





**Agency Programs/Activities: Inventory and Key Data  
Department of Motor Vehicles**

Relation to Core Mission (H/M/L)	Program/Activity	State Special Revenue Funds Disbursements (\$000s)						Capital Projects Funds Disbursements (\$000s)			
		Revenue (\$000s)	3/31/09 FTEs (All Funds)	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected
<b>Safety Programs</b>											
	<b><u>Field Investigations</u></b>	<b>3,156</b>	<b>149.50</b>	<b>3,074</b>	<b>2,990</b>	<b>3,102</b>	<b>3,217</b>	<b>6,310</b>	<b>6,474</b>	<b>6,682</b>	<b>6,893</b>
H	License & Registration Crimes		20.40								
H	Frauds		58.80								
H	Junk & Salvage Unit		47.30								
H	Auto Theft Unit		23.00								
	<b><u>Vehicle Safety</u></b>	<b>79,665</b>	<b>197.50</b>	<b>14,357</b>	<b>17,279</b>	<b>20,036</b>	<b>20,615</b>	<b>1,963</b>	<b>769</b>	<b>803</b>	<b>839</b>
H	Vehicle Safety Field Services		84.90								
H	Complaints, Audits, Investigations		37.80								
H	Technical Services & Clean Air Program		22.70								
H	Consumer & Facility Services		52.10								
	<b><u>Driver Safety Programs</u></b>	<b>86,584</b>	<b>247.45</b>	<b>9,593</b>	<b>9,882</b>	<b>12,339</b>	<b>13,987</b>	<b>8,859</b>	<b>9,679</b>	<b>9,903</b>	<b>10,221</b>
H	Office of Special Counsel		2.00								
H	Accident Records		29.25								
M	Low Value Property DamageThreshold		6.00	264	274	285	297				
L	Non-reportable Accidents		2.50	101	105	109	114				
M	Property Damage Only Motorist Reports		3.25	131	136	142	148				
L	Accident Location Coding		7.00	308	320	333	346				
H	Motor Carrier		25.00								
H	IRB		24.00								
H	Driver Regulation (DIAU)		67.25								
H	Driver Training & Regulations		25.50								
H	Insurance Services		55.70								
H	<b><u>GTSC</u></b>	<b>19,675</b>	<b>19.00</b>					<b>409</b>	<b>401</b>	<b>416</b>	<b>432</b>

## Attachment C

### DEPARTMENT OF MOTOR VEHICLES PROGRAM INFORMATION SHEET

**Program:**

Office of Integrity Assurance - Information Security Office

**Mandate:**

NYS Office of Cyber Security & Critical Infrastructure Coordination Information Security Policy  
P03-00 Information Security Breach and Notification Act

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background**

DMV's Information Security Office, created in 2000 in accordance with NYS CSIC requirements, coordinates and oversees information security activities.

CSIC regulations, Driver privacy protection laws, payment card industry standards all require error increasing controls be placed on sensitive personal and financial data. At the same time, expansion of the website and new programs like EDL require the collection and storage increasing amounts of sensitive data. Without proper controls and constant ISO oversight the Department systems will be at greater risk of being compromised and the loss of sensitive personal information.

**Issues:**

The Breach Notification Act requires the Department to notify drivers if their expanded record has been accessed for unauthorized reasons. A large data breach could result in lawsuits and loss of public trust.

**Population Served:**

Employees, third party providers, the public, other State agencies

**Performance Measures:**

(Information Security performance measures are not released in publicly accessible documents because published deficiencies could pose a threat to our security.)

Percentage of compliance with NYS Information Security Policy

Percentage of high or critical vulnerabilities discovered in vulnerability scans that have been remediated.

Percentage of new development with completed security reviews.

Percentage of network connections reviewed and approved annually.

Percentage of employees and appropriate third parties who have received information security training

Percentage of external email blocked falls within predefined parameters.

Pass/fail PCI industry self-assessment questionnaire.

**Attachment C**

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Office of Integrity Assurance - Internal Controls

**Mandate:**

The New York State Governmental Accountability, Audit and Internal Control Act of 1987

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Prior to 2008, the DMV Internal Control Officer function, mandated by the Internal Control Act, was handled through the Audit Services office. In 2008, the duties of the Internal Control Officer and the Director of Audit were separated as recommended by the State Comptroller's Internal Control Guidelines and the 2004 New York State Internal Control Task Force's report. The Internal Control Officer is responsible for facilitating internal control reviews, providing internal control awareness training to Department employees and fostering the improvement of internal controls through consulting activities.

**Issues:**

Each year the Commissioner must certify to the Division of Budget (DOB) that the Internal Control Act, and DOB's guidance on it, are adhered to by the Department.

**Population Served:**

Department of Motor Vehicles Management and Staff, Tax Payers, Executive Branch, County Partners

**Performance Measures:**

Number of Internal Controls surveys sent, received and outstanding.

Percentage of increase in Internal Control consulting requests

Number of internal control training opportunities provided to DMV employees.

Timely Reporting on Internal Control Act

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Office of Integrity Assurance - Audit Services

**Mandate:**

Executive Law Article 45: Internal Control Responsibilities of State Agencies,  
Budget Policy and Reporting Manual Item B-350  
International Registration Plan (multi-state/Canada compact),  
Commissioner of Motor Vehicles Regulations Part 28

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DMV has had an internal audit function since the 1960s. Audit responsibilities have grown as the Department has added new programs, or new risks are encountered.

The Internal Control Act requires state agencies to develop and monitor a system of internal controls. As a large revenue producing agency, The Department of Motor Vehicles is designated by Division of the Budget as an agency requiring an internal audit function to protect the revenue DMV collects. Audit Services performs internal audit functions for the agency, in addition to conducting audits of businesses that the Department regulates or licenses.

**Population Served:**

DMV management, county clerks, management of businesses audited, participating jurisdictions in International Registration Plan (US and Canada).

**Performance Measures:**

The completion of audit field work to release of draft audit report  
Program manager satisfaction with audit report  
Program manager indicates that audit added value to his/her organization  
Number of International Registration Plan audits completed  
Percentage of audit plan completed.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Office of Integrity Assurance - The DMV Appeals Board

**Mandate:**

The Department is mandated to establish an Appeals Board to hear appeals filed pursuant to Article 2-A of the Vehicle and Traffic Law by any person who is aggrieved by determinations of a Traffic Violations Bureau hearing officer. Vehicle and Traffic Law § 228 provides that each appeal filed shall be reviewed by the Appeals Board, which shall make a determination of such appeal. Vehicle and Traffic Law § 228 also provides that no determination of a (TVB) hearing officer which is appealable shall be reviewed in any court unless an appeal has been filed and determined by the Appeals Board.

Vehicle and Traffic Law § 261 requires that each Administrative appeal filed pursuant to Article 3-A of such law be reviewed by the Appeals Board whenever a license, certificate, permit or any privilege is denied, suspended or revoked by the Department.

Vehicle and Traffic Law § 398-f requires the Department to establish a Repair Shop Review Board to review appeals relating exclusively to repair shop activity.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The TVB adjudicates non-criminal traffic infractions in New York City, western Suffolk County, Rochester and Buffalo. In 1969, the New York State Legislature passed Article 2-A of the Vehicle and Traffic Law, which removed traffic violations from the criminal courts in New York City and gave jurisdiction to the DMV to hear cases involving traffic infractions administratively. In 2007, the Appeals Board decided a combined total of 8,785 appeals.

**Issues:**

In order to ensure expedient review of appeals, the number of appeals analyzed per month must also be at a satisfactory level. This requires a full staff of attorneys and legal analysts to analyze appeals.

**Population Served:**

Appellants are persons who have been fined, suspended or revoked after an administrative hearing or denied a license or other privilege after administrative review. Appellants include drivers who have been convicted of moving violations in those areas of the State where the DMV Traffic Violations Bureau acts as a traffic court; DMV-licensed businesses (such as safety and emissions inspection stations, dealerships and motor vehicle repair shops); and vehicle registrants.

**Performance Measures:**

The number of TVB appeals decided per month;  
The number of TVB appeals analyzed per month; and  
The number of non-TV B (Administrative) appeals decided per month.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Freedom of Information/Subpoena Unit

**Mandate:**

The Freedom of Information/Subpoena Unit is essential to the agency's compliance with section 87 of the Public Officers Law (POL), the Freedom of Information Law (FOIL).

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DMV has been responding to FOIL requests since the enactment of the FOIL in 1977. The FOIL/Subpoena Unit has been reporting directly to a management level attorney for the past 7 years. The Unit's failure to respond to FOIL requests in a timely and comprehensive manner may result in litigation and the payment of attorney's fees to the petitioner. Failure to timely comply with a subpoena may trigger a contempt citation from the court. Recent statutory amendments to the Public Officers Law have tightened the timeframe within which a FOIL request must be answered while increasing the nature of requests that can be made, resulting in an increasing burden on the Unit.

**Issues:**

There is an increasing need for agency records, including data maintained by DMV and our photo images. Access to such records is often restricted by federal and state privacy laws, which are designed to protect personal information maintained in such records. In addition, since a photo image is not a public record, pursuant to Vehicle and Traffic Law section 504(3), a photo may only be obtained from DMV via a subpoena. However, various groups, such as District Attorneys, US attorneys and law enforcement personnel want easy and expeditious access to our photos via e-mail. A pending project involves exploring ways to transmit photos to proper parties in a protected, encrypted e-mail environment.

As we receive requests for our personal data, we must insure that such data is only sent to parties with a permissible use, i.e. who have a legal right to obtain such data. In addition, there are various points of access to data in our agency, i.e. via the FOIL/Subpoena Unit, the Certified Document Center and IT staff. We must coordinate our policies and procedures for releasing documents so that there is consistency throughout the agency.

**Population Served:**

District Attorneys, US Attorneys, private attorneys, businesses, regulated parties and, particularly with respect to FOIL requests, from the general public.

**Performance Measures:**

The number of FOIL and subpoena request received

The number of phone inquiries.

The number of subpoenas for photos only vs. all of subpoena requests



DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET

**Program:**

Budget Office

**Mandate:**

Article 7 of the NYS Constitution; section 1 calls for the head of each State Department to prepare estimates and information which will be used for the Governor's preparation of the budget to be submitted to the Legislature.

**Mandated Funding Level:**

As allowed by Section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

*DMV Budget Execution-* Budget execution includes many on-going tasks such as processing and justifying hiring approvals, development and execution of the agency spending plan, monitoring expenditures and staffing levels, including payroll and the development of fiscal analysis of proposed initiatives as well as legislation.

*DMV Budget Preparation-* Annually prepares the agency's budget request and justification within the guidelines established by the Governor's Office. This office works very closely with the Division of Budget to develop program justification for the new initiatives as well as supporting on-going programs. The Budget Office also provides support to DOB as the budget is negotiated through the Legislature, continuing to provide fiscal analysis as required.

