

AGENDA
CENTRAL FLORIDA EXPRESSWAY AUTHORITY
AUDIT COMMITTEE MEETING
May 21, 2015
8:00 – 9:30 AM Sandpiper Room #337

1. CALL TO ORDER
2. PUBLIC COMMENT - Pursuant to Florida Statute 286.0114 (2013) the Audit Committee will allow public comment on any matter either identified on this meeting agenda as requiring action, or anticipated to come before the Committee for action in reasonable proximity to this meeting. Speakers shall be limited to three minutes per person and the assignment of one person's time to another or designation of group spokesperson shall be allowed at the discretion of the Committee Chairman.
3. APPROVAL OF MINUTES – **Action Item** **TAB A**
 - A. March 5, 2015
4. INTERNAL AUDIT MATTERS- Protiviti **TAB B**
 - A. Status of Fiscal 2015 Internal Audit Plan- Info Item
 - B. Review and Acceptance of Back Office Customer Center Review- **Action Item**
 - C. Review and Acceptance of Prior Audit Recommendations Follow Up- **Action Item**
 - D. Discussion of the delivery of confidential internal audit reports- Info Item
 - E. Update on pending Internal Audit projects- Info Item
 - a. PCI 3.0 Gap Assessment
 - b. ITS Systems Security Review
 - c. Ethics Policy Compliance Review
 - d. 2013 COSO Governance Review
5. MEETING DATES AND TIMES
6. ADJOURNMENT

TAB A

**MINUTES
CENTRAL FLORIDA EXPRESSWAY AUTHORITY
AUDIT COMMITTEE MEETING
March 5, 2015**

Committee Members Present:

Eric Gassman, Orange County Representative
Barbara Lehman, Lake County Representative
Brian Battles, City of Orlando

Committee Member Absent:

Kaye Dover, Osceola County Representative
Bruce McMenemy, Seminole County Representative

Also Present:

Ruth Valentin, Recording Secretary/Office Coordinator
Darleen Mazzillo, Executive Assistant
Lisa Lumbard, Interim Chief Financial Officer
Laura Kelley, Deputy Executive Director of Finance & Administration
Linda Brehmer Lanosa, Deputy General Counsel
Phil Fretwell, Protiviti
Jeff Tecau, Protiviti
David Taylor, Protiviti

CALL TO ORDER

The meeting was called to order at 8:05 a.m. by Chairman Eric Gassman.

PUBLIC COMMENT

There was no public comment.

INTRODUCTIONS

Those in attendance at the meeting introduced themselves.

APPROVAL OF MINUTES

A motion was made by Mr. Gassman and seconded by Ms. Lehman to approve the November 21, 2014 Audit Committee minutes as presented. The motion carried unanimously with three members voting AYE by voice vote; Ms. Dover and Mr. McMenemy were not present.

INTERNAL AUDIT MATTERS

Status of Fiscal 2015 Internal Audit Plan

Mr. Tecau of Protiviti presented an update on FY 2015 Internal Audit Plans.

Discussion of Additional Hours for Back Office Customer Center Review

Mr. Tecau of Protiviti presented a review on the Back Office Customer Contact Service Center Review Planning and Scoping Memo.

Mr. Tecau explained that an additional 200 man hours is needed to conduct the Back Office Customer Center Review. CFX currently does not have the sufficient workforce to assist with data collection efforts to support this project, therefore Protiviti is requesting approval to provide the additional man hours.

A motion was made by Mr. Battles and seconded by Ms. Lehman to approve additional hours on the revised total hour budget for Back Office Customer Center Review. The motion carried unanimously with three members voting AYE by voice vote; Ms. Dover and Mr. McMenemy were not present.

Review and Acceptance of DHSMV Data Security Report

Mr. Taylor of Protiviti presented the DHSMV Data Security Assessment Report for acceptance.

Internal Audit identified zero (0) observations that should be addressed in order to enhance CFX's Driver's License or Motor Vehicle Data Exchange process.

A motion was made by Ms. Lehman and seconded by Mr. Battles to accept the DHSMV Data Security Assessment report. The motion carried unanimously with three members voting AYE by voice vote; Ms. Dover and Mr. McMenemy were not present.

Update on the PCI 3.0 Gap Assessment

Mr. Taylor of Protiviti provided the committee an update on the PCI 3.0 Gap Assessment. The version of the PCI dated security standard changed from version two to version three. It has been discussed to incorporate a solution of a point to point encryption. This means when credit card information is entered at the call center or service centers the information will be encrypted by a validated device and then submitted to the processing bank which will return a token. If this were to go into effect it would reduce the PCI compliance requirements.

Discussion of Fiscal 2015-2016 Risk Assessment

Mr. Tecau presented the proposed approach for the Fiscal 2015 – 2016 Risk Assessment. This Risk Assessment will be designed to identify and prioritize key areas of risk within the Authority to consider in creating the fiscal 2015 - 2016 Internal Audit Plan.

Mr. Tecau requested the Committee's input on the proposed FY 2015 - 2016 Risk Assessment approach. The committee suggested that Protiviti focus on the area of Bond Financing/Covenant Compliance (#17) as one area of heightened risk.

PROPOSED INTERNAL AUDIT BUDGET FOR FISCAL 2015-2016

Ms. Lumbard presented the Internal Audit Budget for Fiscal 2015 – 2016.

A motion was made by Ms. Lehman and seconded by Mr. Battles to maintain the budget at \$389,000 for Fiscal Year 2016. The motion carried unanimously with three members voting AYE by voice vote; Ms. Dover and Mr. McMenemy were not present.

OTHER BUSINESS

The committee proposed the next meeting be held on May 21, 2015.

It was proposed that we schedule the Audit Committee meetings through the end of the year. It was also suggested that the Statistical Reports be reviewed periodically by the committee.

ADJOURNMENT

The meeting adjourned at 9:20 a.m.

Pursuant to the Florida Public Records Law and CFX Records Management Policy, audio tapes of all Board and applicable Committee meetings are maintained and available upon request to the Custodian of Public Records at publicrecords@CFXway.com or 4974 ORL Tower Road, Orlando, FL 32807.

TAB B

a.



Central Florida Expressway Authority

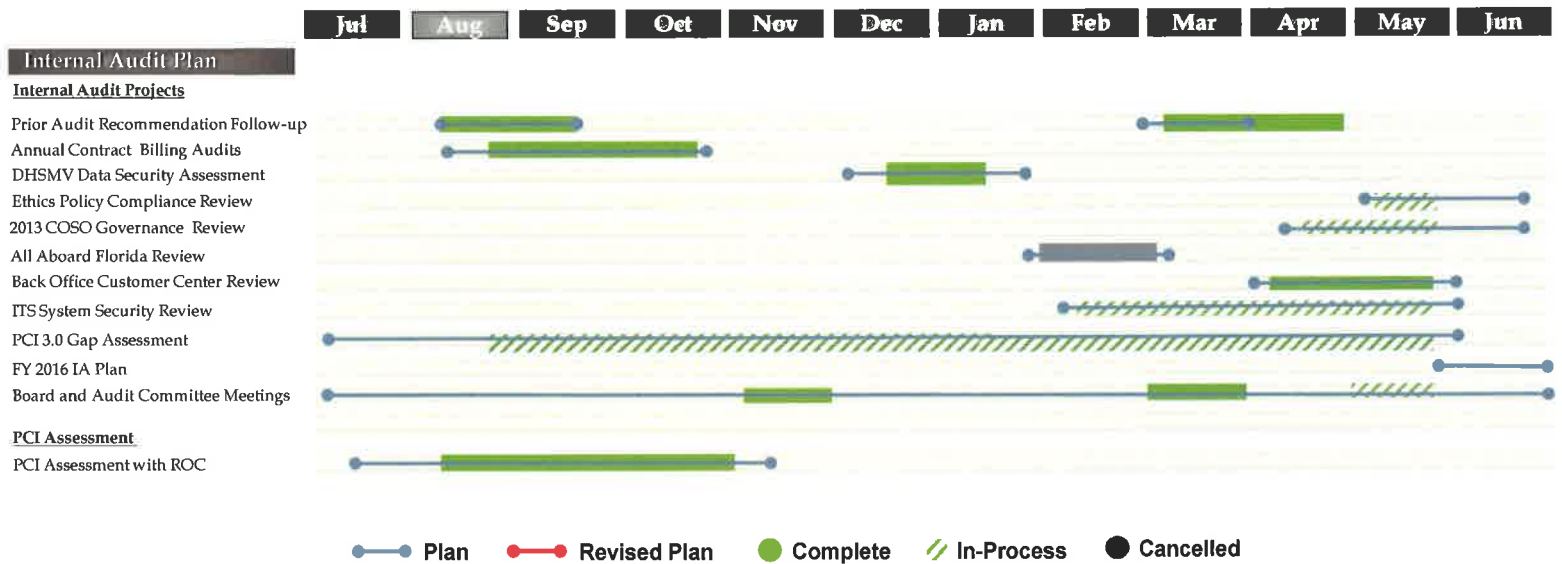
FY 2015 Internal Audit Update

May 21, 2015

*Powerful Insights.
Proven Delivery.¹³*

protiviti[®]
Risk & Business Consulting.
Internal Audit.

FY 2015 Internal Audit Plan Dashboard



TAB B

b.



*Powerful Insights.
Proven Delivery.™*

Central Florida Expressway Authority

Back Office Customer Call Center Review May 2015

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Executive Summary

Overview

In accordance with the 2015 Internal Audit Plan, Protiviti conducted a performance review of the existing customer call center operations, with a focus on evaluating the efficiency and effectiveness of the call center.

The Authority utilizes a third-party vendor to provide call center customer services. The call center currently leverages a total of 46 full and part-time agents to support its call center operations (excluding image processing personnel). The average daily call volume is approximately 2,200 - 2,500 calls per day. The call volume follows a consistent pattern, with volume peaks in the morning and late afternoons and the highest volumes occurring on Mondays and Fridays.

The call center services consist of UTN payments (33%), customer service (32%), VES Response Line (19%), account replenishments (11%), and new E-PASS accounts (1%).

The technology used in the call center is based on an Avaya 8700 platform that is implemented in a configuration using multiple physical data centers. The Authority is in the process of selecting and acquiring a new Intelligent Voice Response solution to support its call center operations as it moves to a centralized back office center.

Objectives

The objectives of the review were to (1) develop an understanding of the center's current state operations, (2) provide the Authority with recommendations and leading practices to consider implementing as the Authority moves to a centralized back office, and (3) provide a benchmark for evaluating the future performance of the centralized back office contact center.

Project Scope and Approach

The call center performance review was accomplished through the execution of four inter-related work streams designed to analyze, document, and quantify the call center's application of people, process, and technology to provide customer service:

- People: Executive, Operations, IT, and Call Center Management Interviews
- Process: Detailed Call Analysis
- Statistical Analysis: Review and analysis of Call Center historical reporting
- Technology: Infrastructure and Application Review

The review was conducted over the period of March 23 – April 16, 2015 with the assistance of the Authority management and the third party call center operations vendor. A total of 400 call observations were performed during the evaluation of the call center operations.

Summary of Audit Results

Internal Audit identified the following 6 observations and enhancement opportunity while performing the performance review procedures. Internal Audit classified the findings using a relative priority of high, medium, or low to provide management with a basis for evaluating them in the overall context of this report.

Observation #1 – Call Handling Performance

The call center is experiencing prolonged periods of high Average Speed of Answer (ASA) times. There are opportunities to improve agent utilization and manage scheduling to decrease the average speed of answer and positively impact the customer experience.

*Relative Priority: **High***

Observation #2 – Customer Call Experience

There is inconsistent and duplicative information presented to customers on the call center phone menus and prompts. There are opportunities to improve caller experience for those dialing into the center by making prompts, menus and messaging more consistent.

*Relative Priority: **High***

Observation #3 – Call Center Reporting and Analytics

The Authority and the third party call center vendor have opportunity to more fully utilize available performance reports to monitor call center key performance indicators. The call center currently tracks Average Speed of Answer, After-Call-Work, and handle times but does not track or monitor the factors that drive these statistics. There are opportunities to improve the call center efficiency and effectiveness by reviewing and utilizing additional statistical reports which Internal Audit has partnered with the Authority to help develop as a part of this review.

*Relative Priority: **Medium***

Observation #4 – Standardized Call Flow and Quality Assurance Processes

There is not a standardized call flow established to ensure consistent customer call handling and service. In addition, the quality assurance process does not evaluate call center agents on a standard call flow. Aligning Quality Assurance forms and monitoring to a standardized call flow can serve to improve overall quality measurement while enabling analysts to focus on those behaviors that have the greatest impact on call quality.

*Relative Priority: **High***

Summary of Audit Results (Cont.)

Observation #5 – Inbound Call Deflection and Avoidance

There is an opportunity to reduce inbound call volume by improving the call center agent messaging and improving the Authorities web presence to make it more user friendly. Reduced call volume can lead to cost reductions.

*Relative Priority: **Medium***

Observation #6 – Call Automation

Up to 30% of a call center agents call handling time is spent identifying the customer and retrieving their account information. There is an opportunity to reduce the call handling time by introducing call automation, which would identify and validate customers prior to reaching the call center agent.

*Relative Priority: **High***

Detailed Observations

Call Handling Performance

Call Experience

Reporting and Analytics

Quality Assurance Processes

Call Deflection

Call Automation

Observation 1 –Call Handling Performance.

Relative Priority: High

The call center has a target Average speed of Answer (ASA) of 60 seconds. Currently the call center's ASA is approximately 128 seconds, which is consistent across all call types and skills. There are several factor that play a role in the prolonged ASA times. Call center agents spend approximately 50% of their time handling inbound calls while 30% of agent time is spent in various auxiliary states, including After-Call-Work (ACW), which represents about 50% of agent auxiliary time on average.

The Authority's Avaya Automatic Call Distribution ("ACD") system is programmed to provide an automatic 20 seconds of ACW at the end of each call for the call center agent to complete servicing the call, make notation on the customer's account, etc. The industry average ACW is between 12-15 seconds. Based on the 400 calls observed, there is not a great deal of after-call work activity performed.

