal (written, approved, and dated) City-wide policies and procedures are not in place to ensure accountability over Service Requests SLA Goals. As a result, there is a risk that departments set Service Requests SLA Goals artificially high to increase the probability of achieving the targets.
- Certain monitoring controls are either not in place or are not adequate to ensure late service requests are properly addressed. As a result, the risk is increased that 311 or service departments may not address service requests in a timely manner.
- The 311 provides new service agents six weeks of training and periodic refresher training to ensure employees are knowledgeable; however,

Citizen Request Management System

The Citizen Request Management System (CRMS) records and routes residents' service requests to service departments.

Service Requests' Service Level Agreement Goals

Service Requests Service Level Agreement Goals (Service Requests SLA Goals) are the targeted number of days that a service department will complete and close 311 service requests.

Source: June 27, 2012 City Council Agenda, Addendum Item # 4; and, Office of the City Auditor

certain important operational activities are not documented in formal policies and procedures. Important operational activities include dispatch service agents' daily operational activities, quality assurance call monitoring, and the collection of 311 service feedback from service departments. As a result, 311 cannot ensure: (1) effective internal controls are in place and operating as intended; and, (2) 311 personnel are performing their duties consistently and accurately.

- The 311 does not have formal policies and procedures to: (1) develop formal training plans for 311 service agents; (2) analyze periodically the effectiveness of formal training and adjust accordingly; and, (3) identify individual refresher training needs and provide additional training as considered necessary. Without formal policies and procedures for training, there is an increased risk that 311 service agents will not have the necessary knowledge and skills to perform 311 services effectively and efficiently.
- Certain 311 departmental coordinators do not have CRMS access to complete the “Information Update Request” needed to efficiently process corrections or updates to information in Knowledgebase and / or the 311 website. As a result, operational inefficiencies exist because certain departmental coordinators must contact 311 and then 311 must process these corrections or updates manually.

**Information Update
Request**

“Information Update Request” is an internal service request type used to report incorrect information and / or telephone numbers in Knowledgebase and / or the 311 website.

Source: 311

We recommend the City Manager and the Assistant Director of 311 improve the effectiveness of 311 in uniformly addressing and accurately monitoring and reporting residents' service requests by addressing the recommendations made throughout this report.

The audit objective was to evaluate the effectiveness of 311 in uniformly addressing and accurately monitoring and reporting residents' service requests. The scope of the audit included 311 services¹ from October 1, 2013 through September 30, 2014; however, certain other matters, procedures, and transactions outside the period were reviewed to understand and verify information during the audit period. The audit was limited to an assessment of the design of internal controls over uniformly addressing and accurately monitoring and reporting residents' service requests.

Management's response to this report is included as Appendix VI.

¹ The audit scope excluded 311 services related to the Department of Dallas Water Utilities and the Department of Court and Detention Services.

Audit Results

Overall Conclusion

The Management Services / 311 Customer Service Center (311) is an important component of the City of Dallas' (City) service delivery system. The 311 serves as a critical gateway for answering residents' questions and creating and routing service requests which are processed through the Citizen Request Management System (CRMS).

The internal control design assessment of 311 operations showed that 311 has various processes in place intended to uniformly address and accurately monitor residents' requests for services. Several opportunities to improve these processes were identified. Specifically:

- Formal (written, approved, and dated) City-wide policies and procedures are not in place to ensure accountability over Service Requests Service Level Agreement Goals (Service Requests SLA Goals)
- Certain monitoring controls are either not in place or are not adequate to ensure late service requests are properly addressed
- The 311 provides new service agents six weeks of training and periodic refresher training to ensure employees are knowledgeable; however, certain important operational activities are not documented in formal policies and procedures
- The 311 does not have formal policies and procedures to: (1) develop formal training plans for 311 service agents; (2) analyze periodically the effectiveness of formal training and adjust accordingly; and, (3) identify individual refresher training needs and provide additional training as considered necessary
- Certain 311 departmental coordinators do not have CRMS access to complete the "Information Update Request" needed to efficiently process corrections or updates to information in Knowledgebase and / or the 311 website

Formal City-wide Policies and Procedures Are Not in Place to Ensure Accountability for Service Requests Service Level Agreement Goals

Formal (written, approved, and dated) City-wide policies and procedures are not in place to ensure accountability over Service Requests SLA Goals. Specifically, the City does not have formal policies and procedures that define:

- Roles, responsibilities, and accountability among 311 and City departments
- Process for establishing Service Requests SLA Goals including:
 - Criteria for Service Requests SLA Goals
 - Acceptable level of differences between targeted Service Requests SLA goal days² and actual service days (acceptable risk level)
- Process for periodically assessing Service Requests SLA Goals including:
 - 311's and the service departments' roles
 - Frequency (monthly, quarterly, semi-annually, annually, bi-annually) of the periodic assessment
 - Criteria for updated Service Requests SLA Goals
 - Required documentation

Service Requests Service Level Agreement Goals

Service Requests SLA Goals are the targeted number of days for a department to complete and close 311 service requests.

