

*South Carolina Department of Transportation*



*Electronic Toll Collection System & Related Services*

For the

Cross Island Parkway Toll Facility

Hilton Head, South Carolina

Contract P.O.# 231709

# **CUSTOMER SERVICE CENTER MANUAL**

**Rev. 0.0**

**April 1998**



# **Lockheed Martin IMS**

## **CUSTOMER SERVICE CENTER MANUAL Rev. 0.0**

Prepared by:

  
\_\_\_\_\_  
Mary Thomas, Documentation

Approved by:

  
\_\_\_\_\_  
James J. Eden, Project Manager

**THIS MATERIAL CONTAINS PROPRIETARY INFORMATION OF *LOCKHEED MARTIN IMS*.  
DISCLOSURE TO OTHERS, USE OR COPYING WITHOUT EXPRESS WRITTEN AUTHORIZATION  
OF *LOCKHEED MARTIN IMS* IS STRICTLY PROHIBITED.**

**© *LOCKHEED MARTIN IMS*. UNPUBLISHED WORK. ALL RIGHTS RESERVED.  
APRIL.8, 1998.**

**SCDOT Customer Service Center Plan - Rev. 0.0**

**6/29/98**

Com ment #	Page #	Section #	Comment	LMIMS Response	Rev. #
1.		General	The information provided seems to be very "high level" and brief. At this point in the Project much more detailed information should be available and included in documentation such as this. For example, the third paragraph of the Introduction makes reference to "measurable performance standards," but nowhere in the submittal are these standards provided. In Section 2.4 Training, Lockheed makes references to a variety of training activities, but the additional information provided on training is very general in nature.	JGS: [DEFER TO TOM'S COMMENTS].	
2.		Cover Page	According to this page, the document was Prepared by Mary Thomas, Documentation and Approved by James J. Eden, Project Manager. We note the absence of the signature of anyone representing Quality Assurance for this submittal.	JGS: Agree. Quality Assurance will be added to the signature page.	
3.		2.3	<b>Initial Installation &amp; Operations Staffing, Sales Clerk and Account Clerk</b> are included in the positions which "...comprise the management organization structure of the CSC." Are these clerical positions really part of the management organization structure? If not, they should be deleted. If yes, then summary descriptions should be included, as they are for the Program Manager and the Office Manager. Who are the other managers and supervisors referred to later in the document (see for example 3.2.2 and 7.3.2)? Should they be included as part of the management organization structure?	JGS: Remove Sales Clerk and Account Clerk bullets. [TOM, ARE ADDITIONAL CLARIFICATIONS REQUIRED FOR PARA 3.2.2 AND 7.3.2]	
4.		2.6.1	<b>The Telephone Voice Response System (VRS)</b> In the second sentence of the second paragraph, a space should be inserted between privacy and concerns.	JGS. Agree with the change.	
5.		3.2.1.1	<b>Video Surveillance</b> Where will the referenced tapes be stored? For how long? Will they be made available to the SCDOT for review? If yes, how and when?	JGS [DEFER TO TOM'S COMMENTS].	
6.		3.3	<b>Quality Control</b> When will CSC quality program be developed? By whom? Will the SCDOT have an opportunity to review the indices, procedures and other critical elements of this program?	JGS [DEFER TO TOM'S COMMENTS].	

LOCKHEED MARTIN 

CSC Plan Rev. 1.0  
SCDOT\Plans\Rev\_1.0\CSC \Comments\6\_29\_98.doc

Proprietary Data

# SCDOT Customer Service Center Plan - Rev. 0.0

**6/29/98**

Com ment #	Page #	Section #	Comment	LMIMS Response	Rev. #
7.		3.4	<b>Reporting</b> How and when will the reports referred to in this Section be provided to the SCDOT?	JGS [ <i>DEFER TO TOM'S COMMENTS, I BELIEVE THIS ADDRESSES BOTH VECTOR AND INTERNAL REPORTING</i> ].	
8.		5.1.1	<b>Credit Card Payments</b> FYI, we note that at the end of the second full paragraph in this Section, Lockheed states: "An account enrolled with automatic replenishment maximizes the customer convenience and minimizes the service center interaction with the account. This minimizes the cost of maintaining the account."	JGS: Agree. No changes required. [ <i>TOM, IS THERE SOMETHING TO THIS COMMENT THAT I'M NOT READING???</i> ]	
9.		5.1.4	<b>Credit Card Incentive</b> In this Section, Lockheed recommends "...that the tag deposit be waived." Is this acceptable to the SCDOT? Once resolved, this Section should be rewritten accordingly.	JGS: SCDOT has agreed to waive the tag deposit for credit card account. The 1 <sup>st</sup> sentence will be modified to: "An incentive for customers to enroll using the automatic replenishment option is the waiving of the tag deposit."	
10.		7	<b>Account Maintenance</b> There are a number of "to be developed" policies and procedures referenced in this Section. It appears that the SCDOT, in conjunction with Lockheed, will need to develop the appropriate policies and procedures and portions of this Section will need to be rewritten accordingly (see for example, 7.2.1.4 and 7.4.1).	JGS [ <i>DEFER TO TOM'S COMMENTS</i> ].	



TABLE of CONTENTS

# Contents

<b>1. INTRODUCTION .....</b>	<b>1-1</b>
<b>2. INITIAL INSTALLATION &amp; OPERATIONS.....</b>	<b>2-1</b>
2.1 LOCATION .....	2-1
2.2 HOURS .....	2-1
2.3 STAFFING.....	2-2
2.3.1 Program Manager .....	2-2
2.3.2 Office Manager .....	2-2
2.4 TRAINING .....	2-3
2.5 SYSTEMS .....	2-5
2.5.1 System Solution Components .....	2-5
2.6 PHONE SYSTEM .....	2-6
2.6.1 The Telephone Voice Response System (VRS) .....	2-6
<b>3. BASIC SERVICE CENTER ADMINISTRATIVE PROCESSES .....</b>	<b>3-1</b>
3.1 RECORD ADMINISTRATION .....	3-1
3.1.1 Walk-In Payment Transaction Record.....	3-1
3.1.2 Mail-In Payment Transaction Record .....	3-2
3.2 SECURITY .....	3-3
3.2.1 Physical Security .....	3-3
3.2.2 Information Security.....	3-4
3.2.3 Personnel Security.....	3-4
3.2.4 Fraud Protection .....	3-4
3.3 QUALITY CONTROL .....	3-6
3.4 REPORTING.....	3-7
<b>4. ACCOUNT ESTABLISHMENT.....</b>	<b>4-1</b>
4.1 MARKETING APPROACH .....	4-1
4.2 APPLICATION DISTRIBUTION .....	4-2
4.2.1 Distribution in the Lanes .....	4-2
4.2.2 Automated Voice Response System.....	4-2
4.2.3 Other Distribution Points .....	4-2
4.3 APPLICATION OPTIONS .....	4-3
4.3.1 Mail-In/ Fax.....	4-3
4.4 APPLICATION INFORMATION.....	4-4
4.4.1 Customer Enrollment Information.....	4-4
4.4.2 Discount Plans.....	4-4
4.4.3 Future Enhancements (Reciprocity) .....	4-5
4.5 INITIAL ACCOUNT PAYMENT PROCESSING .....	4-6
4.5.1 Customer Enrollment Processing .....	4-6
4.5.2 Payment Processing.....	4-6
4.5.3 Tag Distribution.....	4-6
<b>5. PAYMENT PROCESSING .....</b>	<b>5-1</b>