**Issues:**

None

**Population Served:**

Entire agency, Division of Budget, Office of State Comptroller, various other state agencies

**Performance Measures:**

Cash By Fund- Staying within the established cash limits

Fiscal Note Turnaround time- Completing all fiscal notes within a 10 day period

Cert turnaround time- have all certificate of appropriations approved by DOB and processed by OSC by the first day of the quarter

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Expenditure Accounting

**Mandate:**

There is not a mandate requiring the establishment of this program. However, the program is responsible for administering the assessment of the Financial Security Program costs as prescribed in Sections 6 & 7 of the Vehicle & Traffic Law.

The law requires DMV to annually assess insurance companies writing automobile bodily injury policies to recover DMV's costs incurred in the administration of the Financial Security Program.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Expenditure Accounting is responsible for paying all DMV's bills, including payments for building leases, telephones, security guards, armored cars, electric/gas, EZ Pass, production of licensing documents, among others as well as employee travel. More than 16,000 invoices are vouchered and paid annually, totaling over \$80 million.

As noted above, this Program administers the Financial Security Assessment as required under Sections 6 & 7 of the V&T Law.

Significant revenue is collected by this program.

**Issues:**

The Expenditure Accounting unit has developed performance measures around the timely reconciliation and reporting of the revenues collected by the Department of Motor Vehicles in order to ensure that are responsive to our control agencies.

The Department is unclear on impact of the implementation of the Statewide FOCAS and FMS projects. We are waiting for clarification the fiscal impact of compliance for the Department.

**Population Served:**

Office of the State Comptroller, Insurance industry, vendors doing business in NYS, various NYS agencies

**Performance Measures:**

- 100% invoices paid on time, interest paid.
- 100% of bank reconciliations completed by the 15<sup>th</sup> of the next month
- 100% travel vouchers processed within 7 business days.
- 100% of estimated FS assessment letters issued timely.
- 100% of final FS assessment letters issued timely.
- 100% of companies submitting FS assessment payments by due date

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET****Program:**

Revenue Accounting

**Mandate:**

The program is responsible for administering and compiling a number of functions and reports mandated by Vehicle and Traffic Law and State Finance law. Mandated functions performed include 38 monthly revenue transfers to various funds as required by Vehicle and Traffic Law, reconciliation of and reporting on 154 bank accounts in accordance with Article 7 (107) of the State Finance Law, administering the agency's bad check collection process as prescribed in Section 202(b) of V&T, administering the agency's refund function as specified by V&T Section 428(a), and maintaining the escrow accounts for electronic record searches as prescribed in Section 202(c) of V&T.

Mandated reporting includes the Comparative Revenue Collection Statement to the Office of the State Comptroller (State Finance Law Section 54(l) (j)), Sole Custody Report to the Office of the State Comptroller (State Finance Law Section 8), KPMG Audit (Article 7(122)(a)) and Report of Unclaimed Funds (Section 1315 of Abandoned Property Law).

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Department of Motor Vehicles collects more than 140 different types of fees and fines at more than 150 offices across the State. Revenue is transferred to a centralized account held by the Office of the State Comptroller and are distributed to various state funds specified by law. Nearly half the revenues go to funds supporting highway and bridge capital projects.

The revenue distributions are made on the basis of monthly accountability reports prepared by the Revenue Accounting unit. In order to ensure that all DMV receipts are accounted for and disposed of pursuant to State Laws, this Program prepares reconciliations of incoming and outgoing transfers. The procedures and internal controls in place provide assurance to the Legislature, Office of State Comptroller, DMV Executive Management and the citizens of New York State that each motor vehicle fee is collected, accounted for, and disposed of in an accurate and timely manner.

Significant revenue is collected by this program.

**Issues:**

The Revenue Accounting unit has developed performance measures around the timely reconciliation and reporting of the revenues collected by the Department of Motor Vehicles in order to ensure that are responsive to our control agencies.

**Population Served:**

Office of the State Comptroller, DOB, County Clerks, Electronic Search Accountholders, Motor Vehicle registrants and licensees.

**Performance Measures:**

Revenue Transfers made by the 10<sup>th</sup> of the following month

Bank reconciliations completed by the 15<sup>th</sup> of the month

Bad check repayments entered into the bad check system within 2 days of receipt.

Checks received for escrow search accounts entered into the system the day they were received.

Compile and submit certification to OSC by the 10<sup>th</sup> of the month.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Procurement Office

**Mandate:**

There is not a mandate requiring the establishment of this program. However, the program is responsible for administering and compiling a number of functions and reports mandated by State Finance Law, New York Executive Law Article 15A, and Executive Orders. Mandated functions performed include the Procurement Lobbying Law, Vendor Responsibility, Minority and Women Business Enterprise Development, and Green Procurement. Mandated reporting includes quarterly MWBE Utilization reports (Article 15A) and Omnibus Annual Procurement Contract Report (State Finance Law 139-I).

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Procurement Office is responsible for administering the Statewide Procurement goals of ensuring fair and open competition; preventing favoritism, fraud, collusion and waste; protecting state and taxpayer resources; and ensuring procurements are obtained in the best price and product for the State. The Procurement Office is comprised of two units; the Purchasing Unit and the Contract Administration Unit.

The *Purchasing Unit* is responsible for procuring the Department's commodity and equipment needs, within the framework of rules and regulations promulgated by the Office of General Services, the Office of Technology, and the Office of the State Comptroller. Purchasing also provides oversight for the CitiBank Corporate Purchasing Card Program.

The *Contract Administration Unit*- This unit, in concert with the Legal Bureau, procures and administers the agency's contracts, and works directly with the Attorney General's Office and the Office of the State Comptroller to secure approval on the agency contractual procurements. Each year, the Department enters into numerous contracts and Memoranda of Understanding (MOUs) with vendors, service providers, governmental agencies and other entities. Each of these agreements creates fiscal and/or legal obligations for the agency. As such, all of these agreements need to be reviewed and processed by the Contracts unit within Fiscal Management.

**Population Served:**

Office of the State Comptroller, OGS, Attorney General's Office, Empire State Economic Development, various NYS agencies, and vendors doing business in NYS.

**Performance Measures:**

100% of MOU's executed within 3 business days of receipt.

% of quarterly Field Office performance reports received for service contracts.

% of discretionary spending (services) with MWBE Enterprises each quarter.

Quarterly MWBE Spending reports (services) filed with DMWBE on a timely basis.

Issue card and training to new cardholders within 10 days of request of card % of card users that return their plot sheet on time

% of non-responsive card users sent reminder notice.

Review at least 25% of plot sheets for the reporting period.

% of discretionary spending (commodities) with MWBE Enterprises each quarter

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**  
Personnel

**Mandate:**  
State Finance Law; Civil Service Law; Article 5, Section 6 of the NYS Constitution; Collective Bargaining Agreements; Family Medical Leave Act; Workers Compensation Law

**Mandated Funding Level:**  
As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**  
The core functions of the Division of Personnel include payroll, examination administration, classification, and employee benefits. Personnel ensures that payroll is administered in an accurate and timely manner. In addition, by directing the Civil Service examination program and classification of positions for DMV, the Division provides staff suited to carry out the agency mission and meeting programmatic needs. Finally, by coordinating the employee benefits programs, the Division meets requirements set by laws, regulations and collective bargaining agreements.

**Issues:**  
N/A

**Population Served:**  
DMV Workforce; General Public

**Performance Measures:**  
The Division of Personnel bases its performance quality on such measures as timely submission of an accurate payroll and scheduling examinations in order to meet the current and future hiring needs of the agency. Additionally, the classification program is under constant review to meet current and future agency staffing needs. The administration of the employee benefit program keeps employees updated on available benefits, and makes sure that the agency is in compliance with laws, rules, regulations and collective bargaining agreements affecting the agency.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Labor Relations

**Mandate:**

Taylor Law; Collective Bargaining Agreement; Civil Service Law Section 75; Americans with Disabilities Act (ADA); State Division of Human Rights Law Section 504; NYS Labor Law Section 27a,27b; "Public Employees Safety and Health Act," Article 2; CSEA Collective Bargaining Agreement, Articles 15, 38; PEF Collective Bargaining Agreement, Articles 10,18; Fire Code of New York State; "Duty of public employers to develop and implement programs to prevent workplace violence," Article 2; Public Buildings Law, Section 140; Human Rights Law, Article 15; Executive Order 19.

**Mandated Funding Level:**

As allowed by Section 1 of Chapter 55 of the State Finance Law.

**Brief Description/History/Background:**

The Division of Labor Relations performs a number of functions within DMV, serving as the agency coordinator of such activities such as employee advisement, providing forms and applications, maintaining lists, and assigning parking permits. In addition, the office coordinates Taylor Law and collective bargaining agreements regarding employee discipline, grievances, and discrimination complaints, and investigates when a customer files an internal complaint. This office also accepts requests to meet Reasonable Accommodations in the agency through evaluating and granting or denying employee needs. Labor Relations is also legally mandated to comply with various health and safety standards, and to insure that the Department is meeting its legal and contractual requirements by working with other State agencies and Federal, State and Local governments. Labor Relations also participates in the joint Labor Management Advisory Body for EAP.

**Issues:**

Labor Relations continues to handle an increased workload in contract administration, medical parking requests, and increased costs in interpreter services. In addition, the passage of new laws and regulations regarding Reasonable Accommodation requests and Domestic Violence in the Workplace initiatives means that these expansive programs are more burdensome in the area of training, reporting, and distributing policies. For discrimination and sexual harassment complaints, time and travel is required to investigate complaints on a statewide level, and with the increased diversity in our workforce this office anticipates an increase in discrimination complaints.