Source: Office of the City Auditor

As a result, there is a risk that departments set Service Requests SLA Goals artificially high to increase the probability of achieving the targets. For example, as shown in Table I on the following page, Service Requests SLA Goals for nine out of 21 samples for the most frequently requested service types are significantly longer than the actual service days to complete the service requests.

² According to 311's management, certain Service Requests SLA Goals are longer than the average actual service days to complete the service requests as a result of certain legal requirements. For example, in Fiscal Year (FY) 2013-14, service request type "Junk Motor Vehicle", Service Requests SLA Goal was 90 days even though the average number of days to complete this type of service request was 45.9 days. The service department determined that the 90-day Service Requests SLA Goal was needed to allow sufficient time to follow Texas Transportation Code requirements regarding owner notification. When the City issues a Junk Motor Vehicle Abatement Notice, the City must notify the owner in person and via certified mail, with a five-day return-receipt requested to all of the following interested parties: (1) the last known registered owner of the vehicle; (2) each lien holder of record of the vehicle; and, (3) the owner and occupant of the property on which the vehicle is located. A new notice must be reissued if the certified mail receipts have not been returned.

Table I

Comparison of Service Requests SLA Goals to Actual Service Days

Number	Service Request Type	SLA Goal Days ¹	Actual Service Days ²		SLA Goal Over Actual Service Days	
			FY 2015 ³	FY 2014	FY 2015 ³	FY 2014
1	Substandard Structure	120	27.6	41.9	92.4	78.1
2	Street Repair – Routine	90	11.1	19.6	78.9	70.4
3	Graffiti Private Property – Residential / Commercial	50	2.9	10.1	47.1	39.9
4	Graffiti Abatement Request	30	6.2	1.6	23.8	28.4
5	Obstruction Alley / Sidewalk / Street	45	18	20.3	27	24.7
6	Animal – Loose	25	7.1	4.8	17.9	20.2
7	Recycling – Roll Cart	7	2.3	2.1	4.7	4.9
8	Garbage Roll Cart – Residential	7	2.4	2.2	4.6	4.8
9	Signs – Public Right of Way	5	0.7	1	4.3	4.0

Notes: ¹ SLA goal days are for Fiscal Year (FY) 2014 through April 2015.

² Actual service days represent actual average service days.

³ FY 2015 represents FY 2015 year-to-date through April 2015.

Source: Office of the City Auditor analysis based upon the service request performance reports published on the City's website and data provided by 311.

According to Administrative Directive 4-09 (AD 4-09), *Internal Control*, each department is required to establish and document a system of internal control procedures specific to its operations, mission, goals, and objectives. The AD 4-09 requires each department to establish the internal controls in accordance with *The Standards for Internal Control in the Federal Government by the Comptroller General of the United States* (Green Book). The Green Book identifies established policies and procedures as a control activity needed to manage risk. Also, the Green Book states management should establish and operate monitoring activities to monitor the internal control system and evaluate the results.

Recommendation I

We recommend the City Manager ensures City-wide formal (written, approved, and dated) policy and procedures are developed and implemented that define:

- Roles, responsibilities, and accountability among 311 and City departments
- Process for establishing Service Requests SLA Goals including:
 - Criteria for Service Requests SLA Goals
 - Acceptable level of differences between targeted Service Requests SLA goal days and actual service days (acceptable risk level)
- Process for periodically assessing Service Requests SLA Goals including:
 - 311's and the service departments' roles
 - Frequency (monthly, quarterly, semi-annually, annually, bi-annually) of the periodic assessment
 - Criteria for updated Service Requests SLA Goals
 - Required documentation

Please see Appendix VI for management's response to the recommendation.

Certain Monitoring Controls Are Either Not in Place or Are Not Adequate to Ensure Late Service Requests Are Properly Addressed

Certain monitoring controls are either not in place or are not adequate to ensure late service requests are properly addressed. As a result, the risk is increased that 311 and departments may not address service requests in a timely manner. Specifically:

- E-mail escalations for dispatch service request types with emergency priority levels are not consistently setup in the CRMS³ as follows:
 - Fifty-one of 55, or 93 percent, of dispatch service request types with an emergency priority level are not configured to send automatic e-mails to assigned personnel responsible for monitoring the status of service requests
 - The process 311 used to determine the appropriate e-mail escalation configuration status with service departments is not formally documented
- Since the CRMS upgrade in August 2013, e-mail escalations for the majority of service request types are not routed properly to department directors, Assistant City Managers, and the City Manager
- The Monthly Executive Summary Report for Late 311 Service Requests was not prepared for 23 months (July 2013 through May 2015)

Monitoring Controls

- **Automatic e-mail escalations** in the CRMS notify: (1) the assigned department managers and assistant directors prior to the Service Requests SLA Goals due dates; and, (2) the department directors, Assistant City Managers, and, ultimately, the City Manager after the Service Requests SLA Goals due date.
- **Executive Summary Report for Late 311 Service Requests:** These reports: (1) summarize the statistics for late 311 service requests by service departments, Assistant City Managers, and City Managers; and, (2) are primarily used by the City Manager's Office for monitoring whether or not service departments completed residents' service requests timely.
- **Service Request Performance Reports:** These reports summarize the City's top 311 service requests volumes and status, including the number of service requests that are created and closed on time by City service area and Council District.