Recommendation:

The Authority should consider making changes to the call center agent scheduling to leverage part-time staff and improve agent utilization to increase agent availability and lower average speed of answer to the call center's target of 60 seconds. There are several inexpensive staffing tools that can be utilized to effectively manage the call center schedule, such as ccModeler.

The Authority and third party vendor should also consider performing additional analysis into the factors that drive the ACW time to determine if the ACW time can be reduced in an effort to improve agent availability and improve the ASA. The analysis should include an evaluation of the actual time utilized to capture call servicing notations and other information after the call has ended, and evaluate the extent to which these activities are utilized to service customers or improve the efficiency of future calls.

Management Response:

The Authority concurs.

Management Action Plan:

The Authority will utilize the recommended ccModeler program to analyze the leverage call center resources more effectively and increase agent availability. The Authority will also adjust the After-Call-Work (ACW) time to 15 seconds.

Action Plan Owner / Due Date :

David Wynne, Director of Toll Operations, and Joann Chizlett, Director of Information Technology/ June 30, 2015

Detailed Observations

Call Handling
Performance

Call Experience

Reporting and
Analytics

Quality
Assurance
Processes

Inbound Call
Volume

Call Automation

Observation 2 – Customer Call Experience

Relative Priority: High

Each inbound call to the call center routes the customer to the Intelligent Voice Response (“IVR”) system from which the customer selects service options from a prompt. The customer is then routed to the Vector Steps, which provides additional messaging and routes the call to an available call center agent.

Within the IVR and Vector steps the following inconsistencies and duplicative information are delivered to the customer, which if corrected, could improve the overall customer call experience:

1. The call prompts utilize a mix of different male and female voices leading to an abrupt and inconsistent customer experience.
2. The inter-prompt and queue treatment consists of a mixed use of silence, ringing, messaging, and music while the customer is on-hold and as the customer transitions from one vector step to another.
3. E-PASS main menu has redundant options to “return to main menu” and “repeat options”. The menu also allows callers to opt out to a customer service representative using option “0” which may lead to prolonged call handling times.
4. Hours of operation and locations are given to callers even though the center is open. This information would normally only be presented after-hours.
5. The center does not leverage Estimated Wait Time (“EWT”) prompting to inform callers of wait times and potentially redirect callers to online servicing.

Recommendation:

There are opportunities to improve the prompts and messaging delivered to customers contacting the Authority by improving prompt and call treatment consistency and attempting to direct more callers to online servicing. The Authority should consider the points above and conduct a thorough evaluation of vector programming and IVR prompting during the implementation of the centralized back office contact center IVR platform to ensure consistent treatment and the use of EWT to inform callers of high wait times and reinforce the use of online or other servicing options.

Detailed Observations

Call Handling
Performance

Observation 2 – Customer Call Experience (cont.)

Management Response:

The Authority concurs.

Call Experience

Management Action Plan:

The Authority is in the process of procuring and implementing a new IVR system for E-PASS which will include back-up hardware, and the improvement recommendations will be taken into account at that time. In addition, the Authority will provide the recommendations to the centralized back office contact center vendor for consideration during the development of any IVR technology, if the Authority were to agree to move forward with the centralized back office contact center.

Reporting and
Analytics

Action Plan Owner / Due Date:

Joann Chizlett, Director of Information Technology/ June 30, 2016

Quality
Assurance
Processes

Inbound Call
Volume

Call Automation

Detailed Observations

Call Handling
Performance

Call Experience

Reporting and
Analytics

Quality
Assurance
Processes

Call Deflection

Call Automation

Observation 3 – Call Center Reporting and Analytics

Relative Priority: **Medium**

The Avaya Phone system can provide reporting that would allow the Authority and the third party vendor to monitor the overall customer service experience and the effectiveness and efficiency of the call center operations. Currently, the Authority utilizes reports to assess the key metrics listed below. However, the Authority does not routinely monitor reporting that would give insight into the underlying factors that drive key metrics in order to achieve performance targets.

Performance Activity	Target Performance	Actual Performance
Average Speed of Answer	60 Seconds	128 Seconds
Utilization	85%	70%
Abandon Rate	5%	8%
Average Talk Time	200 Seconds	228 Seconds
After-call Work (ACW)	100 Seconds	30 Seconds

Recommendation:

The Authority should use detailed reporting to more accurately measure and assess performance factors that drive key statistics. Internal Audit has partnered with the Authority to develop many of these reports as a part of this review. The Authority should use the reports to develop process improvements to improve the call center's operations and achieve the performance targets. Specific reports that should be leveraged include agent attendance and agent aux reports.

Management Response:

The Authority concurs

Management Action Plan:

The Authority will track daily, weekly and monthly service level data to assess and improve the performance targets. Service Level is currently set at 80% and will be modified accordingly.

Action Plan Owner / Due Date :

David Wynne, Director of Toll Operations/June 1, 2015

Detailed Observations

Call Handling
Performance

Call Experience

Reporting and
Analytics

Quality
Assurance
Processes

Call Deflection

Call Automation

Observation 4 - Standardized Call Flow and Quality Assurance Processes

Relative Priority: High

Aligning call quality attributes to a standardized call flow process enables an organization to assess, measure and address specific behaviors that are aligned to call handling performance objectives, such as call handle time and use of ACW. The standard segments of a call flow include Greeting, Caller Identification, Caller Validation, Service identification, Service Delivery and Wrap up.

The Authority's call center quality assurance program is aligned to measure quality in a generalized manner and is not aligned to a standardized call flow. The current call center quality assurance forms are made up of 29 Yes or No questions and 5 additional questions that are measured on a gradient of 1-3. The form does not include "automatic fail" questions/responses that would indicate the need for immediate re-training.

As a leading quality assurance practice, all questions should be measured on a gradient whenever feasible. Aligning the quality form to a standardized call flow enables the use of gradients more easily because it allows the behaviors measured to be compared against a specific business process and related goals.

Recommendation:

To improve the quality assurance process, the Authority should identify a standardized call flow for the types of calls handled by the call center and identify the specific behaviors and skills that should be measured within each segment of the call. This process would enhance the quality assurance process to allow for specific guidance to CSR's and align quality criteria to measurable business goals and objectives (e.g. reduction of call handle time).

Management Response:

The Authority concurs

Management Action Plan:

The Authority will work with the third party call center vendor to revise the current quality assurance process to align with the call quality attributes to measure business objectives.

Action Plan Owner / Due Date:

David Wynne, Director of Toll Operations/ July 1, 2015

Detailed Observations

Call Handling
Performance

Call Experience

Reporting and
Analytics

Quality
Assurance
Processes

Call Deflection

Call Automation

Observation 5 - Inbound Call Deflection and Avoidance

Relative Priority: **Medium**

While the messaging delivered to callers in both the IVR and Vector messaging reminds callers that unpaid toll notices can be paid online, the Authorities web presence could be improved to make the process of making payments online more intuitive. Links to unpaid toll payment options are not plainly visible and require additional navigation that we believe is deterring customers from utilizing the online service and instead placing calls into the center.

In addition, throughout the course of the 400 call observations, there were only a handful of calls (fewer than 5) where the agent reminded the caller that purchasing a transponder or replenishing their account would allow them to avoid toll violations in the future.

Also, the Authority's corporate phone number is often called when a customer is trying to contact the call center. These calls are received by the Authority's receptionist and transferred to the call center.

Recommendation:

The Authority should consider launching an E-PASS product and services website, independent of the corporate website, that would focus on the customer experience and E-PASS activity. An E-PASS focused website would allow customers to navigate the site with ease and would help to deflect customer service activities, such as making unpaid toll notice payment and account replenishments, to the website.

Also, call center agent training should also be considered to reinforce the importance of reminding customers to replenish their accounts and/or purchase a transponder in cases where an in-state customer is contacting the authority about a toll violation or citation. These improvements can deflect calls and reduce volume of calls received by the call center.

The Authority should also consider adding prompts to the treatment provided on the main number to route callers to the call center in order to limit the number of call center calls received by the receptionist.

Detailed Observations

Call Handling
Performance

Observation 5 - Inbound Call Deflection and Avoidance (cont.)

Management Response:

The Authority concurs. The corporate website is being redeveloped and the content is managed by the CFX Communication Department. Toll operations and the IT Directors will discuss the website recommendations with the Communication Department.

Management Action Plan:

1. The Director of Toll Operation and IT will schedule a meeting with the CFX Communication Department to discuss the recommendations to the website and evaluate which recommendation can be implemented.
2. The call center scripts will be updated to include a reminder to customers to replenish and/or purchase a transponder at the end of each call.
3. The Authority will consider adding prompts to the treatment provided on the main number to route callers to the call center in order to limit the number of call center calls received by the receptionist.

Reporting and
Analytics

Quality
Assurance
Processes

Action Plan Owner / Due Date:

1. Consider Website Enhancements Opportunities - David Wynne, Director of Toll Operations, and Joann Chizlett, Director of Information Technology/ August 1, 2015
2. Call Center Script Enhancements – David Wynne, Director of Toll Operations/June 1, 2015
3. Consider Routing of Call Center Calls From Corporate Main Phone Line - Joann Chizlett, Director of Information Technology/ August 1, 2015

Call Deflection

Call Automation

Detailed Observations

Call Handling
Performance

Call Experience

Reporting and
Analytics

Quality
Assurance
Processes

Call Deflection

Call Automation

Observation 6 - Call Automation

Relative Priority: **High**

The majority of calls handled by the Authority are payment related, including payment of Unpaid Pay Notices and Citations and account replenishment. During these calls, agents spend an average of 68 seconds identifying the caller and accessing their account. This represents approximately one-third of the total talk time of the call. A combination of call automation (attempting to identify the caller via the phone number that they are calling from) and agent training to obtain the information required to identify the customer and access their account as efficiently as possible could significantly reduce the handle time of calls.

Recommendation:

The Authority should conduct further analysis to determine the percentage of inbound calling line ID's that can be linked to one or more existing accounts in the Authority's servicing applications. If this percentage is greater than 40-50%, this would indicate a substantial opportunity to automate inbound calls and thereby reduce overall handle times.

In addition, the Authority should consider developing and conducting agent training to enable agents to take control of inbound calls and identify the information needed to access the caller's notifications, citations, and/or the caller's account as efficiently as possible.

Management Response: The Authority concurs with the need for additional training of call center agents to better take control of a call to facilitate more efficient call handling.

Management Action Plan:

1. Further analysis will be conducted to determine the percentage of inbound calls associated with active customer accounts. Based on results of the analysis, The Authority will determine if it is feasible to incorporate call automation based on strategic direction as it relates to the deployment and CFX involvement in centralized back office contact center.
2. The third party call center vendor will provide refresher training on "Call Control" and incorporate "Call Control" techniques into new agent training.

Action Plan Owner / Due Date :

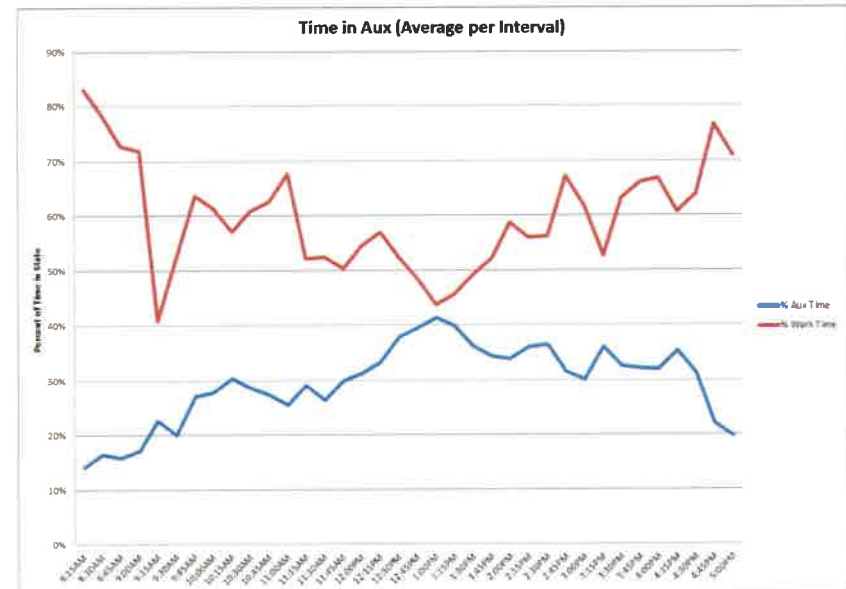
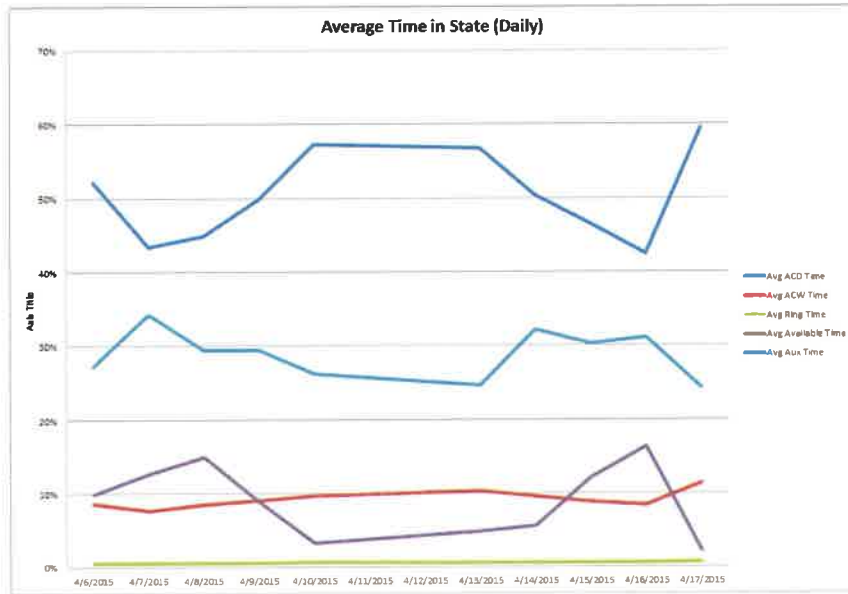
1. Call Automation Analysis – David Wynne, Director of Toll Operations, and Joann Chizlett, Director of Information Technology/ July 1, 2015
2. Call Center Agent Call Handling Training Material – David Wynne, Director of Toll Operations/ August 1, 2015



