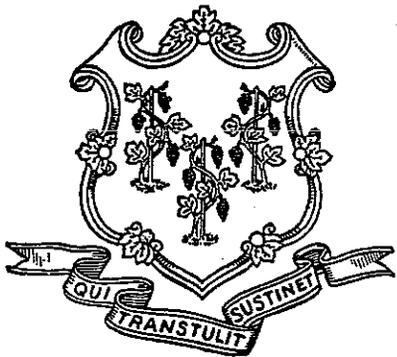


Department of Motor Vehicles Branch Office Operations

Connecticut

General Assembly



LEGISLATIVE
PROGRAM REVIEW
AND
INVESTIGATIONS
COMMITTEE

January 1986

CONNECTICUT GENERAL ASSEMBLY

LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

The Legislative Program Review and Investigations Committee is a joint, bipartisan, statutory committee of the Connecticut General Assembly. It was established in 1972 as the Legislative Program Review Committee to evaluate the efficiency and effectiveness of selected state programs and to recommend improvements where indicated. In 1975 the General Assembly expanded the committee's function to include investigations and changed its name to the Legislative Program Review and Investigations Committee. During the 1977 session, the committee's mandate was again expanded by the Executive Reorganization Act to include "Sunset" performance reviews of nearly 100 agencies, boards, and commissions, commencing on January 1, 1979. Review of the original schedule of sunset entities was completed in 1984. Review of the list will begin again in 1988.

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DEPARTMENT OF MOTOR VEHICLES:

BRANCH OFFICE OPERATIONS

PERFORMANCE AUDIT

LEGISLATIVE PROGRAM REVIEW AND

INVESTIGATIONS COMMITTEE

JANUARY 1986



BRANCH OFFICE OPERATIONS

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BRANCH OFFICE OPERATIONS

SUMMARY

The Legislative Program Review and Investigations Committee conducted a ten-month performance audit of the Department of Motor Vehicles (DMV) that resulted in four separate reports: 1) Agency Management and Central Operations; 2) Branch Office Operations; 3) Title Operations; and 4) Dealers and Repairers. This report contains description, analysis, findings, and recommendations concerning branch office operations. The goal of the performance audit was to improve customer service, simplify procedures, and streamline the registration, titling, and licensing process through automation. The recommendations are intended to make the department more responsive to customer needs through additional staffing, improved planning, and performance monitoring, and better allocation of resources. A number of the recommendations contained in the report on agency management and central office operations affect branch operations. The recommendations made in that report are contained in Appendix A.

As noted above, the Legislative Program Review and Investigations Committee's performance audit of the Department of Motor Vehicles has focused upon customer service, simplifying procedures and streamlining the process through automation. The findings of the committee indicate that the branch offices are unable to provide adequate customer service; waits are generally long and phones are often busy. Branch office personnel cannot adequately serve walk-in customers if they must also answer phones and process mail-in transactions as well as dealer drop-off registrations. Branch office staffing levels are insufficient for performing all of these functions. Furthermore, efficiencies that could be obtained from the centralizing some of these functions are not being realized.

The primary role of the branch offices should be to provide walk-in customer service, not act as decentralized locations for providing phone service and processing dealer drop-off and mailed-in registration renewal transactions. The program review committee found that, given current branch responsibilities, the department was not able to adequately staff the offices to meet the demand for services.

The Legislative Program Review and Investigations Committee sees a need to refocus the primary purpose of the branches to provide improved customer service and not act as decentralized processing centers. The branch offices should be charged with the responsibility of serving walk-in customers only and the department should closely monitor this performance. The following recommendations will achieve the required reorientation of branch operations.

RECOMMENDATIONS

The Legislative Program Review and Investigations Committee recommends that:

1. All services provided at the Department of Motor Vehicles branch offices should be confined to walk-in customers. Transactions mailed to the department should not be sent to the branches for processing; transactions brought to the branches as part of the dealer drop-off program should be transferred to Wethersfield for central processing. This recommendation should be phased in over two years.
2. Within three years, the department should eliminate all direct outside phone lines at the branches. Public information should be provided through a central phone system.
3. Department of Motor Vehicles branch office hours should be extended from the current 39 hours to at least 45 hours a week.
4. The department should hire part-time employees and institute a system of flex-time for employees to increase their ability to staff offices during peak service times and for expanded hours.
5. Point-of-transaction data entry should be phased in in all branches over the next five years. Within two years, the point-of-transaction data entry system should be operating on a pilot project basis in the least busy branch offices. A training program to prepare branch office staff for the point-of-transaction data entry system should be developed and initiated by January 1987.
6. To better disseminate information to the public, the department should:
 - make applications and explanatory forms accessible to the public without waiting in the information line.
 - have recorded messages available through a toll free number 24 hours per day explaining where information concerning registration, title, and licensing requirements may be obtained and Department of Motor Vehicles hours of operation.
7. All branch offices should be monitored based upon a series of performance indicators that include: average waiting times for all lines; productivity and transaction measures; and customer satisfaction measures. The planning and operations research unit should establish such measures. Analysis of performance measures

should be used to reduce customer waiting time, better allocate staff resources, and improve customer satisfaction. Analysis of performance measures should also be used to identify the following:

- staffing levels required to achieve waiting time goals;
- placement of part-time staff to handle peak business times;
- improvements in transaction processing needed to reduce processing times;
- solutions to customer problems in obtaining information; and
- the need for substitute and part-time personnel to cover vacations, sick time and extended leaves.

8. By January 1988, all branch office reporting including accounting reports, personnel reports, and data on transactions, waiting times, and work station usage should be automated.

9. All branch office operations and staff should be managed by the branch manager. It is further recommended that all branch manager positions be classified as management and reviewed under the management incentive plan. The program review committee also recommends that a third regional field supervisor be hired to oversee and monitor branch operations.

10. The department should develop a plan to improve branch facilities including redesigning information signs and office layouts to provide more efficient customer service. In conjunction with the branch office improvement plan, the Department of Administrative Services should conduct a feasibility study to determine if currently leased facilities should be owned and maintained by the state. Both should be completed by January 1987 and include schedules implementing proposals. Both shall also take into consideration the requirements for future automation (i.e., point-of-transaction data entry) such as air conditioning, electricity, etc. at the branch offices.

11. Personnel within the field operations section should be responsible for contract management of all leases and for insuring that the terms of the lease agreements are adhered to, particularly the maintenance clauses for each branch.

12. The branch office vehicle safety inspection program should be further studied by the committee of cognizance to evaluate the

broader policy and social benefit questions of a safety program, methods of upgrading the current program, ways of eliminating its deficiencies, and alternative methods of organizing and carrying out its activities and report back to the legislature by January 15, 1987.

CHAPTER I
INTRODUCTION

Introduction

The Legislative Program Review Committee's performance audit of the Department of Motor Vehicles (DMV) is contained in four separate reports: 1) Agency Management and Central Operations; 2) Branch Office Operations; 3) Title Operations; and 4) Dealers and Repairers. Each report includes an introduction, description and analysis, and findings and recommendations.

The goal of the ten-month performance audit of the department is to improve customer service, simplify procedures and streamline the process through automation. The recommendations are intended to make the department more responsive to customer needs through additional staffing, improved planning and performance monitoring and better allocation of resources. The performance audit also attempts to identify the adequacy of staff and budget resources. A number of the recommendations contained in the report on Agency Management and Central Operations affect branch operations. The recommendations made in that report are contained in Appendix A. Some of the recommendations require additional resources or staff, while others can be achieved through the reallocation of the department's resources. A fiscal statement outlining the cost for all recommendations is contained in Appendix B.

Research Methodology

The Legislative Program Review and Investigations Committee has reviewed the operations of all 16 Department of Motor Vehicles branch offices to assess their performance. To conduct this review, numerous sources were used, including department documents, data on branch transactions and staff hours, customer waiting times, interviews with department staff, and observations of branch office operations systematically collected by program review staff. Among the department materials reviewed were monthly and annual Issues and Receipts statements, the Policy and Procedures Manual for Inspections, the Branch Office Managers Guide, and budget documents.

The Department of Motor Vehicles has been collecting three waiting times per day at each of its branches for over a year. However, the department has not allocated computer resources to analyze the data. Program review staff obtained the raw data from DMV, entered it into a computer, and analyzed it.

In assessing the actual resources available to each branch office, program review staff examined the attendance records of

field operations personnel for state FY 85. All sick, vacation, and other leave time was subtracted from the total potential work hours to compute the hours actually worked. This information, along with the waiting times, and other factors such as branch staffing, and registration, title, and operator license transactions, constitute a data base of monthly statistics for each branch for state fiscal year 1985.

The program review staff visited each of the 16 branches at least once during a one-month period. At each office, program review staff interviewed the branch manager to gather standard information on each branch. This was compiled on a branch office profile sheet. (See Appendix C.)

A work study sample also was gathered at 14 branches. (Enfield and Wethersfield were used as pre-test sites.) A standard form developed by program review staff was used to assemble information on branch office transactions. (See Appendix D.) Every 10 minutes, registration examiners working at the counters were observed, and their work was categorized according to the type of transaction being completed.

While conducting the work sample, program review staff also collected 272 observations on the time it takes to complete a transaction in a registration line. In addition, 130 independent waiting time observations were gathered to verify the department-collected times for corresponding dates and branches.

The Legislative Program Review and Investigations Committee staff contacted a number of other states to obtain information on the operations of their motor vehicle departments. Staff visited Rhode Island to inspect its computerized processing of branch office transactions.

The committee also conducted five public hearings, two in Hartford, and one each in New Haven, Waterbury, and Stamford. All hearings dealt with the operations of the Department of Motor Vehicles.

CHAPTER II

DESCRIPTION AND ANALYSIS

The Department of Motor Vehicles operates 16 full-service branches and 4 sub-offices located throughout Connecticut. The primary purpose of each branch office is to provide customer service in five major areas: 1) issuing new, renewal, and duplicate photo licenses; 2) issuing new, renewal, temporary, and duplicate vehicle registrations; 3) taking applications for new and duplicate certificates of title; 4) examining applicants for operator licenses; and 5) inspecting motor vehicles. Registration examiners and clerks handle the photo licensing, registration, and title functions. Examining new drivers and inspecting vehicles are the responsibilities of the separate examination and inspection staff.

Branches serve the public from 8:30 a.m. to 4:30 p.m. on Tuesday, Wednesday, and Friday; from 8:30 a.m. to 7:30 p.m. on Thursday; and from 8:30 a.m. to 12:30 p.m. on Saturday. The branches are open for a total of 39 hours a week.

Organizational Structure

The department classifies 2 branches--Bridgeport and Hamden--as large, 4--New Britain, Waterbury, Stamford and Wethersfield--as medium-sized and the remaining 10 as small. Workload and staffing statistics for each branch are presented in Table II-1.

Table II-1 presents the 16 branches arranged according to total average registration and photo licensing transactions processed per month at the offices during fiscal year 1985. In terms of total transactions, the average volume of business handled per month was highest in the Bridgeport and Hamden offices and lowest in the New London and Old Saybrook offices. However, when mail transactions sent from the Wethersfield central office to the branches for processing are separated from total transactions, the Putnam office, with 6,542 net transactions, had the lowest average monthly volume of business.

The average number of filled, full-time registry and photo licensing staff positions in the branches ranged from 29 in Hamden to 9 in Putnam during FY 85, excluding maintainer and storekeeper personnel. Enfield, Stamford, and Norwalk represent middle-sized branches with staff ranging from 13 to 16 persons who process between 12,000 and 14,000 net transactions a month.

Table II-1. Average Monthly Branch Workload and Staffing:
FY 85 (ranked by total transactions).

BRANCH	TOTAL TRANSACTIONS	NET TRANSACTIONS*	ACTUAL REG. STAFF**	EXAM/INSPECT STAFF**
BRIDGEPORT	28,722	27,668	28	9
HAMDEN	28,305	27,387	29	7
WETHERSFIELD	26,375	26,375	19	15
NEW BRITAIN	21,030	20,757	20	4
WATERBURY	19,081	18,722	17	4
DANBURY	16,056	14,383	17	5
ENFIELD	14,318	14,182	16	5
STAMFORD	13,267	13,267	13	5
NORWALK	12,257	12,257	13	4
NORTHWESTERN	12,160	10,014	10	3
WILLIMANTIC	11,934	8,943	9	3
NORWICH	11,582	9,760	10	3
MIDDLETOWN	11,154	10,145	12	3
PUTNAM	10,747	6,542	9	1
NEW LONDON	10,123	9,078	10	4
OLD SAYBROOK	9,698	8,057	9	3

* Excludes mail-in transactions shipped from Wethersfield central office to the branches for processing.

** Filled field operations section positions, excluding maintainers and storekeepers; filled examination and inspection section positions.

