Calgary

City Auditor's Office

311 Response Audit

June 15, 2021

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Table of Contents

The City Auditor's Office conducted this audit in conformance with the *International Standards for the Professional Practice of Internal Auditing.*

Executive Summary

In 2005, Calgary was the first Canadian city to launch a 311 service with the objective of improving citizen access and contact management through a consistent customer information and issue resolution process with a primary initial point of contact. Citizens can access 311 through the 311 Calgary mobile app, 311 online or by calling 311 by phone, and request information or submit a service request (SR). Since May 18, 2005, 311 has received more than 16 million calls from Calgarians requesting information and services. 2018 311 customer research identified high overall caller satisfaction with their 311 experience but noted that the principal reason for dissatisfied callers was that callers' issues (the reason for their SR submission) were not resolved.

The objective of this audit was to assess the effectiveness of the SR response process across the City. To complete this evaluation, we utilized seven criteria: simplicity, convenience, expectations, transparency, outcomes, escalation, and accountability. We reviewed a sample of 80 SR covering 10 SR types during the period July 1, 2019 to June 30, 2020, as well as reviewing procedures and conducting the interviews with 311 team staff and Business Unit 311 Subject Matter Experts.

The results of our review of our sample of SR indicated that processes across the City to respond to citizen 311 SR were generally aligned to the criteria supporting an effective response. A "one stop shop" approach (with one exception) was available to citizens to submit SR to support simplicity, and digital tools were being utilized to support convenient citizen submission, with plans for further expansion. FAQ scripts defined SR expectations to citizens and status information was available to citizens to support transparency. In addition, there was a defined SR escalation process and Business Units monitored SR status, which supports accountability for timely SR response.

However, through our sample we identified variation in how SR could be raised by a citizen, tracked and resolved, which could negatively impact response effectiveness and efficiency and citizen experience. Specifically, we identified one instance where an SR was utilizing an alternate initial point of contact to submit the request (not available through 311), and instances of variation regarding resolution where an SR with a status of "closed" may not mean that a citizen's request has been addressed and/or reasons provided as to why it cannot be addressed.

Currently 311 acts as an enabling service, supporting the intake of SR, while BU are individually responsible for responding to the SR by providing the resolution, and setting the parameters of how they do so, as well as monitoring responses and exceptions. The City does not have a current overarching customer services governance and accountability framework in place, defining roles, authorities, responsibilities, and accountability to support consistency of SR response. This approach has led to variation in SR response, and variations in what represents an SR resolution, which have likely occurred over time driven by business requirements and the way BU deliver services.

Given the number and range of services offered by The City, and the high potential for variation of SR response to grow, we recommended (recommendation 1) 311 seek direction from City leadership regarding the continuation of the City's strategy of providing citizen information and issue resolution through 311 as the initial point of contact. To the extent City leadership provide direction 311 will continue to be the single point of contact or an option for citizen contact, a governance and accountability framework incorporating standardized approach to SR resolution, standardized SR timeline and monitoring expectations, and a working group supporting digital

tools implementation (recommendations 2 – 5) would enhance the future effectiveness of SR response across The City through consistency for BU utilizing 311, and also support on-going efficiency.

311 agreed with our five recommendations and set action plan implementation dates no later than September 1, 2022. The City Auditor's Office will follow-up on all commitments as part of our ongoing recommendation follow-up process.

1.0 Background

Calgary was the first Canadian city to launch a 311 service with the objective of improving citizen access and contact management through a consistent customer information and issue resolution process with a primary initial point of contact. Since May 18, 2005, the 311 line has received approximately 16 million calls. The 311 service connects Calgarians to City information and services they need, through the 311 Calgary mobile app, 311 online or by calling 311 by phone. The City's 311 team of over 100 employees within the Customer Service & Communications Business Unit (BU) provide a 24-hour service, responding to 433,799 information calls and 392,569 service requests (SR) from citizens in 2020. The City also received 157,272 SR through the 311 Calgary mobile app and 311 online in 2020[1]. The operating budget for the 311 service was $9.4 million in 2020 which was reduced to $8.9 million in 2021 as part of The City's Solutions for Achieving Value and Excellence (SAVE) program.

