

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. 1.0

November 1998

LOCKHEED MARTIN



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**Customer Service Center
Quality Control Program**

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SERVICE CENTER QUALITY PROGRAM

This document reviews the quality program values and provides an overview of the quality program, including information on program objectives, approach, and service delivery.

Quality Program Values

The Quality Program embraces several core values and concepts. These values and concepts are the foundation for integrating key business requirements within a results oriented framework. The program features the following core values and concepts:

- Customer-driven quality
- Leadership
- Continuous improvement and learning
- Employee participation and development
- Fast response
- Design quality and prevention
- Long-range view of the future
- Management by fact
- A results focus

Although various aspects of each core value are embedded in the Service Center Quality Program, three core values are critical: customer-driven quality, fast response, and a results focus. Under this framework, key service areas, their respective customer contact points, and associated quality checkpoints are reviewed.

Quality Program Overview

A flawless customer service program is critical to the acceptance and utilization of the Palmetto PASS program. The most important component of customer service is the quality of support provided to customers from their initial inquiry about the Palmetto Pass, through enrollment, distribution, and follow-up contacts.

The program entails analysis of customer requirements, deployment of requirements (and solutions) to the Customer Service Representatives (CSRs) responsible for satisfying the requirements, and evaluation and improvement of customer contact performance. The Quality Program seeks to transcend contractual compliance and stresses that customer-driven quality and operational performance excellence are key strategic business issues that need to be an integral part of the overall program. Specifically;

- customer-driven quality is a strategic view of quality. The focus is on drivers of customer satisfaction and retention – key factors in profitability and business success;
- operational performance improvement contributes to short-term and longer-term productivity growth and cost/price competitiveness.

The thrust of the quality program is on sustained quality, without exception, in performing each activity and process within the Customer Service Center (CSC):

1. Account maintenance
2. Collections

3. Tag distribution
4. Inventory management and shipping
5. Performance measurement and reporting
6. Revenue distribution, bank processing, and reconciliation
7. Outgoing correspondence
8. Incoming correspondence
9. Incoming telephone inquiries/requests
10. In-Person assistance

Quality Program Objectives

The program objectives are to

1. eliminate or reduce the number of customer exceptions;
2. handle remaining exceptions quickly and consistently;
3. build operational capability, including speed, responsiveness, and flexibility, into each CSC process;
4. ensure that deployment will be effective – that there are mechanisms to transmit requirements and achieve alignment on three basic levels:
 - the company/executive level,
 - the key process level, and
 - the work-unit/individual-job level.
5. integrate data and information into measurements;
6. track errors by Customer Service Representative;
7. provide immediate feedback to Customer Service Representatives;
8. take appropriate action(s) by Customer Service Representative;
9. update internal operating policies and procedures; and
10. convert the Customer Service Center personnel into internal champions of the quality program.

Management Approach to the Quality Program

The management approach to customer service emphasizes four principles:

- A high quality, service orientation to handle primary functions in-person, by mail, fax, or over the telephone;
- Performance standards for each service component to ensure customer satisfaction with the service provided;
- Management systems to monitor and control the enrollment process, account maintenance, tag distribution, staff training, and customer service delivery; and
- Prompt and accurate handling of “exception” situations.

Quality and Service Delivery

The goal for promoting quality in *customer account processing* is to ensure that customer accounts, including tag assignments, adjustments, and inquiries, are handled on a consistent, accurate, timely and cost effective basis. This is for the customer’s convenience and for continued positive referrals to the **Palmetto PASS** Program. To date, millions of accounts have been established nationally across all electronic toll collection (ETC) arrangements. Each customer account is an opportunity to shape the perception of the ETC program and the Quality Program is designed to extend that favorable perception by establishing and sustaining a continuum for exceeding contractual requirements.

The *customer collections* function handles customer credits, timely depositing and reconciliation of these funds in the Authority’s bank account, debiting of customer accounts for toll transactions, and a

multitude of exception conditions. The quality program provides guidance for improving the overall responsiveness and effectiveness of customer contacts. As with customer account processing, all transactions are handled on a consistent, accurate, timely and cost effective basis for the customer's convenience and for the continued positive image of the **Palmetto Pass Program**.

