



# PERFORMANCE QUALITY RECOGNITION PROGRAM GUIDE

JANUARY 2017



January 1, 2017

Dear Tax Assessor-Collector,

The Texas Department of Motor Vehicles (TxDMV) is proud to introduce the inaugural version of the Performance Quality Recognition Program. This program is designed to recognize the valuable motor vehicle services Tax Assessor-Collectors provide to the citizens of Texas.

TxDmv understands the importance of the services you provide as well as the impact that you have on the overall satisfaction of Texas motorists. The Performance Quality Recognition Program is designed to recognize you and your counterparts for your achievements in providing quality registration and titling services to the motoring public. The criteria included in the program are based on best practices the TxDMV has identified with the assistance of the Performance Quality Recognition Program Working Group. I want to thank those Tax Assessor-Collectors and TxDMV staff who devoted their time, energy and talents to the creation of this program. A list of those who served on the working group can be found later in this document.

Although great effort went into identifying comprehensive benchmarks that a Tax Assessor-Collector representing a county of any size or location could potentially achieve, TxDMV recognizes that there may be other best practices that warrant recognition that are not included in the initial version of this program. In an effort to continually improve the program and set the performance bar higher, TxDMV will update the program guide as needed to incorporate new criteria.

I hope you find this program valuable in showcasing the great work you and your employees provide every day. I look forward to the inaugural year of the Performance Quality Recognition Program and learning more about the improvements you have implemented to positively impact the people of our great state. Thank you for being "Driven to Serve!"

Sincerely,



Whitney Brewster  
Executive Director



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# Introduction

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The TxDMV is proud to launch the Performance Quality Recognition Program, which recognizes tax assessor-collectors who go above and beyond to comply with Texas laws and agency rules, and provide exceptional customer service. This is a voluntary, multi-level recognition program available to all 254 counties interested in participating.

Transportation Code, §520.004, requires the department to establish standards for uniformity and service quality for counties. This subchapter prescribes the procedures and general criteria the department will use to establish and administer this voluntary program to recognize county tax assessor-collectors and their offices for outstanding performance and efficiency in processing title and registration transactions.

This guide explains the three levels of available recognition and provides instructions on how to participate and apply for the program.

The TxDMV would like to acknowledge the work of the Performance Quality Recognition Program Working Group in the development of this program. The following individuals participated in numerous working group meetings and provided valuable input during the rule making process and drafting of the guidelines. The working group members are: Ro'Vin Garrett (Brazoria County); Kevin Kieschnick (Nueces County); Ronnie Keister (Lubbock County); Cristyn Hallmark (Matagorda County); Becky Robles (Tom Green County); Becky Watson (Cass County); Deborah Hunt (Williamson County); Robin Harper (Andrews County); Tammy McRae (Montgomery County); Teri Garvey (Anderson County); Aline Aucoin (TxDMV); William Diggs (TxDMV); Amber Wilson (TxDMV); Jeanna Gordon (TxDMV).

We also appreciate the efforts of Tammera Parr-Lamb and Kimberley Jaso, with the assistance of TxDMV regional service center staff, in drafting this document and supporting the working group. This program would not have been possible without the contributions of everyone who worked together to develop it.

# Instructions

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## Overview

All counties that want to participate in the Performance Quality Recognition Program must apply for a desired level of recognition. The county tax assessor-collector must meet each of the requirements for the prior level(s) of recognition to be eligible for the two higher levels of recognition. For example, if a county tax assessor-collector wants to apply for the Gold Level of recognition, the applicant must meet the requirements and complete the application for the Bronze, Silver *and* Gold Levels of recognition.

The program recognizes tax assessor-collectors at three levels for compliance with statutory and administrative rule requirements, the use of effective and efficient office practices, demonstrated commitment toward completing proper motor vehicle transactions, and customer service. Recognition is focused on a variety of items, including, but not limited to, offices that:

1. remit fees on time;
2. consistently apply statutes, rules, and policies governing motor vehicle transactions;
3. maintain bonds required by statute or rule;
4. perform efficiently and with low error rates;
5. process transactions in a timely fashion;
6. have a fraud, waste, and abuse awareness program;
7. focus on customer satisfaction and feedback programs; and
8. implement cost saving measures.

## Application for Recognition

The application must be submitted on Form DMV-2017-0001. The form can be found on page 40 and at [www.txdmv.gov/county-recognition](http://www.txdmv.gov/county-recognition). The application must be complete and signed by the county tax assessor-collector.

In addition to completing the application, additional information, documentation, or clarification may be required as prescribed by each criterion. Examples of some of the elements outlined within the criteria can be found in the Appendix.

At the department's discretion, additional information, clarification of information provided, and supporting documentation may be requested. The department will contact the county tax assessor-collector for this information and provide a deadline to respond.

## Submission of Application and Documentation

Applications can be accessed online at [www.txdmv.gov/county-recognition](http://www.txdmv.gov/county-recognition) and submitted by mail or email.

For mailed applications, please send to:

Texas Department of Motor Vehicles  
Attn: County Recognition Program  
4000 Jackson Ave. Bldg. 1  
Austin, TX 78731

For emailed applications, please send to:

[County-Recognition@txdmv.gov](mailto:County-Recognition@txdmv.gov)

## Eligibility to Apply

### Initial Application

If a county tax assessor-collector is applying for the first time, whether newly-elected or incumbent, the county tax assessor-collector is eligible to apply once serving as the county tax assessor-collector for an entire state fiscal year. The county tax assessor-collector may apply for the highest level of recognition as long as he/she meets the requirements for each level of recognition. For example, if the county tax assessor-collector wants to apply for the Gold Level of recognition, he/she must meet the requirements and complete the application for the Bronze, Silver, *and* Gold Levels of recognition.

### Re-application

Program recognition expires one year after the county tax assessor-collector's re-election. A county tax assessor-collector who wants to maintain his/her existing recognition level or seek a higher level of recognition must re-apply. For example, if a county tax assessor-collector has Silver Level of recognition and was re-elected for a term of office of beginning January 2017, the county tax assessor-collector will need to re-apply by the October 31<sup>st</sup> deadline to avoid a gap in recognition.

### Applying for a Higher Level of Recognition

County tax assessor-collectors who have obtained a recognition level are eligible to apply for a higher level after serving as the county tax assessor-collector for an entire state fiscal year after the recognition level was awarded. For example, if Bronze Level of recognition was awarded in state fiscal year 2017, the county tax assessor-collector will have to serve the entire state fiscal year of 2018 before being eligible to apply for a Silver or Gold Level of recognition in state fiscal year 2019.

## Deadline to Submit Application

The application evaluation period is September 1 through August 31. The application for the evaluation period must be received by the department or postmarked no later than **October 31**.

# Application Review Process

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## Review Committee

A committee comprised of TxDMV staff will review the applications and documentation submitted by county tax assessor-collectors. This committee consists of management staff, subject matter experts in registration and titles, and regional service center (RSC) staff.

The committee is charged with verifying the application is complete and information provided is clear and meets the level of recognition sought. The committee may also access information from department records, as necessary, to support the application and contact the county tax assessor-collector if more information or clarification is needed.

The committee may award a recognition level based on information and documentation contained in the application and from department records.

The committee may deny an award of recognition based on the following:

- Application contains incomplete or inaccurate information.
- Tax assessor-collector fails to provide requested documentation.
- Application was not received by the deadline.
- Tax assessor-collector no longer holds the office of county tax assessor-collector.
- Tax assessor-collector did not sign the application.
- Tax assessor-collector does not meet the criteria for the recognition level sought.

## Committee's Decision to Award or Deny

The committee will make a decision to award or deny a recognition level no later than 90 calendar days after receiving the application for recognition. The committee will send a written notice to the county tax assessor-collector via email or mail. If the application is denied, the reason for denial will be provided. If there is a delay in the committee's decision, the county tax assessor-collector will be notified.

# Demotion or Revocation

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## Committee's Decision to Demote or Revoke

The committee may demote a county's recognition level if the county tax assessor-collector no longer meets the criteria for the current recognition level, but meets a lower recognition level. The recognition level will be demoted to the highest recognition level for which the county tax assessor-collector qualifies.

A recognition level can be revoked if the county tax assessor-collector no longer meets the criteria for any recognition level.

In the event the committee decides to demote or revoke a recognition level, the committee will send a written notice, including the reason for the demotion or revocation, to the county tax assessor-collector via email, fax, or mail.

### Eligibility to Apply after Demotion

If a county tax assessor-collector's recognition level is demoted, the county tax assessor-collector is eligible to apply for a higher level of recognition after serving as the county tax assessor-collector for an entire state fiscal year after the recognition level was demoted. For example, if a county's Silver Level of recognition was demoted to Bronze in June 2017, the county tax assessor-collector will have to serve the entire 2018 state fiscal year before being eligible to apply for the Silver or Gold Levels of recognition starting in September 2018.

### Applying after Revocation

If a county tax assessor-collector's recognition level is revoked, the county tax assessor-collector is eligible to apply for a recognition level after serving as the county tax assessor-collector for an entire state fiscal year after the recognition level was revoked. For example, if a county's Bronze Level of recognition was revoked in June 2017, the county tax assessor-collector will have to serve the entire state fiscal year before being eligible to apply for Bronze or higher recognition levels starting in September 2018.

# County Request to Appeal Decision

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## Appeal Review Justification

If a county tax assessor-collector disagrees with the committee's decision, the county tax assessor-collector may submit a signed request on county letterhead, requesting the decision be reconsidered. The basis for the review may be for the following justification:

- (1) Application for recognition was denied.
- (2) County tax assessor-collector disagrees with the awarded level of recognition.
- (3) Level of recognition is revoked or demoted.

## County Requirements for Appeal Request

The county tax assessor-collector's request must specifically identify the basis for why the county tax assessor-collector disagrees with the committee's decision, include any evidence or legal authority that supports the request, and be postmarked no later than 90 calendar days after the date of the committee's notification of its decision.

## Department's Appeal Review Process and Final Decision

Appeals of the review committee's decision will be evaluated by the Vehicle Titles and Registration Division director or his designee. The TxDMV review committee will not handle an appeal of a decision that it made originally.

The director or his designee will make a decision on the appeal within 90 days of receiving the request. The department will send a written notice to the county tax assessor-collector, including information to support the decision via email, fax, or mail. If there is a delay in the decision, the county tax assessor-collector will be notified.

## Recognition Award

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When a county tax assessor-collector is awarded a recognition level, a letter of recognition and certificate from the TxDMV executive director will be sent to acknowledge the tax assessor-collector's commitment to service and excellence.

The county tax assessor-collector will also receive an electronic insignia for the corresponding recognition. This insignia is to be shared with the public and county stakeholders to acknowledge the recognition made by the TxDMV. The insignia can be posted to the county website and linked to the TxDMV website that explains the program and accomplishments the recognition represents. The TxDMV will also acknowledge the counties participating in the program and their level of recognition awarded on the TxDMV website.



## Expiration of Recognition Level

### Awarded Recognition Level

The awarded recognition level expires on the latter of the county tax assessor-collector's term of office during which the recognition was awarded or the one-year anniversary of the county tax assessor-collector's re-election term of office.

### Higher Level of Recognition

If a county tax assessor-collector chooses to apply for a higher level of recognition, the existing recognition level will terminate when the committee makes a decision on the application for the higher level of recognition.

### Demotion of Recognition Level

If a recognition level is demoted, the demoted recognition level expires on the latter of the county tax assessor-collector's term of office during which the recognition was demoted or the one-year anniversary of the county tax assessor-collector's re-election term of office. The county tax assessor-collector shall discontinue use of the previously-awarded electronic image and return the certificate. A new electronic image and certificate designating the lower level of recognition will be provided.

### Revocation of Recognition Level

A recognition level that is revoked will terminate on the effective date of the revocation. All awards and insignia must be removed from the county tax assessor-collector's office and website within 30 days of the committee's decision to revoke. The certificate must be returned to the TxDMV, and the county will be removed from the department's website that lists recognized counties.

### End of Office

Any recognition level awarded to the county tax assessor-collector will expire when the county tax assessor-collector no longer holds office as the county tax assessor-collector.

# Criteria for each Level of Recognition

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## Bronze Level Criteria

Bronze Level recognizes tax assessor-collectors that comply with state laws and agency rules for registering and titling motor vehicles and related TxDMV training modules. Bronze represents the minimum recognition level.

### Scoring

The scoring for these criteria are point-based. Each criterion is worth one (1) point. Counties must meet all 12 criteria for a total of 12 points to receive Bronze Level recognition.

### Criteria / Achievement

#### **B.1 The county tax assessor-collector has completed the oath of office *(Required)***

##### Purpose

Completion of the official oath of office meets Texas constitutional and statutory requirements and is a critical first step in taking the office of county tax assessor-collector. This oath asserts the individual will preserve, protect, and defend federal and state laws. Failure to take the oath may void official actions taken by the individual.

##### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a certification stating the requirements for this section have been met.

##### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

#### **B.2 Maintain required bond amounts *(Required)***

##### Background and Purpose

Bonds are required for the tax assessor-collector, and deputies appointed by the tax assessor-collector to ensure the faithful performance of their duties. The bond may be called upon by the county or state in the event the tax assessor-collector owes the county or state revenue from the collection of taxes and fees.

##### *County Bond Amount*

The bond for county taxes is set at an amount equal to ten percent of the total amount of the preceding tax year's county taxes not to exceed \$100,000 and is payable to the county commissioners court.

##### *State Bond Amount*

The bond for state taxes is set at an amount equal to five percent of the net state collections from motor vehicle sales and use taxes and motor vehicle registration fees in the county during the preceding year. This bond may

not be less than \$2,500 or more than \$100,000 and must be approved by the commissioner's court and state comptroller of public accounts. The bond is payable to the governor.

### *Bonds for Deputies*

County deputies are required to post a surety bond payable to the tax assessor-collector (one bond per deputy for a county regardless of number of locations) valued between \$100,000 and \$5 million for a full service or dealer deputy or between \$2,500 and \$1 million for a limited service deputy.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a copy of all applicable bond agreements to confirm compliance of the required bond amount.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **B.3 Remit registration fee collections on time *(Required)***

### Background and Purpose

To ensure the timely remittance of state funds to support transportation, agency, and county supported activities.

The TxDMV, in partnership with the 254 county tax assessor-collectors, processes and collects fees for motor vehicle title and registration. A portion of the fees collected are retained by the county, and the remainder is distributed to the state and used by the Texas Department of Transportation to construct and maintain the state's transportation system.

The timely remittance of funds ensures the state has funding available to purchase supplies for the registration and titling activities of the department and county offices.

### Requirement

The county must remit the net revenue from registration fees to the state no later than 34 days from the time of collection. In order to defer remittance, the county must notify the department. Otherwise, the net revenue from registration fees must be remitted to the state no later than three days from the time of collection. The amounts owed to the state are reflected in the weekly Funds Remittance Report. The county may satisfy the requirement by providing justification for late payments and evidence demonstrating payment of interest and penalties.

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a certification stating the requirements for this section have been met.

### Exceptions

No more than two late payments may be made within the state fiscal year, and justification for the late payment must be provided. If there is a defect in the RTS or Cognos system, the county will not be considered delinquent if the funds are remitted within two business days of the remittance report being made available. Funds not remitted to the county tax assessor-collector's office in a timely manner, such as payments from the Texas Comptroller's office, will not be held against the county tax assessor-collector.

### Supporting Documentation

Timely remittance of registration fees collected will be verified by the TxDMV using the Unpaid Remittances and Aging Report – Summary/Detail. This report is available in Cognos, and the county can verify their remittance with their local RSC.

## **B.4 Remit motor vehicle sales tax and penalties on time *(Required)***

### Background and Purpose

Motor vehicle sales and rental taxes, motor fuel taxes, and other taxes produce large revenue streams for the state. A tax is levied on all retail sales of motor vehicles bought out of state and in Texas and used on Texas public highways by residents. State motor vehicle sales taxes are remitted to county tax assessor-collectors who remit them to the state on a schedule defined in the Tax Code (see below).

### Requirement

The county must remit the net revenue from motor vehicle sales and use taxes to the state in accordance with the following:

<b>Frequency</b>	<b>Amount of sales tax collections in previous state fiscal year</b>
Monthly (10th day of the month)	Less than \$2 million
Once each week	\$2 million to less than \$10 million
Daily	\$10 million or more

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a certification stating the requirements for this section have been met.

### Exception

If the amount of net collections under Chapter 502, Transportation Code, and Chapter 152, Tax Code is insufficient to cover the amount of those net collections authorized to be retained by a county as a percentage of the tax and penalties collected, the comptroller shall, at the request of the county tax assessor-collector, authorize the county to retain a portion of the tax and penalties collected to cover the deficiency.

### Supporting Documentation

There is no available report to monitor the remittance.

Accreditation by the county auditor via a report, letter, or certification by the tax assessor-collector stating taxes have been remitted to the comptroller in a timely manner based on the collection amount must be provided.

## **B.5 Charge only fees allowed *(Required)***

### Background and Purpose

Statewide consistency in title and registration fees ensures the motoring public is charged equitably regardless of their county of residence. Also, the motoring public must be able to find statutory authority for the fee amounts assessed by the tax assessor-collector's office when performing work on behalf of the state.

The tax assessor-collector is only authorized to collect and retain fees for services performed on behalf of the state pursuant to Texas Transportation Code, Chapters 501, 502, 504, 548, and 681. The tax assessor-collector is expressly prohibited from charging additional fees for supplies provided by the state, or for services performed on behalf of the state or that facilitates the performance of services performed on behalf of the state unless provided for in Texas statute or Administrative Code.

RTS accounts for all fees that should be charged and collected within the applicable event for the transaction. However, RTS allows flexibility for collection of fees in Additional Collections in limited circumstances. For auditing purposes, use of Additional Collections to collect fees outside the applicable event must be justified, especially the use of Miscellaneous.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a certification stating the requirements for this section have been met.

Counties utilizing the Additional Collections event in RTS should be able to provide documentation on all transactions and justification for why it was used. Counties can view the fees collected under Miscellaneous Fees through Additional Collections from the Fee Type Funds Report from RTS.

### Supporting Documentation

Compliance with this criterion can be verified by a Cognos query for any funds collected in RTS Additional Collections.

## **B.6 Contact information provided to the TxDMV (Required)**

### Background and Purpose

When the county tax assessor-collector takes office, the TxDMV RSC manager will provide them with information related to the TxDMV. It is important for county tax assessor-collectors to provide the TxDMV with their contact information, including email address, to post to the TxDMV website. This email address will also be added to a TxDMV email directory and used by the department to communicate important information directly to the tax assessor-collector. Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide the county tax assessor-collector's email address in order to receive communications from the department.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **B.7 Have a fraud, waste, and abuse prevention policy (Required)**

### Background and Purpose

The purpose of a fraud, waste, and abuse policy is to establish the expectation that all employees are responsible for preventing, detecting, and reporting fraud, waste, and abuse. County tax assessor-collectors are responsible for preserving the public trust to properly use and protect county and state resources.