Citizen contacts may include requests for information and/or SR for City services. Examples of commonly requested SR included Waste & Recycling cart requests, Community Services tree concerns, Roads snow and ice concerns or Water Services sewage back up requests. The Customer Service Request Workflow is used to manage the SR workflow, including identifying the purpose of the SR, routing to the appropriate BU for resolution, and tracking the SR to completion (see figure 1). 311 Live Maps are accessible through Calgary.ca to provide SR updates and show what the citizens called about, based on ward, community, or location.
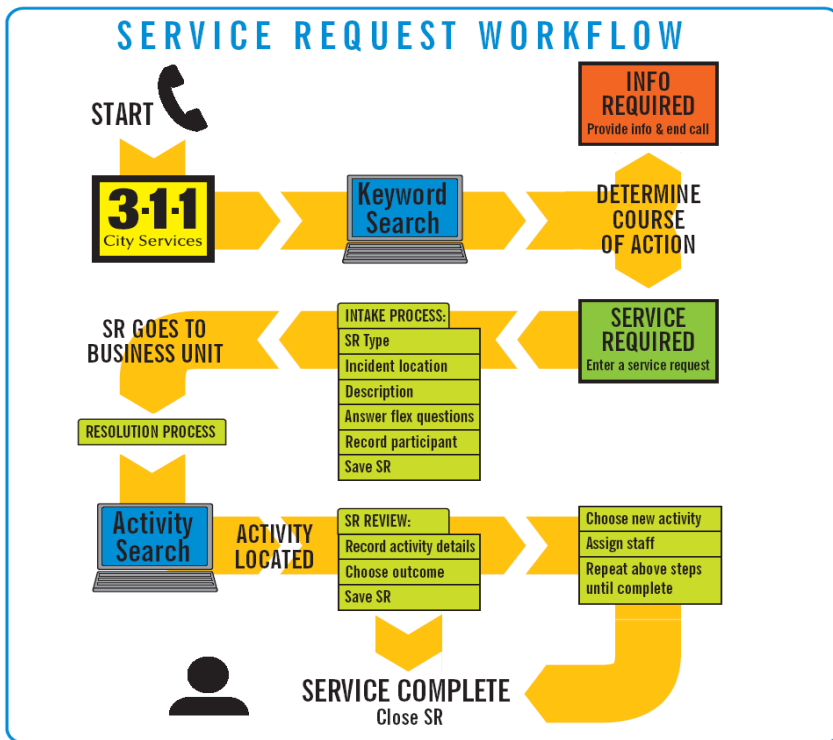
The 311 team uses CSR Motorola as the channel for managing citizen requests for information and SR. City BU are responsible for SR resolution for their services including: setting SR response targets, determining what SR completion status information is shared with the citizen, and defining the 311 caller escalation procedures available for each SR. BU use a variety of separate workflow systems to support resolution of SR with different degrees of integration and information sharing with the 311 CSR Motorola system.

Figure 1: 311 Service Request Response Workflow

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[1] Number of information calls and SR by source in 2020, and other 311 statistics, provided by the 311 team.

Calgary 311 satisfaction research[2] identified high overall caller satisfaction with their 311 experience but noted that the principal reason for dissatisfied callers is that callers' issues were not resolved. Where a 311 response is ineffective in meeting citizen needs, citizens may escalate issues through 311, to their Councillor, Mayor or the Alberta Ombudsmen, utilizing further City resources to resolve. There is also a reputational impact to the City where 311 responses do not meet citizen needs.

2.0 Audit Objective, Scope and Approach

2.1 Audit Objective

The objective of this audit was to determine whether an effective response process was in place across the City to respond to citizen SR received through 311. The effectiveness of the 311 SR response process was evaluated utilizing the following criteria that were consistent with the original business objectives for launching the 311 service and the 311 City of Calgary Guiding Coalition Report[3]:

1. Simplicity – A "one-stop shop" was available for SR.
2. Convenience – Online tools/apps were provided to citizens where appropriate i.e. high volume "low touch" self-service and "medium touch" assisted SR.
3. Expectations – SR BU response targets were clearly defined.
4. Transparency – Timely and accurate SR status information was available for three common SR stages:
   - Stage 1 – SR has been received.
   - Stage 2 – SR has been reviewed and work assigned if appropriate.
   - Stage 3 – SR has been completed or citizen informed of why the request will not be addressed.
5. Outcomes – BU SR response action addressed the citizen's concern.
6. Escalation – A defined process existed for citizens to escalate overdue SR.
7. Accountability – BU monitored timeliness of SR resolution.

Exceptions to the criteria were reviewed to determine whether alternate processes were supported by an appropriate rationale.

2.2 Audit Scope

The audit scope focused on the responses to SR received through 311 calls, the 311 Calgary mobile app and 311 online during the period July 1, 2019 to June 30, 2020.