Inventory management encompasses large volume tag distribution to customers either by mail or in-person. The Service Center distribution plan ensures that inventories and distribution procedures accommodate requirements through the use of an inventory system to track tag purchases and usage levels, and to provide tag quantity forecasts based on tag demand for customer accounts. The Service Center **tag distribution plan** is based on years of experience providing this service to several major projects nationally. This experience was leveraged to develop a best practice plan that is complete, accurate, and thorough, and that distributes tag kits to customers in a timely and cost effective manner.

Performance measurement and reporting provides summary and detail views of Service Center day-to-day operations and performance. As a major initiative in 1997, LM/IMS established a responsibility center for improving and maintaining quality throughout Service Center operations. The regular reporting and monitoring of performance is formalized with the implementation of the Service Center Quality Program. This program comprises key performance indicators, standards for each indicator, acceptable variance levels, and mechanisms for collecting data from production operations. These measures assist in tracking and evaluating performance, and in identifying areas for continuous improvement before operations become adversely impacted. The emphasis on controls and auditing is based on experience. The integrity of these transactions is ensured by internal controls, including:

- current documentation of all procedures;
- maintenance of all source documents;
- assurance that all transactions are fully balanced; and
- periodic audits of all functions.

Toll transaction processing is accomplished in a batch cycle. The toll amount is deducted from the customer's prepaid balance. The resulting balance is then examined to determine the next action, e.g., should a "low" balance record be sent to the lanes or should a replenishment transaction be sent to the credit card processor or should the CSC prepare appropriate correspondence.

Revenue distribution, bank processing, and reconciliation is handled via the account maintenance system. The system tracks funds in each customer's account and reconciles the total on deposit with the balances in each account. Reports reflect the amount of tolls and other charges posted to customer accounts as revenue to the Authority. All transactions are controlled, fully auditable, balanced and reconciled. The Quality Program provides for the periodic review of controls to assure ongoing accurate and reliable financial and operational information.

Outgoing correspondence includes statement, replenishment, and credit card related notices. These notices are generated based on prescribed data.

Incoming inquiries and requests are received by mail, fax, telephone, or in-person. Each fax, telephone, in-person and correspondence complaint is tracked. These complaints are monitored and used to track adherence to production standards and for monitoring the performance of each customer service representative. The incoming mail process starts with a clerk sorting and batching the incoming mail. The Batch Ticket is a batch header that is used to identify the batch of work in terms of count, content, and clerk completion status. It serves to track work completion numbers and status by clerk, thereby, providing a means for monitoring productivity and clerk performance. This furnishes the framework for continuous incremental improvement.

CUSTOMER SERVICE CENTER QUALITY REVIEW

Operational performance is audited for compliance by monitoring performance. An evaluation of service center functions is performed to not only maintain, but surpass, the preferred level of operational performance and continuously improve customer contact performance.

A. The "*Nixie*" Review is an analysis of returned mail / correspondence. Returned mail / correspondence is a key generator of customer exceptions and an important measure in evaluating and improving customer contact performance. The Nixie categories (below) are exceptions that lead to potentially dissatisfied customers.

NIXIES	DATA ENTRY ERROR	EXTERNAL AGENCY ERROR	PATRON ERROR
• Statements			
• CSC Correspondence			
• Tag Kits			

These measurements capture information relative to accuracy, personnel tracking and external tracking. This is a first step in identifying opportunities for continuous improvement. A NIXIE Quality Report is generated monthly. (Attachment A)

B. The *Complaint Management Process* includes analysis and priority setting for improvements. It tracks problem areas, solutions, and overall effectiveness of the resolution. This process identifies trends that are used to ensure that complaints are resolved efficiently and promptly, and that complaints received via the telephone, mail, and in person are reviewed and analyzed for use throughout the service center. Using critical incidents such as complaints enables the understanding of key service attributes from the point of view of customers and front line employees. This complaint tracking is necessary for focusing management action in post transaction follow-up. Qualifier codes (Attachment B) will be assigned to each incident to determine trends, etc. Some examples follow:

COMPLAINT AREA	MANAGEMENT ACTION(S)
Application assistance	Application design improvements
Customer Service Representative (CSR)	<ul style="list-style-type: none"> • Call monitoring and counseling • CSR Training/Coaching • Call scripts review and revision • Update Policies and Procedures
Statement timeliness	System process review and improvements

Customer Service Center Performance Measures

An effective control system provides direction and guidelines to employees, explains what is expected of them, and describes how they should fulfill their responsibilities as outlined in the CSC manual. Performance measurement is the part of management control that helps set standards and targets, track progress, motivate, communicate organizational strategic intent, and influence behavior modification. Accurate and responsive service is a key factor in ensuring customer satisfaction. Productivity is measured based on the CSR Daily Activity Report (Attachment C) and the CSC Performance Requirements (Attachment D).

NIXIE Quality Report

Customer Contact Accuracy for the period:				Cross Island Parkway				Date Prepared:				
		Oct-00				Nov-00				Dec-00		10/00 - 10/01
		Mailed	Return	Accuracy	Mailed	Return	Accuracy	Mailed	Return	Accuracy	Accuracy	
				Rate			Rate			Rate	"+/-"	
SC	Application Requests			#DIV/0!			#DIV/0!			#DIV/0!	#DIV/0!	
SC	CSC Correspondence			#DIV/0!			#DIV/0!			#DIV/0!	#DIV/0!	
P	Statements			#DIV/0!			#DIV/0!			#DIV/0!	#DIV/0!	
P	System Correspondence			#DIV/0!			#DIV/0!			#DIV/0!	#DIV/0!	
E	Violation Notices			#DIV/0!			#DIV/0!			#DIV/0!	#DIV/0!	
	<i>Total Customer Contact</i>	0	0	#DIV/0!			#DIV/0!			#DIV/0!	#DIV/0!	
SC	Tag Kits						#DIV/0!			#DIV/0!		
	<i>Total w/tags</i>	0	0	#DIV/0!	0	0	#DIV/0!			#DIV/0!	#DIV/0!	
Volume Comparison for This Year vs. Last Year					Mailed		10/00-10/01					
					Oct-00	Oct-01	% "+/-"					
	Application Requests						#DIV/0!					
	CSC Correspondence						#DIV/0!					
	Statements						#DIV/0!					
	System Correspondence						#DIV/0!					
	Violation Notices						#DIV/0!					
	Tag Kits						#DIV/0!					
	<i>% +/- Contacts</i>				0	0	#DIV/0!					
LEGEND		SC= Service Center Error			P = Patron error			E=External Agency Error				
Quality Measures		Returned Apps / Mailed Apps			Returned Corres / Mailed Corres			Returned System Corres/ Mailed Corres				
		Returned Viol / Mailed Viols			Returned Statements / Mailed Statements			Returned Tags/Mailed Tags				

Attachment A

QUALIFIER CODES

CODE		CODE	
	NEW INFORMATION REQUEST		COMPLAINTS
10	Application Request	50	Tag Delivery
11	Directions	51	Tag Not Received
12	Service Center Hours	52	Wrong Tag
13	Duo Lock Request	53	Tag Delayed
14	Application Assistance	54	Refund Check not received
15	General Inquiry		Service Center Walk-In
		60	Long Wait in CSC
		61	Rude Treatment
	ACCOUNT INQUIRIES	62	Application Processing too long
20	Account Balance	63	Escalate to Work Lead/Supervisor
21	Statement Request		
22	Vehicle Information		Service Center - Telephone Related
23	Account Changes	70	Waited Too Long on Phone/Hold
24	Plan Change	71	Incorrect Information from CSR
25	Account Payment	72	Long Wait on 800 number
26	Additional Tag(s) Request	73	Could Not Get Through on 800 #
27	Voluntary Suspension of Re-bill	74	Wrong Info on 800 number
28	Credit Card Expiration/Decline	75	Hung Up On
29	Close Account	76	Busy
		77	Escalate to Work Lead/Supervisor
	ACCOUNT DISPUTES		
30	Red/Yellow Light		
31	Toll Dispute		
32	Lost/Stolen Tag		
		99	Compliments