Staff time and transactions processed at suboffices are included within the appropriate "parent office" statistics presented in Table II-1. Suboffices generally are operated on a part-time basis by the staff of the regular branches. Only the Milford suboffice, with staff permanently assigned from the Bridgeport and Hamden offices, is open the regular department hours. However, its business is limited to issuing drivers licenses, registration renewals, and toll plates. The Ansonia, Bristol, and Meriden suboffices, staffed respectively by the Hamden, New Britain, and Waterbury branches, are only open one to two days per week but are full-service offices. In accordance with the 1985 appropriations act, the Ansonia suboffice is scheduled to become a regular branch in April 1986.

Each motor vehicle branch office is managed by two separate organizational divisions within the department. Field operations, a section of the Registry and Title Division, is responsible for overseeing all aspects of the branch offices with the exception of the Driver Licensing Division's examination and inspection personnel. The registration and photo licensing personnel are under the supervision of the branch manager who reports to one of two field supervisors who in turn report to the operations assistant division chief.

The examination and inspection assistant division chief of the Driver Licensing Division is responsible for supervising the inspectors who conduct driver license tests and motor vehicle inspections at the branches. Each branch has a sergeant, who supervises the inspectors at that branch and reports to the head of the Driver Licensing Division.

Only a branch manager III position, which oversees a large office, is designated as a managerial position. All other branch manager and sergeant positions, like most permanent, full-time department personnel, are covered by union contracts.

The department has recently realigned some of the duties in the branches. Driver license appointments, applications and payment for exams, which were handled by the inspectors, are now the responsibility of the registration examiners. In addition, the examiners process all motorcycle permit applications and answer phone calls coming into the branches for the inspectors. However, if customers are waiting in long lines in the registration area while no customers require assistance in the inspection area, the branch manager does not have the authority to reassign inspectors to assist with registration or photo licensing duties.

Major Branch Functions

The performance audit focuses upon the major branch functions and the branches' ability to carry them out. The following sections describe and analyze each of these functions. In addition to the primary customer service functions mentioned earlier, the branches also serve as information centers for walk-in customers, documents processing units for automobile dealer registration drop-off transactions, phone centers for customers calling for information, mail processing units for registration renewals sent to the central office in Wethersfield and then transferred to the branches.

Photo license process. Each branch and sub-branch is involved in processing new and renewal operator licenses. Individuals must appear at a branch office so that a photograph can be taken and a license issued. Most renewals are prompted by DMV

notices to drivers indicating the dates their licenses are scheduled to expire. The renewal notice includes the document used to generate the new license.

If a person comes into an office without the renewal notice, then a document must be generated by a DMV employee. The employee will retrieve the person's record by using a computer terminal, which also shows if a license is currently under suspension. If the customer's record is clear, the computer prints out the document needed to produce the photo license. An updated version of the document can be produced by the computer if a change, such as a different name or address, is needed on the license.

In each branch, the photo licensing function is handled in a separate area of the office. Depending on the volume of transactions, there are between one and three branch employees working at the photo license counter. In most branches, one or two computer terminals and one or two cameras are operating during the work day. A sitting area is provided for customers waiting for their photo licenses to be developed. Based on program review staff observations, the photo license process takes approximately 10 to 12 minutes to complete, not including customer waiting time.

Registration and title process. In each branch, the majority of transactions processed are related to the registration of an automobile. For FY 85, 58 percent of all branch transactions were either new, renewed, or transferred registrations. New registrations, which require the most time in terms of processing, accounted for 19 percent of all transactions and 34 percent of registration transactions.

If a registration transaction involves a change in vehicle ownership, a title application will be taken at the same time. In fact, the department uses a combined application form for registrations and titles. However, while registration transactions are completed at the branch offices, title applications must be forwarded to the central office for complete processing.

To register an automobile initially, a customer must present the following: 1) an application for registration; 2) a certificate of title (signed over to the new owner) or a manufacturer's certificate of origin, if the vehicle is new; 3) a bill of sale; and 4) a current no-fault insurance card. If the car is 10 years old or older, proof that it passed a safety inspection is also required.

Additional information required for an automobile currently registered in another state is the out-of-state registration document, a ticket showing that the vehicle passed a safety inspection, and proof of an emissions inspection. Under some circumstances, a customer may need to provide a release from a lien-

holder, a restoration notice if registration privileges had been suspended, or a receipt showing that local motor vehicle property taxes had been paid to the town in which they were owed.

The materials provided by the customer are reviewed by a registration examiner for accuracy and completeness. The examiner checks for proof of ownership and insurance, proper signatures, correct vehicle identification number, and other vehicle information. The registration examiner also calculates the fees and sales tax owed, figures the expiration date, and includes this information on the application form.

After examining the customer's papers, the employee then consults a computer print-out containing a list of currently suspended registrations as well as a microfiche list of delinquent motor vehicle property taxpayers. If necessary, the registration examiner can retrieve an individual's current registration record from the department's computerized master file via a terminal at the branch office. A registration examiner must contact the local tax office for verification if a customer who appears on the delinquent property tax list claims that the taxes have been paid.

Once all paperwork is reviewed and verified, the examiner collects the fee and validates the registration form. The customer is given a copy of the validated registration form, a license plate, dated stickers, and, if necessary, a temporary emissions sticker.

Since 1983, registration and title transactions have been handled through the "one-stop" system. Under this system, customers enter one line and have their business completed by a single registration examiner at the branch office counter. However, a customer would still have to go to separate lines and work stations for information as well as photo license, license application, or vehicle inspection services. In addition, lines restricted to simple registration renewal transactions are also established periodically within the one-stop area.

Operator license examination process. Operator license examinations are conducted at each branch office and suboffice by motor vehicle inspectors. In Connecticut, first-time driver license applicants are required to take and pass a three part--eye, written, and road--examination. Some or all parts of the examination may be waived, at an inspector's discretion, for applicants already licensed in another state.

Upon passing the examination, customers must obtain a license from the photo licensing station. Information on the pass rates as well as the number of examinations given at each branch office is presented in Table II-2. As the table shows, the Wethersfield office conducted the most licensing exams, 19,991, in

calendar 1984, while the least number of examinations, 758, were conducted at the Ansonia suboffice. The Wethersfield branch also had the lowest pass rate, 77.7 percent, while the highest pass rate, 95.2 percent, occurred at the Northwestern office.

Table II-2. Operator License Examination Statistics by Branch Office, January-December 1984.

<u>Branch</u>	<u>No. Exams</u>	<u>Rank</u>	<u>No. Passed</u>	<u>Pass Rate (%)</u>	<u>Rank</u>	<u>No. Rejected</u>
Ansonia*	758	20	695	91.7	4	63
Bridgeport	12,310	4	10,735	87.2	10	1,575
Danbury	10,722	5	9,382	87.5	9	1,340
Hamden	13,846	2	11,873	85.8	15	1,973
Milford*	3,372	16	3,158	93.7	2	1,214
Northwestern	5,938	11	5,651	95.2	1	287
Norwalk	8,609	6	7,631	88.6	7	978
Stamford	12,593	3	10,892	86.5	12	1,701
Waterbury	7,617	7	6,206	81.5	19	1,411
Bristol*	992	19	902	90.9	5	90
Enfield	6,967	9	5,860	84.1	17	1,107
Meriden*	1,519	18	1,309	86.2	13	210
Middletown	5,129	12	4,459	86.9	11	670
New Britain	7,226	8	6,082	84.2	16	1,144
New London	5,096	13	4,621	90.7	6	475
Norwich	5,957	10	5,481	92.0	3	476
Old Saybrook	4,559	15	4,016	88.1	8	543
Putnam	2,240	17	1,875	83.7	18	365
Wethersfield	19,991	1	15,443	77.3	20	4,548
Willimantic	4,858	14	4,176	86.0	14	682
TOTAL/AVERAGE	140,299	-	119,447	85.2	-	20,852

* = Sub-office

Source: Department of Motor Vehicles.

Other major functions. All branches are involved in work that is not directly related to walk-in customers. That work includes answering phone calls from the public, processing registration renewals that are mailed to Wethersfield and then shipped to the branch, and processing new registrations dropped off by automobile dealers. Each of these functions consumes a portion of the branches' resources.

Most offices have at least three phone lines that are used for outgoing and incoming calls. The phone system in the branches serves a dual function. In most branches, the phone lines are used by the public to obtain both general information, such as the hours the office is open, and information on a specific customer problem. The phones are also used by the employees to gather information, such as the verification of property tax payments or title data.

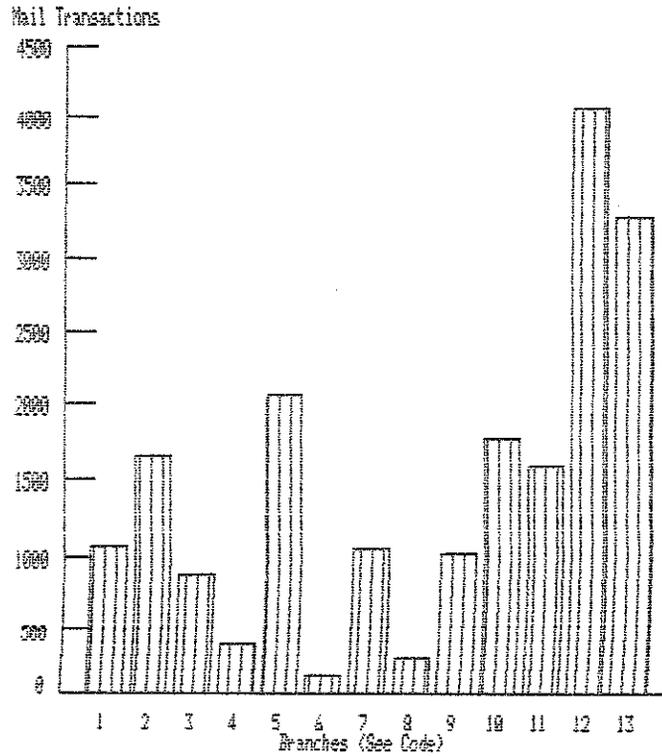
Branches with enough personnel may assign a person to answer the phones, which usually involves scheduling driver license exams as well providing general information, on a full-time basis. In many of the branches, the manager, assistant manager, office supervisor, clerk, or bookkeeper may also answer the phone depending upon the volume of calls.

When phone lines are busy in three branches, Danbury, Norwalk and Stamford, calls are electronically forwarded ("rolled over") to the central office in Wethersfield. Based on program review staff observations, branches without the rollover line to the central office often had to let the phone ring beyond the three rings the department has stated as its goal in the Branch Office Managers Guide (1983).

Each branch, with the exception of Norwalk, Stamford, and Wethersfield, receives registration renewals that have been mailed to Wethersfield. Wethersfield ships the transactions to each branch to be processed and mailed back to the registrant.

During FY 85, the branches processed approximately 230,050 out of 672,000 total mail transactions completed by the department. Figure II-1 shows the average number of monthly mail transactions handled by each branch. The chart indicates a wide range in the number of mail transactions processed by each branch.

Figure II-1. Mail Processing by Branch: FY 85 Monthly Averages.



Branch Code:
 1=Bridgeport
 2=Danbury
 3=Hamden
 4=Waterbury

5=Northwestern
 6=Enfield
 7=Middletown
 8=New Britain

9=New London
 10=Old Saybrook
 11=Norwich
 12=Putnam
 13=Willimantic

Source: Department of Motor Vehicles.

Inspection process. Branch office motor vehicle inspectors conduct the safety inspections required for registering motor vehicles that are 10 years old or were previously registered in another state. Safety inspections are done at all of the 16 branch offices and the Ansonia sub-branch. Table II-3 details the number of inspections that are conducted at the branches as well as the pass rate for each branch.

During calendar year 1984, the New Britain branch office conducted the most inspections, 33,003 while Putnam at 10,933 did the fewest. New Britain, however, had the lowest pass rate, 54 percent, while the highest pass rate, 85.5 percent, was in the Norwalk branch office.

Table II-3. Inspection Statistics by Branch Office, January-December 1984.

<u>Branch</u>	<u>No. Vehicles Inspected</u>	<u>Rank</u>	<u>No. Passed</u>	<u>Pass Rate (%)</u>	<u>Rank</u>	<u>No. Rejected</u>
Bridgeport	30,853	2	23,500	76.2	4	7,353
Danbury	20,366	10	14,971	73.5	8	5,395
Enfield	28,425	4	16,161	56.9	16	12,264
Hamden	29,391	3	21,721	73.9	6	7,670
Middletown	18,004	12	14,111	78.4	2	3,893
New Britain	33,003	1	17,816	54.0	17	15,187
New London	14,097	14	11,042	78.3	3	3,055
Northwestern	15,204	13	11,353	74.7	5	3,851
Norwalk	23,768	6	20,326	85.5	1	3,442
Norwich	20,691	9	14,280	69.0	12	6,411
Old Saybrook	12,281	15	8,738	71.2	10	3,543
Putnam	10,933	16	6,691	61.2	15	4,242
Stamford	20,722	8	15,236	73.5	8	5,486
Waterbury	21,820	7	15,530	71.2	10	6,290
Wethersfield	27,962	5	17,131	61.3	14	10,831
Willimantic	18,912	11	11,643	61.6	13	7,269
Ansonia Sub	3,589	17	2,644	73.7	7	945
Total	350,021	-	242,894	69.4	-	107,127

Source: Department of Motor Vehicles.