2.3 Audit Approach

We evaluated the criteria set out above by conducting interviews with 311 team staff and BU 311 Subject Matter Experts (SME), and reviewing 311 procedure documents, activity reports, as well as 311 system data. We also examined BU system data and/or other supporting records where records contained information documenting the SR response.

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[2] 2018 Calgary 311 Satisfaction Research Year-End Report, Ipsos Public Affairs.
[3] City of Calgary 311 Guiding Coalition Report to the Standing Policy Committee on Utilities and Corporate Service, 2013 December 11.

We judgmentally selected a sample of 80 SR representing 10 different types of SR commonly raised by citizens. These ten types of SR represent responses from five BU across The City. For our sample of SR, we reviewed the specific SR response information to determine the effectiveness of the response based on the criteria above.

3.0 Results

Our review of our sample of 80 SR between the period July 1, 2019 and June 30, 2020, and our review of processes and interviews indicated that processes across the City to respond to citizen 311 SR were generally aligned to the criteria supporting an effective response. A "one stop shop" approach (with one exception) was available to citizens to submit SR to support simplicity, and digital tools were being utilized to support convenient citizen submission, with plans for future expansion. FAQ scripts defined SR expectations to citizens, and status information was available to citizens to support transparency. In addition, there was a defined escalation process and BU monitored SR status, which supports accountability for timely SR response.

However, through our sample we identified variation in how SR could be raised by a citizen, tracked and resolved, which could negatively impact response effectiveness and efficiency and citizen experience. In particular, we noted:
- The City's strategy of providing citizen information and issue resolution through 311 as the sole initial point of contact (a "one stop shop") has not been recently reviewed/reconfirmed by City leadership, and without this reconfirmation other touchpoints for citizen SR are being established; and
- The City does not have an overarching customer services governance and accountability framework in place; defining roles, authorities, responsibilities, and accountability to support consistency of SR response. Currently 311 acts as an enabling service, supporting the intake of SR, while BU are individually responsible for responding to the SR by providing the resolution, and setting the parameters of how they do so, as well as monitoring responses and exceptions. This approach has led to variation in SR response, in particular variations in what represents an SR resolution.

At Council's direction for 3-1-1 Response to Citizen Service Requests, the Standing Policy Committee (SPC) on Utilities and Corporate Services approved a draft term of reference for the Customer Service Steering Committee in January of 2014. However, the Customer Service Steering Committee was dissolved, and the specifications in the term of reference (e.g. roles & responsibilities, reporting relationships, decision rights & authority and memberships) have not been fulfilled.

Given the number and range of services offered by The City, and the high potential for variation of SR response to grow, creating multiple channels for citizens to raise SR could, over time, lead to process inefficiency, additional cost to The City, and citizen confusion. To mitigate this risk, we recommended (recommendation 1) 311 seek direction from City leadership regarding the continuation of the City's strategy of providing citizen information and issue resolution through 311 as the initial point of contact.

Variations in SR response have likely occurred over time driven by business requirements and the way BU deliver services. However, as variation increases, the risk of inefficiency increases, as does

the reputational risk to The City if customer service is viewed as ineffective. Establishing a governance and accountability framework outlining authority and accountability to manage exceptions and direct consistent standardized approaches to SR resolution, SR timeline and monitoring expectations, and a working group supporting digital tools implementation (recommendations 2 – 5) would enhance the effectiveness of The City's overall SR response through consistency, and also support on-going efficiency.

3.1   Service Request Submission Process

To support an efficient and effective citizen service, the 311 service consolidated previous multiple points of access to The City into one primary point of contact, and implemented digital tools as options to facilitate SR submission, which allows a citizen to enter certain SR types on line, and route them straight to the BU for resolution.

The relevant criteria underpinning an effective SR submission process are:
1. Simplicity – A "one-stop shop" was available for SR.
2. Convenience – Online tools/apps were provided to citizens where appropriate i.e. high volume "low touch" self-service and "medium touch" assisted SR.

Our review identified that overall, the 311 submission process aligned with the criteria of simplicity, and convenience. However, opportunities exist to enhance citizen experience by reviewing and confirming The City's strategy to utilize 311 as a single point of contact and creating a working group to further support the use of online tools in the future.

3.1.1   Simplicity

There are 430 Service Request types (SR types) available (March 2021) to citizens via the City's 311 channel (CSR Motorola system). In June 2020, one BU moved to a separate channel (website) as the only channel for citizens to report a specific high volume SR type. The channel did not include an escalation process to follow-up where a concern was not resolved or an alternative for citizens without online access. Following a review of the operation of the alternate channel, the BU worked with 311 to reinstate the SR type in the 311 channel by April 2021.