Applications Processed		# pieces
Walk - In		
Mail - In		
Fax - In		
# Individual Applications		
# Business Applications		
# Non-revenue Applications		
Replenishments		# pieces
Walk-In		
Mail-In		
Fax -In		
Replenishment Type		\$ Amount
Cash		
Check		
Credit Card		
Replenishments - Rebill		Dollar Amount/ # payments
Amex		
Discover		
Mastercard		
Visa		
Total dollar amount/Total # rebilled		
Other		# Pieces
Application Requests		
Changes		
# of Closed Accounts		
# Of Devices Issued		# Devices
Private		
Business		
Non-Revenue		
Outgoing Mail		# Mailed
CSC Correspondence		
Transponder Kits		
Incoming Mail		# Received
Total Mail		
Nixies -		
Transponders		
Correspondence		
Statements		
Returned Transponders		# returned
Interior		
Good		
Defective		
Exterior		
Good		
Defective		
Backlog*		# Pieces
Applications		
Payments		
Changes		
Additions		

*backlog cleared within 24 business hours Attachment C

CSC PERFORMANCE REQUIREMENTS

#	SUBJECT/AREA	REQUIREMENT
1.	Workstation Customer Update	60 seconds
2.	Bank Deposits	Daily
3.	Data Loss	No loss
4.	Image Review	All batches from the previous day
5.	Auto replenishment	Daily
6.	CSC wait time for new application	7 minutes
7.	New mail/fax application	2 business days
8.	Telephone Wait Time	2 minutes
9.	Refund Mailed	10 business days
10.	Account Updates (by-mail)	2 business days
11.	Return of Incomplete Applications	2 business days
12.	Transponder Distribution for Walk-in (add-on)	2 minutes
13.	Transponder Distribution for Mail/Fax (add-on)	2 Business Days
14.	Telephone call resolution	2 Business Days
15.	Transponder inventory report	Daily
16.	All documents and records must be available on-site for review and audit	At all times
17.	All documents and records must be kept in reasonable order, and must be dated.	
18.	Records and documents will be filed in the CSC in account number sequence.	Weekly
19.	All financial records and transaction logs retained.	At least three years after the date of final payment by the State or any applicable statute of limitations whichever is longer.
20.	Customer account updates	Real Time

Note: Customer requests requiring financial transactions received after 4:00 p.m. are processed the following business day.

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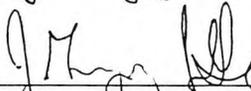
Prepared by:


Mary Thomas, Documentation Manager

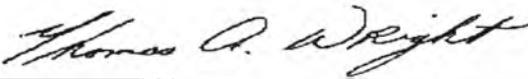
Approved by:


J. Gregory Saville, QA Representative

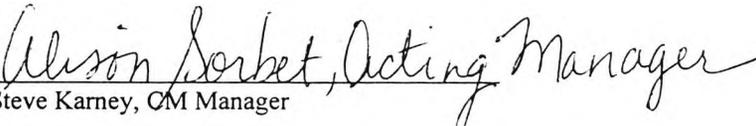
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NOVEMBER 5, 1998.