**Population Served:**

DMV Workforce, General Public

**Performance Measures:**

Labor Relations meets the requirements outlined in Collective Bargaining Agreements, provides parking permits and updates parking lists on a monthly basis, and makes arrangements for interpreter services in a timely manner. In addition, the office meets mandated reporting and training requirements, and is required to meet complaint referrals within a 15-day period for Division of Human Rights complaints, and 30-days for EEOC complaints. Also, a timely distribution of policies regarding Domestic Violence in the Workplace is required, along with a statistical report due twice a year to the Office of Prevention of Domestic Violence. Finally, Labor Relations addresses issues brought to the attention of the EAP Advisory committee, and maintains a monthly statistical report.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Information Technology - Applications Development

**Mandate:**

The applications development division is regulated by a number of Federal, State, and Industry compliance requirements. The application systems and data integration processes managed by this area provide automation support for the agency business functions. Primary areas of mandated program compliance and controls include: NYS Cyber Security & Critical Infrastructure Coordination policies/standards; Payment Card Industry (PCI) Standards; FMCSA Motor Carrier Safety and Improvement Act; Federal Patriot Act; International Registration Plan; Insurance Industry Enforcement Standards; Social Security Technical Security Plan; Security Breach Notification Act; Article 7 of the General Business Law; Vehicle & Traffic Law; Executive Orders 3, 4, 6, 8, 117; CIO/OFT State Technology policies, standards, and guidelines (G02-001, S04-001, S05-001, S05-002, G06-001, S08-001, P08-005); NYSLinks requirement; Article II (201-208) internet security and privacy act; NYS Web Portal – NY.GOV standard; NYS Trust Model/IAM Standards/IAM principles (G04-001/02); Electronic Signatures and Records Act guidelines; Privacy Act of 1974; Driver Privacy Protection Act of 1994; Health Insurance Portability and Accountability Act. The core systems support the areas that fall under these mandates. Additionally, core functions of DMV are in support of enforcement and anti-fraud programs, and the regulation of businesses that conduct motor vehicle business; many of these programs have application systems that support these areas.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Applications Development is responsible for the development of computerized systems. Staff work closely with DMV's program units and managers to analyze, design, develop, test, and deploy new and updated data processing systems. This division maintains over 125 application systems, with a managed project portfolio of over 300 projects. Mission critical areas of system support include: Driver/vehicle issuance systems supporting over 50,000 transaction updates per day in 130 office locations; Traffic Ticketing systems supporting over 35,000 transaction updates per day in 14 offices; and, Display/Search systems supporting over 500,000 data inquiries per day. The application systems manage the motor vehicle records of over 25 million citizens and businesses. DMV exchanges information with a number of external partners, including support of over 35,000 insurance enforcement transactions per day, 50,000 emissions inspection transactions per day, and 1,500 accident reports per day. Internally, applications development supports the administrative support systems used all DMV employees. Application access controls and security compliance is an area that has realized increasing support requirements. The eDMV Services sub-division within Application Development supports the agency eGovernment services, and works closely with the Office of Technology to establish statewide eCommerce priorities. Public web transaction volumes have exceeded 3 million transactions per year, with over 2 million of these being fee self-service payments.

Significant revenue is collected by this program.

**Issues:**

Increased demands for technology solutions while addressing security compliance needs presents high demands for solutions. Outdated, high maintenance, and unsupported application software needs constant attention toward reengineering our systems to address vulnerabilities, eliminate inefficiencies, and adapt to changing requirements. Increased focus on privacy and anti-fraud initiatives have added to the recent IT demands. Reengineering aged legacy systems to support automation, extensions, and self-service has also required considerable attention. The NY.GOV portal initiative will require software modernization for compliance with new standards, and to open opportunities for a customer centric model with collaborative of services.

**Population Served:**

Agency Application System Users: All DMV Internal system users and contracted support.

Citizens that do Business with DMV: 11M active driver license holders, 28M total records; 11M active registrations with over 50M total records and 100M license plate records; 29M vehicle title records; 3M boat/snow recreational vehicles; 4M traffic tickets processed per year.

External data exchanges/interfaces: applications development supports over 300 inventoried data exchanges with DMV Federal, State, Local, and Business partners.

External DMV system users: County Partners - 100 offices, 700 users; Private Partners - 175 partners, 1,500 users; Local Courts - 2,300 courts; Inspection Stations - 7,000 upstate, 4,000 downstate; Display Systems - 6,000 dial-in users; Enforcement - 1,200 NLETS + 49 states NLETS, 560 DCJS; 59,000 certified inspectors; AAMVA NDR/CDLIS - 50 jurisdictions w/ 500-2,000 users per; PREED - 400 jurisdictions; BOE HAVA - 62 counties (900 users); LENS - 1,400 customers; CID Verify Service - 310,000 total OFT users (150,000 are citizens).

Public Web Customers - over 30 public faced eGovernment DMV services are currently available.

Payment card users – 3.8M credit card transactions processed per year. DMV also supports interfaces for two agencies that process their credit card payments through our system.

**Performance Measures:**

Mission Critical System Availability - Not to fall below 99.5% (currently meeting or exceeding standard)

Availability - Not to fall below 99.5% (currently meeting or exceeding standard)

Total Projects Pending Initiation – Not to increase more than 5% (currently 253 pending projects)

Total Active Projects – Not to fall below 50 (currently 51 active projects)

Average Time to Develop Project Resource Estimates – Not to exceed 6 weeks (currently meeting standard)

Average # days to resolve one-shot/FOIL report requests – Not to exceed 10 days (currently 5 days)

Web Transaction System Availability - Not to fall below 95% (currently meeting or exceeding standard)

Number of New eDMV Services per Quarter – One new service each quarter (currently meeting or exceeding)

Total eDMV fee transactions over the last 12 months – Trending upward (2,291,938 / yr, up 5M from last yr)

Total eDMV inquiry transactions over the last 12 months – Trending upward (1,088,914 / yr, up .8M from last yr)

Number of DMV Web site page views – Trending upward (6,149,900 / yr up .5M from last yr)

% of transactions completed through Web site – Typically 20% on high volume / established transactions



**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Information Technology - Technical Support

**Mandate:**

The Technical Support division is regulated by a number of Federal, State, and Industry compliance requirements. The mainframe, system configuration, and network processes managed by this area form the DMV security perimeter, and comprise the critical infrastructure support for the agency. Oversight controls for compliance with IT policy and mandates, IT standards documentation, and the Quality Assurance processes are also a primary responsibility of this area. Primary areas of mandated program compliance and controls include: NYS Cyber Security & Critical Infrastructure Coordination policies/standards; Payment Card Industry Standards; Social Security Technical Security Plan; Security Breach Notification Act; CIO/OFT State Technology policies; Privacy Act of 1974; Driver Privacy Protection Act of 1994; Health Insurance Portability and Accountability Act.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The information technology technical support area delivers technology support and services to the agency. Since the DMV mainframe was absorbed by the Office for Technology (OFT), DMV liaisons with the OFT state data center operations staff for support and has direct responsibility for customizations to the software that comprise the mainframe environment. This division also orders, receives, builds, and installs the hardware that forms the basis of our local area network and client/server infrastructure. Responsibilities also include the internal DMV network, as well as access to and from external agencies/jurisdictions through the NYeNet and other connections; agency firewall protection against viruses and other intrusions into our system; agency electronic mail systems; servers that support our systems; telecommunications; and, the security and software configuration support for the servers and agency PC desktop's and workstations. Also within this division, IT Service Management (ITSM) bridges the gap between the business and the technology. The IT Help desk services, IT Standards and Controls support areas that comprise ITSM form the foundation for a number of strategic and tactical services that address management of service levels, financials, capacity, availability, security, and risk management. The data base administration (DBA) support area within Technical Support designs, develops and maintains agency databases on both mainframe and server platforms. The DBA's assure the integrity and accessibility of the databases, and are also responsible for backup and recovery of the databases and for insuring the database management software remains on current versions. Key areas of focus for all areas within the technical support division include performance maintenance, capacity management, and managing system backup/recovery.

Significant revenue is collected by this program.

**Issues:**

Maintaining high availability and addressing security vulnerabilities as technology continually changes is a challenge for IT. Distribution support for more frequent software releases and patches, while ensuring the integrity of the systems puts high demands on system administrators. Off hours support, disaster recovery planning to reduce business downtime and risk, along with 24x7 service expectations have increased demands. Server and application virtualization, high availability storage, and database clustering have been a focus to help address the support and availability demands. Additionally, increases in security/privacy standards from the federal, state, and industry have required increased support for patch management, vulnerability scanning/remediation, and product upgrades to support stronger controls such as encryption.

**Population Served:**

Agency System Users: All DMV internal system users and contracted support.

External agency email correspondence: over 10 million emails are exchanged via the internet per month.

External Data Exchanges: over 300 external data exchanges are managed for governments and businesses.

Vendor Service Level Management: oversee service level obligations for vendor installation/support.

Agency Testing/Training Coordinators: facilitate acceptance testing and system testing support.

Mainframe reports and notices mailed to citizens/businesses: 26M print pages per year.

Transactions processed per day: 500,000 mainframe transactions per day.

Sale of Files Contracts: bulk sale of registration, title, inspection, accident data to contracted vendors.

**Performance Measures:**

Mission Critical System Availability - Not to fall below 99.5% (currently meeting or exceeding standard)

Average System Availability - Not to fall below 99.5% (currently meeting or exceeding standard)

Desktop PC's supported – over 4,000 agency PC's supported (1,500 central office, 1,800 field office)

Servers supported – over 500 agency servers supported (over 200 are virtualized, 150 are remote field servers)

3<sup>rd</sup> Party Software Products – 235 inventoried products maintained and managed.

Blocked spam/malware percentage of total internet email – Not to fall below 98% (currently meeting standard)

Number of PC hardware support requests received – 100 per month is normal (currently at standard)

% of Tally printer service repair calls completed – maintain 100% (vendor is currently **not** meeting SLA standard)

Average # days to resolve PC hardware support requests – not to exceed 6 days (currently meeting standard)

CSCIC 'Cyber Advisories' Applicable to DMV – typically 3 per month (currently exceeding threshold expectation)

% of post-production software defects – not to exceed 25% of overall defects (currently meeting standard)

IT Help Desk Support – 2,850 service requests per month (888 web, 1,4171 mail, 545 phone)

Agency Technology Purchases – 300-500 software and hardware purchase orders are processed per year.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Data Services

**Mandate:** VTL 201, 202 a 354; Driver's Privacy Protection Act; Information Security Breach Notification Act; NYS Technology Law (indirectly via security standards); Federal Motor Carrier Safety Information Act.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Data Services provides public records for the agency. It is the first stop for institutional customers who require volume, or self-service access to driving, vehicle, accident, and insurance records; and products that are derivatives thereof. Data Services also produces statistics regarding the content of DMV's records. Data Services also performs certified document functions that include Certified Orders of Suspension, Affidavits of Regularity, Proofs of Mailing, and Statements of Insurance Coverage.

Significant revenue is collected by this program.

**Issues:**

Some of the customer base is composed of customers who cannot use automated means to acquire DMV's records. As a result, that part of the unit performing manual searches operates near capacity, so service levels vary with staffing levels.

**Population Served:**

Data Services provides technical support to, and exercises oversight of, the customers using the agency's record distribution services. The customers include Federal, state, and local government and law-enforcement agencies, prosecutors, defense attorneys, courts, defendants, private practice attorneys, dealers, registrants, motorists, insurance companies, and employers of drivers.

**Performance Measures:**

Measures, by each system, of: active customers, revenue, and turnaround for service

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Agency Program Support: Program Analysis/Project Management

**Mandate:**

Provide centralized forms management ensuring consistency with regulatory and statutory requirements, timely implements new laws, business analysis, RFP development and other administrative functions to maintain agency compliance with state and federal mandates, procedural notice to police, magistrates and other affected entities statewide regarding a change in regulation or statute.