The decision to solely utilize an alternate channel focused on efficiency and effectiveness of the SR response, but did not include formal documented consideration of the impact on The City's prior strategy of providing citizen information and issue resolution through a sole initial point of contact (section 4.1.). While there may be business rationale to support exceptions to using 311 as the sole point of contact, creating multiple channels to raise service requests could, over time, lead to process inefficiency and additional cost, and citizen confusion. We recommended (recommendation 1) that 311 seek direction from City leadership regarding The City's strategy of providing citizen information and issue resolution through 311 as the sole initial point of contact and reconfirm the strategy, or agree on an alternate strategy to support simplicity of access for citizens.

3.1.2   Convenience

To support convenience for citizens, 311 facilitated the establishment of high volume "low touch" (simple transaction - self-service) and "medium touch" (assisted transactions) SR types in digital tools. Digital tools include the 311 Calgary mobile app,

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and the 311 Calgary website. Currently (March 2021), 249 SR types are available on the 311 Calgary website and 73 SR types are available on the 311 Calgary mobile app. Examples of SR type set up in digital tools include pothole maintenance and missed garbage collections. Digital tools support an efficient and effective SR response as SR entered by a citizen are directly routed to the BU for resolution without the need to utilize a 311 operator, or for the citizen to wait on hold for a 311 operator at peak volume times.

There is also an option in digital tools to "Report a concern not listed", where 311 manually redirects the SR to the BU for resolution. One SR type in our sample was not established in digital tools, which resulted in more than 1,000 redirections by 311.

There were 43 SR types identified as the top high volume SR based on 2019 311 data, of which 37 (86%) were established in digital tools, while 6 (14%) were not, which included "high touch" (specialized, complex) transactions. We discussed the rationale for not establishing these SR types in digital tools with the BU SME, who provided the following reasons:
- Complexity of the SR/information required from the citizen to support SR resolution;
- Privacy concerns (where citizens need to confirm their identity to access personal information); and
- Integration issues to BU systems.

While appropriate rationale supported this sample of SR exceptions to utilizing digital tools, expanding the City's utilization of digital tools where possible (i.e. where the effectiveness of SR response is not compromised) supports on-going efficiency. We recommended 311 establish a working group (recommendation 5) as part of a governance framework to support further convenience for citizens and efficiency gains through the utilization of digital tools.

3.2   Service Request Response
The relevant criteria underpinning an effective SR response are:
1. Expectations – SR BU response targets were clearly defined.
2. Transparency – Timely and accurate SR status information was available for three common SR stages:
   - Stage 1 – SR has been received.
   - Stage 2 – SR has been reviewed and work assigned if appropriate.
   - Stage 3 – SR has been completed or citizen informed of why the request will not be addressed.
3. Outcomes – BU SR response action addressed the citizen's concern.
4. Escalation – A defined process existed for citizens to escalate overdue SR.

Our sample of 80 SR covering 10 SR types indicated that overall, The City's SR response process aligns to criteria underpinning an effective response: expectations were defined, information was available to citizens, and an escalation process was defined and utilized. However, we identified variation in SR response criteria, particularly regarding outcomes (resolution), which could impact response effectiveness and citizen satisfaction. Further

details on positive results and our recommended standardized approach to better support consistency of response across The City are detailed below.

3.2.1 Expectations

To assess the criteria of expectations, we reviewed whether the FAQ, which are used by 311 operators to respond to citizens in our sample of ten SR types, defined BU response targets that address the completion of the SR, including separate targets for key steps for more complex service requests where information is relevant to citizens.

Based on our sample, the FAQ specify the service expectation by including SR description, creation requirement, timeline to respond and/or review, as well as escalation procedure when SR was not resolved within defined timelines and/or when a citizen was not satisfied. However, our sample review indicated the FAQ did not consistently define SR resolution timelines (e.g. work days or calendar days used for monitoring purposes) or communication of expected timelines to citizens. In addition, for three SR types, a "closed" status of an SR may not represent the completion of the request (section 3.2.3). We recommended (recommendation 3) a standardized approach to SR resolution, including communication of resolution and timelines to citizens.

3.2.2 Transparency

311 maintain SR data on citizens' SR submitted by calling 311 or in digital tools. Each SR has a number of activities to record detailed work performed by responsible BU to support the three stage response noted above (section 3.2). We assessed the criteria of transparency by reviewing whether timely and accurate SR status information was available for the three SR stages.