Statutory authority to conduct inspections is granted to the commissioner of motor vehicles in sections 14-12, 14-16a, and 14-103 and of the Connecticut General Statutes. State regulations outline further some of the safety requirements for motor vehicles. There is also a Manual of Policy and Procedure for All Types of Vehicle Inspection, revised in 1973, which offers guidelines to DMV personnel concerning inspections.

A vehicle may be brought to any one of the 17 inspection stations; no appointment is necessary. Eleven stations have outdoor lanes, and six have covered lanes.

Before certain cars can be registered an inspection report ticket must be purchased from an inspector in the branch office. The customer then takes the vehicle to the inspection lane to be checked. The 19 items listed on the inspection ticket include: horn, mirrors, wipers, windshield, tires, license plate, tail lights, stop lights, parking lights, miscellaneous lights, direction signals, reflector, steering operation, steering alignment, head lights, service brake, hand brake, muffler, and wiring.

During the inspection, the vehicle identification number is checked in several places on the vehicle to see that it matches the number found on the title. This part of the inspection is aimed at finding stolen vehicles. The odometer reading is also noted as part of an effort to enforce odometer-tampering laws.

If a vehicle passes the inspection, the inspection report ticket is appropriately marked and given to the customer. If a vehicle fails, the reason or reasons for rejection are stated on the inspection report ticket. According to statistics provided by the department, the number of vehicles that failed inspections during calendar year 1984 and the following reasons were:

Brakes -----	25,813	vehicles	rejected
Lights -----	55,876	"	"
Wheel Alignment -----	13,283	"	"
Steering Operation -	14,453	"	"
Miscellaneous -----	47,307	"	"

The equipment used to check vehicles varies from branch to branch. Only six offices -- Danbury, Hamden, Northwestern, Middletown, Stamford, and Wethersfield -- have covered inspection areas. The branches with covered inspection stations also have machines for checking vehicle alignment and brakes.

Whether a piece of equipment on a motor vehicle will pass usually depends upon its ability to operate correctly. In the case of horns or directional signals, whether or not they are operable is the standard for passing. A similar standard exists for mirrors or wipers. Tires have a clear standard that is set forth in regulation; they must have at least one-sixteenth of an inch of tread depth at two points near the center of the tire. Inspectors, therefore, use a gauge to check tire depth.

There is greater discretion in determining the acceptable condition of brakes, mufflers, windshields, and head lights. Head lights, for example, are inspected first to see if they are operating and next to see if they are aimed properly. State statutes detail the type of lights required and the distance the lights should cover, but there are no criteria for aiming the lights in statute or by regulation. Standards for aiming lights when testing equipment is used are identified in the department's inspec-

tion manual. However, no such equipment is available in any of the branches. In the absence of any equipment for testing lights, they are checked at a branch by shining them at a wall or door to ascertain if they are aimed "properly" in the inspector's judgment.

The regulations concerning service brakes require that passenger vehicles stop within 24 feet after applying the brakes at 20 miles per hour. While this is the regulatory standard, space constraints at the branches prohibit its use. A standard also exists in the regulations for parking brakes. For instance, the brake for a 10,000 pound vehicle manufactured before January 1, 1976, should be capable of holding the vehicle on a 20 percent grade. No such grade is used to test any vehicles at any of the branches. Instead, the inspection policy manual states the following as the standard to be used by the inspectors: "If, when [the brake is] applied, [it] does not hold [the] vehicle stationary as [the] vehicle is put into slight forward motion, then the vehicle is rejected."

As indicated in Table II-3, there is a wide range of pass rates found at branch offices. This range is due to several factors. First, vehicles coming into each inspection station may differ by age and condition. Some stations may be inspecting a greater number of newer vehicles that are coming in from out-of-state and experiencing higher pass rates. However, the department does not collect information on the types of cars that fail, which would be needed to determine if stations are inspecting vehicles with different average ages.

A more probable cause for the wide range in inspection rates is the lack of regulations governing the program, the variations in equipment available to inspect vehicles, and the lack of a formalized program for training new inspection personnel and continuing training for current employees.

Branch Facilities

Thirteen of the sixteen branch offices are leased by the state from private individuals. Only the Wethersfield, Norwich, and New Britain facilities are owned by the state. Branches are located in a variety of places: in shopping centers; on streets with commercial businesses; and in a rural setting close to an urban center.

The Legislative Program Review and Investigations Committee staff, during visits to each branch office, assessed the office's location and appearance. Each facility was rated as either good, adequate, or poor in several categories in the judgment of the staff. The categories included parking, interior paint, cleanliness, general physical appearance, customer space, employee space,

and the inspection lane. The ratings were based upon comparisons with the conditions of a similar retail establishment serving the public. The staff ratings are presented in Table II-4.

Table II-4. Program Review Staff Ratings of Branch Facilities.

<u>Branch</u>	<u>Parking</u>	<u>Interior Paint</u>	<u>General Appearance</u>	<u>Space</u>		<u>Inspec. Lane</u>
				<u>Customer</u>	<u>Employee</u>	
Bridgeport	A	A	P	P	A	UNC
Danbury	G	G	G	P	P	COV
Hamden	P	A	A	A	A	COV
Norwalk	P	P	P	P	P	UNC
Stamford	A	P	P	P	P	COV
Waterbury	P	A	A	P	P	UNC
Northwestern	G	G	G	G	G	COV
Enfield	G	P	P	P	G	UNC
Middletown	G	A	A	G	A	COV
New Britain	G	A	A	A	G	UNC
New London	P	P	P	G	P	UNC
Norwich	G	A	A	A	P	UNC
Old Saybrook	A	A	P	P	P	UNC
Putnam	G	G	G	G	G	UNC
Wethersfield	A	P	P	P	A	COV
Willimantic	A	P	P	P	A	UNC

KEY: G=Good A=Adequate P=Poor UNC=Uncoverd COV=Covered

The staff ratings from Table II-4 are compiled to give the following breakdown:

<u>Category</u>	<u>Good</u>	<u>Adequate</u>	<u>Poor</u>
Parking	8	4	4
Interior Paint	3	8	5
General Appearance	3	4	9
Customer Space	4	4	8
Employee Space	4	5	7

The ratings indicate that the majority of branches have good or adequate parking, but are lacking in general appearance and space. These factors affect customer service. For example, the lack of customer space in some of the branches results in customers having to wait outside at very busy times. The absence of covered inspection lanes results in the suspension of inspection activities during inclement weather.

Since most of the offices are leased, the responsibility for maintenance is dictated by the lease agreement. The department is responsible for insuring that the terms of the lease are met. If a lessor does not meet the lease requirements, the department can request assistance from the Department of Administrative Services, and ultimately have recourse to the courts through the attorney general's office.

Despite differences in physical plant and staffing levels, all branches are similar in some ways. All branches have separate areas for inspection personnel and registry/photo licensing staff. A typical branch has five to six work stations for processing registrations and one to two stations for processing photo licenses. Most branches have at least one information station. Generally, there are three to five inspectors giving driver tests and inspecting vehicles. All branches have several machines for driver licensing tests, but only the Wethersfield branch has more than one inspection lane.

Upon entering a Department of Motor Vehicles office, the customer is confronted with signs that indicate what is handled at each station. The signs, such as "forms review payments," "information", or "photo licensing," are intended to guide an individual to the correct work station. Occasionally, hand-written signs are put up to show that the station is being used for a specific function, such as "registration renewals only" or "dealer work."

Each branch has a minimum of one terminal connected to the department's central computer and two microfiche readers for property tax records. Each station has a cash register, which validates, numbers, and dates transactions, and its own supply of forms and plates necessary to process the transactions received. In the photo license area, there is at least one terminal used to retrieve individual records and one printer to produce a license form.

Branch Resources

The estimated cost to provide customer service at all 16 branches and 4 suboffices for FY 85 was \$8,224,839. This figure includes salaries for registration, licensing, and inspection personnel in all offices as well as rent, utilities, contract costs, and miscellaneous items. These expenses do not include computer costs incurred by the branches. A detailed breakdown of the branch costs is contained in Table II-5.

Table II-5. Branch Operation Costs: Estimated FY 85.

<u>Category</u>	<u>Cost</u>
<u>Personnel</u>	
Registration/Photo License	\$4,795,788
Inspection	1,514,787
Total	<u>6,310,575</u>
<u>Rent</u>	678,764
<u>Other Expenses</u>	
Heat	32,204
Service Contracts	190,000
Photo License Contract	366,400
Utilities	240,870
Misc. (Postage, Telephone, etc.)	406,026
Total	<u>1,235,500</u>
GRAND TOTAL	\$8,224,839

Source: Department of Motor Vehicles Budget FY 85.

As noted in Table II-5, personnel costs account for the largest portion of branch operation expenses, 77 percent. Of the total personnel costs, 24 percent is for inspection personnel, and 76 percent is for registration and photo licensing personnel. Rental fees for 15 offices represent 8.2 percent of the total branch costs. Five offices are either owned by the state or located in municipally owned buildings.

The cost to run an individual branch ranges from a high of \$936,249 for Hamden to a low of \$271,836 for Putnam. These costs do not include equipment, such as computer terminals and office furniture, needed to set up an office initially. Table II-6 illustrates the differences in cost per branch. It also includes the cost per square foot for rented space and the number of total employees per branch.

Table II-6. Branch Operations: Cost and Staff.

<u>Branch</u>	<u>Total Costs</u>	<u>Rent Per Square Foot</u>	<u>Total Staff</u>
Hamden	\$936,249	\$4.67	34
Bridgeport	834,439	6.00	37
Wethersfield	803,888	Owned	34
Stamford	617,550	14.00	18
Waterbury	616,964	5.50	21
New Britain	592,126	Owned	24
Danbury	509,783	3.90	22
Enfield	493,416	3.00	21
Norwalk	431,700	15.00	17
New London	398,309	6.50	14
Middletown	369,714	4.20	15
Willimantic	340,440	4.80	12
Northwestern	333,248	4.90	13
Old Saybrook	319,257	6.50	14
Norwich	283,417	Owned	13
Putnam	271,836	\$5.65	10

Program review staff compared the total costs for each branch with its total transactions and net transactions (total transactions minus mail transactions) presented earlier in Table II-1. This comparison shows a strong relationship between the amount of money spent to operate a branch and the transactions conducted at the branch. For total transactions, the correlation coefficient is .93, while a correlation of costs per branch to net transactions resulted in an coefficient of .95. As expected, this means that 90 percent of the variation in costs can be explained by increases or decreases in net issues, when these two variables are compared.

While other elements not related to the number of transactions also contribute to increases in branch costs, such as rent, staff size is the greatest influencing factor. As noted earlier, staff represents 76 percent of the branch costs.

Further analysis indicates that the department appears to be allocating its resources based upon the number of transactions done in each branch. However, a more refined measure of workload is required to adequately assess branch resources. In order to analyze each branch's workload, committee staff compiled the actual monthly personnel hours available to each branch. To compute this, the total number of work hours in a month was multiplied by

the number of filled full-time positions for the month. Sicktime, leaves, and vacation times were then subtracted to arrive at actual work hours for the branch. Added to this net figure are part-time hours and hours of new employees who do not appear on the monthly employees' list because they started work after the beginning of the month. The resulting number states the actual work hours available to each branch.

Using actual work hours, a transaction per employee work hour was computed for all branches. Table II-7 lists the transaction ratios per employee work hour for each branch in terms of total transactions and net transactions. The table also includes a workload ratio that weights each type of activity according to the average time it takes to process that transaction by DMV employees. The weights for each type of activity, which include from 30 to 60 seconds between transactions, are as follows:

- 8 - minutes for a new registration;
- 3 - minutes for a registration renewal;
- 6 - minutes for a photo license renewal; and
- 3.5 - minutes for transactions listed in the other registration categories.

Table II-7. Transactions Per Employee Work Hours and Workload Ratio.

<u>Branch</u>	<u>Net Transactions Ratio</u>	<u>Total Transactions Ratio</u>	<u>Weighted Workload Ratio</u>
Putnam	5.86	9.62	0.63
Danbury	6.45	7.20	0.53
New London	6.48	7.22	0.53
Old Saybrook	6.74	8.11	0.59
Middletown	6.76	7.44	0.54
Willimantic	6.79	9.07	0.64
Enfield	6.92	6.99	0.53
Norwalk	7.09	7.09	0.56
Hamden	7.24	7.48	0.57
Stamford	7.34	7.34	0.58
Bridgeport	7.45	7.73	0.59
Norwich	7.46	8.85	0.63
Northwestern	7.55	9.17	0.66
Waterbury	7.86	8.02	0.60
New Britain	7.93	8.04	0.61
Wethersfield	9.63	9.66	0.74

Both the net and total transaction ratios are computed by dividing the number of transactions by the actual work hours available in each branch. The weighted workload ratio is computed by dividing all weighted transactions by net work hours. Net work hours are actual work hours minus time taken for breaks.