A policy is intended to facilitate the prevention of fraud, waste, and abuse and, when necessary, stop continued fraud, waste, and abuse by any means within a county tax assessor-collector's authority. It is the duty of every employee to be vigilant in identifying and reporting suspected fraud, waste, and abuse in a timely manner to the appropriate supervisor whether the suspected activity concerns another employee or an individual who conducts business with or on behalf of the county.

Preventing, and stopping the waste or loss of county and state resources is absolutely critical to maintaining the public's trust and ensuring our continued success.

### Definitions

**Fraud** involves obtaining something of value through willful misrepresentation. Fraud includes a false representation by words, conduct, or omission that deceives or is intended to deceive another, so the individual will act upon the misrepresentation or omission to his or her legal detriment.

**Waste** is the misuse or loss of state resources through inefficient or ineffective practices or behaviors. Waste may result from mismanagement, inappropriate actions, and/or inadequate oversight.

**Abuse** is the misuse of authority or position that causes the loss or improper use of county or state resources.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a copy of their county's policy related to fraud, waste, and abuse detection and prevention.

### Supporting Documentation

A sample policy is provided in the Appendix, which may be adapted for county use.

## **B.8 Staff required to complete non-disclosure agreement for Driver's Privacy Protection Act (DPPA) (Required)**

### Background and Purpose

County tax assessor-collectors are responsible for educating county employees about the federal DPPA, the state Motor Vehicle Records Disclosure Act, and the state Public Information Act. Employees should be familiar with these privacy laws and have a clear understanding of the role the laws play in maintaining the integrity of Texas motor vehicle records.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector must certify that each county employee that has access to motor vehicle records signs a non-disclosure agreement for driver's privacy protection.

The agreement should contain a list of the required and permitted uses in the DPPA, and the employee should certify they have read and understand them.

At a minimum, the agreement should also affirm the employee understands the following:

- No personal information contained in a motor vehicle record may be verified or released over the telephone. Verification or release of non-personal information is acceptable. In order to verify or release personal information to a qualifying individual, a written request and photo identification is required.
- Violations of the DPPA can result in civil and criminal penalties.
- The release or use of personal information from motor vehicle records for the purpose of distribution of surveys, marketing, or solicitations is strictly prohibited.
- Access to motor vehicle records is for official internal use only and may not be released or disclosed for any purpose.
- The employee and tax assessor-collector (or designee) should sign and date the document, and the document should be kept in the employee's personnel file.

#### Supporting Documentation

A draft non-disclosure agreement is included in the Appendix and may be utilized to satisfy this requirement.

### **B.9 Dedicated county tax assessor-collector office website *(Required)***

#### Background and Purpose

Over 68 percent of the Texas population uses the Internet, and this percentage will continue to grow in the future. Texans expect government offices to maintain a dedicated website that provides information that makes doing business easier and reduces the amount of customer questions.

The county tax-assessor collector website must provide the following information:

1. Office location(s)
2. Address
3. Hours of operation
4. Contact phone number(s) and email address

#### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide the information listed above and the web address (URL) to the dedicated county tax assessor-collector office website on the recognition application. Counties may receive more information on how to obtain a county tax assessor-collector website, if needed, through the Tax Assessor-Collector Association (TACA).

#### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

### **B.10 Compact with citizens *(Required)***

#### Background and Purpose

A customer or citizen compact is an agreement made with the customers of an institution to provide services that follow a predetermined set of guiding principles. This compact defines the standards that customers should expect. A multitude of state agencies, including the TxDMV, has a compact with the citizens of Texas. The

TxDMV's Compact with Texans supports the department's vision, mission, and goals of being customer-centric and providing premier customer service. Counties should have a similar compact with the citizens of their county.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a copy of their county's compact with their citizens that outline their customer service policies and procedures.

### Supporting Documentation

TxDMV's compact with Texans is provided as a sample and located in the Appendix. It may be adapted for county use if desired.

## **B.11 Commitment to training (Required)**

### Background and Purpose

Training promotes productivity, efficiency, and professionalism and enhances our abilities to better serve the motoring public. When employees are encouraged to complete training, some immediate benefits include lower error rates and improved customer satisfaction.

The purpose of training, as it relates to vehicle registration and title in Texas, is to ensure employees have the necessary knowledge to complete transactions successfully. Training may also be used to enhance proficiency using software programs connected to a particular job or task or general customer service abilities.

### Commitment to Training Statement

*In my role as a tax assessor-collector, training for me and my employees is a high priority. I will encourage my employees to participate in job specific training to the best of my ability. I will also ensure my staff has sufficient access and time to complete necessary training and webinars provided by the TxDMV.*

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a certification stating the requirements for this section have been met.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **B.12 Maintain accurate RTS and TxDMV eLearning user access (Required)**

### Background and Purpose

County tax assessor-collectors should maintain staff access to TxDMV applications. When turnover occurs or job duties change, the user's access within the RTS application and eLearning system should be updated appropriately. Keeping this information up-to-date ensures staff are using the appropriate log-in credentials and only accessing applications relevant to their job duties. In addition, the department has a limited number of licenses available for accessing the eLearning system. Users who no longer need access should be removed, so new users can be added.

**Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide a certification stating requirements for this section have been met.

**Supporting Documentation**

No additional supporting documentation is required to fulfill this requirement.



## Silver Level Criteria

Silver Level recognizes tax assessor-collectors that satisfy the requirements for Bronze Level and are customer-centric and innovative. Applicants for Silver Level must comply with specific statutory and rule requirements and perform customer-centric business practices that meet or exceed expected levels of service. Silver represents the middle-tier recognition level.

### Scoring

The scoring for these criteria are point based. Each criterion is worth one (1) point unless otherwise stated within the criteria. Counties must meet the nine (9) required criteria and any electives that amount to five (5) additional points to reach a total of 14 points.

### Criteria / Achievement

#### **S.1 TxDMV annual inventory concludes with No Discrepancies Found *(Required)***

##### Background & Purpose

An annual inventory confirms proper internal controls are in place to secure and account for department inventory.

TxDMV field service representatives (FSRs) conduct a yearly on-site inventory of department issued plates and placards. During the inventory, expired and unexpired inventory is accounted for. The inventory allows the FSR to review internal county controls in handling this inventory and allows them to make recommendations where weaknesses are identified. This allows the county to maintain strong controls over their daily operations involving department issued inventory and mitigates potential mishandling issues.

##### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have an annual Inventory that concludes with No Discrepancies Found within the preceding 12 months.

##### Exception

An office that receives a review that includes discrepancies can still receive credit for this category if the follow-up review shows the inventory items have been reconciled and accounted for. The reconciled discrepancies must be completed within the state fiscal year prior to applying.

##### Supporting Documentation

FSR's inventory clearance letter concluding with No Discrepancies Found issued within the last 12 months. A sample letter can be found in the Appendix.

#### **S.2 Participation in GovDelivery (RTBs and notifications system) *(Required)***

### Background and Purpose

Participating in GovDelivery ensures the county and stakeholders receives important updates concerning policy, procedure, and associated form changes and customers receive up-to-date information. Staying current on important changes to policies and procedures demonstrates a commitment to providing outstanding customer service and following department policies and procedures.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to certify the county has at least one individual from each county tax assessor-collectors office subscribed to receive and disseminate information from the department to appropriate staff. On the application, the county tax assessor-collector must provide the name and email address of at least one staff member subscribed to GovDelivery.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement. Instructions on how to subscribe to GovDelivery are provided in the Appendix.

## **S.3 Promote use of webDEALER *(Elective)***

### Background and Purpose

To promote the use of webDEALER in order to provide efficient customer service. Promoting use of webDEALER by franchise and independent dealers provides dealerships and customers increased efficiency by utilizing an overall customer service-centric business model. When local county tax assessor-collectors promote effective use of webDEALER within their county, increased customer service options become available for both dealerships and walk-in customers. Increasing efficiency with a tax office promotes a customer-centric atmosphere by the county tax assessor-collector's office.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application must certify the following:

- The county has received webDEALER training from their RSC.
- Dealerships (franchised and independent) in the tax assessor-collector's county have been notified of webDEALER's existence.
- The county tax assessor-collector has at least one (1) dealership submitting transactions.
- The county tax assessor-collector has at least ten (10) transactions submitted monthly.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **S.4 Promote customer efficiencies by use of webSUB *(Elective)***

### Purpose

Promoting the use of webSUB by local businesses and other public offices provides customers increased convenience by offering additional options for customers that need to renew their registration. Often times, these

businesses office hours are more flexible and can better accommodate customer's needs. The use of webSUB within a county decreases wait times for customers visiting the county tax office for other transactions. Counties should strive to provide convenient, efficient, and accessible options to customers.

**Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have at least one subcontractor (non-county location) set up in webSUB and utilized the application at least six months of the state fiscal year.

**Supporting Documentation**

No additional supporting documentation is required to fulfill this requirement. The TxDMV can confirm participation through webSUB.

**S.5 Monitor and maintain turnaround time for mailed renewals *(Elective)***

**Background and Purpose**

The county's turnaround time to process registration renewals is essential to excellent customer service and satisfaction. Although law does not specify a set timeframe to process registration renewals mailed to a county office, the county should strive for efficiency and a quick output to meet customer needs. Counties should monitor and maintain the time it takes to handle mailed registration renewals to evaluate average processing time. Monitoring this information should result in improved county training and business processes to decrease the average turnaround time.

Many vendors offer high-speed machines that quickly scan the renewal, insurance, and/or check submitted by the customer to cashier the money and assist with processing. In addition, mail remittance the TxDMV has provided equipment vendors the ability to connect their software to the webSUB application for faster processing of registration renewals. These processes may benefit a county office in expediting the mailed registration renewal process.

**Requirement**

Tax assessor collector's receiving recognition will have implemented an internal program/process to monitor and maintain turnaround time for mailed registration renewals.

**Supporting Documentation**

Provide a copy of the program or process used to monitor and maintain the turnaround times for mailed registration renewals.

**S.6 Monitor and maintain turnaround time for titles *(Elective)***

**Background and Purpose**

The county's turnaround time to process title paperwork is important to customer service and satisfaction. Statute requires counties to input title paperwork into RTS within 72 hours of receiving the paperwork. Counties should monitor and maintain the time it takes to process complete and accurate title applications to evaluate average processing time. Monitoring this information should result in improved county training and business processes to decrease the average turnaround time.

### Requirement

Tax assessor-collector's receiving recognition will have implemented an internal program/process to monitor and maintain turnaround time for complete and accurate title applications.

### Supporting Documentation

Provide a copy of the program or process used to monitor and maintain the turnaround times for titles that are complete and accurate.

## **S.7 Have a fraud, waste, and abuse prevention and training program *(Required)***

### Background and Purpose

This criterion further expands on the county's fraud, waste and abuse prevention policy by requiring the development of an internal program that substantiates its policy. The program must incorporate a written standard operating procedure that outlines specific guidelines for achieving policy goals and training. The program serves as a means to ensure consistency in the county's operations as it strives to prevent fraud, waste and abuse. Some program examples could include, but are not limited to, the following:

- Regular audits
- Random cash handling audits
- Inventory controls
- Training

### Requirement

A county must develop a standard operating procedure outlining roles and responsibilities of their employees should they discover fraud, waste or abuse. Training should be developed to provide employees this information. The procedures should also include any additional measures the county is taking to detect and prevent fraud, waste, abuse (e.g., a regular audit schedule).

### Supporting Documentation

Provide a copy of the county standard operating procedure relating to the county's fraud, waste, and abuse prevention policy, training outline, or information provided to county employees.

## **S.8 Controls and procedures to prevent theft and misappropriation of funds *(Required)***

### Purpose

County offices handle large amounts of title and registration funds on a daily basis. Documented monetary controls and procedures can prevent theft or misappropriation of these funds. Examples of monetary controls and procedures include the following:

- Funds are deposited in the bank on a daily basis.
- Reconciliations of bank deposits are completed in a timely manner and reviewed by staff other than the person who prepared the deposit.
- Bank statements are reviewed weekly or monthly for accuracy.
- Checks returned for insufficient funds are logged and tracked.

- Cash drawers are counted at the end of the business day by the employee responsible for the drawer and verified by another employee.
- Access to and control of the key for locked cash drawers is restricted based upon employee position.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide written documentation of county controls and procedures to prevent theft and misappropriation of funds.

### Supporting Documentation

Attach county standard operating procedures for cash handling and prevention of theft and misappropriation of funds. A sample cash handling standard operating procedure can be found in the Appendix, which may be adapted for county use.

## **S.9 Work closely with and assist local law enforcement (*Elective*)**

### Background and Purpose

Provide support to local law enforcement on motor vehicle title and registration policy and procedures. Tax assessor-collector involvement with law enforcement at the local level is essential in order to respond to situations where title fraud or motor vehicle theft is suspected. Counties should work to develop relationships with law enforcement and ensure they have knowledge related to titling and registering motor vehicles. Some specific titling and registration procedures may include, but are not limited to, the following:

- Insufficient fund procedures (inclusive of license plate and registration sticker seizure)
- Disabled Placard seizure procedures
- Trailer vehicle identification number (VIN) inspections

### Requirement

Establish policies and procedures for working with local law enforcement agents. Key items that should be incorporated into this procedure include:

1. Identification of law enforcement agents and contact information.
2. Provide a list of key county tax office personnel to law enforcement.
3. Methods to educate law enforcement personnel about title and registration policies and procedures.

### Supporting Documentation

Provide documentation of activities that develop relationships and assist law enforcement.

## **S.10 Offers customer surveys to collect customer satisfaction (*Required*)**

### Background and Purpose

To monitor customer levels of satisfaction. The use of customer feedback allows each office to continuously improve operations, increase customer satisfaction, and provide a consumer-friendly atmosphere. The use of

customer surveys facilitates easier collection of the vital information used to understand, from the customer's perspective, when customer service efforts are successful.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to offer customers the option to provide feedback through customer surveys. The survey must include the following:

1. Customers are offered the option of completing a survey covering at minimum the Overall Rating of Satisfaction.
2. The Overall Rating of Satisfaction should be evaluated by the following five satisfaction level ratings or by a 1-5 rating with 5 representing Excellent.  
Excellent  
Above Expectations  
Meets Expectations  
Below Expectations  
Unsatisfactory

### Supporting Documentation

The tax assessor-collector must provide an example of a customer survey used by the county.

## **S.11 Publish motor vehicle services and information on the county tax assessor-collector's website *(Required)***

### Purpose

To emphasize the importance of the county providing substantive information on their website.

If the customer is unable to reach the county tax office by phone or prefers to research their request, the county website should provide the elements necessary for the customer to retrieve the documents or information they need. The links and information on the website should be current and link to the correct information.

The county tax assessor-collector's website may include, but is not limited to, the following:

- County holidays and closures
- County news
- Frequently asked questions
- Link to the TxDMV website for forms, publications and tools
- Ability for customers to leave feedback/comments
- Information or links to other stakeholders
- Acceptable payment methods and requirements
- Link to National Motor Vehicle Title Information System website

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide the web address (URL) to the dedicated county tax assessor-collector office website and provide the items listed above.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **S.12 Partnership with other counties to encourage information sharing *(Elective)***

### **Purpose**

To build a network of support and align processes across county lines. While each county faces different difficulties, there are many common challenges. Partnerships encourage information sharing and assists counties in overcoming these challenges. This also promotes consistency in business practices with surrounding counties.

### **Requirements**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to attend regular regionally hosted meetings and one of the following:

1. Work with neighboring counties to create and document at least one standard operating procedure related to customer service.
2. Host meetings for counties to share concerns and resolve issues that affect the counties within their region.

### **Supporting Documentation**

Submit a copy of the regional meeting sign-in sheet, any standard operating procedures developed between counties, or a copy of the meeting agenda hosted by the county office.

## **S.13 Engage in outreach activities to notify customers about motor vehicle services *(Elective)***

### **Background & Purpose**

Tax assessor-collectors should strive to keep the motoring public informed of different aspects of motor vehicle services. Every community utilizes a variety of methods to disseminate information to its citizens, and the tax assessor-collector should take advantage of these methods to notify the public about available services, changes to existing services, upcoming rule changes, solicit feedback from the community, and provide general information.

### **Requirement**

The tax assessor-collector will be required to engage in outreach activities. Outreach activity should be motor vehicle related and targeted to residents of the county.

Some examples of outreach activities include, but are not limited to, the following:

- Mailing of motor vehicle information
- Distributing fliers, posters, or brochures
- Connecting to the public via social media
- Press releases
- Talk radio and/or news interviews
- Participating in local events

### **Supporting Documentation**

Submit evidence of outreach activities notifying customers about motor vehicle services.

## **S.14 Use queuing system/equipment to manage customer wait times *(Elective)***

### **Background and Purpose**

To reduce and manage customer wait time. Queuing systems act as a tool to manage and streamline customer wait times, resulting in reduced lines. This enables office leadership to identify areas needing improvement. Offices can use simple queue management systems that use preprinted tickets or more sophisticated electronic versions.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide proof that at least one office uses stanchions, a ticket dispenser and display, or other systematic means to manage customers' wait time.

### **Supporting Documentation**

Submit evidence that at least one office uses queuing equipment/device to manage customers' wait time. Verifiable during office visit by RSC or FSR.

## **S.15 Provide motor vehicle service information to non-English speaking customers *(Elective)***

### **Background and Purpose**

To improve customer service for non-English speaking customers.

This criterion allows county tax offices to receive credit for providing additional assistance to non-English speaking customers.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have at least one staff member capable of communicating with non-English speaking customers constituting the largest non-English speaking population in the county.

### **Supporting Documentation**

No additional supporting documentation is required for this criterion.

## **S.16 Alternate county business hours *(Elective)***

### **Background and Purpose**

To provide additional office hours for the varying needs of customers. Counties offering alternate office hours provides customers options for receiving service and demonstrate a commitment to the citizens they serve. Alternate hours should be clearly displayed on the exterior of the office, county website, and any other appropriate means.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide alternate office hours at least twice a month. Alternate office hours include any one or more

hours the office is open before 8:00 a.m. or after 5:00 p.m. Alternate hours do not require being open more than nine hours per day.

**Supporting Documentation**

Schedule indicating alternate office hours, advertising, or link to website promoting alternate hours.

**S.17 Customer service workflow efficiencies (*Elective*)**

**Background & Purpose**

This criterion recognizes county offices that implement business practices that streamline customer services. County offices that streamline processes reduce wait times, customer inconvenience, and improve the overall office experience.

**Requirements**

In addition to handouts and checklists, a county that creates dedicated customer service windows or lanes can expedite services to specific customers. Examples of this business practice include, but are not limited to, the following:

- A dedicated line or window for customer information
- An express lane for registration renewal transactions only

**Supporting Documentation**

The county tax office must submit evidence or description of the streamlined processes.

**S.18 Staff participation in TxDMV webinars related to policies or procedures  
(*Required*)**

**Background and Purpose**

Webinars are provided for counties and their staff when policies and procedures change or new programming is implemented. These webinars are provided after the TxDMV sends out policy and procedure changes documented in Registration and Title Bulletins or Release Notes.