Appendix A

SUPPORTING DATA

Agent Utilization

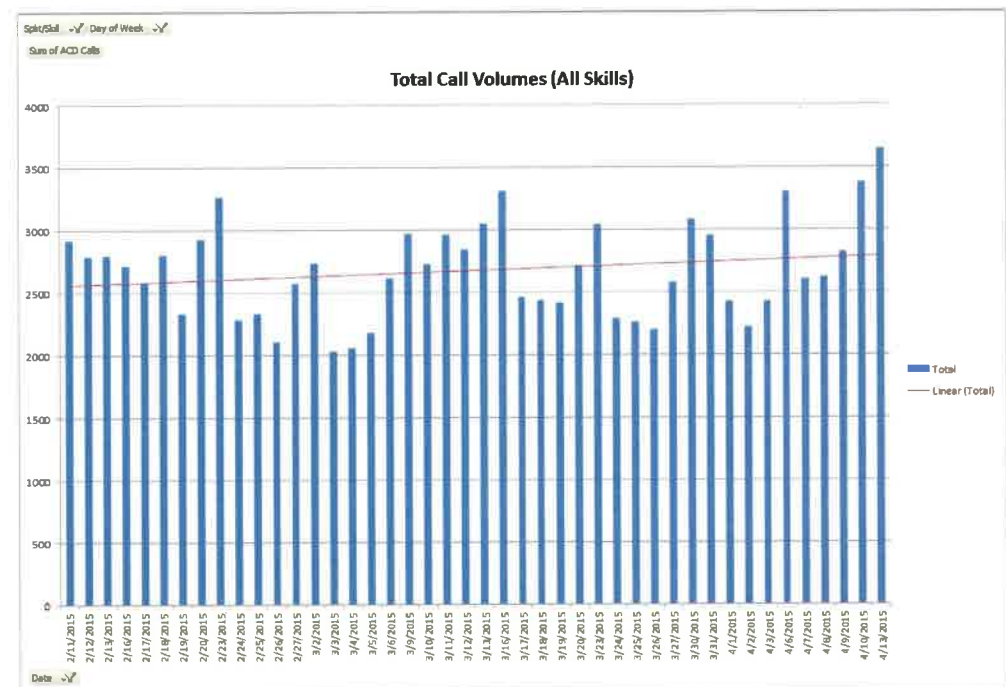


- **CSR's spend about one-third of their day in various auxiliary states**
- **50% of aux time is spent in ACW ("After-call Work")**

Call Volume and Distribution

- Call Volume and Distribution

- Call volumes appear to peak mid-month, perhaps due to billing or notice distribution cycles
- Average daily volume is approximately 2200-2500 calls per day across all Skills
- Uptick in volumes in mid-April may be attributable to seasonal travelers in the Orlando area
- Authority sends toll notices on 1st week of month, notices go out following week



Call Volume and Distribution

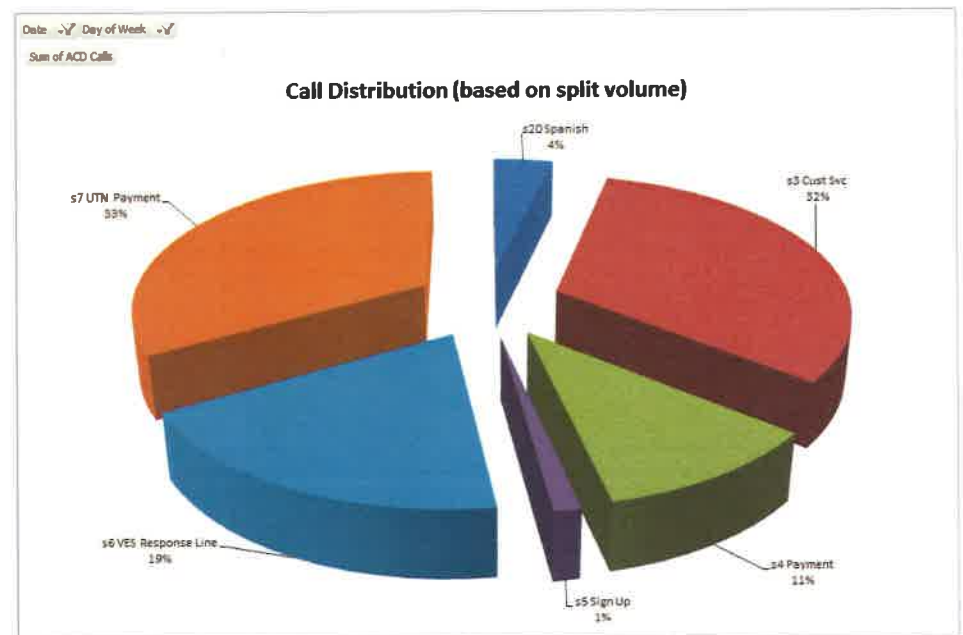
- Call Volume and Distribution

- Call volumes seem to follow consistent and predictable pattern on all time scales (daily, weekly, monthly) with the highest volumes occurring on Mondays and Fridays
- Call distribution based on statistical data gathered from the Expressway Authorities ACD system as well as direct observations show that the majority of calls are related to payments of Unpaid Toll Notices, Uniform Traffic Citations, and VES
 - The majority of calls offered to the Customer Service Skill were actually requests to pay toll violations or questions related to toll violations



Call Distribution

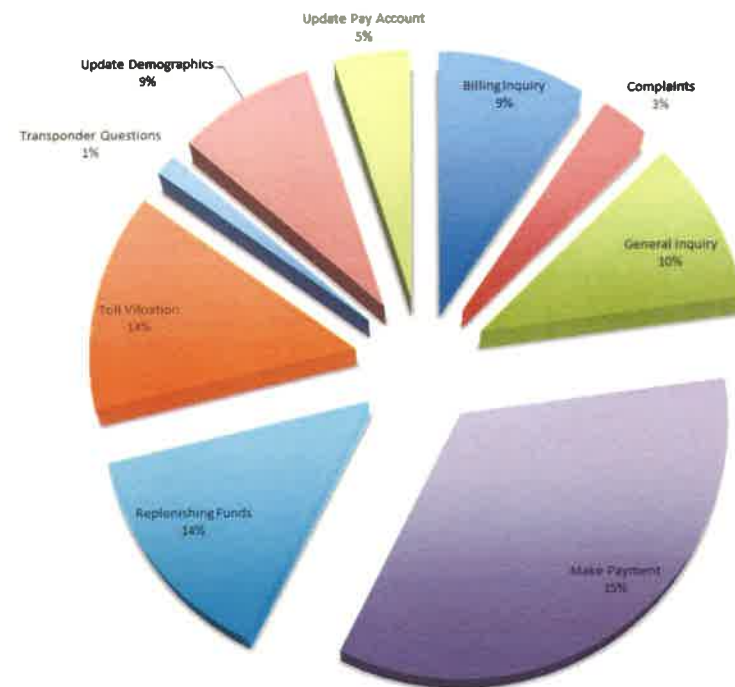
- Call Distribution to Skills
 - Based on call distribution to skills, the Expressway Authorities calls are distributed as follows:
 - UTN Payments – 33%
 - Customer Service – 32%
 - VES Response Line – 19%
 - Payments – 11%
 - Spanish – 4%
 - Sign ups – 1%
 - The distribution of calls is determined by the number the caller dials and choices made in the vector handling the incoming call.



Call Distribution

- Call Volume and Distribution
 - Call distributions as determined through direct observation of calls during the audit confirm the data seen in the statistical analysis of call volumes by skill, the majority of calls processed by the center are related to payment of toll violations
 - This includes calls related to UTN/UTC, VES, and consumers who had either a SunPass or E-PASS transponder but insufficient funds available to cover the toll
 - Over 50% of callers contacting the call center to inquire to make payments towards UTN/UTC were not E-PASS customers - The vast majority of these were SunPass customers who received notices of toll violations.

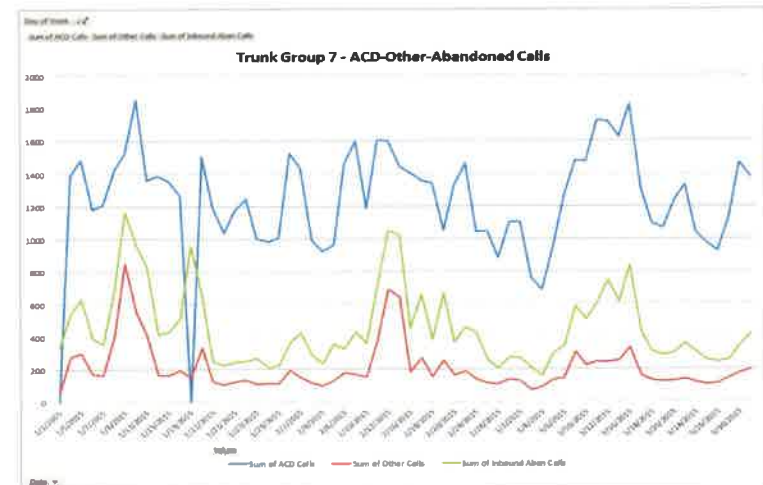
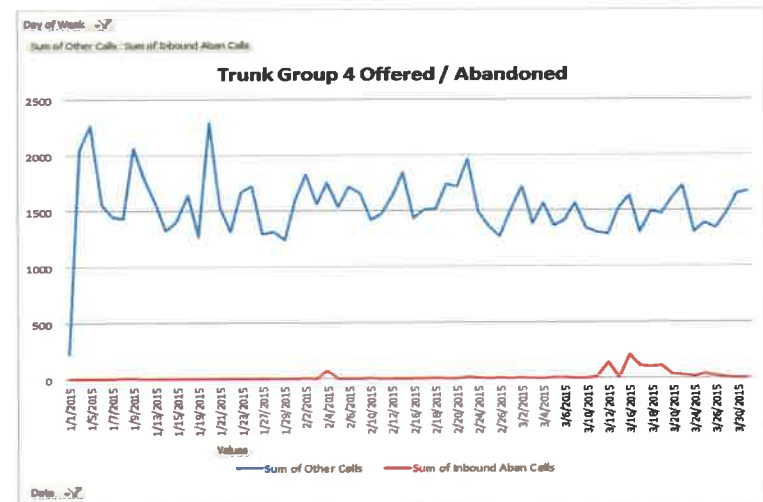
Call Distribution based on Call Monitoring



Trunk Groups

• Trunk Group Performance

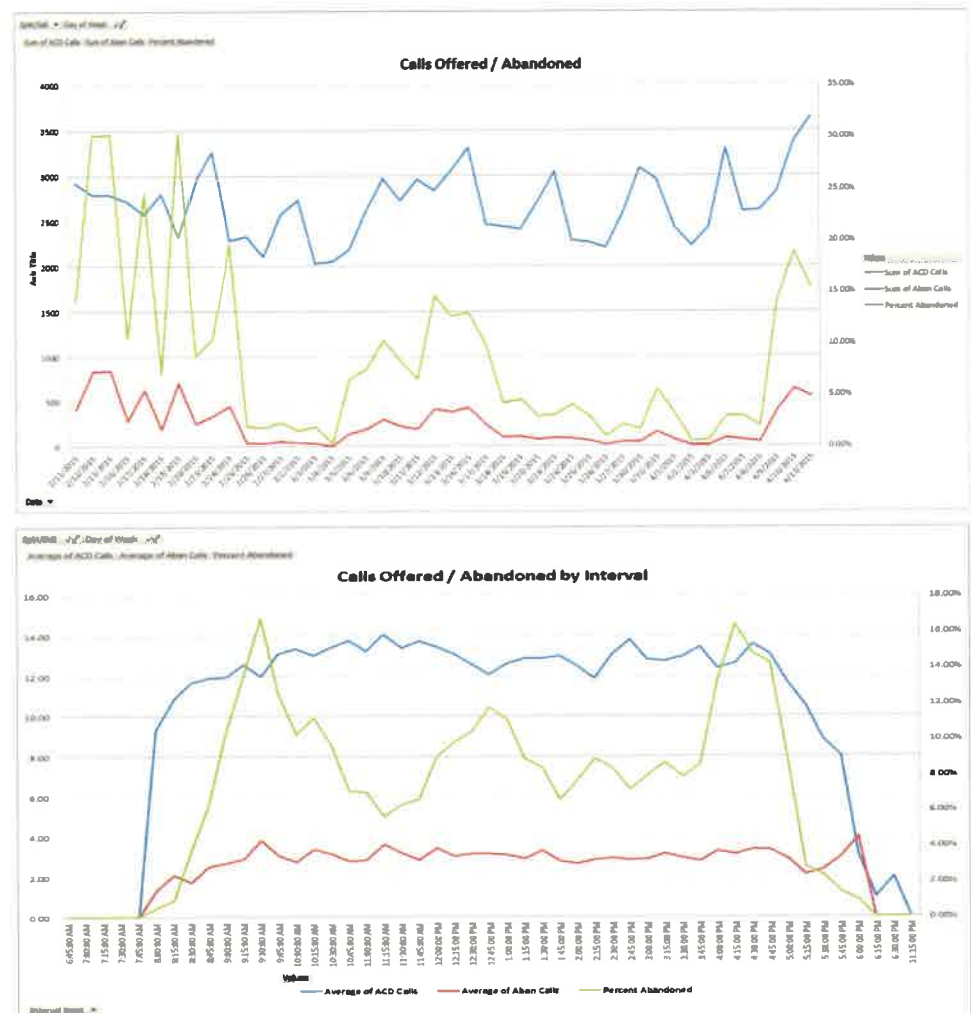
- Trunk Group 4 is the main E-PASS (823-7277) number.
- TG 4's abandon rate is nominal but the TG is either not measured or is dropping calls into a VDN that is not measured as no ACD calls were shown in the data provided
- TG 7 handles VES inbound calls
 - Abandon rate is very high on average
 - Abandon peaks seem to correspond to "Other" call traffic offered to group
 - This other call traffic is most likely the result of inbound transfers from the front desk (customers calling CFX admin number in lieu of call center) to the "IVR"