As Table II-7 illustrates, the span of net transactions per work hour ranges from 5.8 in Putnam to 9.6 in Wethersfield. When mail transactions are included, the range goes from 6.9 in Enfield to 9.6 in Wethersfield. While the differences among the ratios do not appear to be large, the magnitude of the differences are significant when multiplied by the number of work hours available to a branch in a year.

For instance, Wethersfield had approximately 32,700 work hours available in FY 85. Multiplying the ratio times the work hours means the branch was able to process 315,882 transactions. Enfield had a ratio of 6.9, which means that each branch employee completed 6.9 transactions per hour. Given Enfield's actual work hours of 24,500, employees there were able to process 167,050 transactions in a year. However, if Enfield's transaction ratio had been 7.5, they would have been able to process 183,750 transactions. Similarly, by raising the ratio from 7.2 to 8.2 in Danbury would mean that they would be able to process an additional 26,756 documents per year.

The differences in the transaction ratio can be interpreted in several ways. A branch with a low transaction ratio may have more work hours available per transaction than a branch with a higher transaction ratio. However, a branch with a high transaction ratio may have longer waiting times than a branch with a lower ratio. One branch may also be able to process more transactions per hour than another because it has more experienced and better trained employees. As the previous branch examples point out, when the ratios are translated into total transactions completed per year, the differences in a branches ability to process transactions became more dramatic. Further work needs to be done to determine the reasons for the variations.

The weighted workload ratio also shows variation. This ratio converts transactions into minutes needed to process a branch's transactions and divides it by the actual hours, converted to minutes and excluding breaks, available to the branch. Variation in this ratio means that given a branch's resources, some branches are able to more effeciently process transactions than others.

An additional resource not accounted for in the work hour data is overtime. The department does not compile overtime statistics for analysis purposes, but records it for pay purposes only. Program review staff estimated overtime for each branch from the FY 85 payroll records. When these overtime figures were

added to net hours, the transaction ratios were raised but the magnitude of differences among branches did not change significantly.

Overtime does vary from branch to branch, however. Table II-8 lists estimates of overtime hours, total hours actually worked, and the percentage of the total hours attributable to overtime.

Table II-8. DMV Overtime Hours, Total Hours Worked, and Overtime as a Percent of Total Hours (Estimated).

<u>Branch</u>	<u>Overtime Hours</u>	<u>Total Hours</u>	<u>Percent</u>
Wethersfield	4,481	37,230	12.0
Bridgeport	2,593	47,125	5.5
Danbury	1,736	28,493	6.1
Middletown	1,255	19,238	6.5
New Britain	1,450	32,824	4.4
Hamden	2,418	47,797	5.1
New London	1,614	18,420	8.8
Norwalk	2,521	23,300	10.8
Norwich	1,015	16,708	6.1
Stamford	1,983	23,670	8.4
Northwestern	1,462	17,358	8.4
Waterbury	3,165	31,714	10.0
Willimantic	1,204	29,753	4.0
Putnam	753	14,146	5.3
Enfield	863	25,434	3.4
Old Saybrook	1,507	15,846	9.5

Wethersfield had the greatest amount of overtime, both in absolute hours and as a percentage of total hours, 4,481 and 12 percent respectively. This may be the reason Wethersfield workload ratios are higher than the other branches. Norwalk and Waterbury had the next highest percentage at 10.8 percent and 10 percent. Enfield had the lowest percentages of overtime at 3.4 while Putnam had the lowest number of overtime hours worked at 753.

In order to better assess the workload requirements of a branch office, data on transactions and available resource need to be gathered that more accurately reflect day-to-day operations. The data also need to be more precise so that transactions may be weighted based upon processing time. For instance, there need to be better measures of the number registration renewals and new registration and their processing times at each branch if comparisons are to be made with such factors as average customer waiting time and

personnel resources available. Such comparisons would reveal the impact a change in one factor, say personnel, would have on another, such as waiting times.

Work sample study. A work sample study conducted by the Legislative Program Review and Investigations Committee indicated that registration stations open to serve the public were inactive nearly 25 percent of the time. The study analyzed registration activities by the type of document processed or the function performed, and showed "no activity" was the second most common observation at registration stations. The study was used to estimate how long it takes to process documents and the amount of staff time used to man the registration stations.

During visits to the branch offices, program review staff measured customer transaction times. Each transaction was categorized as either a registration renewal, new registration, or other registration, and was timed from the customer's arrival at the counter until the transaction was completed. According to the sample, the most time consuming transaction is a new registration application, requiring an average of 6.5 minutes to process. Registration renewals require only 1.8 minutes on average while other miscellaneous transactions take about 2.6 minutes to process. When all transaction times were averaged, a typical DMV transaction was found to take about six minutes.

When the time spent to process different types of documents was analyzed, program review staff found that the largest portion of time, almost 60 percent, was spent in processing new registration applications. (See Table II-9). Approximately 7 percent of station activities involved processing registration renewals, while other documents were processed about 10 percent of the time.

Table II-9. Registration Station Observations Analyzed By Type of Transaction.

<u>Transaction</u>	<u>Percentage of Time</u>
New Registration	58.2
Registration Renewal	6.8
Other	10.3
No Activity	24.7

Source: Legislative Program Review Staff Observations.

An analysis of registration station activity by the type of function performed shows that examining documents consumes almost 30

percent of registration examiners' time. (See Table II-10). Explaining DMV procedures to customers required 12 percent of the examiners' time and collecting fees took approximately 9 percent of the registration examiners' time. Doing research and checking for overdue property tax/suspended registrations required approximately 8 percent and 6 percent, respectively, of the examiners' time.

Table II-10. Registration Station Observations Analyzed by Function Performed.

<u>Function</u>	<u>Percentage of Time</u>
Examining Documents	29.8
Checking Property Tax/ Suspended Registrations	5.7
Doing Research	7.7
Explanations to Customers	12.0
Collecting Fees	9.1
Other	10.9
No Activity	24.7

Source: Legislative Program Review Staff Observations.

The activities at registration stations were also analyzed to determine how branch staff time is used. Program review staff determined which registration stations would be open to serve customers for the entire day, and then recorded the type of activity occurring at those stations every 10 minutes. A total of 2,218 observations were collected and categorized both in terms of the type of document processed (i.e., registration renewal, new registration, and other), and the function being performed by the registration examiner (i.e., examining a document, checking for suspended registration or overdue property tax, doing research, explaining DMV requirements to customers, and collecting fees). Whenever an open registration station was not serving a customer, either because the examiner was on break or there were no customers waiting to be served, a designation of "no activity" was used.

It was noted that open registration stations were inactive nearly 25 percent of the time. Whether registration activities are analyzed by the type of document processed or the function performed, "no activity" was the second most common observation at registration stations.

However, the study results understated the total number of registration stations that were not open to serve customers waiting in line. Program review staff observed a total of 93 stations

available to process registration transactions. Of that total, 23 registers, or approximately 24.7 percent of all stations, were closed to waiting customers. By combining the inactivity at open registers with the number of stations not used at all, a total of 40 registers, or 43 percent of all stations, were closed to customers waiting in line at the branch offices.

Branch waiting times. The last factor to be considered in assessing branch operations and service is the length of customer waiting time in the various lines at each office. Each branch generally has four types of lines: 1) an information line; 2) a registration line; 3) a vehicle inspection line; and 4) a photo license line. The department has collected waiting times at the 16 branches and the Milford sub-branch since July 1984 for both the information and registration lines. Waiting times for the photo license area have been collected since March 1985. Waiting times do not include the time it takes to process a transaction, only the time it takes to reach the counter. The department does not systematically collect waiting times for the vehicle inspection lines.

Legislative Program Review and Investigations Committee staff obtained the FY 85 waiting time data that the department had collected and the information was computerized for analysis. The data allowed staff to examine waiting times by branch, month, day of the week, and time of day.

Table II-11 ranks each branch according to its average yearly combined waiting times, a figure that includes the time spent waiting in both the information line and the registration line. Also included in the table is the statewide average waiting time for each measure. The state averages for FY 85 were: 19.99 minutes for the registration line and 5.77 minutes for the information line, for a combined waiting time of 25.47 minutes. The sample size of the combined waiting times is 9,513. Due to the large size of the sample, the program review staff is 99 percent confident that the average of the sample represents the true population plus or minus one minute.

As the table indicates, 9 of the 17 offices exceed the state average. These branches also serve the greatest proportion of the state's DMV customers. The 9 branches accounted for 60 percent of all customer transactions completed in FY 85.

The averages also indicate a large variation in customer service within the state. The average combined wait was 47.82 minutes for Norwalk customers. Even in the information line, the wait varied considerably. Excluding Putnam, the wait ranged from a high of 12.19 minutes in Norwalk to a low of 2.09 minutes for the Northwestern office.

Table II-11. Waiting Times By Branch: FY 85 Average.

<u>Branch</u>	<u>Combined Avg. Wait</u>	<u>Info-Line Wait</u>	<u>Registration Line Wait</u>
1) Norwalk	47.82	12.19	36.11
2) Stamford	36.59	5.89	31.51
3) Hamden	34.50	7.44	27.14
4) Wethersfield	33.74	4.01	29.81
5) Bridgeport	32.60	8.63	23.99
6) Old Saybrook	31.08	8.90	22.19
7) Danbury	29.82	7.31	22.80
8) Waterbury	29.47	3.85	25.86
9) Milford	29.36	13.19	16.40
STATE AVERAGE	25.47	5.77	19.99
10) New London	23.30	6.27	17.03
11) Norwich	22.33	6.84	15.49
12) Willimantic	21.21	2.49	18.72
13) Enfield	17.33	3.45	14.48
14) Middletown	17.05	2.11	15.08
15) New Britain	15.33	3.68	11.64
16) Northwestern	15.01	2.09	12.99
17) Putnam	2.40	.12	2.32

Further variation in waiting times can be found when the data are analyzed by day of the week and the time of day. Table II-11 compares three branches--Norwalk, New Britain, Danbury--with the state average according to the time of day and the day of the week. The combined average wait for each branch is shown by the three different bars on the graph in Figure II-2. Each bar represents the total waiting time for a given time of day. The time of day is represented by letters beneath each bar. These letters are: M = morning - 8:30 a.m. to 10:59 a.m. for each day; MD = mid-day - 11:00 a.m. to 1:00 p.m., A = Afternoon 1:01 p.m. to 4:30 p.m., and E = Thursday evening - 4:30 p.m. to 7:30 p.m..

The graph shows that there is considerable variation depending upon the time of day even within the same branch. Mid-day Tuesdays in Norwalk have the greatest average combined waiting times, over 70 minutes, with the shortest wait, of about 35 minutes on Friday mornings. Danbury's waiting times also peak on mid-day Tuesday, while Thursday afternoon has the shortest waits.

Based on the state average, Tuesdays and Saturdays are the busiest days at most motor vehicle offices. Thursday evening

appears to be the third busiest time. Even New Britain, which has relatively short waiting times compared to the state average, shows peaks and valleys in times. The wait for mid-day Tuesday is approximately two and one-half times longer than the wait on Thursday morning.

Program review staff did not find a corresponding change in staff resources based upon an office's fluctuations in workload. Out of 291 field operations employees, only 6 are part-time as of June 20, 1985. Full-time employees operate on a regular 35 hour week, working all 39 hours that the branches are open. In the absence of part-time employees, staffing must be reduced during lunches and breaks. Adjustments in staff resources can only be made by either having employees work more flexible hours and extending the hours branches are open, or by making greater use of part-time employees.