The webinars serve as an opportunity for the TxDMV to explain changes and new requirements to counties and answer any questions county staff may have. Representation and involvement in these webinars ensures counties understand what is required of them by policy and/or administrative rules and statute. This communication between the TxDMV and counties is crucial to aligning operating procedures within the counties. While participation in live webinars is preferable, these webinars are recorded and available on the TxDMV website, in the event staff is unable to attend the live webinar.

**Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to certify at least one staff member other than the tax assessor-collector attended the live webinar or listened to the webinar recording for each topic provided over the course of the state fiscal year. For example, if over the course of the state fiscal year there were a total of ten webinars related to two registration and title bulletins, staff should have attended or listened to the recorded version of at least one of these webinars per topic for a total of two webinars attended.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **S.19 County tax assessor-collector receives continuing education credits through the TxDMV webinars *(Required)***

### Background and Purpose

Webinars are provided for counties and their staff when policies and procedures change or new programming is implemented. These webinars are provided after the TxDMV sends out policy and procedure changes documented in Registration and Title Bulletins or Release Notes.

The webinars serve as an opportunity for the TxDMV to explain changes and new requirements to counties and answer any questions county staff may have. Representation and involvement in these webinars ensures counties understand what is required of them by policy and/or administrative rules and statute. This communication between the TxDMV and the counties is crucial to aligning operating procedures within the counties. In addition, attending these webinars allows the county tax assessor-collector or their deputies to earn credit towards the continuing education credit program.

Attendance by the county tax assessor-collector or the chief deputy creates a higher standard for their office since these positions represent the county as a whole and encourages growth and development. Webinars are recorded and available on the TxDMV website, in the event the county tax assessor-collector or chief deputy was unable to attend the live webinar.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to certify the tax assessor-collector or chief deputy attended the live webinar or listened to the webinar recording for each webinar topic provided over the course of the state fiscal year. For example, if over the course of the state fiscal year there were a total of ten webinars related to two RTS releases, the tax assessor-collector or chief deputy should have attended or listened to the recorded version of at least one of these webinars.

### Supporting Documentation

No additional supporting documentation is required to fulfill this requirement.

## **S.20 County tax assessor-collector staff conducts on-site spot checks of all county and deputy locations *(Required)***

### Purpose

To inspect at county and deputy locations (full service, dealer deputy, limited service deputy) department inventory or RTS equipment to ensure compliance with county and state guidelines. Counties should conduct regular on-site reviews of county and deputy locations to confirm adherence to policies and ensure consistency in work quality.

### Requirement

At a minimum, on-site inspections should include the following:

1. Examination of title transactions for conformance with state guidelines
2. Review of inventory handling and spot checks against RTS Inventory Report

3. Review of office security (e.g., employee oversight, money handling, etc.)

Tax assessor-collector offices should document and formalize their observations in a report.

#### Supporting Documentation

Copy of internal a standard operating procedure outlining areas to be inspected and a systematic guide on how to conduct those inspections, along with a document summarizing the outcome of those inspections within the past 12-month period.

### **S.21 Staff participation in training or certification programs *(Elective)***

#### Background and Purpose

Training promotes productivity, efficiency, professionalism, and enhances our abilities to better serve the motoring public. When employees complete training, some immediate benefits include lower error rates and improved customer satisfaction.

The purpose of training as it relates to vehicle registration and title in Texas is to ensure employees possess the necessary knowledge to complete transactions successfully. Training or certification programs related to software, leadership, or management may also enhance proficiency in utilizing software programs connected to a particular job or task and customer service abilities.

#### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide documentation of training or certification programs provided to staff. Training may be developed by the county, cross-training between staff members, or participation in the TxDMV eLearning modules related to topics that provide a benefit to the public seeking registration and/or titling services from the county.

#### Supporting Documentation

Submit a list of training and/or certification program(s), including the following items for each course or program:

- Copy of the course synopsis or outline, if applicable
- Date(s) of training (within the previous state fiscal year)
- Transcript of training completion

### **S.22 Staff provided information technology (IT) security practices or training *(Elective)***

#### Background and Purpose

IT security practices and training familiarize data users with information protection resources in accordance with appropriate statutes, regulations, rules, standards, guidelines, processes, and procedures. The TxDMV administers an annual mandatory *SANS Securing the Human* training for their employees to ensure staff properly safeguard passwords, system credentials and personal identification information. Counties should provide information on IT security practices to all staff with access to RTS or other TxDMV systems and/or participate in IT security training.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to certify staff have been informed of IT security practices or attended training within the state fiscal year. Only one of the following will be counted towards this criterion:

- Inform staff of IT security practices – 1 point
- Participate in IT security training – 2 points

### Supporting Documentation

The tax assessor-collector should submit a summary of the annual IT security overview (practices) provided to county staff or transcript of training completion indicating when training was administered. A sample document that may be provided to county staff can be found in the Appendix.



## Gold Level Criteria

Gold Level recognizes tax assessor-collectors that satisfy the requirements for Bronze and Silver Level and are performance-driven offices. Applicants must comply with specific statutory and rule requirements, perform customer-centric business practices that meet or exceed expected levels of service, and meet or exceed specific registration and titling performance goals. Gold represents the highest recognition level.

### Scoring

The scoring for these criteria are point based. Each criterion is worth one (1) point unless otherwise stated within the criteria. Counties must have a total of 24 points to meet the Gold Level. Counties should select all that apply; however, the county must meet the 6 criteria that are required plus any of the electives needed to reach the required 24 point total.

### Criteria / Achievement

#### **G.1 TxDMV field service representative review concludes with No Concerns (Required)**

##### Background & Purpose

To review security and accountability controls within the county tax office. The review confirms proper internal controls are in place to secure and account for department inventory along with proper handling and remittance of state funds.

The TxDMV FSRs conducts on-site reviews of county operations to verify security and accountability. This includes conducting spot checks of inventories, inspection of voided/deleted inventory, inspection of title transfer documentation, and review of fiduciary reports along with hot check and refund programs. Weaknesses that may pose a risk to county operations or department property are identified and recommendations are provided to the county in order to mitigate the issue.

##### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have an FSR review that concludes with a finding of “No Concerns” from the most recent review within the past state fiscal year. A “no concerns” finding indicates the county has adequate internal controls to minimize the risk of theft/fraud.

##### Exceptions

An office that receives a review finding of “Concerns / Recommendations” can still receive credit for this category if the follow-up review shows implementation of recommendations, and the follow-up review report concludes “No Concerns.”

Any office that has had an investigative review due to theft or fraud during the six-month period preceding the application cannot apply for Gold Level consideration until a new review report concludes in “No Concerns.”

##### Supporting Documentation

The FSR’s Review Report with a finding of “No Concerns” will show the county has met the criteria for this category.

## **G.2 Participation in GovDelivery by stakeholders (RTBs and notifications system) (Required)**

### **Background and Purpose**

Participating in GovDelivery ensures the county and stakeholders receive important updates concerning policy, procedure, and associated form changes. Counties should ensure stakeholders participate to keep them up to date on important changes to policy and procedures. This demonstrates the county's commitment to provide outstanding customer service and follow the policies and procedures set forth by the department.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to demonstrate county limited service deputies, full service deputies, and/or dealers participate in GovDelivery. On the application, the county tax assessor-collector must provide the name and email addresses of at least one stakeholder signed up for GovDelivery.

### **Supporting Documentation**

No additional supporting documentation is required to fulfill this requirement. The TxDMV will pull reports from GovDelivery to determine the participation of county stakeholders. Instructions on how to sign-up can be found in the Appendix.

## **G.3 Promote efficient titling by use of webDEALER (Elective)**

### **Background and Purpose**

To promote the use of webDEALER in order to provide efficient customer service. Promoting use of webDEALER by franchise and independent dealers increases efficiency and promotes a customer-centric business model. When local county tax assessor-collector's promote use of webDEALER within their county, wait times decrease due to dealerships no longer processing a high volume of transactions in conjunction with regular customer transactions. Increasing efficiency in this process displays a customer-centric atmosphere by the county tax assessor-collector's office.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application must meet one of the criterions listed below.

40 percent of dealer transactions are processed through webDEALER = 1 point

60 percent of dealer transactions are processed through webDEALER = 2 points

80 percent of dealer transactions are processed through webDEALER = 3 points

### **Supporting Documentation**

The county tax assessor-collector must provide printed reports from available webDEALER internal reports providing the yearly total of dealer transactions processed in webDEALER, and the Vehicles Sold By Dealer Report available in COGNOS. This report provides the yearly total of all dealer transactions completed within a county. Samples reports can be found in the Appendix.

## **G.4 Alternate business hours through use of webSUB (*Elective*)**

### **Background and Purpose**

To provide additional office hours for the varying needs of the customers. County offices with limited service deputies (subcontractors) should encourage use of these entities offering extended service hours. Offering alternate office hours is an important part of creating and maintaining exceptional customer service. Offering customers another resource to process their registration, in addition to hours beyond those available through the county, demonstrates recognition of the varied lifestyles and needs of the families in the community. This is particularly helpful to working motorists who do not have to miss work and to their employers.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have subcontractor locations with available office hours beyond the county office hours.

One (1) subcontractor location with alternate hours from the county office = 1 point

Three (3) subcontractor locations with alternate hours from the county office = 2 points.

Five (5) or more subcontractor locations with alternate hours from the county office = 3 points.

### **Supporting Documentation**

Provide the subcontractor name and office hour schedule of the subcontractor(s) locations.

## **G.5 Average mailed renewal turnaround time (*Elective*)**

### **Background and Purpose**

The turnaround time it takes for a county to process registration renewals is important to customer service and satisfaction. Although law does not specify a timeframe to process mailed registration renewals, the county should strive for efficiency and a quick output to meet customer needs. Counties should monitor the time it takes to turnaround mailed registration renewals to internally evaluate average processing time. Tracking and monitoring this information should result in county training and revised internal business processes directed toward decreasing the average turnaround time and limiting the amount of time mailed renewals wait to be processed.

Many vendors offer high-speed machines that quickly scan the renewal, insurance, and/or check submitted by the customer to cashier money and assist with processing. In addition, the TxDMV has provided mail remittance equipment vendors the ability to connect their equipment software to the webSUB application for quicker processing of registration renewals. Such equipment may assist a county office in expediting mailed registration renewals.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide the average mailed registration renewal turnaround time for the county over the course of the state fiscal year. Points will be given for each performance measure achieved.

Three (3) days = 1 point

Two (2) days = 2 points

One (1) day = 3 points

### Supporting Documentation

Provide a copy of the mailed registration renewal turnaround times monitored over the course of the state fiscal year per month and find the average for the year. No more than a five day turnaround time in any given month of the state fiscal year.

## **G.6 Average title turnaround time (*Elective*)**

### Background and Purpose

The turnaround time it takes for a county to process title paperwork is important to customer service and satisfaction. Statute requires counties to input title paperwork into RTS within 72 hours of receiving the paperwork. Counties should monitor and maintain the time it takes to turnaround title paperwork for complete and accurate title applications to evaluate internally the average processing time. Monitoring this information should result in improved county training and internal business processes to meet the 72 hour processing time.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide the average title turnaround time for complete and accurate title applications over the course of the state fiscal year. Points will be given for each performance measure achieved.

Three (3) days = 1 point

Two (2) days = 2 points

One (1) day = 3 points

No more than a five day turnaround time in any given month of the state fiscal year.

### Supporting Documentation

Provide a copy of the monthly title turnaround times monitored over the course of the state fiscal year and determine or show the average for the year.

## **G.7 Percentage of staff participation in the county tax assessor-collector's fraud, waste, and abuse training (*Required*)**

### Background and Purpose

This criterion further expands on the county's internal fraud, waste, and abuse prevention program (FWAP) training that substantiates the county policy. The training program should incorporate the guidelines developed in their standard operating procedure. Development of this training program offers the county an opportunity to provide guidance to its employees, along with an opportunity to address employee questions regarding their FWAP. It also serves as a means to ensure consistency in its operations as it strives to prevent fraud, waste, and abuse.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide the frequency of all employee participation in training as it applies to their internal FWAP.

90 percent of all employees completed FWAP training = 1 point

95 percent of all employees completed FWAP training = 2 points

100 percent of all employees completed FWAP training = 3 points

### Supporting Documentation

Provide copy of training materials or certifications along with a total number of employees and the number of employees that completed the training.

## **G.8 Establish an annual anti-fraud promotion event (*Elective*)**

### Background and Purpose

Fraud can (and does) happen in state and local government offices, so tax assessor-collector offices must develop plans to proactively fight fraud and promote anti-fraud programs. Creation of an annual anti-fraud campaign is an opportunity to offer recurring education and training to employees and partners and sends a strong message that fraud prevention is a high priority in your office.

Ideas for fraud prevention activities can be easily found on the Internet. Offices should include the public (customers), law enforcement, and deputies in the program as appropriate.

### Requirement

Designate an annual period of time (week, month, and season) to focus on fraud prevention. During the fraud awareness event, counties could consider:

- offering specialized training to employees on topics such as fraud detection, prevention, investigation, ethics in government, auditing, removal of license plates at time of sale, filing a VTN, etc.;
- inviting guest speakers to talk with employees and deputies;
- reaching out and informing the community by issuing press releases, posting signs in your office, or publicizing on your website and social media;
- providing information on Title Check or Auto Burglary and Theft Prevention Authority (ABTPA) campaigns; and
- participating in news/radio interviews for anti-fraud promotion.

### Supporting Documentation

Submit a copy of the overall plan. After the event, submit a few examples of items such as meeting agendas, newspaper articles, and attendance at the planned events.

## **G.9 Expand local law enforcement partnership (*Elective*)**

### Background and Purpose

Provide support to local law enforcement on motor vehicle title and registration policy and procedures. Tax assessor-collector involvement with law enforcement at the local level is essential in order to respond to situations where title fraud or motor vehicle theft is suspected. Counties should work to develop relationships with law enforcement and ensure they have the knowledge related to titling and registering motor vehicles.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application should host annual meetings with law enforcement to share information and provide training on motor vehicle title and registration procedures. Demonstrate satisfaction with the information shared and the training provided.

Meetings held once a year = 1 point

Meetings held two or more times a year = 2 points

### Supporting Documentation

1. Provide sign-in sheets of attendees and agenda.

## **G.10 Customer satisfaction ratings (*Required*)**

### Background and Purpose

To monitor customer levels of satisfaction. The use of customer feedback allows each office to continuously improve operations, increase customer satisfaction, and provide a consumer-friendly atmosphere. The use of customer surveys and feedback forms facilitates the easy collection of the vital information used to understand, from our customer's perspective, when customer service efforts are successful.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to demonstrate the Overall Rating of Satisfaction meets one of the following:

- A minimum of 80 percent of submitted surveys have been rated **Meets Expectations** or higher = 1 point
- A minimum of 85 percent of submitted surveys have been rated **Meets Expectations** or higher = 2 points
- A minimum of 95 percent of submitted surveys have been rated **Meets Expectations** or higher = 3 points

### Supporting Documentation

The tax assessor-collector must submit a summary data sheet demonstrating the ratings.

## **G.11 County website analytics (*Elective*)**

### Background and Purpose

In addition to providing customers relevant information on services offered, forms, publications, and websites should be adjusted based on customer behavior. Website analytic tools provide valuable information about customer demographics and most frequently visited links.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application should provide information on the type of analytical software utilized.

### Supporting Documentation

County should provide print outs of dashboards or other reporting tools from the analytical software.

## **G.12 Demonstrated information sharing between counties *(Elective)***

### Purpose

To build a network between counties for support and building team processes across county lines. While each county faces different difficulties, there are many challenges that are common amongst the varied counties. Partnerships allow counties to work together to overcome commonly experienced problems. If one county has an issue they need help in solving, another county may have a solution that can help. This would also promote consistent processing of transactions between surrounding counties.

### Requirements

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to demonstrate the effectiveness of the procedure or training provided.

1. Demonstrate the standard operating procedure has been adopted by other counties within the state.
2. Demonstrate the satisfaction with the content of the training by those in attendance. This may include speaker evaluation forms and meeting surveys.

### Supporting Documentation

1. Submit statement by county adopting the standard operating procedure.
2. Provide summary of speaker evaluations and surveys. A sample survey is provided in the Appendix.

## **G.13 Results of public outreach activities *(Elective)***

### Background and Purpose

This criterion measures the results of the county's outreach activities. In order to gauge the success of the outreach activities, counties should track the progress of the topic discussed in the outreach before and after implementation.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to track and demonstrate the engagement had a positive result with the public. This may include a reduction in phone calls, increase in social media followers, etc.

### Supporting Documentation

Provide statistical information or examples of the positive results.

## **G.14 Average customer wait times *(Elective)***

### Background and Purpose

This criterion expands on the use of queuing systems to manage customer wait time by additionally gathering and producing data on average wait time and type of service the customer desires. Queuing systems provide an automated process to manage and streamline customer visit times, and reduce lines in the lobby. The more sophisticated systems track wait times, allowing office leadership to identify areas that need improvement.

Offices can use a simple queue management system that uses preprinted tickets or more sophisticated electronic versions.

**Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to provide reporting tools used to identify average wait times for services sought per customer.

45 minutes average wait time = 1 point

35 minutes average wait time = 2 points

25 minutes average wait time = 3 points

**Supporting Documentation**

Submit evidence of the reporting tool used to track average wait time per customer and type of service needed.

**G.15 Staff availability to assist non-English speaking customers *(Elective)***

**Background and Purpose**

To improve customer service for non-English speaking customers.

This criterion allows county tax offices to receive credit for providing additional assistance to non-English speaking customers.

**Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have bilingual staff available on-site capable of communicating with non-English speaking customers constituting the largest non-English speaking population in the county one hundred percent of the time in at least one location.

**Supporting Documentation**

The tax assessor-collector must certify that the requirements of the Gold Level have been met and explain how this was accomplished.

**G.16 Report on customers served during alternative business hours *(Elective)***

**Background and Purpose**

Offering alternate county business hours is an important part of creating and maintaining exceptional customer service. By offering extended office or drive-through hours, the county demonstrates recognition of the varied schedules of customers and ensures the office provides needed services outside of normal business hours.

**Requirement**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to track and report on the number of customers served during the alternate county business hours.

**Supporting Documentation**

Provide the alternate county business hours schedule and the number of customers served during the specified timeframe.

## **G.17 Alternative customer service locations (*Elective*)**

### **Background and Purpose**

This criterion further expands on county alternative customer service practices by recognizing offices that provide unconventional locations apart from established county tax offices to complete registration services. Offering alternative locations provides another avenue for customers to complete their services.

### **Requirements**

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have one of the following dedicated customer services:

- A drive-thru or walk-up window
- Self-service kiosks
- Mobile registration services
- Drop box
- Others as determined by the county tax office

### **Supporting Documentation**

The tax assessor-collector must provide a document that describes the alternative customer service location, the office hours it observes, and a picture of the location.

## **G.18 Percentage of staff participation in TxDMV webinars (*Required*)**

### **Background and Purpose**

Webinars are provided for all counties and their staff when policy and procedures change or new programming is implemented. These webinars are provided after TxDMV sends out policy and procedure changes documented in the Registration and Title Bulletins or Release Notes.