SCDOT Customer Service Center Plan - Rev. 1.0

6/29/98

Com-ment #	Page #	Section #	Comment	LMIMS Response
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.	This is supposed to be general. The specific measurable performance standards are not determined until achieving "steady state". All training information is found in the Customer Service Center Users manual and this should be referred to in this paragraph.
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.	Quality Assurance will be added to the signature page.
3.	2-2, 3-4, 7-4	2.3	Initial Installation & Operations Staffing, Sales Clerk and Account Clerk 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?	Sales Clerk and Account Clerk bullets have been removed. 3.2.2. removed "and specific supervisors" from the last paragraph. 7.3.2 All references to supervisors/managers were changed to Office Manager.
4.	2-6	2.6.1	The Telephone Voice Response System (VRS) In the second sentence of the second paragraph, a space should be inserted between privacy and concerns.	The space has been inserted in the appropriate place.
5.	3-3	3.2.1.1	Video Surveillance 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?	The last sentence "Tapes will be changed and logged daily" has been deleted. The following sentence was substituted: Tapes will be changed once every seven days. Each tape will be retained in the LMIMS safety deposit box at the Wachovia Bank for a period of 30 days. SCDOT may request a stored tape by contacting the LMIMS Project Manager and by providing 24 hours advance notice. Requested tapes will be hand delivered to the appropriate SCDOT



SCDOT Customer Service Center Plan - Rev. 1.0

6/29/98

Com-ment #	Page #	Section #	Comment	LMIMS Response
				official. The SCDOT official will be required to sign for the tape(s).
6.	3-6	3.3	Quality Control 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?	The following sentence has been added at the end: CSC Quality Control program is developed over the first year of operation and is set once "steady state" is achieved. The program uses established performance standards based on similar Service Center operations such as NYSTA. The local LMIMS team adapts these performance standards to fit their particular situation. SCDOT may review the indices and procedures upon official establishment by LMIMS.
7.	3-8	3.4	Reporting How and when will the reports referred to in this Section be provided to the SCDOT?	The following sentence has been added to the end: SCDOT may access these reports through their connection with the CIP host.
8.	5-2	5.1.1	Credit Card Payments 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."	Agree with the statement.
9.	5-3	5.1.4	Credit Card Incentive 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.	SCDOT has agreed to waive the tag deposit for credit card account. The 1 st sentence has been modified to: "An incentive for customers to enroll using the automatic replenishment option is the waiving of the tag deposit."
10.	7-3, 7-6	7	Account Maintenance 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).	7.2.1.4 The last sentence has been deleted and replaced with the following: The appropriate SCDOT official will work with the Office Manager to request additional transponders, add additional vehicles

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Customer Service Center Plan Rev. 1.0 Nov. 5, 1998

SCDOT\Plans\Rev_1.0\CSC \Comments\6_29_98.doc

Proprietary Data

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6/29/98

Com- ment #	Page #	Section #	Comment	LMIMS Response
				and update license plate information or SCDOT vehicles. 7.4.1 paragraph 1.. The last sentence has been deleted. Paragraph 2.This entire paragraph has been deleted.

December 4, 2000

Mrs. Anna Salvagin
Program Manager
SCDOT
P.O. Box 191
Columbia, SC 29202-0191

Dear Anna,

Enclosed is the Quality Control addendum to the Customer Service Center Manual. This document is meant as a supplement to the manual and defines particular measures of performance for CSRs.

If you have any questions regarding the Quality Control Program, please feel free to contact me.

Sincerely,

Barbara J. Salvo
Acting Program Manager

Cc: T. Wilson, SCDOT
F. O'Conner, LMIMS
G. Dailer, LMIMS
JJ Eden, LMIMS



November 6, 1998

Ms. Patricia A. Harrison
Director of Safety
South Carolina Department of Transportation
P.O. Box 191
Columbia, SC 29902-0191

Re: Contract P.O. # 231709

Subject: Customer Service Center Manual

Dear Ms. Harrison,

This transmittal is to provide Revision 1.0 of the Customer Service Center Manual. We have duly incorporated the responses to your comments dated 06/29/98. The response to comments page is behind the document signature page. One unbound copy is included in this transmittal that has revision marks in the right margin and the changes in italics. We did not reproduce the bound copies to reflect changes, as they are a final document.

If you have any questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink, appearing to read "Mary Thomas", written over a horizontal line.