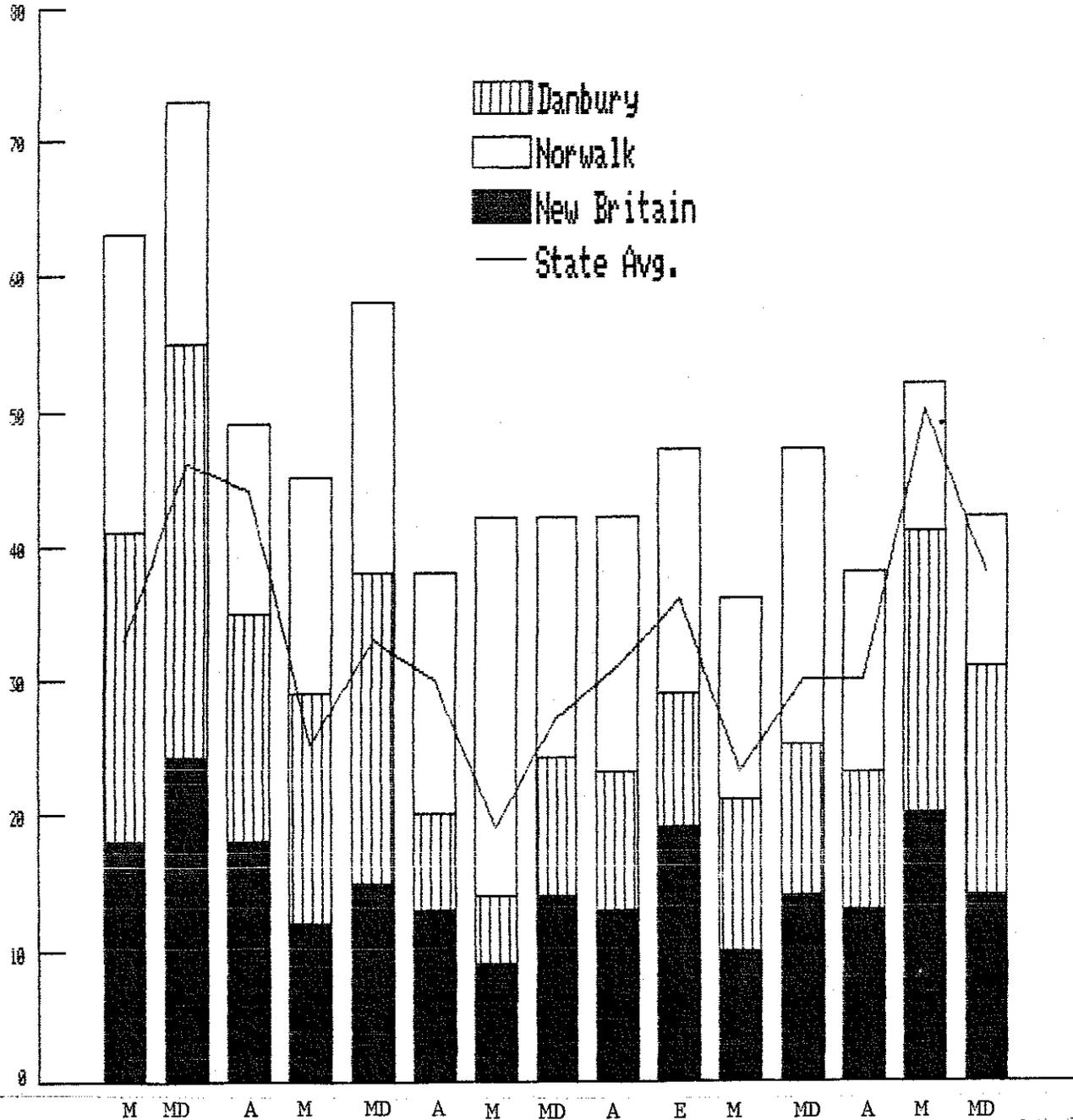
Further analysis of waiting time was done to determine if the resources available to a branch and the number of transactions a branch processed had an impact on waiting times. Comparisons were conducted among the variables, but the branches did not show a significant correlation. Due to the fact that the waiting time data were collected on a daily basis and aggregated to arrive at a monthly average to match transactions and resource information, the data was not sensitive to the daily fluctuations that occur in waiting times. A controlled study is required that collects waiting time data, staff resources and types of transactions on an hourly basis to accurately determine the impact adding staff resources would have on customer waits.

FIGURE II-2

Waiting Times: by Day and Time

New Britain, Danbury, Norwalk, State Avg

Average Waiting Time: July 84 to June 85



Day & Time

Tues

Wed

Thurs

Fri

Sat

M = Morning
MD = Mid-Day

A = Afternoon
E = Evening

CHAPTER III

FINDINGS AND RECOMMENDATIONS

Introduction

The Legislative Program Review and Investigations Committee's performance audit of the Department of Motor Vehicles has focused upon customer service, simplifying procedures, and streamlining the registration, titling, and licensing process through automation. The findings of the committee indicate that the branch offices are unable to provide adequate customer service, waits are generally long, and phones are often busy. Branch office personnel cannot adequately serve walk-in customers, if they must also answer phones and process mailed-in transactions as well as dealer drop-off registrations. Branch office staffing levels are insufficient for performing all of these functions. Furthermore, efficiencies that could be obtained from centralizing some of these functions are not being realized.

Customer Service

The primary role of the branch offices should be to provide walk-in customer service, not act as decentralized locations for providing phone service and processing dealer drop-off and mailed-in registration renewal transactions. The program review committee found that, given the current branch responsibilities, the department was not able to adequately staff the offices to meet the demand for services.

Registration station utilization. One indication of inadequate staffing is underutilization of the registration stations. The work sample study conducted by the Legislative Program Review and Investigations Committee indicated that registration stations open to serve the public were inactive nearly 25 percent of the time. The stations were generally inactive due to breaks, lunch hours, or employees doing other work not related to direct customer service. The study also indicated that 43 percent of all registration stations were not open to serve customers waiting in line.

Registration stations are not being used to their full capacity for two reasons. First, there is not enough part-time staff at the branches to keep all the available stations open and not enough flexibility in assigning full-time staff. Because the department has so few part-time staff, it must keep each register open with a full-time staff person. When that person takes a break or has lunch, the station is inactive. Similarly, if a staff member is sick or being used at a suboffice, there is no one to staff the idle registration station. Part-time staff would be able to fill in during lunches and breaks, times that tend to be periods of peak customer demand.

Second, branch office personnel are being used for functions that are not serving walk-in customers, such as processing mail or dealer drop-off transactions. The Legislative Program Review and Investigations Committee also found that improvements in customer service and efficient handling of customer business are severely hampered by these additional responsibilities required of branch personnel. Each function personnel are required to perform outside of direct customer service can be better handled by a central processing unit, as recommended in the committee's report on agency management and central office operations.

Another problem encountered when branches do work that is not directly customer related is the department's inability to monitor branch workload. For instance, there is no compilation of the number of phone calls received by the branches or the amount of dealer work done by a branch. Without an accurate picture of workload, it is difficult to properly allocate staff.

Processing mail registrations. The first major function detracting from walk-in customer service and increasing customer waiting times, is the processing of mailed-in registration renewals. Even though the size of the workload is known, the number of mail transactions is not allocated by the central office according to a branch's staff resources.

The allocation of mail transactions to the branches does not lend itself to efficient processing because: 1) workload and waiting time information on which to base allocation decisions is not available; and 2) processing mail at decentralized locations does not allow for the efficiencies that can be gained through centralized automated processing.

An example of these problems can be found in a comparison of mail transactions between Danbury and Enfield. For FY 85, Danbury handled an average of 1,654 mail transactions a month, but had an average combined waiting time of 32 minutes. On the other hand, Enfield processed 125 mail transactions per month, but had an average wait half that of Danbury at 18.5 minutes. To complete the extra work, Danbury used 146 hours of overtime per month for FY 85, while Enfield used 88 hours per month. Shipping mail transactions to Danbury has negative impact on their waiting times. It appears that while Enfield is using overtime to decrease its waiting time by having employees working shorter lunch hours, Danbury must use its overtime to both process mail transactions being shipped to it by the central office and attempt to reduce its waiting times. Given that Enfield waiting times are half that of Danbury's, it appears that system for distributing mail to the branches does not take into account customer demand.

Further, such allocation of mail transactions affects the other branch functions. Given the number processed by the branches, 230,050, and the average time taken to perform a transaction, 2.5 minutes, the equivalent of approximately 6 people are currently being used to complete mail transactions and, thus, are not available for customer service.

Processing dealer transactions. The second function that detracts from providing adequate service is the processing of dealer drop-off transactions by the branches. Dealer drop-off transactions are batches of registration applications handled by dealers for their customers. Based upon department information, the Legislative Program Review and Investigations Committee estimates that approximately one-third of the new or transfer registrations result from dealer drop-offs.

Program review staff observations determined that a new registration transaction takes about seven minutes to process at a branch office. This time, coupled with the number of dealer transactions (206,185) for all branches, translates into 24,055 hours. By factoring in the actual person hours available in a year (total hours minus breaks, lunch, sick, and vacation time--1,485 actual hours worked per person) it is estimated that 16.2 people are currently used to process all dealer work that is dropped off in the branches.

If dealer work were consolidated in a single processing unit in the central office, and each transaction was processed in less than the current seven minutes, a portion of the staff processing dealer work in the branches could be used to assist in customer transactions. It is likely that transactions could be processed in less time at a central location rather than at the branches because processing would be done by staff dedicated to that function without having to also serve the public. Processing dealer work at a central location also allows transactions to be examined and keypunched concurrently, saving time and reducing delays in data entry.

Phone service. The last function hampering customer service in the branches is answering the telephone. Most branches are not adequately equipped to provide customer phone service. In many of the branches, the person or persons answering the phone have other tasks to perform, such as inputting registration data, providing information to walk-in customers, assisting registration examiners in obtaining information, scheduling driver license exams, or managing the branch.

Individuals answering the phone do not have special training nor do they have adequate policy manuals to assist them in providing consistent information. Further, they do not have access to customer files and must refer callers to the central office if a customer requires such information. In some of the most heavily

populated service areas, offices have neither adequate phone equipment nor staff to answer the large volume of calls, resulting in customers frequently encountering a busy signal. Program review staff estimates that approximately 27 full-time persons are being used in the branches to handle incoming phone calls.

Automation. To simplify and streamline the transaction of motor vehicle business by the public, the department needs to fully automate its registration and information gathering process. For instance, committee staff found that in order to obtain motor vehicle property tax information, the registration examiner had to search through a cumbersome microfiche file that could be as much as one month out-of-date. In addition, the examiner had to check a paper list containing suspended registrations before proceeding with a customer's transaction. Fees are computed by hand from tables provided to the examiner.

As a result of the lack of automation, registration information is not updated in a timely manner. Committee staff found that registration information is entered about two months after the transaction occurs at the branch, necessitating the entry of new registration information on a temporary file to be readily accessible by the department and law enforcement agencies.

Lack of automation further impedes accurate monitoring of branch performance. Information concerning the number and types of transactions, waiting times, personnel resources, and registration station utilization are not readily available for analysis by management. Without this information it is difficult to determine resource requirements and make appropriate budget decisions.

The Legislative Program Review and Investigations Committee sees a need to refocus the primary purpose of the branches to provide improved customer service and not act as decentralized processing centers. The branch offices should be charged with the responsibility of serving walk-in customers only, and the department should closely monitor this performance.

To achieve a reorientation of branch operations, the Legislative Program Review and Investigations Committee recommends the following:

1. All services provided at the Department of Motor Vehicles branch offices should be confined to walk-in customers. Transactions mailed to the department should not be sent to the branches for processing; transactions brought to the branches as part of the dealer drop-off program should be transferred to Wethersfield for central processing. This recommendation should be phased in over two years.

2. Within three years, the department should eliminate all direct outside phone lines at the branches. Public information should be provided through a central phone system.
3. Department of Motor Vehicles branch office hours should be extended from the current 39 hours to at least 45 hours a week.
4. The department should hire part-time employees and institute a system of flex-time for employees to increase the agency's ability to staff offices during peak service times and for expanded hours.
5. Point-of-transaction data entry should be phased in in all branches over the next five years. Within two years, the point-of-transaction data entry system should be operating on a pilot project basis in the least busy branch offices. A training program to prepare branch office staff for the point-of-transaction data entry system should be developed and initiated by January 1987.
6. To better disseminate information to the public, the department should:
 - make applications and explanatory forms accessible to the public without waiting in the information line; and
 - have recorded messages available through a toll free number 24 hours per day, explaining where information concerning registration, title, and licensing requirements may be obtained as well as the department's hours of operation.
7. All branch offices should be monitored based upon a series of performance indicators that include: average waiting times for all lines; productivity and transaction measures; and customer satisfaction measures. The planning and operations research unit of the department should establish such measures. Analysis of performance measures should be used to reduce customer waiting time, better allocate staff resources, and improve customer satisfaction. Analysis of performance measures should also be used to identify the following:
 - staffing levels required to achieve waiting time goals;
 - placement of part-time staff to handle peak business times;
 - improvements in transaction processing needed to reduce processing times;

- solutions to customer problems in obtaining information; and
- the need for substitute and part-time personnel to cover vacations, sick time, and extended leaves.

8. By January 1988, all branch office reporting, including accounting reports, personnel reports, and data on transactions, waiting times, and work station usage, should be automated.

These recommendations are designed to make the Department of Motor Vehicles branch offices more effective in providing customer service. A key indicator as to how effectively a branch is performing is the time a customer has to wait in line. As mentioned earlier, 9 of the 17 branch offices exceeded the state average combined waiting time of 25.47 minutes. The averages also indicated a large variation in customer service within the state. Variations in waiting times were also found when the data are analyzed by day of the week and time of day which means that service throughout the state is being unevenly provided by the department.

Adjustments to staff resources are necessary to meet the fluctuations in an office's weekly and daily workload. Adjustments in staff resources to match customer demand can be achieved by: 1) having employees work more flexible hours; or 2) making greater use of part-time employees. Both options can improve customer service by reducing waiting times.