The webinars serve as an opportunity for the TxDMV to explain the changes and new requirements to the counties and answer any questions that county staff may have. Representation and involvement in these webinars ensures counties understand what is required of them by policy and/or administrative rules and statute. This communication between the TxDMV and the counties is crucial to proper operating procedures within the counties.

### **Requirement**

In order to receive recognition for this criterion, the tax assessor collector submitting the application will be required to have representation by at least one staff member for all webinars provided over the course of the state fiscal year. For example, an office would receive 3 points if over the course of the state fiscal year there were a total of ten webinars related to two registration and title bulletins and **all** staff attended or listened to the recorded version of at least one of these webinars per topic for a total of two webinars attended.

One (1) staff member = 1 point

Three (3) or 75 percent of staff members = 2 points

Five (5) or 100 percent of staff members = 3 points

### Supporting Documentation

The TxDMV will verify participation from the report received directly from the webinar tool. In order to do this, county staff logged into a webinar must provide in the chat/question feature, their county name and the first and last name of each individual participating.

## **G.19 County tax assessor-collector completion of professional training *(Required)***

### Background and Purpose

Continued training and professional development for leaders promotes productivity, efficiency, professionalism, and enhances their abilities to better serve the motoring public.

TACA Professional Designation Certification Programs are available to any paid active or associate member of TACA. There are several types of certifications offered to county tax assessor-collectors through TACA with varying requirements.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have been awarded and/or maintained a certification from the TACA Professional Designation Certification Programs for the state fiscal year.

Certification level for the tax assessor-collector is based on the following:

County Tax Office Professional (CTOP) = 1 point

Professional County Assessor-Collector (PCAC) = 3 points

### Supporting Documentation

The tax assessor-collector must provide documentation to confirm being awarded or maintaining the TACA Professional Certification Designation.

## **G.20 Proper notation to prevent NMVTIS error 910 (5% error rate) *(Elective)***

### Background and Purpose

To verify the accuracy of information provided by county tax assessor-collectors office upon submission of documentation. County tax assessor-collectors are responsible for ensuring the citizens of Texas receive accurate title documentation. One tool used to ensure county tax assessor-collectors are inputting accurate information is NMVTIS. NMVTIS error 910 is caused by brands, such as salvage, rebuilt, etc., not being carried forward to the Texas record at local county tax offices. Error 910 will occur when the brand is notated on out of state titles and/or records and is not added to the new record. Washing brands from out of state records can lead to serious consequences for customers; therefore, it is imperative brands are accurately recorded on Texas motor vehicle records.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have an annual five percent (5%) or less error rate out of the total number of NMVTIS errors received by the county. Transactions receiving a 910 error when the brand was not on the title will not be included in the

percentage. These transactions will be excluded using the report maintained by the NMVTIS Helpdesk, which shows how many letters were sent out for 910 errors when the brand was not on the title.

### Supporting Documentation

The county tax assessor-collector submitting the application must provide documentation validating the percentage of 910 errors incurred by the county tax office. Documentation will need to include a printed report from COGNOS showing the total number of 910 errors received in a year plus an easily discernible spreadsheet showing the number of transactions not included in the percentage since the county was not at fault for the missing brands. The number of transactions that receive 910 errors, which are not county errors, is obtained by keeping track of the transactions that the county cannot resolve on their own.

## **G.21 Completion of all TxDMV eLearning modules *(Elective)***

### Background and Purpose

Training promotes productivity, efficiency, professionalism, and enhances our abilities to better serve the motoring public. When employees are encouraged to complete training, some immediate benefits include lower error rates and improved customer satisfaction.

The purpose of training as it relates to vehicle registration and title in Texas is to ensure employees have the necessary knowledge to complete transactions successfully. The TxDMV has eLearning modules developed related directly to specific title and registration processes to assist county personnel with everyday tasks.

### Requirement

In order to receive recognition for this criterion, the tax assessor-collector submitting the application will be required to have had one hundred percent (100%) of staff with access to RTS or other TxDMV systems complete all TxDMV eLearning modules including any new or updated modules during the given state fiscal year with a passing score.

### Exception

Employees who began employment with the tax office within the last month of the state fiscal year will not be required to have completed all TxDMV eLearning modules.

### Supporting Documentation

Provide a copy of the county's employee access reports from all TxDMV systems and a copy of the County Group Report from the TxDMV eLearning module application for a listing of each employee that completed all relevant eLearning modules within the state fiscal year.

The county can verify employee completion by pulling a county group report from the TxDMV eLearning module application. The report can be filtered by lesson to verify the staff that completed each module.

## **G.22 Percentage of staff participation in IT security training *(Elective)***

### Background and Purpose

IT security training familiarizes data users with the need to protect information resources in accordance with appropriate statutes, regulations, rules, standards, guidelines, processes, and procedures. The TxDMV administers an annual mandatory *SANS Securing the Human* training for all their employees to ensure staff properly safeguard

passwords, system credentials, and personal identification information. Counties should offer or participate in similar training through their internal IT staff and/or through a third party.

**Requirement**

In order to receive recognition for this criterion, the tax assessor collector submitting the application will be required to have employees in the county with access to TxDMV applications participate in IT security training within the state fiscal year. Points will be given for each performance measure achieved.

80 percent of staff members = 1 point

90 percent of staff members = 2 points

100 percent of staff members = 3 points

**Supporting Documentation**

The tax assessor-collector should provide documentation to confirm staff participation in IT security training.

# PERFORMANCE QUALITY RECOGNITION PROGRAM APPLICATION

## PERFORMANCE QUALITY RECOGNITION PROGRAM APPLICATION



Tax Assessor-Collector Name: \_\_\_\_\_

County: \_\_\_\_\_

Requested Certification Level: \_\_\_\_\_

I, \_\_\_\_\_, certify that I have read and understand the requirements of the Performance Quality Recognition Program and affirm that the \_\_\_\_\_ County Tax Assessor-Collector Office meets the requirements of the \_\_\_\_\_ recognition level. I further certify that the information provided herein is true and accurate to the best of my knowledge and that knowingly providing false or misleading information is a criminal offense.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Jeremiah Kuntz, Director  
Vehicle Titles and Registration Division

\_\_\_\_\_  
Date

\_\_\_\_\_  
Whitney Brewster, Executive Director  
Texas Department of Motor Vehicles

\_\_\_\_\_  
Date

## BRONZE LEVEL (12 POINTS NEEDED)

### REQUIRED

<input type="checkbox"/>	<b>B1</b>	I certify that I have taken the official oath of office for the position of county tax assessor-collector.	
<input type="checkbox"/>	<b>B2</b>	I certify that county and state bonds for both the tax assessor-collector and all appointed deputies are maintained at required amounts. Copies of all applicable bond agreements have been provided.	
<input type="checkbox"/>	<b>B3</b>	I certify that registration fee revenue is remitted to the state in a timely manner. The TxDMV will verify timely remittance of registration fees using the Cognos report Unpaid Remittances and Aging Report – Summary/Detail.	
<input type="checkbox"/>	<b>B4</b>	I certify that motor vehicle-related sales and use tax revenue is remitted to the state in a timely manner. An accreditation report or letter from the county auditor has been provided.	
<input type="checkbox"/>	<b>B5</b>	I certify that only <u>authorized</u> title and registration fees are charged and collected. Use of the Additional Collections field in RTS must be justified and documented for each transaction. Compliance may be verified using a Cognos query of RTS funds collected.	
<input type="checkbox"/>	<b>B6</b>	I certify that all pertinent contact information, including email addresses, has been provided to the TxDMV.	
<input type="checkbox"/>	<b>B7</b>	I certify that my office maintains a fraud, waste, and abuse prevention <u>policy</u> . A copy of this policy has been provided.	
<input type="checkbox"/>	<b>B8</b>	I certify that all county employees who have access to motor vehicle records have signed a non-disclosure agreement that complies with state and federal laws. A copy of the non-disclosure agreement has been provided.	
<input type="checkbox"/>	<b>B9</b>	I certify that a county tax assessor-collector website is maintained that includes office locations, physical addresses, hours of operation, and phone numbers and/or email addresses. The website URL has been provided to the TxDMV for verification.	
<input type="checkbox"/>	<b>B10</b>	I certify that my office maintains a customer compact that specifies the county’s guiding principles and standards of service that county citizens can expect to receive. A copy of this compact has been provided.	
<input type="checkbox"/>	<b>B11</b>	I certify that training for myself and my employees is a high priority. I will encourage my employees to participate in job-specific training to the best of my ability. I will also ensure that my staff have sufficient access and time to complete necessary training and webinars provided by the TxDMV.	
<input type="checkbox"/>	<b>B12</b>	I certify that employee access to RTS and TxDMV eLearning is accurately maintained and that users are added and deleted in a timely manner.	
<b>Total Bronze Points</b>			

## SILVER LEVEL (14 POINTS NEEDED – (AT LEAST 1 POINT FROM EACH OF THE 9 REQUIRED CRITERIA)

### REQUIRED

<input type="checkbox"/>	S1	I certify that the annual inventory conducted by the TxDMV field service representative (FSR) in the last 12 months concluded with no discrepancies. An FSR's inventory clearance letter concluding with No Discrepancies Found issued within the last 12 months has been provided.	
<input type="checkbox"/>	S2	I certify that at least one tax assessor-collector employee subscribes to GovDelivery.	
		Employee Name:	
		Employee Email:	
<input type="checkbox"/>	S7	I certify that my office maintains a fraud, waste, and abuse prevention program, including written standard operating procedures (SOPs) and employee training. A copy of the written procedures and program has been provided.	
<input type="checkbox"/>	S8	I certify that my office documents and implements cash handling procedures designed to prevent theft and misappropriation of funds. A copy of our cash handling SOPs has been provided.	
<input type="checkbox"/>	S10	I certify that customers are given the opportunity to provide feedback through the use of a customer survey. The survey includes at a minimum an Overall Satisfaction Rating with five satisfaction level options (i.e., Excellent, Above Expectations, Meets Expectations, Below Expectations, and Unsatisfactory).	
<input type="checkbox"/>	S11	I certify that a county tax assessor-collector website is maintained that includes the requirements of B9 plus information and/or links that provide the customer with additional resources to fulfill his/her request, including county holidays and closures, county news, FAQs, link to the TxDMV website, ability for customers to submit feedback, information or links to other stakeholders, and accepted payment methods and requirements. The website URL has been provided to the TxDMV for verification.	
<input type="checkbox"/>	S18	I certify that at least one staff member (other than myself) attended at least one live county webinar (or listened to the webinar recording) during the previous state fiscal year.	
<input type="checkbox"/>	S19	I certify that the chief deputy attended at least one live county webinar (or listened to the webinar recording) during the previous fiscal year.	
<input type="checkbox"/>	S20	I certify that all county office and deputy locations with assigned TxDMV inventory or RTS equipment were inspected within the last 12 months to confirm adherence to all policies and procedures. Copies of the formal inspection reports for each location have been provided.	

### ELECTIVE

<input type="checkbox"/>	S3	I certify that my office promotes the use of webDEALER. My office has received webDEALER training from my designated TxDMV Regional Service Center (RSC). All dealerships (franchised and independent) in my county have been notified of webDEALER availability. My county has at least one dealership using webDEALER with at least ten total transactions per month. The TxDMV may verify participation with internal reports.	
<input type="checkbox"/>	S4	I certify that there is at least one subcontractor using webSUB for at least six months of the state fiscal year (September 1 to August 31). The TxDMV may verify participation with internal reports.	
<input type="checkbox"/>	S5	I certify that my office monitors, maintains, and strives to improve processing time for registration renewals submitted by mail. A copy of the internal policies and procedures used to monitor processing time has been provided.	
<input type="checkbox"/>	S6	I certify that my office monitors, maintains, and strives to improve processing time for title paperwork. A copy of the internal policies and procedures used to monitor processing time has been provided.	
<input type="checkbox"/>	S9	I certify that my office has established policies and procedures for working with law enforcement agents. A copy of policies and procedures for working with law enforcement entities has been provided.	

**SILVER LEVEL (14 POINTS NEEDED – (AT LEAST 1 POINT FROM EACH OF THE 9 REQUIRED CRITERIA))**

**ELECTIVE (continued)**

<input type="checkbox"/>	S12	I certify that my office partners with other counties to encourage information sharing. To meet this criterion, I certify that I regularly attend meetings hosted by the region AND one of the following:	
		<input type="checkbox"/>	(a) My office works with neighboring counties and has created at least one SOP related to customer service.
		<input type="checkbox"/>	(b) My office hosts meetings to promote county collaboration.
		Copies of regional meeting attendance plus either an SOP or documentation of a hosted meeting has been provided.	
<input type="checkbox"/>	S13	I certify that my office engages in public outreach activities targeted to county residents related to motor vehicle services. Evidence of outreach activities has been provided.	
<input type="checkbox"/>	S14	I certify that at least one tax assessor-collector office utilizes queuing equipment or similar equipment to manage customer wait time. Criterion will be verified during an office visit by an RSC employee or FSR.	
<input type="checkbox"/>	S15	I certify that my office employs at least one staff member who can effectively communicate in the language that constitutes the majority of the non-English speaking population in the county.	
<input type="checkbox"/>	S16	I certify that office hours outside the hours of 8:00 AM and 5:00 PM are offered at least twice per month. Proof of alternate office hours has been provided.	
<input type="checkbox"/>	S17	I certify that business practices designed to streamline customer services have been implemented (e.g., dedicated window for customer information, express lane for registration renewal transactions only, etc.). A description of the business practice(s) implemented has been provided.	
<input type="checkbox"/>	S21	I certify that county staff have completed relevant training and/or certification. A list of all courses and certification programs including the course date, course synopsis or outline (if available), and evidence of course completion (certificate or transcript) for all courses attended during the previous state fiscal year has been provided.	
<input type="checkbox"/>	S22	<input type="checkbox"/>	(a) I certify that county staff have been <i>informed</i> of IT security practices. (1 pt.)
		<input type="checkbox"/>	(b) I certify that county staff <i>participated</i> in IT security training. (2 pts.)
		Documentation of the information or training provided during the previous state fiscal year has been provided.	
			<b>Total Silver Points</b>

## GOLD LEVEL (24 POINTS NEEDED – (AT LEAST 1 POINT FROM EACH OF THE 6 REQUIRED CRITERIA)

### REQUIRED

<input type="checkbox"/>	<b>G1</b>	I certify that the annual inventory conducted by the TxDMV field service representative (FSR) in the last 12 months concluded with no concerns. An FSR's inventory clearance letter concluding with No Concerns Found issued within the last 12 months has been provided.
<input type="checkbox"/>	<b>G2</b>	I certify that at least one tax assessor-collector stakeholder (full service deputy, limited service deputy, or dealer) subscribes to GovDelivery. Stakeholder Name: Stakeholder Email:
<input type="checkbox"/>	<b>G7</b>	I certify that at least 90% of my employees have completed fraud, waste, and abuse prevention program (FWAP) training. A copy of the training material and a report showing the total number of employees and the number of employees who completed the training have been provided. <input type="checkbox"/> (a) At least 90% of employees completed FWAP training. (1 pt.) <input type="checkbox"/> (b) At least 95% of employees completed FWAP training. (2 pts.) <input type="checkbox"/> (c) 100% of employees completed FWAP training. (3 pts.)
<input type="checkbox"/>	<b>G10</b>	I certify that at least 80% of <i>all</i> submitted customer surveys have an Overall Satisfaction Rating of Meets Expectations or higher. A copy of an internal report that tracks customer survey ratings has been provided. <input type="checkbox"/> (a) At least 80% of submitted surveys are rated Meets Expectations or higher. (1 pt.) <input type="checkbox"/> (b) At least 85% of submitted surveys are rated Meets Expectations or higher. (2 pts.) <input type="checkbox"/> (c) At least 90% of submitted surveys are rated Meets Expectations or higher. (3 pts.)
<input type="checkbox"/>	<b>G18</b>	I certify that at least one staff member (other than myself) attended <i>all</i> county webinars during the previous state fiscal year. <input type="checkbox"/> (a) One (1) staff member (1 pt.) <input type="checkbox"/> (b) Three (3) staff members (2 pts.) <input type="checkbox"/> (c) Five (5) staff members (3 pts.)
<input type="checkbox"/>	<b>G19</b>	I certify that I have been awarded a professional certification from the Tax Assessor-Collectors Association of Texas. <input type="checkbox"/> (a) County Tax Office Professional (CTOP) (1 pt.) <input type="checkbox"/> (b) Professional County Assessor-Collector (PCAC) (3 pts.)

### ELECTIVE

<input type="checkbox"/>	<b>G3</b>	I certify that at least 40% of annual dealer transactions in my county are processed through webDEALER. The webDEALER report showing my county's annual total of dealer transactions processed through webDEALER plus the COGNOS report Vehicles Sold by Dealer (showing annual total of dealer transactions within the county) have been provided. <input type="checkbox"/> (a) At least 40% of dealer transactions are processed through webDEALER. (1 pt.) <input type="checkbox"/> (b) At least 40% of dealer transactions are processed through webDEALER. (2 pts.) <input type="checkbox"/> (c) At least 80% of dealer transactions are processed through webDEALER. (3 pts.)
<input type="checkbox"/>	<b>G4</b>	I certify that the county has at least one subcontractor who offers office hours outside county office hours. Subcontractor names and office hour schedules have been provided. <input type="checkbox"/> (a) One subcontractor location with alternate hours from the county office (1 pt.) <input type="checkbox"/> (b) Three subcontractor locations with alternate hours from the county office (2 pts.) <input type="checkbox"/> (c) Five or more subcontractor locations with alternate hours from the county office (3 pts.)