5.1 MAIL-IN CHECK PAYMENTS .....	5-1
5.1.1 Credit Card Payments .....	5-2
5.1.2 Automatic Replenishment .....	5-3
5.1.3 On-Line And Batch .....	5-3
5.1.4 Credit Card Incentive .....	5-3
5.2 AUTOMATED ACCOUNT ANALYSIS & ADJUSTMENT REPLENISHMENT AMOUNTS.....	5-4
5.2.1 Transaction Processing .....	5-4
<b>6. TAGS: INVENTORY, TESTING &amp; DISTRIBUTION .....</b>	<b>6-1</b>
6.1 INVENTORY CONTROL .....	6-1
6.1.1 Tag Types.....	6-2
6.1.2 Transponder Input .....	6-3
6.1.3 Transponder Inventory Reporting .....	6-3
6.1.4 Tag Programming.....	6-3
6.2 TAG TESTING.....	6-4
6.3 TAG ASSIGNMENT .....	6-5
6.3.1 Tag Kit.....	6-5
6.3.2 Tags .....	6-5
6.3.3 Account Profile.....	6-5
6.3.4 Program Literature.....	6-5
<b>7. ACCOUNT MAINTENANCE.....</b>	<b>7-1</b>
7.1 CUSTOMER SERVICE POLICIES.....	7-2
7.2 ACCOUNT MANAGEMENT SYSTEM.....	7-2
7.2.1 Account Plans .....	7-2
7.3 MAINTENANCE OF ACCOUNTS .....	7-4
7.3.1 Updating Account Information .....	7-4
7.3.2 Account Adjustments.....	7-4
7.3.3 Voice Response System .....	7-4
7.3.4 Payment Transactions.....	7-5
7.4 STATEMENTS & CORRESPONDENCE .....	7-6
7.4.1 Statement Generation .....	7-6
7.4.2 System Generated Notices .....	7-6
7.4.3 Service Center Form Letters.....	7-6
7.4.4 Incoming Customer Correspondence .....	7-7
7.5 CUSTOMER SERVICE & ASSISTANCE .....	7-8
7.5.1 Customer Assistance .....	7-8
7.5.2 Program Information.....	7-8
7.5.3 Account Profiles - Point of Reference for Inquiries.....	7-9
7.5.4 Customer Account Inquiries .....	7-9
7.5.5 Transaction Receipts.....	7-10
7.5.6 Service Center Callbacks.....	7-10
<b>GLOSSARY OF TERMS.....</b>	<b>1</b>



## 1. INTRODUCTION

# 1. Introduction

---

The Customer Service Center Manual, with subsequent revisions, is the controlling document for the SCDOT customer service program, providing the basis for the implementation of all customer service functions.

This document includes core topics regarding the customer service function. Developing a complete Customer Service Center Manual is an iterative process, best approached by addressing and resolving basic underlying concepts before proceeding to a detailed level. During the initial implementation process, the project team will meet periodically with the SCDOT to identify and clarify policy issues. The plan will be revised to reflect the decisions and changes resulting from those meetings.

The LMIMS Customer Service Center (CSC) will be staffed with well trained people using proven procedures, supported by state-of-the-art systems and equipment, and meeting measurable performance standards. The CSC will provide full financial accountability to the SCDOT and a high standard of customer service for SCDOT's PAL PASS customers.

The CSC will render total in-person customer service and house the staff supplying telephone services, data entry, payment processing, transponder distribution, and all associated customer support functions.

Customer services will be provided in three main operational modes:

- Walk-in service center operations
- Enhanced automated phone system
- Sound, proven operational procedures along with third generation ETC software

The overall public perception of the PAL PASS program will depend mainly on the quality of service provided by the CSC. The PAL PASS customer will perceive that SCDOT is providing all services, and not LMIMS. While LMIMS will employ the service center personnel and manage the service center operation, customers will not see or hear the LMIMS name or logo and consider our employees to be SCDOT PAL PASS employees. Service center staff will identify themselves as SCDOT Tag personnel. As a result, LMIMS functions as a transparent service provider.

**2. INITIAL INSTALLATION  
& OPERATIONS**

## 2. Initial Installation & Operations

---

### 2.1 Location

The Cross Island Parkway Toll Operations Building is located at 4 Marshland Lane, Hilton Head Island, South Carolina.

### 2.2 Hours

Permanent walk-in service hours at the CSC will be from 9:00 AM to 5:00 PM, Monday through Friday, and 9:00 AM to 2:00 PM, Saturday.

In addition to offering comprehensive in-person customer services at the CSC, this site will provide staffing for telephone service, data entry, payment processing, transponder distribution, and all associated support functions.

## 2.3 Staffing

All CSC personnel will report to the LMIMS Office Manager.

Staff size will be adjusted with temporary and/or part-time employees to accommodate peak periods of demand during initial start-up and following ETC promotional campaigns. Due to the required training period, LMIMS generally recruits temporary staff for two to three months. Temporary staff with exemplary performance records are always considered for permanent openings.

Note that LMIMS is pro-active in its adherence to the State of South Carolina regulations for a Drug and Alcohol Free Workplace. LMIMS corporate policy requires a drug screening test of all new employees; the employment offer is contingent upon successful results of that test. Furthermore, LMIMS recognizes that all key staff members are subject to SCDOT approval.

The following positions comprise the management organization structure of the CSC:

- Program Manager
- Office Manager
- Sales Clerk
- Account Clerk

### 2.3.1 Program Manager

The Program Manager oversees the program as a whole, including system and procedure development and implementation as well as system performance and program improvement.

The Program Manager assists SCDOT in ETC marketing and promotional activities, including design of all customer literature, and is the leading liaison between the CSC and SCDOT staff for matters relating to the ETC program.

### 2.3.2 Office Manager

The Office Manager will be responsible for the overall performance of the service center operations. This person will have the authority to make decisions regarding resource allocation, production processes, customer service delivery, and subcontractor operations. The Office Manager will be responsible for the development and implementation of continuous training programs. Duties will encompass staff hiring, evaluation and feedback, and counseling. This position is accountable for providing support and participating in regularly scheduled status meetings and program reviews, giving SCDOT the opportunity to ask questions, provide input, and critique operations.

## 2.4 Training

LMIMS training programs are designed to provide and verify proficiency in all areas before live operations. Our approach to training is based on a variety of techniques but the emphasis is on “learning-by-doing.” In addition to formal classroom presentations, activities are incorporated to reinforce learning through operations simulations, role playing, and “hands-on” screen manipulation. Training topics are paired with the methodology used to reinforce such learning.

The staff will be trained in PAL PASS program specifics, system use for opening accounts and processing payments, as well as in-depth customer relations to ensure an understanding of our customer service delivery and expectations.

Early supervisor recruitment and training provides a solid knowledge base for the CSC training program. During this time, the supervisors will be trained by the Office Manager, focusing on proficiency in all tasks described in the SCDOT approved Policy and Procedures Manual. Our corporate training department will provide “train the trainer” instruction, assist in developing training materials, and provide support during formal training sessions. Skills taught will include use of GUI-based computer screens, the violation image and document scanning equipment, and the telephone and voice response systems, as well as managing the transponder inventory and daily performance tracking and reporting. Throughout this period, SCDOT ETC program features and customer service concepts will be stressed.