**Mandated Funding Level:**

As allowed by section 1 chapter 55 of the State Finance Law

**Brief Description/History/Background:**

This program supports the work of all other DMV program areas within the agency through creation and maintenance of all DMV forms, project management and coordination of inter- and intra-agency initiatives, business and legislative analysis and related implementation of mandated programs, subject matter research including surveys and benchmarking, and analysis and project support including the development of MOUs and RFPs. Providing these centralized services allows the agency to have a single point of review to identify issues within the agency and anticipate operational risks:

This program area is responsible for development of improved agency project prioritization and project reporting processes. The goals are to ensure that the agency successfully balances its program priorities within time, fiscal and other resource constraints and to provide consistent reports on projects of a high level to ensure projects are on track and not wasting resource. Primary responsibility for implementation of WHTI (EDL) is with this program area.

**Issues:**

Lack of or late compliance with laws and mandates could lead to sanctions and confusion to state and local agencies.

**Population Served:**

All of DMV's external customers are impacted by this program's work, including drivers, commercial drivers, vehicle owners, registrants, legislation and others.

**Performance Measures:**

Maintenance of adequate forms inventory  
Project timeframes and adherence to original scope  
Project status for agency Executives  
Response time responding to Password issues on web-based information for police on VPASS  
Turn-around time on assignments and adherence to due dates

**DEPARTMENT OF MOTOR VEHICLE  
PROGRAM INFORMATION SHEET**

**Program:**

Legal Bureau

**Mandate:**

There are no Federal or State statutes that require the establishment of a Legal Bureau in DMV. The Legal Bureau, however, is essential to the agency's compliance with numerous Federal and State mandates.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Legal Bureau's core function is to assist the agency in carrying out its mission and complying with statutory mandates. The Legal Bureau works with the Attorney General's Office to defend lawsuits filed against the agency. The AG's Office requires DMV's attorneys' expertise about the Vehicle and Traffic Law (VTL), the Commissioner's regulations and how the agency's procedures fit accord with such statute and regulations. DMV attorneys prepare affirmations and affidavits for the AG's Office and assist with depositions and discovery.

The Bureau also: promulgates regulations; drafts legislation; works with DMV's organizational units to implement mandates and agency projects; comments on "10 day bills" delivered to the Governor. Although the Legal Bureau is not mandated by law, its functions could not be carried out by agency non-attorneys. Only DMV's attorneys have the requisite expertise about the VTL and other laws, regulations and general legal concepts and theories that is necessary to effectively carry out the agency's functions in a manner that both complies with the law and reduces the agency's exposure to liability.

**Issues:**

Legal Bureau is essential to the agency's carrying out its core mission and projects in 2008-09, such as the implementation of the Enhanced Driver's License project.

**Population Served:**

Legal Bureau is counsel for all DMV employees in support of their carrying out their core functions and mandates. We give advice and guidance to every functional unit in the agency. We also serve the public, including District Attorneys, judges, private attorneys, regulated parties and citizens in dealing with numerous issues.

**Performance Measures:**

Due to the reactive and subjective nature of Legal Bureau's role, we have only one performance measure, the average length of time in days it takes to respond to e-mails and other correspondence. In June 2008, it took 3.25 days to respond to e-mails and 7.36 days to respond to other correspondence. The benchmark is 5 days for e-mails and 7 days for other correspondence.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Field Offices

**Mandate:**

NYS Vehicle & Traffic Law: Article 14 – Registration of motor vehicles

Article 15 – Registration of motorcycles

Article 17A – Non-driver identification card

Article 19 – Licensing of drivers

Article 20 – Suspension and revocation

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Field offices issue learner permits, driver licenses and non-driver id cards by verifying applicant identity; conducting appropriate knowledge and fitness tests; collecting required fees and issuing temporary documents. They amend license and registration documents when required, issue duplicates when documents are lost or stolen and renew documents on a regular basis.

Field offices register all types of vehicles by verifying ownership, appropriate payment, insurance and registrant identity; collecting required fees and taxes; and issuing identifying stickers and license plates. They also serve an enforcement function when a license or registration is suspended for failure to comply with requirements. They accept proof of compliance, collect penalty fees, enroll offenders in rehabilitation programs, issue conditional documents where allowed by law and authorize the end of the suspension where appropriate.

County field offices, while operated and funded locally, are directed by the State. DMV develops guidelines, audits and performs procedural reviews, provides equipment, supplies, forms, and security documents for County field offices

Technical and procedural support is provided to all State and County field office staff as well as office managers and supervisors. State and federally mandated training is developed and provided for both State and County field employees.

Field offices operations are supplemented with a customer-service oriented mail renewal center. The mail renewal center processes applications for driver license and vehicle registration renewal as well as payments of certain penalty fees. High-speed processing machines are used to open mail, separate the checks and read barcodes to complete the transaction as efficiently as possible. Staff manages the flow of work in the equipment and processes exceptions on more traditional equipment. The high volume of transactions, despite their relatively low complexity and duration, would consume significant staff time in the field office environment and reduce the ability to serve other customers.

Significant revenue is collected from these programs.

**Issues:**

Field offices serve as the primary point of contact for the public and offer a full range of service options. They reduce travel requirements by the nature of their locations, provide faster processing by immediately issuing documents and offer a range of payment options by accepting cash.

Field offices enhance the integrity of the licensing and registration processes in several ways. They securely conduct the fitness and knowledge tests that are an integral part of a customer's driver license application. They also review original proofs prior to the issuance of any documents or action on any suspensions.

Field offices are currently seeing a relatively low volume of customers for driver license renewal due to changes to the license validity period in previous years. This trend will reverse in the next fiscal year and field offices will begin to see license renewal volumes increase to approximately 2.2 million transactions annually. These customers will tax staff processing capacity and increase office congestion and customer wait times.

Field offices are committed to issuing Enhanced Driver Licenses beginning September 16<sup>th</sup> of this year. This initiative will draw additional customers to the field offices and extend processing time for customers who opt to participate during an unrelated visit to an office. This will further tax staff processing capacity and increase office congestion and customer wait times.

**Population Served:**

Twenty-seven state-operated field offices serve the five boroughs of New York City and the counties of Albany, Nassau, Onondaga, Rockland, Suffolk and Westchester. This area has a total population of approximately 13 million with approximately 5.5 million registered vehicles and 7.8 million driver license and non-driver id card holders.

In FY2007-2008 field offices served approximately 5 million customers.

**Performance Measures:**

Average Wait Time

% of Customers Waiting 30 Minutes or Less

Procedures are kept up to date with changes being posted in a timely manner.

New procedures are developed for legislative or policy implementations or changes. Procedures are written and ready to be posted in conjunction with implementation dates.

Responses are researched and prepared and returned on or before the due date.

Procedures are kept up to date with changes being posted in a timely manner.

New procedures are developed for legislative or policy implementations or changes. Procedures are written and ready to be posted in conjunction with implementation dates.

Responses are researched and prepared and returned on or before the due date.

Registration Renewal Turnaround Time

License Renewal Turnaround Time

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Testing & Investigations

**Mandate:**

NYS Vehicle & Traffic Law: Article 19 – Licensing of drivers  
Article 19A – Special requirements for bus drivers

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Testing & investigations staff conducts the skills test portion of the driver licensing process. This may occur when a customer first seeks a driver license, when a customer seeks to expand the driving privileges to additional types of vehicles or when a customer's fitness to drive is questioned and a re-test is required to retain their privileges. The skills test is conducted at posts across the state and, as the final portion of the driver license application process, is a key mechanism for promoting traffic safety.

Testing & investigations staff also conducts inspections of driving schools, public service bureaus and bus companies to ensure compliance with state laws and regulations such as Article 19A.

**Issues:**

Testing & investigations staff is generally based at one of the units located around the state, including remote posts.

**Population Served:**

Fourteen testing & investigations units serve customers at nearly 160 posts across all of New York State; a population of approximately 19 million with approximately 11.1 million driver license and holders.

In FY2007-2008 testing & investigations units served approximately 550,000 customers.

**Performance Measures:**

Road Test Lag- Commercial Driving License  
Road Test Lag- Car



**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Online Knowledge Test Application

**Mandate:**

Not Applicable

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Authorized high schools access a secure web application to administer the knowledge test for certain driver license classes to their students. The application generates a pending license record and a receipt as proof of the passed test. The student must then visit a field office to complete their learner permit application.

**Issues:**

Participation in the OKTA program reduces the length of a customer visit to a field office by eliminating the time devoted to the knowledge test and better preparing the customer. The reduction helps relieve congestion, which in turn improves the overall customer experience.

The OKTA program can also reduce the frequency of customer visits for applicant who fails the knowledge test. This reduction will also impact overall congestion and customer experience.

The OKTA program was developed by a vendor under contract with the Department. The contract is valid through December 2010.

**Population Served:**

Approximately 400 high schools across New York State participate in the program. In FY2007-2008 participating schools served approximately 11,500 customers.

**Performance Measures:**

Number of Knowledge Tests Conducted

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Outreach Program

**Mandate:**

Not Applicable

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

A team of field office staff uses mobile processing equipment to visit off-site locations and process license and registration transactions for customers without an office visit.

**Issues:**

The outreach program reduces the volume of customers in field offices. This reduction helps to reduce congestion and improve the overall customer experience.

**Population Served:**

The outreach program generally serves the five boroughs of New York City and the counties of Nassau, Rockland, Suffolk and Westchester. In FY2007-2008 the program served approximately 1,300 customers.

**Performance Measures:**

Number of Transactions Completed  
Public Feedback

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Central Office Operations

**Mandate:**

Various sections of the NYS Vehicle & Traffic Law including: Article 46, Sections 401, 401-a, 401-b, 401-g, and 404

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DMV Central Office Operations performs a wide range of supportive, administrative and customer service oriented tasks. Central Office Operations is responsible for managing the issuance of ownership documents for vehicles registered and titled in NYS, the preparation and screening of driver license and identification documents prior to customer issuance; managing and monitoring the registration activities of private dealers, fleets, and private service bureaus across the state; and correcting and updating individual's license and registration records. Central Office Operations is also responsible for administering DMV's Custom Plate Program including the design, development, and marketing of plates; operating four separate Call Centers that provide a point of contact for customers who need DMV services and information; as well as mailing original license and registration documents, renewal documents, revocations, and notice of suspensions to customers statewide.

Significant revenue is collected by these programs.

