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### PURPOSE

To provide Customer Service Center (CSC) and, District Management with guidelines for reviewing the Key Indicator Evaluation System (KIES) report in the system to:

- Identify, track, and improve key processes and data,
- Identify and monitor trends in performance (processes, personnel, and systems), and
- Provide risk management information.

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### DEFINITIONS

**KIES-Key Indicator Evaluation System-** a report that counts and reports certain exception transactions, such as overages and shortages, processed by CSCs and Automated DMV Selects.

**EXCEPTION TRANSACTION-** A transaction with an outcome that is irregular or outside what is considered a normal outcome. The examples below are exception transactions which are monitored by CSC management to ensure the exceptions allowed are for valid reasons and no suspicious or fraudulent intent is involved.

- Processed transactions that result in "no fee" to the customer due to a system code entered by a customer service representative (CSR) to process the transaction. The KIES report provides data on driver, license plate, and decal no fee reissues.
- Revenue collection overages or shortages to the CSR's cash drawer (balance due does not match revenues collected) or revenue correction.
- Title tax exempted (customer exempted from payment of tax on purchase of vehicle) or title tax adjustment (adjustment to the original total tax charged on vehicle purchase).
- Addition, deletion, or removal (compliance) of vehicle or customer "STOPS" from the record Stop indicators are placed on records to prevent certain customer transactions from being processed.
- Use of Service Fee Waivers or Late Fee Waivers to exempt a customer from part of a required fee.
- Voided processed transactions, or transactions that were initially processed in the CSC then deleted.
- ID/LP/Residency/SSN Maintenance Screen (CUIDNM) transactions.
- Use of the compliance correction screen to alter, comply, or delete an order of suspension.
- Any voided inventory that is recorded in the system (decals, plates, title documents, VDH secure documents, etc.).

**KIES MONTHLY CSC EXCEPTION SUMMARY-** The Monthly CSC Exception Summary displays a count of all exceptional transactions processed in a CSC by CSR ID and category type.

**KIES MONTHLY CSC EXCEPTION-ALL-** This report displays detailed transaction information for specific CSRs in each of the exceptional categories.

**KIES SALES TAX ONLY-** This report exclusively lists title tax exceptional transactions to include exemptions, adjustments, and additional tax collected by the front counter CSR.

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## BACKGROUND

The KIES reports are designed for use by CSC management as an analytical tool. Management reviews the KIES reports for monitoring revenue overages and shortages, transaction counts, suspicious transactions, trends, or patterns, etc.

CSC Management uses these reports to monitor the exception transactions and employee revenue collection errors at their CSC or DMV Select. The reports may also be useful to monitor employee performance and accuracy for employee evaluations.

CSC management is required to review the KIES Monthly CSC Exception Report-Summary at least once a month.

- NOTE: Once the management review is completed, if the report is printed, it can be destroyed. However, management is advised not to print the report, unless necessary, as part of the agency's paper reduction initiative.

CSC Managers and District Managers/Assistant District Managers must review KIES reports (and other reports, if necessary) at least once per month to identify trends of suspicious activity. Once CSC Managers and District Managers/Assistant District Managers KIES review is completed, the report can be destroyed. Management may view monthly reports from other locations to compare transaction activity as a management evaluation tool.

Certain transactions on the Manager's Exception Report can be clear indicators of issues that require corrective action

- Overages/Shortages
- Title Tax exemptions
- Fee exceptions (no fee transactions)
- Stop compliance/deletions

KIES reports are updated AFTER the settlement for a particular date is closed. This means that KIES reports are not real time and managers will have to wait for the information to be available. It takes 2 business days from the date the settlement is closed for the data to be updated and to print on the report. (EXAMPLE: If the settlement is closed on a Friday, then the data will be available Tuesday. If Monday is a holiday, then the data will be available on Wednesday.)

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## CSC/DISTRICT MANAGEMENT REQUIREMENTS

Management will review each category in the monthly KIES CSC Exceptions Summary report to determine if additional action is necessary to resolve any outstanding discrepancies.

### 1. Change Fund Over/Short

- CSC personnel are responsible for recording overages and shortages as they occur, or are discovered. CSCs DO NOT maintain any type of "reserve" or "slush" fund, separate from the main office change fund and daily revenue collections. Any currency, coin, checks, and charges, along with over or short discrepancies, must be accounted for and recorded in the system. Refer to [CSCOM-703](#).

### 2. Service/Late Fee Waiver

- Exemptions in this category could be an indication that the service fee or the late fee is not being collected after applying the waiver. Watch for a high count in this category. Management should ensure that Service/Late Fee Override Passwords are not used carelessly by their designees.

### 3. Sales Tax Exemptions

- Management should review these exemptions as a means of identifying additional training needs and/or suspected fraud by looking at the first six categories and comparing counts by CSR. If the counts are high, check future title transactions for a set period of time. Ensure the audit CSR is aware of the necessary review for that CSR's title documents. The category labeled "other" is of no significant risk. Further review and/or investigation may be required. Retain any notes/documentation

### 4. Fee Exceptions

- Management should look for CSRs with a large number of fee exceptions. If a CSR has a high count, examine the documentation supporting the work in the daily management review. The risk is the CSR could have received the money from the customer and then waived the fees. Counsel the CSR as this could be an indication of additional training needs. If the CSR has no clear explanation, management should collect documentation on the transactions. Continue to monitor the CSR over a preset period of time to ensure the counts come down after additional training has been provided. Further review and/or investigation may be required. Retain any notes/documentation. Management could also obtain other CSC's Exception Summary reports to ensure the fee exceptions per CSR processed in their CSC are in line with those in other CSCs. This is done by entering the district and location code when requesting the report