The following specific training courses will be provided:

- System Training
- PAL PASS (Program Specific)
- VECTOR System
- Customer Service Awareness/Handling
- Service Center Operations

Once classroom and “hands-on” training is complete, simulated work will be processed, reconciled, and balanced to test the trainees’ knowledge of functions in several days of operations simulations emulating normal working conditions. The simulations confirm the supervisor’s understanding of the system and procedures and serve as an independent validation of the efficiency of the LMIMS Policy and Procedures Manual. During this period, CSRs will also initiate incoming telephone calls, asking questions about telephone enrollment, correspondence, and general program information to test and strengthen communications skills. The “On-Line Help” screens allow CSRs to research answers to any questions they may have. CSR cross-training in all functions will be done after employees have a solid foundation in a principal job assignment. Only fully trained staff members who successfully complete the training program will be assigned to provide service to customers.

Any procedural improvements identified will be presented to SCDOT for approval and incorporation as revisions to the Policy and Procedures Manual. During this period, staff members will perform an entire day’s workload, including new account opening, transponder assignment and shipping, document scanning, violation image review, end-of-shift cashier close-out, and handling telephone calls by role-playing the customer and CSR parts. All reports will be generated and reviewed for



quality of work performed. The enrollment and issuance process for non-revenue transponders will be emphasized.

Training for CSRs will begin two weeks prior to public opening of the CSC, using the same simulated work techniques that the supervisors used. Concurrently, they will learn SCDOT policies related to the ETC program, review all marketing materials and newspaper articles, and tour toll plazas for a working demonstration of the ETC system.

In addition to the training mentioned above, the LMIMS' training department will present three training sessions to all new employees:

- A corporation and company orientation
- An ethics course
- A standardized customer service training module

## 2.5 Systems

The service center operation is a result of several systems working in unison with each other. Each component is integrated into a single effective service delivery system. The common feature of our system solutions is the degree of user friendliness and the high level of product sophistication.

### 2.5.1 System Solution Components

- A fully integrated service delivery system between the lane operation and the service center
- Graphic User Interface (GUI) screens for quick access to information and an extremely user friendly environment for service center representatives
- Cashier workstations with integrated check endorsers, cash drawers, and bar code and credit card readers
- Telephone Voice Response System (VRS) accessed via a toll free 800 number and incorporated with an automated call director (ACD) for call routing and reporting
- Document Imaging for electronic document storage and retrieval, providing streamlined documentation processing and quick document retrieval
- Word processing and spreadsheet applications for managers, supervisors, and analysts, providing consistent enhanced professional communication within the service center

Key to the technical support are the GUI workstations used by all Customer Service Representatives (CSR) to enable quick input of data or access to it for reference. LMIMS cashiering workstations, customized to print credit card receipts and endorse customer checks, will include a bar code reader for fast, accurate transponder assignment to walk-in customers. The telephone Voice Response System (VRS) is also an important component of our service solution. Past experience shows, at least 50% of customer telephone inquiries will be handled by the VRS without operator intervention, including transactions for credit card payments. The document image system will optically scan, store, and retrieve application forms, ETC and violation correspondence, and administrative records for the CSC. The PC-based workstations include word processing and spreadsheet applications for management and support staff.

## 2.6 Phone System

The service center phone system will utilize a toll free number connected to an intelligent Voice Response System (VRS) and forwarded to a representative by an Automated Call Director (ACD). This combination of technologies and approach will lead to maximum utilization of the telephone staff resources and increased customer satisfaction.

### 2.6.1 The Telephone Voice Response System (VRS)

The Telephone Voice Response System (VRS) is an important component of our overall service solution. Past experience shows at least 50% of customer telephone inquiries will be handled by the VRS without operator intervention, including transactions for credit card payments and requests for account information.

Customers in the 1990s expect to perform virtually all transactions by telephone or computer. To be told that information must be submitted in writing, even when there are security and privacy concerns, is viewed as an inconvenience. The LMIMS solution accepts all transactions either orally to a CSR or over the telephone Voice Response System (VRS) with the entry of a customer Personal Identification Number (PIN). A CSR can transfer the customer to the VRS if it is determined during the conversation that the customer needs to perform a PIN-required transaction, such as a credit card payment or change to credit card information.

The first time a customer calls the VRS, a message indicates that the account maintenance capability has not yet been activated and prompts for PIN entry. A letter is generated to the customer confirming that this activation has occurred. Thereafter, customers may make a variety of account changes by phone, many without operator intervention, including account balance inquiry and requests for statements. Customer service representatives are available for customers with questions or those who do not wish to use the automated VRS.

**3. ADMINISTRATIVE  
PROCESSES**

# 3. Basic Service Center Administrative Processes

---

## 3.1 Record Administration

LMIMS will maintain all required records. All financial records and transaction logs will be retained for at least three years after the date of final payment by the state or any applicable statute of limitations, whichever is longer. They will be available for inspection and audit by an authorized representative of the state.

### 3.1.1 Walk-In Payment Transaction Record

CSC walk-in cashier stations will use an on-line Point-of-Sale (POS) terminal for payment processing. The POS cashiering work station will include a bar code reader and a credit card swipe mechanism for authorization requests. Credit card authorizations / denial codes will be received and immediately posted to the customer's account record.

A cash starting drawer, or Seed Bag, is maintained for each CSR and stored in the safe when not in use. In order to electronically track the cash starting drawers, the CSR will enter the amount received each time a new 'session' is opened. Each session is unique to a CSR ID and is used to identify the period of time being reconciled.

All payments are posted on-line and all reporting is sorted by method of payment. A receipt is created for every transaction processed and given to the customer. All receipts include:

- Date and Time
- CSR ID
- Location
- Customer Account Number or Violation Number
- Amount Paid
- Method of Payment
- Session ID

In addition, this information is printed on the reverse side of each check processed, providing a complete audit trail in the event of a returned check.

### 3.1.2 Mail-In Payment Transaction Record

Non-cashier workstations used to post customer mail-in checks will also be equipped with an endorsement printer. All mail will be received at the CSC for sorting and processing. Mail will be opened and sorted into pre-established categories and grouped accordingly. During the payment sorting process, check and money order payments will be reviewed for the following information:

- Payee Name
- Conformity of Written and Numeric Amounts
- Signature and Date

Incomplete checks and those with different written and numeric amounts will be returned to the customer with a letter of explanation. If the payee name is missing, LMIMS's name will be stamped on the check. After this initial sort is completed, batches will be counted, assigned a control number, and logged. This control number will remain with the group throughout processing and will be used to track individual items.

Payments will be batched by payment categories:

- New Accounts / Check
- New Accounts / Credit Card
- Replenishment Checks
- Violation Checks

## 3.2 Security

LMIMS will integrate comprehensive physical and system security measures to ensure the integrity and reliability of SCDOT ETC operations, revenues, assets, communications, and systems. The LMIMS security solution incorporates site access, environmental controls, and proven policies and procedures to:

- Secure funds and physical assets belonging to SCDOT
- Ensure a reliable and available system configuration, including communications
- Protect the confidentiality of all customer information, with emphasis on credit card security

Security in the service center can be categorized into four (4) different types:

- Physical Security
- Information Security
- Personnel Security
- Fraud Protection

### 3.2.1 Physical Security

Physical security will be accomplished by using video surveillance, monitoring with alarm capabilities, and the restriction of certain areas.

#### 3.2.1.1 Video Surveillance

The service center will be protected with close circuit cameras connected to a 24-hour VCR recorder. Tapes will be changed and logged daily.

#### 3.2.1.2 Monitoring and Alarm

The office perimeter will be wired for an alarm with password activation and deactivation as well as security company monitoring.

#### 3.2.1.3 Restricted Access

Only authorized staff members will be permitted entry into the service center work area. Employee IDs will be required for access, and all access doors will utilize cipher locks to gain entrance.