Part-time staffing. Waiting times can be significantly decreased if more of the registration stations currently available in all branch offices are open to serve the public. Part-time staff could be used to accommodate workload fluctuations by filling in at registration stations during times of peak customer demand.

Out of 291 field operations employees, only 6 were part-time as of June 20, 1985. However, the Legislative Program Review and Investigations Committee estimates that 49 full-time employees will become available in the branches as a result of transferring the non walk-in customer functions to a phone center and central documents processing unit. These resources translate into 71,442 additional actual employee work hours available each year.

These additional hours, which can be allocated among part-time personnel to maximize resources, will bring the registration station capacity utilization from the current 58 percent to an estimated 84 percent. Increasing the percentage of registration stations open should have a dramatic effect on average waiting times. (At the current estimate of 58 percent of capacity utilization for registers, they are being manned for 148,206 hours [$.58 \times (39 \text{ hours} \times 52$

weeks x 126 registers available at full staffing)]. Adding 71,442 hours to 148,206 hours equals 219,648 which is 84 percent of 255,528 hours that would be available if all registers were fully staffed).

Expanded branch hours. Extending the branch hours will reduce the demand during peak waiting times. Making greater use of part-time employees to cover for staff on breaks and lunch hours will allow for more intensive use of the registration stations and increase the percentage of stations open to serve the public. The additional productivity gained from hiring part-time employees and shifting non walk-in customer work--answering phones, processing mail transactions, and processing dealer drop-off work--from the branches to central units can be used to provide expanded department hours in the form of personnel.

Extended hours can be achieved in several ways. Two possible staffing arrangements for increasing hours result in two different estimates of the staff needed. One requires 33 full-time employees, and the other reduces the new staff needed to 15 persons. Adding 6 hours a week to the current schedule will require an additional 312 hours per person per year. If all 126 registers are staffed at 100 percent of capacity then the extended hours would require 39,312 employee hours and 9,984 management hours for a total of 49,296 hours. These hours would require 33 additional full-time equivalent employees.

If flex-time were adopted and part-time employees used to staff peak demands for service, the need for management staff would be reduced. Instead of having all employees working all hours, the schedule described below would reduce the need for hiring full-time employees by having a staggered work schedule and using part-time workers to staff registration stations during the additional two hours of each day the branches would be open.

On Tuesdays and Wednesdays, the branches would be open until 7:30 p.m. using two shifts, an 8:30 a.m. to 4:30 p.m. shift and an 11:30 a.m. to 7:30 p.m. shift. Assuming staff is equally split between the two shifts and capacity utilization of the registration stations is raised to 86 percent as previously stated, then the following staffing patterns would exist:

<u>Time of Day</u>	<u>Capacity Utilization</u>
8:30 a.m. - 11:30 a.m.	43%
11:30 - 4:30	86%
4:30 - 7:30	43%

Bringing the 4:30 p.m. to 7:30 p.m. period to 100 percent capacity utilization, instead of the 43 percent that would result from having only half the staff available, would require an additional 15 full-time equivalent employees ($(.58 \times 126 \text{ registers})$)

x 312 extended hours] = 22,407 hours/1,485 hours worked each year by an employee). If the department staffed the additional hours with part-time personnel and instituted a system of flex-time, then they would need to hire 27 part-time people working 20 hours a week. (This assumes that a part-time worker's actual work hours, less breaks, would be 80 percent of the total work hours available).

Point-of-transaction data entry. A point-of-transaction data entry system will result in simplified customer paper work. Program Review and Investigations Committee staff visited the Rhode Island Division of Motor Vehicles and found greatly simplified customer forms as a result of the point-of-transaction system. Unlike Connecticut, where several different forms are needed depending on the type of transaction, Rhode Island has one consolidated form. The system allows the department to collect only new information by enabling the registration examiner to access customer data that already exists, thus saving processing time. It also has the advantage of instantly updating the registrant's file at the time of the transaction. The Connecticut Department of Motor Vehicles is currently two months behind in processing registration transactions. Due to this backlog, part of the registration data must be entered on a "hot sheet" to give immediate access to the information by law enforcement officials and department personnel, resulting in data being entered twice.

Point-of-transaction data entry, furthermore, will allow direct computer access to information currently checked by the registration examiners manually. An examiner would not have to search through microfiche files for delinquent property taxes and a paper list of suspended registrations. The current process consumes a large percentage of an examiner's time. A point-of-transaction system will automatically access the delinquent property tax and suspended registration files, thus reducing the time required to process a transaction.

Performance monitoring. Finally, improvements in branch operations will not occur unless operational performance is systematically monitored. The planning and operations research unit, recommended in the committee's report on agency management and central office operations, would be responsible for establishing performance measures for all branches. To obtain lower waiting times, the department needs to identify and quantify the factors that affect waiting times. For instance, the department needs to determine the impact additional staff resources will have on waiting times based upon customer demand and available stations. The placement of part-time staff in the offices should be a function of specific workload requirements, such as a transactions-per-employee ratio, and waiting times. Efficient allocation of resources cannot be achieved without capturing and comparing productivity information on a daily basis.

Other measurements should include customer satisfaction surveys, transaction processing times, and the number and types of customer problems. Once a management information system is available, problems can be identified and corrective actions taken to improve branch operations and enhance customer service. It is intended that the planning and operations research unit will work closely with branch operations to seek creative solutions to the difficulties encountered in serving the public.

Branch Office Organization and Administration

Branch managers. The Legislative Program Review and Investigations Committee found that responsibility for carrying out branch office operations is split between two divisions--field operations and driver licensing. As a result, staff resources cannot be optimally allocated. For example, while customers may be waiting in long lines in the registration area, with no customers requiring assistance in the examination and inspection area, the branch manager does not have the authority to reassign inspectors to assist with registration or photo licensing duties.

In addition, the supervisory workload between the two types of field services managers--branch managers and sergeants--is not evenly shared. On average, the branch manager of a medium-sized office supervises 20 persons, while the driver licensing sergeant at a corresponding branch office supervises an average of 3 inspectors.

Each branch manager is responsible for the following functions: maintaining an acceptable level of customer service; evaluating, disciplining, and training employees; and coordinating field operations with central office policies. In addition to supervisory duties, a branch manager must oversee day-to-day branch operations, such as maintenance and upkeep of the physical plant including any inspection lanes. Branch managers also supervise the accounting and deposit of office receipts, including those concerning examination and inspection functions.

The program review committee found further that only the two branch manager III positions--managers of large offices--are classified as managerial. The remaining 4 medium-sized and 10 small-sized office branch managers are not considered management, although even a manager of a small office has substantial responsibilities. For instance, in FY 85, the average small office branch manager supervised 11.7 persons who handled 150,000 transactions involving \$3.7 million.

Field Supervisors. At present, the central office resources for field supervision of all branch office operations are limited. Only two branch office supervisors, who report to the field operations assistant division chief, are available to oversee registration, title, and photo license functions at the 16 branch and 4

sub-branch offices. Workloads, although about evenly divided on a regional basis, are heavy. One field supervisor monitors a total of almost 130 persons in 7 offices and 3 sub offices; the second supervisor oversees about 140 staff located in 9 offices and 1 suboffice.

The duties of the branch office supervisors include: insuring uniformity among their branch offices in terms of procedures, policies, and controls; training of managerial staff; assisting with and overseeing implementation of procedure changes; directing necessary corrective actions; and when possible, researching and developing improved operational and training procedures. Branch office supervisors may also be assigned to fill in for office managers on a temporary basis.

Given the workload of the current field supervisors, there are few opportunities for researching and developing improved procedures or in-service training of branch management staff. Travel time limits the two field supervisors' ability to visit each office once a week. In the past, up to four field supervisors have carried out this function. At present, three such positions are authorized, with only two filled.

9. The Legislative Program Review and Investigations Committee recommends that all branch office operations and staff be managed by the branch manager. It is further recommended that all branch manager positions be classified as management and reviewed under the management incentive plan. The program review committee also recommends that a third regional field supervisor be hired to oversee and monitor branch operations.

The primary purpose of placing authority for a branch's operations under a single manager is to achieve better management control of staff resources. Improved ability to shift personnel to match workload demand should reduce customer waiting times, thus increasing the level of customer service.

Accountability for performance of branch office functions is also enhanced by unified management. Making a single individual responsible for branch services will aid the department's management in identifying organizational weaknesses. Elevating the status of all branch managers recognizes and reinforces their authority as well as responsibility for the quality of customer services provided. As participants in the management incentive program, branch managers will set performance goals, be held accountable for meeting them, and be rewarded if the goals are met. By providing such an incentive to branch managers, the program review committee believes the level of customer service in field offices will improve.

With a more reasonable workload, three field supervisors should be better able to carry out their important monitoring and training duties. Since their monitoring efforts are intended to achieve

greater efficiencies and uniformity at the branch offices, the effectiveness of the field supervisors has a direct impact on customer service.

Through more frequent visits to a smaller number of offices, each field supervisor should have a better sense of training needs and more time to provide training. The extensive technological and procedural changes anticipated at the branches in the coming five years make it critical that training needs are identified and addressed early. During the implementation of automated systems, it will be even more critical to have an effective liaison between the branch and central offices so that operational problems also can be identified and addressed early.

Branch Office Facilities

Based on field visits to each Department of Motor Vehicles branch office, program review committee staff concluded that the majority were lacking in general appearance and interior space for both customers and employees. Signs for directing customers were judged to be confusing and difficult to notice. Inadequate facilities have a direct impact on customer service.

For example, the lack of space in some offices results in customers having to wait outside at busy times. The absence of covered inspection facilities at 10 of the 16 offices means that inspection activities may be suspended at these branches during inclement weather. Poor signs and office layouts can result in needless crowding and confusion with customers spending unnecessary time in the wrong lines.

The program review committee found there is no comprehensive plan for upgrading department facilities. Furthermore, the optimal way to meet field operations space needs has not been analyzed. Despite the fact that all but two branch offices and the "public room" at the main office are leased, a cost benefit study of leasing facilities has not been conducted or requested. All 13 rented offices have been leased at least 10 years, while 5 have been rented for 20 or more years.

Department officials indicated to program review staff support for construction or purchase of branch facilities. However, only one office site is listed for construction in the current five-year statewide facility plan. The department's request for this construction project was made in response to a State Properties Review Board recommendation. The department has requested that the Department of Administrative Services, the department responsible for meeting the real estate needs of state agencies, continue leasing space for the remaining branch facilities.

Problems in finding appropriate, reasonably priced office space for the Department of Motor Vehicles as well as other agencies, particularly in the southwestern portion of Connecticut, frequently have forced continued occupation of inadequate facilities, often under month-to-month rental arrangements. As of October 1985, the motor vehicles department was leasing four branch offices on a month-to-month basis, and eviction was imminent at another.

Since most branch offices are leased, maintenance is a matter dictated by rental agreements. The committee found that responsibility for enforcing maintenance provisions of branch office leases is unclear. As a result, some offices have not received even the basic attention called for by contract.

A review of compliance with lease provisions concerning the painting of branch office interiors, conducted by the department in response to the Legislative Program Review and Investigations Committee study, revealed that at least four had not been painted within either a three- or five-year schedule as called for in the rental agreement. The review also found that one office, now being painted by department employees with paint supplied by the landlord, had not been redecorated since 1974. In still another case, the lease provision concerning the frequency of interior painting had been left blank.

10. The Legislative Program Review and Investigations Committee recommends that the Department of Motor Vehicles develop a plan to improve branch facilities, including redesigning information signs and office layouts to provide more efficient customer service. In conjunction with the branch office improvement plan, the Department of Administrative Services should conduct a feasibility study to determine if currently leased facilities should be owned and maintained by the state. Both should be completed by January 1987 and include schedules for implementing proposals. Both shall also take into consideration the department's requirements for future automation (i.e., point-of-transaction data entry) such as air conditioning, electricity, etc. at the branch offices.

11. The program review committee also recommends that personnel within the field operations section be responsible for contract management of all leases and insuring that the terms of the lease agreements are adhered to, particularly the maintenance clauses for each branch.

By requiring the department to develop a facility improvement plan, the immediate need for correcting current branch office deficiencies that impede customer service is addressed. The recommended Department of Administrative Services feasibility study addresses the lack of a long-range plan that determines the most cost beneficial method for providing convenient customer service. No specific actions concerning the rental, purchase, or construction of Depart-

ment of Motor Vehicles offices are recommended since the state's leasing policies and procedures are the subject of another, concurrent Legislative Program Review and Investigations Committee study. However, the committee believes that the required study, due within one year, will focus prompt attention and provide a comprehensive solution to this particular agency's pressing space problems.

The program review committee further believes that assigning responsibility for lease contract management to specific department staff will fix accountability for the condition of leased offices. Although the Department of Administrative Services may ultimately be responsible for enforcing rental agreements, department employees should regularly monitor space needs and report problems concerning branch facilities.