Call Handling

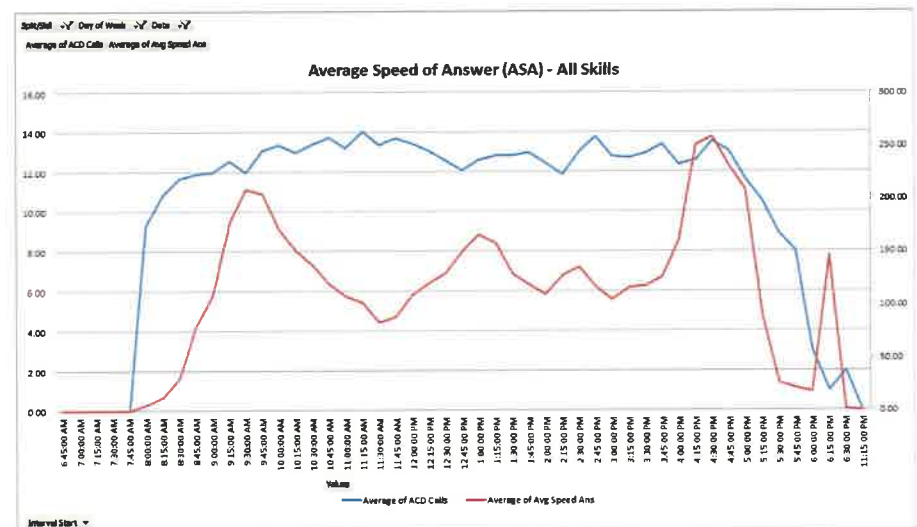
• Call Handling Performance – Abandoned Calls

- Calls offered versus abandoned is high averaging about 8% per day
- The daily rate is driven higher by mid-month spikes in volume
- Exceptionally high abandon rates in mid-to-late February were due to issues related to the Expressway Authority's inbound service trunks. This issue was resolved just prior the the start of the audit.
- Abandon rates tend to peak at the beginning and end of the day driving overall daily rates higher
- Similarly, a peak is also evident mid-day as inbound volumes decrease and abandon rates remain constant



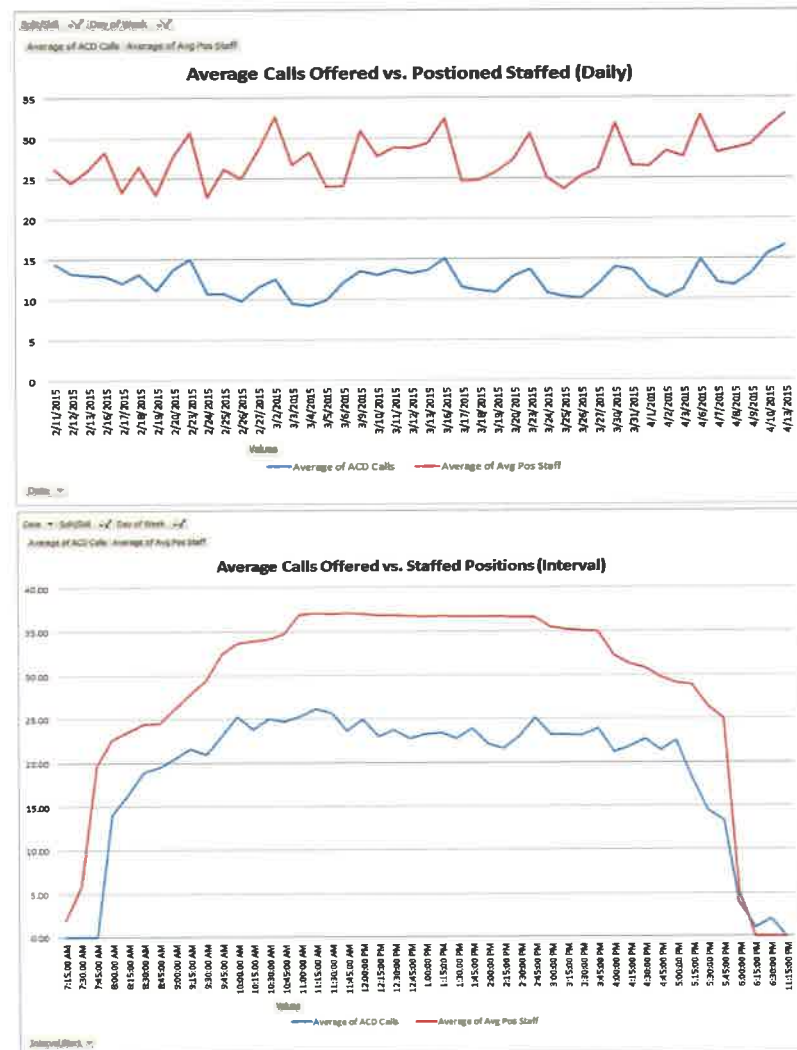
Call Handling

- Call Handling Performance – Average Speed of Answer
 - The center's average speed of answer is just over 2 minutes (128 seconds) on a daily basis
 - Peaks in the morning and late afternoon drive this average and coincide with volume peaks discussed previously.
 - Center target ASA is 60 seconds
 - Service level is not measured or tracked
 - ASA is consistent across all call types/Skills but is marginally higher for Spanish



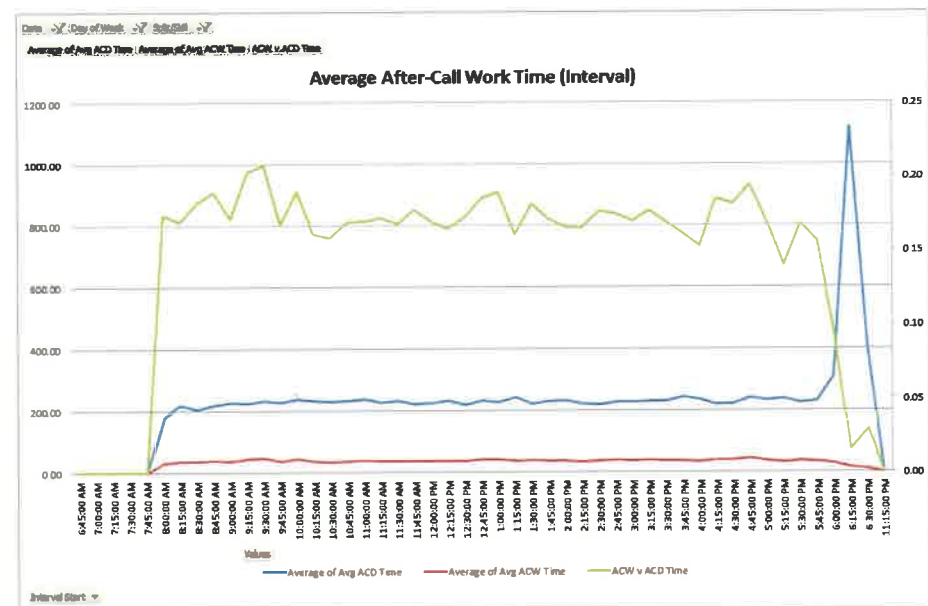
Call Handling

- Call Handling Performance – Staff vs. Volume
 - Average positions staffed tracks volume at both daily and interval level scales
 - This is a generally good indication that staff are responding correctly to inbound volumes and that schedules align at a course level to overall volumes

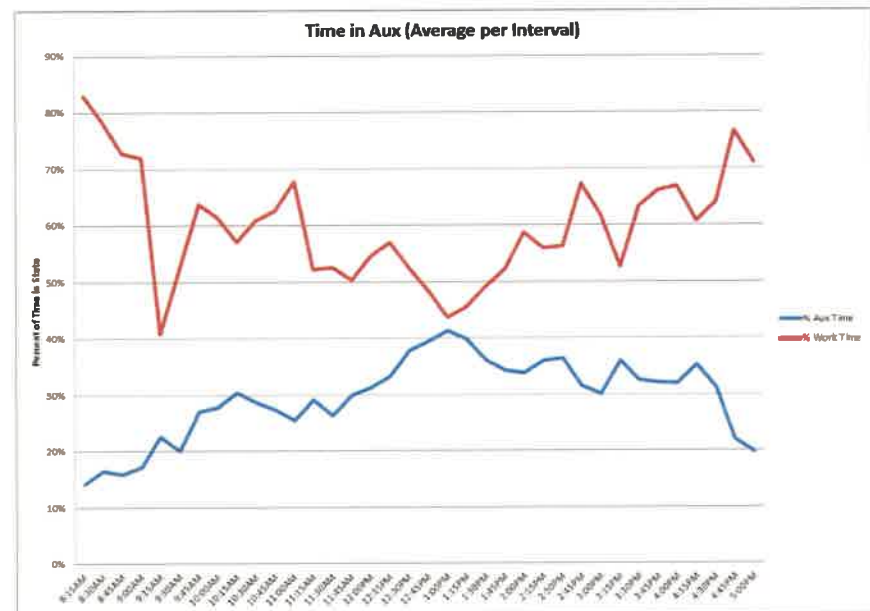
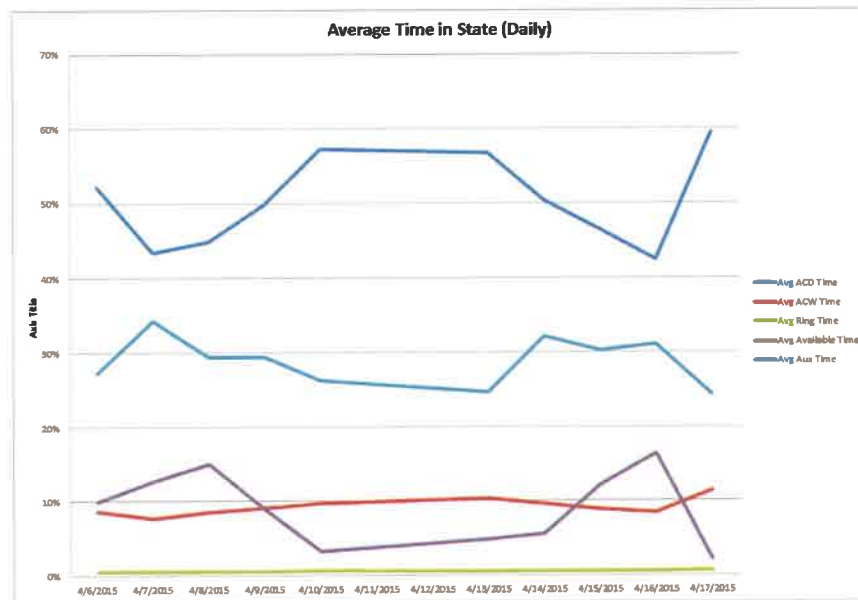


Call Handling

- Call Handling Performance – Use of ACW (After-call Work)
 - Agent use of ACW is averaging about 17% overall and is generally consistent throughout the day and between different Skills/Splits.
 - Use of ACW is highest in the Payment Skill followed by Customer Service
 - Use of ACW is lowest for UTN calls
 - The consistent use of ACW at this level may be indicative of opportunities to improve either agent servicing applications
 - ACD programmed to provide 30-second automatic ACW at end of call
 - 12-15 secs would be more typical
 - 100 second average target across all call types



Agent Utilization



Quality Assurance

- Quality Assurance Tools and Processes

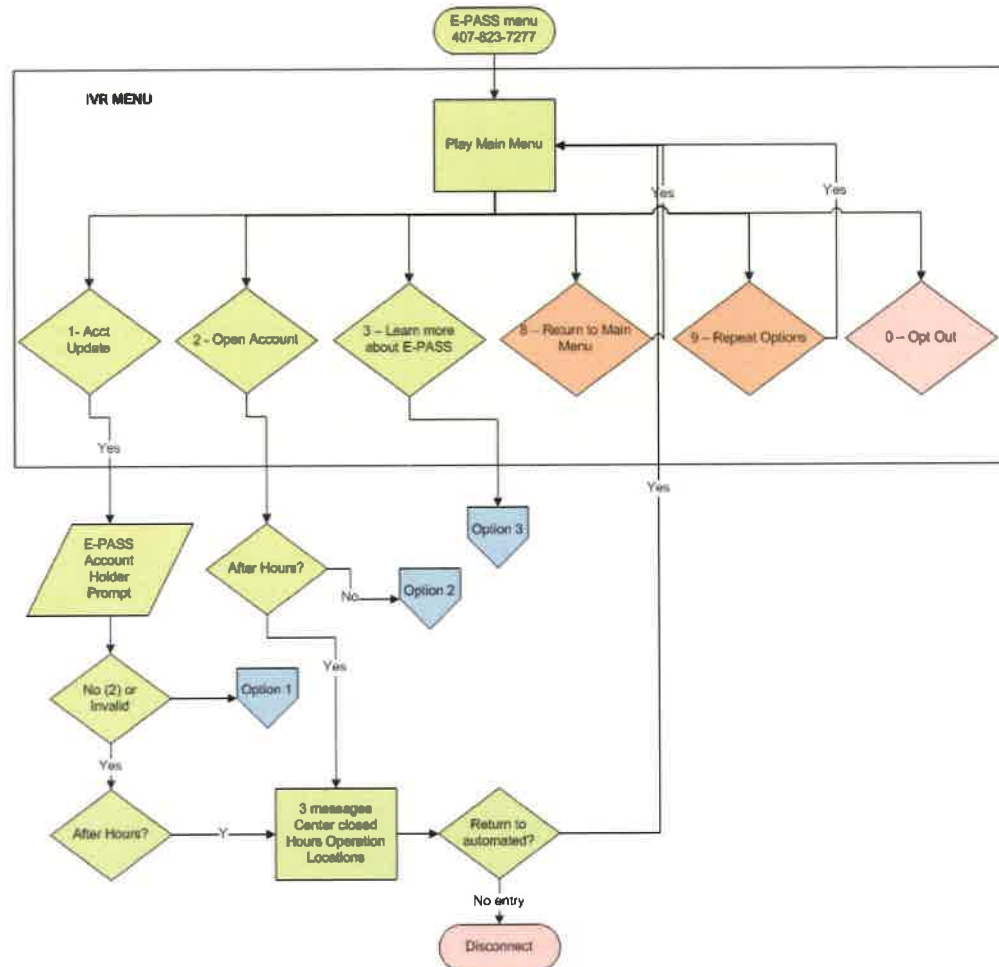
- QA System and Process

- The Expressway Authority uses an QA system called “Virtual Observer” that supplies up to 4 ports of monitoring. The system’s hardware (Windows Server 2003 R2) will soon be out of service (no longer supported by Microsoft or other 3rd party vendors – July 14, 2015).
 - The Virtual Observer system records the audio portion and screen capture
 - The form used to score QA consists of 29 questions that are scored Yes, No or NA and are related to specific behaviors the agent exhibited on the call in addition to 5 Customer service behaviors (e.g. was the CSR polite) that are scored on a 3-point gradient.
 - The center has a target of monitoring 2% of agent calls per month and provides feedback to the agents in the form of a simple form (“Areas of Opportunity”) that indicates to the agent where they can improve on call handling and customer service
 - The QA team consists of 2 full-time QA analysts

- Opportunities to improve QA Processes

- Although we did not observe this behavior, we have been told that the QA system has a tendency to “wake-up” in the beginning of a call and is not specifically programmed to or capable of recording the entire call from start to finish
 - Although the QA form does a good job of tracking specific desirable behaviors, as a best practice, the form should be structured around an ideal call model that breaks the call into pre-defined segments that each have specific behaviors that should be monitored based on the call type – this process makes it easier for QA analysts to follow the call while simultaneously identifying the behaviors that should be observed to improve call quality, call efficiency, and overall customer satisfaction.