## GOLD LEVEL (24 POINTS NEEDED – (AT LEAST 1 POINT FROM EACH OF THE 6 REQUIRED CRITERIA))

### ELECTIVE (continued)

<input type="checkbox"/>	<b>G5</b>	I certify that the average processing time during the previous state fiscal year for registration renewals submitted by mail is less than or equal to three days and that the average for any given month during the previous state fiscal year did not exceed five days. A county-maintained report showing the processing times by month along with the annual average during the previous state fiscal year for registration renewals submitted by mail has been provided.	
		<input type="checkbox"/>	(a) Three (3) days (1 pt.)
		<input type="checkbox"/>	(b) Two (2) days (2 pts.)
		<input type="checkbox"/>	(c) One (1) day (3 pts.)
<input type="checkbox"/>	<b>G6</b>	I certify that the average processing time during the previous state fiscal year for title paperwork input into RTS is less than or equal to three days and that the average for any given month during the previous state fiscal year did not exceed five days.	
		<input type="checkbox"/>	(a) Three (3) days (1 pt.)
		<input type="checkbox"/>	(b) Two (2) days (2 pts.)
<input type="checkbox"/>	<b>G8</b>	I certify that my office has an established anti-fraud promotional period or event that includes employees, public outreach, law enforcement and deputies. A copy of the overall plan along with materials or documentation from the anti-fraud event (i.e., meeting agenda, newspaper article, attendance log, etc.) have been provided.	
<input type="checkbox"/>	<b>G9</b>	I certify that my office hosts meetings with law enforcement at least once per year. Meeting agendas and lists of attendees have been provided.	
		<input type="checkbox"/>	(a) Meetings held once per year (1 pt.)
<input type="checkbox"/>	<b>G11</b>	I certify that my office utilizes website analytic software to monitor and analyze customer behavior. Print outs from the analytic software (e.g., dashboard, reports, etc.) have been provided.	
<input type="checkbox"/>	<b>G12</b>	I certify that my office partners with other counties to encourage information sharing. These partnerships have resulted in either:	
		<input type="checkbox"/>	(a) The adoption by another county within the state of a standard operating procedure (SOP) currently in place in my office, OR
		<input type="checkbox"/>	(b) Satisfactory feedback from county partnership meeting attendees (e.g., speaker evaluation forms, meeting surveys, etc.).
		A statement from the county that adopted the standard operating procedure or a summary of speaker evaluations or meeting surveys has been provided.	
<input type="checkbox"/>	<b>G13</b>	I certify that public outreach activities targeted to county residents related to motor vehicle services had positive statistical effects as demonstrated by relevant statistical data measured before and after the engagement (e.g., reduction in phone calls, increase in social media followers, etc.). A report showing the positive statistical effect(s) has been provided.	
<input type="checkbox"/>	<b>G14</b>	I certify that my office utilizes the analytical tools of its queuing system to monitor customer wait times and that the average wait time is 45 minutes or less. Evidence of the analytical tool used to track average wait times and the type of service rendered has been provided.	
		<input type="checkbox"/>	(a) Average wait time 45 minutes or less (1 pt.)
		<input type="checkbox"/>	(b) Average wait time 35 minutes or less (2 pts.)
<input type="checkbox"/>	<b>G15</b>	I certify that there is at least one staff member on-site 100% of the time who can effectively communicate in the language that constitutes the majority of the non-English speaking population in the county. An explanation of how this criterion is satisfied has been provided.	

**GOLD LEVEL (24 POINTS NEEDED – (AT LEAST 1 POINT FROM EACH OF THE 6 REQUIRED CRITERIA)**

**ELECTIVE (continued)**

<input type="checkbox"/>	<b>G16</b>	I certify that the number of customers served during any <i>alternate</i> office hours (outside 8:00 AM to 5:00 PM) is tracked. Office hours schedules showing alternate office hours and the corresponding number of customers served during alternate office hours have been provided.	
<input type="checkbox"/>	<b>G17</b>	I certify that my county offers alternate customer service options for registration services that include <u>at least one of the following</u> : <ul style="list-style-type: none"> <li>• Drive-through or walk-up window,</li> <li>• Self-service kiosk,</li> <li>• Mobile registration services,</li> <li>• Drop box,</li> <li>• Other customer service options that satisfy the criterion.</li> </ul> A picture of the alternate location along with a description, location and observed office hours have been provided.	
<input type="checkbox"/>	<b>G20</b>	I certify that my county’s NMVTIS Error 910 rate is less than or equal to 5% of the total number of county-caused NMVTIS errors. A COGNOS report showing the total number of 910 Errors in a year and a spreadsheet illustrating the number of error transactions excluded from the calculation due to no fault of the county have been provided.	
<input type="checkbox"/>	<b>G21</b>	I certify that all staff with access to the TxDMV’s eLearning system have completed all available training modules with a passing score during the state fiscal year. A report from the eLearning system showing employee access and the County Group Report showing that each employee successfully completed all modules have been provided.	
<input type="checkbox"/>	<b>G22</b>	I certify that at least 80% of county staff with access to TxDMV applications completed IT security training during the state fiscal year. Proof of staff completion of IT security training has been provided.	
		<input type="checkbox"/> (a) At least 80% of staff members completed the training. (1 pt.)	
		<input type="checkbox"/> (b) At least 90% of staff members completed the training. (2 pts.)	
		<input type="checkbox"/> (c) 100% of staff members completed the training. (3 pts.)	
<b>Total Gold Points</b>			

# Support Material

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## Texas Administrative Code

TITLE 43	TRANSPORTATION
PART 10	TEXAS DEPARTMENT OF MOTOR VEHICLES
CHAPTER 217	VEHICLE TITLES AND REGISTRATION
SUBCHAPTER J	PERFORMANCE QUALITY RECOGNITION PROGRAM RULES

### §217.201 Purpose and Scope

Transportation Code §520.004 requires the department to establish standards for uniformity and service quality for counties. This subchapter prescribes the procedures and general criteria the department will use to establish and administer a voluntary program called the Performance Quality Recognition Program. The department will use the Performance Quality Recognition Program to recognize county tax assessor-collectors and their offices for outstanding performance and efficiency in processing title and registration transactions.

### §217.202 Definitions

The following words and terms, when used in this subchapter, shall have the following meanings, unless the context clearly indicates otherwise.

- (1) Department--The Texas Department of Motor Vehicles.
- (2) Deputy--A person appointed to serve in an official government capacity to perform, under the provisions of Subchapter H of this chapter, designated motor vehicle titling, registration, and registration renewal services as a deputy assessor-collector. The term "deputy" does not include an employee of a county tax assessor-collector.
- (3) Office--The county tax assessor-collector office(s) for each county, including the office(s) of any deputy.

### §217.203 Recognition Criteria

- (a) Levels of recognition. The department will establish criteria for multiple levels of recognition for performance.
- (b) Recognition criteria for minimum recognition level. The recognition criteria shall include, but are not limited to, factors that indicate whether the office:
  - (1) timely remits registration fee collections;
  - (2) timely remits motor vehicle sales tax and penalties;
  - (3) consistently applies statutes, rules, and policies governing motor vehicle transactions; and
  - (4) maintains bonds as required by statute or administrative rule.
- (c) Recognition criteria for a higher recognition level. In addition to the recognition criteria listed in subsection (b) of this section, the recognition criteria shall include, but are not limited to, factors that indicate whether the office:
  - (1) performs efficiently and with low error rates;
  - (2) processes transactions in a timely fashion;

- (3) has customer feedback programs; and
- (4) has fraud, waste, and abuse awareness and prevention programs.
- (d) Possible additional criteria for a higher recognition level. In addition to the recognition criteria listed in subsections (b) and (c) of this section, the department may include recognition criteria, such as the following, that indicate whether the office:
  - (1) implements cost-saving measures; and
  - (2) has customer feedback metrics to measure customer satisfaction.
- (e) Posting recognition criteria. The department shall post the recognition criteria on its website.

#### §217.204 Applications

- (a) Application deadline. If a county tax assessor-collector chooses to apply for a recognition level or to apply for a higher level of recognition under the Performance Quality Recognition Program, the county tax assessor-collector must submit an application to the department during any year of the county tax assessor-collector's term of office. The application must be received by the department or postmarked no later than October 31st.
- (b) Application from a successor county tax assessor-collector. A successor county tax assessor-collector is not eligible for a recognition level until after serving as the county tax assessor-collector during an entire state fiscal year, which is September 1st through August 31st.
- (c) Application for a higher level of recognition.
  - (1) If a county tax assessor-collector obtains a recognition level and chooses to apply for a higher level of recognition during the term of the existing recognition level, the county tax assessor-collector is not eligible to apply for a higher level until after serving as the county tax assessor-collector during an entire state fiscal year subsequent to the state fiscal year for which the existing recognition level was awarded.
  - (2) If the department demotes a county tax assessor-collector's recognition level, the county tax assessor-collector is not eligible to apply for a higher level of recognition until after serving as the county tax assessor-collector during an entire state fiscal year subsequent to the state fiscal year during which the existing recognition level was demoted.
- (d) Application for a recognition level after revocation of recognition level. If the department revokes a county tax assessor-collector's recognition level, the county tax assessor-collector is not eligible to apply for a recognition level until after serving as the county tax assessor-collector during an entire state fiscal year subsequent to the state fiscal year during which the recognition level was revoked.
- (e) Application form. The application must be submitted on a form prescribed by the department.
- (f) Signature on application. The county tax assessor-collector must sign the application.
- (g) Additional information, documentation, or clarification. At the department's discretion, the department may request additional information, documentation, or clarification from the county tax assessor-collector after the department receives an application. The department shall provide the county tax assessor-collector with a deadline to respond to the request.

#### §217.205 Department Decision to Award, Deny, Revoke, or Demote a Recognition Level

- (a) Award of recognition level. The department may award a recognition level based on the following for the time frame of September 1st through August 31st immediately preceding the application deadline:

- (1) information and documents contained in the application;
  - (2) any additional information, documentation, or clarification requested by the department; and
  - (3) information and documentation from department records.
- (b) Denial of recognition level. The department may deny an award of recognition if:
- (1) the application contains any incomplete or inaccurate information;
  - (2) the applicant fails to provide requested documents;
  - (3) the application contains incomplete documents;
  - (4) the application was not received by the department or postmarked by the department's deadline;
  - (5) the county tax assessor-collector who applied for recognition no longer holds the office of county tax assessor-collector;
  - (6) the county tax assessor-collector did not sign the application; or
  - (7) the department discovers information which shows the applicant does not comply with the criteria to receive a recognition level.
- (c) Revocation of recognition level or demotion of recognition level.
- (1) The department may revoke a recognition level if the department discovers information which shows the county tax assessor-collector no longer complies with the criteria for any recognition level.
  - (2) The department may demote a recognition level if the department discovers information which shows the county tax assessor-collector no longer complies with the criteria for the current recognition level, but still complies with the criteria for a recognition level. The recognition level will be demoted to the highest recognition level for which the county tax assessor-collector qualifies.
- (d) Notice of department decision to award, deny, revoke, or demote a recognition level. The department shall notify the county tax assessor-collector of the department's decision via email, facsimile transmission, or regular mail.
- (e) Deadline for department decision to award or to deny a recognition level. No later than 90 calendar days after receiving the application for recognition, the department shall send a written notice to the applicant stating:
- (1) the department's decision to award or to deny a recognition level; or
  - (2) there will be a delay in the department's decision.

**§217.206 Term of Recognition Level**

- (a) Expiration of recognition level. Except as provided in subsections (b), (c), (d), and (e) of this section, the recognition level expires on the later of the end of the county tax assessor-collector's term of office during which the recognition was awarded or the one-year anniversary of the start of their re-election term of office.
- (b) Demoted recognition level. If a recognition level is demoted during the term of a recognition level, the demoted recognition level expires on the later of the end of the county tax assessor-collector's term of office during which the recognition level was demoted or the one-year anniversary of the start of their re-election term of office, except as provided in subsections (c), (d), and (e) of this section. If a recognition level is demoted during the first year of the county tax assessor-collector's re-election term of office and the

recognition level was awarded during the county tax assessor-collector's prior term of office, the demoted recognition level expires on the one-year anniversary of the start of their re-election term of office, except as provided in subsections (c) and (e) of this section.

- (c) Revoked recognition level. A recognition level that is revoked will terminate on the effective date of the revocation.
- (d) Decision on application for a higher level of recognition. If a county tax assessor-collector chooses to apply for a higher level of recognition, the existing recognition level terminates once the department makes a decision on the application for a higher level of recognition.
- (e) County tax assessor-collector no longer holds office. The recognition level awarded to a county tax assessor-collector expires when the county tax assessor-collector no longer holds the office of county tax assessor-collector.

#### §217.207 Review Process

- (a) Request for review. A county tax assessor-collector may request the department to review its decision by submitting a written request for review as prescribed by the department:
  - (1) if an application for recognition is denied;
  - (2) if the county tax assessor-collector is not satisfied with the awarded level of recognition; or
  - (3) if a level of recognition is revoked or demoted.
- (b) Deadline for request for review. The written request for review must be received by the department or postmarked no later than 90 calendar days after the date listed in the department's notice to the county tax assessor-collector of the department's decision for which review is requested.
- (c) County tax assessor-collector's request for review. The department will not consider a request for review submitted by someone other than the county tax assessor-collector who signed the application for recognition or who obtained the recognition level at issue. The request must:
  - (1) specifically identify the basis for the county tax assessor-collector's disagreement with the department's decision; and
  - (2) include any evidence or legal authority that supports the request for review.
- (d) Deadline for department decision on request for review. The department shall make a decision on the written request for review no later than 90 calendar days after receiving the written request for review.
- (e) Notice of department decision on request for review. The department shall notify the county tax assessor-collector of the department's decision via email, facsimile transmission, or regular mail.

	Policy		Programs and Procedures		Outcome Measures	
Business Process	Bronze Level		Silver Level		Gold Level	
	R	B. 1 The county tax assessor-collector has completed the oath of office	R	S.1 TxDMV annual inventory concludes with No Discrepancies Found	R	G.1 TxDMV field service representative review concludes with No Concerns
	R	B.2 Maintain required bond amounts	R	S.2 Participation in GovDelivery (RTBs and notifications system)	R	G.2 Participation in GovDelivery by stakeholders (RTBs and notifications system)
	R	B.3 Remit registration fee collections on time		S.3 Promote use of webDEALER		G.3 Promote efficient titling by use of webDEALER
	R	B.4 Remit motor vehicle sales tax and penalties on time		S.4 Promote customer efficiencies by use of webSUB		G.4 Alternate business hours through use of webSUB
	R	B.5 Charges only fees allowed		S.5 Monitor and maintain turnaround time for mailed renewals		G.5 Average mailed renewal turnaround time
	R	B.6 Contact information provided to TxDMV		S.6 Monitor and maintain turnaround time for titles		G.6 Average title turnaround time
Fraud Prevention	R	B.7 Have a fraud, waste, and abuse prevention policy	R	S.7 Have a fraud, waste, and abuse prevention and training program	R	G.7 Percentage of staff participation in the county tax assessor-collector's fraud, waste, and abuse training
	R	B.8 Staff required to complete non-disclosure agreement for Driver's Privacy Protection Act (DPPA)	R	S.8 Controls and procedures to prevent theft and misappropriation of funds		G.8 Establish an annual anti-fraud promotion event
				S.9 Work closely with and assist local law enforcement		G.9 Expand local law enforcement partnership
Customer Service	R	B.9 Dedicated county tax assessor-collector office website	R	S.10 Offers customer surveys to collect customer satisfaction	R	G.10 Customer satisfaction ratings
	R	B.10 Compact with citizens	R	S.11 Publish motor vehicle services and information on the county tax assessor-collector's website		G.11 County website analytics
				S.12 Partnership with other counties to encourage information sharing		G.12 Demonstrated information sharing between counties
				S.13 Engage in outreach activities to notify customers about motor vehicle services		G.13 Results of public outreach activities
				S.14 Use queuing system/equipment to manage customer wait times		G.14 Average customer wait times
				S.15 Provide motor vehicle service information to non-English speaking customers		G.15 Staff availability to assist non-English speaking customers
				S.16 Alternate county business hours		G.16 Report on customers served during alternative business hours
			S.17 Customer service workflow efficiencies		G.17 Alternative customer service locations	
Training	R	B.11 Commitment to training	R	S.18 Staff participation in TxDMV webinars related to policies or procedures	R	G.18 Percentage of staff participation in TxDMV webinars
	R	B.12 Maintain accurate RTS and TxDMV eLearning user access	R	S.19 County tax assessor-collector receives continuing education credits through the TxDMV webinars	R	G.19 County tax assessor-collector completion of professional training
			R	S.20 County tax assessor-collector staff conducts on-site spot checks of all county and deputy locations		G.20 Proper notation to prevent NMVTIS error 910 (5% error rate)
				S.21 Staff participation in training or certification programs		G.21 Completion of all TxDMV eLearning modules
				S.22 Staff provided information technology (IT) security practices or training		G.22 Percentage of staff participation in IT security training



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# SAMPLE County Fraud, Waste, and Abuse Prevention Policy

## Fraud, Waste, and Abuse

### Purpose of Policy

To establish the expectation that all employees are responsible for preventing, detecting, and reporting fraud, waste, or abuse.

We at \_\_\_\_\_ County are responsible for preserving the special trust placed in us by our many customers and stakeholders to properly use and protect the state's resources.

It is the policy of \_\_\_\_\_ County to prevent fraud, waste, and abuse, and, when necessary, stop continued fraud, waste, and abuse by any means within our authority. It is the duty of every employee to be vigilant in identifying and reporting suspected fraud, waste, and abuse in a timely manner to the appropriate supervisor whether the suspected activity concerns another employee or an individual who conducts business with or on behalf of the agency.

Understanding, preventing, and stopping the waste or loss of the county and state resources is a central element of \_\_\_\_\_ County philosophy and is absolutely critical to our maintaining the public's trust and ensuring the continued success of this agency.

County employees who violate this policy may be subject to disciplinary action up to and including termination.

### Definitions

**Fraud** involves obtaining something of value through willful misrepresentation. Fraud includes a false representation by words, conduct, or omission that deceives or is intended to deceive another, so the individual will act upon the misrepresentation or omission to his or her legal detriment.

**Waste** is the misuse or loss of state resources through inefficient or ineffective practices or behaviors. Waste may result from mismanagement, inappropriate actions, and/or inadequate oversight.

**Abuse** is the misuse of authority or position that causes the loss or misuse of state resources.

### Reporting and Investigating Fraud, Waste, or Abuse

#### Employee Responsibilities

- Understand what constitutes fraud, waste, and abuse and the county policy and procedures on identifying, reporting, and stopping fraud, waste, and abuse.
- Immediately report all suspected fraud, waste, or abuse or conditions that could encourage fraud, waste, or abuse to your supervisor or division director.
- Cooperate in the investigation and disposition of cases of fraud, waste, and abuse.
- Do not discuss reports or investigations of suspected fraud, waste, or abuse with others except as authorized by your supervisor or division director.
- Employees may also contact the County Auditor's Office to report an incident by calling \_\_\_\_\_.

#### Supervisor and Division Director Responsibilities

- Ensure all employees understand what constitutes fraud, waste, and abuse and the county's policy and procedures on identifying, reporting, and stopping fraud, waste, and abuse, including maintaining confidentiality of an investigation.
- Supervisors – immediately review any reported concerns of fraud, waste, or abuse and forward to the appropriate manager.
- Managers – Upon receipt, review the reported concern and forward as necessary to the appropriate county tax assessor-collector, chief deputy, and county attorney.
- Do not discuss reports or investigations of suspected fraud, waste, or abuse with others except as authorized by the county tax assessor-collector, chief deputy, or county attorney.

### **Retaliation**

Employees are prohibited from retaliating against another employee for reporting in good faith concerns of fraud, waste, or abuse.

An employee may register a complaint with the *{insert appropriate person for reporting (Civil Rights Officer or Human Resources)}* if the employee believes he/she is being retaliated against for reporting a violation of law (Whistleblower Act) or for participating in an investigation, proceeding, hearing, or litigation related to cases of fraud, waste, or abuse.

# SAMPLE Motor Vehicle Record Information Access Agreement

I \_\_\_\_\_ understand that no information (personal or non-personal) contained in a motor vehicle record may be released in response to a telephone inquiry by license plate number and that a written request is required to obtain information by license plate number.