### 3.2.2 Information Security

While all customer demographics, toll usage, and violation activity information raise privacy concerns, it is the customer's credit card number that poses the greatest security risk. Customer data is never provided to any external mail list vendor, and employee training includes a session on the importance of customer privacy. Several steps have been added to our security plan to protect customer credit card information:

- CSR inquiry screens and receipt printers will display only the last four digits of the credit card number, ensuring that clerks do not have access to the entire account number
- A customer PIN will be required to enter credit card data on the VRS. The VRS does not verbally provide the credit card number already on the account
- Databases containing credit card numbers will have additional layers of security
- Access to imaged source documents will be limited and originals will be securely stored off-site, reducing exposure risk

Security, integrity, and confidentiality of all SCDOT data, programs, and systems will be ensured. System and data protection is the most important component of the security solution. All data elements are individually defined, segregated, and access provided only to those users who will be authorized to access these files and have a need to know the information. Each workstation used for access will have a unique workstation user number on the server, and each individual user will have a specific user ID and password. This user ID will determine which components of the application can be accessed. Each user's profile is requested and maintained and special permission categories will be created to access system file tables and user profiles. Such categories will only be available to the Office Manager and specific supervisors.

### 3.2.3 Personnel Security

Signed non-disclosure agreements, reference and background checks, training on security issues, and LMIMS' in-place Crime Insurance Policy as well as RFP required bonding are the principal elements of the security measures that will be used to protect breaches of security by personnel. Furthermore, LMIMS personnel policies will require drug testing of each potential employee.

### 3.2.4 Fraud Protection

The fraud protection initiatives include identifying areas of potential fraud and carefully monitoring restricting access to these areas or service center functions:

- Utilize work in progress batch control to ensure that all work received will be processed
- Restrict all customer files and credit card information access to authorized personnel
- Restrict access to fax machine receiving customer information with credit card information
- Restrict access and lock out features on postage equipment

- Place copy machine in view and in a central area to dissuade unauthorized copying of account information
- Implement well developed close out reports and procedures matching system processed transactions and employee financial close outs

The following fraud control initiatives will be utilized to protect the customer account:

- Pre-authorized credit cards during account open process
- Validate Vector system credit card numbers as part of the data entry process
- Require customer identification for account inquiries
- Require customer PIN for account changes

#### **3.2.4.1 The Front Desk (Cashier Area)**

The Front Desk or Cashier area will be staffed by two to four representatives to provide service to walk-in customers. These representatives will have the ability to perform all necessary functions for the customer. This will include application and payment processing, tag distribution, and inquiry resolution for accounts and violations.

LMIMS cashiering workstations, customized to print credit card receipts and endorse customer checks, will include a bar code reader for fast, accurate transponder assignment to walk-in customers.

#### **3.2.4.2 Financial Controls**

Foremost in our procedures, systems, and quality assurance is the integrity of customer ETC funds for transponder deposits and prepaid tolls collected on behalf of SCDOT PAL PASS.

Beginning with end-of-shift clerk reconciliation and following through to verifying deposit of funds in the proper bank account, the reconciliation procedures will identify cash, check, and credit card deposits and utilize a separate account for refunds. Daily reports summarizing ETC lane transactions will be important components of SCDOT's revenue reporting.

LMIMS credit card procedures will include careful monitoring of funds deposited to LMIMS's bank account by the credit card agencies. Because of the logistics required to monitor fund transfers from each credit card processor, LMIMS will develop automated bank account reconciliation steps which ensure that all funds are transferred in a timely manner to LMIMS's bank account.

### 3.3 Quality Control

Error-free transaction processing, whether from the lanes or in the CSC, will result in increased customer satisfaction and decreased service needs. Errors will be minimized by fully tested systems, internal controls, built-in edits for keyed entry transactions, and enforcement of quality control sampling.

LMIMS emphasizes continuous quality improvement in all of our operations. Our quality program requires self-analysis of procedures to ensure that they are accurate, efficient, thorough, and complete. Managers and staff will be encouraged to use this information to identify ways to improve service performance. In addition, new approaches or technologies will be constantly examined for applicability to the operations.

The quality control program for the CSC will have a clerical and financial emphasis. There are accuracy and performance standards that the CSC operation must meet. On an on-going basis, the Office Manager will develop additional indices for areas which are found to be particularly sensitive or for new services which may be introduced.

The objective of the overall CSC quality program is the performance of the following tasks:

- Develop indices to measure CSC performance and accuracy
- Ensure services conform to contractual requirements
- Ensure that performance standards reflect contract requirements
- Define and implement procedures to ensure that deficiencies are prevented or detected and corrected
- Implement procedures and processes that are designed to continually improve the quality of services provided

## 3.4 Reporting

An accurate and flexible reporting process is a critical component in the control and evaluation of the service center operations and the ETC program as a whole. Transaction reconciliation, operations performance and inventory control reporting provide management and authority staff with the tools for managing the customer service delivery process, identifying trends, and making informed decisions on customer requirements and future program needs. The objective behind the service center reporting process is to provide statistical, objective proof of the service level attainment and overall operations performance.

The service center reporting process primarily focuses on volume, aging, and reconciliation. System reporting will summarize the service center and transaction processing and provide reconciliation of inputs and outputs.

The service center reporting system is flexible and can be easily customized. At the request of SCDOT, report definition and frequency can be easily modified. The Vector system is capable of providing daily, weekly, and monthly reporting.

Service center report inputs will be generated directly from the host database or from service center logs or other tracking devices. Reports will include options allowing the service center staff or SCDOT personnel to run reports on the individual CSR level or on a larger department or location level. Management will be provided with summary information on specified reporting areas. Reports will be provided online and on paper.

Service center reporting categories will include the following:

- Transaction Reporting
- Account Activity Reporting
- Service Center Activity Reporting
  - ⇒ Mail Processing
  - ⇒ Application and Payment Processing
  - ⇒ Walk-in Processing
  - ⇒ Correspondence
- Phone Activity Reporting
  - ⇒ ACD
  - ⇒ VRS
- Resources Utilization / Inventory Reporting
  - ⇒ Staffing
  - ⇒ Postage
  - ⇒ Tags
  - ⇒ Marketing Materials

In addition to the reports generated on a routine basis at required intervals, ad hoc reporting will also be available. Ad hoc reporting can be used to focus on specific areas of concern or for reviewing program demographic trends.

All reports are available on-line and are formatted to be easily read in an on-line mode. A zoom option can be used for magnification. For most reports, a number of sorting options and filters are available to narrow or expand the report by transaction type.

Several reports help track inventory volumes including the "Device Inventory Summary Report." Other reports in the inventory family include device issuance for each day of the month as well as listings of transponder serial numbers in any status, with number range restrictions, if desired.





# 4. Account Establishment

---

## 4.1 Marketing Approach

Application availability, easy enrollment access, and processing of applications in a timely and efficient manner will maximize ETC participation. Potential SCDOT ETC customers can obtain program information and enroll via walk-in service at the Customer Service Center or application distribution points and telephone the Automated Voice Response System.

Although instructions in the application package will offer various enrollment methods, text is carefully written to discourage walk-in customers and emphasize the convenience of mail-in and telephone enrollment. The enrollment objective is to give customers the impression that their time is valuable; consequently, enrollment is as easy as using the telephone or mailing a letter.

## 4.2 Application Distribution

### 4.2.1 Distribution in the Lanes

Convenient application availability is important for early market saturation. Concurrent with the announcement of the ETC program, application forms should be given to every driver during commuter rush hours and should always be available upon request at the toll plazas.