Source: 311 and the Office of the City Auditor

³ The CRMS was developed by Motorola Solutions, Inc. and is used by 311 to: (1) log and document service requests; and, (2) electronically route those service requests to the City departments responsible for fulfilling the requests.
Source: June 27, 2012, City Council Agenda, Addendum Item # 4.

- The Monthly Service Request Performance Report was not prepared for approximately 13 months (July 2013 through June 2014 and for August 2014)

According to 311's management:

- E-mail escalations for 51 dispatch service request types with emergency priority levels are not necessary because these dispatch services are urgent in nature and are usually addressed in a timely manner; however, "Service Request Performance YTD by City Service Area – September 2014" indicated that not all dispatch services were closed in a timely manner. For example, for Fiscal Year (FY) 2013-14, 748 of 11,739, or six percent, service request types for "Animal – Loose Aggressive" were not closed on time. The decision as to whether a service request type should be configured for e-mail escalations is made jointly by 311 and the relevant service departments; however, there is no formal documentation of these decisions.
- Automatic e-mail escalations were not properly routed because of a "bug" in the CRMS which the vendor is currently working to address in the latest system upgrade
- During the course of the audit, the Monthly Executive Summary Report and the Monthly Service Request Performance Report were corrected and are now prepared as scheduled

According to the Green Book, management should establish and operate monitoring activities to monitor the internal control system and evaluate the results. Additionally, management should remediate identified internal control deficiencies on a timely basis.

Recommendation II

We recommend the Assistant Director of 311:

- Reviews with applicable service departments the e-mail escalation configuration for all dispatch service request types with emergency priority levels and formally documents the basis for not using automatic e-mail escalation in CRMS
- Ensures the system errors are properly corrected in the CRMS system to ensure e-mail escalations are properly routed to responsible personnel

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- Develops and implements a formal monitoring process to periodically ensure configured e-mail escalations are properly routed to responsible personnel
- Prepares late service requests reports and service request performance reports as scheduled

Please see Appendix VI for management's response to the recommendation.

Certain 311 Practices for Important Operational Activities Are Not Documented in Formal Policies and Procedures

The 311 provides new service agents six weeks of training and periodic refresher training to ensure employees are knowledgeable; however, certain important operational activities are not documented in formal policies and procedures. Important operational activities include:

- Dispatch service agents' daily operational activities, such as: (1) reviewing assigned dispatch services requests; (2) contacting and dispatching service crews; (3) updating the dispatch activity status; and, (4) closing out the dispatched service requests or forwarding the requests to applicable service departments / units for further processing
- Formal quality assurance call monitoring documentation requirements (signed, dated Call Monitoring Forms and Coaching Forms) and the expected consistency of this documentation
- Customer service feedback frequency and the information 311 collects from service departments and subsequent follow-up actions taken to address service departments' concerns

As a result, 311 cannot ensure: (1) effective internal controls are in place and operating as intended; and, (2) 311 personnel are performing their duties consistently and accurately.

According to AD 4-09, each department is required to establish and document a system of internal control procedures specific to its operations, mission, goals, and objectives. The AD 4-09 requires each department to establish the internal controls in accordance with Green Book which identifies established policies and procedures as a control activity needed to manage risk. Specifically, management:

- Documents in policies for each unit its responsibility for an operational process's objectives and related risks, and control activity design, implementation, and operating effectiveness
- Defines policies through day-to-day procedures, depending on the rate of change in the operating environment and complexity of the operational process
- Communicates to personnel the policies and procedures so that personnel can implement the control activities for their assigned responsibilities

- Reviews policies, procedures, and related control activities periodically for continued relevance and effectiveness in achieving the entity's objectives or addressing related risks

Recommendation III

We recommend the Assistant Director of 311 develops and implements formal (written, approved, and dated) documented policies and procedures for important operational activities, such as dispatch service agents' daily operational activities, quality assurance call monitoring, and the collection of 311 service feedback from service departments.

Please see Appendix VI for management's response to the recommendation.

Opportunities Exist to Improve Training

The 311 does not have formal policies and procedures to: (1) develop formal training plans for 311 service agents; (2) analyze periodically the effectiveness of formal training and adjust accordingly; and, (3) identify individual refresher training needs and provide additional training as considered necessary.

The 311 currently provides: (1) new agents with six weeks of classroom training and two to four weeks of on-the-job coaching; and, (2) periodic refresher training for different levels of 311 service agents. Nevertheless, according to the results of the Dallas 311 Customer Service Center Business Operations Survey⁴ (see Table II below and Appendix II – Section II. Dallas 311 Customer Service Center Business Operations Survey on page 20), opportunities to improve training exist.