**Issues:**

**Title Bureau**

20,000 requests for obtaining documents from Registration and Title files last FY  
Responded to 2,600 ownership related emails through agencies Right Now Web  
Answered 213,000 phone inquires from public and field offices last FY  
Completed 289,000 title related transactions last FY

**License Production**

Screened and prepared 3.5 million license/ID documents last FY  
Processed 112,000 miscellaneous license transactions last FY  
Processed 155,000 address changes, 162,000 out of state surrenders last FY  
21,000 responses to individual inquires by telephone, in writing or by email last FY

**Registration Services**

Processed 88,000 registration transactions for dealers last FY  
Supplied 540,000 registration plates and 56,000 in transit permits to Plate Issuance Dealers last FY  
Processed over 100,000 corrections to licenses and registrations last FY  
Processed 10,000 plate surrenders received from police agencies last FY  
Serves over 876,000 customers

**Custom Plates**

Administers 285 different types of custom plates available to public  
23 types of judicial, legislative and other "official" plates  
Approximately 42,000 telephone calls were received last FY  
Approximately 34,000 registration/plate transactions were processed last FY  
Approximately 50,000 custom plates were issued via all venues last FY

**Call Centers**

Approximately 4 million calls answered last FY

Approximately 292,000 transactions processed last FY  
Eliminated the need for approximately 226,000 customers to visit a local Motor Vehicle Issuing Office

Approximately 190,000 transactions processed via the interactive voice response units without the assistance of call center staff.

**Mail Operations & Warehouse**

25 million documents inserted, sorted, received, stored and or mailed annually.

**Population Served:** All motorists who have a vehicle registered and/or titled in the State of New York, all automobile dealers registered to operate in the State of New York, all lending institutions that write loans on vehicles in the State of New York, all customers having a driver license or identification card issued by the State of New York, dealers in the Dealer Plate Issuance Program, private partners in the Partnering Program, State and County Legislatures, Office of Court Administration, various organizations and groups, and the general public.

**Performance Measures:**

Telephone Abandon Rate

Telephone Average Wait Time

Telephone Average Talk Time

Correspondence Turnaround Time

Turnaround Time for Miscellaneous Processing

Turnaround Time for Title Processing

Number of License Documents Reviewed

Number of License Transactions Processed

License Production Turnaround Time

Number of Address Changes

Application Processing Turnaround

Dealer Registration Applications Processed

Verify Transactions Processed

Turnaround Time for License Corrections

Turnaround Time for Registration Corrections

Application Turnaround Time to Process Custom Plate Orders

Average Speed of Answer

Percentage of Calls Answered by Interactive Voice Response (IVR)

Number of Days for Mail Delivery from Business Day of Receipt

Mail Processed

## Attachment C

### DEPARTMENT OF MOTOR VEHICLES PROGRAM INFORMATION SHEET

**Program:**

Custom Plates- Custom Plate Marketing

**Mandate:**

New York State Vehicle and Traffic Law: Section 401G, Section 404

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DMV designs, develops, and markets the 285 different types of custom plates available to the public. These plates have a broad range of themes including sports teams; colleges, fraternities, and sororities; counties and regions of NYS; as well as a variety of causes and organizations. Marketing activities include ads, website spots, and kiosks at the State Fair.

**Issues:**

Marketing custom plates fosters awareness of the many custom plates available and helps to ensure sales and receipts of revenue for the State.

**Population Served:**

General public  
State and County Legislators  
The NY Press  
Various organizations and groups

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Traffic Violations Bureau Hearings

**Mandate:**

Article 2-A of the Vehicle and Traffic Law (VTL) mandates the establishment of the Traffic Violations Bureau (TVB) in New York City, Rochester, Buffalo and part of Suffolk County. The TVBs are required to hear violations committed in those jurisdictions related to traffic, except for parking, stopping and pedestrian offenses. Traffic violations that are misdemeanors and felonies are heard in criminal courts.

**Mandated Funding Level:**

VTL section 227(5) provides that the fines collected by TVB shall be distributed to the jurisdictions where the offenses are heard, provided that DMV shall receive an amount to offset the cost of administering the TVB program.

**Brief Description/History/Background:**

Chapter 1074 of the Laws of 1969 established the Traffic Violations Bureau, effective July 1, 1970. As the legislative history notes, the purpose of the TVBs was to alleviate the burden in the criminal courts which could not handle the workload imposed by handling over a million traffic tickets a year. The Legislature moved the non-misdemeanor and felony offenses out of the overwhelmed criminal courts and provided for their adjudication via administrative hearings in TVBs. Although TVBs afford all motorists due process, the TVBs are subject to neither the Criminal Procedure Law nor the Civil Practice Law and Rules, which results in a more efficient adjudication of tickets.

There are 11 TVB sites where hearings are held before an Administrative Law Judge (ALJ). Brooklyn, Manhattan and Queens have two hearing sites due to the significant number of tickets adjudicated in those boroughs. Each site has a Senior ALJ who supervises the ALJs and staff at the site. There is a Supervising ALJ who supervises all of the ALJs. There is also clerical staff at each site. This staff is critical to serving the thousands of motorists who appear for hearings, enter pleas, pay fines and have general inquiries. The staff also assists the ALJs in the hearing rooms. From July 2007 to June 2008, 1,486,427 tickets were issued, of which 1,308,117 were returnable in NYC. There were 374,917 contested hearings in NYC and 44,840 in the rest of the State. These statistics illustrate how the TVBs relieve the criminal courts of an enormous workload.

Significant revenue is collected by this program.

**Issues:**

The Department has established an "E-Plead" system whereby motorists may enter pleas to tickets and pay fines on line. In addition, we are on the verge of rolling out a new system whereby attorneys may schedule TVB hearings and get other information pertinent to their client's tickets on-line. These innovations reduce the burden on clerical staff and the lines in our TVB offices. It is hoped that the increasing use of these on-line options will continue to assist motorists and attorneys in navigating the TVB system while reducing the burden on TVB staff.

**Population Served:**

The TVBs serve the thousands of motorists who are issued traffic tickets and who appears, often pro se, to answer such tickets. The TVBs also serve the police officers who testify at the hearings

and the attorneys who represent the motorists. In addition, the TVBs serve the general motoring public by promoting highway safety with the fair and efficient adjudication of traffic tickets,

**Performance Measures:**

The TVB measures:

The number of tickets issued in NYC and elsewhere

The number of contested hearings across the State and at the individual TVB sites

The number and percentage of cases where the police officer does not appear

The number and percentage of guilty and not guilty findings

The amount of fines, surcharges and scofflaw termination fees collected

A comparison overtime of the above-mentioned measures

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Safety Hearings Bureau

**Mandate:**

There are no Federal or State statutes that specifically require the establishment of a Safety Hearings Bureau in DMV. The Safety Hearings Bureau, however, is essential to the exercise of the agency's authority under various provisions of the Vehicle and Traffic Law (VTL): Sections 1194 and 415-a; Articles 5, 12-A, 16, 19-A.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Safety Hearing Bureau's origins lie with the emergence of statutes that afford motorists due process to adjudicate alleged violations of the law. Motorists who are alleged to refuse to submit to a chemical test have a statutory right to contest the alleged refusal before an ALJ. Similarly, when DMV investigators charge regulated businesses with alleged violations of the law, such businesses have the right to contest those allegations. These hearings are clearly provided for in statute.

Significant revenue is collected by this program.

**Issues:**

In light of the fiscal situation, the Department has several options that might effectively reduce the number of hearings. We could expand our waiver program, which allows an individual or business who is the subject of investigation to accept a minimum fine, suspension or revocation in lieu of attending a hearing where the outcome could be more severe.

**Population Served:**

The Safety Hearing Bureau affords motorists and regulated businesses the opportunity to contest alleged violations of the VTL and the Commissioner's regulations. In addition, police officers are given the opportunity to present their case at a refusal hearing, while DMV inspectors present their cases at hearings related to regulated businesses. In the past 12 months, for example, DMV adjudicated about 10,000 chemical test refusal cases, 490 dealer cases, 532 inspection cases and 638 fatal accident cases.

To the extent that sanctions are imposed in the appropriate cases, the Safety Hearing Bureau also serves the general public by supporting the agency's consumer protection and highway safety goals.

**Performance Measures:**

The Safety Hearing Bureau measures:

The number of the various types safety cases heard on a monthly and annual basis, with comparisons to the previous year's numbers

The number of cases scheduled and adjudicated by type



**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Traffic Safety Law Enforcement and Disposition (TSLE&D) Bureau

**Mandate:**

Section 513 of the Vehicle and Traffic Law (VTL) requires the courts to notify the Department of Motor Vehicles that a motorist's license has been suspended or revoked. Section 514 of the VTL requires the courts to notify the Department of convictions, bail forfeitures and non-appearances, and requires DMV to record the same. Section 207 of the VTL authorizes the Commissioner to prescribe the form of a summons and complaint and to establish procedures for the disposition thereof. VTL section 354 requires the Department to furnish a driving abstract to any person, which abstract enumerates convictions related to the operation of a motor vehicle.

**Brief Description/History/Background:**

The program staff is responsible for the development and distribution of traffic tickets to all municipalities in New York. These tickets are assigned to state and local law enforcement agencies and are tracked from issuance to final disposition in the court system. Reports of all activity that relate to these tickets are generated monthly and used by local law enforcement and courts for traffic enforcement, license sanctions and other highway safety initiatives. TSLE&D tracks the issuance of over 2.5 million traffic tickets each year from municipalities that are not a part of the Traffic Violations Bureaus, which are established pursuant to VTL Article 2-A. It also records over 2.3 million dispositions and almost 500,000 license suspension orders from local courts. Upon notification from the court, the TSLED program generates and mails suspension orders. These orders are used to compel motorists to answer their traffic tickets or pay their fines. Recording these tickets, dispositions and suspensions supports various highway safety programs within DMV, such as the Driver Responsibility Assessment (DRA) Program, Commercial Vehicle Safety, Seatbelt Safety and many others.

**Issues:**

The Department has partnered with the NYS Police, Office of Court Administration, local law enforcement and the local court system to capture, transfer and record traffic ticket information electronically. During the fiscal year 2007 -2008, the NYS Police and over 280 enforcement agencies issued 1.5 million tickets electronically using lap top computers in police vehicles. TSLE&D also received 1.7 million electronic dispositions from local courts over the past year.

**Population Served:**

The TSLE&D Bureau serves approximately 1,250 village, town and city courts as well as over 600 state and local law enforcement agencies. The population represents an infrastructure of both electronically able and paper based courts and agencies. TSLE&D supplies information to the NYS Comptroller, DCJS, STOP DWI coordinators and highway safety programs.

**Performance Measures:**

The TSLE&D Bureau measures:

% of transactions received electronically

% of courts who access reports electronically

Data entry of tickets/dispositions from receipt to entry

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

DFI – License and Registrations Crimes

**Mandate:**

VTL 227-228 Adjudication of Traffic Infractions, VTL 236-237 Adjudication of Parking Infractions, VTL 310 Motor Vehicle Financial Security Act, VTL 312 Registration of Motor Vehicles, VTL 401 Licensing of Drivers, VTL 2111 Refusing to Issue Certificate of Title, VTL 510 Suspension, Revocation and Re-issuance of License & Registrations, VTL 2130 Offenses Relating to Certificates

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

This office deals with identity theft and related issues. Each year the Unit receives over 2000 complaints. DFI is charged with ensuring that basic physical security requirements are met for all DMV offices and County Issuing Offices. DFI also responds to breaches of security, burglaries, thefts and other unique incidents at all DMV offices. Physical security evaluations at private sector partner and other private business locations are also conducted by DFI in order to ensure MOU elements and other considerations required by the DMV are met.

