Action Center Operations Follow-Up Audit

May 2019

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May 14, 2019

Honorable Mayor and Members of the City Council:

The City Auditor's Office has completed the Action Center Operations Follow-Up Audit. The audit objective was to determine the implementation status of the audit recommendations presented in the original audit report.

Management concurred with all thirteen recommendations in the original report. Audit follow-up procedures indicate management fully implemented nine of the prior audit recommendations and has made progress implementing the remaining four recommendations.

We would like to thank staff from the Action Center and Information Technology Department for their assistance and cooperation in completing this audit.

Lori Brooks Jaquess

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City Auditor

c: Trey Yelverton, City Manager
     Jim Parajon, Deputy City Manager
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     Jennifer Wichmann, Assistant City Manager
     Jay Warren, Director, Communication & Legislative Affairs
     Dennis John, CIO
     Gil Mesa, Action Center Manager

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Background

As part of the 2019 Annual Audit Plan, the City Auditor's Office conducted a follow-up audit of the Action Center Operations Audit completed in June 2018. We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our 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. The audit objective was to determine the implementation status of the prior audit recommendations.

Audit Scope and Methodology

The scope of the project was limited to following up on management's implementation of the previous audit recommendations. Our methodology included obtaining updated status reports from management regarding the implementation of the audit recommendations and reviewing relevant supporting documentation.

The matrix on the following pages illustrates the results of the follow up procedures.

Status of Prior Audit Recommendations

PRIOR AUDIT RECOMMENDATION	CONCUR/DO NOT CONCUR	PRIOR MANAGEMENT RESPONSE	RESPONSIBLE PARTY	DUE DATE	CURRENT MANAGEMENT RESPONSE/IMPLEMENTATION STATUS	AUDIT CONCLUSION
1. *The City Auditor's Office recommends the Action Center Manager seek resources for formal training, to include a designated trainer, effective training materials, and cross training for all employees.*	Concur	The need for training has been acknowledged in the Action Center, although a formal request for additional resources to do so has not been requested. These resources will be requested as a part of the FY19 budget process.	Action Center Manager	January 2019	An additional three agents will be requested in the FY20 budget.	**Implemented**
2. *The City Auditor's Office recommends the Action Center Manager coordinate with Water Utilities, Municipal Court, Code Enforcement and Animal Services subject matter experts, as well as system administrators for Enquesta, Amanda and Incode, to provide periodic specialized training to Action Center agents.*	Concur	Additional opportunities to engage with the Action Center's customer departments will be added to the training curriculum. Meetings have already begun with these stakeholders in formulating an action plan.	Action Center Manager/Action Center Supervisor	January 2019	Starting in December 2018, the Action Center started holding monthly mini training sessions conducted by each of our contact center stakeholders (Animal Services, Code Compliance, Municipal Courts and Water Utilities). Each stakeholder has committed to ongoing monthly mini training sessions.	**Implemented**

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3. *The City Auditor's Office recommends the Action Center Manager, with assistance from the City's Information Technology Department, enhance the ShoreTel Telephone system to obtain real time caller feedback on service quality.*	Concur	The Action Center manager will meet with the assigned business analyst to begin possible phone application improvements.	Action Center Manager	January 2019	We worked with IT's Network Administrator Department and our ShoreTel telephone vendor to confirm a satisfaction survey could be implemented. The survey was created at a cost of $1,400. It launched the beginning of April.	**Implemented**
4. *The City Auditor's Office recommends the Action Center Manager consider assessing average sick time utilized per employee and schedule staff on an overfill basis, accordingly.*	Concur	There is an existing practice in the Action Center to utilize historical call data in determining time off for vacations and other appointments. Additional staffing resources have been requested in the FY19 budget process to create the capacity to staff adequately to cover for times when employee absence cannot be avoided.	Action Center Manager/Action Center Supervisor	January 2019	We continue to utilize Action Center historical call data in assisting to determine staff requests for vacation and other appointments. Additional FTEs will be requested in the FY20 budget to ensure adequate staffing at all times.	**Implemented**
5. *The City Auditor's Office recommends the Action Center Manager establish individual employee performance goals that are aligned with the Action Center's desired achievements and seek resources to monitor and coach employees to attain their goals on an ongoing basis.*	Concur	We do have performance guidelines; however, incorporating specific call center performance measures will be part of the evaluation process for individual staff members going forward. We are working with staff to find common areas to measure.	Action Center Manager/Action Center Supervisor	January 2019	Individual specific call center performance measures are a part of the evaluation process. *Auditor's Comment: The Action Center Manager has added one individual employee performance goal and is planning on establishing additional goals when they are able to receive scoring from the new survey.*	**In Progress**