I \_\_\_\_\_ understand that the federal Driver's Privacy Protection Act, or DPPA (18U.S.C.2721), and the Texas Motor Vehicle Records Disclosure Act (Transportation Code, Chapter 730) prohibit the release of personal information (names and addresses) contained in motor vehicle records except in certain situations. As a result, the release and use of ALL personal information contained in ALL motor vehicle records is restricted. Personal information may only be released upon receipt of a specific written request certifying that (1) the information is requested for one of the required or permitted uses provided by law, (2) the requester is a subject of the record, or (3) the requestor has "express written consent" from a subject of the record. All users who have access to this protected information must be aware of the restrictions and must ensure that the personal information is not released or disclosed improperly. Non-personal information (vehicle identification number, license plate number, document number, title issuance date, etc.) may be released without restriction. As a reminder of the restrictions, an annotation that reads "RELEASE OF PERSONAL INFO RESTRICTED" is shown on all records.

I \_\_\_\_\_ understand that violations of the DPPA provisions can result in civil and criminal penalties as a result of falsifying statements to obtain information, using information obtained for an unlawful purpose, and knowingly obtaining, disclosing, or using personal information in violation of the provisions of the DPPA.

I \_\_\_\_\_ understand that, effective December 1, 2000, the release or use of personal information from motor vehicle records for the purpose of distribution of surveys, marketing, or solicitations is strictly prohibited.

I \_\_\_\_\_ understand that access to motor vehicle records is granted for official internal county use only and personal information (names or addresses) may not be released or disclosed for any other purpose. Any requests for disclosure of personal information contained in a motor vehicle record or information by license plate number will be referred to the TxDMV when appropriate. The TxDMV is prepared to assist in these matters and to accept such requests for information.

I \_\_\_\_\_ certify that I have read the above information regarding the restrictions on the use and disclosure of information from motor vehicle records and have been furnished a copy of the Required and Permitted Uses (as provided in the federal Driver's Privacy Protection Act).

\_\_\_\_\_  
Employee's Printed Name

\_\_\_\_\_  
District/Division/Office/Region

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date Signed

## REQUIRED AND PERMITTED USES

(As provided in the federal Driver's Privacy Protection Act and state Motor Vehicle Records Disclosure Act)

### REQUIRED USES

Personal information shall be disclosed for use in connection with matters of:

- (1) Motor vehicle or driver safety and theft,
- (2) Motor vehicle emissions,
- (3) Motor vehicle product alterations, recalls, or advisories,
- (4) Performance monitoring of motor vehicles and dealers by motor vehicle manufacturers,
- (5) Removal of non-owner records from the original owner records of motor vehicle manufacturers to carry out the purposes of the Automobile Information Disclosure Act, the Motor Vehicle Information and Cost Saving Act, the National Traffic and Motor Vehicle Safety Act of 1966, the Anti-Car Theft Act of 1992, and the Clean Air Act, and
- (6) Child support enforcement under Chapter 231, Family Code.

### PERMISSIBLE USES

Personal information may only be disclosed upon written certification that the intended use is one of the following:

- (1) For use by any government agency, including any court or law enforcement agency, in carrying out its functions, or any private person or entity acting on behalf of a Federal, State, or local agency in carrying out its functions.
- (2) For use in connection with matters of:
  - a. motor vehicle or driver safety and theft,
  - b. motor vehicle emissions,
  - c. motor vehicle product alterations, recalls, or advisories,
  - d. performance monitoring of motor vehicles, motor vehicle parts and dealers,
  - e. motor vehicle market research activities, including survey research, and
  - f. removal of non-owner records from the original owner records of motor vehicle manufacturers.
- (3) For use in the normal course of business by a legitimate business or an authorized agent of the business, but only --
  - (A) To verify the accuracy of personal information submitted by the individual to the business or the agent of the business; and
  - (B) If the information is not correct, to obtain the correct information, but only for the sole purposes of preventing fraud by, pursuing legal remedies against, or recovering on a debt or security interest against the individual.
- (4) For use in connection with any civil, criminal, administrative, or arbitral proceeding in any Federal, State, or local court or agency or before any self-regulatory body, including the service of process, investigation in anticipation of litigation, and the execution or enforcement of judgements and orders, or pursuant to an order of a Federal, State, or local court.
- (5) For use in research activities, and for use in producing statistical reports, but only if the personal information is not published, redisclosed, or used to contact any individual.
- (6) For use by an insurer or insurance support organization, or by a self-insured entity, or an authorized agent of the entity, in connection with claims investigation activities, antifraud activities, rating or underwriting.

- (7) For use in providing notice to the owner of a towed or impounded vehicle.
- (8) For use by a licensed private investigative agency or licensed security service for any purpose permitted under this subsection.
- (9) For use by an employer or an agent or insurer of the employer to obtain and verify information relating to a holder of a commercial driver's license that is required under the 49 U.S.C. Chapter 313.
- (10) For use in connection with the operation of private toll transportation facilities.
- (11) For use by any requester, if the requester demonstrates it has obtained the written consent of the individual to whom the information pertains.
- (12) For any other use specifically authorized under the law of the State that holds the record, if such use is related to the operation of a motor vehicle or public safety.

# SAMPLE Compact with Texans

The Texas Department of Motor Vehicles (TxDMV) is the state agency responsible for vehicle registration and titling, issuing motor carrier operating authority, motor carrier enforcement, permitting services to transport oversize/overweight cargos, licensing vehicle dealers, awarding law enforcement agencies grants to reduce auto theft and increase public awareness, and much more. All of these activities require continuous communication and interaction with our customers and stakeholders.

## Agency Vision

The TxDMV sets the standard as the premier provider of customer service in the nation.

## Customer Service Principles

Our customers can expect the TxDMV to:

- exercise courtesy and respect;
- be fair, ethical, and professional;
- provide timely and responsive service;
- give clear, accurate, and consistent information;
- follow through on its commitments;
- strive for continuous improvement in all of our services; and
- go the extra mile in our efforts to serve.

## Customer Feedback

Customer feedback received through the TxDMV Contact Center, located within the Consumer Relations Division, enables the agency to develop and support continuous activities for improving the way it does business.

The TxDMV Contact Center serves as the consumer doorway to better, faster, and more efficient customer service to the public and industries served by the agency.

Whether you contact us by phone, correspondence, or email, the TxDMV will handle each call and inquiry in a professional manner that is tailored to your needs.

If you contact us by phone, you will reach one of our customer service representatives. If you contact us through email or mail, our goal is to respond to you within three business days.

## By Phone

To discuss an issue, call us toll-free at 1-888-DMV-GOTX (1-888-368-4689) or locally at (512)465-3000. Our hours of operation are 8:00 a.m. to 5:00 p.m. Central Standard Time, Monday through Friday.

## Email

You may also use a drop-down menu at <http://www.TxDmv.gov/contact-us> to file a complaint, provide a compliment, or make a suggestion.

## By U.S. Mail

Send letters to us at the following address:

Texas Department of Motor Vehicles  
4000 Jackson Ave.  
Austin, TX 78731

Please include:

- your name and mailing address (telephone number and email are optional);
- a description of your comment or concern, including any background information or underlying facts; and
- the specific action or measure you are requesting of us.

Our customer service liaison, Gerri Ries, may be reached by phone at (512)872-8103 or by email at Gerri.Ries@TxDMV.gov.

## Customer Satisfaction Survey

The TxDMV is committed to continually improving service to our customers. Your feedback is vital to our mission to serve, protect, and advance the citizens and industries in the state with quality motor vehicle-related services. To assist us in acquiring customer feedback, we encourage you to complete a short survey after an interaction with our agency.

The survey is available at [www.surveymonkey.com/s/TxDMVsurvey](http://www.surveymonkey.com/s/TxDMVsurvey).

## Customer Complaint Process

If you have a concern or complaint about a TxDMV division, program, or regional service center that has not been resolved to your satisfaction, contact the TxDMV by phone, online, or by mail as listed above, and we will respond to you within three business days. Please provide as much detail about the issue as you can, including date, time, the person you spoke with, etc.

All customer complaints and suggestions are tracked by the agency in the Consumer Relations Database. The database is used to store and catalog all customer-initiated complaints, compliments, and suggestions received by TxDMV.

## Additional Information

For additional information about the TxDMV:

- Please visit our website at <http://www.TxDMV.gov>.
- Like us on Facebook at <http://www.facebook.com/TxDMV>.
- Follow us on Twitter at <http://twitter.com/TxDMV>.

# SAMPLE Inventory Review Letters

## Discrepancies Found

Vehicle Titles and Registration Division • 4210 N Clack Street • Abilene, Texas 79601.

<Select date>

The Honorable <First Last name>  
<County Name> County Tax Assessor-Collector  
<Address>  
<City>, Texas <Zip>

Dear <Ms./Mr. & Last name>:

The purpose of this letter is to inform you of the status regarding the inventory review conducted by your office and me on <enter date(s)>.

The inventory revealed the following discrepancies and requires a written response within two weeks on actions taken to locate the inventory.

Year of Item	Item Description	Shortage/Overage
<Ctrl+Tab to tab within table and create new line>		

This letter is not to be construed as a clearance of those items that appear on the RTS Inventory Inquiry Report but were not found on hand in your office during the aforementioned inventory.

If you have any questions, please contact me at (325) 674-1013.

Sincerely,

Jeanna Gordon, Field Service Representative  
Regional Services Section

## No Discrepancies Found

Vehicle Titles and Registration Division • 4210 N Clack Street • Abilene, Texas 79601.

<Select date>

The Honorable <First Last name>  
<County Name> County Tax Assessor-Collector  
<Address>  
<City>, Texas <Zip>

Dear <Ms./Mr. & Last name>:

The purpose of this letter is to inform you of the status regarding the inventory review conducted by your office and me on <enter date(s)>.

All inventoried items were accounted for with no discrepancies found.

This letter serves as clearance for the expired registration items that were deleted from RTS and destroyed.

If you have any questions, please contact me at (325) 674-1013.

Sincerely,

Jeanna Gordon, Field Service Representative  
Regional Services Section

## Items Found

Vehicle Titles and Registration Division • 4210 N Clack Street • Abilene, Texas 79601.

<Select date>

The Honorable <First Last name>  
<County Name> County Tax Assessor-Collector  
<Address>  
<City>, Texas <Zip>

Dear <Ms./Mr. & Last name>:

The purpose of this letter is to amend the status of our review of inventory items conducted on <enter date(s)>.

Your office notified me that the inventory previously listed as missing has been located. I have verified the following accountable inventory was located:

Year of Item	Item Description	Shortage/Overage
<Ctrl+Tab to tab within table and create new line>		

Attached is a copy of the Inventory Deleted Report that removed the inventory from your RTS inventory records. This letter is clearance of the above listed item(s) previously reported as missing at the aforementioned inventory. You are approved to use a dummy invoice to add any unexpired missing items back into your inventory. Please provide me with a copy of the Dummy Invoice Receipt to attach to your file.

If you have any questions, please contact me at (325) 674-1013.

Sincerely,

Jeanna Gordon, Field Service Representative  
Regional Services Section

## Items Not Found

Vehicle Titles and Registration Division • 4210 N Clack Street • Abilene, Texas 79601.

<Select date>

The Honorable <First Last name>  
<County Name> County Tax Assessor-Collector  
<Address>  
<City>, Texas <Zip>

Dear <Ms./Mr. & Last name>:

On <select date>, a letter was sent to inform you of the status regarding the inventory review conducted by your office and me on <enter date(s)>.

The inventory revealed discrepancies and required a written response within two weeks on actions taken to locate the inventory. Since it has been over two weeks and the items were not found, you may delete these missing items. Please provide me with a copy of the Inventory Deleted Report.

This letter is not to be construed as a clearance of those items that appear on the RTS Inventory Inquiry Report but were not found on hand in your office during the aforementioned inventory. If at a later date, you locate the item(s), please let us know so that I can provide a clearance letter.

If you have any questions, please contact me at (325) 674-1013.

Sincerely,

Jeanna Gordon, Field Service Representative  
Regional Services Section

# SAMPLE Cash Handling Policies and Procedures

## 1 Policy–Cash Handling

### 1.1 Purpose

The purpose of this document is to establish uniform cash handling policies and procedures with respect to the handling, receiving, transporting, and depositing of cash. The proper control and safekeeping of cash assets will be accomplished by implementing the internal control activities outlined below.

### 1.2 Introduction

The county maintains a cashing function for the purpose of receiving funds for registration and titling. The following procedures outline the responsibility of county employees when handling funds. The county may accept cash, checks, cashier's checks, money orders, and debit/credit cards as forms of payment for goods and services. Cash has the same meaning of all the above, including checks, cashier's checks, and money orders for the purpose of this policy.

**Historical practices shall not constitute justification for deviation from the following guidelines.** The material contained in this document supersedes any previous policies and procedures regarding the handling of cash followed within the county. **The county tax assessor-collector reserves the right to make interpretations and exceptions to the policies contained in this document.**

### 1.3 Required Authorization to Collect Money

The county tax assessor-collector must give prior approval before undertaking any new cash handling activity, operation, or changes to current activities and operations.

### 1.4 Segregation of Duties

There must be a separation of duties between the person receiving cash and the person responsible for maintaining the accounting records.

Cash handling duties are to be divided into stages: receiving, reconciling, and depositing. Segregation of duties protects employees from inappropriate accusations, charges of mishandling funds, and minimizes the opportunity for an employee to misappropriate funds and avoid detection.

The following responsibilities should be distributed among personnel, so one person is not responsible for all duties:

- Opening mail
- Endorsing checks
- Preparing deposits
- Reconciling to RTS and IRP closeout reports

### 1.5 Safekeeping of Funds

The supervisor of employees handling funds must ensure each employee is briefed quarterly on the proper actions in the event of a robbery. The briefing shall specifically instruct that no employee is to take any action that could endanger anyone.

All cash must be protected immediately by using a cash drawer or safe until daily closeout and/or it is deposited. Offices must identify a secure area for processing and safeguarding funds (e.g., closeouts should not be conducted in view of the public/customers).

At the close of each business day, cash drawers should be locked and secured in the county's safe under dual control. If the safe cannot accommodate locked cash drawers, the county will secure the funds in locking bags within the safe.

Appropriate precautions must be taken when transporting funds. Managers or a tenured staff member (as assigned) will make deposits. Employees should make no intermittent stops while transporting funds, nor will they leave funds unattended during transport to and from the bank. Armored car service should be arranged when appropriate and approved.

Change requests from employee/cashier will be conducted under dual control as shown below.

Employee/cashier will enter the vault/safe along with a designated leadership employee (manager, supervisor, coordinator, or employee with authorized access). Change requests will be completed and both individuals will exit the vault/safe after confirming the vault/safe is secured.

## **1.6 Guidelines in the Event of a Robbery**

The following guidelines are provided to ensure staff safety and avoid unnecessary risks:

- Cooperate with the robber.
- Avoid any confrontation and facilitate a rapid departure.
- Stay as calm as possible.
- Take no risks.
- Try not to panic or show any signs of anger or confusion.
- Make a mental note of any descriptive features or distinguishing marks on the robber such as his/her clothing, hair color, eye color, scars, tattoos, etc.
- Do not touch anything in areas the robbers occupied and note specific objects they touched.
- Try to note the robber's vehicle color, make, and direction of travel.
- Offices having security alarms; Trip the alarm as soon as it is safe.
- Dial 911 as soon as it is safe.
- The robbery should not be discussed with anyone until the police arrive.
- The victim should, above all else, remain calm and try to remember the details of what occurred and write them down. Use the form provided to aid in recalling details.

## 1.7 Be Alert, Be Observant

# BEALERT, BE OBSERVANT!!!

Features you can remember regarding the physical characteristics of suspicious persons or assailants can greatly assist your police department in their apprehension.

HAT (color, type, etc.):

HAIR:

EYES:

SCARS/TATTOOS:

SHIRT:

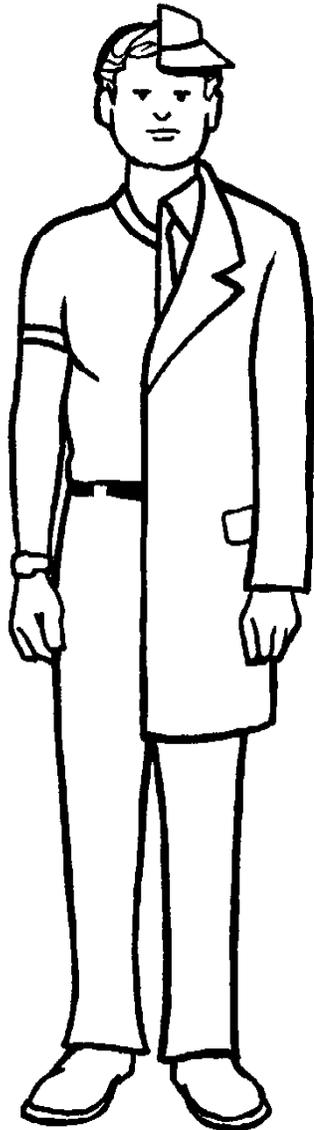
TIE:

COAT:

SHOES:

SEX:

WEIGHT:



DIRECTION OF ESCAPE:

FOOT\_\_\_\_VEHICLE

VEHICLE LICENSE:

VEHICLE COLOR:

NUMBER OF SUSPECTS:

TYPE OF WEAPON:

OTHER REMARKS:

**CONTACT LOCAL POLICE AS QUICKLY AS POSSIBLE AFTER DEPARTURE OF SUSPECT(S)**

Phone Emergency: 911

## 1.8 Safes

Cash shall be stored in a vault/safe when not in use or in a register, locked drawer, or locked box. The vault/safe should be opened under dual control when persons in the vault/safe room is open. Cash in unlocked drawers or boxes should never be left unattended. Keys should not be left in cash drawers when the window is unattended (e.g., during breaks and lunch). Access to safe combinations should be limited to certain personnel.

All safe combinations should be changed before the end of the day when authorized individuals end employment or are no longer authorized to have access to funds. If extenuating circumstances do not permit a change within this time frame, the county tax assessor-collector should be notified immediately. Safe combinations should be memorized and not shared with anyone who is not authorized to have access. The safe should remain locked at all times when not in use.

The chief deputy should be provided all safe combinations for emergencies.

## 2 Control Concepts

### 2.1 Receiving Cash and Checks/Money Orders

- All checks/money orders should be made payable to the county tax assessor-collector.
- All checks should immediately be restrictively endorsed "For Deposit Only" following receipt from customers.
- The numeric amount of the check must agree with the written amount.
- Checks must have a current date (no postdated checks).
- Checks must have the payor's name pre-printed.
- Checks from out-of-state and out-of-state financial institutions are acceptable.
- Business checks with an electronic signature are acceptable.
- No temporary checks (no exceptions).

### 2.2 Receipt of Cash/Checks

All title and registration-related transactions should be recorded in RTS and a receipt issued to the customer. Cash must be kept in a safe or a secure place (e.g., cash drawer) until closeout. To maintain accountability over cash/checks and transactions, clerks should be assigned a specific cash drawer for the day and only operate out of their assigned workstations. Logging out of the workstation when stepping away and not sharing passwords or RTS login credentials is important to maintain accountability.