Safety Inspections

The Legislative Program Review and Investigations Committee found inconsistencies in the department's vehicle safety inspection program in both vehicle pass rates and equipment used at the 17 office locations. As described earlier, the pass rate for vehicles ranged from a high of 85 percent in Norwalk to a low of 54 percent in New Britain. Equipment used also varies, with 6 branches having covered inspection facilities and 10 offices conducting inspections outdoors. According to a report submitted to the governor in August of 1985, the commissioner of motor vehicles describes the condition of covered inspection facilities as:

a testing lane consist[ing] of a "skid pan" brake testing machine and an alignment-testing machine built into the floor.... The machine does not measure camber and caster. There are no headlight testing machines in use in the lanes. Headlight testing is, therefore, done manually.[1]

The report of the commissioner further states that:

outside tests are performed in front parking lots, to the rear of the building and on the street because of limited facilities, without the benefit of the alignment or brake-testing machines.[1]

Besides equipment, another deficiency of the program is inadequate training. Inspectors are given two weeks of on-the-job training at their assigned facility. There are no agency-wide standards for training, and the type of training can vary from station to station. Decisions concerning training are delegated to the inspector supervising the facility.

The program further suffers from a lack of regulations governing the program's operations. While vehicle safety standards do exist in statute and regulation, there are no regulatory mechanisms relating to the actual operation of the inspection program. One item inspected, but not found in regulation or statute, is a check for frame and body integrity (e.g., body rot). No standards exist for passing or failing a vehicle based upon this item, and it is, therefore, left up to the discretion of the inspectors, which may account for some of the variation in the pass/fail rates among offices.

Given the inadequacies of equipment, training, and inspection standards, the effectiveness of the program can be seriously questioned. While nearly one-third of the vehicles fail, based upon the operation of the program, there is little evidence provided by the department that the program has any impact on vehicle safety. The most common defect found to contribute to an accident is brake failure, a defect that can only be detected accurately by pulling the wheel off a car and examining the brake linings for wear. The second most common defect is excessive tire wear and underinflation, a defect that could appear within six months of a vehicle inspection. Upgrading the program would require a large expenditure of state money with uncertain benefits.

12. The Legislative Program Review and Investigations Committee recommends that the branch office vehicle safety inspection program be further studied by the committee of cognizance to evaluate the broader policy and social benefit questions of a safety program, methods of upgrading the current program, ways of eliminating its deficiencies, and alternative methods of organizing and carrying out its activities and report back to the legislature by January 15, 1987.

The cost of the vehicle inspection program for state FY 85 was approximately \$1,732,845. This expenditure did not include the cost of equipment or the cost of leasing space to house covered inspection lanes. The department has submitted a budget option to the Office of Policy and Management requesting new double inspection lanes at five branches and also equipment for each new lane. Equipment is estimated to cost at least \$550,000; there is no an estimate on the cost of building the lanes. Also, the commissioner's August 1985 report to the governor estimated each headlight testing machine would cost \$10,000. If one were purchased for each branch, the cost would be \$170,000. The total cost of improving five inspections stations would be \$720,000 and would only produce 11 of 17 stations with comparable equipment. Also, the cost of building 5 new covered stations and 10 inspection lanes would be substantial.

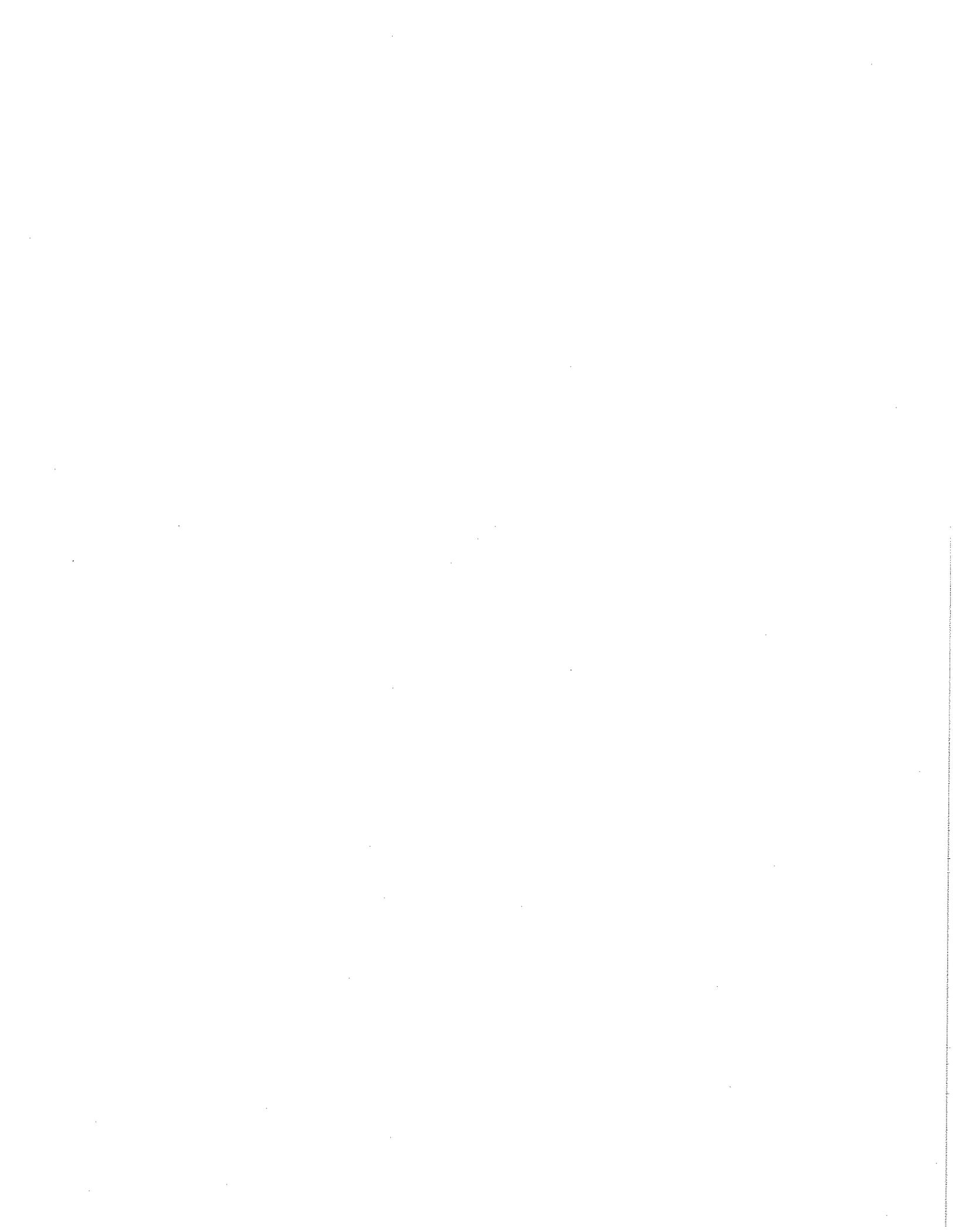
If the program is continued, then more research needs to be done as to the safety benefits that can be obtained from a inspection program aimed at reducing the defects that are primarily re-

sponsible for accidents. An analysis also needs to be done as to the type of program needed, how it should be operated, and the cost of safety inspections to the public.

Footnotes

[1] Report to the Governor on the Vehicle Inspection Program,
Department of Motor Vehicles, August 1985.

APPENDICES



APPENDIX A

AGENCY MANAGEMENT AND CENTRAL OPERATIONS

SUMMARY

The Legislative Program Review and Investigations Committee conducted a ten-month performance audit of the Department of Motor Vehicles (DMV) with the goal of improving the department's customer service, operational efficiency, and management. The committee audit resulted in four separate reports: 1) Agency Management and Central Operations; 2) Branch Office Operations; 3) Title Operations; and 4) the Dealers and Repairers Division. These reports contain descriptive information, analysis, findings, and recommendations concerning department operations.

During its review of the department's management and central operations the Legislative Program Review and Investigations Committee found a lack of systematic planning, performance monitoring, staff evaluation, and training. These management problems were compounded by the organizational structure of the department. The program review committee also found that productivity and customer service needed improvement through the centralization and automation of the department's phone system and document processing functions. The need to computerize existing data files and enter information more quickly in the department's computer records was also cited.

RECOMMENDATIONS

To address these problems the Legislative Program Review and Investigations Committee recommends that:

1. The department be organized into two bureaus, programs and administration, each headed by a deputy commissioner who reports directly to the commissioner. Within the programs bureau, there should be the following divisions, each headed by a division chief:

- customer services: field operations, responsible for all public services provided at branch offices including registration, title, photo-license, driver licensing examinations and vehicle inspections;
- customer services: central operations, responsible for all centrally provided public services including operating a telephone information center, issuing titles, and processing of transactions not generated by walk-in customers, refunds, corrections, and requests for copies of records;

- emissions, responsible for overseeing operation of the state auto emissions program; and
- regulation and enforcement, responsible for programs to control and improve drivers, the regulation of motor vehicle businesses, and the enforcement of motor vehicle laws and agency requirements concerning such matters as public service vehicles, anti-theft measures, and no-fault insurance.

Within the Administration Bureau, there should be the following offices, each headed by a director:

- fiscal affairs, responsible for budgeting and accounting functions;
- information systems, responsible for data processing and the creation and maintenance of automated information systems;
- adjudications, responsible for operating the agency's administrative hearing process;
- public information, responsible for public relations and media liaison matters;
- policy and procedures, responsible for developing and interpreting laws, regulations, and guidelines concerning motor vehicles matters;
- human resources, responsible for personnel, payroll, and staff development matters; and
- support services, responsible for mail, stock and inventory, and property management matters.

In addition to the divisions and offices outlined above, there should be:

- a planning and operations research unit, responsible for performance monitoring and long range planning; and
- an internal audit unit, responsible for assuring the financial integrity of department activities.

The directors of the planning and operations research unit and the internal audit unit should report directly to the commissioner.

2. The Department of Motor Vehicles develop a five-year plan by January 1, 1987. The plan should encompass all department operations and address at least the following areas: customer service; data processing; facility improvement; and employee training. The plan should prioritize all programs proposed and provide implementation strategies for each proposal that include measurable objectives, time frames, and cost benefit analyses whenever possible. The plan should be annually updated and submitted to the General Assembly and the Governor in conjunction with the department's budget requests. The annual update should include an explanation of any delays in implementing proposed programs.

3. The Department of Motor Vehicles should establish a planning and operations research unit to be operational by January 1, 1987. This unit should be responsible for:

- establishing performance indicators for all units;
- assisting units in developing workload measures;
- collecting and analyzing data on department performance including trends and changes in customer service level;
- preparing monthly and annual reports of performance indicators for unit managers;
- analyzing resource needs, costs, and benefits of program proposals;
- monitoring and assisting in the implementation of planned programs; and
- providing technical planning assistance to the department.

4. The planning and operations research unit should consist of four staff members and a director. The director should report directly to the commissioner. The director should have work experience in at least two of the following areas: management information systems; statistical analysis; strategic planning; and operations research. Each staff member should have work experience in at least one of the above areas and all four areas of expertise should be represented on the unit's staff. In addition, the current management analysis unit should be incorporated within the planning

and operations research unit under the supervision of the planning and operations research director.

5. The Department of Motor Vehicles should develop a system to annually evaluate the performance of all staff members. Pay increases for managers should be based on the manager's effectiveness in implementing projects outlined in the department's budget and long-term plans. Job-specific goals should be established for all department employees and annual evaluations and pay increases should be based on the achievement of these goals.

6. The Department of Motor Vehicles should establish a program for initial and continuing in-service training and career development opportunities for all levels of staff throughout the agency.

6a. A director of training and staff development responsible for developing and implementing this program should be hired by July 1986.

6b. The director should develop and implement by December 1986 a program for training part-time branch office employees.

6c. The training director, with the assistance of the planning and operations research unit, should develop an annual plan that:

- assesses training needs;
- prioritizes training needs;
- outlines programs to meet those needs; and
- evaluates the effectiveness of previous training efforts.

6d. The first training plan should be submitted to the commissioner on July 1, 1987, and should include a description of the activities designed to prepare branch office staff for point-of-transaction data entry.

7. In view of the problems the current phone system creates, the Department of Motor Vehicles should establish a centralized phone center that will provide statewide toll-free access to a single department number. Within two years, all direct outside phone lines to the central office should be eliminated and calls should be answered at the centralized phone center. Also within two years, the department should set up a pilot program whereby a separate toll-free number would be available 24 hours per day to deliver recorded messages concerning general information.

Within three years, the department should eliminate all direct outside phone lines to the branch offices and those calls should

also be answered at the central phone center. Personnel staffing the phone center should have access to all computerized information systems.