## 5. Void Processed Transactions

- Review all transactions that were voided after the transaction was processed. A high count for any CSR could indicate the need for additional training. Further review and/or investigation may be required. Retain any notes/documentation

## 6. Stop Change/Deletion

- This section refers to a CSR deleting or complying a customer or vehicle stop as a Headquarters CSR via the Stop Information Menu on the system. Driver stops should always be complied via the Compliance Menu. If an authorized CSR should have to remove a vehicle stop via the headquarters screen Maintain/Comply Vehicle Stop, such as for a stolen vehicle, the CSR should comply, not delete, the stop.
- Management should be aware if a large number of customers are asking for or even waiting for a particular CSR coupled with the having any counts in this column on the KIES report as 1 is considered too many. The CSR should be promptly counseled and management should monitor the CSR over a preset period of time to ensure the CSR no longer has any counts in this column. Further review and/or investigation is required if fraud is suspected. Retain any notes/documentation.

## 7. CUIDNM Exceptions

- Access to this screen should only be done as necessary in order to record or maintain a customer's identity documents, legal presence documents, proof of residency, or proof of social security number. A high count in this column could indicate that a CSR is recording documentation for customers prior to processing their transaction. Review the access in relation to inventory and document activity reports to ensure that a transaction was processed by the CSR in question. Further review and/or investigation may be required. Retain any notes/documentation.

## 8. Compliance Corrections

- This section indicates that an order may have been mistakenly complied, in which case, it is imperative that any funds received be returned to the customer, and the order made effective again.

## 9. Inventory Voids

- A high count in this column could indicate fraudulent or negligent activity on the part of a CSR. Voided documents should be submitted attached to a CSR Batch Cover Sheet ([CSMA 41](#)) with end of day work for management review. Missing inventory could suggest that further review and/or investigation may be required. Retain any notes/documentation.

## 10. Unidentified, Identified, & Other Over/Short

- Management is responsible for tracking and monitoring all revenue discrepancies for recognizable patterns, trends and/or excessiveness that could suggest fraudulent intent, performance issues, or a need for employee training.
  - Be aware that the consideration of mitigating circumstances is not to be used by management to justify revenue collection errors, or to reduce or eliminate necessary disciplinary action without good cause. When using mitigating circumstances to reduce disciplinary actions, record the circumstance being considered, why it justified consideration, and its effect on the action taken. Any mitigating circumstance used to alter actions required by this policy should be discussed with and approved by the district manager before action is taken. Refer to [CSCOM-205.3](#).

## 11. Revenue Corrections

- Management is responsible for tracking and monitoring all revenue discrepancies for recognizable patterns, trends and/or excessiveness that could suggest performance issues. Identify employee performance needing improvement and create a viable plan of action for improvement. Provide additional training when needed.

## 12. Registration Renewal/Reissue

### <<<<<REVISION

- This transaction pattern occurs when a CSR renews or issues a registration and processes a subsequent reissue transaction. This transaction pattern causes 2 sets of decals to be issued from the CSR's drawer. The first set of decals is accounted for on the transaction that is logged but not accounted for physically by the CSR. CSRs with this pattern should be counseled to void the first transaction and then process a completely new transaction. Management should follow-up to ensure the CSR is no longer processing these transactions. Further review and/or investigation may be required. Retain any notes/documentation. **END REVISION>>>>>**

**NOTE:** Management should not include transactions involving personalized plates or special order plates, as decals are not issued by the automated system to these transactions. The decals are mailed to the customer with the plates.

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## POINTS TO REMEMBER

- The KIES reports display data for both HQ and CSC staff. To review CSC staff data, look in the **Teller ID** column for the last three characters in the DMV ID. For HQ employees who process transactions on customer records for a CSC (i.e., returned check transaction, etc.). This helps management distinguish between data for transactions processed in the CSC and those processed at HQ.
- Be alert for CSRs with large numbers of identified overages, which generate refunds in the system, particularly if they are going to the same address. Watch for a large number of refunds processed with an address change. Watch for large numbers of customers who state that their registration has been terminated and refunded without their knowledge. A large count may indicate additional training needs or fraudulent activity.
- CSC management must watch small shortages, as well as large ones. Identified shortages posted to the system that are under \$5.00 do not generate a bill and may be overlooked. Management should carefully monitor a CSR who has repetitive identified shortages of \$5.00 or less during a 1 month period and should continue monitoring this CSR for at least a 3 month period. A large amount of small shortages may indicate the need for additional training or of fraudulent activity.
- A CSR is allowed to enter only one unidentified overage and one unidentified shortage per settlement. However, the CSR can make as many corrections to the original over/short transaction as needed by processing a **COR REV** (correct revenue) transaction.
  - Watch for overages and shortages that match. If they match, the CSR may be illegally "borrowing" pocket money.
  - Look for unidentified over/short entries that are even amounts (i.e. \$10.00, \$20.00 etc.). This could be an indicator of careless counts or fraudulent activity.
  - **NOTE:** CSC management must always notify the district manager immediately when unidentified shortages or overages (office change fund, CSR drawer, credit card, or other) are \$25.00 or more using the Overage/Shortage Notification form ([CSMA 45](#)).
- When reviewing reports in the system, management may compare like time periods for the month by location (CSC, District or Statewide). These reports may determine if the net overage/shortage is decreasing, increasing or maintaining levels by the month. Only monthly (not date range) reports are available for comparison. Ex. December 2013 compared to November 2013.
- Management should also obtain other CSC's Management Exception reports to ensure the reissue transactions per CSR processed in their CSC are in line with those in other CSCs.

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