This office is closely aligned with other DMV offices that adjudicate traffic tickets, administer accident reporting and deal with insurance issues. The office also works closely with the State Insurance Department by identifying those licensed and unlicensed insurance brokers who sell fraudulent insurance policies that result in issues for motorists.

DFI also responds to issues of computer security breaches and unauthorized computer searches conducted by modem account holders, internal users, external users and law enforcement. This office also responds to local, state and federal law enforcement agencies to verify information on data and request supporting documents for cases when needed.

Significant source of revenue.

**Issues:**

As identity theft continues to become the preeminent white collar crime in society today, DMV's role in investigating these crimes as they relate to the DMV, as well as offering motorists potential remedies after they've been victimized, is critical.

**Population Served:**

Multiple state and local agencies

**Performance Measures:**

The number of cases opened and closed by investigators each month.  
The number of NMI's and illegal registrations granted each month.  
The number of arrests made by investigators each month  
DFI tracks the security evaluations.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

DFI- Frauds

**Mandate:** VTL 306(e) Inspection of Motor Vehicles – Enforcement, VTL 392 False Statements, VTL 392b Powers of Motor Vehicle Investigators, VTL 395 Private Service Bureaus, VTL 398g Powers of the Commissioner, VTL 509 Licensing of Drivers – Violations, VTL 515 Alteration of Convictions Endorsed on Licenses, VTL 2130 Offenses Relating to Certificates, VTL 392a Sale or Purchase of Stolen or Fraudulent License, ID Card, Registration or Number Plate

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DFI Frauds Program was initiated in the early 1980's in response to incidents of forged, fraudulent, counterfeit or altered documents presented to the Department. This role became more important with the aftermath of the tragic incidents of September 11, 2001 where it was determined that the terrorists associated with these events easily obtained ID documents through fraud and deception. Such documents are presented to the Department in every conceivable transaction, to include: driver licenses, ID cards, applications for registration and title, regulated business applications and others.

The premise of the DFI Frauds Program is to ensure the integrity of the DMV system through the interdiction of counterfeit and falsified documents and the deterrence of fraud at every level. The DFI Frauds Program also includes a large component of Fraudulent Document Detection Training for DMV staff to preclude the acceptance of questioned documents.

Frauds Investigators also devote a significant portion of their investigative resources on investigations involving regulated businesses. These include driving schools, private service bureaus, retail & wholesale car dealers, private sector partners and others.

**Issues:**

DFI recovers dozens of counterfeit or altered documents each month. These recoveries result in hundreds of felony arrests each year. Lessons learned and information uncovered through these investigations are utilized by the Department to institute secure policies and programs.

**Population Served:**

Local and state agencies across the state

**Performance Measures:**

The number of arrests made by investigators each month

The number of fraud cases opened by investigators

The number and type of fraudulent documents seized by DMV investigators and offices across the state

All employees trained. We also track the number of fraudulent documents detected after different training sessions are held in different regions and areas

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

DFI – Junk and Salvage Unit

**Mandate:**

VTL 223 Motor Vehicle Theft Prevention Program  
VTL 429 Junk and Salvage Vehicles  
VTL 2117(c) Additional Requirements for Applications  
VTL 424 Stolen or Impounded Motor Vehicles  
VTL 431 Vehicle Identification Numbers  
VTL 2111 Refusing Certificate of Title  
VTL 2129 Stolen, Converted, Recovered or Unclaimed Vehicles

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DFI Investigators investigate crimes and scenarios associated with businesses regulated by the DMV in the junk and salvage industry. Central Office Support function is dedicated to the administration of the Junk and Salvage program. They handle the paperwork and processing of the salvage applications and associated issues. This process involves the handling before the auto theft examination and upon completion of the auto theft examination. They also process salvage certificates filed pursuant to the requirements of the State Insurance Department which may or may not be involved with the auto theft examination program.

Clerical staff supports the program through the processing of salvage certificates filed with DMV. This subgroup of Central Office Support staff accomplishes the bulk of its tasks through document imaging. Statute requires that insurance companies, municipalities, government agencies, dismantlers and Itinerant Vehicle Collectors file salvage certificates on all junk and salvage vehicles. DMV staff posts the status of these vehicles as salvage in our system in order to preclude these vehicles from being registered or titled in NY without undergoing the requisite auto theft examination process.

Significant revenue is collected by this program.

**Issues:**

The Junk and Salvage Unit examines over 28,000 vehicles per year. Each examination is conducted to ensure that vehicles and vehicle parts are not stolen, are properly identifiable and proper ownership is filed. Annually, the Junk and Salvage Unit processes approximately 125,000 salvage certificates.

**Population Served:**

Directly serves insurance companies, vehicle rebuilders, law enforcement, salvage yards, dismantlers, mobile care crushers, used car dealers, and others. They issue titles and deal extensively with the public and the associated industries in this regard.

**Performance Measures:**

DFI tracks the amount of time it takes to process a salvage vehicle from the date of application to the date of examination.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

DFI – Auto Theft

**Mandate:**

VTL 223 Motor Vehicle Theft Prevention Program, VTL 392b Powers of Motor Vehicle Investigators, VTL 392 False Statements, VTL 424 Stolen or Impounded Motor Vehicles, VTL 415c Sale of Salvaged Inflatable Restraint Systems, VTL 429 Junk and Salvage Vehicles, VTL 421 Sale of Motor Vehicle with Changed ID Number, VTL 2117(c) Additional Requirements for Applications, VTL 423 Peace Officers and Their Duties, VTL 2126 Powers of Commissioner, VTL 423a Enforcement Procedures for Insuring VIN Retention, VTL 2130 Offenses Relating to Certificates, VTL 426 Punishment False Statements; Stolen Vehicles, VTL 2124 Suspension or Revocation of Certificates, VTL 431 Vehicle Identification Numbers, VTL 2129 Stolen, Converted, Recovered or Unclaimed Vehicles, VTL 2111 Refusing Certificate of Title, VTL 2131 Evidence of Criminal Intent or Knowledge

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The program provides for the establishment of Motor Vehicle Investigator as Peace Officers who act pursuant to their special duties in combating auto theft. Additionally, staff affirms that the proof of ownership for vehicles is legitimate prior to approving the issuance of a certificate of title. Investigators also act as the DMV liaison with local, state and federal law enforcement officials in regards to stolen motor vehicles and auto theft investigations.

Clerical staff supports the auto theft program through the dealing with consumers via phone, email or postal mail, confirmation of titling paperwork, and the issuance of titles. Staff also performs the auxiliary functions of billing consumers and insurance companies for storage; collection of certain fees; converting seized vehicles to OGS ownership; preparing converted vehicles for auctions; monitoring impound reports; issuing parts and vehicle ID labels; administering the NY VIN program; and, other functions.

**Issues:**

This unit also enters lost security items such as inspection stickers, registration documents, temp license documents, 5 hour certificates and other documents into a database. This allows law enforcement to recover hundreds of these stolen security documents annually and reduce fraud.

**Population Served:**

The Auto Theft Program serves all motorists and vehicle owners of NY State, with an industry concentration related to dismantlers, vehicle rebuilders, repair shops, junk yards, scrap processors, law enforcement and others.

**Performance Measures:**

The amount of revenue brought in by the recovery of stolen vehicles and parts.

The number of arrests made by investigators each month

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Vehicle Safety Field Services

**Mandate:**

Regulatory oversight and Issuance of business registrations/licenses/certifications to the automotive industry under VTL and regulation: VTL § 398 and NYCRR Part 82 (Repair Shops), VTL 415 and NYCRR Part 78 (Motor Vehicle Dealers and Transporters), VTL 303 and NYCRR Part 79 (Inspection Stations), VTL 415a and NYCRR Part 81 (Junk and salvage), Certify Inspectors under VTL § 304a.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

As part of the State Implementation Plan (SIP) to comply with the Clean Air Act, Auto Facilities Inspectors conduct audit concealed identity investigations. In addition, field services staff reviews inspection data and conducts investigations when anomalies in the inspection data necessitate. This unit works to ensure the proper and efficient repair of motor vehicles and to protect consumers from dishonest, deceptive and fraudulent practices in their repair. Staff investigates consumer complaints, determines if a regulated entity violated any law or regulation, and makes a recommendation for corrective action including presenting a case to an Administrative Law Judge and, when appropriate, making a request for restitution on behalf of a consumer.

Staff investigates applications for a businesses license/registration/certification to ascertain if the premises, supplies, and personnel meet the minimum requirements to operate in New York State and to verify the facts on the application. Staff also trains, tests, and issues certification to certified inspectors to enable them to begin work at regulated businesses.

Significant revenue is collected by this program.

**Issues:**

This unit is in compliance with the Clean Air Act through audits and concealed identity investigations. Staff decreases the amount of fraudulent inspections due to corresponding investigations currently performed; time required between applying for a license/registration and determination to start business, time to complete consumer complaint investigations with the potential of cases being dismissed at hearing due to timeliness, and wait times for certified inspector training.

**Population Served:**

Automotive industry which includes approximately 20,000 Repair Shops, 12,000 Inspection Stations, 13,000 Motor Vehicle Dealers, 1,150 Transporters, 1,400 Junk & Salvage, 60,000 Certified Inspectors; Trade Associations and Consumers.

**Performance Measures:**

Count of audit and concealed identity investigations completed annually.  
Time for completion of application investigations  
Time for completion of complaint investigations  
Emissions waivers issued.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Complaints, audits and investigations

**Mandate:**

Regulatory oversight and Issuance of business registrations/licenses/certifications to the automotive industry under VTL and regulation: VTL § 398 and NYCRR Part 82 (Repair Shops), VTL 415 and NYCRR Part 78 (Motor Vehicle Dealers and Transporters), VTL 303 and NYCRR Part 79 (Inspection Stations), VTL 415a and NYCRR Part 81 (Junk and salvage), Certify Inspectors under VTL § 304a

**Mandated Funding Level:**

As allowed by section 1 chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Vehicle Safety Services helps to ensure the proper and efficient repair of motor vehicles and protects consumers from dishonest, deceptive and fraudulent practices in their repair. Oversight also includes motor vehicle dealers, transporters, inspection stations, and junk and salvage businesses. Complaints are received from consumers as well as referrals from the Attorney Generals Office, Consumer Affairs, local Ombudsman Offices, county consumer protection agencies, and government officials from all levels. The Consumer Services Representative (CSR) will determine if there is sufficient information contained in the complaint, whether or not the complaint is jurisdictional, and when appropriate attempts to resolve the case. If there is sufficient information and the case is jurisdictional but the CSR cannot resolve the case, it is sent to the field for investigation. Field staff investigates the consumer's complaint and makes a determination, based on available evidence, as to whether or not the regulated entity violated any law or regulation. If field staff is able to prove a violation, they make a recommendation for corrective action including presenting a case to an Administrative Law Judge and, when appropriate, making a request for restitution on behalf of a consumer.