Per our sample test results, the three stage SR response status was followed for all the samples. SR progress status was maintained in the 311 system and monitored by the responsible BU. However, we noted resolution information was not consistently provided for two of ten SR types, which means citizens may not be able to track their request through to completion. We recommended a standardized approach to SR resolution as part of a governance framework to improve customer service (recommendation 3).

3.2.3 Outcomes

A clear outcome (i.e. resolution) is a key criteria supporting an effective response to a citizen SR. We reviewed the resolutions to our sample of 80 SR and identified inconsistencies in how SR are resolved "closed" in 311 and how citizens can track their SR to resolution (section 4.2).

A status of "closed" for an SR generally means that the SR has been fully resolved. However in our sample of ten SR types, three had a "closed" status that may not represent full resolution of the request and instead reflected an initial response or action had been taken by the BU but that the request had not been fully resolved, or the request had been added to the BU's annual schedule of work or to another wider activity.

As noted above under 3.2.2, eight out of ten SR types had detailed resolution information available in the 311 system to support that the citizen's concerns were addressed, while

two did not include resolution information consistently to enable citizens to track their request to resolution.

311 set expectations regarding resolution and tracking via guidance and training provided to BU 311 SMEs but do not have authority or accountability to implement a standardized approach. We recommended (recommendation 3) that 311 incorporate a standardized approach to SR resolution into a governance and accountability framework.

3.2.4   Escalation
The final criteria underpinning an effective SR response is whether a defined process existed for citizens to escalate overdue SR.

All ten SR types in our sample had a defined escalation process included in the FAQ used by 311 to outline the response to a citizen calling to raise an SR. Our sample testing of 80 SR included 18 where the escalation process had been utilized. In each of these SR, the escalation process was followed. We observed in three cases, the escalation process was initiated by 311 earlier than the FAQ stated. We also noted that the FAQs did not indicate whether escalation timelines represented business days or calendar days (section 4.3) and recommended 311 incorporate standardized escalation timelines and monitoring expectations into a governance and accountability framework to support consistency of response to SR across The City (recommendation 4).

3.3   Service Request Accountability
To evaluate the criteria of accountability of SR response, we reviewed SR monitoring established in our sample of five BU.

311 established a suite of reports available to BU SME that support SR monitoring. A key example is the Open Overdue SR Detailed Report which enables BU to monitor SR that remain open but have exceeded the expected timelines. Another key report identifies unassigned SR, for example where a citizen has entered an invalid address so that the SR cannot be directed to the appropriate work crew. The design of these reports provides an effective means of monitoring resolution of SR.

All five BU in our sample were monitoring SR on a regular basis. Our sample test results indicated that SR were closed between 97% and 100% within configured timelines for nine out of ten tested SR types, while one was at 83% during the audit period between July 1, 2019 and June 30, 2020. Since a status of "closed" for three SR types may not represent full resolution (section 3.2.3), for those SR types, it isn't possible to determine whether the data represents an effective SR response.

We noted performance targets have not been established to measure performance results for SR type, timelines for SR resolution were not reviewed regularly to ensure reasonability, and there was no standard process to generate and review key 311 reports. We noted that although 311 provide BU contacts with training, including suggested monitoring practices, they do not have authority or accountability to implement a standardized approach. Implementing standardized requirements to provide timeline clarity and setting expectations regarding the monitoring of those timelines (including KPIs to support high volume SR) would enhance the efficiency and effectiveness of SR response monitoring, and support on-going accountability for timely SR resolution (recommendation 4).

We would like to thank staff from 311 Services and BU SME who supported the gathering of information from our sample of BU.

4.0 Observations and Recommendations

4.1 Initial Point of Contact Strategy

The City's strategy of providing citizen information and issue resolution through 311 as the sole initial point of contact should be reviewed by City leadership and reconfirmed or an alternate strategy agreed upon.

Simplicity of access is a key criterion underlying the effective response to citizen SR. The 311 service was initially established by the City in 2005 to consolidate previous multiple points of access into the primary customer service touchpoint to support an efficient and effective citizen service.

