

Agent Services and Dealer Audit Violations Definitions Listing



Violation	Definition
Additional Locations Without Approval	The Provider has issued products at a location not approved by the Department.
Address on Application not Corresponding to ID	The Provider has processed an application containing an address/addresses which do not correspond to the address/addresses displayed on the approved Pennsylvania proof of identification submitted with that application.
Audit Refusal	The Provider has failed to allow inspection of documents or plates in the possession of the agent services by authorized Commonwealth employees or law enforcement.
Bad Checks	The Provider has submitted a document to the Department for processing, which has been accompanied by an uncollectible or dishonored check drawn on an account used by the Provider.
Confidentiality Policy	The Provider has failed to keep the registration card or documents related to an application for title or registration in strict confidence.
Confidentiality Requirements	The Provider has failed to keep the registration card or documents related to an application for title or registration in strict confidence.
Contract Requirements - Affidavits	Provider shall, at the time of application, and annually thereafter, secure an affidavit from each person involved in providing the agent service that the person has read and understood The Agent Services Agreement and its attachments including but not limited to its Exhibit B, Program Requirements.
Contract Requirements - Certificate of Authorization	The Provider has failed to post fees, hours of operation, or certificate of authorization as required by the Agent Services agreement.
Contract Requirements - Criminal History	The Provider has failed to request and retain State Police criminal background checks as required by the Agent Services agreement.

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Contract Requirements - Facilities	The Provider has failed to maintain the established place of business in accordance with contract requirements.
Contract Requirements - Hours	The Provider has failed to post fees, hours of operation as required by the Agent Services Agreement.
Contract Requirements - Notary	The Provider has failed to notify the Department of a change in ownership, location, email, address, staff engaged in the provision of agent services, or duly authorized and currently licensed notary on staff, before or within 10 days after the change.
Contract Requirements - Policy & Procedures	Provider has failed to comply with any Department policy or procedure.
Contract Requirements - Posting of Hours	The Provider has failed to post fees, hours of operation as required by the Agent Services Agreement.
Contract Requirements - Records Retention	The Provider has failed to furnish receipts as required or failed to retain duplicate copies of receipts for three (3) years.
Contract Requirements - Security	The Provider has failed to provide proper security for registration cards and plates.
Contract Requirements - Signage /Equipment	Provider shall at all times display the hours of operation during which the Provider's service is provided. If the facility is closed due to vacation or illness, the closure will be prominently posted at the entrance to the facility.
Department Policy/Procedure - Failure to Comply	Provider has failed to comply with any Department policy or procedure not otherwise mentioned in the Agent Services Agreement.
Documents (Invalid, Incomplete, Defective)	Provider has issued registration cards or plates but has delivered documents that are incomplete, invalid or otherwise defective.
Failed to Be Open During Posted Business Hours	The Provider has failed, on more than two occasions, to be open during posted business hours.

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Failed to Comply on More than One Occasion with Any Provision of the Vehicle Code or Department Regulations	Provider has failed to comply with any Department policy or procedure.
Failed to Comply with Any Department Policy or Procedure Not Otherwise Mentioned Above.	Provider has failed to comply with any Department policy or procedure not otherwise mentioned in the Agent Services Agreement.
Failed to Deliver Assigned Certificate of Title	Provider has issued registration cards or plates but has delivered documents that are incomplete, invalid or otherwise defective.
Failed to Display Messenger Photo ID	Provider will prominently post the certificate of authorization for the agent service at the place of business.
Failed to Furnish Receipts	The Provider has failed to furnish receipts as required or failed to retain duplicate copies of receipts for three (3) years.
Failed to Issue or Maintain Records	The Provider has failed to furnish receipts as required or failed to retain duplicate copies of receipts for three (3) years.
Failed to Maintain Adequate Business Hours	The Provider has failed to maintain a schedule of business hours which conforms to the requirements of the Agent Services Agreement.
Failed to Notify Department of Change in Ownership	The Provider has failed to notify the Department of a change in ownership, location, email address, staff engaged in the provision of agent services, or duly authorized and currently licensed notary on staff, before or within 10 days after the change.
Failed to Notify Department of Change of Location/Email	The Provider has failed to notify the Department of a change in ownership, location, email address, staff engaged in the provision of agent services, or duly authorized and currently licensed notary on staff, before or within 10 days after the change.
Failed to Notify Department of New Employees	The Provider has failed to notify the Department of a change in ownership, location, email address, staff engaged in the provision of agent services, or duly authorized and currently licensed notary on staff, before or within 10 days after the change.