Significant revenue is collected by this program.

**Issues:**

Consumers will have to seek alternative recourse against regulated facilities to address the restitution to which they may be entitled.

**Population Served:**

Consumers, Automotive Industry; Repair Shops, Inspection Stations, Motor Vehicle Dealers, Transporters, Junk & Salvage, Certified Inspectors, Trade Associations

**Performance Measures:**

Time for completion of complaint investigations

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Vehicle Safety - Bureau of Technical Services and Clean Air

**Mandate:**

Clean Air Act (1977 and 1990), VTL, §301 to 309-e, 2265 NYCRR Part 79  
Under Article 9 Sections 375-383, the Commissioner is given authority to proscribe rules for vehicle and equipment standards.

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

To comply with the original Clean Air Act (as amended in 1977 and 1990) the emissions inspection program started in 1980. Clean Air staff develop and test emissions software enhancements, assist consumers and inspection stations by the examination of problem vehicles, provide vehicle and On Board Diagnostics (OBD) related information to state and federal entities on issues that may result in a recall or technical service bulletin, assist internal and external agency staff on OBD technical issues, assist consumers with emissions registration based enforcement issues, gather and provide statistical information, develop the curriculum for the certified inspector clinics and provide training for certified inspectors in the downstate regions.

Technical Services provides technical support to businesses; reviews and revises Commissioner's Regulations; processes applications for custom vehicles; certifies limited use vehicles; analyzes potential impact of legislation; and approves motor vehicle equipment.

Significant revenue is collected by this program.

**Issues:**

The agency needs to meet federal Environmental Protection Agency (EPA) obligations in relation to program oversight and fraud prevention. There is a need to also support internal and external customers and provide proper management and oversight of the Shared Network.

OBD II vehicles are aging and may present service and inspection issues requiring increased Clean Air assistance to consumers and inspection stations.

**Population Served:**

General public, central, district, and local office personnel; Vehicle Safety field staff; other State agencies; motor vehicle administrators Automotive Industry, which includes approximately 13,000 Dealers, 20,000 Repair Shops, 12,000 Inspection Stations, and 1,400 Junk & Salvage businesses.

**Performance Measures:**

Registration based enforcement compliance, fraudulent inspections detected  
Station visits, Inspector Clinics, problem vehicle visits, sticker compliance surveys completed, software updates completed, phone calls, completed applications



**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Vehicle Safety – Bureau of Consumer and Facility Services

**Mandate:**

VTL Articles 5, 12-A, 16, 17

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Consumer and Facility Services certifies Motor Vehicle Inspectors, licenses Body Damage Estimators, issues security documents to the automotive industry, issues business registrations and licenses to the automotive industry, accounts for all of Vehicle Safety and Clean Air daily revenue, and enters and files all of Vehicle Safety's paper and electronic data. This unit also accepts and reviews consumer complaints against the Automotive Industry, including Repair Shops, Inspection Stations, and Dealers.

Significant revenue is collected by this program.

**Issues:**

Un-timely processing of business applications can affect the revenue and employees of businesses. Un-timely distribution of security documents can affect business revenue and NY motorists. Proper and timely handling of complaints can jeopardize consumer protection and impact consumers due to mandated time constraints. Excessive backlogs in the Bureau could negatively impact revenue collection in the form of fewer civil penalties collected, fewer applications processed, and fewer security documents shipped.

**Population Served:**

Automotive Industry, which includes approximately 13,000 Dealers, 20,000 Repair Shops, 12,000 Inspection Stations and 1,400 Junk & Salvage businesses.

**Performance Measures:**

Turnaround time for applications/complaints

Internet sales achieved

Processing time for applications/renewals/orders/complaints

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Office of Special Counsel (OSC)

**Mandate:**

Executive Order 131, CR 127

Human Rights Hearings: Human Rights Law

Labor Arbitrations: Civil Service Law § 75; PEF & CSEA Contractual Agreements

PIRP Hearings: Insurance Law 2236; VTL article 12-B; CR 138

IPIRP Hearings: Insurance Law 2236; VTL article 12-C; CR 141

Driving School Hearings: VTL 509 & CR Parts 7, Part 78

BDCU Hearings: VTL article 19-A; CR Part 6

Vehicle Safety Hearings: VTL

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

An independent prosecutorial function was established within the Office of the Deputy Commissioner for Safety, Consumer Protection & Clean Air to fully comply with the promulgation of Executive Order #131, which required the separation of agency adjudicatory and prosecutorial functions and personnel. The primary function of the Office of Special Counsel is to represent the Department at complex or high profile administrative hearings before Motor Vehicle Referees, the Adjudication Law Judges of other Departments or arbitrators assigned by the Governor's Office of Employee Relations or the American Arbitration Association.

Representation may include the drafting of charges, assisting at a hearing, settlement negotiations or the actual prosecution of more complex or higher profile cases. OSC also provides DMV units with needed training so that they can better prosecute their own cases. Training sessions have been conducted in the past for Vehicle Safety field staff, the Medical Review Unit, Driver Training and the Division of Field Investigation.

**Issues:**

BDCU cases: OSC has assumed the function of drafting charges and waivers for bus carriers.

PIRP cases: OSC has assumed the function of drafting charges and orders of suspension and revocation for PIRP delivery agencies and instructors. Workload is anticipated to increase as the PIRP monitoring contractor, Summit Security, increases their monitoring of PIRP providers. There is also a potential for additional hearings due to IPIRP.

**Population Served:**

DMV units.

**Performance Measures:**

Contractor in place- February 2009, number of training sites statewide, number of students trained and licensed annually, number of motorcycle instructors available, number of motorcycle fatal and personal injury crashes annually.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Accident Records Bureau

**Mandate:**

DMV's core mission to Improve Traffic Safety

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

This Bureau works with internal DMV units and external entities responding to traffic safety inquiries for information, clarification and requests. The Bureau is comprised of the Accident Records Unit (ARB) and the Safety Analysis Unit.

ARB receives approximately 800,000 accident reports a year and processes all reportable accidents required by law to be submitted to DMV by motorist and police. ARB records the accident information on the driver license record. They also make the reports available for sale and provide statistical information on accidents. More specific activities include:

- 1) The review and input of property damage only accident reports submitted by law enforcement. The threshold for said accident reports is \$1,000 and has not been increased since 1991
- 2) Input of Non Reportable accidents (fall below the \$1,000 threshold) not required to be filed by law but are submitted to DMV. Staff time is spent to review, sort and bundle these into boxes for additional processing by NYS DOCS as requested by NYS DOT.
- 3) All fatal accidents are processed twice, once for the state and once for the federal system due to different requirements.
- 4) Location coding of all accidents entered into the Accident Record system. Approximately 50% of said coding is achieved electronically; however limitations within the Accident location Information System (ALIS) result in our having to manually enter the remaining accident reports.
- 5) Motorist reports submitted to DMV as required under the NYS Law. Most often, these reports are in addition to a police accident report filed with DMV regarding the same accident.

Significant revenue is collected by this program.

**Population Served:**

Internal DMV units, research organizations, federal, state and local enforcement and transportation agencies, private companies, other states

**Performance Measures:**

Responds to incoming standard traffic safety requests within 1 week or receipt, responds to involved requests within 4 weeks. Meet all deadlines set forth in RFP's, contracts and project plans.

**New York State Department of Motor Vehicles  
PROGRAM INFORMATION SHEET**

**Program:**

Low Value Property Damage Threshold

**Mandate:**

V&T Law Sections 201; 600 – 605

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The law requires property damage accidents to be reported if the damage exceeds \$1,000. Several attempts over the years to increase the threshold to represent today's economy have been unsuccessful. All of the traffic safety analysis performed at the national level is based upon fatal and injury accidents. Some states do not require a property damage accident to be reported. For the 2007 accident year, ARB processed a total of 351,070 reportable accidents and 207,198 or 59% were PDO's.

**Issues:**

DOT uses the data to recover public property damages from property damage only accidents and data for their Highway Safety Analysis. Carfax and other organizations receive accident data.

**Population Served:**

Court systems, attorneys, employers, insurance companies, research organizations, internal DMV units and DOT

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Accident Records Bureau  
Processing Non Reportable Accidents

**Mandate:**

None

**Mandated Funding Level:**

As allowed by section 1 chapter 55 of the State Finance Law

**Brief Description/History/Background:**

DMV processed non-reportable accidents to provide additional data to DOT to perform Highway Safety Analysis. A Non Reportable accident is defined as an accident where a fatality, injury or property damage is below \$1,000. In 2006, the Department of Corrections (DOC) began processing police reported Non Reportable accidents for DOT through a grant from GTSC and AIS was modified to allow for auto conversion of electronic Non Reportable accidents. Since the installation of ALIS in Dec 07, 50% of all electronic Non Reportable accidents are auto location coded. For the 2007 accident year, DMV received in 309,621 paper Non Reportable accident reports and 47,242 electronic cases. Staff from DMV is still needed to sort the paper reports and location code for 50% of the electronic reports.

**Issues:**

DOT uses the additional accident information for Highway Safety Analysis. These accident reports are available for sale.

**Population Served:**

Certified Document Center, some customers and DOT

**Performance Measures:**

Not applicable

**New York State Department of Motor Vehicles  
PROGRAM INFORMATION SHEET**

**Program:**

Accident Records Bureau  
Processing Motorist Property Damage Only Reports

**Mandate:**

V&T Law Sections 201; 600 – 605

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The law requires property damage accidents to be reported by the motorist(s) if the damage exceeds \$1,000. This threshold has not been changed since 1991. For the 2007 accident year, ARB processed a total of 60,167 motorist property damage only reports.

**Issues:**

If DMV were to eliminate motorist PDO accident reports, the V&T Law would need to be amended. DOT will object to this proposal.

**Population Served:**

Court systems, attorneys, employers, insurance companies, research organizations, internal DMV units and DOT

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

**Accident Records Bureau (ARB)**

Location Coding Accident Reports

**Mandate:**

V&T Law Sections 600 – 605

**Mandated Funding Level:**

As allowed by section 1 chapter 55 of the State Finance Law

**Brief Description/History/Background:**

ARB location coded 400,970 accident cases for the 2007 year. The new Accident Location Information System (ALIS) was installed in December 2007 and has the ability to automatically process electronic reports. We have only been successful with processing 50% of the electronic reports received to date.