8. The Department of Motor Vehicles should create a centralized documents processing unit to process all transactions not generated by walk-in customers. By October 1, 1986, the unit should be fully automated to process all mail-in registration renewals. This unit should process all transactions not generated by walk-in customers by October 1, 1987. In addition, by the same date, the department should pilot its "point-of-transactions" data entry registration system in this unit.

9. The Department of Motor Vehicles should implement a point-of-transaction data entry system in the branch offices by January 1991. A consultant should be hired to study the type of system needed by the department, provide an implementation plan, and estimate its cost. A report of the consultant's study and recommendations should be submitted to the General Assembly and the governor by July 1987.

10. The Department of Motor Vehicles should automate the following functions by July 1987:

- delinquent property tax;
- suspended registrations;
- driver license examination appointments;
- vanity plates;
- payroll;
- personnel records;
- inventory; and
- waiting time data.

APPENDIX B

LPR&IC Staff Cost Analysis of Recommendations

Many of the Legislative Program Review and Investigations Committee recommendations resulting from the performance audit of the Department of Motor Vehicles can be achieved without any additional cost by improving department procedures and reallocating existing staff. However, some of the recommendations require new staff and equipment for implementation. Cost estimates for these are calculated below. Expenditures already outlined in department plans are not included in the following calculations.

One-time costs for equipment and temporary staff recommended in all four performance audit reports are estimated to total approximately \$3.25 million and would be expended over a five-year period. With these expenditures, the motor vehicles department could: reduce the title backlog; automate and upgrade the mail processing function; automate branch office reporting; purchase a state-of-the-art phone system; and initiate a point-of-transaction data entry system.

Total recurring costs, primarily salaries, associated with Legislative Program Review and Investigations Committee recommendations from all four DMV audit reports range between \$1.3 and \$1.5 million. This level of new funding would provide the department with about 70 to 90 additional staff. Funding of these new positions would permit: faster title service; reduced branch office waiting times; more convenient services through expanded office hours; and development of internal training programs. In addition, the expanded staff would allow for the establishment of a planning and performance monitoring unit, more efficient central documents processing, and operation of a state-of-the-art phone system.

The cost of recommended improvements should be evaluated in light of the department's limited expenditures in recent years. In constant dollars, the Department of Motor Vehicle's budget increased by only 2.9 percent from FY 76 to FY 83. The department's overall budget increase from FY 76 to FY 85 lagged behind the average for all state agencies. During this 10-year period, the department's budget increased by 19.1 percent while the state average was 26.2 percent. In addition, the department has not spent all of its appropriated funds; since 1976, the Department of Motor Vehicles has lapsed approximately \$7.5 million of its appropriated budget.

Costs to improve customer service should also be considered in light of the increases in motor vehicle fees scheduled over the next six years. Increases in registration, operator license and

other motor vehicle fees are summarized in Table B-1. Revenues from these fees, which are projected to total more than \$220 million in 1993, are also shown in the table.

Cost Estimates: Agency Management and Central Office Operations

Planning and Performance Monitoring

Additional Staff Required: 5
1 Director @ \$50,000
4 Analysts @ \$40,000

Total Recurring Cost: \$210,000 annual salaries

Training Program

Additional Staff Required: 1
1 Training Director @ \$36,000

Total Recurring Cost: \$36,000 annual salary

Phone Center

Additional Staff Required: 33.5
(Assumes that central office staff currently dedicated to answering phones are transferred to the phone center.)

32.5 Customer Service Operators @ \$14,500
1 Phone Center Supervisor @ \$28,000

Equipment Required:

Hardware	\$250,000
Terminals	\$ 48,000
Software	\$100,000

Other Requirements:

"800" line annual service charge @ \$48,000

Total Recurring Cost: \$547,250 annual salaries and service charge

Total One-Time Cost: \$398,000 (equipment)

Central Documents Processing

Additional Staff Required: 10 (maximum)
10 Reg. Exam I @ \$15,500

Equipment Required:
2 Remittance Processors @ \$100,000

Total Recurring Costs: \$155,000

Total One-Time Cost: \$72,000
(2 new processors cost of \$200,000 - current equipment appropriation of \$128,000)

Point-of-Transaction Data Entry

Additional Staff Required: Consultant
Consultant study @ \$100,000
(Expended during 1986)

Systems Requirements: \$2.5 million
Includes hardware, software, personnel time including training
(Expended 1986 - 1991)

Total One-Time Cost: \$2.6 million
(Expended 1986 - 1991)

Cost Estimate: Branch Office Operations

Staffing to Raise Capacity Utilization

Additional Staff Required: 49
49 Registration Examiners @ \$15,500

Total Recurring Cost: 0
Assumes that the following existing branch staff are made available for customer service by centralizing:

- mail renewal processing = 6
- dealer drop-off work = 16
- phone information = 27
- Total 49

Expand Branch Office Hours

Additional Staff Required: equivalent of 15-33 FT positions
Under "Flex Time" schedule: 15 reg. exam. positions @ \$15,500
Under current staffing patterns: 33 reg. exam. positions @ \$15,500

Total Recurring Cost: \$217,500 - \$478,500 annual salaries (final cost at end of 3-year phase-in period)

Automate Branch Reporting

Equipment Required: 16 personal computers (one per office) @ \$9,600

Total One Time Cost: \$134,400 (16 computers cost of \$153,600 - current appropriation for equipment, \$19,200)

Hire Third Field Supervisor

Additional Staff: 1
1 Branch Office Supervisor @ \$32,000

Total Recurring Cost: \$32,000 annual salary

Cost Estimates: Title Operations

Title Section Staffing

Additional Staff Required: 9 (5 temporary)
4 FT title examiners @ \$17,000
5 FT title examiners @ \$17,000 for 6 months

Total Recurring Cost: \$70,000 annual salaries

Total One - Time Cost: \$43,750 (temporary salaries)

Long-run (over next 3 years) personnel savings: \$108,800
Assumes the following positions saved:

- 1 title examiner position @ \$17,000 from transferring phone calls to phone center
- 2 title examiner positions @ \$17,000 from implementation of on-line title files
- 3.4 title examiner positions @ \$17,000 from implementation of point of transaction data entry

Cost Estimates: Dealers and Repairers

Recommendations concerning Dealers and Repairers Division do not require any additional staff or equipment that is not already being planned by the department.

Table B-1. Department of Motor Vehicles Projected Revenue Increases 1985 - 1993.

	FY 85*		1992/93 Project.		1992-93 Project.	
	<u>Fee</u>	<u>Revenues</u>	<u>Fee</u>	<u>Revenues</u>	<u>Fee & Increase</u>	<u>Fee & Increase</u>
Operators License	(\$26.50)	\$16,036,817		(\$42)	\$ 31,922,226	61%
Registrations	(\$50)	\$82,556,753		(\$80)	\$135,556,753	60%
Titles	(\$11)	\$ 5,057,448		(\$25)	\$ 16,456,250	127%
Inspections	(\$11)	\$ 1,619,206		(\$25)	\$ 5,502,875	127%
Copy Records	(Varied)	\$ 3,347,903		(Varied)	\$ 8,369,757	n/a
License Exams	(\$15)	\$ 1,506,535		(\$36)	\$ 5,600,412	140%
Dealer & Repairer Licenses	(Varied)	\$ 2,088,536		(Varied)	\$ 5,283,996	n/a
Other Motor Vehicle and Transportation Fund Receipts	(Varied)	\$ 7,153,145		(Varied)	\$ 11,731,158	n/a
TOTAL		\$119,366,343		\$ 220,423,427		

Notes: Excludes issues that are dedicated to special funds, e.g., boats and emissions.

* Fees are as of July 1, 1985; revenues are those collected as of June 30, 1985.

APPENDIX C
BRANCH PROFILE

BRANCH _____ DATE _____

PHYSICAL

PARKING _____

BUILDING APPEARANCE
EXTERIOR _____

INTERIOR _____

EQUIPMENT

NO. TERMINALS _____

NO. MICROFICHE _____

NO. PHONE LINES _____

INCOMING ONLY? _____

OUTGOING ONLY? _____

WHO RESPONSIBLE FOR ANSWERING
PHONES?
GENERALLY _____
TODAY _____

OTHER _____

STATIONS

TOTAL NO. _____

NO. CLOSED TODAY _____

ANY MORE EXPECT TO CLOSE? NO. _____

ANY MORE EXPECT TO OPEN? NO. _____

ANY "SPEED LINES" (e.g., CLEAN
REG. RENEWAL)? NO. _____

IS THERE A DEALER LINE? _____

EMPLOYEES

TOTAL STANDARD STAFFING LEVEL

FULL TIME _____ PART TIME _____

NO. STAFF GENERALLY ASSIGNED TO
COUNTER WORK (Reg) _____

NO. STAFF GENERALLY ASSIGNED TO
PHOTO LIC. _____

HOW STAFF INFO LINE _____

CURRENT VACANCIES _____

NO. EMPLOYEES OUT TODAY _____

ANY TRAINEES? NO. _____

ANY SUMMER HELP? NO. _____

BACKGROUND WORK

NO. STAFF ASSIGNED TO TODAY _____

TYPE WORK _____

BRANCH _____ DATE _____ TIME: _____

CLOCK NO. (CIRCLE IF CLOSED)

NO ACTIVITY	EXAM AND CORRECT	CHECK PROP TAX AND SUSPEND.	OTHER RESEARCH	CUSTOMER INTERACT.	FEE COMPARTE & PROCESS	OTHER	TOTAL	EXAM AND INSPECT					
								IN - CUST.	IN - WORK	OUT	NO ACT	TOTAL	
H-13 (T = title specific)													
Reg. Renewal													
Other (T = title specific)													
TOTAL													

ON DUTY: SGT. _____
 INSPECTORS _____
 (EXAM _____ INSPECTION _____)
 OBSERVATIONS: _____

UNFINISHED TRANSACTION	TELEPHONES	OTHER (No. PERSONS IN LINE _____)
EMPLOYEE ATTITUDES / WORK HABITS	WORKSPACE / FORMS / CHECKING RECORDS	

APPENDIX E

Department of Motor Vehicles Response
to Legislative Program Review and Investigations
Committee Recommendations

The Department of Motor Vehicles appreciates the efforts put forth by the staff of the Program Review Committee, and concurs with many of the recommendations of the Committee's Report. Given the brief time available to respond to the voluminous Report, the following comments should not be considered exhaustive--they only represent general observations concerning some of those aspects of the Report in which we have some areas of agreement/disagreement.

Our objectives remain the same as that of the Committee. We welcome suggestions and recommendations aimed at providing better service for the motorists of Connecticut. Your recommendation that approximately \$5,000,000 be appropriated and additional personnel hired will help in achieving our joint objective of better serving the motoring public.

BRANCH OPERATIONS--RECOMMENDATIONS

Recommendations #1 and #2

All services provided at the Department of Motor Vehicles branch offices should be confined to walk-in customers. Within three years, the department should eliminate all direct phone lines at the branches.

COMMENT: We agree that mailed in vehicle renewals should be handled at the central office, and that the central office should handle any excess volume of dealer work or phone calls, thus improving the branch office's ability to provide adequate customer service. We disagree with completely confining the branch to serving walk-in customers. All branch service operations should have background work available during slack periods so that valuable employee time is not lost when there are not enough customers to keep employees occupied. Staffing central operations to handle overflow from branches, but not all dealer and phone work, seems to us a wiser choice for the department, the dealers and customers. Phone costs for 800 lines are understated in the LPR&IC Report by anywhere from \$580,000 to \$750,000, depending on use. Average cost will be \$10.00 per line hour of use. The figure stated for line charges is not consistent with figures presented to us by the telephone company.

3. Branch office hours should be extended from the current 39 hours to at least 45 hours a week.

COMMENT: The budget costs indicated in the appendix understates considerably the cost of extending branch office hours, since inspectors and ancillary central operations are not included. This partial extension of the work week was attempted in the early seventies under the Meskill administration and was rejected after several turbulent months of operation. Operation of the branches is dependent on central office support and resources. For these reasons, we feel such changes should be deferred until less expensive options have been considered.

5. Point-of-transaction data entry should be phased in in all branches over the next five years. Within two years, the point-of-transaction data entry system should be operating on a pilot project basis in the least busy branch offices.

COMMENT: We agree. However, the budget in the appendix lacks essential elements, e.g. maintenance costs for data processing equipment, which equates to 12-15% of purchase price per year, and continuing personnel costs.

6. Department should make applications and explanatory forms accessible to the public without waiting in the information line. Have recorded messages available through a toll-free number 24 hours/day.

COMMENT: We agree that information and forms should be more accessible to the public. We are now experimenting with a touch screen menued computer located in the public area that will assist people in obtaining accurate information, and to specify the forms they need.

The 24-hour recorded message idea has not worked effectively in other jurisdictions. New York DMV had such a system and discontinued its use because of consumer dissatisfaction.

7. Branch offices should be monitored based upon a series of performance indicators that include average waiting times, productivity and transaction measures and customer satisfaction measures.

COMMENT: We agree. Waiting time data is now being gathered and entered on a microcomputer for analysis.