

# Customer Service Center Operations Manual

## Universal Enrollment Services (UES) Reconciliation Process CSCOM-005

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(for Designated DMV service locations ONLY)

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### DESCRIPTION

This procedure provides guidelines for Financial Management Services (FMS), CSMA program manager, CSC management and designees, and UES agents for the daily, weekly and monthly reconciliation of transactions processed at Universal Enrollment Services (UES) provided in select CSCs.

- Abingdon
- Charlottesville
- Fredericksburg
- Newport News
- Richmond Central
- Roanoke
- Stephen's City
- Tyson's Corner

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### BACKGROUND

Revenues generated through DMV's UES offices locations must be reconciled against the payment received from MorphoTrust on a monthly basis. Because UES transactions are processed and reported through equipment provided by MorphoTrust, and a list of transactions is not available to DMV, a process has been established to record, track, and reconcile UES transactions processed at DMV locations for use in ensuring proper accountability for incoming revenues.

**IMPORTANT:** ACCURACY is very important when reporting daily and weekly transactions because:

- The tracking and reporting done daily and weekly is the only transaction record available for reconciling payments received by DMV,
- AND
- The accuracy of the daily reporting will determine how much staff time will be required later trying to follow up on reporting discrepancies.

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### UES TRUSTED AGENT

1. For end of day reconciliation:

- a. Collect all UES Sign in Sheets and printed transaction receipts for the day.
- b. Reconcile each transaction receipt against the day's UES Sign in Sheet(s) to ensure that:
  - All transaction ID numbers (**UE ID**) for each transaction receipt have a matching entry on the UES Sign in Sheet,
    - TWIC card activation transactions ("A" = Activation) do not generate a printed transaction receipt; therefore, no UE ID# is required on the UES Sign in Sheet for these transactions.
  - A transaction ID number (**UE ID**) is written in the Comments section of the Sign in Sheet for each transaction that generates a printed transaction receipt,
  - In the rare event that a transaction receipt does not print for a ~~For~~ Birth Certify transaction, add a note to the sign in sheet indicating that the transaction was processed, but no receipt printed.
    - Since receipts never print for TWIC card activations, it is not necessary to write a note for these transactions.

**NOTE:** For any transaction receipts that have no matching entry on the UES Sign in Sheet, add the transaction information to the sign in sheet with its transaction UE ID number below the last entry on the Sign in Sheet and indicate in the Comments section that the transaction was not recorded at the time it was processed.

- c. Count the total number of fully processed transactions for each transaction type as listed on the day's UES Sign in Sheets. Do not count transactions that did not completely process in the system. Count and record the total number processed for each type of transaction below:
- **E** – TWIC® Enrollments
  - **A** – Card Activations
  - **R** – PIN Resets
  - **C** – TWIC Card Replacements
  - **H** – HME Enrollments
  - **P** – TSA Pre✓® Enrollments
  - Birth Certify transactions

**IMPORTANT:** IT IS VERY IMPORTANT TO COUNT ONLY *COMPLETED* TRANSACTIONS AND THAT DAILY TRANSACTION COUNTS ARE DONE ACCURATELY BY THE UES AGENT TO AVOID TIME CONSUMING FOLLOW-UP REQUESTS LATER FOR DISCREPANCIES THAT COULD HAVE BEEN AVOIDED.

- d. Locate the **UES Daily Transaction by Site** spreadsheet folder labeled **TWIC-UES** located on the shared G-drive.
- e. Locate the tab in the worksheet for your UES site.
- f. Unlock the appropriate tab for your site using the assigned password and key in transaction type totals.
- See attached [Unlock the UES Worksheet Guide](#).
  - Passwords are sent from Headquarters by separate email to each UES location.
- g. Enter transaction totals by type in the **UES Daily Transaction by Site** spreadsheet, located on the shared drive. Enter a "0" (zero) if no transactions were processed for a specific transaction type.
- h. Key in the initials of the UES agent preparing the summary in the space provided.
- i. Save the updated spreadsheet to the G-drive (just Save, not Save As).
- The work sheet will lock automatically once saved to file.
- j. Scan all Sign in Sheets for the day into OnBase following guidelines in the [Front Counter TWIC Scanning](#) guide in the [OnBase User Guides](#) table.
- Be sure to fold the sign-in sheet in half to hide the names of the applicants for security purposes (refer to the [CSC Report and Document Retention Table](#)).
  - DO NOT scan transactions receipts into OnBase. Only sign in sheets.
- k. Attach the second copies of all the daily transaction receipts to the day's UES Sign in Sheets.
- l. Place all paper UES Sign in Sheets for the day's transactions with attached transaction receipts together and store in the designated secure location in the UES office following UES retention guidelines.
- m. UES agents will retain UES Sign in Sheets and transaction receipts for 90 days, unless notified otherwise.
- This retention is longer than currently required by UES guidelines, but is required in the event there are discrepancies in DMV monthly totals that must be researched.