E-PASS Main Menu Flow



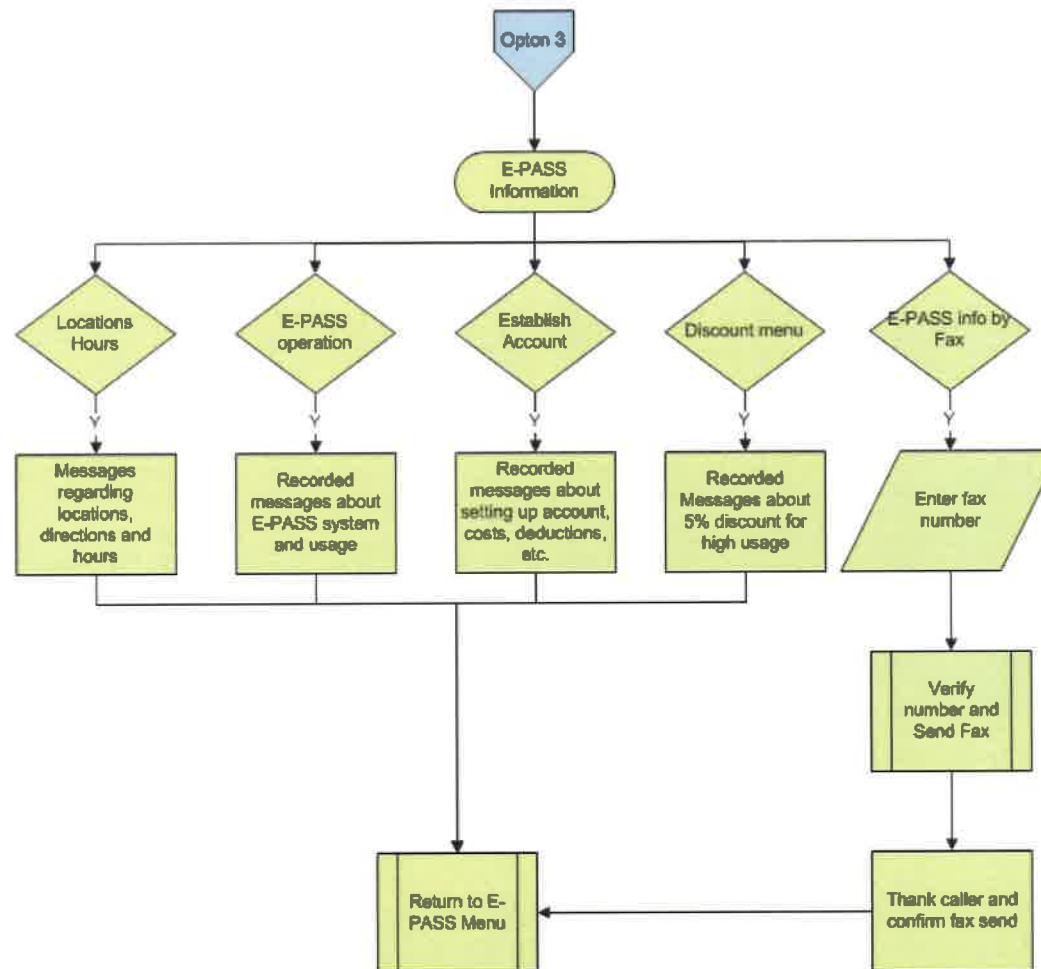
E-PASS Main Menu Flow



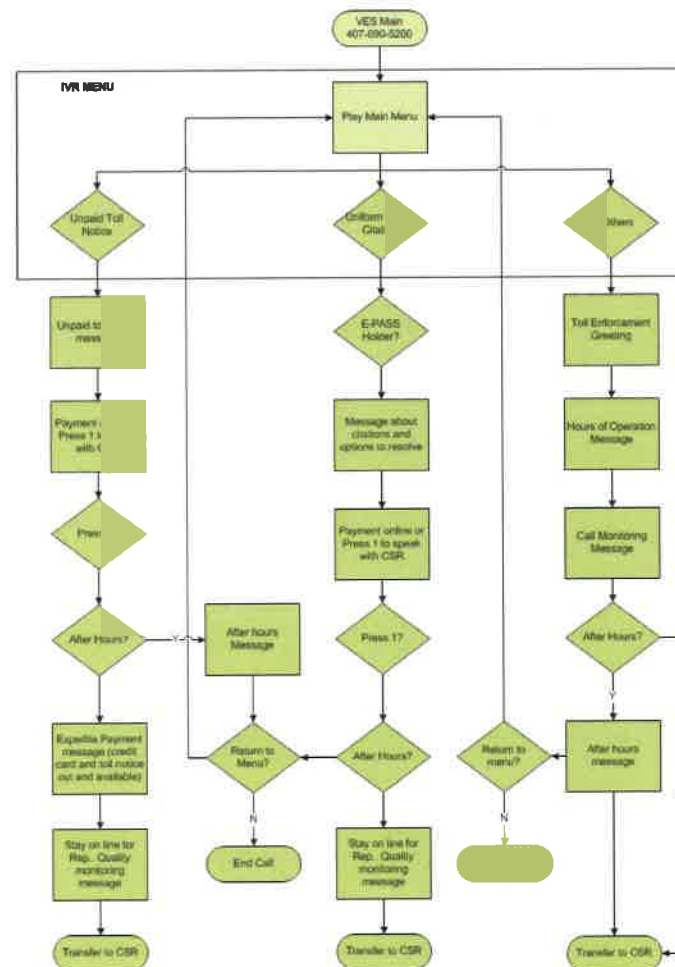
E-PASS Main Menu Flow



E-PASS Main Menu Flow



VES Main Menu Flow



CFXWAY.com Customer Experience

Central Florida Expressway Authority

Unpaid Tolls

Get E-PASS Today

Frequently Asked Questions

Because roads don't stop at county lines, the regional Central Florida Expressway Authority's jurisdiction includes Lake, Orange, Osceola and Seminole Counties. CFX is

SUNPASS PREPAID TOLL PROGRAM

Pay Toll Documents

Pay Documents

Cash Payments

CFXWAY.com Payment Navigation

The screenshot shows the Central Florida Expressway Authority website. The main content area is titled "Unpaid Tolls". It includes a section "What happens if a driver who passes through a toll plaza without paying the proper toll and getting a green light?" and a "Unpaid Toll Information" section. A large blue arrow points from the "Unpaid Tolls" section to a "Welcome to Central Florida Expressway Authority's UTC & UTN Payment Site" page. A black arrow points from the "Welcome" page to a banner at the bottom of the slide that reads "Uniform Traffic Citation (UTC) & Unpaid Toll Notice (UTN)".