As at January 2021, all City SR utilize the Motorola 311 system as the initial point of contact for citizens, with the exception of one high volume SR, which requires citizens to go online to raise an SR utilizing an online map. The decision to solely utilize an alternate intake channel in 2020 (prior to this point the SR could be raised through either 311 or the map) focused on efficiency and effectiveness of the SR response, but did not include formal documented consideration of the impact on the City's strategy of providing citizen information and issue resolution through a single initial point of contact. There is no longer an option to report this SR type through 311, which may create concern from citizens without online access. In addition, the map channel does not include an escalation process to allow citizens to follow up or highlight when resolution has not occurred within the expected timeline. In March 2021, the BU requested that 311 reinstate the SR type in the current 311 channel to address these concerns, and reverted back to the previous process of accepting the SR type through 311 in April 2021.

Looking forward, other BU may explore alternate initial points of citizen contact to meet business need and support efficient and effective SR response – one of five BU in our sample indicated in interviews that they were exploring the use of a customer self-service system outside the current 311 SR channel. While rationale such as complexity of specific SR may support exceptions to utilizing 311 as the sole initial point of contact, creating multiple channels for citizens to raise SR could, over time, lead to process inefficiency, additional cost to The City, and citizen confusion.

There has been no recent discussion by City leadership regarding the strategy of a sole initial point of citizen SR contact. Formalizing and documenting City leadership's expectation as to whether the strategy of providing citizen information and issue resolution through 311 as the sole initial point of contact should continue, supports The City's overall approach to simplicity of access and consistency in citizen communication.

<u>Recommendation 1</u>
Director, CSC, seek direction from ELT regarding the continuation of the City's strategy of providing citizen information and issue resolution through 311 as the initial point of contact.

Management Response:

Agreed.

Action Plan	Responsibility
Director, CSC to introduce discussion and review at future ELT meeting to revalidate previous approved council direction for the delivery of citizen service requests and information through the centralized 311 system. If the decision is made not to continue this program, the CSC Director will consult the ELT for direction and approval to implement an alternative system and process. Meeting to be introduced after the current organizational realignment is complete. Manager, 311 Citizen Services to work with the Director, CSC to provide previous documentation from Council and Administration outlining the approval and implementation of the 311 system.	<u>Lead</u>: Director, CSC <u>Support</u>: Manager, 311 Citizen Services <u>Commitment Date</u>: June 1, 2022

To the extent City leadership provide direction 311 will continue to be the single point of contact or an option for citizen contact, establishing an accompanying governance structure to review and manage exceptions, and establishing authority to direct consistent standardized approaches to SR management, is required to support the effectiveness of The City's overall response to citizen communication.

Recommendation 2
Director, CSC, establish a 311 governance and accountability framework, to support a standardized approach to citizen communication.

Management Response:

Agreed.

Action Plan	Responsibility
Subject to the direction of recommendation 1, Director, CSC and Manager, 311 Citizen Services will work to revise and/or update the previous Customer Service Steering Committee, reconstitute the 311 Guiding Coalition or investigate the feasibility of integrating the governance and accountability framework into an existing steering committee.	<u>Lead</u>: Director, CSC <u>Support</u>: Manager, 311 Citizen Services <u>Commitment Date</u>: September 1, 2022

Action Plan	Responsibility
Review and direction of this approach for implementation to be approved by the Executive Leadership Team. Development of terms of reference should include rotational participation from General Managers, Directors and elected officials.	

4.2   Service Request Tracking and Resolution

There is an inconsistent approach across The City regarding whether closing an SR in the 311 system represents the resolution of a citizen's request, and whether the citizen can track their request through to resolution. The SR outcome (resolution) is a high priority to the citizen and impacts their perception of the effectiveness of the response. A lack of consistency in tracking and resolution impacts the effectiveness of customer service provided and citizen satisfaction, which could increase the associated reputational risk to the City.

We included 80 SR representing ten SR types in sample testing. Of the ten SR types in our sample, citizens may not be able to track their request to resolution in two of ten SR types, and in three of ten SR types a status of Closed does not represent full resolution of the request. In our sample of 80 SR, three did not have evidence of resolution in either the 311 system (other than a "closed" status) or in the BU supporting records.

Eight SR types did not include communication of expected timelines for resolution to the citizen in the standard FAQ used by 311 agents. 311 set expectations regarding resolution and tracking via guidance and training provided to BU 311 SME but do not have authority or accountability to implement a standardized approach. 311 encourage BU 311 SME to review high volume SR on a regular basis, but do not have the accountability to formalize a regular cycle of review to resolve emerging challenges regarding SR resolution in a timely manner.