### 4.2.2 Automated Voice Response System

For the customer who does not take the application offered in the lane, a quick call to the toll-free 800 number at the ETC Customer Service Center will initiate delivery of an application by mail.

### 4.2.3 Other Distribution Points

Part of the overall marketing plan will be to review other alternative distribution points to maximize distribution of the applications. Utilization of carefully selected distribution points enables LMIMS to focus on groups that are strong potential customers, thereby maximizing application use, program penetration, and customer convenience.

## 4.3 Application Options

Several options are available for PAL PASS customers to establish accounts. An application can be processed through the mail, in person, or through a fax. In each case, the same pertinent information discussed previously will be captured in order to open the account.

### 4.3.1 Mail-In/ Fax

Customers are encouraged to use mail-in as an effective and efficient method of corresponding with the CSC on an on-going basis. During the introductory period, it is recommended that customers use mail-in due to the high enrollment volume that will occur. In addition, a fax number is available to transmit applications and correspondence. Faxed applications and correspondence will be processed following the same procedures that apply to mail.

As a result of utilizing the mail-in option, customers can perform nearly every account action available, including enrolling in the program and requesting program or account information. Turnaround time for mail-in application processing will be five to ten days.

It is the intention of the SCDOT that customers visiting the CSC will receive quick, accurate and courteous service whether they are enrolling in the ETC program or requesting information. Together, the following components illustrate the guidelines established to meet the goal of quality customer service:

- Recruiting, hiring, and training the right staff
- Articulating well-defined service delivery expectations
- Consistently monitoring performance

## 4.4 Application Information

LMIMS customer service provides concise information for customers, convenient enrollment methods, and superior service in both the lane and the CSC to guarantee public acceptance and long term success of the SCDOT PAL PASS program.

### 4.4.1 Customer Enrollment Information

Critical Information Requested	Explanation of Critical Information
Customer Information	Includes customer name, address, and contact information
Payment Method Information	Payment types and options for credit card payment
Account Type Selection	Description and requirements of the different account types
Vehicle Identification	Vehicle make, model, and plate information
Credit Card Information	Account number, expiration date and signature.
Acceptance of Terms	Agreement to terms of the PAL PASS program.

### 4.4.2 Discount Plans

Careful attention must be given to presenting the discount plan option on the application. Minimizing confusion regarding the plan will ensure customer satisfaction and reduce adjustments at the service center.

The SCDOT will offer two plans:

- Standard plan
- Non-revenue plan

The standard plan will offer customers passage at the discounted toll price. The non-revenue plan will be established with the SCDOT and will be based on limited and unlimited travel parameters.

### 4.4.3 Future Enhancements (Reciprocity)

Future modifications to the application could include transponder and account numbers issued by other toll agencies to accommodate reciprocity. To accommodate agency specific discount plans, a companion account may have to be developed as well.

Additionally, applications could be modified to include changes in deposit and initial payment options or additional option services, such as electronic mail box numbers for statement transmissions.

## 4.5 Initial Account Payment Processing

### 4.5.1 Customer Enrollment Processing

The following steps are applied in order to process a customer enrollment:

1. Processing the application on the account management system
2. Processing the payment required for the account type selected
3. Distributing the tags required for the account

The next step is processing the initial payment on the account.

### 4.5.2 Payment Processing

A single payment from the customer is accepted for both the transponder deposit and pre-paid tolls. Funds for transponder deposits and the initial prepaid toll balance (sometimes referred to as the 'debit' balance) are accepted as a single payment from the customer and later segregated into each category. The customer's individual account record tracks each category separately. Financial reports detail and summarize every transaction; aggregate totals of all customer deposits and customer pre-paid tolls are produced daily.

Credit card authorizations for newly opened accounts are processed on-line as each account is opened. In this way, problems with walk-in and telephone authorizations can be resolved immediately with the customer. When credit card transactions are denied for mail-in applications, a follow-up phone call is attempted, followed by letters mailed when the customer cannot be reached by phone. Transponders cannot be issued to such accounts until a valid payment transaction is completed.

### 4.5.3 Tag Distribution

Walk-in customers will receive tags at the time of enrollment. Mail and phone enrollment accounts will receive tags in the mail. Tag assignment for walk-in customers is immediate and mail and phone assignments are processed in the order received.

The service center staff is also responsible for ensuring that transponders are correctly programmed before distributing them. Along with transponders, every customer receives an "Account Profile" summarizing the demographic, credit card, and vehicle registration information in the ETC system files. Receiving the profile increases new customer confidence in over-all program accuracy by allowing them to verify the accuracy of the data keyed into the system. Additionally, because customers have a written record of the information they provide, they may be more likely to furnish changes and updated information. The profile includes a record of refundable transponder deposits and indicates the customer's initial pre-paid toll balance. Carefully written literature will also

accompany each transponder describing mounting, account replenishment, use of the VRS, and SCDOT toll policies.

**5. PAYMENT  
PROCESSING**

# 5. Payment Processing

---

PAL PASS customers will be able to make payments to their accounts in person, through the mail, or via the phone. Additionally, they will have a wide variety of payment options to make payments. The service center will accept cash, check, and credit card payments for posting to customer accounts.

A single payment from the customer will be accepted for both transponder deposits and pre-paid tolls. Funds for transponder deposits and the initial prepaid toll balance will be accepted as a single payment from the customer and later segregated into each category. The customer's individual account record will track each category separately. Financial reports will both detail and summarize each transaction—aggregate totals of all customer deposits and pre-paid tolls will be produced daily.

## 5.1 Mail-in Check Payments

Timeliness is important when posting mail-in payments because customers frequently wait until the last minute to make payment. By encouraging customers to use the return envelopes provided, replenishment payment mail can be quickly out-sorted for processing. Mail payments are posted using the same cashiering screens and procedures used for walk-in customers.

The processing of mail-in payments involves the following procedures:

- Review of document for completeness
- Return of incomplete document
- Endorsement and dating of each check
- Posting to account
- Reconciliation of each payment batch
- Preparation of Deposit
- Deposit in financial institution

Timeliness is equaled in importance by accuracy and reconciliation as critical issues to be addressed in this process. Distribution and control of the batch work will be performed by the cashiering supervisor. All representatives processing check transactions will have a daily close out and will receive reconciliation training. Daily work will be reviewed to ensure that all processes have been completed and signed off by a work lead and supervisor. Representative productivity will be

monitored and summarized monthly. This feedback process will be used to review performance and develop improvements to the program.

### 5.1.1 Credit Card Payments

The LMIMS credit card process permits the customer to use multiple credit card agencies for phone, mail, and walk-in transactions and ensures timely funds receipt.

Customers will have the option of using the following credit cards for payment to their accounts:

- Visa
- Master Card
- American Express
- Discover
- Bank "check" cards

While VISA and Mastercard are the most widely used credit cards, Discover offers the lowest discount rate and has offered to actively market the program by including messages on Discover customer statements for zip codes in the target market area. Offering American Express increases the payment options for the customers and enhances the customer service friendliness of the program. Payment with credit cards is the preferred method of payment for the service center, particularly when the automatic payment option is selected. An account enrolled with automatic replenishment maximizes the customer convenience and minimizes the service center interaction with the account. This minimizes the cost of maintaining the account.

Credit card transactions for walk-in, mail-in, and phone enrollment customers will be processed through a point of sale terminal at the workstation (Verifone). Automatic replenishment will be processed via a file transfer between the credit card processor and the service center. Each tag sale location will have a separate merchant number. The automatic replenishment process will also be assigned a separate merchant number for reporting and discount calculation purposes.