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6. The City Auditor's Office recommends the Action Center Manager research Enterprise Call Center Software that aligns with the needs of the Arlington Action Center and through the budgetary and IT governance process seek necessary approval for procurement.	Concur	The Action Center manager will meet with the assigned business analyst to begin possible phone application improvements. However, due to the cost for such an application there will also be an effort to investigate other more cost-effective methods to help improve call center efficiencies.	Action Center Manager	January 2019	IT has validated the scheduled September 2019 Shortel Enterprise Contact Center upgrade will not provide all the recommended reporting functionality. An Information Technology Business Analyst will work with the Action Center to identify a third-party reporting solution that will integrate with the upgraded ShoreTel Connect Call Center solution to provide the enhanced call reporting functionality recommended in this audit.	**In Progress**
7. The City Auditor's Office recommends the Action Center Manager discontinue use of Amanda software for tracking inbound customer calls and begin documenting customer contacts directly in Amanda, Enquesta and Incode software, as applicable.	Concur	We have already implemented this recommendation.	Action Center Manager	April 2018	The Action Center implemented this recommendation prior to the end of the initial audit.	**Implemented**

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8. *The City Auditor's Office recommends the Action Center Manger coordinate with Amanda, Enquesta and Incode system administrators to extract data on Action Center agent activity for tracking, statistical, and operational improvement purposes.*	Concur	We have already implemented this recommendation.	Action Center Manager	April 2018	The Action Center implemented this recommendation prior to the end of the initial audit.	**Implemented**
9. *The City Auditor's Office recommends the Action Center Manager include transferred call volume and instances of transferred disconnections in their data used to assess performance efficiency.*	Concur	As per the audit team's recommendation, both transferred call volume and disconnects will be included. Assistance from the Network Information Team may be required.	Action Center Manager/ Network Information Technology Team	June 2018	The call transfer information was already available within an already existing ShoreTel Enterprise Call Center telephone adhoc report. The Action Center posts monthly stats as part of its Core Infrastructure Score Card data.	**Implemented**
10. *The City Auditor's Office recommends the Action Center Manager, with assistance from Information Technology staff, reconcile reported call volume to source data generated by the City phone exchange to ensure accuracy.*	Concur	The Action Center manager will meet with the assigned business analyst to begin possible phone application improvements.	Action Center Manager	June 2018	Action Center and IT staff worked together and determined that the appropriate source for reporting call center statistics data is provided by the Enterprise Contact Center (ECC) system. Any reconciliation will be done utilizing this data from the ECC system and from the future call reporting solution identified in recommendation #6.	**In Progress**

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11. *The City Auditor's Office recommends the Action Center Manager review and reconcile individual departmental call volume statistics to Shortel source data to improve accuracy and reliability of reported data.*	Concur	The Action Center manager will meet with the Network Information Technology team to assist in creating a check and balance process for statistical call volume report accuracy.	Action Center Manager/ Network Information Technology Team	June 2018	Action Center and IT staff worked together and determined that the appropriate source for reporting call center statistics data is provided by the Enterprise Contact Center (ECC) system. Any reconciliation will be done utilizing this data from the ECC system and from the future call reporting solution identified in recommendation #6.	**In Progress**
12. *The City Auditor's Office recommends the Action Center Manager, in collaboration with the City's Office of Communications, consider enhancing marketing efforts for the Ask Arlington phone application that will result in an increase of users.*	Concur	In coordination with the Office of Communication, additional marketing efforts have already been enacted, including: an updated PSA billboard, additional web and social media posts, and boosting the Ask Arlington App PSA on YouTube. These were all cost-effective options that were implemented with existing funding.	Director of Communication and Legislative Affairs	May 2018	Additional marketing efforts have been put into place since the initial audit, including: a PSA billboard, increased web content and social media marketing, and boosting of the Ask Arlington App PSA on YouTube, which now has more than 20,000 views.	**Implemented**

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13. The City Auditor's Office recommends the Action Center Manager, with vendor assistance, ensure resolution of interface errors between the Ask Arlington phone application and Cartegraph software; and manually review and reconcile work orders with assistance from Cartegraph system administrators to ensure accurate work order transfer between the Ask Arlington Phone Application and Cartegraph software.	Concur	The Action Center manager will schedule periodic meetings with the Public Works and Transportation Information Services coordinator. If integration issues exist, The Action Center manager will make the phone app vendor aware immediately to ensure the issue is corrected in a timely manner.	Action Center Manager	July 2018	In September 2018, the root cause of the Cartegraph interface error was identified and corrected. Additionally, a COA – Ask Arlington internal work group made up of team members from departments has been formed. They will coordinate to provide application feedback, change control and help with application data quality.	**Implemented**

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