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Failed to Obtain Proper Insurance Information	The Provider has not listed or obtained proper insurance information as required by 75 Pa. C.S § 1318(b).
Failed to Post Fees	The Provider has failed to post fees, hours of operation, or certificate of authorization as required by the Agent Services Agreement.
Failed to Provide Information Regarding Location and Use of Plates	The Provider has issued products at a location not approved by the Department.
Failed to Provide Inventory Report	The Provider has failed to provide the Department with an inventory report within 30 days, as required by Department regulations.
Failed to Retain Proper Records	The Provider has failed to furnish receipts as required or failed to retain duplicate copies of receipts for three (3) years.
Failed to Send Required Forms, Photos or Both to The Department	Provider has issued products but failed to deliver proper documents, fees or taxes to the Department within 30 days of issuance.
False Statement-Knowingly Concealed	The Provider has failed to disclose material information or has made a materially false statement on the application for certificate of authorization, and which would have been a basis for denial of the certificate of authorization.
Improper ID Accepted for Application	Provider has issued registration cards or plates but has delivered documents that are incomplete, invalid or otherwise defective.
Improper Issuance of In-transit Plate	The Provider has issued an in-transit tag without verification that the vehicle will be transported to another state for registration.
Incomplete Application - Date of Issue	The Provider has issued a metal plate for transporting a vehicle out of State.
Issued Metal Plate for a Vehicle for Which a Certificate of Salvage Has Been Issued	The Provider has issued a metal plate for a vehicle for which a certificate of salvage has been issued.
Issued Metal Plate for Transporting out of State	The Provider has issued a metal plate for transporting a vehicle out of State.

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Late Submission	Provider has issued products but failed to deliver proper documents, fees or taxes to the Department within 30 days of issuance.
Misstatement of Fact	The Provider has failed to disclose material information or has made a materially false statement on the application for certificate of authorization, and which would have been a basis for denial of the certificate of authorization.
Non-Submission	The Provider has issued products but failed to deliver proper documents, fees or taxes to the Department within 30 days of issuance.
Non-Submission Within 90 days of Issuance	The Provider has issued registration cards or plates but has failed to deliver proper documents, fees or taxes to the Department within 90 days of issuance.
Plates - Issued from Unauthorized Location	The Provider has issued products at a location not approved by the Department.
Plates - Issued Non-Consecutive	The Provider has not issued registration plates in consecutive order, beginning with the lowest number in each series.
Product Issuance by Unauthorized Employee	The Provider has an unauthorized employee or individual has issued a registration card or plate assigned to the Provider.
Product Issued Without Proper Documentation	Provider has issued registration cards or plates but has delivered documents that are incomplete, invalid or otherwise defective.
Prohibited Employee	An owner, officer or employee of Provider has been convicted of a summary offense related to the titling, registration or payment of sales tax for a vehicle, which was committed in connection with the Provider and its business.
Records Retention - Failed to Maintain Records in the Prescribed Manner or Failed to Keep Records In	The Provider has failed to file and retain required records under the Agent Services Agreement.
The Provider Has Accepted Proof of Identification Documents Which Fail to Conform to Department Guide	Provider has issued registration cards or plates but has delivered documents that are incomplete, invalid or otherwise defective.

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Training Requirements	The Provider has failed to meet training requirements pursuant to the Agent Services Agreement.
Transferred Plates or Products to Another Agent	The Provider has given, loaned or sold a plate or product including forms MV-1, MV-4ST and MV-120 to an issuing Provider, notary or other person.
Unlawful Use of the Vehicle, Registration Plate or Card	Provider has issued registration cards or plates but has delivered documents that are incomplete, invalid or otherwise defective.
Vehicle Code Violation - Application for Title (Dealer)	The Provider has on more than one occasion failed to comply with any provision of the Vehicle Code or Department regulations not specifically noted elsewhere in the Agent Services Agreement.
Vehicle Code Violation - Dealer Plates	The registrant has failed to provide information regarding the location and use if all registration plates issued to the registrant to an authorized Commonwealth employee.
Vehicle Code Violation - Title Assigned in Blank	The Provider has on more than one occasion failed to comply with any provision of the Vehicle Code or Department regulations not specifically noted elsewhere in the Agent Services Agreement.
Vehicle Code Violation - VIN Verification	The Provider, its owner, or employee has processed an application for title or registration but failed to verify the public Vehicle Identification Number of the vehicle as required by the Agent Services Agreement, applicable laws and regulations.