The credit card process is critical to the design of the automatic replenishment feature. LMIMS has perfected the ETC credit card administration process to include such features as statement messages or letters advising customers of credit card expiration dates and the automatic re-requests of declined transactions. This is based on a flexible parameter to control the number of times the process can occur.

Credit card authorizations for newly opened accounts are processed on-line as each account is opened. This process allows the CSC to immediately resolve credit card declines that may arise with walk-in and telephone customers. When credit card transactions are denied for mail-in applications, a follow-up phone call is attempted, and if the customer cannot be reached by phone, a letter is sent. Transponders cannot be issued to such accounts until a valid payment transaction is completed.

LMIMS' credit card procedures include careful monitoring of funds deposited to LMIMS's bank account by the credit card agencies. Because of the logistics involved in monitoring fund transfers

from each credit card processor, LMIMS developed automated bank account reconciliation steps to ensure that all funds are transferred in a timely manner to SCDOT's bank account.

## 5.1.2 Automatic Replenishment

Customers will be given an automatic credit card account replenishment option. This option utilizes a credit card provided by the customer to ensure that the account always has a positive balance to cover toll activity. This feature utilizes a threshold to trigger an overnight replenishment of the account. Customers not only can select this option at the time of enrollment, but can add it later with a written request.

## 5.1.3 On-Line And Batch

The credit card solution includes both on-line and batch transactions. On-line transactions are used to provide an immediate reply for walk-in and telephone transactions. Mail-in applications are also processed on-line with system controls to prevent the issuance of a transponder until the payment issue has been resolved. Replenishment payments are submitted to the credit card processor in an overnight batch cycle. The LMIMS system includes a flexible parameter to designate the number of times declined replenishment transactions will be re-requested before advising the customer.

The need to constantly monitor account balances and make replenishment payments is a source of customer dissatisfaction with ETC programs. SCDOT enrollment policies, therefore, will encourage customers to elect automatic replenishment because it results in the highest degree of customer satisfaction. The PAL PASS marketing and promotion campaign should address ways to promote the added convenience associated with credit card usage.

## 5.1.4 Credit Card Incentive

To provide an incentive for customers to enroll using the automatic replenishment option, it is our recommendation that the tag deposit be waived. CSC software will automatically waive the tag deposit requirement at enrollment time.

## 5.2 Automated Account Analysis & Adjustment Replenishment Amounts

When customers' travel patterns change, previous replenishment payment may not be sufficient to cover a month's tolls. For automatic replenishment customers, this means that credit card accounts will be charged more than once a month; cash/check payers will see low balance lights and need to make payments more than once a month.

The account analysis process is designed to ensure that the replenishment amount covers one month worth of toll activity. The process evaluates the account usage and replenishment activity and then generates a letter to the customer. The letters will:

- Advise credit card customers that replenishment charge transactions will be increased to the new dollar amount effective with the next replenishment transaction
- Advise cash/check customers to increase periodic payment to the higher amount

The program will then change the amount of the rebill for credit card customers. The program can be run periodically. A quarterly evaluation minimizes the overall effort in the service center and allows for averaging and minimizes the impact of an irregular month.

### 5.2.1 Transaction Processing

Transactions will be posted to accounts on-line when they occur. Tag status updates will be sent to the lanes on-line within 24 hours.

After toll transactions, which occur daily for most customers, the most frequent transaction is the periodic replenishment payment. Timeliness and accuracy is critical for the replenishment payment because the ETC customer will receive a zero-balance message and is subject to citation for toll evasion should the account balance inadvertently drop. With real-time transaction processing, including transmission of the updated transponder balance status to the lane, a customer can drive through the lanes as soon as the payment is updated. The automatic credit card replenishment is posted during the overnight cycle. The payment is requested from the credit card processor when the account reaches a predetermined 'low' balance threshold allowing several days' tolls in reserve, should the transactions be declined.

**6. TAGS: INVENTORY  
TEST & DISTRIBUTION**



# 6. Tags: Inventory, Testing & Distribution

---

The tag is an integral part of the ETC program. The service center will be responsible for maintaining tag inventory, testing, programming, assigning tags to customer accounts, and returning defective tags to the manufacturer. The service center's on-line inventory system is fully integrated with the ETC customer database and tracks each transponder from its receipt by service center through distribution and, eventually, to its return to service center, thus ensuring the SCDOT a complete audit trail for all transponders.

## 6.1 Inventory Control

The combination of integrated on-line inventory tracking system, site security, and physical inventory procedures protects the SCDOT's financial investment in the transponders.

The LMIMS on-line inventory system, together with its customer service system, is the key to our inventory management techniques because the same system tracks transponders from receipt to customer issuance. Based on experience at other ETC service centers, modification has been made to several of its features to provide better inventory use. These include the ability to:

- Place a transponder returned by a customer back into inventory for re-assignment
  - ⇒ This feature maximizes inventory use since approximately 10% of ETC customers will close accounts and return tags each year
  - ⇒ The system does not allow re-assignment to another customer until a parameter—set number of days—has passed since the re-stock date
- Track the replacement of defective and failed tags by the manufacturer by entering specific failure codes and updating transponder replacement date and, if applicable, the replacement number
- Record transponder numbers by reading the bar codes into a PC spreadsheet such as Excel and comparing the serial numbers with inventory records
- Generate reports listing serial number ranges with specific inventory status codes for physical inventory purposes

The inventory system will be able to account for tags by type, color, and serial number.

## 6.1.1 Tag Types

At the present time, there are two types of tags available to the customer. An interior transponder is affixed to the windshield in the interior of the car. The exterior transponder is usually mounted to the vehicle license plate on the outside of the car.

### 6.1.1.1 Interior

Interior transponders will be issued to individuals for use in passenger cars. Tags will be affixed to the front windshield with duo lock strips and require no special equipment or special skills to install. Additional mounting strips are available at the service center for use of the tag in other vehicles, thus allowing the transferability of the tag.

The instruction booklet included in the transponder kit illustrates the required location on the vehicle for the transponder to function properly. Staff at the CSC will be available to demonstrate the proper way to install the transponder.

### 6.1.1.2 Exterior

Exterior tags are mounted outside of the interior of the vehicle. The most common application of the exterior tag is the License plate tag or LPT. These tags usually require tools to install to the top mounting screws of the vehicle license plate. It is common for customers to request assistance. Simple tool kits will be available at each walk-in site and there will be staff knowledgeable about installation at each site.

## 6.1.2 Transponder Input

The LMIMS inventory system allows initial transponder input by two methods:

- Individual transponder entry
- Transponder number range or transponder block

The range input is defined as 'Receive Block' in the inventory file and accepts input by beginning and ending serial number for the entire transponder group, including type (internal, external, license plate), color, manufacturer, and date received. Individual transponder records are then created for each serial number within the block. If transponders are not received in sequential order from the vendor, the transponder's external bar code number must be scanned into the Receive Block screen to create individual transponder records.

## 6.1.3 Transponder Inventory Reporting

A daily transponder reconciliation report will be produced at the close of business each day to ensure that system inventory records, when compared to daily activity, are accurate. All transponder activity for the day is reported, including the prior day's ending balance to ensure the correct beginning inventory number is represented. The balancing process includes comparing production statistics received from staff to the system reconciliation activity. For example, the number of transponders issued by all CSRs should equal the number included on the reconciliation report. This report will also produce a low inventory balance warning if the ending balance falls to the parameter set in the system. This acts as an additional checkpoint for the Program Manager when determining inventory requirements.