Call Automation

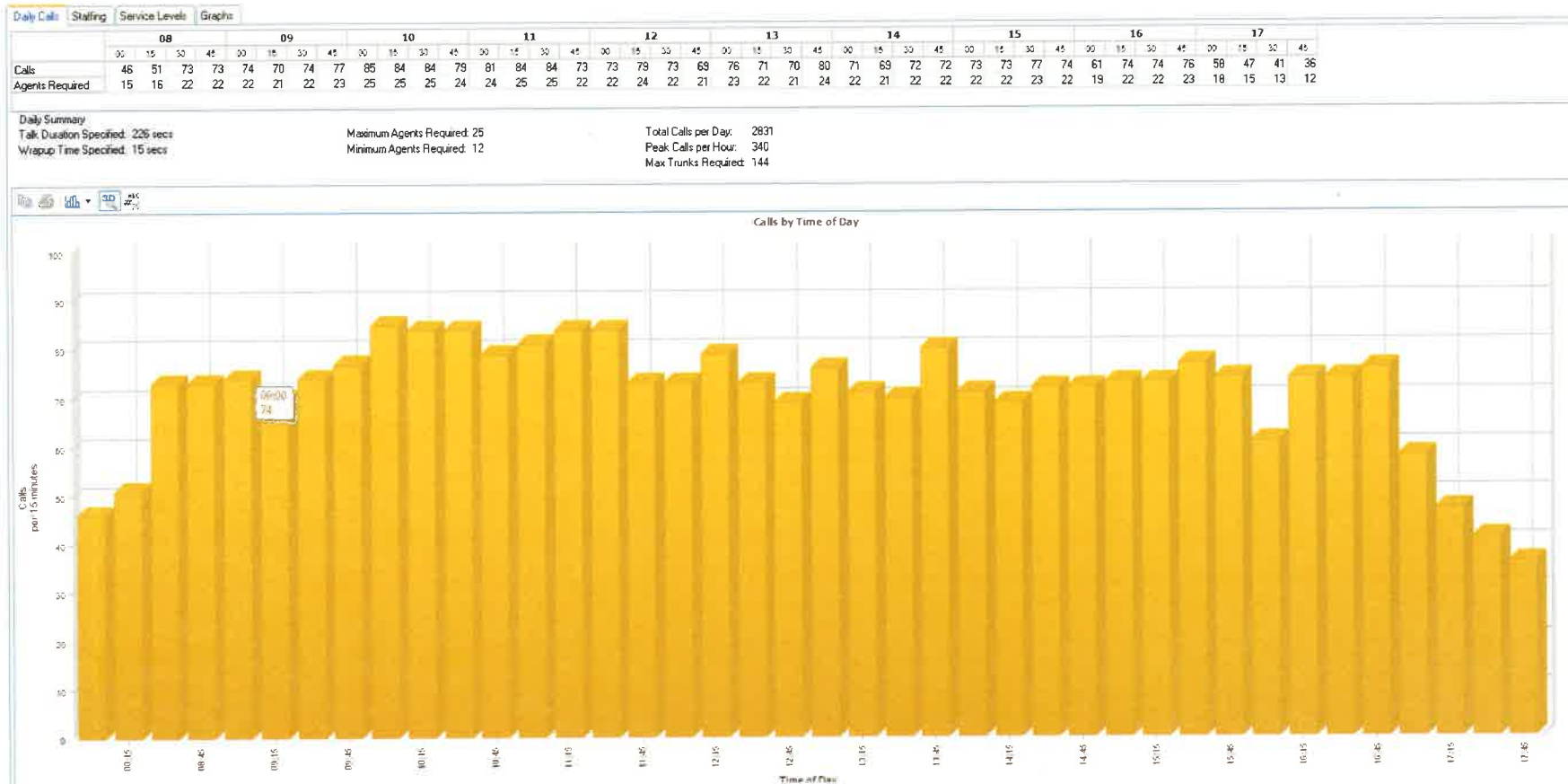
• Call Automation / IVR Treatment

– Segment Times

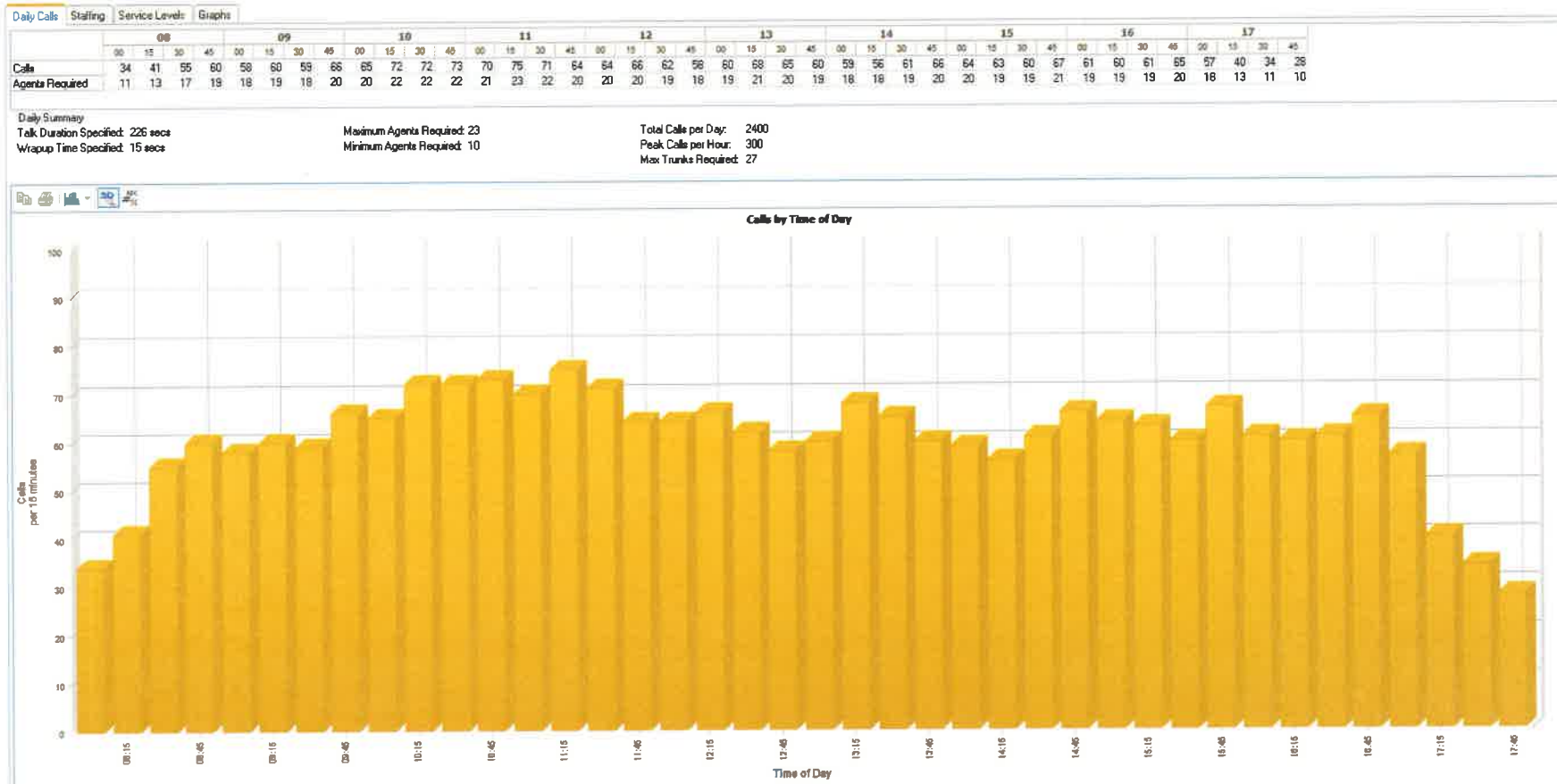
- Based on call observations, the average talk time for all call types was about 226 seconds
- Of this time, an average of 67 seconds or 30% of the handle time was spent identifying the caller, accessing the callers account and verifying it.
- We believe that this time could be reduced through a combination of improved call control and call automation – e.g. use of an IVR and back-office data dip to attempt to identify the caller based on calling line ID/ANI.



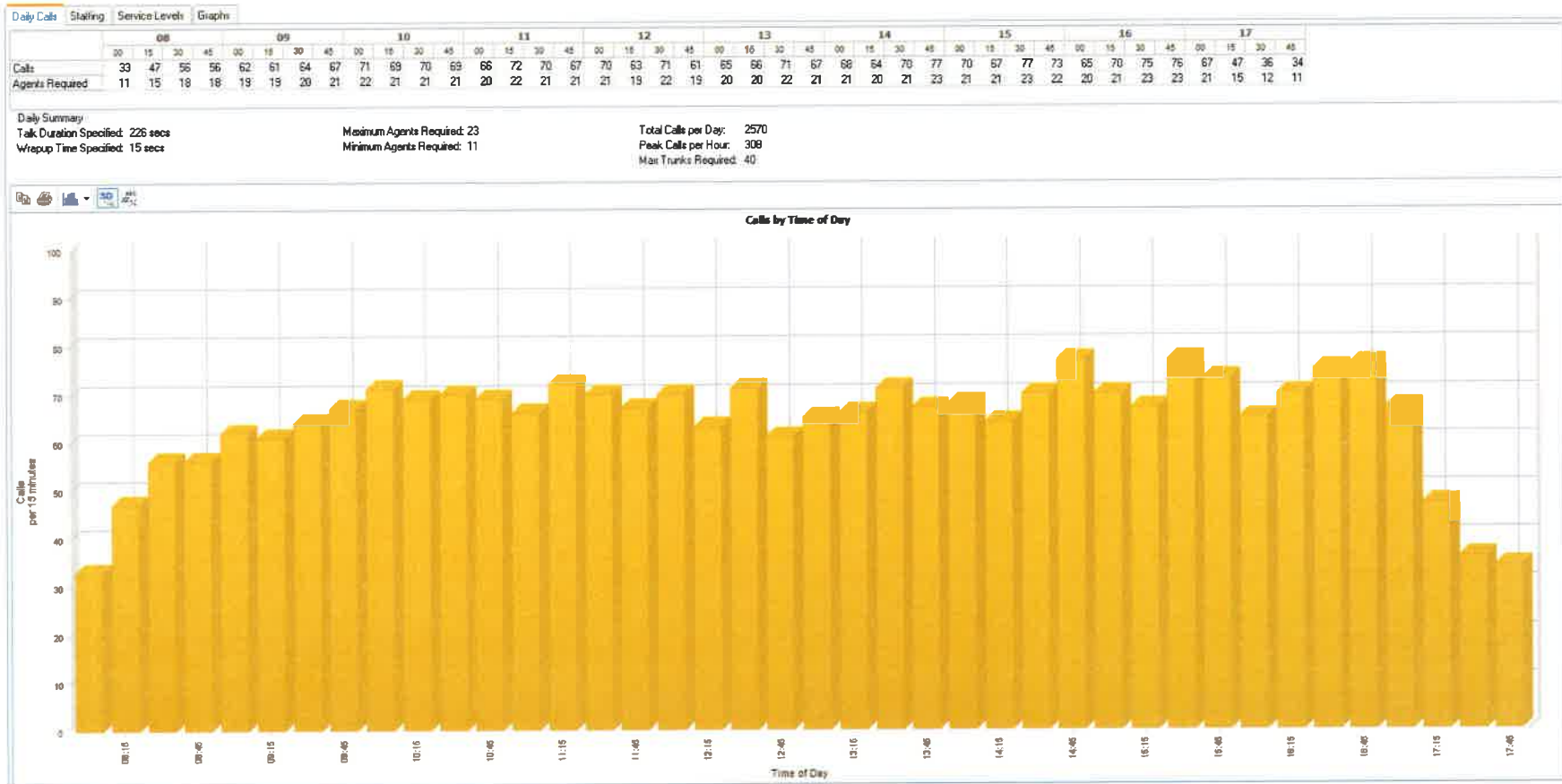
WFM Volume (Monday)



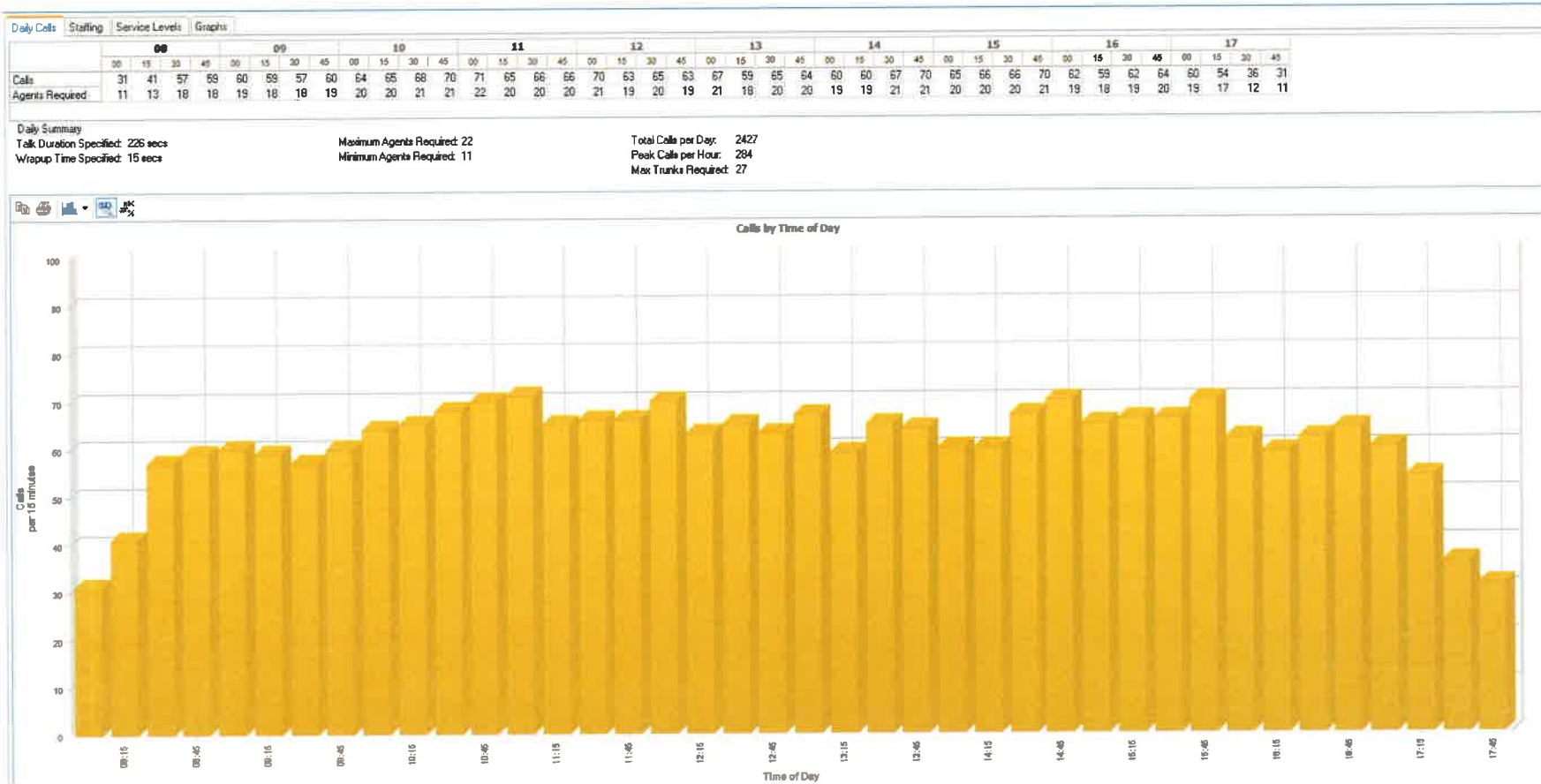
WFM Volume (Tuesday)



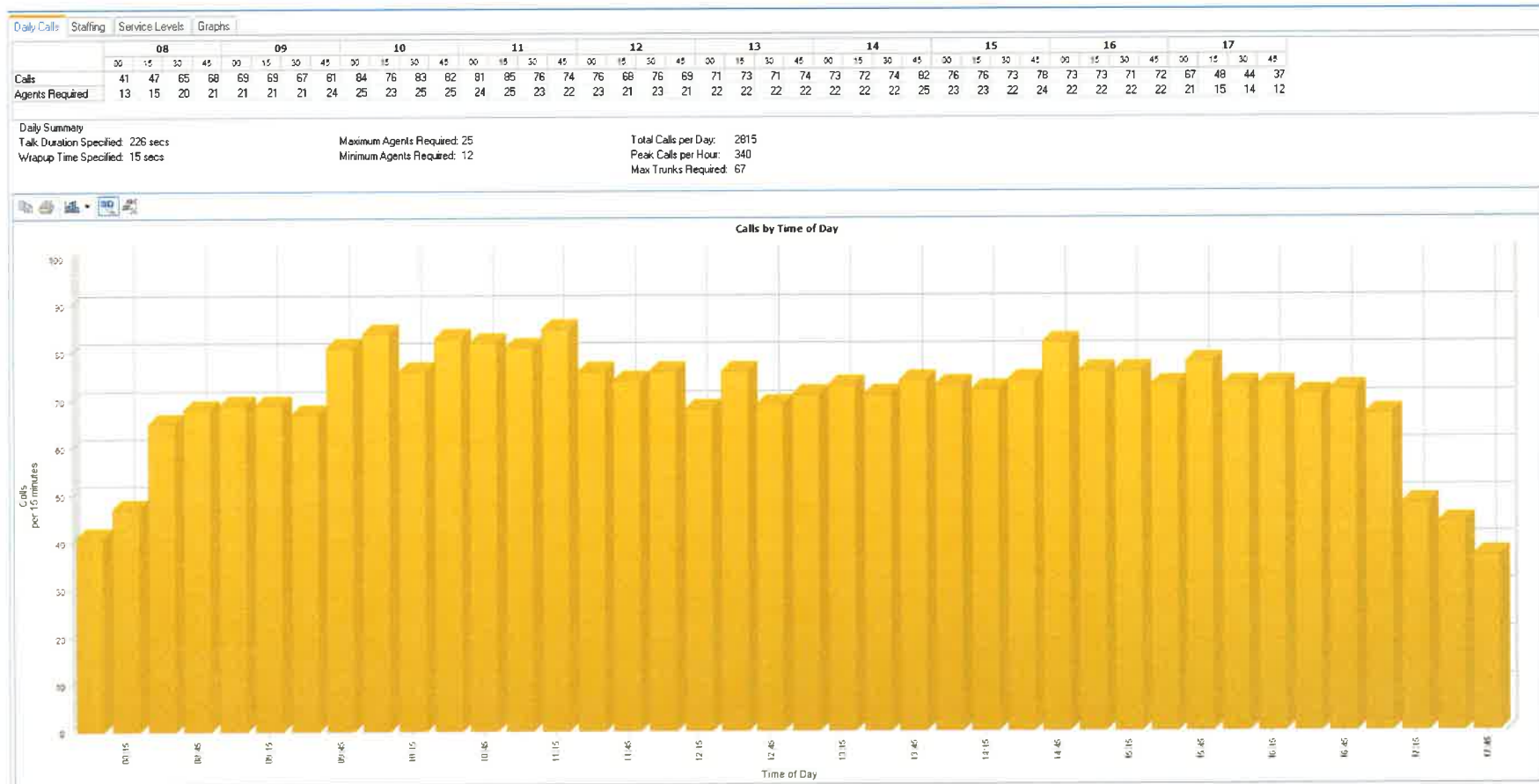
WFM Volume (Wednesday)