Table II

Summary of Training Program Survey Responses

Survey Excerpts	Percentage of Respondents Who Answered the Survey					
	New Agent Training Program			Refresher Training Program		
	Agree or Strongly Agree	Neutral	Disagree or Strongly Disagree	Agree or Strongly Agree	Neutral	Disagree or Strongly Disagree
Training needs are well analyzed and identified	57	20	23	53	20	27
Training objectives are well defined to address needs	57	23	20	48	21	31
Training programs are well designed to achieve objectives	57	18	25	50	29	21
Overall training programs are well developed and provide agents with the knowledge to succeed*	50	30	20	48	17	34

Note: *This is a separate survey question; therefore, the percentage calculation for this question is not a percentage average of the questions related to 311 training.

Source: Office of the City Auditor analysis of 311 Customer Service Center Business Operations Survey results.

⁴ Office of the City Auditor judgmentally selected and surveyed 51 311 service agents to obtain their feedback related to various 311 operational processes. Thirty of the 51, or approximately 59 percent, of the selected personnel responded to the survey.

Without formal policies and procedures for training, there is an increased risk that 311 service agents will not have the necessary knowledge and skills to perform 311 services effectively and efficiently.

According to the *Green Book*, personnel need to possess and maintain a level of competence that allows them to accomplish their assigned responsibilities. Management should enable individuals to develop competencies appropriate for key roles, reinforce standards of conduct, and tailor training based on the needs of the role.

Recommendation IV

We recommend the Assistant Director of 311 develops and implements formal (written, approved, and dated) policies and procedures to:

- Develop formal training plans for 311 service agents
- Analyze periodically the effectiveness of formal training and adjust accordingly
- Identify individual refresher training needs and provide additional training as considered necessary

Please see Appendix VI for management's response to the recommendation.

Limited Access to the Customer Service Request for “Information Update Request” Creates Operational Inefficiencies

Certain 311 departmental coordinators do not have CRMS access to complete the “Information Update Request” needed to efficiently process corrections or updates to information in Knowledgebase and / or the 311 website (see textbox). Specifically, 21 of 26, or 81 percent, of the judgmentally sampled 311 departmental coordinators from ten major departments do not have this CRMS user application access.

As a result, operational inefficiencies exist because certain departmental coordinators must contact 311 and then 311 must process these corrections or updates manually. According to 311, limiting access to certain 311 departmental coordinators was an unintentional oversight.

According to the *Control Objectives for Information and Related Technology* (COBIT)⁵, managing user identity and logical access ensures that all users have information access rights in accordance with their business requirements and coordinate with business units that manage their own access rights within business processes.

Knowledgebase

“Knowledgebase” is a searchable information repository that contains information about Service Requests, City services in general, frequently asked questions, and other helpful hints for users. The information may be a link to a webpage or a document that is stored in CRMS.

Information Update Request

“Information Update Request” is an internal service request type used to report incorrect information and / or telephone numbers in Knowledgebase and / or the 311 website.

Source: 311

Recommendation V

We recommend the Assistant Director of 311 establishes appropriate CRMS user application access for 311 departmental coordinators to complete the “Information Update Request”.

Please see Appendix VI for management’s response to the recommendation.

⁵ “COBIT is a leading framework for the governance and management of enterprise information technology.”
Source: Information Systems Audit and Control Association

Appendix I

Background, Objective, Scope and Methodology

Background

The City of Dallas (City) Management Services / 311 Customer Service Center (311) provides direct access for residents requesting City services and information 24 hours a day, seven days a week.

311 Responsibilities

The 311 is responsible for:

- Responding to customer inquiries and entering requests for non-emergency services (311 Services)
- Providing the Department of Dallas Water Utilities' billing and payment assistance, as well as starting and stopping water services
- Providing the Department of Court and Detention Services information about ticket payments and court dates

Methods for Requesting 311 Services

Residents may request a City service by:

- Dialing 311 (or 214-670-3111)
- Completing an online request form
- Using the Dallas 311 mobile application via an iPhone or Android smartphone
- Twitter@311Dallas

Source: 311

- Dispatching field crews to service locations for urgent services (main breaks, traffic signals out, aggressive dogs, etc.)

Major 311 Service Departments

Major 311 service departments are: (1) Department of Code Compliance; (2) Department of Dallas Fire-Rescue; (3) Dallas Police Department; (4) Department of Equipment and Building Services; (5) Department of Park and Recreation (6) Department of Public Works; (7) Department of Sanitation Services; (8) Department of Street Services; (9) Department of Sustainable Development and Construction; and, (10) Trinity Watershed Management.

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Common 311 Service Request Types

The City’s ten most common 311 service request types for Fiscal Year (FY) 2014-15 include requests for High Weeds, Litter, Garbage Roll Cart – Residential, Dead Animal Pickup, Recycling – Roll Cart, Garbage – Missed, Obstruction Alley / Sidewalk / Street, Signs – Public Right of Way, Animal – Loose, and Bulky Trash Violations.

Adopted Budgets and Service Information Survey

Table III below shows the FY 2013-14, FY 2014-15, and FY 2015-16 Adopted Budgets and service information related to 311.