Variations in SR tracking and resolution have likely occurred over time driven by business requirements and the way BU deliver services. However, as variation increases, the risk of inefficiency increases, as does the reputational risk to The City if customer service is viewed as ineffective where citizens cannot track their request to resolution. Standardized requirements for SR tracking and resolution, communication of expected resolution timelines, and conducting a regular review cycle of high volume SR to identify and address resolution issues best supports the mitigation of this risk.

Recommendation 3
Director, CSC, incorporate into a 311 governance and accountability framework (recommendation 2) a standardized approach to SR resolution, including communication of resolution and timelines to citizens, along with an exception process, and a regular review cycle of high volume SR to identify and address resolution issues.

Management Response:

Agreed.

Action Plan	Responsibility
The Service Level Agreements (SLAs) for the service request being requested is defined by the Business Unit Subject Matter Experts (SMEs). The SLAs are displayed as a statement that agents communicate to citizens over the phone when initiating the request for service. These SLAs are also presented on the web for citizens to view. 311 will review the existing service requests online to confirm and validate the SLA defined by the SME is displayed when citizens submit the request. 311 will also add that SLA statement in the service request confirmation message to enhance the existing process. This message will be delivered to a citizen if they provide their email at time of phone or online submission. 311 has implemented a quarterly review for high volume seasonal service requests to ensure consistency in intake, workflow and FAQs. 311 management will work to formalize this process with BU SMEs and Directors as part of the proposed governance and accountability framework (recommendation 2) to ensure service area participation. Closing of a service request: Currently, when a service request is created for the citizen by 311 staff or by the citizen online, it is automatically assigned the business unit for review and action. At that point, Business units are accountable for responding to the requests including updating the service requests while it is being worked (as aligned to the 3 Stages Notice of Motion 2012-29). Business units are accountable for closing the service request. 311 recommends the service request is "Closed" when the work is either completed or the record is updated	Lead: Director, CSC Support: Manager, 311 Citizen Services Commitment Date: September 1, 2022

Action Plan	Responsibility
with information on why the work will not be performed. 311 will work through the proposed governance structure (recommendation 2) to define a common Corporate definition of "Closed" that limits premature closing of records and contributes to inaccurate reporting of resolved service requests.	

4.3 Service Request Monitoring

While BU included in our sample were monitoring open SR to identify and action exceptions, the monitoring process could be enhanced by standardized requirements to provide timeline clarity, and to set expectations regarding the monitoring of those timelines (including KPIs to support high volume SR). Implementing effective monitoring processes supports accountability for timely SR resolution, which mitigates reputational risk.

Monitoring opportunities identified in our sample testing included closed but incomplete SR, timelines, and escalations:

1. Closed SR with Incomplete Activities:

   Reports can be run to extract these SR (i.e. identify situations where SR have been incorrectly closed) but the frequency of this review process is an ad hoc manual process.

2. Resolution Timelines:

   Expected timelines aren't currently being used in the most effective manner to monitor timely SR resolution.
   - FAQs (used by 311 agents to respond to SR calls) do not define whether timelines represent work days (some City services respond 24/7, some follow a shift pattern or respond during regular business hours) or calendar days, and it isn't clear which is being used for monitoring purposes.
   - Timelines are not reviewed for reasonableness on a regular on-going cycle.
   - Per our observation from ten tested SR types between July 1, 2019 and June 30, 2020, nine out of ten SR types had the actual resolution timeline significantly lower than expectations:
     o Three out of ten were between 30% and 40% of expected timeline; and
     o Six out of ten were below 30% of expected timeline.
   - Three BU contacts interviewed as part of our sample testing were either not aware of timeline expectations for individual SR type, or were not actively using them to manage BU responses to SR.
   - Timelines to track closure of the SR do not always represent full resolution (see recommendation 3 above).
   - Although a customized report (e.g. Open Overdue SR Detailed Report) can be generated from 311 CSR Motorola System at a BU's request, a standardized process to monitor the achievement of timelines has not been established.

- BU contacts interviewed as part of our sample testing were not aware of KPI targets set for responding to SR.

More precisely clarifying expected timelines and utilizing timelines/KPIs to monitor SR would support enhanced monitoring effectiveness.

3. Escalation Processes:

   Escalation timelines don't specify whether work days or calendar days are being utilized to track when an escalation can/should occur. We also identified in sample testing that some escalation activities were created by 311 agents prior to the timelines set out in FAQs. While this represents high levels of customer service, there is a trade-off as additional workload for City employees may be created through this process adjustment, impacting efficiency.