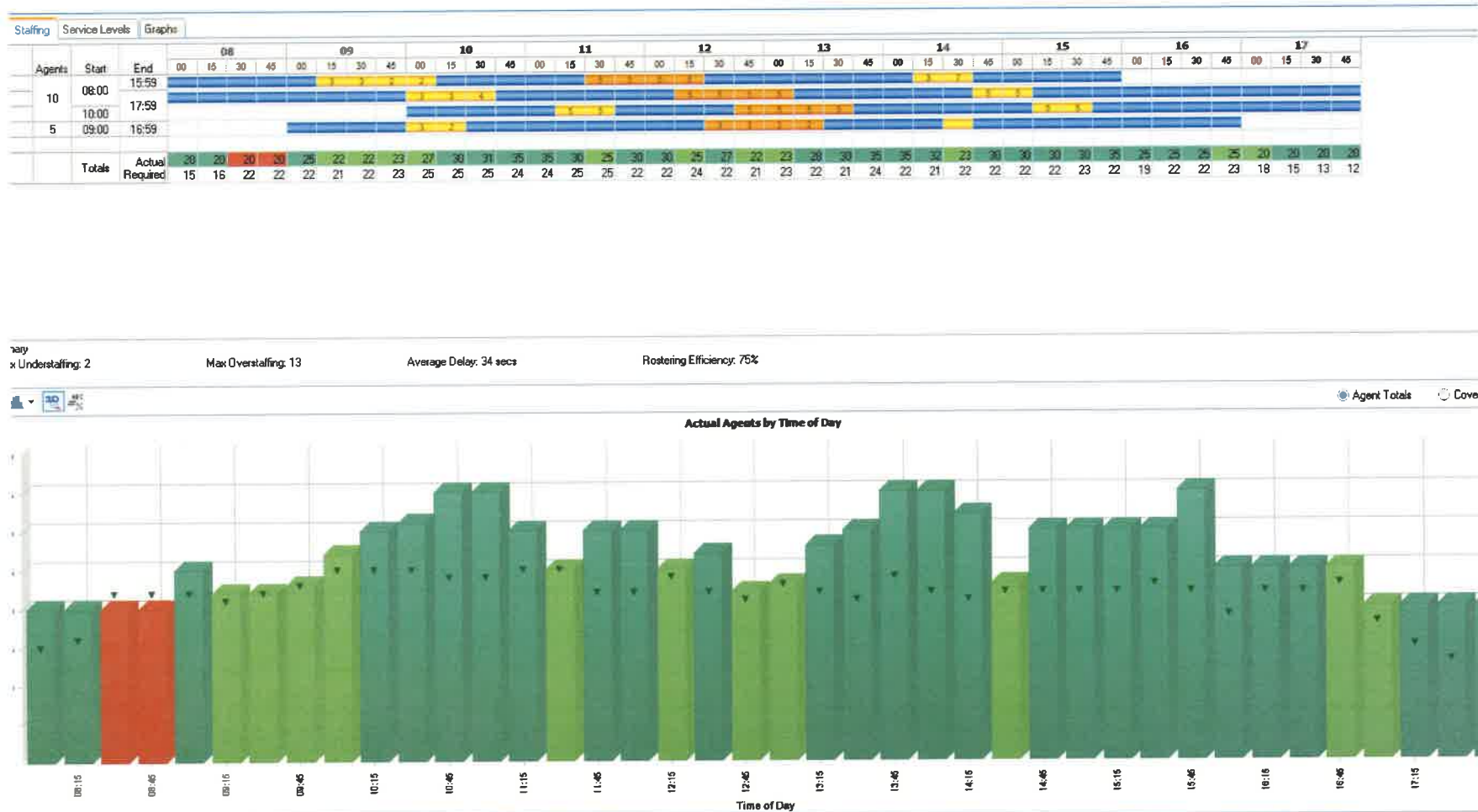
WFM Volume (Thursday)



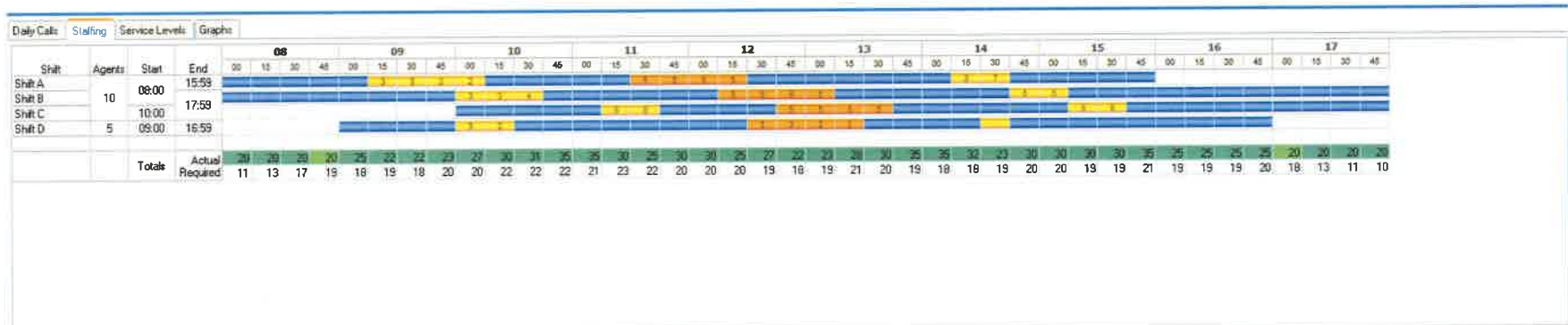
WFM Volume (Friday)



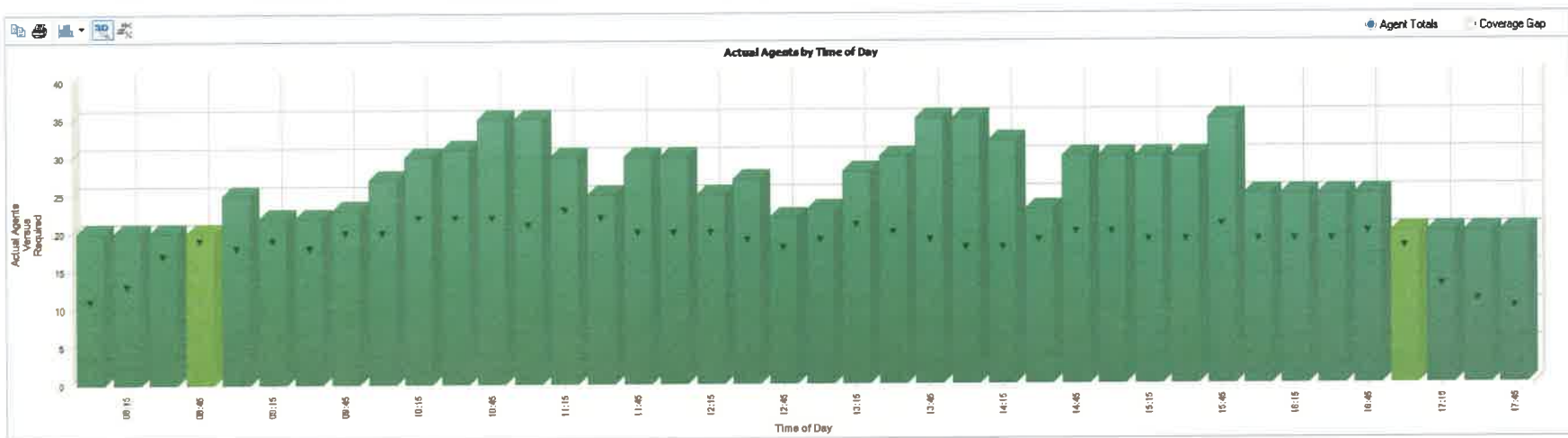
Workforce Scheduling (Monday)



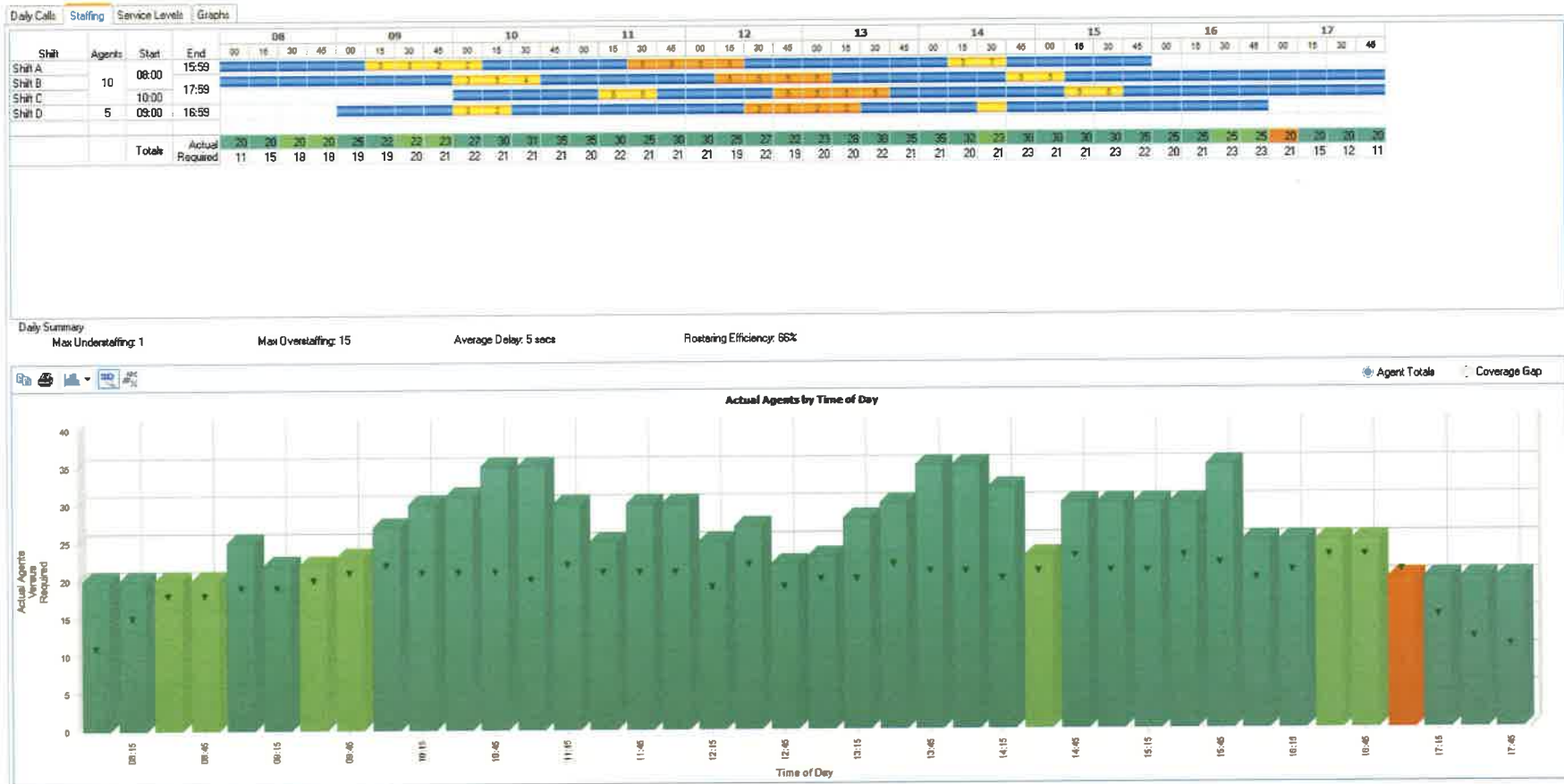
Workforce Scheduling (Tuesday)



Daily Summary
 Max Understaffing: 0 Max Overstaffing: 17 Average Delay: 2 secs Roasting Efficiency: 58%



Workforce Scheduling (Wednesday)



Workforce Scheduling (Thursday)



Workforce Scheduling (Friday)



TAB B

C.

Executive Summary
Recommendations Summary
2010 Ethics Audit
2010 Contracts Audit
2012 Right of Way Audit
2012 Toll Violations Audit
2013 Contracts Audit
2013 Toll Revenue Audit
2014 Maintenance & Safety Plan Audit

Central Florida Expressway Authority

Prior Audit Recommendations Follow-Up March 31, 2015

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Risk & Business Consulting.
Internal Audit.

Executive Summary

As part of the Fiscal Year 2015 Internal Audit plan, Internal Audit (IA) performed a review of open audit recommendations from prior audit reports to verify the implementation status reported by management. Open recommendations from the following audits were evaluated:

- 2010 Ethics Audit
- 2010 Contracts Audit
- 2012 Right of Way Audit
- 2012 Toll Violation Audit
- 2013 Contracts Audit
- 2013 Toll Revenue Audit
- 2014 Maintenance and Safety Plan Audit

Internal Audit last reviewed the status of open audit recommendations in September 2014. Results were reported to the Audit Committee at that time.

This review was completed on March 31, 2015, and consisted of meetings with management to determine the status of open audit recommendations and performing testing of management's response, status, and explanation for all recommendations deemed "Completed" or "In Process." If a recommendation was noted "Not Done," no testing was performed by Internal Audit. In addition, only those recommendations that remained open at the time of the last review have been included in this report. If a recommendation was completed as of September 15, 2014, no further work was performed and the recommendation was not included for review in this report.

Testing performed included inquiry with the employees responsible for completing the recommendations and obtaining documentation evidence to confirm management's reported status and explanation. In instances where the evidence obtained did not agree with management's status, discussions with management were held and the differences were resolved.

There were no instances where management and Protiviti did not come to an agreement on the status of a recommendation.

Recommendations Summary

Audit	Open as of September 15, 2014	New Recommendations	Completed Since September 15, 2014	In Progress / Not Done as of March 31, 2015*	Past Due
2010 Ethics Audit	1	0	0	1	1
2010 Contracts Audit	1	0	0	1	1
2012 Right of Way Audit	1	0	0	1	1
2012 Toll Violations Audit	1	0	0	1	1
2013 Contracts Audit	1	0	0	1	1
2013 Toll Revenue Audit	1	0	0	1	0
2014 Maintenance & Safety Plan	2	0	0	2	1
Total	8	0	0	8	6

*8 recommendations are classified as "In Progress." 6 of these recommendations are considered "Past Due."