**NOTE:** In the unusual event that the UES Sign in Sheet and/or transaction receipts must be removed from the UES office for some reason, other than scanning the sign in sheets, all sensitive information on each receipt **MUST** be redacted prior to sending.

2. If the CSC program manager finds discrepancies on the reports, he, or the CSMA designee, may request the UES office investigate transaction counts for discrepancies for a specific week(s):
- a. **UES Trusted Agent** will:
- i. Pull all paper UES Sign in Sheets with attached transaction receipts for the week requested from the UES safe.
  - ii. Remove attached transaction receipts and reconcile the receipts against the Sign in Sheets to verify that all transactions on the receipts have a matching entry on the Sign in Sheet.
  - iii. Note on the UES Sign in Sheet the transaction ID number (**UE ID**) and transaction type for any transaction shown on the receipts that is not listed on the Sign in Sheets.
  - iv. Unlock the **UES Daily Transaction by Site** worksheet for your site following the steps under UES Trusted Agent above, and record needed corrections.
  - v. Save the updated spreadsheet to the G-drive (just Save, not Save As).

- vi. Summarize and report any discovered discrepancies and corrective actions and report back to CSC Management/CSMA program manager.

**IMPORTANT:** Transaction receipts and UES Sign in Sheets cannot leave the UES office for any reason other than when scanning sign in sheets into OnBase.

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## CSMA PROGRAM MANAGER

### 1. For weekly reconciliation:

- a. Retrieve the MorphoTrust transaction report for previous week on Tuesday of each week.
- b. Retrieve the **UES Weekly Transaction Summary by Site** spreadsheet from the previous week, stored on the CSMA shared drive.
- c. Reconcile transaction totals reported in the **UES Weekly Transaction Summary by Site** spreadsheet against the weekly MorphoTrust report.
- d. Record discrepancies between transaction totals reported by DMV UES offices and the MorphoTrust report to the **UES Weekly Transaction Summary by Site** spreadsheet.
- e. Resolve all discrepancies between the **UES Weekly Transaction Summary by Site** spreadsheet and the weekly MorphoTrust report:
  - i. Pull UES Sign in Sheets from OnBase for the location and week being reviewed.
    - o Only the CSMA program manager, and designated backup(s) at Headquarters, will have the ability to retrieve UES Sign in Sheets from OnBase.
    - o All fully vetted UES agents will have the ability to scan Sign in Sheets into OnBase.
  - ii. Count the transaction totals by type for all completed transactions from the combined Sign in Sheets.
    - o Identify and list discrepancies between the sign in sheet and the spreadsheet totals for each day.
    - o Contact management at UES locations where discrepancies were found and request:
      - **UES Trusted Agent to:**
        - a. Pull all paper UES Sign in Sheets with attached transaction receipts for the week requested from the UES safe.
        - b. Remove attached transaction receipts and reconcile the receipts against the Sign in Sheets to verify that all transactions on the receipts have a matching entry on the Sign in Sheet.
          - Transaction receipts do not print for TWIC card activations (service code "A").
        - c. Note on the UES Sign in Sheet the transaction ID number (**UE ID**) and transaction type for any transaction shown on the receipts that is not listed on the Sign in Sheets.
        - d. Record needed corrections to the **UES Daily Transaction by Site** spreadsheet following the steps under UES Trusted Agent above.
          - Entries to the daily spreadsheet automatically update the **UES Weekly Transaction Summary by Site** spreadsheet reviewed by the CSMA Program Manager.
      - e. Save the updated spreadsheet to the G-drive (just Save, not Save As).
      - f. Summarize and report any discovered discrepancies and corrective actions and report back to CSC management/CSMA program manager.

**IMPORTANT:** In the rare event any UES Sign in Sheet or transaction receipt leaves the UES office, other than for scanning into OnBase:

        - Redact all sensitive information shown on all transaction receipts prior to sending.
        - Photocopy any Sign in Sheets requested with customer names folded back so names are NOT COPIED prior to sending.
      - g. Replace all UES Sign in Sheets with attached transaction receipts for the day's transactions together in the designated secure location in the UES office following UES guidelines.