**Issues:**

An alternative method would need to be sought for the Department of Transportation to location code accidents to continue to perform Highway Safety Analysis.

Local municipalities use the yearly location statistical data provided by DMV to apply for highway safety grants. Some municipalities maintain they own accident and ticket statistics for analysis and grant processing.

A modification to the AIS workflow would need to occur in order to bypass this function. Department of Corrections (DOCS) currently process location coding information for Non-Reportable accidents.

**Population Served:**

Department of Transportation, local municipalities and customers who request statistics on specific accident locations.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Motor Carrier Safety Program

**Mandate:**

Commercial Driver's License (CDL) Coordination – Commercial Motor Vehicle Act of 1986, Motor Carrier Safety Improvement Act (MCSIA) of 1999  
Bus Driver Compliance – Article 19-A of the V&T Law est.1974  
International Registration Plan (IRP) – V&T Law Part 405 est. 1973  
Hazardous Material (HM) Qualification – Section 1012 of the USA Patriot Act, Section 501 (6) of the V&T Law

**Mandated Funding Level:**

As allowed by section 1 chapter 55 of the State Finance Law

**Brief Description/History/Background:**

CDL carries out the components of the Agency's mission concerning the enhancement of traffic safety and the provision of information services as they relate to commercial driver qualification and motor carrier safety policies and issues. There they receive interagency support and work closely with FMCSA, ITSMR, NYSDOT, NYS Thruway, NY State Police, and the NY State Motor Truck Association.

Bus Driver Compliance collects information on all bus carriers and the drivers they employ to monitor driving records and disqualify operators for serious violations. The Law further requires carriers to establish an escrow account with the Department for the Accident/Conviction Notification Program. 19-A Record Reviews are conducted by staff assigned to Field Operations. Review results are entered on the carrier's 19-A record by BDU. When violations are found the Testing & Investigations may request that a hearing be held. BDU also certifies Commercial Vehicle Escort drivers.

IRP is a cooperative agreement for registering heavy vehicles that travel into two or more member jurisdictions. IRP provides for payment of licensing fees based on fleet miles traveled. The IRB houses the Customer Service Counter (CSC) which processes transactions and collects fees.

Hazardous Materials reviews, processes, denies, and attends Administrative Hearings regarding HM endorsement applications. As of January 31, 2005 federal and state law require that drivers undergo fingerprint based criminal history background checks every five years when renewing or applying for a HM endorsement. This endorsement allows the transport of products that require vehicle placards as described in 49 CFR 171-180.

**Issues:**

Important consideration include: Newly proposed federal regulations on Minimum Training Requirements for Entry-Level Commercial Motor Vehicle Operators, CDL Testing and Commercial Learner's Permit Standards, and Medical Certification Requirements as Part of the CDL. NY CDL Program compliance is validated through triennial compliance reviews conducted by the FMCSA.

**Population Served:**

600,000 CDL holders; 9,500 IRP Motor Carrier fleets; 40,000 IRP fleet vehicles; 52,000 HM Endorsement holders; 2,382 19-A Carriers; 62,196 19-A School Bus Drivers; 22,488 19-A Non School Bus Drivers

**Performance Measures:**

Reconciliation and deposit of IRP funds are done daily following the day they are processed. HM Unit processes approximately 4,800 applications a year, applications are processed daily with a 12 to 15 day turnaround time.



**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

International Registration Bureau (IRB)

**Mandate:**

V&T §401 §405 Commissioner's Reg Part 28

**Brief Description/History/Background:** A member of the International Registration Plan (IRP) since 1989, the International Registration Bureau is responsible for providing apportioned registrations to New York-based heavy vehicle operators that travel in other U.S. states and Canadian provinces. The IRB distributes the registration fees collected on behalf of other jurisdictions and receives registration fees collected on behalf of New York from other Plan jurisdictions.

Significant revenue is collected by this program.

**Issues:** This program is necessary to maintain motor truck interstate commerce in New York State and to maintain New York State's reciprocity agreement in the IRP.

**Performance Measures:** Customer applications are processed daily within a 3-10 day turnaround time. Reconciliation and deposit of IRP funds are done daily.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Driver Regulation

**Mandate:**

Vehicle & Traffic Law, Non-Resident Violator Compact ext.1982

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Driver Improvement Bureau issues sanctions against, and restores license/driving privileges to motorists found guilty of alcohol and/or drug and/or traffic violations and/or for license fraud offenses. The bureau maintains driving records to ensure correctness for reportable convictions, sanctions, accidents, and restoration of privileges. These activities include the review of license restoration requests to ensure that all re-licensing requests are met. They also review records of those who have incurred three or more accidents within an 18-month period to determine if restoration is warranted.

Significant revenue is collected by this program.

**Issues:**

Additional IT support would enable greater automation of processes that would greatly improve office efficiency and production.

**Population Served:**

New York and Out-of-State motorists, Courts, Probation Departments, Alcohol/Drug Treatment Agencies, Physician's, Optometrists, Driver Rehab Agencies, Out-of-State DMV's, National Driver Registry

**Performance Measures:**

Last year there were approx. 466,280 sanctions generated and/or issued and approx. 6,567 medical sanctions issued.

Time to process re-licensing applications after revocation – Receives 37,000 and processes 30,000 correspondences yearly.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Driver Training and Regulations

**Mandate:**

Driving Schools - Section 394 NYS V&T  
Pre-licensing Program - Section 502 NYS V&T  
NYS V&T

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

Driver Training Programs (DTP) encompasses programs to regulate and provide guidance and training assistance related to driver training needs.

Pre-licensing Course – DTP provides curriculum and credentials for instructors to offer the required prelicensing course (also known as “the 5-hour course”), which is required for new drivers prior to licensing. For many students, the course provides the only opportunity to gain knowledge of the basic rules of the road, safe driving principles, defensive driving skills, and other factors which affect driving.

Driver Education Program - Jointly administered by the Department of Motor Vehicles (DMV) and the State Education Department (SED). The Driver and Traffic Safety Education Course is designed for new drivers and is offered only through accredited high schools and colleges, providing both classroom training and in-car instruction.

Motor Vehicle Accident Prevention Course (PIRP) – Courses approved by DMV are available through private companies or corporations, called "course sponsors", throughout New York State. Each qualifying course must meet strict standards for the presentation of safe driving information and program effectiveness. Delivery of the Motor Vehicle Accident Prevention Course via alternate delivery methods (called IPIRP, since most courses will likely be administered via the internet), is mandated by statute and is expected to be available by December, 2008.

Younger Driver Program – Provides information and resources focused on assisting young drivers in developing safe driving skills and reducing crashes, injuries and fatalities both for young drivers and the general driving population.

Older Driver Program – Provides information and resources focused on older drivers to assist older drivers in remaining mobile as long as safely possible and reducing crashes, injuries and fatalities both for older drivers and the general driving population.

Safety Analysis- Provides reviews, research, and comment on proposed traffic safety legislation and its impact on DMV.

**Population Served:**

Driving Schools & Pre-licensing Program - 600 schools, 3000 instructors, New York and Out-of-State motorists, Courts, Alcohol/Drug Treatment Agencies, Physicians, Out-of-State DMV's; Driving Schools; High Schools and Colleges.

**Performance Measures:**

Driving Schools - Original Driving School Application 6-8 weeks; Original Driving School Instructor 7 days; Driving School Renewal 7 days; Driving School Instructor Renewal 7 days; all payments are reconciled and deposited weekly.

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Insurance Services Bureau

**Mandate:**

NYS Vehicle and Traffic Law: Article 6 – Motor Vehicle Financial Security Act, Article 7 – Motor Vehicle Safety Responsibility Act, Article 8 – Indemnity Bonds or Insurance Policies on Vehicles Transporting Passengers For-Hire

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Insurance Services Bureau (ISB) administers DMV's compulsory auto insurance related functions through interaction with the State Insurance Department, the insurance industry, DMV's Issuing Offices, and the public. The Insurance Information and Enforcement System (IIES) continuously tracks the insurance status of vehicles registered in NYS, identifies vehicles that are uninsured and applies the appropriate sanctions (suspension of registration & driver's license as well as revocations of for-hire registrations with insurance lapses). Revocations of registration and the driver's licenses are manually issued against vehicles and drivers that are involved in uninsured accidents or ticketed for uninsured operation. Suspensions of registration and driver's license are manually issued as a result of court ordered unsatisfied judgments. The suspension remains in effect until the judgment is satisfied with the court or installment payments are approved by the court.

Significant revenue is collected by this program.

**Issues:**

Approximately 300,000 telephone calls annually  
Approximately 110,000 IIES transactions were processed manually.  
Approximately 4,000 Court issued judgments were issued, rescinded or terminated.  
Approximately 3,000 Civil Penalty refunds were processed.  
Over 5,000 routine revocations were issued, rescinded or terminated.  
Over 3,000 requests for revocation were received and processed  
Over 3,500 pieces of written correspondence were handled  
Over 30,000 industry generated inquiries completed.  
Over 100,000 pieces of mail were processed.

**Population Served:**

Motorists, Insurance companies, agents & brokers, Insurance industry groups,  
NYS Insurance Department

**Performance Measures:**

Average speed to answer customer/industry calls  
Insurance Services turnaround time for inquiry letter/suspension notice response  
Turnaround time for rescinding revocations and terminating judgments  
Turnaround time for processing civil penalty transactions

**DEPARTMENT OF MOTOR VEHICLES  
PROGRAM INFORMATION SHEET**

**Program:**

Governor's Traffic Safety Committee (GTSC)

**Mandate:**

Article 16-A of the Executive Law and Federal Highway Safety Acts of 1966 & 1974

**Mandated Funding Level:**

As allowed by section 1 of chapter 55 of the State Finance Law

**Brief Description/History/Background:**

The Governor's Traffic Safety Committee (GTSC) coordinates statewide traffic safety activities. The Committee promotes and supports the state's highway safety program to provide for the safe transportation of people and goods on New York's roadways. The staff of the GTSC manages the state highway safety program by reviewing and monitoring grant programs, coordinating special programs such as the Child Passenger Safety or the Drug Recognition Effort officer programs, and by providing guidance and oversight to state and local agencies. The GTSC is chaired by the Commissioner of the Department of Motor Vehicles (DMV), and as a state department is also housed in the DMV. The Committee acts as the state's official liaison with the National Highway Traffic Safety Administration.

Significant revenue is collected by this program.

**Issues:**

GTSC receives federal funding to award more than 700 Grants each year.

**Population Served:**

The GTSC works closely with this network of state and local agencies, non-profit organizations and private-sector partners to deliver quality traffic safety projects, services, and information across the state.

**Performance Measures:**

Approve, review and monitor the progress of grants.