Table III

**Selected 311 Adopted Budgets and
Calls / Service Requests Information**

Adopted Budget	FY 2013-14	FY 2014-15	FY 2015-16
Expenditures	\$ 5,698,467	\$ 6,211,103	\$ 6,544,687
Total Number of Full Time Equivalents	103	103.5	103.3

Calls / Service Requests	FY 2013-14	FY 2014-15	FY 2015-16¹
Total Number of Calls Handled by 311 Customer Service Center ²	904,983	973,909	683,497
Total Number of 311 Service Related Calls Handled by 311 Staff	413,245	472,762	283,456
Total Number of Service Requests Created for 311 Services by 311 Staff	202,319	220,621	160,131
Total Number of Service Requests Radio Dispatched by 311 Dispatchers	79,505	83,736	19,943

Source: City of Dallas Annual Budgets for FY 2013-14 and FY 2014-15 and 311

Notes: ¹ Information as of June 30, 2016.

² This number includes calls related to 311 services, Department of Court and Detention Services, and Department of Dallas Water Utilities.

Objective, Scope and Methodology

This audit was conducted under the authority of the City Charter, Chapter IX, Section 3 and in accordance with the Fiscal Year 2014 Audit Plan approved by the City Council. The audit objective was to evaluate the effectiveness of 311 in uniformly addressing and accurately monitoring and reporting residents' service requests. The scope of the audit included the evaluation of 311 services⁶ from October 1, 2013 through September 30, 2014; however, certain other matters, procedures, and transactions outside the period were reviewed to understand and verify information during the audit period. The audit was limited to an assessment of the design of internal controls over uniformly addressing and accurately monitoring and reporting residents' service requests. This performance audit was conducted 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 findings and conclusions based on our audit objective. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objective.

To achieve the audit objective, we performed the following procedures:

- Reviewed the following documents:
 - Certain 311 documents, including the organization chart, FY 2013-14, FY 2014-15, FY 2015-16 Adopted budgets, and policies and procedures
 - *The Standards for Internal Control in the Federal Government* issued by the Government Accountability Office
 - Administrative Directive 4-09, *Internal Control*
- Researched best practices such as *Control Objectives for Information and Related Technology*
- Interviewed and requested information from 311 and the Department of Code Compliance, the Department of Sanitation Services, the Department of Communication and Information Services, and the Department of Street Services
- Conducted walkthroughs of 311 service requests intake and radio dispatch processes

⁶ This excludes services related to the Department of Dallas Water Utilities and the Department of Court and Detention Services.

- Designed and evaluated the following surveys:
 - Dallas Customer Service / 311 Non-Emergency Services Satisfaction Survey (see Appendix III on page 22)
 - Dallas 311 Customer Service Center Business Operations Survey (see Appendix IV on page 26)
- Assessed the internal control design for service requests processing; 311 training, reviewing and updating Service Requests Service Level Agreement Goals; monitoring and reporting service requests performance; and, reviewing 311 customer service quality controls

Appendix II

Summary of Surveys

I. Dallas Customer Service / 311 Non-Emergency Services Satisfaction Survey

As part of the Audit of Management Services / 311 Customer Service Center (311), the Office of the City Auditor (Office) conducted a survey of 20 judgmentally selected City of Dallas (City) personnel who represent ten major 311 service departments to obtain their feedback regarding 311 services in the following areas:

- Service departments' satisfaction level with 311 services
- Roles, responsibilities, and expectations among 311 and service departments
- Effective ways to clearly define the roles, responsibilities, and expectations of 311 and service departments, such as a written service level agreement

Fourteen of the 20 selected personnel, or 70 percent, responded to the survey; however, not all respondents answered all survey questions. The survey results show that:

- Eighty-six percent of the respondents are very satisfied or somewhat satisfied with the overall 311 services; 14 percent are neither satisfied nor dissatisfied.
- Roles, responsibilities, and expectations among 311 and service departments are more clearly defined in some areas than others
- Eighty-six percent of the respondents consider a written service level agreement as an effective way to clearly define roles, responsibilities, and expectations among 311 and service departments. Fourteen percent consider a written service level agreement not necessary either because the department only uses 311 services as an interim service solution or currently the department is working well without an agreement.

II. Dallas 311 Customer Service Center Business Operations Survey

The Office conducted a survey of 51 judgmentally selected 311 customer service agents to obtain feedback related to the 311 training program, quality assurance program, and customer service request process. Thirty of the 51, or approximately 60 percent, of the selected personnel responded to the survey. The survey results show that:

- Fifty percent of the respondents consider the overall training program for new agents effective; 48 percent consider the refresher training effective
- Sixty-two percent of the respondents consider the six weeks of classroom training for new agents the appropriate length of time while 38 percent consider it is too short
- Seventy-seven percent of the respondents consider the two to four weeks of on-the-job coaching for new agents as the appropriate length of time while 17 percent consider it is too short; and, six percent consider it too long
- Seventy-eight percent of the respondents consider the overall quality assurance program effective; 22 percent consider it ineffective
- Twenty-six percent of the respondents believe inaccurate service requests are caused primarily by: (1) inadequate or inaccurate Knowledgebase information; (2) lack of operational procedures / step-by-step guidelines are not available for reference; and, (3) required flex notes (marked with asterisks) are not answered, but service requests can be generated

Appendix III

Dallas Customer Service / 311 Non-Emergency Services Satisfaction Survey

What the survey is about: The purpose of this survey is to assess the satisfaction with services provided by the 311 Customer Service Center (311).