311 provide BU contacts with training, including suggested monitoring practices, but do not have authority or accountability to implement a standardized approach. Standardized requirements to provide timeline clarity, and to set expectations regarding the monitoring of those timelines (including KPIs to support high volume SR) would enhance the efficiency and effectiveness of the monitoring of SR responses, and support accountability of the City in responding to SR.

Recommendation 4
Director, CSC, incorporate into a 311 governance and accountability framework (recommendation 2) SR timeline and monitoring expectations.

Management Response:

Agreed.

Action Plan	Responsibility
Closed SRs with Incomplete Activities: Running adhoc reports for incomplete activities was developed to assist the cleanup of missed steps in the workflow by business units when actioning citizen requests. 311 commits to running the script on incomplete activities twice per year and will work with BU SMEs seasonally to revise and optimize process as part of season updates aligned within recommendation 2. Resolution Timelines: Resolution timelines are defined by business unit Subject Matter Experts (SMEs). Depending on the service being requested, some are provided 24/7/365 (e.g. watermain breaks) and some only	Lead: Director, CSC Support: Manager, 311 Citizen Services Commitment Date: September 1, 2022

Action Plan	Responsibility
provide service on weekdays (e.g. missed waste pickups). Though the SLAs are configured to accommodate these service variations, 311 will update the statements where required to better define if the response is business days versus days so citizens can better understand the difference. Business Unit SMEs are accountable for and define the KPIs for open/closed as well as the service level agreements for their business unit service requests. Any change in these measures are directed by the SMEs. 311 will work with them to remind them of their responsibility in setting these targets for their service request measures. Escalations: 311 has worked closely with Business units to define a standard Escalation process as directed through the previous 311 Guiding Coalition Committee. Each public facing service request can escalate to a Director, GM or City Manager depending on how much time has elapsed. Some discretion on leveraging the escalations within the business unit or Director or above is warranted based on the conversation with a citizen and the step that it is in, and the severity. In some cases, there may be a previous escalation where the service was closed that requires a new service request to be created and escalated to the next level for an appropriate and timely response. 311 will work through recommendation 2 to validate and enhance the existing escalation model and define business days versus days in the response process.	

4.4 Digital Tools

There is an opportunity to utilize a governance framework to support the future expansion and effective use of digital 311 tools. Establishing high volume low/medium touch SR as options in digital tools allows a citizen to enter an SR and route it straight to the BU, creating an efficiency as a 311 agent is not required to handle the SR call. In completing our fieldwork, we identified challenges regarding the effective use and future expansion of digital tools and identified that the City does not have a working group established to support resolution.

311 has established high volume low/medium touch SR as specific options in digital tools, which allows a citizen to enter an SR and route it straight to the BU, creating an efficiency as a 311 agent is not required to handle the SR. In addition, both the online web and mobile app have been set up with the option of "Report A Concern Not Listed or Contact Us [311]" so that citizens can raise SR not specifically set up in these digital tools. However, where such SR are raised, 311 agents then must manually create and link these SR internally to send the SR to

the appropriate BU. One of the ten SR types in our sample is not currently established as a separate SR in the digital tools, and during the audit period July 1, 2019 – June 30, 2020 there were approximately 477 individual SR redirected by 311 agents from the online web and 749 from the mobile application. This manual redirection creates inefficiency and potential additional cost within the City to resolve each SR. Removing this option or working to minimize its use would support future efficiency at the City. This SR type, along with thirteen other SR types, make up a 2021 SAVE business case intended to realize efficiencies by establishing the SR in digital tools.

SR frequently require specific information input or actions to be taken by the citizen to support the resolution of the SR. In conducting our sample testing, we heard concerns from BU regarding the future use of digital tools, as it was perceived that digital tools did not contain enough process controls to support efficient SR resolution. In the case of the SR type in our sample that had not been established on digital tools, a precise address, and action by the customer are both required to support BU resolution. The BU expressed concerns that these requirements cannot be incorporated fully into digital tools to support them in resolving the SR effectively and efficiently.

While short term implementation of the 2021 SAVE business case establishing digital tools will be supported through the SAVE governance process, establishing a digital tool working group would provide future additional efficiency opportunities by supporting further establishment of SR in digital tools.

Recommendation 5
Director, CSC, incorporate into a 311 governance and accountability framework (recommendation 2) a digital tool working group to support the future establishment of SR in digital tools.

Management Response:

Agreed.

Action Plan	Responsibility
CSC Director will investigate the feasibility of a digital working group within the context of recommendation 2.	Lead: Director, CSC Support: Manager, 311 Citizen Services Commitment Date: September 1, 2022