## 6.1.4 Tag Programming

Tags will be programmed at the Vendor factory for Class 1 passenger vehicle. Tags will be tested and programmed for other classes or revenue types using the Mark IV **Roadcheck** tag programmer. This programmer is a stand-alone unit that is used in conjunction with a PC. The PC will be connected to the host input of tag class or other exception programming that is performed during the tag assignment process.

## 6.2 Tag Testing

The service center staff will be responsible for making sure transponders are correctly programmed before being distributed. There will be 100% quality control testing of tags received in the service center. Tags will be tested within 48 hours of receipt from the vendor. Testing will include readability and verification of the following fields:

- Agency is the South Carolina Assigned code
- Serial number matches label
- Class is defaulted to Class 1 (passenger vehicle)

## 6.3 Tag Assignment

After an account has been opened and the payment has been processed, the tags can be assigned immediately to a walk-in transaction. A bar code reader will be used to read the tag label bar code and assign the tag to an account. A nightly batch tag assignment process will be used for mail-in applications and phone enrollment accounts.

### 6.3.1 Tag Kit

The tags will be sent to the customer in a padded "Jiffy" envelope. This envelope has ensured a recorded delivery of tags to customers, is capable of holding the tag weight and protecting it from damage during delivery, and has proven to be very reliable.

### 6.3.2 Tags

The tags assigned to the account will be placed into the tag kit for mailing. The tag will have a label clearly identifying the tag serial number and will have a set of the duo lock strips already affixed. A spare set of strips will be included in the kit along with mounting instructions.

### 6.3.3 Account Profile

Along with the transponder, every customer receives an "Account Profile" summarizing the account demographics, vehicle descriptions, credit card information, account plans selected, tags assigned to the account, tag deposits and original prepaid toll account balances. This allows the customer to verify the accuracy of the data deployed into the system. Additionally, because customers have a written record of the information they provided, they may be more likely to provide changes and update information.

### 6.3.4 Program Literature

Carefully written literature will accompany each transponder describing mounting, replenishment, use of the VRS, and SCDOT toll policies. All literature (including instructions, forms, rules, and features) will be prepared and disseminated to the public in accordance with SCDOT approval.

7. ACCOUNT  
MAINTENANCE

# 7. Account Maintenance

---

The account maintenance functions of the service center operation represent the long term ongoing interaction and communication with PAL PASS customers. The level of employee professionalism in serving the customer and user friendliness of the account processes and customer contacts directly effects the acceptance and customer perception of the program.

The account maintenance activities lie at the heart of our customer service plans and it is critical that the CSR have the tools to assist customers. The program has incorporated policies, procedures, and practices that enable the customer to focus on the ETC portion of the program and the administrative aspects. The program is designed so that policies and practices require minimal phone calls, correspondence, or monitoring of account balances. SCDOT PAL PASS policies will largely influence whether the ETC program will be easy for the customer to maintain or will place an undue account maintenance burden on the customer. Customers deserve and expect phone calls and correspondence to be handled expediently, professionally, and accurately.

Components of the account maintenance function:

- Customer Service Policies
- Account Management System
- Account Maintenance Functions
- Maintenance of Accounts
- Customer Contacts
- Statement Generation
- Incoming Customer Correspondence
- Account Plans
- Non-Revenue Account Administration

## 7.1 Customer Service Policies

Customer service policies play an important role in the account maintenance process. Policies and procedures should minimize the administrative requirements of the customer and shift the responsibilities of account maintenance to the CSC and the CSR.

## 7.2 Account Management System

The system accuracy and the ease of account management used play an important role in the level of service provided at the CSC locations. Accurate timely information and easy access to customer account information are critical elements in the service delivery process. The CSR must be able to access and provide the customer with up to date accurate information regarding account status and balance, when requested. These standards are to be adhered to whether the initial application is VRS, CSR, written inquiry, or a system-generated contact.

### 7.2.1 Account Plans

Account plans will be developed to accommodate the various users of the toll facilities. The plans will fall into two categories:

- Standard Plan with appropriate discounts
- Non-Revenue Plan

We will work closely with the SCDOT to define and implement the various programs utilized at implementation.

#### 7.2.1.1 Standard Plans

Accounts with a standard plan are convenience accounts. While the customer has tolls deducted at the standard or full fare, they still enjoy the convenience of non-stop electronic toll processing.

#### 7.2.1.2 Non-Revenue Plan Administration

The processing of non-revenue accounts requires a special sensitivity to the non-revenue ETC implications. Non-revenue transponders are issued to several different categories of road users, each with different needs. These groups include the SCDOT's own vehicles used for maintenance and police and other emergency vehicles.

### 7.2.1.3 Non-Revenue Account Policy

Non-revenue accounts are only opened upon written request from authorized SCDOT officials. An employee enrollment form will be used to capture signatures of the employee and an authorized SCDOT approver. The non-revenue vehicle registration numbers are included so that a violation image can be associated with the account should the employee drive through a toll plaza without a transponder.

### 7.2.1.4 Non-Revenue Account Control

For security and control, non-revenue account administration and transponder issuance will be performed at the CSC only.

The Office Manager is assigned the non-revenue liaison function with SCDOT. Procedures will be established for account maintenance transactions such as SCDOT vehicle replacement.

## 7.3 Maintenance Of Accounts

Customers expect to perform all transactions by telephone or computer. To be told information must be submitted in writing, even when there are security and privacy concerns, is viewed as an inconvenience. For this reason, the LMIMS solution accepts most transaction requests from the customer—verbally to a CSR or over the telephone Voice Response System (VRS), or with the entry of a customer Personal Identification Number (PIN). Certain credit card transactions will require written notification from the customer.

### 7.3.1 Updating Account Information

CSC staff will perform the following updates:

- Demographics (Address, Phone Number)
- Vehicle Information
- Payment Information

All updates will be stored on the Account History screen. Due to CSC security of account maintenance, access is restricted to authorized personnel.

### 7.3.2 Account Adjustments

Only specified CSC personnel will have the authority to make adjustments to an account. Adjustments can only be made for disputed tolls—fees accessed to the account.

CSR supervisors and managers will have the authority / escalation policy on the adjustment of a dollar amount. As the supervisor's level of managers increases, so does the amount he / she can adjust. All financial adjustments will be recorded on the Account History screen. Any transaction occurring during the day will require a CSC closeout. Closeouts will be reviewed by a supervisor for support and verification.

**Note:** All adjustments will be supported by documentation and account notes.

### 7.3.3 Voice Response System

The first time a customer calls the VRS, a message indicates that the account maintenance capability has not yet been activated and prompts for the PIN entry. A letter is generated to the customer confirming that this activation has occurred. Thereafter, customers may make a variety of account changes by phone without operator intervention, including account balance inquiry and requests for statements. CSRs are available for customers with questions or those who do not wish to use the automated VRS.

### 7.3.4 Payment Transactions

The most frequent transaction occurring after toll transactions, which occur daily for most customers, is the periodic account replenishment payment. Timeliness and accuracy are critical regarding the replenishment payment because the ETC customer will receive a zero-balance message and is subject to citation for toll evasion should the account balance inadvertently drop. With real-time transaction processing, including transmission of the updated transponder balance status to the lane, a customer can drive through the lanes as soon as the payment is updated. The automatic credit card replenishment is posted during the overnight cycle. Payment is requested from the credit card processor when the account reaches 'low' balance, allowing several days' tolls in reserve should the transactions be declined.