## CSMA PROGRAM MANAGER continued

**NOTE:** UES Sign in Sheets and transaction receipts are retained for 90 days, unless notified otherwise.

- iii. Note all follow-up actions taken to resolve discrepancies for that UES location on the **UES Weekly Transaction Summary by Site** spreadsheet.
  - iv. Notify CSMA program manager or designee in CSMA and the UES regional manager of large or ongoing data discrepancies or trends observed at UES locations for potential follow-up or corrective action.
  - v. Forward to the responsible CSC manager a summary of discrepancies for that location for use in following up with UES staff.
2. For monthly reconciliation:
- a. Prepare a workbook for the new month by Friday (or the last business day) of the last reporting period for use by the UES offices on the first business day of the new period and save to the shared drive.
  - b. On the Tuesday following month's end, verify that all weekly totals for each site are included on the **UES Monthly Transaction Summary by Site** spreadsheet.
    - o Correct any discrepancies.
  - c. Sign/initial to verify the **UES Monthly Transaction Summary by Site** spreadsheet.
  - d. Forward the completed **UES Monthly Transaction Summary by Site** spreadsheet to Financial Management Services (FMS) for incoming payment accounting and to the UES regional manager (see below):

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**Regional Assistant Supervisor, Enrollment Services**  
**3139 Duke St.**  
**Alexandria, VA 22314**  
**Phone: (615) 924-9025**  
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[iyates@MorphoTrust.com](mailto:iyates@MorphoTrust.com)

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## FINANCIAL MANAGEMENT SERVICES (FMS)

1. For monthly UES payment reconciliation:
- a. Upon receipt of payment, open the **UES Monthly Transaction Summary by Site** spreadsheet for the month being reconciled.
  - b. Reconcile the incoming MorphoTrust ACH payment against the **UES Monthly Transaction Summary by Site** spreadsheet.
    - i. For variances that must be followed up on to reconcile the payment:
      - 1) Compare the over/short variance against variances from the prior month's reports/payments that might account for differences in the current month's payment, such as:
        - Outstanding payments in process from a previous month for which customer payment cleared AFTER the prior reporting period and were carried forward to the current month's payment.
        - Other discrepancies from a prior month that may account for variances for the current month.
      - 2) For variances that cannot be resolved, notify the details of the discrepancies to the CSMA program manager for follow up and further research.
  - c. Upon completion of reconciliation, close out the **UES Monthly Transaction Summary by Site** spreadsheet; notify CSMA program manager.

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## CSMA PROGRAM MANAGER REQUIREMENTS

- Serve as the CSMA Headquarters liaison with DMV UES offices located throughout the state.
- Reconcile all UES office **UES Daily Transaction Summary by Site** worksheets, summarize and finalize the reports to the **UES Monthly Transaction Summary by Site** spreadsheet on the Tuesday following the last day in the UES transaction reporting period, and provide the finalized monthly spreadsheet to FMS for reconciliation of the Morphotrust incoming payment.

- Note discrepancies in reporting and follow-up with the UES offices for research and correction.
- Prepare new UES Daily Transaction Summary by Site spreadsheets at the end of the reporting period for use by the CSC's in reporting the next period's UES transactions.
- Provide all UES locations with a site-specific password for locking and unlocking the worksheet in the spreadsheet that is assigned for that site.

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## CSC MANAGEMENT/DESIGNEE REQUIREMENTS

- Follow-up on all requests from the CSMA program manager for information or further research on identified discrepancies in UES reporting on the **UES Transaction Daily Summary by Site** spreadsheet. Ensure that UES agents:
  - a. Accurately record information for each processed transaction to the UES Sign in Sheet on a daily basis,
  - b. Accurately count and report all transactions listed on the UES Sign in Sheet for end of day reporting,
  - c. Assist in resolving discrepancies and ensure timely response to CSMA program manager follow-up requests.

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## SET RECEIPT PRINTER DEFAULTS

UES agents will print two receipts for each transaction processed. To set the UES receipt printer to print two receipts automatically for each transaction:

1. On the Main Screen, select **"ADMIN"**, located at the center of the bottom of the screen.
2. Click on **"Configure Work Station"**.
3. Locate **"Receipt Copies"** (arrow down) to request # copies then click on **"Accept"** at the bottom of the page.
4. Back out to return to the main screen.

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## POINTS TO REMEMBER

- It is very important that daily transaction counts are done accurately by the UES agent to avoid time consuming follow-up requests later for discrepancies that could have been avoided.

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