Who has to complete the survey: The selected department directors and 311 departmental coordinators are *solely responsible* for completing the survey and should not defer the responsibility to someone else.

Why the department has to complete the survey: The survey is part of a performance audit of Customer Service 311 / Non-Emergency Services. The survey will help auditors understand service departments' satisfaction level with 311 services.

How to complete the survey: Complete the survey by responding to each question and include any comments or documentary evidence (if necessary) to support your comments. The survey should be signed and dated by the person who completed the survey.

When: The deadline is **Friday, June 19, 2015**. We will send the selected personnel a reminder on June 17, 2015 to assist in meeting the deadline.

Where to send the survey: After completing the survey, (1) send an electronic copy to lina.wang@dallascityhall.com; and, (2) send a hard copy to the Office of the City Auditor located at Dallas City Hall, Room 2FN. Attn: Lina Wang

Questions: Please contact Lina Wang (214-670-5015) or Thandee Kywe (214-939-2524) with any questions.

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<p>1. On a satisfaction scale of 1 to 5, based upon your expectations, how would you rate the following areas of services provided by 311 Customer Service Center?</p>	<p>Scale / Answer 1 = Very dissatisfied 2 = Somewhat dissatisfied 3 = Neither satisfied nor dissatisfied 4 = Somewhat satisfied 5 = Very satisfied 6 = Non-applicable to my department</p>	<p>Comments</p>
<p>1) Service request types are accurately identified and recorded in Customer Request Management System 4.3 (CRMS) / PremierOne Customer Service Request System (CSR).</p>		
<p>2) Service locations are correctly selected or entered in CRMS / CSR system.</p>		
<p>3) Service requests are routed to applicable departments in a timely manner.</p>		
<p>4) Adequate service information is recorded in CRMS / CSR.</p>		
<p>5) Emergency or urgent services are dispatched in a timely manner.</p>		
<p>6) Emergency or urgent services are assigned to correct field crews.</p>		
<p>7) Status of emergency or urgent services are updated (if applicable) accurately and in a timely manner.</p>		
<p>8) Periodic service performance reports are generated for you to monitor service performance and make business decisions.</p>		
<p>9) Appropriate and timely follow up actions are taken by 311 for your feedback on their services.</p>		
<p>10) Overall, how would you rate your satisfaction level with 311 services?</p>		

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2. Do you think the roles, responsibilities, and expectations of 311 and your department are clearly defined in the following areas?	Answer 1 = Yes 2 = No 3 = Non-applicable to my department	Comments
1) Establishment of service level agreement (SLA) days which is the agreed length of time to complete a service request.		
2) Periodic review and update of SLA days.		
3) Processing of service inquiries and requests.		
4) Dispatch of emergency or urgent services.		
5) Reporting and monitoring service performance.		

3. Do you think a written service level agreement document will be an effective way to clearly define the roles, responsibilities, and expectations of 311 and your department? Please include your comment(s).	Answer 1 = Yes 2 = No 3 = Non-applicable to my department	Comments

4. If you answered “No” in question # 3, what would you recommend to clearly define the roles, responsibilities, and expectations of 311 and your department?

Print Name

Title

Signature

Date

Appendix IV

Dallas 311 Customer Service Center Business Operations Survey

What the survey is about: The purpose of this survey is to obtain a better understanding of the operations of the 311 Customer Service Center (311) related to its training program, quality assurance program, and customer service request process.

Who has to complete the survey: The selected 311 service agents are solely responsible for completing the survey and should not defer the responsibility to someone else.

Why the department has to complete the survey: The survey is part of a performance audit of Customer Service 311 / Non-Emergency Services. The survey will help auditors better understand the 311's training program, the quality assurance program, and the customer service request process.

How to complete the survey: Complete the survey by responding to each question and include any comments or documentary evidence (if necessary) to support your comments. The survey should be signed and dated by the person who completed the survey.

When: The deadline is **Tuesday, July 7, 2015**. The Office of the City Auditor will send the selected personnel a reminder on July 6, 2015 to assist in meeting the deadline.

Where to send the survey: After completing the survey, (1) send an electronic copy to lina.wang@dallascityhall.com; and, (2) sign the hard copy, put it in a sealed envelope, and hand it to Misty Glover or Effie Lipscomb of the 311 Call Center. We will collect the completed surveys from them on Thursday, July 7, 2015 at 4:00 p.m.

Questions: Please contact Lina Wang (214-670-5015) or Thandee Kywe (214-939-2524) with any questions.