To ensure uninterrupted use and avoid violations, an account must stay in good standing and maintain a positive balance. This leads to the CSC's requirement to provide updated account information on demand to the customer.

## 7.4 Statements & Correspondence

### 7.4.1 Statement Generation

Although regular bi-monthly statements will be optional at the customer's election, we recommend producing a statement to confirm that a customer requested an adjustment or an unusual transaction charge such as a bad check fee. In addition, customers may request statements on demand either over the VRS or through a CSR. A statement fee, if included in SCDOT's PAL PASS fee structure, will be charged to the customer's account as appropriate.

Use of a professional mailing house is the preferred solution for businesses such as the ETC service center. Mail volumes, although substantial, cannot justify the investment in printers, stuffing, and sorting equipment, which is necessary to perform this task in a professional, cost effective fashion. In addition, compliance with U.S. postal regulations for discounted postage rates is becoming more and more complex.

*Optional Statements*—This feature allows customers the option of receiving or not receiving bi-monthly statements based on customers' concerns about the environmental impact of excess mail. Although our software includes an optional statement feature, statements have always been sent to any account with transactions during the reporting period. Customers have indicated that they rarely read pages and pages listing the dates and times of toll crossings and 85% of customers using automatic credit card replenishment rely on credit card statements as verification of transactions.

### 7.4.2 System Generated Notices

The account management system will generate a series of letters to the customer. It will include the following:

- Credit Expiration Letters
- Credit Card Authorization
- Account Evaluation Letters (Quarterly)
- Credit Card Declined Letters
- Account Revocation Letters

All customer service representatives will be familiar with letter contents and implications in order to assist customers on questions such as what letters mean or what must be done after receipt.

### 7.4.3 Service Center Form Letters

An automated correspondence system provides a level of professionalism and consistency to the PAL PASS program's customer contacts. A correspondence system can be a powerful tool in communicating account information, program changes, or current events to the customer.

Letters can be sent to all customers as a group, or to individual customers, using the LMIMS correspondence system. Periodically, announcements or program literature will need to be mailed to every ETC customer. Our system includes the capability to generate mailings to every customer or target a mailing based on zip codes, usage volumes, replenishment method, upcoming credit card expiration dates or any other criteria which can be identified on the database. Other letters are initiated automatically upon entry of specific transactions, such as a return check.

Customer service representatives will be able to respond to customer inquiries with a series of system generated and manual form letters. Typical use of the correspondence system will be to advise customers of inquiry resolution or to request specific information from the customer. CSRs have a catalogue of standardized letters which can be initiated by inputting a code. This code accesses the customer's account record. Letters can be sent to violators as well as ETC customers, allowing flexibility in the violation administration function.

The correspondence system is PC-based, allowing the on-site CSC staff to enter or revise letter tests. This flexibility is an important feature for a new program whose exact customer relations needs cannot be predicted.

All letters will be folded, stuffed, and mailed from the CSC. Mail house services will be utilized when and if volumes justify utilization of the service. Processing letters, at least initially, affords the CSC the opportunity to review letters for quality assurance.

#### 7.4.4 Incoming Customer Correspondence

All incoming mail is counted and grouped into like categories—ETC payments, violation payments, ETC applications violation correspondence, etc. A numbered "batch control card" is attached that identifies the type of work and number of transactions in each batch. Each batch is logged to a "batch control sheet." The batch control card remains with the batch of work throughout the process, from assignment to a clerk through return to the supervisor, and if applicable, through the document image process.

## 7.5 Customer Service & Assistance

While enrolled in the PAL PASS program, customers will receive various types of customer contact. They range from feedback in the lane to customer letters and service center representative return calls.

### 7.5.1 Customer Assistance

Customers will require account assistance from the CSC to obtain information regarding an account, clarification on a policy or transaction, or the need to make changes to demographics or payment options on an account.

There are several sources of account information available to the customer.

Through the VRS, the customer will be able to obtain account information and perform account maintenance tasks, such as changing payment information and requesting account information.

The next level of service to the customer comes from the CSC representative, either in person or via the phone. It is here that the customer service representative will handle the customer in the most professional and expedient manner to ensure that the customer's inquiry or problem is addressed completely and to the customer's satisfaction.

Customer assistance requests fall into the following categories:

- Request for information about the program
- Request for information regarding a customer account transaction or status
- Updating account information (Adding vehicles or tags, or credit card information)
- Making adjustments to the account

CSRs have instant account maintenance history data available to assist callers. They are fully capable of assisting the customer and have full access to all account transactions using the "Account History Screen." All account maintenance transactions from payments, tolls, and other charges, to name and address changes, vehicle registration changes, and transponder distribution are available to the CSR.

### 7.5.2 Program Information

Requests for program information will be handled via the walk-in representative, phone representative, and VRS system. Inquiries fall into the following categories:

- Service Center location
- Account type questions
- Requests for applications
- Requests for application assistance



- How does the program work

More sophisticated and detailed inquiries must be handled by a walk-in or phone representative. The VRS will be equipped to answer the most commonly asked questions. All CSRs will be trained to handle the more sophisticated and detailed inquiries along with the most commonly asked questions and will receive scripted answers. The use of scripted answers will ensure that the customers receive accurate and consistent answers.

### 7.5.3 Account Profiles - Point of Reference for Inquiries

All customers will receive an account profile at enrollment time. Mail-in customers will receive the profile in the tag kit. The profile is a confirmation of the transaction that was processed. It serves as an audit document for the customer to verify account information and also as a point of reference with critical account information in the event that the customer must make an inquiry.

### 7.5.4 Customer Account Inquiries

Customer inquiry is supported in person, by mail, and by telephone. Following are the most frequently asked questions of a customer:

- Account status
- Tag status
- Payment-related questions regarding the posting of a payment or making a payment
- Adding or removing a vehicle or tag on the account

The Point-of-Sale workstations support all functions provided by the Customer Service Center, including account establishment, payment processing, transponder assignment, and general inquiry for customers visiting the CSC. In addition to this walk-in method of customer service, the CSC can support mail-in processing and telephone activity through the use of an automated VRS. Both system components are described below.

The Customer Service Center subsystem supports a VRS that provides 24-hour access to general account information. The VRS is interactive with the Customer Service Center subsystem account database. Because lane transactions are updated in real time, customers receive an up-to-the-minute account balance. In addition to the account balance, customers can get the following information:

- Current account status including account replenishment activity
- Most recent toll transactions posted to the account
- General information regarding the ETC program

### **7.5.5 Transaction Receipts**

All walk-in customers will receive a printed receipt for transactions performed at walk-in locations. Transaction receipts are designed to provide a record of transaction, including the date and time, location, account processed to, and the type of transaction processed.

### **7.5.6 Service Center Callbacks**

Customers will receive callbacks from service center personnel regarding unresolved inquiries and incomplete application requests. Callbacks will be performed by supervisors or specially designated staff members.



# Glossary of Terms

**ACD**

Automatic Call Director

**CSC**

Customer Service Center

**CSR**

Customer Service Representative

**ETC**

Electronic Toll Collection

**GUI**

Graphic User Interface

**LMIMS**

Lockheed Martin IMS

**LPT**

License Plate Tag

**OCR**

Optical Character Recognition

**PIN**

Personal Identification Number

**POS**

Point of Sale

**QAE**

Quality Assurance Engineer

**QC**

Quality Control

**RFP**

Request for Proposal

**TSC**

Telephone Service Center

**UPS**

Uninterruptable Power Supply

**VRS**

Voice Response System