Mary Thomas, Documentation Manager

CC: Frank Tobin
Girard Andres
Greg Saville
Ron Weaver
File

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1. INTRODUCTION

1. Introduction

The Customer Service Center Manual, with subsequent revisions, is the controlling document for the SCDOT customer service program. It provides 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 new accounts, payment processing, transponder distribution and all associated customer support functions in person and by phone.

Customer services will be provided in three main operational modes:

- Walk-in service center operations
- Automated telephone services

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

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, feedback, and counseling. This position will provide support and participate in regularly scheduled status meetings and program reviews, giving SCDOT will have 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 the PAL PASS program procedures. This is a system used for opening accounts and processing payments. Also, an in-depth customer relations training, will ensure an understanding of customer service delivery and expectations.

Early Office Manager 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. The 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, the employee's knowledge of the system, will be tested 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. 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.

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, 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 and 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 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 once every seven days. Each tape will be retained in the LMIMS safety deposit box at the Wachovia bank for a period of 30 days. SCDOT may request a stored tape by contacting the LMIMS Program Manager and by providing 24 hours advance notice. Requested tapes will be hand delivered to the appropriate SCDOT official. The SCDOT official will be required to sign for the tape(s).

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.

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 the work in progress batch control to ensure that all work received will be processed
- Restrict all customer files and credit card information access to unauthorized 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 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 will 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 .

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 against which 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 and corrected
- Implement procedures and processes that are designed to continually improve the quality of services provided

CSC Quality Control program is developed over the first year of operation and is set once "steady state" is achieved. The program uses established performance standards based on similar Service Center operations such as NYSTA. The local LMIMS team adapts these performance standards to fit their particular situation. SCDOT may review the indices and procedures upon official establishment by LMIMS.

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

Service center report inputs will be generated 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. SCDOT may access these reports through their connection with the CIP host.



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, distribution points and by telephoning 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. This will maximize 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 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. These factors will 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 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, accuracy and reconciliation are 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. 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 will 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

An incentive for customers to enroll using the automatic replenishment option is the waiving of the tag deposit. CSC software will automatically waive the tag deposit requirement at enrollment time.

5.2 Automated Account Analysis & Adjustment Replenishment Amounts

When a customer's 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 letter 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 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. This will ensure 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 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 (LPT). These tags usually require tools to install to 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 numbers 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 insures 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. Additionally, because customers have a written record of the information, 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 the user friendliness of the account processes, 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 vehicles used for maintenance, 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. The appropriate SCDOT official will work with the Office Manager to request additional transponders, add additional vehicles, and update license plate information on SCDOT vehicles.

7.3 Maintenance Of Accounts

Customers expect to perform 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. 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 toll fees accessed to the account.

The Office Manager will have the authority / escalation policy on the adjustment of a dollar amount. 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 an Office Manager 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, 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 a '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 to the customer, we recommend producing a statement to confirm that the 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.

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 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 the customer with all questions.

7.4.2 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, in order to 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 resolutions 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 also be sent to violators, 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.

7.4.3 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.

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 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. The following are the most frequently asked questions by 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 Customer SC. In addition to this walk-in method of customer service, the Customer SC 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 the Office Managers or specially designated staff members.



Glossary of Terms

ACD

Automatic Call Director

CSC

Customer Service Center

CSR

Customer Service Representative

ETC

Electronic Toll Collection:
System of readers and antennas installed in the lane and transponders located on a vehicle for automatic identification of the vehicle as it passes through a toll lane

GUI

Graphic User Interface

LMIMS

Lockheed Martin IMS

LPT

License Plate Tag

OCR

Optical Character Recognition

PIN

Personal Identification Number

POS

Point of Sale

LOCKHEED MARTIN 

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Proprietary Data

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QAE

Quality Assurance Engineer

QC

Quality Control

RFP

Request for Proposal

TSC

Telephone Service Center

UPS

Uninterruptible Power Supply
Uninterruptible power source that develops a constant output voltage regardless of input voltage losses and variations. The toll collection equipment at plazas and toll Host Transaction Processor (HTP) computer system are powered by this system.

VRS

Voice Response System