Clerks should scrutinize \$100.00 bills and larger denominations for possible counterfeits. The clerk should also be trained on detecting counterfeits such as use of black light to spot security threads or use of a bank note counter. Counterfeit currency should be given to the manager on duty for proper processing.

1. When receiving a check, be sure to use the cross pattern on the front and note the following:
  - Driver license number
  - Date of birth
  - Reference number (i.e., plate number, etc.)
  - Last six (6) digits of the VIN
2. Each check should be endorsed immediately upon receipt from the customer.
3. Open the mail in a central location. Do not open it in a cubicle or other closed space unless a second person is assisting/observing.
4. Rejected mail-in transactions should be entered in to the mail log.

## **3 Requirements for Deposits**

### **3.1 Timely Deposit Requirements**

It is county policy that all funds be deposited at the earliest possible time after receipt. The county should make every effort to deposit collected funds by the appropriate timeframe.

### **3.2 Deposit Routes and Times**

Deposits should be taken to the bank by 2:00p.m. or by close of the banking business day (this will vary from bank to bank). The time the deposits are taken to the bank should change daily to prevent the criminal element from detecting a pattern. Multiple routes to the bank should be utilized to prevent a pattern.

### **3.3 Startup/Fund Change**

Each employee/cashier shall have a sufficient amount as determined by the county tax assessor-collector for startup funds to perform cashiering functions.

The county shall maintain a fund for the purpose of making change. The amount of such funds shall be determined by the county tax assessor-collector. Under no circumstances should an employee make change using personal funds. All purses, wallets, backpacks, briefcases, and other similar items should be stored in drawers or maintained out-of-sight while working.

It is the employee's responsibility to accurately and timely process incoming funds for respective services. At the end of each day or cashiering session, employees will balance their cash drawers by taking the cash drawer and paper work to the designated manager/supervisor. The designated manager/supervisor will summarize his/her daily activity and verify the count in accordance with timely deposit requirements. A deposit will then be prepared and funds deposited in the bank the following morning by the manager or designated opening manager.

## **4 Office Procedure**

### **4.1 Daily Processes**

1. At the beginning of each day, a supervisor/senior staff member should provide each clerk with a till and verify the clerk counted his/her till. The clerk shall report any variance to the manager on duty immediately.
2. A receipt must be issued for each transaction.
3. All registration and title-related funds received should be cashiered through RTS.

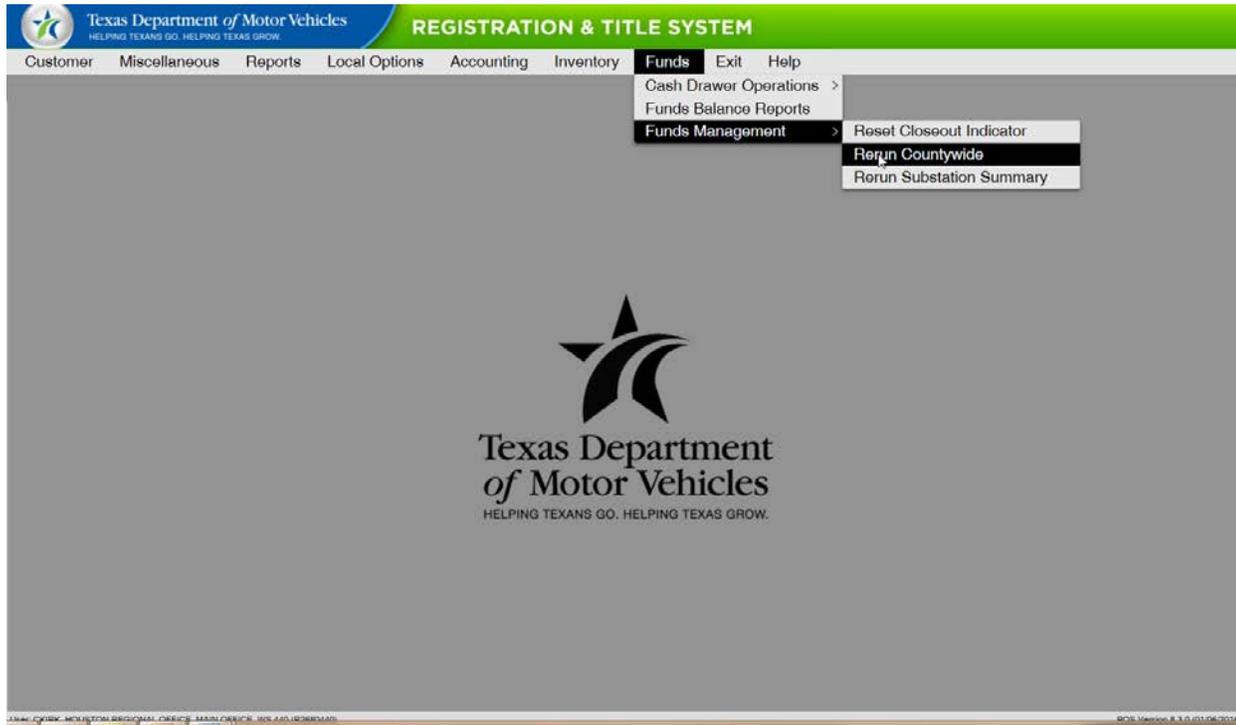
### **4.2 Procedures for Money Report**

Always have two designated employees to process the money report. The employees who process the money report and prepare the deposit should not be the same employees that close the night before. Print the appropriate reports from:

- Voided Transaction Report(RTS.ADM.003)
- Fee Type Funds(RTS.FIN.013)
- Delete Inventory History(RTS.INV.002)
- Funds Remittance Report (RTS.FUN.002)

## 4.3 Reports from Registration and Title System

1. Open RTS, and go to Funds> Funds Management> Rerun Countywide.





4. Select "All" and "Enter."

Print Range:

All

Current

Pages:

Enter page numbers and/or page ranges separated by commas. For example, 1,3,5-12

Enter Cancel Help

User: CKIRK, HOUSTON REGIONAL OFFICE, MAIN OFFICE, WS 440 (R2680440) POS Version 8.3.0 (01/06/2016)

5. The following reports will print:

- Report 5901 (Countywide Payment Type Report)

RTS.POS.5901

COUNTYWIDE PAYMENT TYPE REPORT  
HOUSTON REGIONAL OFFICE  
SUMMARY

WORKSTATION ID : 100  
REQUESTED BY : CAYERS  
REPORT DATE : 06/30/2015

PAYMENT TYPE	CUSTOMER AMOUNT	QTY	SUBCONTRACTOR AMOUNT	QTY	DEALER TITLE AMOUNT	QTY	INTERNET AMOUNT	QTY	TOTAL AMOUNT	QTY
CASH DRIVER OPERATIONS:										
CASH	9,596.48								9,596.48	
CHECK	28,089.00	111							28,089.00	111
TOTAL	37,685.48		0.00		0.00		0.00		37,685.48	
REPORT TOTAL	37,685.48		0.00		0.00		0.00		37,685.48	

➤ Report 5902(Countywide Fees Report)

Texas Department of Motor Vehicles		COUNTYWIDE FEES REPORT HOUSTON REGIONAL OFFICE SUMMARY									
RTS.POS.5902		CUSTOMER		SUBCONTRACTOR		DEALER TITLE		INTERNET		TOTAL	
WORKSTATION ID	: 100	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	QTY
REQUESTED BY	: CAYERS										
REPORT DATE	: 06/10/2015										
DESCRIPTION											
REGNL OFFICE		100.00	2							100.00	2
30-DAY PERMIT REGION		100.00	2							100.00	2
TRP FEES TX REGION		19,795.58	33							19,795.58	33
ASSIGNED NUMBERS REGION		2.00	1							2.00	1
BOND & TITLE FEE REGION		88.00	39							88.00	39
CAR CARD REGION		8.00	4							8.00	4
CCD MAIL REJECT REGION		16.00	8							16.00	8
CCD REGION MAIL IN NO CHARGE		1.00	5							1.00	5
CERTIFICATION REGION		4.00	2							4.00	2
CERTIFIED COPY ORIG REGION		1,556.25	286							1,556.25	286
DUPLICATE RECEIPT REGION		4.00	2							4.00	2
INQUIRY REGION		6.00	3							6.00	3
TITLE HISTORY REGION		12.25	5							12.25	5
VEH CERTIFICATION FEE REGION		2.00	2							2.00	2
TOTAL REGNL OFFICE:		22,328.98		0.00		0.00		0.00		22,328.98	
PASS THRU MONIES		15,356.50	29							15,356.50	29
TRP FEES TX REGION		15,356.50	29							15,356.50	29
TOTAL PASS THRU MONIES:		15,356.50		0.00		0.00		0.00		15,356.50	
REPORT TOTAL		37,685.48		0.00		0.00		0.00		37,685.48	

➤ Report 5903 (Countywide Inventory Report)

Texas Department of Motor Vehicles		COUNTYWIDE INVENTORY REPORT HOUSTON REGIONAL OFFICE SUMMARY				
RTS.POS.5903						
WORKSTATION ID	: 100					
REQUESTED BY	: CAYERS					
REPORT DATE	: 06/10/2015					
ITEM DESCRIPTION	ITEM YEAR	QUANTITY SOLD	QUANTITY VOIDED	QUANTITY REUSED	QUANTITY REPRINTED	
344-HOUR PERMIT		2				
30 DAY PERMIT		6				
ASSIGNED TR TRAILERS		1				
CERTIFIED COPY ORIG TITLE		304	2			

#### 4.4 Bank Deposit/Money Report

The daily deposit should be prepared under the dual control of the manager/supervisor/coordinator along with an assigned lead worker. The assigned lead worker should differ from the lead worker who closed the preceding business day. **Dual control** is a control procedure whereby the active involvement of two people is required to complete a specified process.

1. Collect all reports from Main Server 0100 that have been printed and separate according to report numbers.
2. Verify all checks and cash with the Countywide Payment Type Report (RTS.POS.5901) under dual control.
3. Verify central fund drawer under dual control.
4. Prepare bank cash (change) order under dual control.
5. Prepare deposit slip and simply list coins, cash, and check total under dual control (copies of checks not required).

6. After deposit is completed (under dual control), balance the Batch Inventory Action Report (BIAR) (RTS.ADM.003) with deletions, voids, and reissued inventory.
7. Account for all deleted and voided items.
8. Overages and shortages must be explained (see Section 9 on Overages/Shortage). Managers shall maintain a log of overages and shortages, including the amount and specific reason and person responsible for the variance. Logs shall be retained for review by the chief deputy and county tax assessor-collector. Further training should be enforced if frequency or variances are considered excessive.
9. The chief deputy should perform periodic, unannounced cash reconciliations.

## 5 Armored Car Service Procedures

This section only pertains to a county with contracted armored car service. The county will prepare its bank deposit based on the previous day's report. Deposits should be ready for pickup by the designated time.

### 5.1 Preparing Deposit Bag

Deposit(s) will be secured in a deposit bag. Clear plastic bags should not be used.

1. Complete the armored carrier security bag with the following:
  - Bills amount
  - Coins amount
  - Checks amount
  - Name of agency (county)
  - Account number (this is your bank account number)
  - Location number (county number and location)
  - Financial institution name (XX Bank)
2. Before sealing the bag:
  - attach the white and yellow copies of the deposit slip to the checks and enclose in the check portion of the deposit bag,
  - write the bag number on the deposit slip,
  - attach the calculator tape to the cash and enclose in the cash portion of the deposit bag,
  - Attach the pink copy of the deposit slip to the daily report and verify it is signed by the person who verifies deposits, and
  - file with the reports (Section7).

### 5.2 Complete Armored Deposit Log

The following information should be completed in the armored deposit log book:

- Bag number
- Amount of deposit
- Place sticker to armored carrier deposit bag under "total amount"

- Log book will be signed by the armored car service employee

### 5.3 Delivery to Bank

The deposit(s) will be delivered to the bank the following day before 2:00p.m. An example of the delivery is as follows:

- Deposit is picked up on Monday.
- Deposit is delivered to the bank on Tuesday.
- Bank deposits money into account on Wednesday.
- Bank faxes the deposit slip to the county.
- The county will use these to reconcile the deposits and be audit compliant.

### 5.4 Office Change Order

Change orders should be done under dual control and must be submitted in person.

## 6 Remitting Funds

Once the deposit slip is received from the bank, verify the bank validation on the deposit slip matches the Countywide Fees Report (RTS.POS.5902). If this amount is correct, submit funds to Austin.

04/08/2011 09:36 NTX T00047 D R540740134  
 Acct# \*\*\*\*\*0679 CC 0005932 Tlr 00104

Less Cash \$0.00  
 Total Deposit To CHK \$4,284.80  
 Credit Pending Posts on 04/08/2011



Texas Department of Motor Vehicles  
 RTS.POS.5902

WORKSTATION ID : 100  
 REQUESTED BY : SYSTEM  
 REPORT DATE : 04/07/2011

150

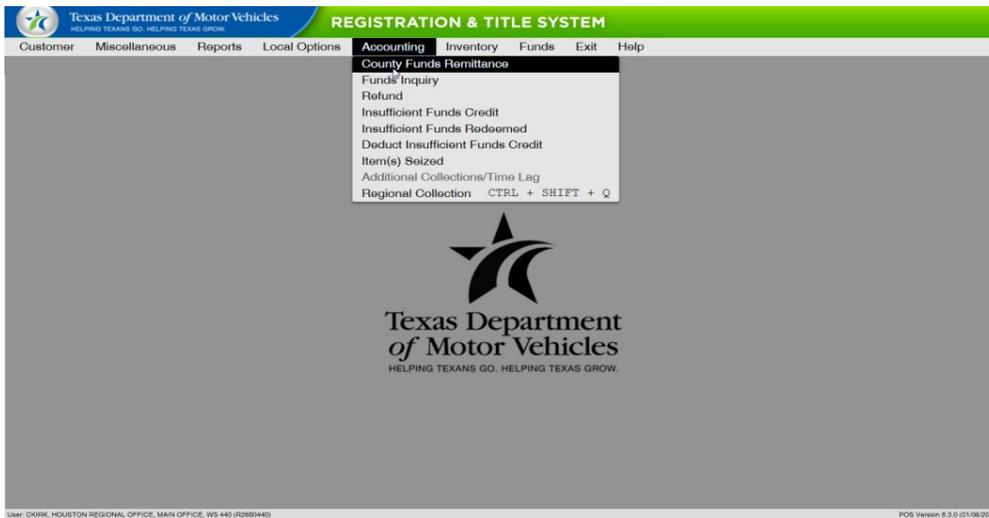
COUNTYWIDE FEES REPORT  
 ABILENE REGIONAL OFFICE  
 SUMMARY



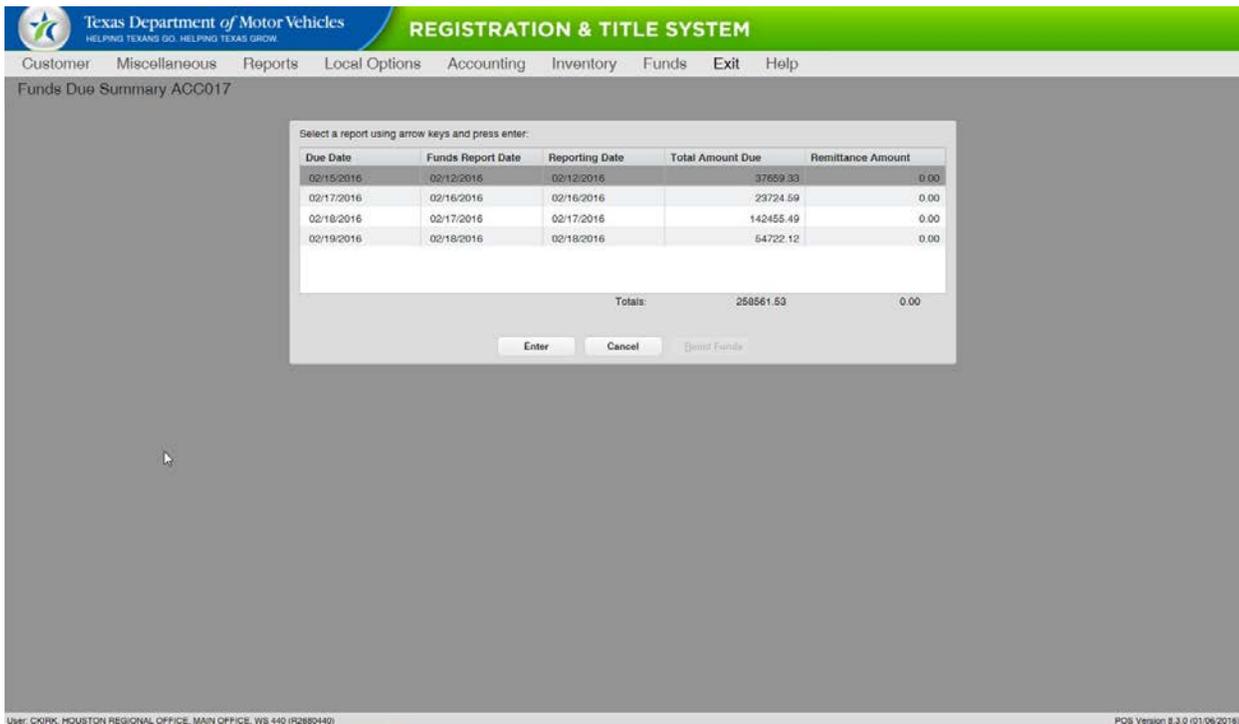
DESCRIPTION	CUSTOMER AMOUNT	QTY	SUBCONTRACTOR AMOUNT	QTY	DEALER TITLE AMOUNT	QTY	INTERNET AMOUNT	QTY	TOTAL AMOUNT	QTY
REGNL OFFICE										
144 HOUR PERMIT REGION	150.00	3							150.00	3
IRP FEES OS REGION	1,582.99	1							1,582.99	1
ASSIGNED NUMBERS REGION	2.00	1							2.00	1
CAB CARD REGION	8.00	4							8.00	4
CERTIFIED COPY ORIG REGION	107.40	49							107.40	49
OVERAGE REGION	36.50	19							36.50	19
VEHICLE INQUIRY REGION	2.30	1							2.30	1
VEHICLE TRANS NOTIF. REGION		2								2
<b>TOTAL REGNL OFFICE:</b>	<b>1,889.19</b>		<b>0.00</b>		<b>0.00</b>		<b>0.00</b>		<b>1,889.19</b>	
PASS THRU MONIES										
IRP FEES TX REGION	2,395.61	1							2,395.61	1
<b>TOTAL PASS THRU MONIES:</b>	<b>2,395.61</b>		<b>0.00</b>		<b>0.00</b>		<b>0.00</b>		<b>2,395.61</b>	
<b>REPORT TOTAL</b>	<b>4,284.80</b>		<b>0.00</b>		<b>0.00</b>		<b>0.00</b>		<b>4,284.80</b>	

## 6.1 Remit Funds in RTS

1. Go to RTS. Select Accounting> County Funds Remittance.



2. Select the correct amount and enter "Pay in Full."



3. Remit Funds. When asked "if you are sure," choose "Yes."
4. Print Funds Remittance Verification Report before exiting the screen.