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<p><i>I. On a scale from 1-5, please state your opinions on the 311's training program.</i></p>	<p>Scale / Answer 1 = Strongly Agree 2 = Agree 3 = Neutral 4 = Disagree 5 = Strongly Disagree 6 = Non-applicable</p>	<p>Comments</p>
<p>1) Training needs are well analyzed and identified for:</p>		
<p>a. New service agent training</p>		
<p>b. Refresher or other training</p>		
<p>2) Training objectives are well defined to address training needs for:</p>		
<p>a. New service agent training</p>		
<p>b. Refresher or other training</p>		
<p>3) Training programs are well designed to achieve training objectives for:</p>		
<p>a. New service agent training</p>		
<p>b. Refresher or other training</p>		
<p>4) Training materials are well prepared by subject matter experts for:</p>		
<p>a. New service agent training</p>		
<p>b. Refresher or other training</p>		
<p>5) Trainees' feedback is adequately captured and analyzed to improve the process for:</p>		
<p>a. New service agent training</p>		
<p>b. Refresher or other training</p>		

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6) Trainees' knowledge of training content is adequately assessed (tested) during the training for:		
a. New service agent training		
b. Refresher or other training		
7) The assessment (testing) methodology is appropriate for:		
a. New service agent training		
b. Refresher or other training		
8) Overall the following 311's training programs are well developed and provide employees with the knowledge they need to succeed in their position.		
a. New service agent training		
b. Refresher or other training		

<i>II. Please state your opinions on the length of the new service agent training programs.</i>	Scale / Answer <i>1 = Too Long 2 = Too Short 3 = The Right Length</i>	Comments
1) The six weeks of classroom training for new 311 service agents seem to be:		
2) The two to four weeks of side-by-side coaching/nesting for new 311 service agents seem to be:		

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III. Please state your opinions on the 311's quality assurance program.	Scale / Answer 1 = Yes 2 = No	Comments
1) On a monthly basis, at least two of your 311 service calls are monitored and scored by 311 quality assurance specialists. If you answer "No", document the number of calls per month that are monitored and scored.		
2) You are familiar with 311's Call Monitoring Form and call scoring criteria.		
3) Feedback on your call performance are provided to you.		
4) The quality assurance specialists who monitor your calls understand the call center operations and quality assurance process.		
5) The call monitoring process helps you improve your job performance.		
6) Overall the 311's quality assurance program is effective.		

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IV. On a scale from 1-5, please state your opinions on the causes for inaccurate service requests.	Scale / Answer 1 = Strongly Agree 2 = Agree 3 = Neutral 4 = Disagree 5 = Strongly Disagree	Comments
1) Knowledge base information is not adequate or accurate for reference.		
2) Relevant operational procedures manual / step-by-step guidelines are not available for reference.		
3) Required flex notes (marked with asterisks) are not answered, but service requests can be generated.		
4) Other (please specify the cause and your opinion).		
V. Please tell us your level of experience.	Scale / Answer 1 = Over five years 2 = Three to five years 3 = Less than three years	Comments
How long have you been with the Dallas 311 Customer Service Center?		

Print Name

Title

Signature

Date

Appendix V

Major Contributors to This Report

Lina Wang, CPA, Project Manager

Thandee Kywe, MBA, CPA, CFE, CGFM, CLEA, Audit Manager

Carol Smith, CPA, CIA, CFE, CFF, First Assistant City Auditor

Theresa Hampden, CPA, Quality Control Manager

Management's Response

Memorandum

RECEIVED

SEP 16 2016

City Auditor's
Office



DATE: September 16, 2016
TO: Craig D. Kinton, City Auditor
SUBJECT: Response to Audit Report:
Audit of Management Services / 311 Customer Service Center

The 311 Customer Service Center is committed to serving its customers—both the residents of Dallas and its internal customers, the front-line departments that respond to residents' needs.

The 311 Customer Service Center has procedures in place to assess front-line department performance on meeting Service Level Agreement (SLA) goals for service request response.

- Every two years, 311 compiles the median actual completion days for the estimated response time (ERT) and SLA for the previous fiscal year's top 50 service request types.
- Recommendations for adjustments to the ERT and SLA are sent to the responsible department for review and comment.
- The final review of goal versus actual ERT and SLA is presented to the City Manager's Office for approval of any adjustments to ERT & SLA, as well as approval of a service department's request to maintain the existing ERT & SLA.

Our responses to the audit report recommendations are as follows:

Recommendation 1

We recommend the City Manager ensures City-wide formal (written, approved, and dated) policy and procedures are developed and implemented that define:

- Roles, responsibilities, and accountability among 311 and City departments
- Process for establishing Service Requests SLA Goals including:
 - Criteria for Service Requests SLA Goals

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**An Audit Report on –
Customer Service / 311 Non-Emergency Services**

Response to Audit Report
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- Acceptable level of differences between targeted Service Requests SLA goal days and actual service days (acceptable risk level)
- Process for periodically assessing Service Requests SLA Goals including:
 - 311's and the service departments' roles
 - Frequency (monthly, quarterly, semi-annually, annually, bi-annually) of the periodic assessment
 - Criteria for updated Service Requests SLA Goals
 - Required documentation

Management Response / Corrective Action Plan

Agree Disagree

We agree with the recommendation to develop and implement City-wide formal (written, approved, and dated) policy and procedures that define the:

- Roles, responsibilities, and accountability among 311 and City departments
- Process for establishing Service Requests SLA Goals
 - Criteria for Service Requests SLA Goals
 - Acceptable level of differences between targeted Service Requests SLA goal days and actual service days (acceptable risk level)
- Process for periodically assessing Service Requests SLA Goals including:
 - 311's and the service departments' roles
 - Frequency (monthly, quarterly, semi-annually, annually, bi-annually) of the periodic assessment
 - Criteria for updated Service Requests SLA Goals
 - Required documentation

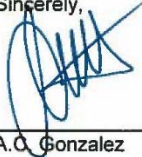
Implementation Date
December 31, 2017

Responsible Manager
311 Assistant Director II

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Sincerely,



A.C. Gonzalez
City Manager

c: Mark McDaniel, Assistant City Manager
Margaret Wright, Assistant Director, 311 Customer Service Center

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Memorandum

RECEIVED

SEP 15 2016

City Auditor's
Office



CITY OF DALLAS

DATE: September 15, 2016
TO: Craig D. Kinton, City Auditor
SUBJECT: Response to Audit Report:
Audit of Management Services / 311 Customer Service Center

For the audit period (FY13-14), 311 was not a certified ISO 9001 department. Procedures for important operational activities exist but were not formally documented.

For example, training procedures are in place for new agents and for refresher training.

- Trainers prepare and use a class syllabus with topics to be covered by day and by week for the six weeks of new agent training.
- Trainees take weekly tests to determine their subject mastery (and the effectiveness of the training).
- Trainees must pass a course completion test in order to move into the on-the-job phase of training.
- Refresher training sessions are held to address updated procedures, new or revised service request types, and other operational changes.

Our responses to the audit report recommendations are as follows:

Recommendation II

We recommend the Assistant Director of 311:

- Reviews with applicable service departments the e-mail escalation configuration for all dispatch service request types with emergency priority levels and formally documents the basis for not using automatic email escalation in CRMS
- Ensures the system errors are properly corrected in the CRMS system to ensure e-mail escalations are properly routed to responsible personnel
- Develops and implements a formal monitoring process to periodically ensure configured e-mail escalations are properly routed to responsible personnel
- Prepares late service requests reports and service request performance reports as scheduled

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Management Response / Corrective Action Plan

Agree Disagree

- The 311 Customer Service Center will establish service level agreements (SLAs) with major service departments (as described in the response to Recommendation I). The SLAs will include the determination and formal documentation of how dispatch service request escalation will be handled.
- The upgrade to the Motorola CRM software, completed on August 28, 2016, corrected the system errors for e-mail escalation routing.
- As part of the ISO 9001 implementation that 311 began in October 2105, 311 will implement and document a formal monitoring process to periodically ensure configured e-mail escalations are properly routed to responsible personnel.
- Preparation of late service request reports resumed in June 2015, and service request performance reports were generated beginning in September 2014 (the audit began in mid-September 2014). These reports are generated and provided to appropriate stakeholders every month.

Implementation Date
December 31, 2017

Responsible Manager
Assistant Director II

Recommendation III

We recommend the Assistant Director of 311 develops and implements formal (written, approved, and dated) documented policies and procedures for important operational activities, such as dispatch service agents' daily operational activities, quality assurance call monitoring, and the collection of 311 service feedback from service departments.

Management Response / Corrective Action Plan

Agree Disagree

As part of the ISO 9001 implementation process that began in October 2015, 311 will develop and implement formal (written, approved, and dated) documented policies and procedures for important operational activities, such as dispatch service agents' daily operational activities, quality assurance call monitoring, and the collection of 311 service feedback from service departments.

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Implementation Date
December 31, 2017

Responsible Manager
Assistant Director II

Recommendation IV

We recommend the Assistant Director of 311 develops and implements formal (written, approved, and dated) policies and procedures to:

- Develop formal training plans for 311 service agents
- Analyze periodically the effectiveness of formal training and adjust accordingly
- Identify individual refresher training needs and provide additional training as considered necessary

Management Response / Corrective Action Plan

Agree Disagree

As part of the ISO 9001 implementation process that began in October 2015, 311 will develop and implement formal (written, approved, and dated) policies and procedures to:

- Develop formal training plans for 311 service agents
- Analyze periodically the effectiveness of formal training and adjust accordingly
- Identify individual refresher training needs and provide additional training as considered necessary

Implementation Date
December 31, 2017

Responsible Manager
Assistant Director II

Recommendation V

We recommend the Assistant Director of 311 establishes appropriate CRMS user application access for 311 departmental coordinators to complete the "Information Update Request".

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Management Response / Corrective Action Plan

Agree Disagree

The 311 Customer Service Center has configured access so that all 311 departmental coordinators can create and submit "Information Update Request" service requests. In order to maintain system integrity, configuration team members are the only employees who can update the Knowledgebase or website.

Implementation Date

December 31, 2017

Responsible Manager

Manager II, Configuration Team

Sincerely,



Margaret Wright, Assistant Director II
Management Services /
311 Customer Service Center



Mark McDaniel
Assistant City Manager

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