Ethics Audit
June 2010 Recommendations
Status of Recommendations

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
<p>5. Mission, Vision, and Core Values</p> <p>The existing vision and mission statements of the Authority do not reference ethics, core values or integrity to help make ethical values and standards integral to all company operations and planning. Ethical standards should be integral to the organization and not simply an "add on" to be considered after important decisions have been made.</p>	Concur	In Progress (Past Due)	<p>The Authority has done many things to improve the ethical standards of the organization. The Ethics Policy has been strengthened by the Board in the past two years and has been added to the Authority's web site. Board members and staff receive regular ethics training in accordance with the Ethics Policy and a hotline has been set up so that anyone can anonymously report an ethics violation. All non-payroll checks are posted to the Authority's website. Ethics standards are an integral part of the organization.</p> <p>The Board will consider ethics references in the vision and mission statements through the master plan development process over the next twelve months.</p>	Per discussion with Laura Kelley, Deputy Executive Director, the ethics recommendation is expected to be addressed in the master plan update, which will be completed by the end of 2015.	<p>Original: 8/31/10</p> <p>Revised: 7/31/12</p> <p>Revised: 12/31/13</p> <p>Revised: 12/31/14</p> <p>Revised: 12/31/15</p> <p>Revised: 3/31/16</p>	Concur

**Contracts Audit
January 2011 Recommendations
Status of Recommendations**

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
7 b) The Authority should utilize CSC Manager and CSC Supervisor passwords, rather than PINs, to approve adjustment transactions in TRIMS (passwords are required to be changed on a regular basis by the system).	Concur	b) In Progress (Past Due)	b) The change to a password based approval key would be a fairly significant change to the existing system. The current system is currently being reviewed for back office consolidation with Florida's other toll agencies. Making these changes now may be waste of valuable IT resources if the current system were to be disposed of in the near term. The Authority will make this requirement a part of the back office consolidation effort currently underway.	Per discussion with Joann Chizlett, Director of IT, this change to a password based approval key will be part of the Centralized Customer Service System (CCSS) project. As part of the CCSS project, the TRIMS system will be eliminated and a new system will be introduced. This recommendation will be incorporated into the new system. Per discussion with David Wynne, the CCSS project is currently in the procurement stage but has been delayed. Currently, the CCSS project is expected to go live by January 2017. As a result, this recommendation has not been fully implemented and is pending the completion of the CCSS project.	Original: 12/31/13 Revised: 12/31/15 Revised: 01/31/17	Concur

**Right of Way Audit
February 2012 Recommendations
Status of Recommendations**

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
1. Recordkeeping: Completeness and Retention: (A) Management should update the policy to accurately reflect a comprehensive list of all documentation that management believes should be maintained onsite. Additionally, checklists should be created and continually updated to help management verify completeness of records and files for each acquired parcel within a given project. (B) Management should determine an appropriate timeline after a parcel case is closed by which to receive (or request if applicable) all pertinent case documents from external legal counsel. (C) The file custodian should create a complete master listing of all parcels to be acquired as determined at the beginning of a new construction project. This master list should be updated to reflect any files closed during the project that did not culminate in an acquisition and be described by a related closing memo.	Concur	In Progress (Past Due)	<p>Completeness of files and timeliness of receipt is an important part of Chapter 119 compliance. Consistency of record keeping is also important to ensure that the public and the Authority have access to key information related to property acquisition.</p> <p>Management will update the Property Acquisition and Disposition Procedures manual to reflect the desired list of documentation and the timeframe for provision of the same. Management will work with outside counsel to create appropriate checklists and incorporate them into the files. Management will review the current purpose and usage of the electronic database and determine if any changes are warranted.</p>	<p>Per discussion with Laura Kelley, Deputy Executive Director, due to employee turnover the Property Acquisitions and Dispositions Procedures checklists have been not appropriately implemented by the Right of Way Counsels. The final implementation steps have been assigned to Linda Lanosa, Deputy General Counsel, and it has been communicated to Right of Way counsels to carry out the recommendations. The revised implementation date is 9/30/15.</p> <p>(A) Open - The Right of Way committee approved the changes to the Authority's Property Acquisitions & Disposition Procedures Manual regarding parcel files on 12/6/2013. Additionally, the changes were approved by the Board on 12/12/13. The following 3 checklists were created as a result of the procedure changes: 1) Real Estate Acquisition Closing Binder Checklist for Non-Litigation Parcels; 2) Real Estate Acquisition Closing Binder Checklist for Litigation Parcels; and 3) Real Estate Acquisition Closing Binder Checklist for Surplus Parcels. Per discussion with Linda Lanosa, Deputy General Counsel, the checklists and documentation requirements have been communicated to each of the three external Right of Way counsels as of May 2015 and will be implemented by the Right of Way Counsels. Internal Audit will obtain an example during the next update of this recommendation.</p> <p>(B) Complete - Included in the updated manual is a timeline for the provision of the parcel documentation by the external counsel. Per the manual, the Right of Way Legal Counsel shall deliver the complete parcel file to the Authority's Records Custodian no later than 6 months from the date of final parcel activity. This deadline may only be extended upon written request to the General Counsel's office.</p> <p>(C) Open - Per discussion with Joe Passiatore, General Counsel, a complete master listing of all parcels is created by external Right of Way counsel at the beginning of a new construction project. The status of each parcel is updated by external Right of Way counsel based on progress. However, the date of exclusion and reason for exclusion are not included in the master listing for each dropped parcel. Per discussion with Linda Lanosa, Deputy General Counsel, the three external Right of Way counsels have been informed of the dropped parcel documentation requirements as of May 2015. The Right of Way Counsels have agreed to utilize the appropriate checklist (see A above) to notate the date of exclusion and reason for exclusion for each dropped parcel. The Right of Way counsels will provide the parcel file, containing the notated checklist and any records or documentation for the dropped parcel, to the Authority. Internal Audit will obtain an example of a dropped parcel file and notated checklist during the next recommendation follow-up process.</p>	<p>Original: 6/30/12</p> <p>Revised: 1/1/13</p> <p>Revised: 6/30/13</p> <p>Revised: 1/1/14</p> <p>Revised: 1/1/15</p> <p>Revised: 9/30/15</p>	Concur

**Toll Violations Audit
March 2012 Recommendations
Status of Recommendations**

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
5. Process Improvement: Management should determine if it is cost beneficial and within the business objectives of the Authority to turn over delinquent violators to a collection agency. The Authority should consider if the UTC is outstanding with the court. Additionally, the Authority should implement a policy containing a time and dollar threshold of how long a UTN or UTC violator should be outstanding before the Authority pursues collections, as well as, a dollar amount the UTN or UTC must reach prior to sending it to collections.	Concur	In Progress (Past Due)	<p>The Authority will investigate enhancing its collection efforts on unpaid tolls to determine if it is cost beneficial and in the best interest of the Authority.</p> <p>Director of Toll Operations will facilitate a review of potential revenue to be collected, possible collection rates, industry practices, legal ramifications and consideration of community perception.</p>	<p>Per discussion with Dave Wynne, Director of Toll Operations, Louthan Consulting was hired by the Authority to report on industry debt collection practices. Internal Audit obtained a copy of the consultant's report and verified through inspection that it included commentary on industry debt collection practices. After thorough review of the consultant's report, the Authority determined that it was proficient at collecting its debt when compared to industry standards.</p> <p>Additionally, per David Wynne, the CCSS program is expected to go live in January 2017 and will include debt collection policies and procedures. Therefore, due to the pending consolidation, CFX has chosen not to take steps towards facilitating a review and updating Authority policies at this time.</p>	<p>Original: 1/1/13</p> <p>Revised: 3/31/13</p> <p>Revised: 1/1/14</p> <p>Revised: 12/31/15</p> <p>Revised: 1/31/17</p>	Concur

**Contracts Audit
November 2012 Recommendations
Status of Recommendations**

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
<p>1. A standard Project Rate/Sub-consultant Change Form should be established by the Authority. Consultants should utilize the form to submit rate and employee changes to the Authority for review and approval before changes to the rate schedule are incorporated in the billings. The standard change form should be used to create a master rate schedule to track updates to the project wage rates. The master rate schedule should be included as an attribute in the monthly checklist being recommended in Observation #6 and be kept in the project file to ensure that the most current information is accessible to the personnel performing the detailed review of the invoices prior to payment approval.</p> <p>The Authority should investigate options to include contract terms and conditions in their standard contract language (e.g. right to withhold payment without proper supporting documentation) to ensure invoices are properly supported.</p> <p>The Authority should also consider whether the itemized wage rate requirement is warranted. Setting wage rates based on job classifications instead of individual employees may increase the efficiency of the invoice review process.</p> <p>The Authority should consider performing a detailed review of the RS&H consultant billings, to determine what amount, if any, is due to or from the consultants as a result of the discrepancies in the billings. This would require the Authority to obtain detailed support for all billings submitted by the consultant and sub consultants for the project.</p>	Concur	In Progress (Past Due)	<p>The Authority will create a standard consultant change form and require consultants to submit wage modifications request through the form. The Authority must approve all wage modifications before changes are included in monthly billings. The Contract Support Specialist will update the rate schedule with the approved wage rate changes and create a master rate schedule.</p> <p>The Authority will evaluate the current invoice support requirement and determine if establishing wage rates based on job classification is appropriate.</p>	<p>Per discussion with Glenn Pressimone, Director of Engineering, the wage rate approval process has been implemented and consultant invoices are now reviewed for accuracy, acceptable wage rates, and contractual compliance by Jeannie Perez, Contract Support Specialist.</p> <p>Per discussion with Jeannie Perez, Contract Support Specialist, a project change form was created in the form of the Request for Addition or Promotion that must be submitted to the Authority for review and approval. The Authority maintains the original wage rate list included in the executed contract and any modifications to wage rates must be submitted through the Request for Addition or Promotion. Internal Audit obtained the Request for Addition or Promotion template and verified its existence.</p> <p>Additionally, per discussion with Jeannie Perez, Contract Support Specialist, Glenn Pressimone performed a detailed review of the RS&H consultant billings to determine if there were any amounts due to or from RS&H relating to this project. Audit obtained an invoice discrepancy analysis dated 2/18/2013 and noted a total overpayment to RS&H of \$9,625.87. Audit determined through inspection of subsequent invoices for contract 747 with RS&H that the overpayment was resolved between the parties as of invoice #17R.</p> <p>The Authority has decided to continue to pay design/engineering contractors based on actual contractor wage rates rather than by job classification. Per discussion with Glenn Pressimone, Director of Engineering, the standard contract language will be amended to include a change to the wage rate schedule located in Exhibit "C". The updated wage rate schedule will establish maximum limits for contractor wage rates by job classification. In the event that a contractor's actual wage rate billed to the Authority exceeds the maximum rate established in Exhibit "C" for his/her job classification, the contractor must obtain written approval from the Authority before the invoice will be paid. The implementation is pending a new design/engineering project.</p>	<p>Original: 1/31/13</p> <p>Revised: 3/31/14</p> <p>Revised: 6/30/15</p>	Concur

Toll Revenue Audit
March 2013 Recommendations
Status of Recommendations

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
<p>6.</p> <p>a) The Authority should weigh the cost and the associated annual benefit of approximately \$3,400 to determine if it would be beneficial to require the third party contractor to reference the Detailed Audit Report for all proposed audit adjustments that would reduce expected toll revenue. The Detailed Audit Report should be included in the daily audit packets as evidence of the review.</p> <p>b) The Authority should also consider automating certain aspects of the Attendant's Shift Record log by integrating the unusual occurrence, violations, and insufficient fund transactions within the MLT system. This would reduce the subjectivity of the FTS auditor's interpretation of the manual ASR log.</p>	Concur	In Progress	<p>a) The Authority determined that cost outweighs the benefit of this recommendation.</p> <p>b) The Authority currently has this recommendation as a function in the planned Toll System Replacement project that is currently ongoing at this time. The Authority would expect to have the new system in place and operating by July 1, 2015</p>	Per discussion with Dave Wynne, Director of Toll Operations, this recommendation will be implemented as a function in the planned Toll System Replacement (TSR) project. The RFP previously prepared by the Authority only received one bid; therefore another RFP is being prepared. Currently, the TSR project is expected to go live in at least one toll plaza by April 2016.	<p>Original: 7/1/15</p> <p>Revised: 4/30/16</p>	Concur

Maintenance and Safety Plan Compliance
April 2014 Recommendations
Status of Recommendations

Internal Audit Recommendation	Management Response	Management Status at March 31, 2015	Management Verification / Explanation	Testing Results	Due Date	IA Evaluation of Management's Status
1. Audit recommends that the Authority develop written "desktop" procedures that clearly document key aspects of the Authority's maintenance and inspection program, including: Internal procedures for managing and maintaining the Authority's roadways and bridges, Asset tracking, Role of third party maintenance & inspections agreements (scheduling of inspections, repairs, and replacements; outputs of preventative maintenance), Maintenance contract performance monitoring, Work order, Maintenance request, and deficiency response deadlines, Incidence and Emergency Response process, and the GEC Annual Inspection process.	Concur	In Progress (Past Due)	The Authority will develop written procedures to document the pertinent aspects of the Authority's maintenance and inspections operations in regards to bridges, overhead structures, and roadways.	Per discussion with Ben Dreiling, Director of Construction & Maintenance, he has developed an outline for the written procedure document and is currently drafting the bridge inspection component of the document. The written procedures will be completed on or before the revised due date.	Original: 12/31/14 Revised: 12/31/15	Concur
5. Maintenance contracts should accurately reflect actual FDOT requirements for FDOT-issued work orders. Due to the associated contractual risk and opportunity for non-compliance with FDOT regulations, the Authority should consider amending the contract language in the vendor contracts to include the FDOT District 5 work order completion requirements.	Concur	In Progress	The Authority will coordinate maintenance contract updates to require completion of FDOT work orders in accordance with FDOT District 5 deadlines.	Per discussion with Ben Dreiling, the Authority is in the process of preparing the first Asset Maintenance contract renewal since completion of the audit. The Authority has drafted the new language, discussed it with the Contractor, and will be including it in the first of five individual one year renewals. Protriviti will review and validate the new contract language upon its inclusion in the upcoming contract renewal.	7/1/15	Concur