## 7 File Reports

The county will maintain the following work products on file:

- Deposit slip
- Countywide
  - Fee Report (5902)
  - Inventory Report (5903)
  - Payment Report (5901)
- Inventory Inquiry Report (3031)
- Funds
  - Verification Report (2311)
  - Remittance Report (2604)
  - Summary (4603)
  - Transactions (4602)
- Voided Transaction Report (5152)
- Fees Report (5241)
- Batch Inventory Action Report (9901)
- Payment Report for each workstation (5213)
- Transaction Reconciliation Report for each workstation (5231) if applicable

## 8 Daily Closeout Process

The manager will establish the appropriate time and order for closing the cash drawers and the designated closer. The designated closer will verify the central fund drawer amount under dual control with the manager on duty or a staff member designated by the leadership team (this is an exception and should be utilized in emergencies).

### 8.1 End of Day Reports

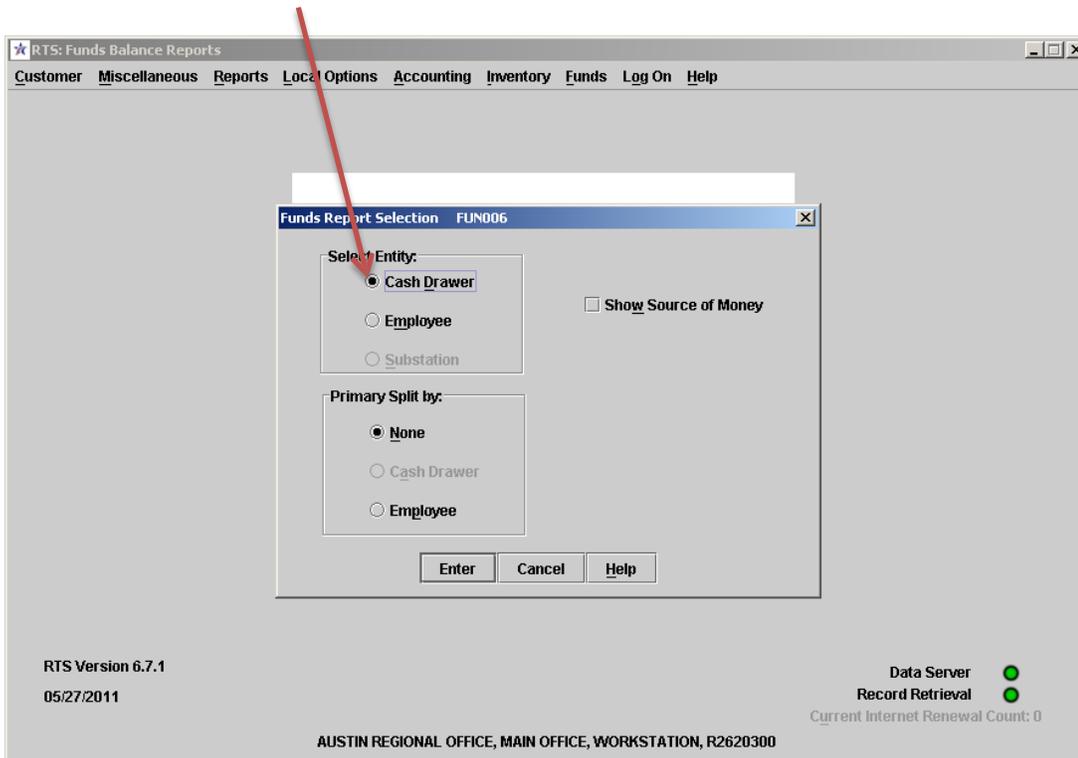
Each employee or the manager on duty should close out his/her RTS workstation and generate the following reports:

- Payment Report (RTS.POS.5211)
- Fees Report (RTS.POS.5241)
- Inventory Summary Report (RTS.POS.5221)
- Transaction Reconciliation Report (RTS.POS.5231)

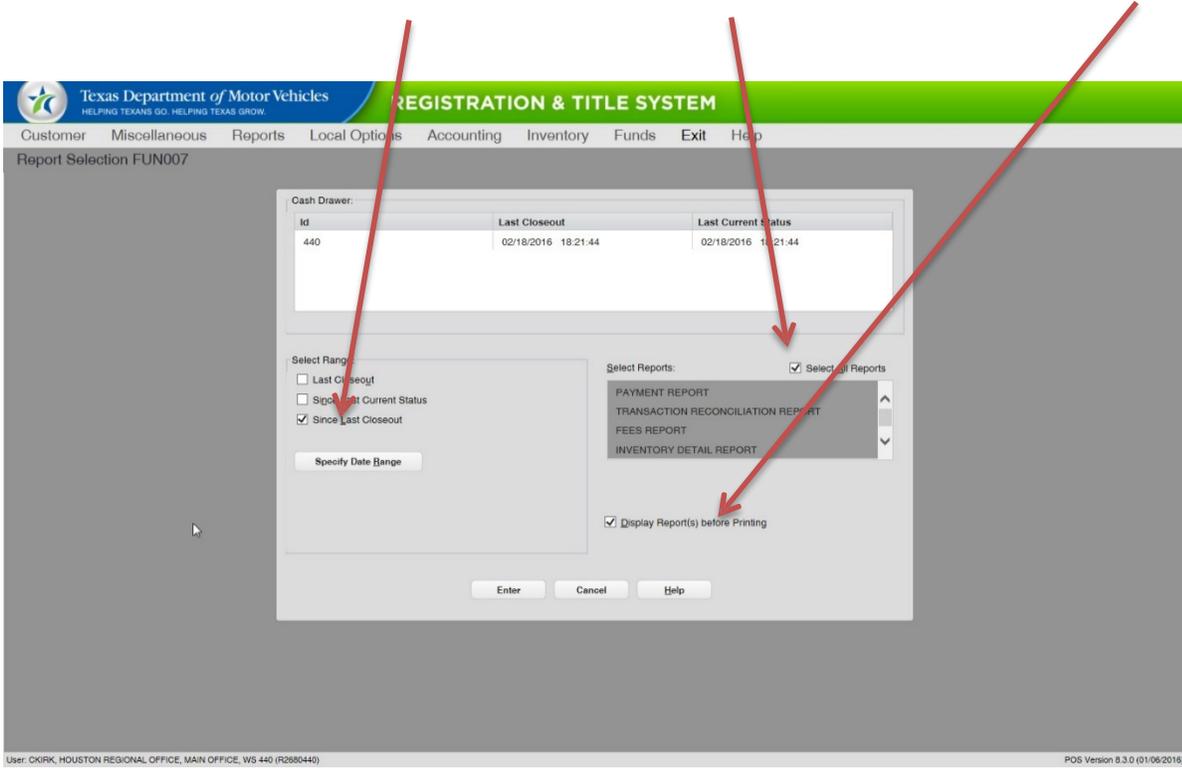
1. Go to Funds> Funds Balance Reports.



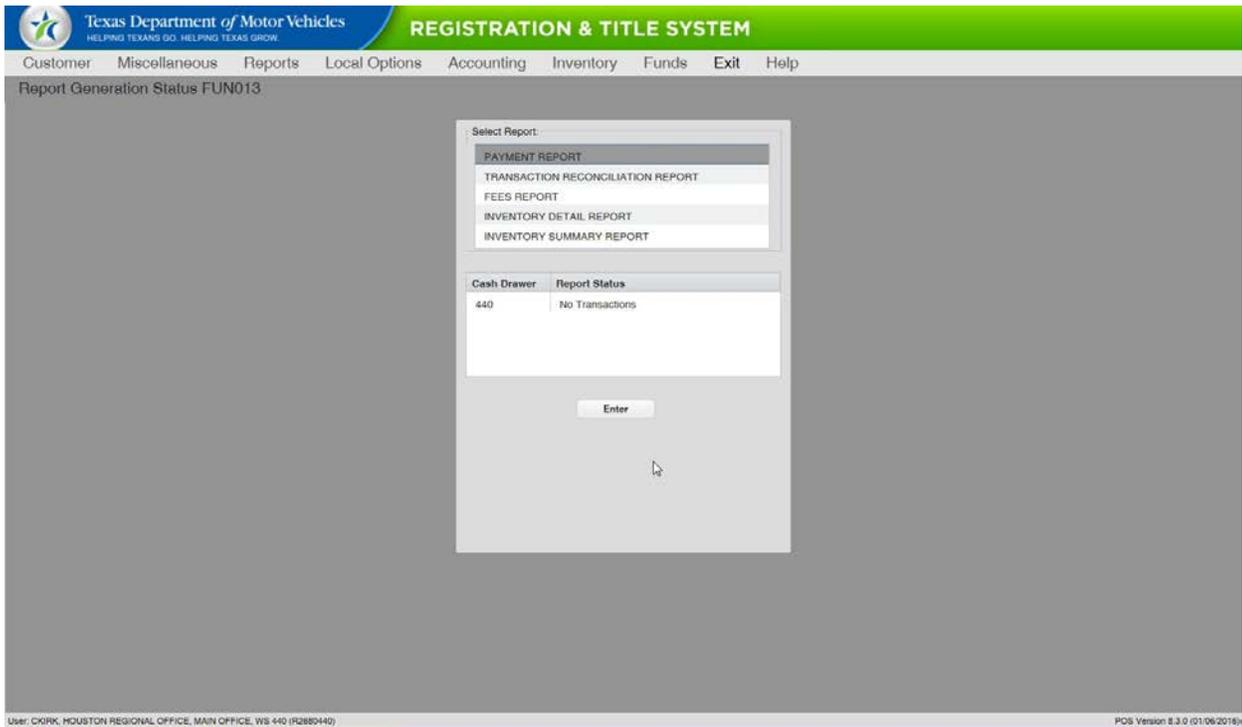
2. Select "Cash Drawer." A cash drawer is designated to one employee and will not be shared at a workstation.



3. Select “Since Last Closeout” and “Select All Reports,” and uncheck “Display Report(s) before Printing.”



4. Select “Enter,” and reports will print.



5. Upon closeout, employee will take his/her cash drawer and reports to the designated closer/supervisor.
6. Cashier/supervisor will balance the cash drawer under dual control, verifying cash and checks against the Payment Report (RTS.POS.5211).

## 9 Overage/Shortage

Any overages/shortages must be processed in the respective RTS workstation and then reprint reports. (The Transaction Reconciliation Report should be used to assist in errors.)

The following steps should be followed when shortages occur:

1. All overages/shortages are reported to the manager on duty or designated staff member weekly.
2. Any overages/shortages of \$5.00 or more in cash require an Overage/Shortage form to be completed. Make two copies of the form. One copy is sent to the manager on duty and the other copy is kept in the employee's/cashier's personnel file.
3. Any overage/shortage of \$10.00 or more needs to be reported immediately.
4. Any shortage of \$100.00 or more will require steps 1, 2, and 3 be completed and, if criminal activity is suspected and approved by the chief deputy, contact the local police department to have a police report completed.

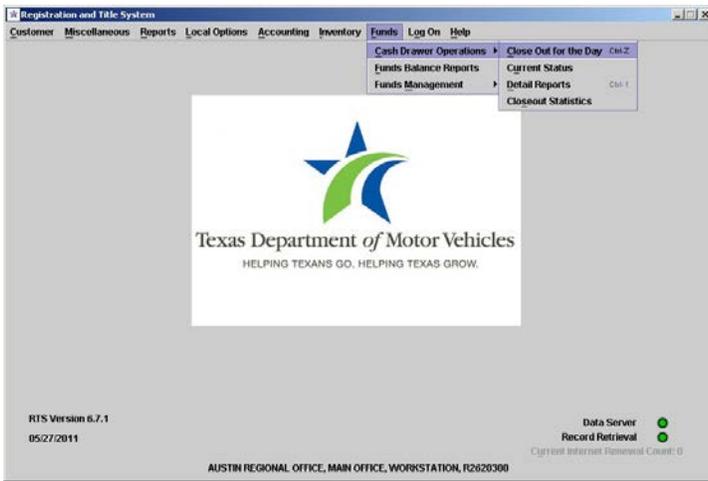
Count remaining cash in till to validate startup amount for the next workday. Cashier/employee will confirm under dual control with the manager on duty that the next day startup funds are correct. The cash drawer will be secured with a locking lid and returned to the safe/vault. If the safe/vault cannot accommodate a secured cash drawer, the funds will be secured in a locking bag and returned to the safe/vault.

## 10 Close Office

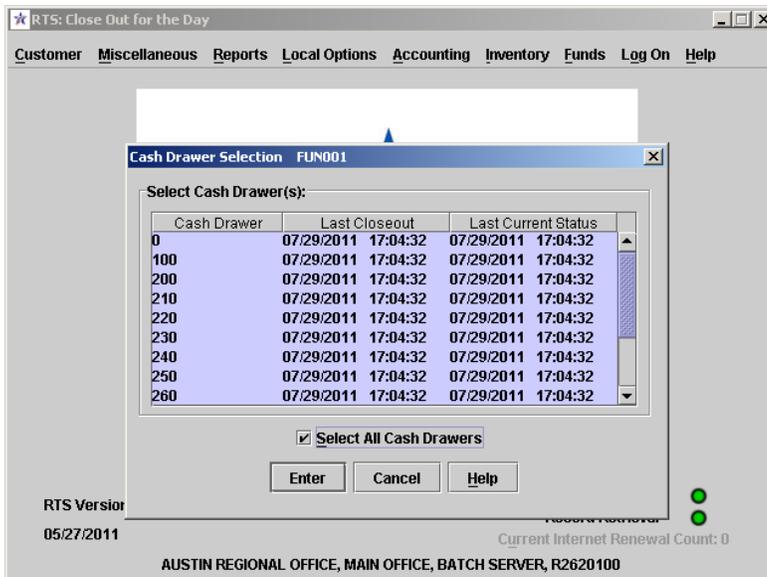
Upon reconciling all employees' cash drawers, generate the following final RTS closeout reports from Batch Server:

- Close Workstation (RTS.POS.5213)
- Statistics Report (RTS.POS.5201)
- Office Inventory (RTS.POS.3031)

5. Go to Funds > Cash Drawer Operations>Close Out for the Day.



6. Select "All Cash Drawers" then "Enter."



7. Secure all inventories, funds, and cash drawers in a secure area or safe.

## 11 Document Retention

The Daily Money Report shall be maintained for fiscal year end (FE) plus three (3) years. At the end of the FE plus three-year period, the county shall destroy the reports by one of the below methods:

- Shredding the reports
- Other means available

## SAMPLE Speaker Evaluation/Survey

Date: \_\_\_\_\_ Sponsor: \_\_\_\_\_ Location: \_\_\_\_\_

**SUBJECT**                      **INSTRUCTOR**                      **GRADE**  
 (Circle Choice) < Subject     > \_\_\_\_\_     A B C D F

A) Excellent    B) Good    C) Fair    D) Poor    F) Needs Improvement

---

- |   | YES                      | NO                       |
|---|--------------------------|--------------------------|
| 1) Was the information presented educational and useful?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2) Was the training what you expected?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3) Was the instructor professional and courteous?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 4) Was the instructor's presentation interesting and organized?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 5) Did the instructor answer questions completely and clearly?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 6) Was the time allotted for the course sufficient?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 7) Have you previously attended Title Fraud training?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 8) Would you recommend this course to others in your field?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 9) Overall, how would you rate this training? Excellent <input type="checkbox"/> Good <input type="checkbox"/> Fair <input type="checkbox"/> Poor <input type="checkbox"/> Needs Improv. <input type="checkbox"/> |                          |                          |

Business Affiliation:

Assn./Dept. Name: \_\_\_\_\_

COMMENTS/RECOMMENDATIONS:

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# SAMPLE Information Security Awareness Practices

## What is Confidential and Sensitive Data?

**Confidential information** is information that is excepted from disclosure requirements under the provisions of applicable state or federal law (i.e., the Texas Public Information Act - PII, PHI, IRS data, financial data, PCI, and education data).

- **Personally identifiable information** is information that can be used to distinguish or trace an individual's identity, such as his/her name, social security number, biometric records, etc., alone or when combined with other personal or identifying information that is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.

**Sensitive information** is the loss, misuse, or unauthorized access to or modification that could adversely affect the interest of the state or the conduct of state programs or the privacy to which individuals are entitled under 5 U.S.C., Section 552a (the Privacy Act), but that has not been specifically authorized under criteria established by a state or federal statute.

Examples of sensitive information include network diagrams, risk assessments, vulnerability scans, criminal history, driving record, and vehicle title and registration.

## How malware "gets in"

Clicked in...

- Clicking on links in emails or files

Brought in...

- Personal thumb drives moving from home to work
- CDs/DVDs from unknown sources

Surfed in...

- Ads in websites, even reputable sites, are notorious for having malware
- Visiting sites that are sent to you in emails
- Add-ons for Facebook, MySpace, etc. can often be infected

## Strong and Effective Passwords

### Creating a strong password:

- Use BOTH upper and lowercase letters.
- Place numbers and punctuation marks randomly in your password.
- Make your password long and complex, so it is hard to crack. Between 8 to 20 characters long is recommended.
- Use one or more of these special characters: ! @ # \$ % \* ( ) - + = , < > : : " ' "
- To help you easily remember your password, consider using a phrase or a song title as a password. For example, "Somewhere Over the Rainbow" becomes "Sw0tR&nBO" or "Smells Like Teen Spirit" becomes "sMll10nspT."
- Make your password easy to type quickly. This will make it harder for someone looking over your shoulder to steal it.

### Protecting your password:

- Create different passwords for different accounts, do not use your work credentials password on your personal email account.
- Never enable the “save password” option. Pre-saved passwords just make it easier for an attacker to access your accounts.
- Never walk away from your workstation without logging off or “locking” it.
- Never share or post your passwords. You are responsible for actions performed with your account credentials.
- Do not use sample passwords given on websites or presentations.

### Social Engineering – Hacking People

Common Methods	Common Vectors
<ul style="list-style-type: none"><li>• Impersonation/“Pulling Rank”</li><li>• Conformity</li><li>• Helplessness</li><li>• Surveys</li><li>• Tailgating</li><li>• Shoulder Surfing/Eavesdropping</li><li>• “Free” Stuff</li></ul>	<ul style="list-style-type: none"><li>• Telephone Calls</li><li>• Phishing/Spear Phishing Emails</li><li>• Website “Traps”</li><li>• Human Nature<ul style="list-style-type: none"><li>➤ Wanting to be helpful</li><li>➤ Everyone loves “free” stuff</li></ul></li></ul>

### What can I do?

- Be careful what you click on and open.
- Know what confidential/sensitive information you work with.
- Practice good password habits. Do not save or share your passwords.
- Be aware of your surroundings and ask questions of unknown callers/persons.
- Remember that “free” is not usually free.
- Report lost or stolen IT resources/data as soon as possible.
- Secure confidential/sensitive information sent outside the agency.
- Dispose of confidential/sensitive hard copies securely or shred them.



Texas Department of Motor Vehicles  
HELPING TEXANS GO. HELPING TEXAS GROW.